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Chad Litz
Kansas State University

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School boards and administrators must take seriously and confidently their obligations to remove unsuitable teachers.

TEACHER DISMISSAL: A Policy Study of the Impact of Tenure

Bettye MacPhail–Wilcox and Michael E. Ward

Few administrative responsibilities are as daunting, demanding, and emotionally charged as teacher dismissal. Yet, accurate knowledge about it remains largely theoretical and under-investigated (Kersten 1988). These conditions are particularly troublesome given current accountability concerns about classroom instruction and charges that tenure unduly restricts the removal of incompetent teachers.

This study of teacher dismissal contributes to theoretical and empirical understanding in several ways. It presents a theoretical model of antecedents to teacher dismissal derived from an extensive literature review and uses the model to conceptualize a study of the validity of some propositions observed in this literature. The findings of the study contribute new knowledge about (1) dismissal and reemployment rates for probationary and tenured teachers, and (2) five demographic variables (method of separation, ethnic origin, gender, years of experience, and subject area certification) describing involuntarily separated teachers. These findings are the basis for a set of recommendations for research, policy, and practice.

Study Methodology

Survey and correlational designs were used to investigate fifteen research questions about teacher dismissal in a southeastern state. A 2×2×2 classification system stratified the total population of 134 school districts by local per-pupil expenditure, relative ease of attracting new teachers, and student enrollment. The literature suggested that these variables might relate to the relative frequency of teacher dismissal.

A random sample of four districts was drawn from each of the eight cells (N=32 districts) and two from each of these (N=16) were randomly selected for more intensive follow-up in the second stage of the study. This procedure was recommended in order to obtain a greater degree of information and reliability based on the researcher's prior knowledge (Miaoulis and Michiner, 1976).

Bettye MacPhail–Wilcox is Professor and Department Head, Educational Leadership, North Carolina State University.

Michael E. Ward is Superintendent of Granville Public Schools in Oxford, North Carolina

Following a pilot test of the instruments and preliminary telephone calls, confidential questionnaires were mailed to superintendents in sample and subsample districts. Nonrespondents received follow-up telephone calls, and with replacement sampling for two districts, this survey produced a 94 percent return rate for the primary sample and a 100 percent return rate for the subsample. Nonrespondents cited attorney advisement not to participate or time constraints as causes for nonresponses. Two other superintendents failed to return questionnaires despite numerous follow-up calls. Archival data were collected from state archival records for personnel, public schools, human resources, and finances.

T-, Z-, F-tests and chi-square analyses were applied to the statistics computed in this study. Most threats to internal validity were controlled by stratified random sampling. Only maturation and mortality were uncontrolled. A probability level of .05 was used for each test of significant difference.

Historical Antecedents to Teacher Tenure and Dismissal

The National Education Association campaigned for tenure in an effort to stop the spoils system of awarding teaching jobs and dismissing teachers on the basis of political affiliations rather than competence (Fournier, 1984). In recent years, however, some have argued that tenure has severely constrained the number and means of teacher dismissals, resulting in too many classrooms characterized by mediocrity and staffed by incompetent teachers (Kersten and Brandfon, 1988; Elam, 1984; Fournier, 1984; Church, 1978). Empirical evidence on these assertions is scant and indirect, at best.

Early in the century, Holmstedt (1932) found that superintendents believed 6.3 percent of teachers should be dismissed. Revisions to this estimate ranged from 5 to 15 percent (Neill and Custis, 1978), 5 to 20 percent (Johnson, 1984), 5 percent (Bridges, 1986), and 10 to 15 percent (Fuhr, 1993) in later years.

One might expect these ranges to approximate actual dismissals; however, the proportion of teachers actually removed involuntarily appears to be substantially smaller (Stallings, 1993; Bridges and Gumport, 1984; Bobbitt, et al, 1991). Bridges (1986) estimated that less than 1 percent of tenured teachers were dismissed for incompetence during a two year period, while Neill and Custis (1978) estimated that .25 to .50 percent of tenured teachers were dismissed for incompetence. Other studies conducted in New Jersey in 1927 and Delaware in 1988 also reported very small numbers of dismissals (Holmstedt, 1932; VanScriver, 1990).

Only sparse evidence of teacher incompetence may be imputed from records pertaining to the revocation of teacher credentials (Winston, 1985; Bridges, 1990; Rogers, 1993) and records of local hearings and litigation pertaining to teacher dismissal (N.C. Department of Public Instruction, 1992; Church, 1978; Galante, 1983; Gross, 1988; Pennsylvania, Teacher Tenure Appeals, 1983; Hooker, 1989; Bridges and Gumport, 1984). An annual proportion of less than one percent was inferred by Bobbitt et al. (1991). None of these sources provided pre- and post-tenure comparison data. Even so, validity is suspect because it appears that the majority of involuntary separations occur through a process of "induced" resignation, rather than formal dismissal.

Theoretical Antecedents to Teacher Dismissal

An extensive review of literature revealed five groups of variables with theoretic promise for explaining incidences of teacher dismissal. These included the nature of the cause for a dismissal action, the presence of effective alternatives to formal dismissal, teacher employment status, perceived difficulty in documenting incompetence, and organizational variables consisting of political pressure, supply relative to demand for teachers, and the fiscal status of the school district.

Causes for Dismissal

The nature of the cause for teacher dismissal appears to differentially influence the frequency of dismissal actions. State statutes generally define the duties of teachers and two broad categories of causes for dismissal (Beezer, 1990). One concerns the ability to perform the actual task of teaching, while the other addresses personal qualities like immorality, use of controlled substances, felony convictions, and the like. Only two states have attempted to define inadequate performance (Gross, 1988) and the courts have been reluctant to define teacher incompetence (Roseberger and Plimpton, 1975). Further, courts are likely to overturn dismissals for incompetence when either evidential or procedural problems exist in the documentation of incompetence (Bridges and Gumport, 1984; Sistruck, 1983).

Teachers report that sexually suggestive remarks to students, habitual use of alcohol or other drugs, failure to meet certification requirements, changing student answers on state sponsored examinations and abusive treatment of students are more likely to result in termination than performance problems (Leonard and Purvis, 1991). These perceptions are corroborated by legal data.

Teacher dismissal based solely on incompetence is a rare event (Harper and Gammon, 1981, 1983; Mawdsley, 1992; Gross, 1988; Galante, 1983; Sorenson, 1987; Fournier, 1984). Rather, non-teaching misconduct is a more likely cause (Johnson, 1984; McCormick, 1985; Galante, 1983; Gross and Melnick, 1985). These observations offer strong support that the cause for dismissal is an important theoretic variable in explaining teacher dismissal.

Effective Alternatives to Formal Dismissal

Formal dismissals of teachers represent only a portion of those instances in which unsuitable teachers are removed from employment. Other means of terminating unsuitable teachers have been dubbed "induced exits" (Bridges, 1986). These occur following administrative counseling, coercion, reorganization, reduction-in-force, and even promotion. Teachers "induced" to leave do so through resigning, retiring, and transferring in lieu of dismissal. Special considerations have been offered teachers who are "induced" to leave. These include payment for a period of time beyond employment, contract buy-outs, agreements to provide neutral or positive references (Castallo, 1992), resignation, early retirement, transfer, counseling, coercion, reduction-in-force, reorganization, leave of absence, medical coverage, removal of negative information from personnel files, favorable references for non-teaching positions, and sealed personnel files (Bridges, 1986). Note that these methods have parallels in Fortune 500's largest industrial corporations (Stoeberl and Schneiderjaus, 1981).

Bridges (1986, 1990) found that administrators were far more likely to remove tenured teachers through induced exits than by formal dismissal. This makes it difficult to assess the prevalence of incompetence among teachers, and it appears to enhance the probability that unsuitable teachers will eventually reappear in classrooms elsewhere. While coercion to resign violates a Fifth Amendment proscription against taking property without due process of law (Johnson, 1984; Olson, 1982), Bridges (1986) reports that the success of induced exit tactics varies with the personal influence of the administrator involved, the degree to which the teacher can be persuaded or intimidated, and the willingness of a teacher organization or union to intervene. Clearly teachers induced to leave their employment are part of the labor force that might be considered incompetent. Yet, they are absent from the rolls of those facing formal dismissal actions.

Because theoretic knowledge was a goal of this study, it was necessary to distinguish between "involuntary separation" (formal dismissal of a tenured teacher, formal dismissal of a non-tenured teacher, non-renewal of a probationary teacher, refusal to award a continuing contract, induced exits *vis* resignation, retirement in lieu of non-renewal or dismissal, and reduction-in-force in lieu of non-renewal or dismissal) and "voluntary separation" (resignations, retirements, and terminations not premised on a promise or threat from the employer). Such a distinction would better clarify the incidence of actual removal of teachers for perceived cause.

Clearly the availability and effectiveness of alternatives to formal dismissal is an important antecedent to predicting and explaining the number of formal dismissals of teachers. Thus these alternatives to formal dismissal also have theoretic significance in explaining and predicting the number of "dismissed" teachers who reappear in other classrooms.

Teacher Employment Status

Most states require teachers to serve a probationary period before receiving tenure. In this south-eastern state, employment status is hierarchal commencing with temporary and moving to probationary and then tenured status.

If teachers are deemed unsuitable while on temporary or probationary employment status, they may be dismissed without many of the cause or due process protections afforded tenured teachers. Bridges (1986) noted that unsuitable teachers who can be fired without cause and/or due process are apt to be dismissed. He reported that temporary status teachers accounted for 70 percent of the dismissals in two years though they constituted only 7 percent of the California teaching force.

Tenure affords substantial due process safeguards to teachers who achieve this employment status. Unlike probationary teachers, tenured teachers hold a property interest in continued employment and exhaustive procedural requirements are imposed upon administrators and boards who seek the teacher's dismissal. Thus, teacher employment status seems an important theoretic variable in predicting and explaining the frequency of teacher dismissal.

Difficulty in Documenting Incompetence

Difficulties in documenting incompetence are situational and administrative. Evaluating incompetent teaching is fraught with technical difficulties and uncertainties about the practical meaning of efficient, effective, and adequate teaching (Bridges and Gumport, 1984; Galante, 1983; Bridges, 1986; Foldesy, 1987). Further, administrators vary in their competence and willingness to undertake the time-consuming and extensive process necessary for competent evaluation and documentation (Johnson, 1984; Kelleher, 1985; Sendor, 1984; Bridges, 1986; Claxton, 1986; Fournier, 1984; Lieberman, 1972; Lilly, 1988; Beebe, 1985; McGrath, 1993).

Assuming that perception precedes action, these observations suggest that administrator perceptions of difficulty in documenting poor teacher performance and their own competence to do so effectively are important theoretic antecedents to teacher dismissal.

Organizational Variables

Political pressures exerted by boards of education and professional associations have been cited as influential variables in teacher dismissal cases (VanScriver, 1990; Fournier, 1984; Church, 1978; Johnson, 1984; Gold et al, 1978). The degree to which these perceived and actual pressures influence administrative propensity to undertake teacher dismissal is unsubstantiated.

Literature also suggests that the supply of teachers relative to demand may influence administrative propensity to initiate teacher dismissals. The basis for such a contention is grounded in the differential employment rates of teachers with

emergency or temporary certificates and out-of-field placements in areas experiencing teacher shortages (Roth and Pipho, 1990; Bradshaw, 1991; Barnes, 1986; MacPhail–Wilcox and Williams, 1984).

District fiscal status may have some predictive and explanatory relationship to teacher dismissal in several ways. First, poor districts are less likely to be in a position to pay the high costs of dismissal proceedings than are wealthier districts (MacPhail–Wilcox and Williams, 1984; Sykes, 1983). Further, some research reports that declining enrollment leads to more numerous teacher dismissals for incompetence (Johnson, 1984).

Political pressure on administrators, supply of teachers relative to demand, and the fiscal characteristics of districts may be important organizational theoretic antecedents to teacher dismissal. Thus, this study examined relations between these three organizational variables and the frequency of teacher dismissal for teachers of different employment career status.

Study Findings

Most superintendents reported that the tenure law should be reformed immediately or eliminated, but only after measures are taken to improve teaching salaries and conditions. There were no significant correlations between superintendent perception regarding the need to eliminate the tenure law and the average annual proportion of probationary or tenured teachers who were involuntarily separated.

The proportion of probationary teachers that superintendents perceive should be involuntarily separated and the average annual proportions who were involuntarily separated were not significantly different. However, the perceived and actual differences were significant for career teachers. Further, significantly different proportions of career and probationary teachers were involuntarily separated. These findings suggest that tenure does have a constraining effect on administrative action to separate teachers from continuing employment. They also raise questions about why unsuitable tenured teachers were not dismissed during the probationary stage.

Superintendents were asked about methods used for involuntary separation of unsatisfactory teachers and the frequency with which these methods were used. From highest to lowest rank, these methods included formal non-renewal at year's end for probationary teachers, induced resignations, induced resignations with special considerations, induced retirement, formal dismissal of tenured teachers, reduction-in-force, involuntary transfer to another school, formal dismissal at mid-year for probationary teachers, and involuntary transfer to a non-teaching position. Follow-up inquiries revealed that the practice of involuntary transfer is even more common than the written responses suggested. Thus these data are understated. However, recordkeeping related to such actions is minimal or non-existent, whereas records pertaining to formal dismissal and employment separation are recorded in board of education minutes.

Of the 12,297 teachers employed annually in districts sampled for this study, 170 probationary teachers and 40 tenured teachers were involuntarily separated over a three year period delimiting this study. Among the involuntarily separated probationary teachers, 81 percent were removed for classroom incompetence, and 19 percent were removed for non-classroom problems, a significant difference. In contrast, only 55 percent of the tenured teachers were removed for classroom incompetence, while 45 percent were removed for non-classroom problems. These findings corroborate assertions that classroom incompetence may be a more difficult basis for dismissing career teachers than non-teaching performance problems.

Superintendents were asked to identify specific classroom performance and non-teaching performance problems demonstrated by probationary and tenured teachers which led to involuntary separation actions. The highest ranking classroom performance problems for probationary teachers were failure to maintain discipline, failure to produce intended/desired learning results, failure to impart subject matter effectively, failure to accept teaching advice from superiors, and failure to demonstrate mastery of subject matter. Tenured teachers were just as likely to demonstrate these same classroom performance problems along with failure to treat students properly and failure to maintain adequate records and plans. However, they were less likely to be removed for such performance problems.

There were no significant correlations between superintendent's perceptions of difficulty in documenting classroom performance problems and the average annual proportion of probationary or tenured teachers who were involuntarily separated for such problems. In retrospect, a measure of perceived difficulty of the task might best be gathered from the principals who are responsible directly for such documentation, rather than the superintendent.

Superintendents were asked about their perceptions of principal's competence in performance counseling, documenting problems, and implementing dismissal procedures. Mean responses indicated that superintendents placed principal competence either at or above standard in these three functions. However, it is noteworthy that they ranked 32 percent of the principals below standard on these skills. There were no significant correlations between perceived performance skill of principals and the average annual proportions of probationary or tenured teachers involuntarily separated for classroom performance.

Superintendents perceived the level of political interference in removing unsuitable teachers by boards of education as lying between "appropriate" or "more than necessary" levels. They perceived interference by professional associations as "more than necessary" and "much too often". The mean level of interference by boards or professional associations was not significantly correlated to the average annual proportion of probationary teachers who were involuntarily separated. Nor was the mean level of interference by professional associations significantly correlated with the average annual proportion of tenured teachers dismissed. A significant negative correlation (−.445) was observed between board interference and the removal of tenured teachers, an observation which deserves further study.

For the organizational variables examined, there were no significant relations between the index of district capacity to attract new teachers (supply) and the average annual proportions of probationary and tenured teachers who were involuntarily separated. Neither was there a significant relationship between a district's student enrollment ranking (demand) and relative numbers of probationary and tenured teachers who were involuntarily dismissed.

There were no significant relationships between a county's rank on local expenditure per pupil and the average annual proportions of probationary and tenured teachers who were involuntarily separated. And, there were no significant relationships between superintendent's perceptions of the cost of teacher dismissal actions and the relative numbers of probationary and tenured teachers who were involuntarily separated.

A smaller stratified, random sub-sample of districts (N=16), was used for deeper investigation. The proportion of formally dismissed and non-renewed teachers who return to teach in the public schools of this state were compared with the proportion of teachers who were induced to resign. There were no significant differences. However, 24 percent of the teachers who were separated did return to teach in other districts within the state.

The planned post hoc analysis revealed that 68.2 percent of the teachers who regained employment after separation either held certificates in an area of high demand relative to

supply (math, science, exceptional education, or foreign language), or were minority teachers, for whom demand relative to supply is high also. The proportion of reemployed teachers in high demand areas was significantly higher than the proportion of reemployed teachers who did not meet the criteria of high demand.

A chi-square analysis indicated that the proportions of informally separated teachers were significantly different for probationary and career teacher. Among the separated probationary teachers, 46 percent were informally separated. Among the tenured teachers who were separated, 91 percent were informally separated.

Of the 85 teachers who were involuntarily separated, 25 were African–American and 60 were white. The differences between proportions were significant in that African–American teachers constituted 17.7 percent of the teacher population subsample, but accounted for 29.4 percent of those separated. Similar significant differences prevailed for gender. Forty-eight of those separated in the subsample were female and 37 were male. While males constituted 19.9 percent of the teacher population in the subsample, they accounted for 43.6 percent of those who were involuntarily separated.

Mean years of teaching experience for formally separated probationary and career teachers were 7.1 and 9.5, respectively. Mean years of teaching experience for informally separated probationary and career teachers were 9.6 and 18.3 respectively. While there were no significant differences in the mean years of teaching experience for formally separated probationary or tenured teachers, differences were significant for informally separated probationary and tenured teachers.

Conclusions and Implications

Few studies have attempted to measure the incidence of involuntary separation among teachers, to develop and explore a theory explaining teacher dismissal, or to assess the post-dismissal employment status of dismissed teachers. Indeed, opportunities to obtain data on teacher dismissal are rare.

Findings from this study corroborate and extend several observations and assertions reported in the administrative literature. Tenure appears to have an important and direct influence on administrative propensity to dismiss tenured teachers. These dismissals are significantly different for male and female as well as African–American and white teachers. Furthermore, a practically significant number of teachers who are induced to resign do return to teach in other classrooms within the state. This raises questions about the role induced exits play in ensuring accountability in the classroom.

This study supports clearly the theoretic importance of employment status in explaining the incidence of teacher dismissal. The interactive, rather than the independent effects of district wealth and the supply of and demand for teachers on involuntary separation deserve additional investigation. Principal perceptions of difficulty in performing dismissal and actual measures of principal competence in teacher evaluation and dismissal should be developed to investigate relations with dismissals. And, university preparation programs might enhance effective teacher dismissal by improving administrative competence in personnel evaluation and documentation.

These findings suggest that gender and race may be appropriate additions to a theoretic model explaining teacher dismissal. More importantly, additional studies to validate and examine the causes of differences in dismissal rates among males and African–Americans demand attention.

From a policy perspective, it is important to monitor the proportion of dismissed and induced exit teachers who return to teach in other classrooms. Studies which examine these return rates by method of and cause for dismissal will yield insight about the efficacy of dismissal strategies and policies intended to ensure educational accountability. Less ambiguous definitions and standards for inadequate performance and incompetence in legislation are statutory reforms which might influence administrative propensity to dismiss unsuitable teachers.

Because employment status does influence teacher dismissal, policy makers should resist efforts to reduce the discretion presently available for the non-renewal of probationary teachers. In addition, school board members should be appropriately trained for their respective roles in the dismissal process.

Finally, school boards and administrators must take seriously and confidently their obligations to remove unsuitable teachers. In spite of the exhaustive procedural requirements of tenure, professional review panels and the courts consistently uphold well-documented, justifiable teacher dismissal actions (Bridges and Gumport 1984). Few administrative tasks are more critical for the continuous improvement of student performance in public schools than insuring the employment of effective teaching personnel.

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Unless leadership candidates develop different normative frameworks on which they can ground their decisions, how can we expect schools to be different?

PRINCIPAL CONSTRUCTION OF NORMATIVE FRAMEWORKS: Improving Schooling for Students

John L. Keedy*, David S. Seeley and Paul F. Bitting

Leadership Candidate Construction of Normative Frameworks: Improving Schooling for Students

> Leadership . . . suggests that what an actor does is intentional, emphasizes the subjective meanings attached to situations by the individual actor, and requires that behavior be examined within the context of the actor's culturally defined situation and network of social relationships. . . . The actor's definition of a situation is a reflection of the situation's perceived characteristics and a reflection of the actor's intentions defined a priori by values and beliefs. (Sergiovanni, 1992, p. 307)

Sergiovanni provides a subjectivist perspective in viewing principal leadership as administrative actions grounded within frameworks of values, belief systems, and cultural norm systems. Actions taken depend on how principals construct their realities. Two principals could begin tenures in the same school and make remarkably different decisions because their conceptual frameworks differ: "We see the world not as *it is*, but as *we are*—or, as we are conditioned to see it" (Covey, 1989, p. 28, original emphases). So good leaders lead out from their own ideas rather than having ideas imposed upon them either by superordinates or through prescriptive behaviors based on organizational theory and applied research.

In this article we use the subjectivist perspective in contending that professors can help leadership candidates develop their own "normative frameworks" (personal constructions of values, beliefs, and commitments about good teaching, learning, and administration). First, we define normative frameworks and describe their components. Second, we provide rationale for these normative frameworks both within the nature of principals' work and major policy shifts occurring in public schooling. Third, we describe two teaching strategies professors can use to help leadership candidates construct their own frameworks. This article is written for principals, teachers considering the principalship as a career option, and professors in education administration.

***John L. Keedy, Department of Educational Leadership, North Carolina State University.**

Normative Frameworks for Today's Principals

In defining normative frameworks we provide their: a) purpose, b) development, and c) normative orientation.

The Purpose of Normative Frameworks

The outstanding principals in our nation's schools, like other leaders, do not make decisions merely by mere accident or only "according to the situation". Good principals, instead, make *consistent and predictable* decisions grounded in how they make sense of their work and how they define relationships with parents, teachers, students, and central office administrators (Greenfield, 1987; Sergiovanni, 1991). Normative frameworks provide leaders with across-situation rationale for daily administrative decisions and help leaders motivate others in formulating new policy thinking and changing practice.

The Development of Normative Frameworks

Normative frameworks are the bedrock upon which effective principals analyze circumstances surrounding situations and "frame" informally testable assumptions about their practice. Principals then reflect on the consequences of their actions and continually re-adjust their frameworks with what works for them (see Argyris & Schon, 1974, for the interactive relationship among circumstances, assumptions, and consequences). In Figure 1, we provide a flow chart of the "personal theory-building" process.

A principal committed to empowering teachers decides to implement block scheduling for the next academic year. What *decisions* will he make in the implementation process? He may consider sharing the decisionmaking with teachers *as a possible action* among several others. He then *compares the circumstances* surrounding this particular situation (e.g., available time, nature of decision, resources, faculty expertise) with other circumstances under which sharing decisionmaking with teachers worked: Can he make the same assumptions about how certain circumstances are linked to actions and consequences? Would the teachers, for instance, be as intrinsically committed to this problem as to previous problems? What are the *consequences of the decision*, once made? Can he *adjust his normative framework* by generalizing across various situations in which sharing decisionmaking with teachers works and/or does not work?

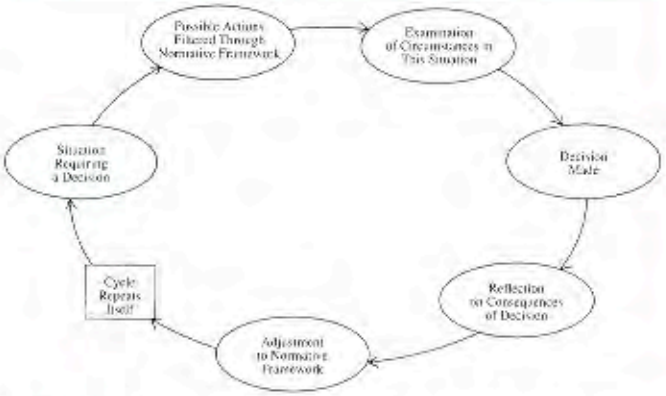

Figure 1. Flow charts on steps used in developing normative frameworks.

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The Normative Orientation of These Frameworks

These frameworks are "normative" because they are based on promoting the needs of their clients, the students, and therefore comprise the highest standards of the profession (see Beck & Murphy, 1994; Starratt, 1991). The values implicit in these frameworks function as standards of reference in making judgments about whether a current state is satisfactory (Greenfield, 1987). Argyris and Schon, (1974, p. 6) buttress the normative orientation in education administration: "From the subjective view, my theory of action is *normative* for me; that is, it states what I ought to do if I wish to achieve certain results [emphasis added]."

We now describe the components of normative frameworks: a) personal values, b) beliefs about professional practice and schooling, and c) internalized commitments.

Personal Values

As pointed out by Katz and Kahn (1966), values and beliefs in general provide elaborate and generalized justification for appropriate behavior and for activities and functions of an organization. Specific to normative frameworks in school leadership, however, *values* emphasize highly desirable personal attributes since schools are responsible, civic institutions. Such values consist of: 1) deeply embedded personal attributes (e.g., honesty, integrity, caring, responsibility, perseverance, initiative); 2) desires (e.g., career advancement, power, money, respect); and 3) political and social policy orientation (e.g., equity, democracy, competition, professionalism).

Beliefs

Beliefs within normative frameworks include tenets and conceptualizations about redefining schools as equitable, caring, and student-centered institutions. Examples include: a) education and schooling (e.g., the need for higher academic standards, the concept of "success for all," homogeneous or heterogeneous grouping or tracking, whole language or basal reading methods, the roles of teachers as professionals, and students as prime "worker"); b) management and leadership (e.g., Deming's theories about quality control, democratic vs. authoritarian management, bureaucratic vs. partnership approaches); and c) human motivation (e.g., negative vs. positive reinforcement, Maslow's hierarchy of values, Kolberg's moral reasoning, teamwork, and shared, institutional mission).

Commitments

Commitments occur when principals hold values and beliefs so strongly that they become predisposed toward taking certain actions as the right things to do in improving the life chances of students. Commitments function as internalized values and beliefs. Examples may be decisions to: 1) long range vision (e.g., school restructuring, personal career plans), and 2) short range plans (e.g., rescheduling use of the lunch room). Commitments often are based on applied research: class size (Finn & Achilles, 1990), cooperative learning (Slavin, 1987), outcomes-based learning (Spady, 1988), and principals' instructional leadership (Heck, 1992). Applied research may act as "triggers" in convincing principals that, given their values and beliefs, they become committed to taking particular actions.

In sum, normative frameworks are bundles of beliefs, values, and commitments providing 1) bases for consistent, predictable actions, 2) testable theories of practice, and 3) the highest standards of professional practice. Principals using well-formed normative frameworks lead out from ideas and therefore are not dependent on mandates from central office administrators[1]. Good principals do not make decisions within ideological vacuums. As Foster (1986, p. 15) observes, leadership lies not in the position given, but in the position taken, and what administrators choose to do.

Rationale for Normative Frameworks: The Nature of Principals' Work and Major Policy Shifts in U.S. Schooling

Given the criticism that traditional education administration programs do not relate to the "real world of practice" (see Griffiths, Stout, & Forsyth, 1988), the development of normative frameworks can help principals make sense of the unpredictable and fragmented world of administration. Principals usually spend their time in two or three-minute face-to-face interactions with teachers, parents, students, central office administrators, state and local education agency personnel, and community leaders (see Martin & Willower, 1982). Invariably, different people are going to want contradictory things from principals. In a student discipline situation, the teacher wants backing from the principal; the student and parent may want the teacher reprimanded. Since their work is characterized as unpredictable, ambiguous, and hectic (Crowson & Porter–Gehrie, 1981; Peterson, 1977–78), principals need normative frameworks to make sound decisions with quickness and conviction.

Second, given the decentralization policy shift in U.S. schooling, such frameworks help principals conceptualize clear, compelling school visions for systemic reform as teachers, principals, and parents are empowered to make more decisions in the best interests of their students. Considerable power in many states is devolving to school sites away from the traditional middle management levels of local boards and central offices (see Keedy, 1994). School reform observers such as Pauline Gough (*Kappan editor*) are convincing some policymakers that genuine school restructuring (where students are engaged persistently in thoughtful, classroom tasks) can only occur on a school-by-school basis by each school's administrators, teachers, and parents. State education agencies can set broad, enabling policies. Central office administrators can create the conditions district-wide conducive to change and improvement but they cannot engineer improvements "down to" schools.

As building leaders, principals will need mental blueprints as bases for group discussion with teachers, parents, community leaders about how to redesign schools to meet the learning needs of their students. Such blueprints could include integration of school services with preschool, social, legal, and health services. If principals lack frameworks as consistent bases for their decisions, how can their actions taken represent compelling, persuasive stances to those whom they claim to lead? (See Strike, 1993, for a normative, consensus-building model in which all articulate community members use democratic principles for governing local schools.)

In sum, the nature of principals' work (constant, unpredictable interaction with teachers, students, parents) and the decentralization in public school policy (creating the need for principals to create their own ideas for good schools) help make a case for leadership development of normative frameworks in principal preparation programs. We turn to two teaching strategies useful in the candidate construction of these frameworks.

Professor Facilitation of Leadership Candidate Construction of Normative Frameworks

Professors cannot teach normative frameworks, but they can create intellectual and moral university classroom conditions in which leadership candidates counterpoise and synthesize their beliefs, values, and commitments with what can work in schools. Developed frameworks become "filters" through which organization theory and applied research are used to help candidates make sense of their predicaments and provide rationale for future actions. Theory and research inform, but do not prescribe actions (see Sergiovanni, 1991).

Below we describe two case methods useful in helping candidates develop normative frameworks. In the first case method we distinguish between values and attitudes; in the second, we show how organizational theory and research can help candidates construct their own frameworks.

Value Building in Normative Frameworks

Helping leadership candidates recognize their important values deserves particular attention (Goodlad, 1990; Hodgkinson, 1991; Sergiovanni, 1991). Values differ from attitudes. *Attitudes* can become values only when examined critically in the context of conflict in decisionmaking. *Values* emerge from attitudes when principals evaluate consequences of decisions and differentiate "valuable" consequences from unimportant or even negative consequences.

Many leadership candidates begin academic programs convinced that they should always be loyal to superiors, honest, decisive, and self-reliant. All will be right in education as long as administrators do the right things. Such an attitude is likely to preclude any conscious attempts to confront candidates with choices between and among competing standards of goodness. Yet these very choices are a real part of administrative practice. In short, values are end-products of critically examined attitudes when administrators must choose between competing standards of goodness.

Dr. Jones has a traditional attitude (i.e., do what she is told to do) regarding loyalty to her superiors. Her opportunity for value-building occurs when her attitude of loyalty to superiors conflicts with her attitude toward integrity of academic programs. When Jones is asked to implement a school board policy which she believes violates the well-being of a successful academic program in her school, should she be loyal to her superiors or fight to protect her program? Dr. Jones is confronted with a moral dilemma in choosing between two competing standards of goodness.

The dilemma remains framed in the form of attitudes until examined critically in terms of consequences of one's choice. There is a difference between saying that "one should always maintain the integrity of one's academic programs as one sees it" on the one hand, and saying "if one attempts to maintain program integrity against the wishes of one's superiors, then those superiors will be antagonized." The first statement is attitudinal, and is neither true nor false (i.e., not testable). The second statement is propositional in form, and it is either true or false, and therefore testable. Jones can test the second statement by researching similar principal-central office conflict within her district. The first statement suggests that administrators act irrespective of consequences, while the second statement suggests that they consider the consequences.

When Dr. Jones then decides to maintain the integrity of her program rather than maintain loyalty to her superiors, how is her decision different from one made without prediction and verification of consequences? The chief difference is that she sees more clearly what she stands for and what she is likely to achieve. She can hardly know what she wants without knowing the consequences of maintaining integrity rather than loyalty.

An *attitude* is an unexamined and, perhaps, inculcated preference. *Valuing* stands for an examined and anticipated preference in the context of competing standards of goodness (see Dewey, 1908/1960).

Use of this case method exemplifies our normative framework model presented in Figure 1 in two ways. First, possible consequences are tested out as ways of valuing possible consequences of actions; in effect, a principal is "filtering through one's normative framework" actions and consequences he values. Second, this case method can be used to help candidates become aware of their values in schooling (as opposed to mere attitudes); values, of course, comprise a component of normative frameworks.

Developing Frameworks Through Organizational Theory

In this teaching strategy, leadership candidates construct normative frameworks developed incrementally by integrating 1) organization theory and research, 2) leadership candidate beliefs about teaching and learning, values and commitments; and 3) professional and political demands (workplace context).

The professor first presents an organization theory (e.g., socio-political, socio-technical, systemic school reform). Second, paired-leadership candidates develop written case formats in which elements of the presented theory are used to analyze a pre-assigned case, and then teach the class. Third, leadership candidates formulate: 1) what they each would do to address the dilemma presented at the end of the case, and 2) the bases on which they would make such a decision. (The professor prepares the first case analysis and teaches the class to model this case method cycle.)

One case involves leadership candidates assuming roles (e.g., school board member, county commissioner, teacher association representative, superintendent), and then analyzing the role play (a scenario about school closings) as to which players can manipulate power according to their own group needs (a tenet of socio-political theory). The professor models the grounding of decisions on his normative framework and calls on leadership candidates to do the same.

As the leadership candidates become more comfortable with the case method cycle, they begin critiquing their peers' motives, intentions, and assumptions as bases for their intended actions. Leadership candidates gradually realize that their peers: 1) increasingly articulate different actions taken, and 2) provide emerging normative frameworks as bases for their actions. Candidates then use notebooks to record their reactions to a case analysis and note new additions to their normative frameworks. At the beginning of the next class (before introduction of a new organization theory), students meet in groups to share their writings. In this way, the process of developing normative frameworks is incremental (from class to class) and peer-critiqued.

Some leadership candidates have difficulty in conceptualizing their normative frameworks in their final papers. They expect a handout on which the "requirements" for the normative frameworks are specified. Of course, no such document exists, since normative frameworks require candidate reflective analysis of personal beliefs and values.

Summary and Suggestions for Improving University Preparation Programs

Our first purpose was to define normative frameworks: reasonably coherent mindsets of internalized values, beliefs, and commitments providing consistency for actions taken across similar situations. Our second purpose was to provide rationale for why today's principals need to develop normative frameworks. Since principal work is unpredictable, fragmented, and fast-paced, these administrators can use normative frameworks as consistent bases for on-the-spot decision making. Also, given the policy shift toward decentralization and school-site autonomy, unless principals can internalize and act on a set of beliefs, values, and commitments consistent with these policy shifts, how can they lead schools in this restructuring age? Finally, we suggested two ways that professors could facilitate leadership candidate construction of normative frameworks.

We end this article with three suggestions designed to make university environments more "student-centered" and more supportive of leadership candidate normative framework construction. Such a change will not be easy. Leadership candidates often expect professors to tell them what they need to do to become good principals. "Cook-book formulas," however, do not relate to the real world of the principalship: every situation represents a new configuration of players (e.g., with teachers, students, parents), and circumstances. The teaching of

normative frameworks must occur within a supportive environment in which leadership candidates become the meaning-makers through application to real problems in schools.

Problem-Based Learning (PBL)

In PBL professors and students together identify an administrative problem (e.g., implementing special education mainstreaming in an elementary school). The professor provides the learning materials, such as special education law and relevant court cases, background reading, descriptions of student learning problems and the school and community. The professor also helps organize the learning groups and sets up the timelines (see Tanner, Keedy, & Galis [in press]). Candidates assign themselves roles, interview various principals, students, parents for more contextual information, and produce their own strategies for dealing with the problem. (See Bridges & Hallinger [1992] for more suggestions.) Team members ultimately will differ among themselves as to what they should do. Identification of such differences, of course, would be ideal for incorporation into individual development of normative frameworks.

Cognitive Apprenticeships

Candidates can learn from practicing principals why and how they decide to make certain decisions. During well-planned internships with articulate principals, candidates can begin developing their own frameworks by contrasting their principals' reasoning with those of their own. Would they have made similar decisions under similar circumstances? (See Prestine & LeGrand, 1991).

Action Research

Candidates as action researchers identify problems of practice in their workplaces and then research various ways to improve those practices (McCutcheon & Jung, 1991). Professors can provide candidates technical assistance, and at the same time learn about how the practice of the principalship can be improved. The keys here are that: a) candidates, not professors, set the research agenda, and b) research agendas should be grounded within leadership candidate normative frameworks.

These three suggestions focus on the leadership candidate as meaning-maker of constructing normative frameworks, with the professor as facilitator of the learning process. For if we expect schools to be different from the "25 kids in a box" factory model, then we need leadership candidates building their own explanations about how good schools work, and negotiating these explanations with teachers, parents, students, and community leaders. Unless leadership candidates develop different normative frameworks on which they can ground their decisions, how can we expect schools to be different?

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Author Notes

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Endnotes

1. Effective principals, in fact, may be far less dependent on their central offices their "typical" principals. Keedy (1992) found that four highly successful high school principals rarely mentioned the support of central office administrators during the extensive interviews. Their references to central office administrators were as likely to be negative as positive. Logically, the less dependent principals are on their superiors' support and goodwill, the more they can lead schools out of their own frameworks as bases for decisions.

The eternal optimist may be the one who believes in a genuine lasting relationship between two academic departments at different universities.

COLLABORATIVE DOCTORAL PROGRAMS IN EDUCATIONAL ADMINISTRATION: A Status Report

Jack McKay and Marilyn Grady

Introduction

The eternal optimist may be the one who believes in a genuine lasting relationship between two academic departments at different universities. The challenges presented by skeptics, strawmen, and academic elitists often overwhelm the belief in collaboration. Traditional beliefs run counter to the spirit and benefits of collaboration in academia. For example, Johnson (1988) claims that the most pervasive reason why collaborative arrangements do not solve many problems in higher education is that competition is not only condoned, but rewarded and encouraged.

The first purpose of this paper is to identify the problems and opportunities of collaborative programs in higher education. The second purpose is to summarize, nationally, the status of collaborative doctoral programs in educational administration. The third purpose is to describe a collaborative doctoral program between two departments of educational administration.

A collaborative doctoral program is one that involves faculty from two or more autonomous departments on different campuses mutually providing access to the same doctoral degree.

Background

Universities foster competitiveness and learn to live with ruthless competition for faculty members, students, and federal, state, and private dollars. One reason why collaboration in higher education has not flourished is that it runs counter to the grain of institutional autonomy.

Autonomy is the hallmark of university life, from the faculty member to the institutional level. Often, those who believe in inter-university collaboration are seen as ones who are undermining institutional and academic independence. However, Grupe (1972) claimed that collaboration strengthens autonomy by avoiding the great threat of co-optation.

Besides the possible loss of autonomy, Kreplin and Bolce (1973) and Martin (1981) list the following deterrents to collaboration: (a) the fear of lost resources, (b) prohibitive decision-making procedures, (c) support of a weak program, (d) lack of meaningful rewards for faculty, (e) undue emphasis on reducing costs, and (f) mismatching of membership and mission.

Finally, Johnson (1988) mentions the "strawmen" of collaborative intercollegiate activities. Inertia is one strawman. Why change an advanced degree program if it has been successful in the past? The second strawman is tokenism. Collaboration is much easier when dealing with administrative than with academic activities. The third strawman is turf. Turf may be geographical areas of a state or a claim to have a responsibility to provide a certain program to a group of students.

Interest in Collaboration

The financial problems facing higher education have compelled college and university administrators and faculty to search for new solutions. The desire to expand educational opportunity while enriching the meaning of higher learning experiences for students has also led many educators to fix on collaboration as a possible solution.

Factors of Successful Intercollegiate Collaboratives

Mission

Factors, other than merely wanting to collaborate, are critical to sustaining a relationship between two organizations. Schlechty and Whitford's (1988) summary of school-university collaboration suggests a necessary state beyond recognition in a symbiotic partnership. Something resembling a new, organic, relationship combining features of the other organisms (institutions) must result from the collaboration. In almost every successful collaborative venture there has been a search for a mission specific enough to bind participants in a common enterprise, but general enough to allow for individuality and creativity. The departments, as the units of change, provide the settings where the potential for contributions from all actors, especially in the decision-making process, are the critical part of a collaborative venture.

Trust

The tensions that emerge early in collaborative relationships are more a question of trust than of solving tough problems of mutual interest. Lack of initial trust stems in part from the unfamiliar relationships and unknown individual and group goals. What is to be gained? What is to be given up? What turf, if any, will be lost or gained? Such questions do not always remain below the surface. The way these questions sometimes manifest themselves does not immediately contribute to trust (Sirotnik and Goodlad 1988).

Institutional Integrity

Significant human progress can be traced repeatedly to the interpenetrating of two cultures, one with the other. If one culture completely loses its identity, the productive tension between interacting cultures is lost (McNeill, 1986). There is importance in maintaining differences among institutions that join in a collaborative effort. There is little gained if the characteristics of one mirrors those of the other. The differences must be appreciated by the partners even though those differences produce tensions.

The classic problems of affecting change and the unique manifestations of those problems are the primary purposes of this paper. The challenge is getting beyond simply conducting old programs better. It is taking advantage of the opportunities to create a more efficient and effective program for school leaders.

Jack McKay, University of Nebraska at Omaha.

Marilyn Grady, University of Nebraska–Lincoln.

History of Collaboration in Higher Education

During times of relatively high student enrollment, collaboration tends to grow. Two primary doctrines of collaboration between institutions were developed by Patterson (1974). The first doctrine claims that the academic program can be substantially enriched and add to the diversity of ideas. In practice, however, when it comes to academic matters, the faculty, no matter how radical they may be in social and political protest, turn out to be conservative in protecting what they regard as their vested institutional interests. Institutional territoriality tends to prevail, making those concerned appear more willing to adhere to what President John Silber of Boston University calls the "principle of redundancy" than to the idea of planned complementarity (Patterson, 1974, p. 4).

The second doctrine relates to economic gains. Economic gains through collaboration turn out to be a matter of shadow rather than substance, although the doctrine of economy seems to have self-evident validity to many observers. The Carnegie Commission notes that a good many of the consortia are paper arrangements with little relationship to improved utilization of resources. Patterson (1974) concluded that there was serious resistance in colleges and universities to any departure from the traditional goal of independent development of each institution.

In summary, collaborative programs in higher education have a mixed record. Preservation of autonomy, bureaucracy, and strawmen contributes to skepticism. The characteristics of successful collaboratives have a mission, maintain flexibility, and are sustained because of something more than a mere desire to work together.

Research questions

On the basis of the review of related literature, the following questions emerged:

1. What were the perceived benefits and issues that initiated the proposed collaborative degree program?
2. Who were the initiators of the collaborative degree programs?
3. What were the disruptive aspects of the planning for the collaborative doctoral programs?
4. How did the change process impact the participants?
5. What was the planning process?

Methodology

Based on the literature related to change and collaborative programs in higher education, the authors conducted two surveys: one on a national scale and one of two departments involved in planning a collaborative doctoral degree program in educational administration.

The first study was a national survey of existing collaborative programs at universities that offer doctoral programs in educational administration. The study of collaborative doctoral degree programs was conducted by telephone interviews and follow-up mailings. The institutions selected for the telephone interviews and mailing were identified using the following criteria:

(1) Doctoral degree programs in educational administration
(2) Listed in the *1991–92 Educational Administration Directory*, 10th Edition, by H. Edward Lilley, West Virginia University.
(3) Currently or had been involved in planning a collaborative doctoral degree program.

The demographic characteristics of the educational administration departments were obtained from the Educational Administration Directory, 10th Edition. The national survey of institutions was conducted during the spring and summer of 1992.

The second study was a survey of two departments involved in planning a collaborative doctoral degree program in educational administration. Information was obtained through interviews using a 16 item questionnaire.

Findings: The National Study

Background

Of the 336 departments of educational administration listed in Lilley's Directory, there are 166 departments that offer a doctoral degree program in educational administration. The average size of doctoral degree granting departments is 7.38 full-time equivalent faculty. Departments range in size from one to 18 faculty members. The male–female ratio is approximately 4.1 to 1. (See Table 1).

The 166 doctoral granting departments were contacted about their involvement in collaborative doctoral programs. Twenty-five collaborative doctoral programs were identified. Interviews were conducted with chairs or faculty members of 14 collaborative doctoral programs that either existed or were at one time proposed for formal adoption. Thirteen of the 14 collaborative doctoral programs reviewed were between two or more public universities. One proposed collaborative degree program was between a public and a private university.

Representatives from each of the departments of educational administration were asked a series of questions about the collaborative programs. The first research question was to identify the perceived benefits and issues that initiated the proposed collaborative degree program.

Table 1. Characteristics of Departments of Educational Administration Offering the Doctoral Degrees

Departments with Educational Administration Programs	Departments Ed.D. or Ph.D. Programs	Full Professors	Associate or Assistant Professors	Male/ Female	Range in Department Size
Departments with Doctoral Programs	166 Range 1 to 18	604	621	984/241	
Average Range		3.64	3.74	4.08/1	1 to 18
Total Department	7.38				

Source: 1991–92 *Educational Administration Directory*, 10th Edition, by H. Edward Lilley, West Virginia University.

Benefits of the Collaborative Doctorate

Proximity to the doctoral program, particularly for students from underrepresented groups, was the primary motive for developing a collaborative degree program. In one-half of the collaborative programs, there was no doctoral program in school administration in the area before the start of the collaborative program.

Collegiality was most often mentioned as the primary benefit for faculty. Other benefits of collaboration included opportunities to be involved in reviewing and revising programs, having a wider source of ideas, and working on collaborative research projects. Faculty from established doctoral programs indicated that they had more highly qualified students making application for the program because of the collaboration.

Initiators of the Collaborative Program

The second research question related to the initiators of the collaborative degree program. Of the 14 collaboratives, eight were initiated by department faculty and chairs who already had the doctorate. Two faculty members indicated that the collaborative activity was mandated by the board of regents or the state's coordinating commission for higher education.

Disruptive Aspects

The third research question related to the planning for the collaborative doctoral program. In ten collaborative programs, faculty and chairs indicated that there were no major disruptive aspects to the collaborative degree program. This point was emphasized by representatives of departments that had the original doctoral programs. Only three of the 14 programs reviewed had faculty comment about such things as increased advising, inconvenience of teaching on the other campus, or the loss of faculty and departmental autonomy.

Change Process

The fourth research question related to the change process and impact on the participants. Of the 14 collaborative programs studied, five underwent major changes in the degree program. Changes in curriculum were undertaken in two of the 14 programs. Five departments that had established doctorate programs indicated that the new collaborative degree program created a source of new students, nurtured stronger bonds between faculty of the two departments, and introduced ideas for new courses and program content.

Planning Process

The fifth research question related to the approval process. The collaborative doctoral degree programs reviewed were between two and 18 years in existence. Twelve of the 14 collaborative degree programs were formally approved by a state post-secondary commission. The state post-secondary commission and the regional accreditation association were the last organizations in a series of approval steps that involved campus and university-level faculty committees, administrators, and governing boards on both campuses. The approval process took between one and three years of planning before final approval.

Summary

Balancing the successes of the 14 collaborative doctoral programs in educational administration are the reports of the unsuccessful attempts and lost opportunities. Interviews and survey responses indicated that an unclear mission, mistrust, and the lack of a genuine integration of existing program elements into the new collaborative doctoral program all contributed to the demise of good intentions.

An analysis of the responses from faculty in unsuccessful collaborative efforts demonstrated a lack of balance between the two or more departments of such intangibles as political influence and motivation to do scholarly research and writing. Even though there might have been agreement on the mission being more than mere collaboration, there was the absence of genuine collegiality between the two groups of faculty.

An Example of Collaboration

Background

As an example of collaboration between departments of educational administration, a case study of two departments currently involved in sustaining a collaborative doctoral program follows. Both are part of a state university system. One department is part of a land grant university of 23,000 students. The nine member department of educational administration at the land grant university has a reputation of teaching, scholarship, and service that was established over a period of 50 years.

The other department of educational administration, with six members, is part of an urban university of 18,000 students. For the past 15 years, some students in doctoral programs at the land grant institution take graduate level courses and have faculty at the urban university chair or serve on their dissertation committees.

Because of an increase in interest by area public school personnel, civic leaders, and university faculty, the idea of students being able to obtain a doctorate by attending the urban campus became a priority for university administrators and faculty in 1989. In early 1990, university administrators provided guidelines for faculty to follow in developing a doctoral-level collaborative program in school leadership between the two universities. The collaborative degree proposal developed jointly the faculty of the two departments was submitted for faculty, administration, regents' and the state's postsecondary commission approval in October 1992.

To understand the development of the collaborative doctoral degree program, interviews were held with faculty directly involved in the planning process. Following is a summary of the findings of the faculty interviews.

Disruptive Aspects

Eight of the 15 faculty members from both campuses felt that the land grant university would not benefit from involvement in the collaborative degree program because of the possible loss of students, the possible increase in dissertation advising responsibilities, the loss of research time, and the loss of departmental autonomy. These responses were consistent with the literature (Johnson, 1988; Kreplin and Bolce, 1973; and Martin, 1981) regarding "turf, trust, and tradition."

Initiators of the Collaborative Degree

Twelve of the 15 faculty members on both campuses believed that the collaborative doctoral program would primarily benefit students in the metropolitan area of the state. All 15 faculty members indicated that the status of the department on the urban campus would benefit from approval of the collaborative degree proposal. All faculty members felt that students would benefit by being exposed to a greater number of faculty members with differing views. Ten faculty members indicated that students and faculty would also benefit by associating periodically with fellow students and faculty members from the other campus.

Interestingly, during the time of major financial cuts in higher education, some faculty members felt that the collaborative degree program would protect the two departments from

future reductions of faculty or support services. As one faculty member remarked, "The biggest gain may be the continued support of the department's budget and faculty lines."

Planning Process

As in most major changes, certain individuals play key roles in the eventual acceptance of a new proposal. Faculty members indicated that members of the board of regents, the president's staff, the chancellors, and deans, and the chair of the department with the established doctoral program were the most influential in developing a tone for collaborating planning of the proposed program.

From the perspective of the chairs, reflecting back on the planning process, the most crucial factor was the willingness of the faculty to work together. Other significant reasons were (a) faculty turnover resulting in a "critical mass" of new faculty in both departments, (b) reorganization of departmental structure at the land grant institution, (c) the decision to expand an existing doctoral program from one to two sites instead of creating a new program, and (d) labeling the proposal as a "joint doctoral program" all contributed to a successful start.

Summary and Conclusions

The literature, results of the national study, and interviews with faculty indicate that a collaborative relationship between two academic units in higher education, is at best, a fragile relationship. When autonomy and independence are highly valued, the odds of a sustained relationship are constantly challenged.

Benefits of the Collaborative Program

Providing a doctoral program within proximity to students was the primary factor in approving collaborative doctoral degree programs in educational administration. Tangential to improved student access to a doctoral degree program were benefits such a collaborative research, expanded source of qualified applicants, and greater utilization of faculty expertise. The benefits of collaboration and economy, outlined by Patterson, were outweighed by a commitment by faculty to make the collaborative work. Results from the national study indicate that out of the 14 programs reviewed, only three had been substantially changed because of being involved in the collaborative relationship. This small number supports the premise that genuine collaboration is sustained when change takes place in both departments.

Initiators of the Collaborative Program

For a collaborative degree program, at least in educational administration to be successful, it had to have the overt support of the regents and administrators in the beginning stages of development. Even with the overt administrative and regent level support, the major factor in sustaining the collaborative nature of the program was the relatively high level of trust and collegiality between the groups of faculty.

External forces were a major contributor to the initial push for the two faculty groups to cooperate, but the sustained level of trust among the faculty was crucial to a lasting program. In both the national and current examples, the need to offer the doctoral program where the students lived and worked was the primary factor for the change in how and where the collaborative doctoral degree would be offered.

Disruptive Aspects

Faculty members interviewed in both the national and current examples indicate that there was apprehension about increased advising and travel, along with a loss of departmental autonomy.

Change Process

In the national and current examples, there was a consistent theme that both departments had something to gain by working together. The literature indicates that there must be something to be gained by participants before change can be sustained (Schlechty and Whitford 1988). In this paper, one could speculate that the department with the established doctoral program needed access to more students. The department without the doctorate wants status and credibility. This was clearer when collaborative degree programs were between "land grant" universities in less populated regions and "urban" universities in major population centers.

There were a number of factors that were anticipated to be major roadblocks: fear of sharing governance, suspicion of faculty competence and program quality, less time available for research and writing, and an imbalance of political influence and status. These factors have not developed.

Recommendations

The literature, the findings of a national survey of collaborative programs in educational administration, and a report of a current example of the development of a collaborative degree program result in five recommendations. There needs to be:

1. A goal, mission, or purpose for the collaboration that is greater than just a willingness to collaborate.
2. A fundamental change in the programs of both departments that makes the collaborative doctoral degree better than the previously existing doctoral program.
3. Support for the collaborative degree program during the approval process from administrators and governing boards.
4. Faculty willing to devote the time and effort to become directly involved in the proposal and approval processes.
5. Openness and honesty in dealing with the potentially disruptive or negative factors involved in changing an established doctoral program.
6. Discussion about the implications for individual and departmental independence and autonomy.

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This study was undertaken to determine the impact of rule-making as one of the components of leadership.

Principals' Perceptions of the Rule Making Aspects of Leadership in Hawaii

John A. Thompson and Donald R. Nugent

The perceptions of principals about how district (area) superintendents carry out their rule making and enforcement responsibilities as a part of their perceived leadership functions in a large, highly bureaucratic, statewide school district is the focus of this study.

The Hawaii Department of Education (DOE) is a unique situs for a study of this type since both its organization (the single statewide system) and its culture (a highly centralized top-down governance and administration system) have the effect of controlling for certain factors which may tend to affect the outcomes of such studies in other school districts. For example, while there is only one district, the board of education has created seven quasi-autonomous area districts. Each of the districts has an appointed superintendent who reports to the Superintendent of Schools and in turn the principals, who are appointed by the board of education, report to the district superintendent. In an organizational sense these district superintendents are expected to exhibit leadership in providing superior educational outcomes while at the same time acting as the administrative officer who has the responsibility of operationalizing the rules, regulations and programs that are created by the state level bureaucracy and the board of education. Consequently, they have a good deal of latitude in some matters and very little in others.

All of the seven district superintendents who are appointive officers come from the ranks of the DOE administrators and were previously teachers in the system. Tenure in their current office has a range from one to nine years and the median length of service is five.

John A. Thompson is Professor of Educational Administration at the University of Hawaii.

Donald R. Nugent is Assistant Superintendent, Office of Personnel Services, Hawaii State Department of Education, Honolulu, Hawaii.

The principals in the DOE, a sample of whom provided data for this study, have a similar profile. That is, the overwhelmingly majority, perhaps as high as 85 percent, are clearly place bound. That is, they have spent all, or nearly all, of their professional careers in the Hawaii DOE.

There are important aspects of this study for a number of reasons. First, it is clear that both the superintendents and the principals have been acculturated into the same professional and organizational culture. That is, they have served in a very centralized system with a strong bureaucratic orientation: a system where all of the finance is appropriated directly by a state legislature from non-property tax sources and a proclivity to micro-manage the schools through the use of legislative appropriations. Their titular superiors are a statewide elected board of education which has no constitutional franchise to raise revenue as all of the funds are appropriated by the legislature. Nonetheless, they have authority to appoint, and at least in theory, to remove the superintendents and principals.

There are at least two other players that have an impact on the system and its culture. One is the statewide education bureaucracy to whom the funds appropriated by the legislature are entrusted and who oversee the day-to-day operations of the system of 245 schools. It is headed by a superintendent of schools and four assistant superintendents who have recommending authority for the employment of both district superintendents and the principals. The other participant is a fairly strong union which includes the principals and many of the central office personnel. The union has by statute (H.R.S. Chap 89) the right to bargain for and represent all of the principals in this study. Through approximately 20 years of bargaining, the union has put in place a series of work rules which tend to insulate the principals from the vicissitudes of both the bureaucracy and the board of education. In fact, during the last two decades only three principals have been demoted or discharged.

While there are major differences among the school communities throughout the state, they have not been major players in the relations which govern the rule administrative aspects of this study. The plethora of rules, regulations, statutes, union agreements, etc., have acted to neutralize the community as far as impact on the matters involved in this study. This condition may undergo radical change in future years as site-based management, currently in its infancy in Hawaii, comes a more potent management force.

A second factor, although much less important, which has tended to create a certain uniformity to the administrative population in Hawaii is the fact that all of the formal preparation for becoming a school administrator has been delivered by a single state university which has had a very stable faculty over the past 20 years. Thus, while concepts taught have, of course, changed, the general model has been quite enduring, and nearly all of the current administrators have been prepared through that mode.

A third, and quite important factor, has been the type and scope of the staff development for administrators. In the single statewide, centralized school district, staff development has tended to be uniform in content and delivered on a statewide basis. The state bureaucracy has generally been the organizing agency for this training and as such has been able to maintain a uniform tone and content to these activities. Thus, the current district superintendents and principals have all (or nearly all) participated in the same developmental activities at approximately the same time and conditions.

These naturalistic controls tend to make this study unique. Problems such as different district organization, financial resources, school cultures, school board regulations and philosophies, and union work rules that have plagued researchers in other jurisdictions are fairly well controlled in

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study. Likewise, the aspect of training both formal, e.g., university, and the district staff development, have tended to be uniform and have reduced the variance which could certainly be a confounding factor in a less homogeneous setting. In summary, Hawaii may be the best laboratory setting in the United States for administrative studies of this type.

Based upon the natural controls stated above, this study attempts to analyze the following questions:

1. Are there differences in the perceptions of the sample of principals about the rule making aspects of leadership among the seven district superintendents in the DOE?
2. If there are systematic differences, who differs from whom among the districts?
3. Are there significant differences in the perceptions of the leadership skills of superintendents among the districts, and if so, who differs?
4. Given the strong union of school level administrators, is there a difference in militancy among districts, and if so, does it play a part in the perceptions of the rule making or leadership aspects of the superintendent?
5. Can a proportion of the variance in scores on a leadership instrument be explained by variables such as rule administration, militancy and/or a set of personal and demographic variables?

Review of Literature

Alvin Gouldner (1954), using Max Weber's theory of bureaucracy as a basis for a study, looked very thoroughly at the method by which rules are enforced or administered by management in a bureaucratic organization in his book, *Patterns of Industrial Bureaucracy*. His examination revealed three distinct types of rule administration used by leaders to administer rules in their organizations. The three patterns of rule administration were:

1. *Representative rule administration* is characterized by joint support for and/or modification of rules. The rules are enforced by management and obeyed by workers. In sum, there is joint participation in the rule acceptance.
2. *Mock rule administration* is when the rules are neither obeyed by the staff nor enforced by management and evaded by employees. There is clear conflict in rule acceptance.
3. *Punishment-centered* is characterized by disaccord between the rule enforcer and the employee affected by the rule: that is, rules enforced by the leader that are evaded or accepted as punishment by the employees. Punishment-centered rules are enforced by management and evaded by employees. There is clear conflict in rule acceptance.

Lutz and Evans (1968), capitalizing on the Gouldner model, conducted an investigation in New York City to determine the relationships, if any, between the rule administration of principals and the leadership climate of the school. The results of their study showed that principals who demonstrated high representative rule administration were perceived by teachers to be high in leadership. On the other hand, principals who exhibited high punishment-center rule administration were perceived to be low in leadership.

Based on results of the New York study, the necessity of goal integrative behavior for school administrators and the increasing demands from teachers to participate in education decision making through collective bargaining and that hostility might take the form of increased teacher militancy, Spaulding (1973) and McDaniel (1973) undertook studies to investigate the relationships between the manner in which a principal administers rules and teachers' perceptions of the principal's leadership and staff militancy. Generally, the results of these two studies left little doubt that when principals are perceived by teachers as being representative-centered in their rule administration, they are also perceived as having high leadership; whereas, when they are perceived as being punishment-centered, they are also perceived as having low leadership behavior.

Building on these studies, Spaulding (1973) and McDaniel (1973) concluded that the leaders in organizations must be concerned with employee's goals, that organizational goals are better met as they can be made congruent with individual employee needs, and that leaders are more effective as they are perceived as considerate of their subordinates. Nugent (1993) undertook a study to determine whether there were significant differences among district superintendent's rule administration behavior, leadership behavior and staff militancy as perceived by principals in their districts, using scores on three behaviorally based instruments as well as a number of demographic characteristics.

Methodology

The population to which this study generalized is the 245 public elementary and secondary principals in the Hawaii Department of Education. A sample of 155 principals, sufficient in number to meet a .95% confidence level was randomly selected from among the school level cohort. All seven district superintendents were used as the independent variable.

A packet with three instruments were used: The Rule Administration Scale developed by Spaulding (1973) with three subscales (1. Representative, 2. Mock, and 3. Punishment centered) which measured three types of rule administration; the Executive Professional Leadership Instrument (EPI) by Gross and Herriott (1965) made up of twelve statements which purport to measure leadership skills of educational administrators; and a Militancy Scale originally developed by Carlson (1967) which was modified for use with principals. Also, a short information sheet asking about some general personal and demographic data were enclosed. Due to the potentially sensitive nature of the responses, complete anonymity was strictly preserved and the districts were coded so that the actual district superintendents could not be identified. A satisfactory return rate of 85% was achieved.

The hypotheses were tested by the use of a series of One-Way ANOVAS with Scheffé tests, when required, as well as Multiple Regression Analysis.

Findings

The five questions that were previously enumerated were tested using a $p = < .05$ probability. The results of a One-Way ANOVA and the mean scores of the principals' responses by district on the subscale of Representative Rule Administration are presented in Table 1.

In all other districts the means did not differ from others enough to meet Scheffé default level. The null hypothesis was rejected for two of the subscales (representative and punishment-centered). On the Representative Rule subscale, the two districts with the highest means were significantly different from the two with the lowest means. The other district means D = 2.87, E = 3.31, G = 3.31 did not enter the Scheffé analysis.

One district (with the higher mean for punishment centered rule administration) varied from the two lowest. The four other districts did not enter. The scaling for the representative subscale was 1 which means little representative rule making to 5 which was high. On the punishment-centered, 1 means there was little use of threat or punishment to enforce rules to 5 which was high.

The third question was analyzed by asking each principal in the sample to rate the leadership ability of his/her superintendent use the Executive Professional Leadership Instrument. The results of the ANOVA and Scheffé tests are presented in Table 2.

Table 1. Results of the One-Way ANOVA Among Districts and the Mean Scores of the Various Districts on the Representative and Punishment-centered Subscales Which Differed on the Scheffé Test

Source	Sum of Squares	d.f.	Mean Sq	F-Ratio	Sig. Level
Representative					
Districts	13.634	6	2.272	4.750	.0002*
Residual	68.895	144	.478		
Punishment Centered					
Districts	7.134	6	1.189	3.636	.0022*
Residual	47.090	144	.327		
Mock Rule	(No significant difference)				

Mean of district which differed on the Scheffé Tests**

Representative		**Punishment Centered**	
District B	3.54 vs. C 2.77 vs. A 2.82	District C	2.46 vs. F 1.84 vs. F 1.84
District F	3.48 vs. C 2.77		

*p = < .05
**Scheffé p = < .05

Table 2. Results of One-Way ANOVA and Scheffé Tests on the Principal's Perception of the Leadership Behaviors of Their District Superintendent

Source	Sum of Squares	d.f.	Mean Sq	F-Ratio	Sig. Level
Districts	39.214	6	6.537	8.050	.0000*
Residual	116.099	143	.811		

Scheffé Test Results

District	Mean			
B	4.65	v	A	3.59
			D	2.84
E	4.32	v	D	2.84
F	4.18	v	D	2.84
G	4.12	v	D	2.84

*p = < .05

It is clear that principals perceived the leadership behavior of their superintendents differently and that their differences could be generalized to the rest of the school level administrators at a very high level of probability. One district with a low mean score provided most of the differentiation in the Scheffé analysis. This instrument also employed a 1 (low) to 5 (high) scaling.

The fourth question analyzed several potential explanatory variables to determine whether on a univariate basis one or more might be related to responses made by principals on the previous questions. The first part of the analysis dealt with the aspect of principal militancy. The responses on the Militancy Scale indicated that there was significant differences in militancy among the seven districts. The calculated F ratio was 2.522 with a probability level of p = .0237. The Scheffé test could only isolate two districts as different from the others. Principals in district E with a mean of 3.83 differed from G = 3.19. However, both of these districts had high means on the leadership behavior of the superintendent.

A set of personal (age, sex) and demographic (years of experience as a principal) variables were tested against scores on rule administration and leadership behavior by the use of an N-way ANOVA. None of the variables produced either main effects or interaction differences at or beyond the p = < .05 level.

The fifth question used all of the scores on the rule administrator subscales, the militancy score and all of the personal and demographic data as criteria (independent) variables and the scores on leadership behavior as the predictor (dependent) to determine by use of a multiple regression analysis how much of the variance (R squared) in leadership scores were related to these variables. A step-wise forward inclusion technique was used to determine which variables would enter the model at a non-chance probability of p = < .05.

Seven variables (1) Representative, (2) Mock, (3) Punishment-centered rule administration, (4) The Militancy score, (5) Age, (6) Sex, and (7) Experience of the principals in the sample were used. Of these, only two met the default standard (p = < .05) and were retained in the model. They were representative rule administration which contributed 26% of the variance in leadership scores, and punishment-centered rule administration which produced 3.4% of the variance. In all, a respectable 29.4% of the variance in the principal perceptions of leadership behavior were explained by the two rule administration variables.

Conclusions and Discussion

This study was undertaken to determine the impact of rule making as one of the components of leadership. It was carried out in a rather unique setting since by the nature of the district a number of potentially confounding variable were fairly well controlled. These naturalistic controls included an administrative selection process which led to a situation where all of the district superintendents are long service employees of the DOE. The single statewide district provided a professional and social acculturation that was very similar in all of the seven administrative districts. There was nearly no variance in level of funding (per pupil) among the districts. The principals who supplied the data were all subjected to the same staff development since it was all determined and provided by the statewide bureaucracy.

Given all of these controls which might reasonably be expected to produce a homogenizing tendency among the principal's views on rule administration among the seven districts, that did not happen. In fact the principals in four of the districts had significantly different views on how their superintendents performed their rule administration duties which could be generalized to the population of the principals. Further, these views did not appear to be factor of the age, sex or years of experience of the principals who shared their perceptions.

Likewise, the fact that the superintendents were all similarly acculturated, extremely place bound, and exposed to the same organizational, financial, and personnel goals and policies, the principals (who were similarly situated) perceived differences in leadership behavior among the superintendents. Apparently leadership is at least partially independent of factors which have generally been perceived as powerful determinants of leadership behavior in other studies.

Is rule administration a major aspect of the concept of leadership? Apparently it is in the Hawaii Department of Education. Approximately 30 percent of the variance in leadership behavior scores was accounted for by variance in the scores on rule administration. At least among this group of administrators, who are employed by a highly bureaucratic system, rule administration is related to leadership, and there are perceived differences among several of the district superintendents on their ability to administer rules.

If these findings have relevance for other districts and states in the United States, it may be time to place a greater emphasis on this often under-emphasized aspect of leadership in public schools. The payoffs may be substantial.

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University preparation programs . . . must adapt and respond to administrators' needs for a greater range of field expertise. Among these are skills and knowledge about resource allocation at decentralized sites.

PROGRAMS THAT PREPARE PRINCIPALS FOR ALLOCATING RESOURCES AT THE SCHOOL SITE: Principals and Superintendents Respond

Barbara Y. LaCost and Marilyn L. Grady

Conditions under which principals work have changed more rapidly than have programs to prepare principals. Calls for revitalization of the traditional school model began in the 1980s and have continued into the 1990s. From the general educational reform effort of the 1980s (Education Commission of the States, 1983; National Commission on Excellence in Education, 1983; Carnegie Forum on Education and the Economy, 1986; Holmes Group, 1986), emerged efforts to redesign educational administration preparation programs. Proposals for reforms of university preparatory programs for principals and other educational leaders were and continue to be advanced by educational scholars and organizations (e.g., Pitner, 1982; National Association of Secondary School Principals, 1985; National Commission on Excellence in Educational Administration 1987; Thompson 1988; National Policy Board for Educational Administration, 1989; Thomson, 1992). Private support has been made available to improve preparation programs; for example, the Danforth Foundation launched at least 18 program development efforts for training and certifying school principals (Twale & Short, 1989). Newly created and retooled preparation programs, intended to equip principals with the experiences and knowledge demanded in the field, are reaching beyond the recognized need for reflective practice (Sergiovanni, 1987), and the integration of theory and practice (McCarthy, 1987). University preparation programs intent upon meeting the challenges of the 1990s not only must sustain their current preparation efforts but also must adapt and respond to administrators' needs for a greater range of field expertise. Among these needs are skills and knowledge about resource allocation at decentralized sites (Thomson, 1992).

The National Goals for Education (White House, 1990) created demands for continued reform and asked that student achievement match international standards, that schools assume responsibility for graduating higher percentages of students, and that operational structures be decentralized. An effect of the continued attention to reforming schools has been a renewed emphasis on site-based management and the subsequent call for the school principal's role to be one of increased dynamism and interaction. Cooper (cited in Jacobson and Wentworth, 1992) suggests that the site-based management program is the beginning of a new paradigm.

The importance of administrator expertise at the site level is supported by Odden's (1992) conclusion that ". . . accomplishing high levels of student achievement, [as indicated in the national goals], is quintessentially a school, not a district, function" (pp. 327–328), supports the current thrust to increase principal responsibility for allocating and monitoring resources. Should future funding programs give greater emphasis to the concept of school-based funding, as is suggested by Odden (1992), schools, rather than districts, would become the primary recipient of local, state and federal revenues. He states,

> The natural outcome would be the ultimate budgeting of such funds at the site. The school would have the authority to determine the mix of professionals—teachers, administrators, adjunct teachers, and so on—at the school site and to hire, supervise, promote, and fire them. The school would have fiscal and program responsibility for operations, maintenance, substitutes, books, materials, supplies and staff development (Odden, 1992, pp. 333–335).

Further support for concentrating preparation on resource allocation can be found in the school finance framework offered by Jones (1985, 26), who suggests that the three components for organizing the knowledge and skill base in educational finance include the study of allocation, distribution, and management functions. He emphasizes, however, that although the functions may appear to be distinct topics, that are, in reality, in "perpetual interaction." If site-based management is a new paradigm, and schools may become the principal sites for allocating and managing resources, then developers of preparation programs must weave the needs expressed by field professionals into resource allocation models (e.g., Guthrie, Garms & Pierce, 1988; LaCost, Grady, & O'Connell, 1993). In this article, we report and categorize experiences related to resource allocation that were reported by superintendents and principals as essential to an adequate and appropriate principal preparation program.

Barbara Y. LaCost is an assistant professor in the Department of Educational Administration at the University of Nebraska, Lincoln, Nebraska.

Marilyn L. Grady is an associate professor in the Department of Educational Administration at the University of Nebraska, Lincoln, Nebraska.

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Related Literature

School based budgeting, in theory, (a) should provide greater efficiency in allocating resources because decisions are placed close to those who are affected (Levin, 1987); (b) should increase flexibility in the instructional program by broadening schools' spending authority (Clune & White, 1988); and (c) should direct accountability to the school and away from the central administration and board of education (Ornstein, 1974). Under school-based budgeting, resource allocation decisions are transferred from the central administration to the smaller decision-making arena—the school. Thompson, Wood and Honeyman (1994) suggest that site-based budgeting "represents the most recent sophistication in learning theory because it finally recognizes the importance of resources at the point of utilization" and that [t]he process of site-based management requires much learning and training for . . . administrators . . . (p 314).

Clune and White (1988) concluded from their survey of over 100 school districts that in the context of school-based management, budgetary decisions were decentralized most readily, followed by personnel and then curriculum decisions. School-based budgeting changes the education system so that the main budgetary function of the central administration is to allocate funds to individual schools who are then empowered to decide how allocated funds will be spent (Hentschke, 1988). School-based budgeting requires changing the rules about who has decision-making authority over the use of resources. Hentschke suggests that principals will need to be given greater authority over use and mix of utilities; the use of substitute teachers; staff development, curriculum development and other central office support; the mix of professionals at the building site; and authority to carry over resources from fiscal year to fiscal year.

Hartman's (1988) qualitative analysis of the behaviors and process of site participants in the resource allocation process at four high school sites is especially important in considering the knowledge and training required for site leaders. No rational process was adhered to in allocating resources at the high schools sites; of particular importance was the lack of consideration for linking resource allocation practices to improving student outcomes. Principals in the field recognize the discrepancy between what they are doing and what they should be doing. Finally, LaCost and Grady (1992) found that principals desired to be engaged more fully in the decisions and management of resources than they actually were.

The Study

A qualitative analysis was done for a set of responses to an open-ended question that was distributed to a random sample of principals and superintendents in a mid-plains state. Respondents were asked to provide both their years of administrative experience in their current roles and size of site managed so that profiles of each group might be offered.

Sample and Data Collection

Samples of principal and superintendent populations were drawn from the state education agency's current public school directory. Each public school in the 278 districts in a mid-plains state that maintained both elementary and secondary schools was coded. A sample of 50 principals and a sample of 30 superintendents were selected through the use of a random number table. An original and one follow-up mailing elicited 31 principal responses (62%) and 18 superintendent responses (60%).

Instrument

The researchers identified themselves as professors in the educational administration department of the state's land grant university and requested that respondents first read a definition of resource allocation, and second, respond to a question about their perceptions of preparatory experiences for principals. The definition provided to respondents was:

> Resource Allocation: A process that focuses on a set of resources, i.e., human, fiscal, material and physical, that can be identified, located, allocated, assessed and adjusted to reach the specific outcomes to meet the goals/mission of the organization.

The question asked of respondents was:

> Given the above definition, what specific preparatory experiences should be provided for students to prepare them to effectively allocate resources as principals?

Results

We first provide a profile of the respondents and then provide an analysis of the responses. Principals were predominantly male (74%) and approximately 42% had 6 or less years of administrative experience, although the range was from 3 or less years to over 20 years. A fourth of the principals administered school sites of 200 or less students; the majority of the principals (61%) administered somewhat larger schools (with student populations of between 201 and 500 students), and 13% (n=4) presided over schools with enrollments of more than 500 students.

Superintendents responding to the inquiry were in districts ranging from less than 50 students to over 500 students. Over half the superintendents (56%) reported 9 years or less experience in the superintendent's role, although the respondent group varied from 3 years or less experience to more than 20 years experience. Eleven percent of the superintendents administered districts having only one school that housed the entire student body in grades K–12.

Response analysis

Overall, the sets of responses from the two samples provided a similar conceptualization about the responsibility of administrator preparation programs. The responses, to varying degrees, can be sorted into three dimensions: (a) the knowledge base or content of the preparation training, (b) the acquisition of skills in preparation training, and (c) the format for provision of the preparation training. A breakdown of responses, by respondent group, addressing these three general dimensions is provided in Table 1.

Table 1. Three dimensions of principal preparation programs defined by responses from superintendents and principals, by number and by percent.

DIMENSION	PRINCIPALS Total Number=31	SUPERINTENDENTS Total Number=18
Knowledge Base	20 (65%)	12 (67%)
Skills	11 (35%)	12 (67%)
Presentation Format		
• Courses	10 (32%)	0 (0%)
• Seminars	1 (3%)	0 (0%)
• Simulations	7 (22%)	8 (44%)
• On-Site Opportunities	9 (29%)	6 (33%)

Totals exceed 100% due to multiple responses from subjects

Both principals (65%) and superintendents (67%) referenced specific content or knowledge areas of which principals should be apprised. Superintendents (67%) were more inclined to emphasize skills than were principals (35%). The support for a strong experiential training program was reflected in the suggestions from both respondent groups. Principals' suggestions were clustered into recommendations for courses (32%),

on-site opportunities (29%) and specific experiences (22%) in distinct administrative tasks. Superintendents, on the other hand, focused on recommendations for experiences (44%) and on-site opportunities (33%).

Within each of the three general dimensions, dissimilarities between principals' and superintendents' responses were noted. Overall, the two groups differed in the magnitude of complexity and integration of content and process. Responses from principals, although more copious, tended to be more specific and less integrative than were the responses from the superintendents. The two groups seemed to demonstrate diversity in the skills dimension. Superintendents emphasized the acquisition of skills that integrated knowledge and expertise across content areas (e.g., long-range planning, decision responsibilities, communication skills) whereas principals mentioned competencies related to specific tasks (e.g., calculating, devising, building budgets). In the presentation format dimension, no superintendent suggested courses or seminars, although two did endorse "class projects" as a possible format or experience.

In presenting the results of our analysis, we first define the dimension delineated by the two sets of superintendent and principal comments. We then present cogent examples from the two sets of respondents. For the knowledge base and skills dimensions, comments from both sets of respondents are grouped under the four subcategories outlined in Table 1: coursework, seminars, simulations and on-site opportunities.

Content or Knowledge Base

The dimension of preparation program content is defined as the knowledge base required of principals when they enter administrative practice.

Principals

Principal respondents specifically recommended discrete content about commonly accepted resource allocation areas such as school finance, budget and the budget process. In addition, they recommended content requirements that were more broadly related to allocating resources such as personnel issues, political impact, community philosophies, and school boards' policy development. Examples follow:

Budgets and budget process: Providing and expanding knowledge of the budget and the budgetary system was advocated. One of the more integrative principals suggested that several budget models be offered to candidates and requested that at least one emphasize that principals

> "start with a mission/philosophy/beliefs, develop objectives for student/staff, then . . . implement the objectives and tie in the budget as a means to support the plan and accomplish the objectives."

Specific budgetary suggestions included teaching about "how school finance works," the "origin of receipts," how to budget dollars for . . . specific areas," the "contracting costs for employee services," a "variety of budgetary procedures," and ". . . the budgeting/scheduling for buildings and grounds maintenance."

Another principal, lobbying for specific content, suggested that resource allocation information

> "useful to the first-time principal might include: inservice budgeting for teaching staff and ancillary staff; planning for aides and contracted employees (music accompanists); [and] budgeting for co-curricular programs, assemblies, special projects, [and] summer school."

Support for broadened thinking about scarce resources was reflected in one principal's observation that, to be effective, principals must recognize that " . . . supply (of resources) is limited and priorities must be established." Another principal challenged us to remember that "(b) budgeting courses are okay, but incorporate . . . alternate ways of getting resources. Right now that information is gathered informally among principals."

Several comments reflected a real concern for the budgetary knowledge base of the novice, or beginning, principal. For example, one principal suggested that resource allocation programs fashion content that would aid in reducing "springtime stress that goes with preparing the 'first budget.'" Apparently, at least one of the those principals with only a few years' experience is still anxious about knowledge related to the budgetary process. A comment from a three-year principal is illustrative:

> "I do not believe most principals have the fiscal background to develop entire budgets for their buildings without formal training from the central office staff. Because (after three years here) this superintendent discussed many of the options and facts concerning the budget, I would feel more comfortable having more input in setting budgets."

Personnel: Respondents indicated that programs should (a) provide a knowledge base with "special emphasis on staff," (b) consider "department chair involvement in the process," (c) impact "teacher empowerment," (d) and include "participatory management." One principal, for example, indicated that "administrators need much information for budgeting for staff development (and it is) usually an afterthought (in preparation programs)."

Superintendents

Superintendents advocated a knowledge base of program planning; personnel management, evaluation and accountability; management of curriculum review processes; long range and strategic planning; political nature and influence of resource allocation; general business procedures; accountability for expenditure of funds; and facilities management. One superintendent, being quite specific in making recommendations, urged that the program include

> "general knowledge regarding (the state's) accounting system and code system . . . and the (state) laws as applied to various aspects of resource allocation, i.e., personnel, required education programs, bidding, etc."

Another superintendent declared that "training in comprehensive school finance at the local and state level" would encourage and promote the principal's "allocating existing resources *within* (original emphasis) a given budget." Another superintendent's statements supported observations by principals by stating that "they (principals) should at least know how school finances work—where receipts come from . . . . " Yet another called for knowledge of the "budgeting process—school wide."

Perhaps the comments of one superintendent summarize the expectations of the entire respondent group:

> "There must be a full understanding of the entire operation of the school, e.g., fiscal, personnel, managerial, before input can be sought/given for the input needed in the decision process. With this knowledge readily accessible to the individual, a more "educated" response can and will be provided."

Skills

The skills dimension is defined as areas of demonstrated expertise in action that are required of effective principals entering the field. The dimension includes skills in calculation, apportionment, allocation and management.

Principals

Twelve principals made specific recommendations for skills acquisition and their responses were focused on skills needed in meeting specific problems of practice. Several emphasized skill and training in working with the budget and fiscal management issues. One principal suggested that candidates develop skills in "cooperative purchasing," "facilities management," and "calculation skills associated with fringe benefits." Another suggested that training be offered to principals so that they might be skilled in the "spring-ordering process."

A few of the principals did recognize the need to link resource allocation to administrative areas other than fiscal areas. For example, one principal specifically recommended that "interviewing skills" be offered; another advocated "curriculum development skills." One principal that focused on fiscal issues did suggest that skills in "committee building" would be an asset. Another principal invoked a rational approach by suggesting that programs provide an "exercise forcing students to assign value (emphasis in original) to human, fiscal, material or physical resources. . . ."

Superintendents

Superintendents reported that principals entering the field today should be skilled in prioritizing, assessing, judging, and decision-making; should be adept at administering the budget, should demonstrate computer and calculation competency, and should be experts in handling human relations.

One superintendent called for skills in "human relations — (claiming that they were) very important in dealing with staff. "The superintendent also asserted that skills in motivation techniques and decision-making were critical preparatory experiences for allocating resources effectively. Another superintendent appealed for integrated skill development and requested that principals be prepared to make "philosophical and discretionary judgments based upon the "value" of a particular service, or portions thereof, versus its cost."

One superintendent responded that principals needed skills in "how to find levies . . . " and in understanding "the taxpayer view, tax available, . . . and that a budget needs to be made realistically—not (made) just to inflate (sic) unrealistically (emphasis in original)." In the same vein, another superintendent indicated a need for skills in budgeting "money for their specific areas" while another called for "understanding of financial limitations."

Format for Program Provision

Both principals and superintendents were strong advocates of experiential learning, although they recognized the difficulty in provision. One sympathetic superintendent responded:

> "Resources are always scarce and competition for them is always keen. So there must be experience in relationship with faculty and other people of the school in establishing the mission and practices of the program to be financed . . . these experiences are difficult to provide in the usual academic setting."

Nonetheless, a significant share of the comments suggested formats and methods for instruction. The responses fell into four categories: coursework, seminars, simulations, and provision of on-site opportunities. Principals were more likely to offer suggestions for coursework or seminars. Superintendents advocated on-site opportunities for learning about resource allocation. One respondent succinctly advocated preparation programs that allowed for "fac(ing) issues." The following represents suggestions offered in the four categories.

Coursework: Principals were strong advocates for coursework. One suggested that the preparation format should ". . . offer practical application computer programs for keeping track of the budget process." Another advocated "courses in plant planning and operation," while yet another called on us to offer the traditional "school business class."

No superintendent suggested specific courses, although the responses were peppered with inferences to offer experiences in a somewhat structured setting, such as a class. One superintendent, for example, suggested a "resource allocation term project."

Seminars: One principal actually mentioned that a seminar be offered as a format. Comments from other principals represented content that is often presented in a seminar design. For instance, one principal asked that the preparation format provide experts and provide for expert input into the learning process. Statements calling for "(t)ime with superintendents explaining the various processes (required in a year)," and request for "practitioners from schools of varying sizes . . . as guest speakers" were representative of seminar material requested by principals. No superintendent proposed a seminar or seminar activities.

Simulations: Both superintendents and principals requested that we offer realistic experiences to aspiring principals. One principal, for instance, asked that we "involve (potential principals) . . . in the total process." Another requested that we "give . . . first hand experience . . . . " A third suggested that we allow for "decision-making responsibilities."

One superintendent suggested that principals needed "extensive problem-solving simulations in the area of resource allocation." This person lamented that "we are being challenged to come up with a new solution that will fulfill the need and yet be ever so cost effective."

Another superintendent, after proposing a role-playing simulation that required decisions about staff expenditures, inservice, and materials acquisitions, expressed sensitivity to the plight of the principal:

> "I think all too often principals are left with the decision of making the programs fit into the budget—rather than planning a program and developing and proposing a budget to support the program."

The need for principals to have experience in linking the external and internal environments of the school system was expressed by another superintendent who said,

> "They need to actually be involved in a process via practicum, or class simulation where they will face the issues both politically and educationally involved in allocating resources. They need to know how to assess current situations, curriculum, programs, extra-curricular etc. and base decisions on this process."

On-site opportunities: Both principals and superintendents encouraged increased school-site opportunities. Principals tended to segment their suggestions into practical and experiential opportunities. One principal, for example, said that candidates should "serve on material selection committees . . . ," another recommended that a trainee "serve on faculty planning committees," and a third asked that we "include a one-year internship under an experienced administrator."

A superintendent told us that principals should engage "in the allocation of resources to a particular organization." The superintendent went on to suggest that "an internship beginning with the planning stages for a school year (summer months) . . . " would give "prospective principals the experience of assessing strengths of the various resources at his (sic) disposal and employing those strengths for maximum utilization and effectiveness." In the same vein, another suggested that principals involved in a practicum "face the issues [that are] both politically and educationally involved in allocating resources."

Discussion

Our findings were clustered around three dimensions. Results suggest that the knowledge base about the resource allocation dimension, at least from the practicing superintendents' and principals' perceptions, ranged from specific information bites to proposals that integrated management and leadership content. The skills dimension ranged from suggestions for specific and solitary managerial tasks to suggestions for employing complex decision-making and integrative functions. The delivery methods dimension ranged from suggestions for one-shot simulations to requests for long-term involvement in natural settings.

The three dimensions suggested by this inquiry have implications for five stakeholders with responsibilities and perspectives about the career development of school-site leaders. These five stakeholders include (a) professors and field supervisors in university preparation programs, (b) professional administrative associations, (c) state departments that accredit and license practitioners, (d) local school districts that employ program graduates, and (e) other agencies interested in improving the quality of administrative leadership [The National Association for Secondary School Principals (NASSP), 1992]. The NASSP has issued a call for collaborative action among these five stakeholders so that consensus can precept competition among the participants.

Implications for each of the stakeholders interested in preparing principals follow.

The university administration preparation program is "the first and usually the most influential contact in administrator preparation" (NASSP, 1992, p. 21) for aspiring principals. In developing site-level resource allocation skills, such programs should:

1. evaluate current experimental administrative training models in terms of effectiveness in the field;
2. implement alternative site-base administration models; conduct multi-level assessments that includes feedback from school boards, superintendents, principals, teachers, students, parents, and community members;
3. develop and implement both short- and long-term experiential preparation experiences, including case studies, simulations, exposure to successful models, periodic clinical observations, and practice in the field;
4. monitor the knowledge and skills related to linking resources to organizational goals and missions;
5. link procurement and allocation of resources to goal setting and long range planning;
6. expand budgeting curriculum to include greater variation in type and length of budget development;

Professional associations are in the position to advocate and disseminate information about alternative strategies in resource allocation and site-management that will encourage an improved learning environment for students. Organizations should:

1. stimulate policy-making bodies to examine and restructure rules that prevent effective change at the district and site levels;
2. seek and promote federal and state fiscal support for experimenting with alternative models of administering schools;
3. aid in the dissemination of knowledge from the researchers to the practitioners;
4. streamline the existing communication network among members and the organization;

State departments have the potential to coordinate efforts to adhere to standards of quality while still providing adequate and appropriate resources to schools. Suggestions relevant to resource allocation responsibilities of the site-leader include:

1. analyze the concept of school-based funding and its potential for the particular state that the department serves;
2. encourage and fiscally support innovation and experimentation at the site level;
3. expand the use of categorical grants;
4. investigate the opportunities to waive regulations for specific periods of time for specific site experimentation;
5. collaborate with university and local district personnel in preparation and certification issues.

Local school districts set the climate for site leaders and determine the parameters of the resource allocation process. Suggestions for local districts supporting the development among principals for effective resource allocation procedures include:

1. develop and articulate rules and regulations affecting the amount or resources allotted and the accompanying procedures;
2. determine and articulate levels of support for site-management and site-budgeting;
3. develop clear and articulate policies regarding fund excesses that may occur (Cox, 1989);
4. consider allowing the carry over of funds from year to year to promote flexibility and efficiency (Guthrie, 1986).
5. expand the business manager's scope of responsibility to include serving as a liaison to sites;
6. provide adequate and compatible computer hardware and software systems (Cox, 1989);
7. commit to investing in human capital through training programs and periodic evaluation of staff;

Agencies or organizations, such as principal academies and assessment centers, provide support to the practitioners, are interested in maintaining quality, and increase their opportunities to enrich their basic learning (NASSP, 1992). Such agencies can contribute to the development of principals' resource allocation skills in the following ways:

1. support, monitor and maintain contact with novice principals;
2. craft programs that address allocation issues important to the beginning principal;
3. separate training programs by the experience level of the participants;
4. plan and institute cooperative programs with university programs, state department efforts and professional organizations.

Summary and Conclusion

The past few years have produced a research-supported advocacy (a) for decentralized decision-making and greater principal responsibility for allocating resources at the site level, (b) for changes in preparation programs that prepare the principal more adequately, and (c) for changes calling for school-based collaborations between universities and K–12 schools. Thomson (1992) suggests that "a new starting point is required" in the development of preparation programs and that it "should begin with the work of principals in contemporary schools" (p. 6). School site leaders enjoy a proximity and familiarity with current processes; they receive suggestions and comments from teachers on the front line and from supervising administrators. These information sources, when shared with those responsible for the development of principal preparation programs, provide current and relevant information for the preparation efforts of the 1990s and beyond.

This inquiry sought suggestions from on-site leaders and their supervisors that would inform and reform efforts to provide expanded and innovative models for offering a knowledge and action base for preparing principals for resource allocation

responsibilities. We found that responses represented a wide scope of content and skills and that respondents provided a broad range of formats for presenting and exploring information with potential principals.

The data supplied in this study was restricted to the area of resource allocation experiences for aspiring principals. Principals perceived a need for concrete information and experiences that would assist in addressing specific problems of practice. Superintendents want principals to reason and to make decisions. The superintendents in this study not only emphasized the role of experience but offered examples of the type of setting that they considered conducive to providing principals with hands-on experiences. The data support the growing consensus that "stand and deliver" principal preparation programs should be challenged if principals are to be powerful agents in delivering effective and challenging programs to students in public schools. Further research efforts should include an assessment of the implementation and evaluation of coordinated preparation efforts between university preparation programs and practical experiences involving the school site.

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The medical model of predisposing factors and warning signs can be applied to ongoing concerns of students who are at risk of failing at school and/or life.

STUDENTS AT-RISK: Predisposing Factors, Warning Signs, and Treatment Plans

David L. Griffin

Cancer . . . diabetes . . . heart disease. We are well aware that lives can be saved by knowing the predisposing factors and warning signs of these diseases. With current advances in medicine, more effective detection techniques and treatment protocols are being developed. Continued research provides the hope for eventually effecting cures.

The medical model of predisposing factors and warning signs can be applied to the on-going concern of students who are at-risk of failing at school and/or at life. Administrators and teachers must be able to recognize the predisposing factors, detect the early warning signs, and develop "treatment" programs and strategies for at-risk students if they are going to save our next generation.

Predisposing Factors

Several characteristics have been identified by researchers that place students at-risk for dropping out of school. In the medical model, family history of illness and lifestyle patterns (e.g., diet, exercise, stress levels) affect the likelihood of being diagnosed with an illness. In an analogous sense, this is the case with students in our schools. Family histories and lifestyle situations can be significant indicators of at-riskness. Results from the Phi Delta Kappan Study of Students At-Risk[1] suggest that family-related factors are critical determinants of whether students are to be considered at-risk for failing. Of the five Kappan categories of factors designating at-riskness, four are heavily dominated by family characteristics. Factors gleaned from other research studies[2] support this finding (see Figure 1).

Clearly, administrators and teachers must work not only with students, but with students' families to reduce the potential for dropping out of school. Our nation's future depends on their ability to meet this challenge.

David L. Griffin, Sr., is an Assistant Professor in the College of Education at Kansas State University.

Figure 1

Predisposing Factors for At-Riskness

- Parent alcoholic
- Family used drugs
- Family illness/death in last year
- Low socioeconomic level
- Low parental education level
- Sibling dropped out of school
- Disrupted home life
- Changed schools frequently
- Student employed outside of school
- Student pregnant or parenting

Warning Signs

In addition to the factors that predispose students to risk are those signs that warn of trouble. The decision to drop out of school does not happen overnight; rather, it is a process that occurs over time until a student sees no alternative but leaving school. These symptoms, which may or may not be related to the predisposing factors, can begin as early as the elementary school years. Some of the warning signs include the following (see Figure 2):

Figure 2

Warning Signs of Dropping Out

- Poor academic record
- Attendance problems
- Dislike of school
- Pattern of behavior problems
- Little or no participation in extra-curricular activities
- Low self-esteem
- Drug/alcohol use by students

Other researchers[3] have categorized and prioritized a list of warning signs. However, what may be most vital is that educators know these signs and, once diagnosing a student as being at-risk, develop "treatment" plans for him or her.

Treatment Plans

Strategies for "treating" the at-risk concern must include a systems approach that addresses the entire range of a student's educational experience. Twelve ideas related to advocacy, instructional approaches, and organizational features of schools are suggested for administrators and teachers to consider.

Advocacy

1. *Shared responsibility.* The responsibility for the academic success of at-risk students needs to be shared by the entire staff, if not the entire system, to be most effective. Ensuring success requires on-going staff development to respond to the needs of at-risk youth. These staff development efforts should be designed and based on knowledge gained from the at-risk research. Staff development experiences should include such topics as recognizing the factors and signs of at-riskness, strategies and approaches for working with at-risk students, and attitudinal experiences to foster an understanding of and appreciation for diversity. Those involved in the staff development activity should be included in the planning and implementation of the sessions as well as evaluation of the impact.

2. *Concerned and caring faculty.* At-risk students benefit from frequent, personal contacts with school personnel who believe that education is important and that students are valued and capable. Adults within a school (e.g., administrators, teachers, counselors, custodians) can serve in this advocacy rule by being advisors or mentors to the students. Mentors can assist students in setting educational goals for

themselves, acting as a resource person if problems arise, and monitoring students' progress. Mentors can also communicate that what students do matters and that school can be to their benefit.[4]

In addition, peer monitoring programs can be very successful. The campaign that promotes "Friends don't let friends drive drunk" could be transformed into a similar campaign that promotes "Friends don't let friends drop out of school."

3. *Partnerships.* Some of the problems facing schools and students today cannot be adequately addressed by the financial and personnel resources of schools acting alone. Effective solutions must include partnerships with parents, city and state agencies, universities, and businesses. Specific contracts or agreements must clearly define the expectations and responsibilities for each group.[5] In addition, it is vital that all partners understand the program's intent and that completion of a student's education is the priority. Partnerships must be truly collaborative in their efforts, minimizing territorial issues. More and better incentive programs for both students and teachers need to be explored and developed.

4. *Coordinated services.* There needs to be better coordination of services for at-risk students. Duplication of efforts is common, and poor coordination can prevent the services from reaching the very people for whom the programs are designed: the students. A person, whose sole responsibility entails the coordination of efforts of programs and services for at-risk students, needs to be employed by each and every school district.

Instructional Approaches

5. *Teaching Strategies.* A variety of instructional strategies should be employed at both the elementary and secondary levels emphasizing those techniques that seem to have the greatest effect on student learning. This includes research-based strategies such as cooperative learning, computer-assisted instruction, and mastery learning. Using a variety of methodologies will increase the likelihood of meeting the diverse learning styles and needs in the classroom. Combining instructional strategies with effective teaching practices is essential.[6] Such teaching practices are discussed in research-based programs such as Teacher Expectations and Student Achievement (TESA) and Gender/Ethnic Expectations and Student Achievement (GESA).

Both TESA and GESA help teachers to interact equitably with students in the classroom. Such interactions as wait–time, response opportunities, classroom questioning are discussed, practiced, and coded by participants in the training.

6. *Authentic learning experiences.* The curriculum of the school must be responsive to the needs and interests of the learners. Students must be able to see the relevance and importance of the material they are learning. To this end, programs should include life-related skills that are not only concerned with acquiring knowledge, but that also apply that knowledge to real-life experiences. Skills must also be related to the information age both in its resources and new demands.[7] This kind of purposeful learning can provide an intrinsically rewarding incentive program for students.

7. *Multiculturalism.* Equity issues should be an integral part of the instructional program. A multicultural commitment includes recruiting and retaining minority and bilingual personnel, as well as ensuring that all educational personnel understand and respect racial and ethnic diversity. All students should be provided with instructional experiences that include accurate studies of the culture, history, and struggles of diverse groups. Attention to these aspects of the instructional program will develop a school community whereby a strong sense of individual pride and collective purpose is understood and supported.

Organizational Features

8. *Data collection system.* To assist in the early identification of potential problems, a model system for data collection on at-risk students and potential dropouts must be developed and implemented. Ways to gather information about a student's family situation, which has been shown to be critical in identifying predisposing factors, must be sought. Mechanisms for collecting data on when and why students leave school, as well as ways of monitoring the incidence of various warning signs, must be developed.[8] Accomplishing these goals may be possible at a variety of levels. For example, a statewide data system could be established to provide accurate information with regard to student's attendance, admissions and dismissals, truancy and suspensions, and completion rates. Separation of information in the data system by gender, language proficiency, ethnicity/race, and socioeconomic status might help identify possible inequities in student programs and outcomes. At the local level, a self-study could provide data on an individual district's situation. A task force of representatives of the total school community is important to the process.[9]

9. *Staff empowerment.* Schools need to be restructured to support staff empowerment and to permit school-based decision-making. Principals, teachers, counselors, and other school staff need to be involved in the many aspects of the at-risk programs.[10]

10. *Alternative schooling.* School districts need to expand alternative educational opportunities to create new programs for students whose needs are not being met in the traditional setting. The possibilities that exist for doing this are virtually endless. Examples range from those that are commonly practiced such as an in-school suspension policy or links between education and work opportunities to more unusual approaches. For example, a school could institute a "leave of absence" policy for students who need some time out of school as an alternative to dropping out permanently.[11] A "forgiveness" policy could be instituted to help students who, because of certain factors, get off to a bad start academically but improve greatly once "treatments" are started. Other examples of alternative programs and options include making a policy that each student become involved in an extracurricular school program. Providing opportunities for teachers to stay with the same group of at-risk students over time may help to establish stable relationships and build bonds of trust.[12] Whichever option is considered, it is vital that those affected by or involved in the change become a part of the entire process—from development to evaluation of the program. In addition, support mechanisms (i.e., administrative, financial) must be in place to sustain the interventions.

11. *Regulations and practices.* It is critical to examine the regulations and practices that exist in schools. School personnel must begin to identify those rules and actions that may be pushing students out or making dropping out the only alternative. Certainly this is a task for individual districts, yet research suggests the need to look at several broad areas: hours of operation, child care, family mobility, and class credit systems. The rigid daily schedule may be incompatible with other demands on student's lives. Flexible hours may help students whose needs do not fit the traditional hours of the school day. Child care for young adolescent parents is an issue that continues to need exploration. Students' mobility, due to family circumstances, leads to many changes which can be disruptive to the students' education. Ways to keep students in their "home" school, when family relocation occurs within a district, need to be examined. Finally, the way credits are assigned for classes may discourage some students. Dividing the school year into smaller units may encourage students to complete more courses and experience more success.[13]

12. *Restructuring schools.* Ideas for reorganizing or restructuring schools must be considered. Some strategies address the reduction of teaching loads. Teachers who are responsible for large numbers of students may find it impossible to do anything more than process students through the system. Reducing the teaching demands would give teachers time to prepare, to meet with students, mentor, and coach them. Other strategies deal with dividing existing schools into smaller units or houses to which both students and teachers are assigned for several years.[14] This has the benefit of teachers knowing students better, following their progress more carefully, trying more creative solutions to problems, and providing better partnerships between parents, community, and schools.

Conclusion

Addressing the needs of at-risk students to prevent them from dropping out of school and/or life is a responsibility that both administrators and teachers must face. Although some individuals may claim that at-risk students and dropouts are not a problem,[15] it is, in fact, a tragic waste of human potential. At-risk students who drop out will not be adequately prepared to accept the challenges of the 21st century. They will not be technically literate in a world that is shrinking due to advances in both the speed of delivery and quantity of information, and they will not be prepared to relate to a world where cultural boundaries are becoming less defined as mobility increases among people.

Administrators and teachers must recognize the serious nature of at-risk students. In the educational setting, teachers are the clinicians who have daily contact with students. Teachers, then, must be aware of the factors that may predispose students to failure. But they must also be ever watchful for the symptoms of at-riskness. For even students who have no "family history" of at-riskness may exhibit warning signs of dropping out. As with illness, the best chance for success comes with early intervention. Thus, teachers with the support of their administrators, must develop "treatment" plans to best meet the needs of the individual student. And, as in the medical model, research is key. Continued study in the areas of at-risk students and drop-out prevention programs provides hope for eventually finding a solution.

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School officials should remember that attempts to increase affirmative voter turnout are in actuality attempts to change the habits of voters.

An Analysis of Parent Voting Patterns in Rural School Bond Elections

Gary Greene and Gary Bergman

Introduction

The United States has the lowest voter turnout of any democracy in the world. While voter turnout since 1972 had shown some increases, overall voter turnout in 1988 dropped to 57 percent. Declines in turnout occurred in all age groups, except the oldest. Black turnout was down approximately 4 percent; hispanic turnout was also down by 4 percent; white turnout was down by approximately 2 percent. Declines of 2 to 3 percent from 1984 were reported in all regions of the country (Bureau of the Census, 1989).

Low voter turnout in school bond elections should not be a problem, though, since those most likely to make the effort to turnout and vote would be expected to be school bond supporters. However, data on the approval rate of school bond issues shows a significant decline between the fiscal years 1957–58 and 1976–77 (Weiler, 1982). In 1981, advocates of tax increases were clearly outnumbered by opponents by a two-to-one margin. Parents with children in the public school were slightly more favorable to school bond issues.

Annual survey data from Gallup and others indicate a relationship between public confidence in education and confidence in the authority and legitimacy of the state, both of which declined during the 1960s and 1970s (Weiler, 1982). Growing cynicism toward public government in general seems to induce an erosion of confidence in public education, which could account for negative voting. Furthermore, while parents who are cynical toward government may perceive voting for a bond issue as affirming the government of which they disapprove, they may also perceive voting against a bond issue as undermining the educational well-being of their children. Consequently, they may perceive not voting as a way to avoid this dilemma.

Gary Greene is a professor at the University of Oklahoma.

Gary Bergman is a professor at Southern Nazarene University.

Some studies indicate that people who are uninformed about the issues are less likely vote, while other studies indicate that a lack of thorough information does not necessarily discourage voting (Lupia, 1994). Confidence in the knowledge one possesses on an issue appears to have greater influence on voting attitude and behavior than the quantity of one's knowledge. People need enough knowledge about the issue to feel confident about voting (Ahmed, 1993). Each person's need for information varies according to individual perception of responsibility and sense of involvement with education (Newman, 1986). Voter confidence can be increased by documented need for a bond issue and demonstrating that a community's well-being and economic development is enhanced by god schools and quality education (Surratt, 1987). Honest dissemination of information and provisions for feedback are also important in voter confidence (Kanige & Ritterbusch, 1986).

A positive attitude among the school's constituency and the support of the business community are prerequisites to a successful bond issue (Surratt, 1987). Attitudes about community involvement in policy-making, school community relations, school discipline and the teaching of democracy, present level of spending, and present level of taxes are some of the voter attitudes that affect voter behavior in fiscal elections (Milstein & Burke, 1980). Voter attitudes that have very little effect include perceptions of school quality and social conditions.

The timing of an election, financial consideration of the districts, the socioeconomic status of the district's residents, and the race or ethnicity of the students have been found to influence voter turnout (Osman & Gemello, 1981). Some studies have shown that low socioeconomic status has a strong impact on participation of parents in school elections (Lewis, 1991). This impact is typically related to their educational level. Low economic status and lack of education decrease the chances that a person will vote. Conversely, the willingness of parents to support school reform is not necessarily determined by racial group membership (Luis, 1991). Blacks tend to vote for school reforms more than whites since their children are more likely to study in public schools, even though registration rates for blacks tend to be lower (Button, 1993). However, analysis of voting statistics indicates the outcome of elections would not be substantially different even if turnout rates were equal for groups of different race, level of income, or education (Teixeira, 1992).

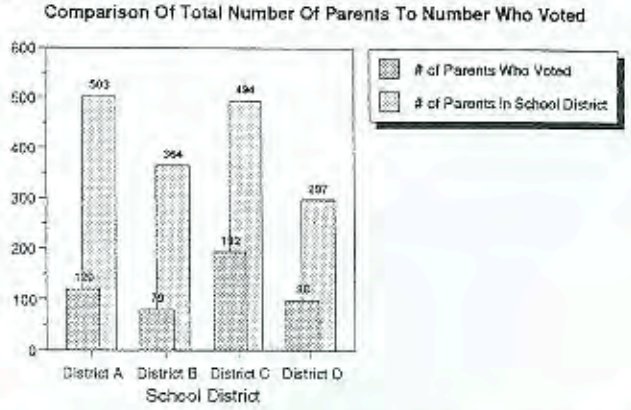
Low turnout in the 1970s has been attributed to a sense of alienation in non-voters, and more recently low turnout has been attributed to a sense of indifference in non-voters (Gans, 1988). However, neither alienation nor indifference provide a plausible theory to explain why a significant number of parents do not vote in school bond elections even though the outcome of the election directly impacts the educational well-being of their children.

In March, 1990, school bond issues were defeated in each of four rural Oklahoma school districts. According to public voting records in each of these elections, a significant number of parents with at least one child enrolled in the public school did not vote (see Figure 1). Parents who did not vote ranged from 63 to 73 percent of total parents in each district. The purpose of this descriptive study was to discover the reasons for not voting as stated by parents.

Sampling, Data Collection, and Analysis

Each of the four school districts provided a list of at least twenty names of parents who, according to the public voting record, had not voted in the school bond election. Each of these parents had at least one child enrolled in the public school at the time of the election. Linear systematic sampling

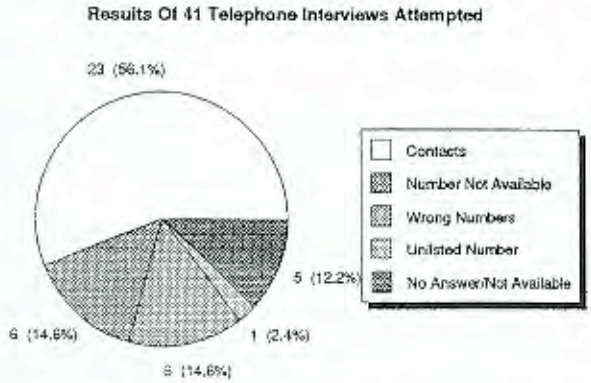
Figure 1. Voter Turnout of Parents.



was used to obtain a random sample of 41 parents from the four lists: ten parents from each of three school districts and eleven from the fourth school district.

Contacts were made with 23 of the 41 parents in the sample, for a response rate of 56.1 percent (see Figure 2). Contact was not possible with thirteen parents in the sample: telephone numbers of six parents were not available from directory assistance; telephone numbers provided for six other parents were determined to be wrong numbers or numbers no longer in service and a correct number could not be obtained; and one parent had an unlisted number. Of the remaining five parents in the sample, four parents did not answer or were not available in three attempts to contact them; the fifth was answered by an unidentified person who did not speak English and, consequently, no communication was possible.

Figure 2. Sample Response Rate.



Semi-structured telephone interviews were used to collect the data in this study. An interview guide was developed consisting of a statement explaining the general purpose of the research study, a primary open-ended question about the reason for not voting in the school bond election, and a second open-ended question about the relative importance of school bond elections. Written notes were used to record each response in verbatim. Interview statements were analyzed for similarities and response categories were formed. Each response was then coded and classified into the appropriate response category.

Findings

An analysis of the responses by parents to the primary question regarding the reason for not voting generated six response categories. Eleven parents did not offer a specific reason for not voting, including four parents who declined to make any comment. Five parents indicated that they are not eligible to vote: four parents stated they were not registered at the time of the election and one did not actually live in the district where his children attended school. Work conflicts prevented three parents from voting. One parent reported being out of town on the day of the election. One parent insisted he had in fact voted in the election. An intentional decision not to vote was the reason given by two parents. Actual responses of parents are listed by category in Table 1.

Table 1. Responses Given By Parents For Not Voting In School Bond Elections

Specific Reason Not Given
- *I don't really remember why.*
- *I don't remember.*
- *No reason; I just don't keep up with stuff like that.*
- *No reason; I haven't voted at all in any election.*
- *I don't remember why. I think my dad was in the hospital.*
- *I just didn't go. I didn't make it to the polls.*
- *I don't know; I didn't think about doing it.*

Not Eligible To Vote
- *I have never registered.*
- *I wasn't registered; I only just registered before this last presidential election.*
- *I wasn't registered.*
- *We hadn't been in the state long enough to vote.*
- *I don't live in this local school district. I actually live across the road that is the dividing line in another school district; but my business is in this community and that's where my children go to school.*

Work Conflict
- *I work at night and sleep during the day.*
- *I work out of the county and probably didn't make it back in time.*
- *I didn't get off work in time; I work in another city and probably didn't get back in time to vote.*

Out of Town
- *I was probably out of town.*

Did Vote in Election
- *I **did** vote on the last bond issue.*

Intentionally Decided Not To Vote
- *I didn't want to. I'm not going to vote until the school system is straightened out!*
- *I was too busy to vote.*

An analysis of the responses to the second question about the relative importance of school bond elections also generated six response categories. All of the parents suggested that school bond elections are important. Three parents felt concern for their children was the reason school bond elections were important. Financial concern was the reason given by two parents as to why the elections were important. Four parents stated that elections were important because elections gave people the opportunity to express an opinion. Choice was mentioned by one parent as the reason elections were important. Two parents provided only general agreement that elections were important but failed to offer a specific reason. Two parents indicated that they did not have sufficient information to offer an opinion about the importance of elections. Actual responses of parents are listed by category in Table 2.

Table 2. Responses Given By Parents For Importance of School Bond Elections

Concern For Children
- *I have children in school and it's important.*
- *It's very important. It concerns the education of my children.*
- *It's real important. I have two boys in school.*

Financial Concern
- *Voting is very important; if the money goes where it's supposed to.*
- *It's real important; it affects our tax dollars.*

Opportunity To Express Opinion
- *Everyone can give their opinion; what they think is right. It makes a difference.*
- *It's very important. It gives people a voice in the local school district.*
- *It gives people a chance to state their feelings; whether they want to foot the bill or not.*
- *It makes a big difference. It gives you a chance to express your opinion.*

Opportunity for Choice
- *It's important for everyone to have a choice; to have the right of choice. It makes a difference.*

General Agreement
- *It's real important.*
- *It makes a difference.*

Insufficient Information To Offer Opinion
- *I don't know that much about it.*
- *It's real important, although I'm not familiar with it.*

Discussion and Implications

Several areas of concern for public school officials seeking to launch a successful school bond election are highlighted by this study. The findings suggest that strategies or campaigns to address these issues could provide positive results in voter turnout.

The largest category of responses did not give a specific reason for not voting. These parents did not appear unconcerned, but rather unfamiliar with the process or uniformed about the issues. Efforts to involve the community early in the election process and to communicate more fully about the issues should have a positive impact on these parents. Radio or newspaper advertisements, campaign literature, and the importance of friends and neighbors as a source of information about issues should all be given careful consideration. As previously noted, parents must have enough information to feel confident about voting on the bond issue.

In the second largest category of responses, four of the five parents indicated they were not eligible to vote at the time of the election because they were not registered. Identifying parents who are not registered and providing them with a convenient opportunity to register to vote would provide a positive contact between the school and these parents and also provide an occasion to enlist their support.

Finally, information about alternative voting opportunities (e.g., absentee voting procedures) could be provided to those who do not vote because of work conflicts or out of town trips. However, school officials should carefully consider the impact such an effort might have on the outcome of the election. One research study revealed 50 percent or more of absentee ballots are cast against school finance issues (Calkins, 1986). Campaigns to increase absentee balloting, however well-intentioned, could have an adverse affect on the outcome of the election.

Additionally, school officials should also remember that attempts to increase affirmative voter turnout are in actuality attempts to change the habits of voters. Research indicates that the variable of habit has a greater than expected influence on the decision to vote (Nownes, 1992). This is not encouraging given the difficulty of altering a person's habits.

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It is likely that the only solution to Indiana's equity dilemma is the courts.

SCHOOL FINANCE POLICY AND THE EQUITY DILEMMA IN INDIANA: A Case Analysis

Marilyn A. Hirth

School finance reform and litigation are prevalent in many states across the nation. Many times reform occurs in response to litigation, or in other situations to thwart potential litigation. Indiana provides an excellent case example of how school finance policy impacts equity and how the governor and state legislature respond to the threat of litigation. In the field of school finance, horizontal equity measurements are utilized to expose problems with the existing system of funding schools.

Indiana is in the midst of a school finance reform controversy. On July 31, 1992, a coalition of 43 school districts that filed a lawsuit challenging the constitutionality of the school finance formula agreed to the governors' request to dismiss the suit. The agreement permitted them to refile the case if they were not satisfied with the efforts of the state legislature to reform the formula during the 1993 legislative session. After much argument, and a special session, the "new formula" the legislature passed includes an average 3.3 percent increase in state money, with the ultimate goal of equalizing funding among districts over a six year period. The equalization is based on tax rates and actual increases in state aid depends on the property tax base of the district. The coalition of plaintiff school districts decided to drop the case, but they are still closely monitoring the equity situation. The coalition, Schools Allied for Funding Equity (SAFE), contends that the school finance formula still requires substantial revision to eliminate disparities in per pupil expenditures, inequities in the funding of facilities and equipment, and unfair property tax assessments.[1] Although the state legislature modified the existing school finance formula to equalize tax rates, the question of equity in terms of revenue and expenditures continues to dominate discussions between educators and policymakers in Indiana.

Consequently, many avenues of the equity question warrant exploration (i.e., horizontal equity, fiscal neutrality, equal opportunity, vertical equity, etc.); however, only school corporation expenditure data for the past three years was available from the Indiana State Department of Education. This analysis will investigate horizontal equity, which is defined as equal treatment of equals.[2] Accordingly, the principle states that students who are alike should receive equal shares. Berne and Stiefel assert that equity is assessed by measuring the dispersion, or inequality, in the distribution of objects; no dispersion indicates perfect equity.[3] Therefore, it is the purpose of this paper to measure horizontal equity for current expenditures,[4] all expenditures[5] and instructional expenditures[6] for three academic years (1989–90, 1990–91, and 1991–92) to determine the extent of equity and examine trends. For this purpose, a variety of horizontal equity measures are employed in the analysis: the range, restricted range, federal range ratio, McLoone index, and Gini coefficient. In addition, comparative data from a previous fiscal equity study[7] allows comparison of horizontal equity measures for current expenditures with 1972–73 and 1985–86.

Marilyn A. Hirth, is an Assistant Professor, Educational Administration, Purdue University.

Formula Funding In Indiana: An Historical Perspective

Indiana's school finance formula is categorized as a foundation type formula, but has a number of categorical programs that are non-formula based and for which school corporations must apply or qualify to receive. Like many states the primary source of local revenue to fund education in Indiana is property tax. Other local revenue is derived from auto excise and financial institutions taxes. Consequently, property wealth and tax rates determine the ability of each school corporation to fund education.

During the early 1970's many states addressed property tax revolts by instituting reforms similar to Proposition 13 in California. A major change in local financing of education occurred in 1973 when the Indiana legislature undertook property tax reform. Indiana joined the ranks of the reformers and froze property tax levies (for the general fund) at 1973 rates. When this occurred the state, rather than local school corporations assumed the major role in funding education. According to Wood, et. al., after the property tax freeze state aid increased from 34.4 percent of revenues in 1973 to 62.2 percent in 1986.[8] In 1990–91, the state's share of all public school General Fund revenues was 58.5%.[9] This figure reflects a 3.7% decrease since 1986 in the state's share of general fund revenue.

Johnson and Lehnen[10] provide a detailed explanation of the property tax reform era. In summary, from 1973–1978 the state provided funds to local schools in the form of a flat grant per pupil. School corporation wealth was not a consideration and all corporations received the same amount per pupil regardless of its wealth or level of expenditures. In 1979 the state was running short of money so it allowed the property tax to increase, but subtracted the property tax increase from the amount of the state's share. Since 1982 the legislature has allowed expenditures to increase by some uniform per-pupil amount plus a small percentage increase in the general fund budget, as well as allowing the property tax rate to increase by a statutorily mandated percentage. Then, in 1986 a "target equalization factor" and minimum guarantee per pupil were added to the formula. State funding was increased if the corporation's expenditures were below the targeted amount. A grandfather clause guaranteed that those schools above the targeted amount would not have their state allocations reduced.

What was the effect of the property tax freeze and formula revisions? A previous study[11] examined the fiscal equity of Indiana's public school operating expenditures for the 1972–73 (the year before the freeze) and the 1985–86 school year. The horizontal equity measures employed were the boxplot, Lorenz curve, federal range ratio, variance, coefficient of variation, McLoone index, and the Gini index. The results indicate that the only measure indicating increased equity for 1985–86 in comparison to 1972–73 was the McLoone index. For all the other measures 1972–73 was more equitable than 1985–86. Therefore, the conclusion drawn was that fiscal inequity among school corporations widened after the tax levy

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freeze. The increase in the McLoone index demonstrates improvement only for those districts below the median per pupil expenditure level.

The Current Situation

In 1987, in response to the inequities that exist between property rich and property poor school corporations, a coalition of poor school corporations filed a lawsuit against the state of Indiana claiming the current system of funding schools unconstitutional. One of the major issues the plaintiffs cited in their argument was that the same tax rate produces different revenue in different districts. Property poor districts have higher tax rates than property rich districts, but generate fewer dollars per pupil. When the property tax levies were frozen in 1973 some corporations had extremely high tax levies while others were relatively low. Those districts with the higher rates have a distinct advantage and are able to generate more dollars per pupil when percentage increases are permitted. Although the lawsuit is now history, it is more than likely that the plaintiffs will formulate a new lawsuit when the legislature's revisions do not produce the intended equity outcomes. The 1993 General Assembly developed a "reward for effort" formula that establishes a new funding formula. The "reward for effort" principle dictates that all districts that impose the same property tax rate will have the same amount of money to spend per pupil, and that a higher local effort could be used to generate additional revenues.[12] The legislature intends to phase the new formula in over a six-year period; however, the details and funding for implementation are only figured out through 1995. Therefore, in order to establish a statistical basis for comparison of equity gains in the future and examine the consequences of previous legislative formula revisions, the following questions are addressed in this research:

- What have been the consequences of previous formula revisions (i.e., target equalization factor and minimum guarantee) on horizontal equity.
- What has been the long-term effect of the property tax freeze on total current expenditures? Has equity improved or worsened?

The next section attempts to answer these questions.

The Status of Horizontal Equity in Indiana

In the following analysis horizontal equity is explored and each category (current, all, and instructional expenditures) is addressed within the measurement section. Also, related figures and tables are coordinated in the same manner.

Range and Restricted Range

The range and restricted range are univariate dispersion measures that indicate in dollar value the difference between the highest and lowest spending districts in the distribution of per-pupil expenditures. The range ranks all school districts in ascending order based on per-pupil expenditures to calculate the difference. The restricted range attempts to account for the possibility of outliers, and therefore, five percent of the total student population (Average Daily Attendance) is taken off the top and bottom of the distribution to make the calculation. The range and restricted range do not take inflation into consideration, therefore the Consumer Price Index (CPI) is utilized to adjust the current dollar figures to constant dollars based on the 1991–92 school year. Figure 1 presents a graphic illustration of the range and restricted range data for total current expenditures contained in Table 1.

The 1972–73 and 1985–86 data are based on a previous study and allow a long-term comparison of variations in **current expenditures**.[13] The range has increased almost 137% since 1972–73 and since then has remained fairly stable, although high at over $3,400. In contrast, the restricted

Table 1. Range & restricted range data** for total current expenditures.

	School Year				
	72–73	85–86	89–90	90–91	91–92
Range	$2,493 ($772)*	$3,497 ($2,753)*	$3,771 ($3,465)	$3,470 ($3,362)	$3,415
Rest. Range	$1,072 ($332)*	$2,568 ($2,022)*	$2,559 ($2,352)	$2,487 ($2,410)	$2,561

* Source: Wood, et. al. (1990).
** Unadjusted values appear in parenthesis.

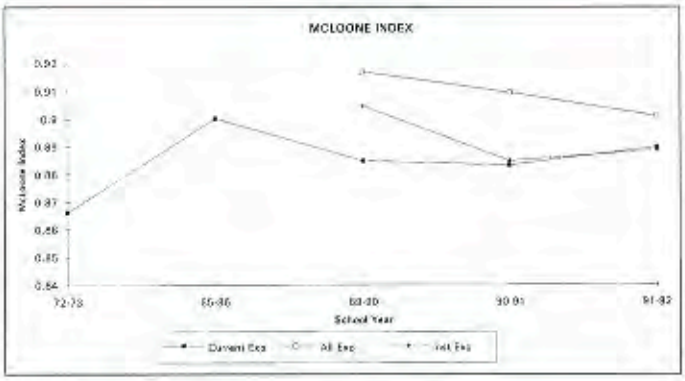

Figure 1.

range has increased almost 239% since 1972–73 and has hovered around $2,500 since 1985–86.

The range and restricted range for **all expenditures** (this includes capital outlay and debt service) is also found in Table 2 and illustrated in Figure 2. It is evident that when adjusting for inflation the difference between high and low spending districts, as reflected by the range and restricted range, have grown smaller over the past three years.

Since **instructional expenditures** give an indication of dollar differences in the amount allocated to instruction, this expenditure was included in the investigation (see Table 3 and

Table 2. Range & restricted range data** for all expenditures.

	School Year		
	89–90	90–91	91–92
Range	$7,906 ($7,265)	$6,620 ($6,414)	$6,213
Restricted Range	$2,972 ($2,731)	$2,827 ($2,739)	$2,668

** Unadjusted values appear in parenthesis.

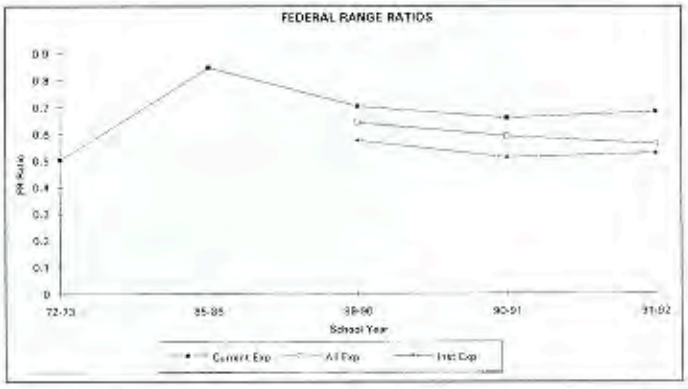

Figure 2.

Table 3. Range and restricted range data** for instructional expenditures.

	School Year		
	89–90	90–91	91–92
Range	$1,762 ($1,619)	$2,029 ($1,966)	$1,865
Restricted Range	$1,147 ($1,054)	$1,034 ($1,002)	$1,065

** Unadjusted values appear in parenthesis.

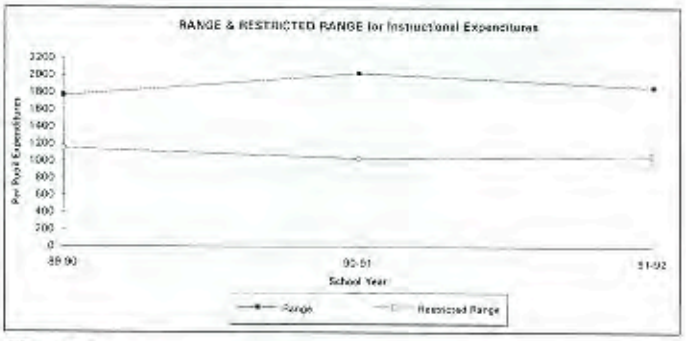

Figure 3.

Figure 3). Other than an increase in the range during the 1990–91 school year, variations have been minimal. However, a range of over $1,800 and a restricted range of over $1,000 in expenditures indicates considerable variation in expenditures for instruction across school districts.

Federal Range Ratio

The federal range ratio is a more accurate range statistic than the range and restricted range since it is insensitive to equal proportional changes and as a result is an inflation proof measure. In simple terms the federal range ratio develops a factor which expresses in a standard way the difference between the value at the 95th percentile to the value at the 5th percentile.

Table 4. Range & restricted range data** for total current expenditures.

	School Year				
	72–73	85–86	89–90	90–91	91–92
Current	.5021*	.8471*	.7021	.6579	.6797
All			.6417	.5896	.5591
Inst			.5748	.5102	.5251

*Source: Wood, et. al. (1990)

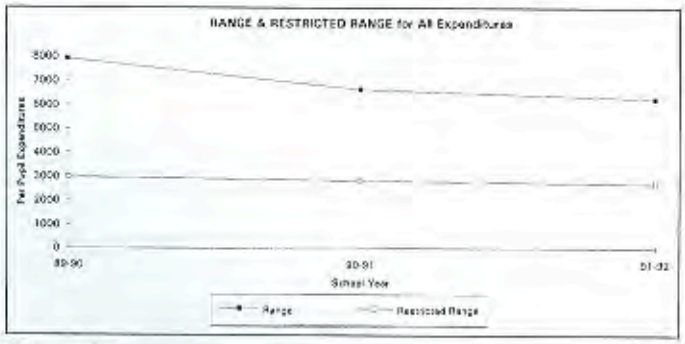

Figure 4.

The federal range ratios for current expenditures, all expenditures, and instructional expenditures are graphically displayed in the charts contained in Figure 4 and the statistical data recorded in Table 4.

Again for total **current expenditures** the 1972–73 and 1985–86 data are available for comparison.[14] As Figure 4 illustrates the federal range ratio was a little over 50% in 1972–73 and jumped to almost 85% in 1985–86. By 1989–90 the federal range ratio dropped to 70%, and then decreased slightly more in 1990–91 to almost 66%, but now it shows an increase to almost 68% in 1991–92. It is notable that prior to the property tax freeze there was more horizontal equity as measured by the federal range ratio than has been measured since that time. A federal range ratio of almost 85% in 1985–86 was a signal that most likely resulted in the passage of the target equalization factor and minimum guarantee. Although these formula revisions have somewhat improved the situation, the level of equity present in 1972–73 (50%) has not been realized since.

An investigation of the federal range ratio for **all expenditures** from school years spanning 1989–1992 shows a reduction in the ratio (see Table 4 and Figure 4). However, one must keep in mind that this particular expenditure figure includes facilities acquisition/capital outlay and debt service. Many school corporations (rich and poor) are undertaking building projects which may explain the reduction in the ratio. The addition of these categories tends to disequalize the expenditure picture in terms of what is spent on students.

The federal range ratio for **instructional expenditures** was highest in 1989–90 when it was over 57% (see Table 4 and Figure 4). The ratio dropped to 51% in 1990–91, but then rose again to almost 53% in 1991–92. The question that must be asked is whether there should be over a 50% difference in expenditures for instruction between the students at the 95th percentile and 5th percentile in the distribution of per pupil objects.

McLoone Index

The McLoone Index is another statistical measurement that is inflation proof. The McLoone index varies between zero and one and is the only horizontal equity measure that gets larger as equity increases; hence, a value of one is perfect equity. The purpose of the McLoone index is to measure the degree of equality only for observations below the 50th percentile or median per pupil object. Therefore, this measurement will indicate whether the target equalization factor implemented in 1986 has had any impact on equality for corporations below the median.

The McLoone Index for current expenditures, all expenditures, and instructional expenditures is visually depicted in the charts contained in Figure 5 and the statistical data is reported in Table 5. The **current expenditures** category again includes the data compiled from the earlier study[15] and Figure 5 illustrates a drastic increase in the McLoone Index in 1985–86 to .9001, but a drop in 1989–90 and 1990–91 with a rebound to .8895 in 1991–92. Although there have been some fluctuations, the value of the index indicates that there has been significant progress toward equity for students in the lower half of the distribution since the target equalization factor was added.

The McLoone Index for **all expenditures** (see Table 5 and Figure 5) is the highest of all the categories of expenditures examined. However, the index has been on a slow decline since the 1989–90 school year. Although a standard has not been set values in the .9 range however are more than acceptable.

The McLoone index for **instructional expenditures** (see Table 5 and Figure 5) shows that it was highest during the 1989–90 school year (.9046), declining in 1990–91 to .8846, but recovering in 1991–92 to .8884.

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Table 5. McLoone Indexes for current, all, and instructional expenditures.

	School Year				
	72–73	85–86	89–90	90–91	91–92
Current	.8662*	.9001*	.8847	.8831	.8895
All			.9168	.9092	.9006
Inst			.9046	.8846	.8884

*Source: Wood, et. al. (1990)

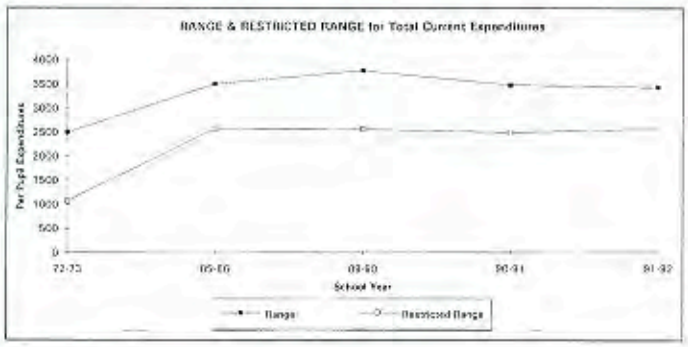

Figure 5.

Although the McLoone index for the expenditures examined appear to be high, values for most school finance data sets is in the .7 to .95 range.[16] Consequently, the indexes found in this study are within the normal range.

Gini Coefficient

The Gini coefficient is used to assess per pupil object inequality. Berne and Stiefel define the Gini coefficient as showing how far the distribution of per-pupil object is from providing each percentage of pupil (e.g., 5 percent of pupils) with an equal percentage of object (e.g., 5 percent of objects); based on the Lorenz curve.[17] The smaller the Gini coefficient the more equal the distribution of the object. Values for the gini coefficient range from 0 to 1, with 0 indicating perfect equity. The values of the Gini coefficient and graphic representation of the results for current expenditures, all expenditures, and instructional expenditures are found in Figure 6 and Table 6.

Again for **current expenditures** the data from the Wood, et. al., research are included for comparison.[18] The lowest value (greatest equity) (see Table 6 and Figure 6) for the Gini coefficient was before the property tax freeze in 1973. Since then it rose dramatically in 1985–86 to .089, dropped in 1989–90 to .084, rose again to .089 in 1990–91 and 1991–92.

The Gini coefficient for **all expenditures** also shows some fluctuations (see Table 6 and Figure 6) starting at .083 in 1989–90, dropping to .081 in 1990–91, and then increasing to .085 in 1991–92. Again, additional funding for capital outlay and debt service could account for some of the fluctuations.

The category of **instructional expenditures** (see Table 6 and Figure 6) shows the same Gini coefficient for 1989–90 and 1990–91 (.085) and then an increase in equity for 1991–92 when it dropped to .0795. Instructional expenditures is the only area where the Gini coefficient improved for the 1991–92 school year.

A standard has not been set for the Gini coefficient, but a value below .1 is desirable.[19] The values found in this research then indicate that the Gini coefficient is in a desirable range. However, Odden and Picus caution against making equity conclusions based on the Gini coefficient. They state, "even in a system with what most would call large differences in expenditures or revenues per pupil, the Gini coefficient could be .1 or close to zero. A value close to zero suggests equality, but the system may, in school finance terms, be quite unequal".[20]

Table 6. Gini Coefficients for current, all, and instructional expendtures.

	School Year				
	72–73	85–86	89–90	90–91	91–92
Current	.079*	.089*	.084	.089	.089
All			.083	.081	.085
Inst			.085	.085	.080

*Source: Wood, et. al. (1990)

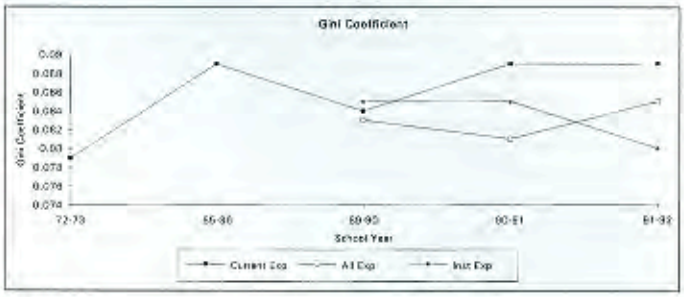

Figure 6.

Therefore, the unusually small Gini coefficients found in this research are not necessarily in indication that the system of financing schools in Indiana is equitable.

Analysis and Discussion

It is evident that in general, expenditures for school districts below the median have improved since 1986 as reflected by a slight improvement in the McLoone index, but the degree of improvement is not extraordinary. Second, the long term effect of the property tax freeze (1972–73) on total current expenditures has not improved horizontal equity, but instead the equity measurements reflected by the range, restricted range, federal range ratio, and gini coefficient were more equitable in 1972–73. So, the answer to the question of whether equity has improved or worsened is that it has worsened for the category of current expenditures since 1973. In general terms, when comparing horizontal equity measures for all three categories explored for the school years 1989–90, 1990–91, and 1991–92, there was some fluctuation in equity both ways, but not enough to say that equity significantly improved or worsened.

The obvious question to ask is, "why has equity not improved?" If there had been significant improvement in equity over the last several years, the coalition of small school districts would not have filed a lawsuit against the state asserting the current system of funding education unconstitutional. The state legislature has revised the finance formula several times to supposedly make it more equitable. A target equalization factor and a minimum guarantee were added to the formula in 1986, but the legislature somewhat defeated their purpose when a grandfather clause was added to the bill. To illustrate, the grandfather clause guaranteed that no district would receive less revenue than it had the previous year, so higher spending districts were able to spend even more dollars per pupil if their property tax rate increased even slightly. This guarantee allows the rich to get richer and the poor to remain poor.

Property tax assessments are another controversial issue in Indiana. Property assessments and assessment practices vary widely across the state resulting in property tax being an unfair and inequitable source of revenue for schools. Differential assessment practices make it difficult to compare tax effort among school districts, which is a primary element in the new formula. In response to this problem the legislature commissioned a study of assessment practices, including a

comparison of current assessed values with market-based assessments. It is likely that any funding formula based on comparative tax efforts will require changes in assessment practices.[21]

Taking the above mentioned factors into consideration we might ask, "Can equity be realized in Indiana?" The answer is maybe, but only if steps are taken to reform property tax assessment practices and tax rates are actually equalized across the state. Also, implementation of a combination foundation and guaranteed tax base finance formula would definitely improve equity; however, the guaranteed tax base must be set at a high enough level to provide assistance to property poor districts. As is the case in many other states, revenue to fund education and finance reform is a major stumbling block in Indiana. The political economy is such that raising sales or income taxes is not an acceptable option. The only tax increase considered during the last legislative session was increasing the cigarette tax, but since Indiana has tobacco farms in the southern part of the state and competes with Kentucky for business, the tax increase was nixed. As a result, the percentage increase in school funding that was proposed was substantially reduced. Instead of a tax increase, the state legislature is counting on an improved economy to generate more money for the upcoming biennium (1994–1996). However, in order to successfully achieve the intended tax equity, significantly more state monies are needed than are currently available.

Consequently, another policy consideration to improve equity would be removing the property tax freeze that was imposed over 20 years ago. Districts that had low tax rates were frozen with low rates, and since only uniform percentage increases have been permitted, they continue to have low rates when compared to districts that had high tax rates when the freeze was instituted. If low property tax rate districts also have low assessed valuations they suffer even more, since the small percentage increases yield only a minimal increase in dollars per pupil. However, some districts with high assessed valuations have low property tax rates, so the same percentage increase yields hundreds of dollars more per pupil than the district with lower assessed valuations. Removing the freeze, especially on the low property tax rate and low assessed valuation districts would give them an opportunity to come closer in equalizing the local revenue per pupil that is available for schools. However, a cap on tax rates for the high tax rate districts and high assessed valuation districts should be imposed so that the vast disparities are not permitted to escalate even further.

Conclusion

In summary, the Indiana school funding formula creates inequities in expenditures across school districts. In order to develop the total picture, revenue data and property tax assessments must be analyzed. Also, at issue is the fact that in Indiana, politics is playing a major role in the school finance reform controversy. For example, in 1990 a task force on financing public education in the state of Indiana formulated by the elected, republican state superintendent, developed seven recommendations and proposed a new power equalization formula structure.[22] This model is similar to the combination formula discussed above, and would go a long way in the effort to improve equity, but to date none of the task force recommendations have been implemented by the democratic governor. One possible reason for ignoring the recommendations is that new or increased taxes would be necessary to fund the new formula suggested by the task force. Again, in the November 1992 election the democratic governor was re-elected and a new republican state superintendent was elected. So, the impasse continues!

It is likely that the only "solution" to Indiana's equity dilemma is the courts. Many coalitions of poor schools in other states have launched successful litigation against their respective states and reformed school finance. Kentucky is a prime example of a state that not only reformed school finance, but the entire system of education throughout the state. Perhaps, the Indiana governor and state legislature should put politics aside and reconsider taxes and school finance reform in their next biennium, or the courts may force them to do so in the very near future.

Endnotes

1. "Schools Drop Funding Lawsuit." *The Times* (Frankfort, IN), September 18, 1993, p. 1.
2. R. Berne, and L. Stiefel, *The Measurement of Equity in School Finance* (Baltimore: Johns Hopkins University Press, 1984): 19.
3. Ibid. at 13.
4. This category includes expenditures for instruction, pupils, instruction staff, general administration, school administration, business, central, and other.
5. This category includes current expenditures plus facilities acquisition/capital outlay, debt service, textbooks, food service, community service, and non-programmed expenditures.
6. A component of current expenditures.
7. R. C. Wood, D.S. Honeyman, and V. Bryers, "Equity in Indiana School Finance: A Decade of Local Levy Property Tax Restrictions," *Journal of Education Finance 16*, no. 2 (1990): 83–92.
8. Ibid.
9. E.R. Adams, R. Lehnen, and C. Johnson, "Indiana." in Gold, Smith, Lawton, and Hyary, eds., *Public School Finance Programs of the United Stated and Canada 1990–91* (New York: Nelson A. Rockefeller Institute of Government), 209–218.
10. C.E. Johnson and R.G. Lehnen, "Reforming Indiana's School Finance Formula, 1973–1990: A Case of Unanticipated Outcomes," *Journal of Education Finance, 18*, no. 3 (1993): 264–280.
11. Wood, et. al., "Equity in Indiana School Finance."
12. C.E. Johnson, *School Funding Equity: An Implied Promise* (Policy Report). Indianapolis, IN: School of Public and Environmental Affairs, Indiana University, (October, 1993).
13. Wood, et. al., "Equity in Indiana School Finance."
14. Ibid.
15. Ibid.
16. A.R. Odden, and L.O. Picus, *School Finance: A Policy Perspective* (New York: McGraw Hill, 1992).
17. R. Berne, and L. Stiefel, *The Measurement of Equity in School Finance*, 19.
18. Wood, et. al., "Equity in Indiana School Finance."
19. Odden and Picus, *School Finance: A Policy Perspective*.
20. Ibid at 61.
21. M.A. Hirth and D.E. Broomhall, "*School Finance in Indiana: Past, Present, and Future.*" Paper presented at the American Education Finance Association Annual Conference, Nashville, TN (March, 1994).
22. *Task Force Report on Financing Public Education in the State of Indiana.* Prepared for H. Dean Evans, State Superintendent. (1990).

Book Review

Law and Education: Contemporary Issues and Court Decisions. H. C. Hudgins and Richard S. Vacca. Charlottesville: The Michie Company, 1991.

If you haven't had an opportunity to look at the new revision of Hudgins and Vacca's book on *Law and Education*, do it now. With the third revision of their book, the authors address their interest in the constantly changing nature of law. Here is a comprehensive revision which updates law impacting education through the precise selection and addition of statutes and cases which continue to modify that law. The book is as current and complete a treatment of school law that one will find. It was the authors' intent that ". . . the treatment of these issues . . . help various people understand their roles and then perform them consistent with law and sound educational practice." With that as motivation, they have written a work that is useful to student, professor, and practitioner alike. It is not a case book; nor an endless narrative of case after case; nor is it a watered-down "layman's" version; it's a good, substantive, contemporary treatment of education law.

The book is organized into four sections, providing a logical format for understanding the structure of law as it relates to education: (1) Law and Education, (2) Law and Professional Staff, (3) Law and Local Boards of Education, and (4) Law and Students. Each chapter within the sections is sub-divided to provide easy reference to individual topics. A nice touch is the way in which the authors assist the reader by italicizing legal word and phrases. The occasional definitions found in parentheses after legal terms, however, do not fulfill all readers' needs. A legal dictionary would be a good supplement to go with the book, especially as there is not a glossary of terms.

Law and Education, the focus of Section I, is a comprehensive review of the history and structure of the American legal system and the relationship of government to public education. It takes the form of a careful discussion that starts the reader off with a sound foundation for the study of the evolution of education law. Especially helpful is the authors' description of the adjudication process. Like the law, it turns on the concept that "at the very core of the American legal system is the principle that for every wrong done to an individual by the government or by any other individual, there should be a remedy provided." The discussion includes a full review of the avenues for seeking redress which are open to those who labor and live in an educational environment. Also, a useful guide to the tools of research is tucked into this section, a wonderfully valuable part of this book for students, self-taught researchers, advisors of dissertations, and all kinds of folk.

In Section II, Law and Local Boards of Education, four main areas are treated: Status and Power, Tort Liability, Collective Negotiations, and Finance. As the authors caution readers, their discussion is a general treatment of what boards of education have in common under the law; readers are to refer to specific state statutes for guidance since the laws of one state may not apply to another state, regarding school boards. Nevertheless, given the many questions emerging today around governance, as site-based management, full-service schools, and restructuring get into swing, this section can be really helpful in providing baseline information on law relating to school boards. Also, there is a definitive chronology of decisions related to tort liability, and practical recommendations for educators with which to stay out of legal hot water. In like fashion, the conclusions the authors reach about the future of educational finance as it relates to the courts are not only important to practitioners and students, they are very timely. The finance litigation of the late 1980s is well-documented, and Hudgins and Vacca warn educators to expect to be required by the courts to "provide differing resources to meet differing student needs," even as a posture of fiscal neutrality is maintained.

Predictably, the book focuses largely on the law and professional staff and the law and students, the last two sections. As in the first two sections, the work is comprehensive, rich, well-written, and replete with recommendations. The jewels in these sections are the recent cases which begin to reflect a change in judicial thought, and deserve to catch the attention of all those who follow education law, but especially the practitioners. The authors see, for instance, an emergency of a "court attitude" toward the decision-making of public school personnel and teachers' rights. A part of this new attitude, Hudgins and Vacca suggest, is "a return of federal courts to a hands-off attitude toward public school personnel decisions, a renewed insistence by federal courts that aggrieved individuals seek remedies provided in state law before taking their complaint to federal court, . . . and the application of a more flexible standard of due process when personnel decisions are heard in federal court." The Section on the law and students is also thick with new litigation, which of course means that there are updates: on students and substance abuse (drug testing being the significant part there, on "freedom of expression 1990," AIDS issues, and notably, on prayer at graduation ceremonies, to mention a few.

Taken as a whole, the authors have written a balanced, complete, and cogent work on education and the law. Despite the presence of large excerpts from the cases themselves (which may have been helpful in some instances), the book can be used alone as a textbook. Regardless, because of the inclusion of case citations that are current and the recommendations regarding professional practice and performance, this book is a necessity in the library of any student, professor, school official or policymaker whose work is touched by the law. If you liked their older editions, you'll like this book by Hudgins and Vacca even better.

Reviewed by Christine Arab, doctoral student, Educational Leadership, University of Florida and Joan Curcio, Virginia Polytechnic and State University.