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Fielden, Daniel Richard, Ed.D.

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**THE FORMULATION, IMPLEMENTATION, AND EVALUATION
OF EDUCATIONAL PLANNING IN PUBLIC SCHOOL DISTRICTS
OF TENNESSEE**

A Dissertation

Presented to

**The Faculty of the Department of Educational Leadership
and Policy Analysis
East Tennessee State University**

**In Partial Fulfillment
of the Requirements for the Degree
Doctor of Education**

by

Daniel Richard Fielden

December 1994

APPROVAL

This is to certify the Advanced Graduate Committee of

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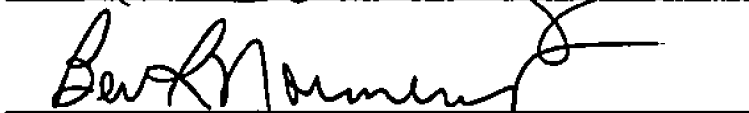

met on the

11th day of October, 1994.

The committee read and examined his dissertation, supervised his defense of it in an oral examination, and decided to recommend his study be submitted to the Graduate Council and the Associate Vice President for Research and Graduate Studies in partial fulfillment of the requirements for the degree Doctor of Education in Educational Administration.



Chairman, Advanced Graduate Committee



Associate Vice President for Research and Dean,
School of Graduate Studies

Signed on behalf
of the Graduate
Council

ABSTRACT

THE FORMULATION, IMPLEMENTATION, AND EVALUATION OF EDUCATIONAL PLANNING IN PUBLIC SCHOOL DISTRICTS OF TENNESSEE

by
Daniel Richard Fielden

The legislature of the State of Tennessee enacted The Public Education Governance Reform Act of 1984 as the first step in a restructuring and reform program for Tennessee education. One of the major elements of this piece of legislation was that the state board of education would "...develop and maintain current a master plan for the development of public education, grades kindergarten (K) through twelve (12)."

A regulation was passed by the Tennessee State Board of Education mandating that each local board of education in the state should develop and implement a five-year educational plan to include a mission statement, goals, objectives, and strategies. The first plan was due September 1, 1990. The plan was to be evaluated annually. Direction was not given as to process, evaluation, or expected outcomes.

In the absence of specific guidelines from the state, there was little understanding of the process followed by local school systems in Tennessee as they completed the educational planning process. The purpose of the study was to describe the process used by Tennessee school districts in the formulation, implementation and evaluation of a state mandated five year educational plan.

A review of the literature on educational planning did not reveal a definitive planning process or model. There was no grand scheme or master plan on the state or national level which looked at the whole in an attempt to put all the various restructuring or reform components together to form a complete educational plan.

Data were gathered using a survey instrument which covered seven research questions relating to the planning components found in the most accepted models in the literature. All Tennessee school systems were given an opportunity to participate in the study. The data suggest that local school systems did not receive sufficient information, training, and preparation materials to prepare an effective five-year educational plan. The educational plan was developed mainly by the local school boards and central office staffs in each school system.

An accepted planning model as found in the literature was not used by the majority of the school systems, nor was any attempt made to correlate the local plan with the state master plan. Sufficient information from the local community to project a vision for the school system or identify present or future trends in the schools and community was not collected prior to the development of the plan.

Implementation of the local plan was by top management in most systems. A formal evaluation process to measure success or failure in reaching the declared goals and objectives was not in place. Institutions of higher education were not given an opportunity to participate or have influence on the process of training, implementation, and evaluation of the local and state educational plans.

INSTITUTIONAL REVIEW BOARD

This is to certify the following study has been filed and approved by the Institutional Review Board of East Tennessee State University.

Title of Grant or Project The Formulation, Implementation, and Evaluation of Educational Planning in Public School Districts of Tennessee

Principal Investigator Daniel Richard Fielden

Department Educational Leadership and Policy Analysis

Date Submitted October 17, 1994

Institutional Review Board Approval, Chairman

David W. Waller MD

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DEDICATION

**This dissertation is dedicated to
my wife and dearest friend, Paulette,
my daughter, Heather, and
my son and his wife, Kevin and Jennifer.**

ACKNOWLEDGEMENTS

Sincere appreciation and gratitude is expressed to the diverse, caring, and professional individuals who contributed to the completion of this study. I wish to express my deepest gratitude to Dr. Donn Gresso who was not only the consummate professional as chairman of the research committee but shared great insight and guidance as he taught me self-discipline, technical skills, and creative and critical thinking in the completion of the dissertation.

The research committee chaired by Dr. Donn Gresso made each phase of the dissertation a rich educational experience. It was my pleasure to continue a long and very rewarding professional relationship with Dr. Robert McElrath as he served as mentor, counselor and guide in each phase of the study. Deep felt thanks goes to Dr. Russell West who introduced me to the world of statistics and the hidden secrets they were able to reveal if one had the willingness to listen, learn, and apply. Dr. Cecil Blankenship provided the depth of understanding I needed to relate the study to curriculum and correlate the worlds of administration and learning into a holistic concept that dealt with the total student.

I developed a great friend and professional colleague in Dr. Jessie Strickland. I am deeply grateful to her for spending untold hours reading and editing my manuscript. To Dr. Melanie Narkawicz my sincere thanks for assistance in helping me develop the plan to do the statistical portion of the study. My deepest gratitude goes to Sharon Barnett for the assistance, guidance, support, and friendship she gave as she helped me move through the maze of red tape on the way to completion of the

dissertation.

A very special thanks to each member of Cohort I for the friendship, concern, professional advice, and collegiality that will always be a part of the total doctoral experience in my memory. To my dear friends Steve Norris and the late Andy Moen for their technical advice and assistance as the dissertation was prepared.

The study would not exist without the encouragement, support, and love of my family. I will always be in debt to my wife for her belief in me and her constant encouragement for me to finish the task. To my children, parents and in-laws, I can never recover the hours I was not able to spend with you because of the time required to complete this task. For your patience and support I will be eternally thankful.

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CHAPTER 1

"When the Sea was calm all ships alike showed master ship in floating"
William Shakespeare

INTRODUCTION

If a person lived in a stagnant or static society where change was not a part of the life experience, tomorrow would be a rerun of today, and yesterday would be the only road map necessary for survival. Charles H. Duell, Director of the U. S. Patent Office in 1899, declared, "Everything that can be invented has already been invented." He felt the patent office had run its course and should be abolished (Pfeiffer, Goodstein, & Nolan, 1989). Duell espoused very little need for visioning, creativity, innovation, or planning since the future was already determined. However, the human condition would not call for a great deal of adaptability or change if everything had already been invented.

In a society with no change, mediocrity would be the rule and not the exception. As Sechrest noted, "mediocrity is so easy to achieve, there is no point in planning for it" (Kaufman, 1988). Society's problem is quite the opposite of the static society. Change is one of the few constants in our world. Pfeiffer et al. (1989) observed that the rate of change is accelerating at such a pace those not synchronizing with the emerging changes may face a precarious future. Contrary to the observation of Duell concerning the future of inventions it was found that over half of the technological changes on earth have occurred since 1900.

Cook (1990) suggested our society was in a process of massive change and not the least of the factors causing this change was the knowledge explosion. He found

that knowledge doubled in our civilization in the following pattern:

from 4 B. C. to 1900 A. D.

from 1900 to 1950

from 1950 to 1960

from 1960 to 1965

then every three years

now every 18 months (Cook, 1990, p. 29).

Toffler (1980) and Cook (1990) observed that mankind is in the process of changing or moving from one era to another economically and socially. They suggested that we experienced the "Agrarian Age" from approximately 8,000 BC until sometime around AD 1650-1750. At this point, the age peaked into the "Industrial Age." It began to dominate the planet prior to cresting in the mid 1950s. The "Information Age" was born with the observation of more white-collar and service workers in the economy than the blue-collar workers of the industrial age. Americans are currently in the "Information Age," but Cook (1990) contended that a "Biogenetic Age" is in the embryonic stage at this moment and will be in full bloom shortly. This new age will cause immense changes in the way we function as a society.

Toffler (1990) hypothesized in The Third Wave,

A new civilization is emerging in our lives, and blind men everywhere are trying to suppress it. This new civilization brings with it new family styles; changed ways of working, loving, and living; a new economy; new political conflicts; and beyond all this an altered

consciousness as well. Pieces of this new civilization exist today.

Millions are already attuning their lives to the rhythms of tomorrow.

Others terrified of the future, are trying to restore the dying world that gave them birth. The dawn of this new civilization is the single most explosive fact of our lifetimes (p. 9).

This new society will be so profoundly revolutionary that it will challenge all our old assumptions. Toffler stated, "We cannot cram the embryonic world of tomorrow into yesterday's conventional cubbyholes" (Toffler, 1980).

The paradigms of society are slowly, and reluctantly changing. McCune (1986) observed that the current changes from an industrial to an information age were first seen in the economic sector but are now visible in our social, political, organizational, and personal lives.

Kaufman and Herman (1991) concluded that "...to remain static is to await decay and evolutionary extinction; to react is to risk dissipation of energy without achieving relevancy; to innovate and act to increase our responsiveness to other people is to invite criticism" (p. 3). To be a risk-taker, does not come without consequence but to remain stagnant may mean the death of an organization. Peter Drucker (1985) concluded that while initiation of innovative, responsible change is risky, it is more risky to maintain the status quo. If you stand still you will be overtaken by the world.

If society is to adapt to the changes and challenges of the new age, people must be prepared for this change, economically and socially. "A society capable of

continuous renewal has to be one that systematically develops its human resources, removes obstacles to individual fulfillment and emphasizes education, lifelong learning and self-discovery" (Morphet, Jesser, & Ludka, 1972, p. 58). McCune (1986) noted, "Changes in society have occurred so rapidly and extensively as to warrant our calling this time an age of transition" (p. 32).

Vast societal change will require education to reevaluate or reanalyze current process, product, output, policies, procedures, goals, objectives, and missions. Schlechty (1990) called for education to restructure in order to meet these challenging changes. He concludes that restructuring means altering systems of rules, roles, and relationships in such a way that schools can serve existing purposes more effectively or serve new purposes altogether. McCune (1986) asked, "Given the changes in the larger society, what knowledge, skills, and competencies are children going to need to participate fully in the future? What should be the role of schools in meeting the larger societal needs of the present and future?"

As one observes the changes taking place as a result of moving from one age or "wave" to another, it is important to identify change trends. Cooper (1985) identified several trends that already strongly affect schools: an aging population, a growing proportion of minority students, and growing numbers of special interest groups competing for scarce public resources. Cook (1990) maintained that demographics, economic transitions, transformation of mainstream values, and competition were the major change elements in the new society.

The transition from an industrial age to an information age has not been a

smooth one for education. The observation might be made that, "Most educators are willing to change, not because they see the light, but because they feel the heat (Anonymous)." A person does not have to go far to find those critical of the methodology used to move from one age to the next. Is it business as usual in the educational community with little or no realization of the immense global changes?

On August 26, 1981, U. S. Secretary of Education Terrence Bell created the National Commission on Excellence in Education and charged them with the responsibility of appraising the quality of education in America. April 26, 1983 the commission reported their findings in A Nation at Risk: The Imperative for Educational Reform. The commission reported that our nation was at risk, because "our once unchallenged preeminence in commerce, industry, science, and technological innovations is being overtaken by competitors throughout the world" (National Commission on Excellence in Education, 1983, p. 5).

In their findings, the commission declared that even though it was unimaginable a generation ago that anyone in the world would ever match, much less surpass our educational attainments, indeed, it had happened or was in the process of happening. In the introductory portion of the report, the stage was set as they proclaimed, "If an unfriendly foreign power had attempted to impose on America the mediocre educational performance that exists today, we might well have viewed it as an act of war" (National Commission on Excellence in Education, 1983, p. 5).

The commission presented recommendations to the Secretary of Education in the areas of content, standards, expectations, time, teaching, leadership, and fiscal

support. Although brief, the report dramatically presented a less than complementary snapshot of education.

The public perception of education was changing, the business community was beginning to question why the "product" of the educational system, the student, was not able to do the most basic educational functions. In the early 1980s, groups of corporate executives formed business round tables to lobby local, state, and national policy makers for school improvement. They had great concern about the lack of work place skills of high school graduates. So concerned was the corporate community, that over 300 reports expressing the views of corporate America on the state of education were issued (Cuban, 1992).

The Business Round Table (1988), a Washington based association of chief executives of the largest American-owned corporations, noted that the quality of the education of our children will determine our competitiveness globally, and our economic health domestically, and our communities' character and vitality". In their book, Politics, Markets and American Schools, Chubb and Moe (1990) proclaimed, "never before in recent history have the public schools been subjected to such savage criticism for failing to meet the nation's educational needs" (p. 1). Currently state and local governments seem to be aggressively dedicated to studying the schools' problems and finding the resources for solving them. Chubb and Moe (1990) suggested that this may be "the greatest and most concentrated surge of educational reform in the nation's history" (p. 1).

John Akers, former chairman of IBM, said, "Education isn't just a social

concern, it's a major economic issue. If our students can't compete today, how will our companies compete tomorrow?" (Cuban, 1992, p. 157) There is a constant stream of articles in the media comparing American education with education in the other industrialized nations of the world. In a special cover story, Fortune reported,

It's like Pearl Harbor. The Japanese have invaded, and the U.S. has been caught short. Not on guns and tanks and battleships--those are yesterday's weapons--but on mental might. In a high-tech age where nations increasingly compete on brainpower, American schools are producing an army of illiterates. Companies that cannot hire enough skilled workers now realize they must do something to save the public schools. Not to be charitable, not to promote good relations, but to survive (Perry, 1988, p. 42).

These same corporate executives cut their corporate donations to elementary and secondary education in the 1980s. Most of their giving was to colleges and universities, in particular, to their alma mater, where their children and grandchildren will likely follow in their footsteps (Reich, 1991).

The Gallup/Kaplan Educational Poll has measured the national perception of public schools since 1974. Over the years since its inception the poll has consistently shown that when parents grade the schools in their own community 48% received a grade of A or B. Elam, Rose, and Gallup (1991) concluded, "As past polls have amply demonstrated, people tend to give higher grades to their local public schools than they give to public schools nationally" (p. 54). The researchers suggested this

may be a perception caused by the media. The low point came in 1983 just after the publication of A Nation at Risk when only 31% of the people gave their schools an A or B grade. Over the past seven years, no statistically significant changes in the ratings people have given their local public schools have occurred (Elam, Rose, & Gallup, 1991).

Is information presented from the Gallup Polls and the business community through groups such as the Roundtable able to prove through research and not simple perception that our economic problems are a result of a poor educational system? A search of the literature did not reveal research to confirm the observations of the Gallup Polls or the business community beyond perception. Just as dramatic in the defense of education are current scholarly articles such as that written by Bracey (1992), Weisman (1993), and Gray (1993). Each writer pointed the finger of blame at the industrial community for our economic problems. They suggested that this criticism of education was a way of covering their own shortcomings in the areas of management.

One of the chief complaints of business and industry has been that the educational system has not been able to produce students that could handle the skills or competencies required for the jobs of the 21st century. Weisman (1993) observed that studies of the most sophisticated United States corporations have consistently failed to find a shortage of skilled labor. He suggested that what is emerging is a picture of corporate America hiding decades of mismanagement behind the presumed faults of the education system. He offered the recommendation that business needs to

reorganize itself around a management model that heightens employee involvement and allows workers to perform complex tasks. He continued by citing a variety of studies that disprove the notion that education is at the heart of the economic decline or the social decline. But the perception given to the stakeholder in the communities around the land is that there is indeed a crisis.

A flood of studies, reports, books, lectures, and scholarly works were presented to address the perceived or valid educational crisis. Each solution spoke to a segment of the problem but none seemed to pull all of the research findings, scholarly debate, and other meaningful recommendations together. Each report, although similar, offered its own unique view of the situation (Cetron, 1985). The National School Public Relations Association in 1984 did a comparative study of 28 national reform studies and reports. This comparative evaluation is in agreement with the view expressed by Cetron (1985) in Schools of the Future.

Cook (1990) presented the notion that within the past several years a variety of factors have combined to generate concern at all levels of education as to the nature and purpose of the total process. In a brief overview, he stated the following;

The Presidential Commission's report, A Nation At Risk; the Carnegie Commission's report; the National Governors' Association's Time for Results, the "Education Summit"; the negative impact of teacher strikes and fights over merit pay; the unsettled question about the accountability of educators and the achievement of students; declining tax bases; the continuing white flight to private schools; teacher

shortages; adverse federal policies that curtail funding; community splits over special interests; bureaucratic state departments of education; politically dominated local boards; inept school administrators, unaccountable "decentralizing" education in the name of reform; a Congress that still believes the answer to effective education is preventing dropouts and raising test scores; and court orders that have nothing to do with education—all seem to have combined into a quiet crescendo of confusion and doubt even among the best educational leaders (Cook, 1990, p. 8-9).

The 1989 Educational Summit in Charlottesville, Virginia, led by President Bush, set up a committee to develop national education goals to meet the perceived educational needs of the nation. From the work of this committee came six educational goals for the nation that were to be attained by the year 2000. The Bush administration proposed an agenda of systematic educational reform designed to meet the *National Educational Goals*.

The idea of national goals set up by those outside the education community was a familiar scenario. "Would be school reformers have paid scant attention to the need to give school personnel enough time to plan, implement, and refine improvement programs," according to a study released by the RAND Corporation, Time for Reform. "No one in the district assesses what cumulative burden is being imposed at the school level," the reporter noted, "or even if the various departments are implementing programs that complement or conflict with each other. When

schools adopt reforms, they often fail to review their overall priorities, and as a result retain practices that are ineffective or unnecessary" (Rothman, 1992).

Some companies have attempted to become partners with the educational system to address the problems. RJR Nabisco is a firm that has exhibited a willingness to make their "walk and their talk" match. O'Looney (1993) reported, "...when the RJR Nabisco Foundation's Next Century Schools requested proposals for educational innovation, they reported receiving mostly stale reworkings of the same lockstep, factory-style learning programs that have dominated the educational landscape since the turn of the century" (p. 375).

Currently a national educational standard or national testing program is not in place which would serve as a norming or evaluation device to scientifically evaluate the schools in this country making a state by state or nation to nation comparison. Logic suggests that possibly looking at the whole might produce a clearer picture or snap shot of "what is." To carry this scenario a step further, envision educators assessing "what should be" to meet the demands of the various stakeholder.

Is it possible that the answer is not to be found in fragmentation by experimenting with solutions to individual problems, but rather taking a visionary look at education as it could be or should be in five to 10 years? This might provide a solution to the needs as perceived by business and industry. Would a formal planning process be a possible solution? The current fragmented problem solving we have used has not created the environment or product desired by society. A more holistic approach to the problem might be in order.

Michael Kirst, professor of education at Stanford University and co-director of Policy Analysis for California Education, suggested in a speech given at the 19th annual Urban Curriculum Leaders Conference that the major problem with efforts to improve schools during the past decade has been "incoherence." School quality has not been improved substantially through upgraded standards for teacher preparation, higher graduation requirements, and other reform recommendations that were put into practice and evaluated. He introduced the idea that there is a need for structure for a "systemic" or holistic school reform (O'Neil, 1992).

Kirst's analysis may be correct when he stated that American education suffers from "incoherence" as educators, business people and industrialists, the media, and the other stakeholders trying to improve education are going in a different direction (O'Neil, 1992). Albert Shanker, president of the American Federation of Teachers, espoused the "save-the-schools movement" is at best an uncoordinated effort and needs a system of sharing and communications. Mary Futrell, past-president of the National Education Association, made it very clear that her organization would not be responsive to business if they said, "This is the plan" (Perry, 1988, p. 42).

Donald Orlich (1989) suggested that public education has a long history of paying lip service to reform. Educational "reforms have been purely cosmetic; they have no profound impact on instructional strategies, on the organization of schools, or on student learning" (p. 513). He theorized that most reforms are "intrinsically inferior," the products of arm-chair theorists who suggest simplistic solutions to

complex educational and social problems (Orlich, 1989, p. 513). He summarized that each school district should be allowed to do a "local system analysis" to study its' own culture and needs. The community should then put into place a carefully researched, well-coordinated, and well-funded plan for specific improvements (Orlich, 1989, p. 517).

Who is developing the plan or strategies to address this real or perceived educational problem? Is the element of planning missing in the reform movement? Ben Franklin said, "Well done is better than well said. It has been said that if we fail to plan, we plan to fail" (Holloway, 1986, p 2). Survival on a day to day basis takes the place of planning, out of necessity (Lewis, 1983).

There is no shortage of recommendations and solutions to the problems of American education. All of the solutions to the problems that have been recommended by the experts in the field seem to speak to singular issues and not the total. Most reform recommendations or proposals while being valid, reliable, culturally unbiased, and measuring the various elements that define the aggregate of the student, give little evidence that they will provide the economy with a well trained productive worker, and America with a model citizen. This task is to be accomplished without a formal planning process in place, a vague mission, and very little cohesion between the education community, government, business, and the populace. This is no small challenge for any organization.

An examination of recent attempts at comprehensive school reform provides support for Ron Brandt's remark that "the freeway of American education is

cluttered with the wrecks of famous bandwagons" (Orlich, 1989, p. 514) Is the nation ready to address reform in a holistic manner or with a composite view? Should the problem of reform be better addressed on the national, state, local, or even the global level?

Logic would suggest that reform might need to be addressed globally or in a holistic manner. Instead of rearranging or restructuring the parts would it not be better to evaluate or assess the needs of the whole? Does the real or perceived need for reform call for planning for the whole? One might surmise that procedures for change or reform should be linked together in a cohesive approach or design if real change in student outcomes in areas such as basic skills, assessment, curriculum, value-added, staff development, and a multitude of other recommended improvements are to occur on the local, state, and national levels.

Without a network of integrated educational planning, can a cohesive educational reform movement take place, or will inconsistent and isolated change work at cross-purposes? Kirst warned in an address to the Urban Curriculum Leaders Conference that educators have been hamstrung in trying to create any systematic plans because federal and state policies are often inconsistent. He said legislation is currently being considered by Congress, which would award states grants for systemic reform planning (O'Neil, 1992). Even if a systematic educational planning approach is selected to move us through change and reform, to meet the change the educational community must take care not to be guilty of the same fragmentation of the past. Kaufman and Herman (1991) stated, "Basing educational planning on courses and

.mastery of content is to assume that the learning of material will automatically make the learner successful in later life....Much of educational planning and delivery now is concerned only with pieces, or splinters, of education" (p. 9).

Most educational planning takes place in a time of major change in society or in the economy. Morphet, Jessor, and Ludka (1972) conclude, "Planning for educational change has been considered desirable for some years; today it is essential. The current mandate for planning comes from the people: they want better education and this tends to be interpreted as a 'different' education" (p. 58). Knezevich (1984) viewed planning as the prime mechanism by which a system adapts to change. Sanderson (1983) in his study found a multitude of sources that proclaimed that planning is the "vehicle of change."

Morphet et al. (1972) call for systematic continuous long-range planning for affecting improvements in all aspects of life, and especially in education. They noted that change will take place whether or not we are prepared for it. Appropriate planning can help to offset many of the difficulties that will be encountered. They contend that planning cannot be isolated from other developments in the cultural, economic, and political aspects of the social system.

A standardized approach to the organization of educational planning nationwide may be impossible, but each state after consideration of the varied organizational, political, and legal differences may approach this problem from the state level. Some educators and writers suggest that each state must have an organization within the state to conduct the planning process in a systematic and comprehensive manner. The

.planning organization must have the needed technical competence to enable planning to be based on systematic, valid study and evaluation of education. Morphet et al. further suggested that:

...the planning organization must be able to work with the other action agencies—the state legislature and executive branch—so that statewide, comprehensive plans may be translated into action programs mandated by these agencies; to other educational institutions to further influence the planning of their programs; to concerned agencies and groups to ensure appropriate involvement in the decision-making process (1972, p. 67).

After a search of the literature, the researcher could not find evidence of the federal government passing legislation or mandating that the states pass legislation to establish a planning process. As presented earlier in the references of scholarly works, there is general agreement that as a nation we are in a period of major change. The point was made that in a period of major change the planning process has proven to be an excellent tool to move a society from one level of existence to the next level with the least amount of conflict and confusion. Kirst's analysis may be correct when he says we suffer from "incoherence" with everyone trying to improve education but each going in a different direction (O'Neil, 1992).

The literature seems to support the concept that educational planning is essential in a time of change. In addition, educational planning should not be fragmented by dealing with individual problems or "fire fighting." Reform and

.problem solving can be successfully accomplished when educators and stakeholders deal with the total system or process of education, not the separate parts. As a result of this thinking, many states are beginning to mandate (through legislation) the concept of master planning.

In 1984, the State of Tennessee entered an era of reform. In an attempt to address reform, the leadership in the executive and legislative branches of the government realized it was time for major change in education if the changing economic and societal needs of the state in the next century were to be met. The Public Education Governance Reform Act of 1984 provided for the appointment of a new state board of education under a new set of guidelines. One of the major elements of this piece of legislation was a mandated master plan for education that was to be developed by the new board of education (B. Poluton, personal communication, March 27, 1992).

The new board was given direction from the legislature and governor. They were given a great deal more power than prior boards, but were to be more accountable for their actions. They were empowered to take the necessary action to achieve the goals and objectives of the state with less political pressure. A variety of new programs had been introduced, tried, and discarded over the years. The legislation mandated that the state board of education as one of their major responsibilities would, "...develop and maintain current a master plan for the development of public education, grades kindergarten (K) through twelve (12)" (Tennessee Code Annotated, 49-1-302-(a)-3). Direction was not given as to process,

evaluation, or expected outcomes.

Mr. Toy Reid, president of the Eastman Chemical Companies and a state school board member, was selected by the board to chair a committee to respond to the master planning section of the legislation. With the help of an ad hoc board committee and the state school board staff a process was put in place to respond to the legislation. Mr. Reid received a great deal of input in this process from his own company and from a very diversified group of people with planning expertise from across the state and nation (F. Ralyston, personal communication, July 2, 1992).

The Tennessee State Board of Education developed and passed a regulation, 0520-1-3-.04(B), which stated:

...each local Board of Education shall develop and implement a five-year plan to include a mission statement, goals, objectives, and strategies. The first five-year plan shall be due September 1, 1990, with succeeding plans due every five years thereafter on September 1.

An annual status report on these plans shall be submitted to the Commissioner of Education by September 1 of each year in the required format (Tennessee State Board of Education, 1984).

The regulation stipulated that the local school board would develop and implement a five-year plan. The plan should include four elements: a mission statement, goals, objectives, and strategies. This would suggest that the strategic planning process was being recommended since these are elements of the generally accepted components found in this planning methodology (Cook, 1990; McCune,

1986; Pfeiffer, 1989). The local school board would submit an annual status report to the Commissioner of Education in a required format.

The role of the superintendent, staff, or community in the planning process was not addressed nor defined. The regulation did not address the evaluation of the plan, nor did it give a directive as to how it was to parallel or intergrate with the state master plan, required of the Tennessee State Board of Education by the Tennessee Legislature.

Neither body indicated what data, informational or statistical base, was acceptable when developing the plan. A planning model was not mandated nor recommended. A process of needs assessment or systems analysis as a base for planning was not required nor advocated. It should be noted that parameters were not set, thus suggesting the possibility that each school district might develop a plan that would not work in concert with the "master plan" of the state school board.

Tennessee school boards developed five-year educational plans for their individual districts and presented them to the state department of education. Little or no direction was given concerning procedure, process, outcomes, evaluation criteria, expectation, or funding. Some training for local school boards and superintendents was provided by the Tennessee School Board Association and team members from each state district office were assigned to help schools in their districts with the plans (T. Beach, personal communication, April 8, 1992).

The plans submitted by each system were evaluated by a committee appointed by the Commissioner of Education for the State of Tennessee. If the plan was

approved by the committee and the commissioner, the local school system was directed to proceed, but if it did not meet the criteria of the committee and the state, it was returned to the school system for revision. This process was repeated until the school system produced a plan which met all stipulations of the state regulation.

In addition to developing a five year plan each system was required to produce an annual report showing progress toward the goals listed in the approved plan. No directions, suggestions, or specifications were given as to how this report was to be developed, what it was to contain, who was responsible for development, or how the goal achievement was to be evaluated or analyzed.

Statement of the Problem

The Tennessee Board of Education mandated that local school districts develop and implement an educational plan. The mandated educational plan was to include a: (1) mission statement, (2) goals, (3) objectives, and (4) strategies. In the absence of specific guidelines from the state for developing an educational plan, there is little understanding of the process followed by schools as they completed their educational plan.

Purpose of the Study

A review of the literature on educational planning does not reveal a definitive process for the development of an educational plan for a local school district. There is general agreement that while a definitive process does not exist it is imperative that a well organized process is critical to accomplishing system goals and objectives. The process must contain certain ingredients or elements if the mission and vision of the

school system is to be attained. The purpose of the study is to describe the process used by Tennessee school districts in the formulation, implementation and evaluation of a state mandated five year educational plan.

Significance of the Study

This study is significant, because educational reforms seem to be void of a holistic view of educational mission, vision, goals, strategies, and action plans. There is no grand scheme or master plan which looks at the whole in an attempt to put all the pieces of the educational puzzle together to form a complete picture. This study is designed to analyze the attempt of one state, Tennessee, to address the question of planning a total state educational program instead of the fragmentation of the process as addressed earlier in this study.

This study will examine the process, implementation, and outcomes of the methods used in the Tennessee plan as they relate to educational planning practice. The results of this study should yield a picture of what others might do to establish a unified educational planning program.

A possible model for the educational planning process at the state and local district level may develop from the findings of this study. By combining research and the empirical findings of the study, it is suggested that the major elements of a model may develop. It will serve as a case study for others to develop hypotheses concerning educational planning and the role educational planning should play in the total stratagem of education.

Limitations

The following limitations are relevant to this study:

1. The study is limited to the planning program of one state and the 139 districts within that state.
2. The study is limited by the small amount of empirical and research literature addressing educational planning.
3. A search of the literature revealed that most reform, restructuring, or improvement efforts in education have centered around a given discipline, function, activity, or other single element.

Assumptions

The study will assume that the local school boards in Tennessee complied with the state board regulation developing and submitting a five year educational plan for their district. In addition, the researcher will assume that the commissioner or his designee evaluated each plan and after any necessary modifications by the local system gave approval to proceed with the implementation stage.

The school board members were invited to attend an educational planning workshop developed and conducted by the Tennessee School Board Association. The workshop was held on July 22-23, 1988 in Gatlinburg, Tennessee (Tennessee School Board Association Institute, 1988). It is assumed that all school board members attended or a representative responsible for planning on the board attended these sessions and brought the superintendent of schools with them to the workshop. The workshop was developed around a book on planning by James Lewis, Jr. (Lewis,

1983).

After extensive research on planning models, evidence could not be found which produced an accepted model for educational planning or business/industrial planning. Most planning models contain a core of the same basic elements.

Research Questions

The following questions were posed in this study:

Question I:

What information, guidelines, preparation, and training were given to the school board, administration, and educational staff prior to the development of the five year plan?

Question II:

What process was used by each local school system to develop the five year plan?

Question III:

Was the process adopted from one of the accepted models in the field/literature, or was it a model/process developed at the district level?

Question IV:

What attempt, if any, did the local system make to match their plan with the master plan prepared by the state board of education?

Question V:

What was the implementation process of the plan?

Question VI:

What methods and data sources were used to measure local goal achievement in the annual reports to the state commissioner of education?

Question VII:

What process is used to evaluate and upgrade the current educational plan and planning process or model.

Definition of Terms

The following terms were operationally defined:

Action Plan

An action plan is an operational plan which clearly and comprehensively responds to the What? and Why? questions providing answers to the questions of How? When? Who? and Where? as these questions apply to a specific set of tasks and procedures designed to achieve an objective. It is a detailed description of specific actions required to achieve specific results necessary for implementation of the strategies within a definite period of time (Kaufman & Herman, 1991; Holloway, 1986; Cook, 1990).

Belief

A belief is a statement based upon fact or one which is projected as becoming factual at some point in the future. It is the formal expression of the organization's fundamental values (Cook, 1990; Kaufman & Herman, 1991).

Critical Issues

Critical issues are matters that must be dealt with if the organization is to

survive or to recreate itself in the context of its own stated mission; areas in which the institution faces the prospect of getting either much worse or much better (Cook, 1990).

Environmental Scanning or Analysis

Environmental scanning or analysis is surveillance of the environment or climate in which one functions. This evaluation or fact finding endeavor is performed in a variety of ways ranging from methodically reading professional journals to casually conversing with members and participants in the educational organization and those in the community-at-large being served by the educational and organization to complex demographic studies (Holloway, 1986).

External Scanning or Analysis

External scanning or analysis is the activity of collecting and monitoring data from the external environment encompassing the organization (school district) for the purpose of identifying trends or "what is," over time to assist in planning strategies for the future (Kaufman & Herman, 1991).

Goal

A goal is a specific, time-based point of measurement that the organization intends to meet in the pursuit of its broad objectives (Holloway, 1986).

Internal Scanning or Analysis

Internal scanning or analysis is a process of collecting and monitoring data from the organization's internal environment, for the purpose of identifying trends or "what is," over time. This assists in planning strategies for the future (Kaufman &

Herman, 1991).

Long-Range Planning

Long-range planning begins with the assumption that the organization will remain comparatively stable; it seeks to develop internal goals and projections based on that assumption (McCune, 1986).

Mission

The mission is the overall job to be done to meet the identified and documented needs; a statement of "Where are we headed", and "How will we know when we have arrived." It is a clear and concise expression of the district's purpose and function, what the organization is, why it exists, and the unique contribution it can make (Kaufman & Herman, 1991; Cook, 1990; Holloway, 1986).

Mission Statement

The mission statement is a declaration of the intentions of the organization concerning what is to be accomplished. A mission statement is often inspirational while providing general direction (Kaufman & Herman, 1991).

Need

The gap between current and required results (or ends); a discrepancy between "What Is" and "What Should Be" (Kaufman & Herman, 1991).

Needs Assessment

The needs assessment identifies needs (gaps between "What Is" and "What Should Be" for results), places them in priority order, and selects the needs to be reduced or eliminated (Kaufman & Herman, 1991).

Objectives

Specific statements of the degree of results expected over a defined time period. They included: (1) what results are to be accomplished, (2) who or what will display the results, (3) under what conditions the results will be observed, and (4) what criterion will be used to measure success or failure. It is the "What" of planning (Kaufman & Herman, 1991).

Planning

Planning is any set of formal and rational activities that seeks to anticipate conditions, directions, and challenges at some future point in time for the purposes of enhancing the readiness of personnel and the organization to perform more effectively and to attain relevant objectives by optimal means; future oriented, goal-oriented, based on rational and verifiable procedures and data, and related to performance enhancement and goal achievement by optimal means (Knezevich, 1984).

Educational Planning

Educational planning is the process of identifying, collecting, analyzing essential and critical internal and external data about a school district to arrive at current and useful information for preparing and executing long- and short-range plans in an effort to help realize the district's basic purposes, mission, vision and operational goals (Lewis, 1983).

Policies

Policies are not restrictions externally or internally imposed on an organization, but limitations the organization places upon itself, parameters,

boundaries within which to operate, things the organization will never do or will always do (Cook, 1990).

Preferred Futuring

Preferred futuring is the process of selecting the most desired future from alternate futures. This preferred future becomes the cornerstone for the organization's mission (Kaufman & Herman, 1991).

Problem-Solving Planning

Problem-solving is the short term planning to identify a problem, selecting appropriate strategies to resolve the problem, outlining, controlling, and evaluating activities and carrying out the plan within thirty to sixty days. It is usually phased out when operational and strategic planning are implemented (Lewis, 1983).

Purpose

The reason the organization was formed or why it exists (Holloway, 1986).

Operational Planning (Short-Range Planning)

Operational planning is the process of identifying a need, setting short-range objectives, detailing performance standards, and describing an action plan to cover from one day to a year (Lewis, 1983; Holloway, 1986).

Stakeholder

Stakeholders are all of the external and internal interest groups of an organization (Holloway, 1986, p.350).

Strategies

Statements describing how a school organization intends to utilize its resources

and skills to capitalize on its strengths, correct its weaknesses, and change threats into opportunities for the improvement of the overall educational process and to achieve the organization's objectives and mission. Strategies are the "How" of planning. (Lewis, 1983; Holloway, 1986).

Strategic Planning

Strategic planning is a process for organizational renewal and transformation which provides a means of matching services and activities with changed and changing environmental conditions. It provides a framework for the improvement and restructuring of programs, management, collaborations, and evaluation of the organization's progress (McCune, 1986).

SWOT Analysis (strengths, weaknesses, opportunities, and threats)

The SWOT analysis is a process used to identify, collect, monitor, analyze, and synthesize data about the strengths, weaknesses, opportunities, and threats that exist in the internal environment of the organization and in the external environment with which the organization interacts. These data are useful in planning strategies and tactics which capitalize on strengths and opportunities, and minimize or overcome weaknesses and threats in a manner that maximizes the possibility of achieving the organization's vision (Kaufman & Herman, 1991).

Vision

Vision is a clear "picture" or written statement of what the strategic planners expect their community, society, and organization to look like, deliver, and accomplish at some point in time. It is the description of the planners' determination

of "What Should Be" or "What Could Be" at some future date (Kaufman & Herman, 1991).

Organization of the Study

The study will be presented in five chapters. Each chapter will address a major element of the study.

Chapter I, **Introduction**, contains the introduction, statement of the problem, purpose of the study, significance of the study, limitations, assumptions, research questions, definition of terms and the organization of the study.

Chapter II, **Review of Related Literature**, presents an introduction to educational planning, history of planning, rationale for planning, classification of plans, definitions of planning, selected models, and summary of the study through a review of the related literature concerning educational planning.

Chapter III, **Methods and Procedures**, includes an introduction, population of the study, research design, instrument development and pilot study, instrument validity and reliability, data collection procedures, and data analysis methods.

Chapter IV, **Presentation and Analysis of Data**, contains a presentation and analysis of the data, which includes the results and findings obtained from the data gathered in the study.

Chapter V, **Summary, Conclusions, and Recommendations**, provides a summary of the findings, presents the general conclusions of the study, provides those recommendations which are supported by the data, and makes suggestions for items that were discovered that should have additional study.

CHAPTER 2

REVIEW OF LITERATURE

"Our plans miscarry because they have no aim. When a man does not know what harbor he is making for, no wind is the right wind." Seneca

Introduction

Rudyard Kipling wrote, "There are nine and sixty ways of constructing tribal lays, and every single one of them is right." Planning has a similar distinction. Parson (1985) felt there was no universally correct way to write a plan. There was no single plan that was appropriate for all schools (Lewis, 1983). The key to educational success and planning success lies in people, and any process can only be as good as the people who use it (Kaufman, 1972). The science of educational planning is not a science but a process practiced in a variety of ways, by a diverse group of people, for a multitude of reasons. Raichle (1980) recognized that planning is imperfect—part science and part art. Planning is something we all plan to do but never seem to find the time to accomplish.

History of Planning

Planning may date to the origin of man. Planning in a variety of forms has been a part of civilization as long as records have been maintained. Strategic planning, the most popular method of the 20th century, has been traced as far back as the Greeks. It was originally a military term meaning "army leader" and has been used to represent "tactic" (Pfeiffer, 1986).

In warfare two key factors, implements of war and the organizational structure, made it impossible to manage a battle, much less win, without a great deal

of planning (tactics). Thus the use of large scale resources may have been the major factor in leading to the need for planning (Pfeiffer, 1986). Pfeiffer (1986) viewed the Franco-Prussian War and the U. S. Civil War as the turning point for planning, formal and long-range, as a critical process in leadership and management. Planning moved from the battle field to the business setting and then to most other organizations.

Shuman (1948), considered 1890 as the major turning point between America as a nation of single proprietors to a nation of larger corporations. This change brought with it the professional manager and the need for organization and planning. The first modern day planning was production oriented, focusing on the production of a single product. In this era, the budgeting and financial control process was the key planning function (Pfeiffer, 1986).

The era of the 1920s and 1930s centered around budget and facility planning. Educational programs were not a part of the planning process in this time period. Neill (1983) found that school surveys in the 1930s centered around questioning present and proposed practices for programs, study and evaluation of these programs, defining immediate and future needs, and outlining processes to meet the needs.

From the early 1930s to the 1950s, the emphasis shifted to planning for operations-management. The complexity of business made it necessary for the manager to concentrate on policy making. As a result of the problems created by the rapid changes in the business environment, it was necessary to plan beyond the standard one year period. Companies wanted to project trends and opportunities

beyond the one year period. The main growth came after World War II when the great demand for products made it necessary to make the best use of the limited resources (Pfeiffer, 1986).

Hofer, Murry, Charan, & Pitts (1985) stated that during the twenty years after World War II businesses diversified their operations and went beyond the core product to multiple activities. Policy making in this environment was very different from the old one product days and required a good planning process. Complexity and the speed with which change was taking place called for a new set of paradigms.

Pfeiffer (1986) stated that business changed from a production and pricing economy to a marketing economy. It became very important to have a good concept of the external environment. Some firms developed large planning departments and spent vast amounts of money on the planning process.

Raichle (1980) offers a summary of the planning function in business as he refers to planning as the "highest order of work that can be done in business or any other organization" (p. 7). Planning was practically unknown 60 to 70 years ago, but things were much simpler at that point in time. "Strategic planning and management techniques have been widely used by business for the past quarter-century, and their application is steadily spreading in the non-profit and public arenas, including education" (Bollin, 1991, p. 26).

Educational planning can be traced back as far as Bobbitt (1913) and the influence of Frederick Taylor the father of scientific management. Bobbitt (1913) proposed systematic plans for education based around the theories of Taylor.

Cubberly and Elliott (1915) were advocates of educational planning but felt it necessary to temper the vision and planning efforts of professional administrators. They said, " No expert is thoroughly sane. He is inevitably obsessed with megalomania as to the importance of his own activities" (p. 115).

The Portland Survey (Cubberly, 1916) was a sample of the modern day methods of planning. He suggested a set of procedures for planning which included correlating the needs of the child to the needs of the community, present and future work needs in the community, and the need for professional staff to study the capacity, interests, and needs of the local youth.

Hughes (1928) recognized the barriers a community placed on a visionary superintendent as they made him serve as a weather vein instead of a rudder and guide in the community. Newlon (1934) wanted to give the administrator major responsibility for policy formulation so they might plan for solutions to professional problems. Cocking and Gilmore (1938) felt intelligent planning was fundamental to the efficient organization and administration of educational programs.

The Education Index from 1941 to 1947 listed a variety of services that were available to returning soldiers. In each case, planners had been required to put together these programs to change the economy from a war time economy to a peace time economy. This was a major effort (Myers, 1989).

The period of the 1950s was a time of growth and acceptance for educational planning. Reeder (1951) included curriculum planning to meet objectives that reflect the world we live in and the world we should live in. Wahlquist, Arnold, Campbell,

Reller, and Sands (1952) emphasized group involvement, plan execution, and a needs assessment process. Cocking (1957) was concerned with the planners making plans that were reasonable and worthwhile. The plans should be achievable by the target audience. There was a need to match plans with population and population mobility (McSwain, 1956). Shared leadership, shared problem solving and improved communication were introduced as educational planning skills (Emlaw, 1957).

Cocking (1957) felt the 1950s revolutionized the educational planning process because of the inclusion of almost all stakeholders in the process. This was indeed a major change since planning had been the sole responsibility of upper management in business and education. Torosian (1962) joined Cocking in the strong belief that all stakeholders should be a part of the educational planning team. His major concern was that planners set objectives at the level of the individual, society, lay citizen, and the educators.

The 1960s was a period of definition of process for educational planning. Castetter and Burchall (1967) detailed the necessary steps for effective planning. They suggested that a plan include setting goals, developing policies and procedures, preparing plans, and implementation of plans. During this same period others such as Maxcy (1969) criticized planners and administrators for not including all stakeholders in the process. They recognized that planning was not comprehensive and systematic and most plans did not address student needs. Elam and Swanson (1969) viewed this era as the period when planning emphasized changing schools to meet the needs of students. General Electric is given credit for pioneering strategic planning during this

time period. G. E. felt that changes in the external environment were likely to have a greater impact on their survival than the internal matter over which they had control (McCune, 1986).

The International Institute for Educational Planning (IIEP) was formed in 1963 by the United Nations' Educational, Scientific, and Cultural Organization (UNESCO). The organization was financed by the Ford Foundation and the world bank. The purpose was research and advanced training (Myers, 1989).

Winn (1969) was concerned that educational planners were placing too much emphasis on gathering data as a primary goal of the process, leaving implementation to others, and more concerned with the report than implementation. "Goodlad typified educational planners as those seeking to create national programs for logical hierarchies of goals chosen by others for the best reasons" (Myers, 1986, p. 14).

Cope (1981) found educators switching to strategic planning as the model of choice in educational planning in the 1970s. McCune (1986) stated, "...by the 1970s public agencies begin to use strategic planning. An estimated 500 school districts currently use this method" (p. 31).

Educational planning takes place in a time of major change in society or in the economy. Morphet, Jesser, and Ludka (1972) conclude, "Planning for educational change has been considered desirable for some years; today it is essential. Knezevich (1984) viewed planning as the prime mechanism by which a system adapts to change. Sanderson (1983) in his study found a multitude of sources that proclaimed that planning is the "vehicle of change."

In the literature it is very easy to find support for planning in the 1970s and early 1980s, but it is interesting to note that the values of planning are being investigated once more. Chopra (1991) maintained that planning is a vital tool for dealing with change and transforming a vision into a blueprint for progress. Fisher (1990) found that firms that specialize in long-range planning report a stampede of new clients. Thomas Mandel, a consultant at SRI International, estimated that demand for such advice is rising about 20% a year. The main reason for this sudden desire to explore beyond 2000 is the current wave of change that is sweeping aside old assumptions everywhere in the world (Fisher, 1990).

Rationale for Planning

Galbraith (1976) presented a series of reasons for planning as he proclaimed: These are the days when men of all social disciplines and all political faiths seek the comfortable and the accepted; when the man of controversy is looked upon as a disturbing influence; when originality is taken to be a mark of instability; and when, in minor modification of the scriptural parable, the bland lead the bland (p.4).

The search of the literature has given some indication of the diversity of thought on the subject of planning. Most seem to agree with Galbraith, that we are in a period of great change and the change agent or planner is not welcome. Creativity and vision are not accepted with vigor, thus the "bland lead the bland."

Why does a company or organization plan? There must be reasons to expend this much human and financial resource. This section will endeavor to present some

of the rationale for planning in general and educational planning in particular.

Purpose

The literature presents a wealth of research, reports, studies, and perceptions by educational professionals and citizens maintaining that educational reform is essential if America is to continue as a world leader economically and socially. Excellent reform programs have been developed and recommended by the scholars in the field; business and industrial leaders; private organizations; and various government agencies. Although each present varying degrees of merit, the element of a comprehensive vision and mission seem to be missing. There is no grand scheme or planning process that brings cohesion to the total education process. Orlich (1989) said, an examination of recent attempts at comprehensive school reform provides support for Ron Brandt's remark that "the freeway of American education is cluttered with the wrecks of famous bandwagons" (p. 514)

Miklos's study (cited in Sanderson, 1983) concluded that it was not reasonable to talk about techniques, structures, or organization for planning without specifying what kind of planning is being considered, what purpose it is to serve, and what resources are realistically available. Planning must have purpose if scarce human and financial resources are to be committed to this venture.

Public opinion polls show the populace strongly in favor of national goals, standards, and tests which is "the first time in our history, this country is more concerned about national outcomes than we are about local school control," Ernest Boyer, president of the Carnegie Foundation for the Advancement of Teaching, told

ASCD's "Education's Future Agenda" symposium. He reviewed the numerous national options being debated from national standards and exams, to school choice, to merit school plans. Each suffer from a lack of consensus about who will lead the changes. "We don't have a structure to guide and to give leadership--one that would be creditable and would be answerable to the people. We have no national school board" (O'Neil, 1991). Dr. Boyer discussed the various reform measures with emphasis on accountability, choice, and a variety of other reform recommendations. Dramatic change in human needs on all levels has or will have occurred as the world moves from an economic and social structure; based on agriculture, to an industrial age, to an informational age, and in the near future to a bio-genetic age (Cook, 1990).

Toffler (1990) reminded us in Powershift of the governmental planning agency, The Ministry of International Trade and Industry (MITI), in Japan which was said to be the brain behind the Japanese economic and education "miracle". On the opposite side of the debate traditional industrial thinkers such as Peters and Waterman (1982) in their book In Search of Excellence advocates the philosophy of "Ready, Fire, Aim" (p. 13) used by Canbury Candy or "Do it, Fix it, Try it" (p. 119) philosophy of Digital Equipment Corporation. As Peters lectures and writes, he shares with his audiences that this method fails a great deal of the time, but you must "regroup" and try something else. He feels this is the fun side of living (Peters and Waterman, 1982). It is critical at this point to decide if this same methodology could be used with the learner in the educational setting? Can we dispose of a certain number of students through a trial and error process? Business and education deal

with two distinctly different products which call for dissimilar treatments.

How can the educational community plan a meaningful program to prepare a child to function with intelligence and the necessary life-coping skills in a global society? Kaufman (1988) stated:

Recently, educational planning concern has swung from an atomistic or singular preoccupation with instructional design and teaching improvement alone to more global, holistic concerns. These 'big picture' applications not only use and apply performance analysis to individual activities, but also add the requirement for a system-wide identification and analysis of opportunities and problems (p. 7).

Learners as well as our schools should be continually growing and improving in response to a changing world and changing realities. To simply base educational planning on courses and mastery of content is to assume that the learning of material will automatically make the learner successful in later life...Much of educational planning and delivery now is concerned only with pieces, or splinters, of education (p. 9).

All of the pieces of the puzzle of total educational reform seem to be present, but the total disorganization of the educational discipline, the political arena, the business and industrial world facing a new global challenge, and even institutions such as the family changing rapidly, cause the puzzle not to come together into a productive functioning unit. Has the broad mission of the educational system been

comprehensively defined? There is no evidence that there is a regular (functional) planning process in local, state, and national educational entities. A comprehensive educational plan is not in place with action modules to bring it into reality. Lewis (1983) reviewed the planning practices of all the state departments of education in the U.S. and found that all of the states require a budgetal planning process, but only 30 percent of them mandate some form of long-range planning. In an earlier study Myer (1989) found that 33 states encouraged local district comprehensive planning and 22 of those encouraged community involvement.

Henry Fayol wrote extensively on industrial management, and as early as 1916 he had identified the five basic components or processes that were common to administration in most organizations. The five basic management components were organization, command, coordination, control, and planning. Planning was found on all lists of the leading scholars of that day with the exception of one, and he used the term "programming" which is later described as planning (Knezevich, 1984). Karger and Malik's study (cited in Sanderson, 1983) agreed when they stated, "Planning is universally given and recognized as the first function of management" (p. 60).

Fayol's declaration of the purpose of planning is documented in depth in the literature. Research and writings in support of planning as a major organizational function can be found by Gulick and Urwick, 1937; Newman, 1950; Sears, 1950; AASA, 1955; Gregg, 1957; Campbell, 1958; Newman and Summer, 1961; and Johnson, 1967 to name but a few (Sanderson, 1983). Holloway (1986) stated,

"...major contributors to the planning literature, such as Steiner, Ansoff, Drucker, and King and Cleland, agree that a formal planning system is an important factor leading to corporate success" (p. 2).

Elam and Swanson (1969) felt that the most significant development in education in the next decade would be the widespread adoption of new concepts and technologies of planning. Brieve, Johnson, and Young's study (cited in Sanderson, 1983) concluded that the days of the unplanned educational system may be numbered. They reasoned this had happened because of the growth in size of school districts; the fact that federal money has planning tied to it, and the public cry for accountability. Survival on a day to day basis takes the place of planning out of necessity (Lewis, 1983, p.12). "Educational goals and objectives should be based upon that which is required to survive and be self-sufficient and self-reliant in the current and future world" (Kaufman, 1988, p. 9).

Responsibility

In a very serious declaration, Cubberly and Elliott (1915) said school planning should take place but thought lay boards were necessary to temper the vision and planning efforts of professional educators, "No expert is thoroughly sane. He is inevitably obsessed with megalomania as to the importance of his own activities" (p. 115). The superintendent or director of schools is ultimately responsible for all activities in a school system as to process and outcome (Kaufman & Herman, 1991).

Chopra (1991) recommended that the school and district staff be included in

the total planning process. The superintendent may have the final responsibility, but staff members realize they are also accountable to the stakeholder. The planning process should include the staff on all levels because of the ownership in the plan, goal accomplishment and results this participation will yield (Chopra, 1991).

In the private sector, the CEO is responsible for the planning process. Planning is a top-down function (D'Amico, 1988). In the public sector, D'Amico (1988) views politics as having been more influential, thus causing the planners to feel a responsibility to an additional group of clients.

Cook (1991) recommended the district obtain the services of a facilitator, internal or external, to guide the process and take ultimate responsibility for the final product that is presented to the superintendent. The use of a person already employed by the system as a facilitator or a professional planner/facilitator from outside the system is a decision that should be made according to the circumstance. Cook (1991) did not make a recommendation for education, but in industry he indicated most facilitators are from outside the firm.

The review of literature for this study is in general agreement that the school board and superintendent have the final responsibility for the plan (McCune, 1986). The stakeholders are given different levels of responsibility in the educational planning process depending upon the management style of the leadership and the climate of the community.

Participants

Myers (1989) found in a study of planning practices in four Midwest states

that the highest rate of participation was from superintendents, principals, and teaching staff. Most of the involvement was on planning committees. Seventy-seven percent of the committees had community members, but only thirty-one percent had PTA members. This study did not indicate the depth of involvement by each party listed. Ninety-seven and six tenths percent of the superintendents were participants in the process (Myers, 1989).

Involving the community in the process of planning and addressing district needs gives the educational system knowledge of their perception of priorities. Those participating will give their possible solutions to the problems, develop a sense of ownership and responsibility to the plan and develop a tendency to give more overall support when the plan is completed (Chopra, 1991). Morphet, Jesser, and Ludka (1971) suggested that all stakeholders concerned about and affected by the plan should be represented and involved in the planning process. "Planning done by experts or that done by one group for another was doomed to fail" (p. 14).

Campbell (1983) found that a higher degree of utilization of the planning process and the information it produces is dependent upon a higher level of integration, leadership utilization-orientation, process organization, high technical quality, and involvement of key stakeholders. The literature suggested that most writers and practitioners want to involve as many stakeholders as possible in the process. It suggested that a better product is obtained with more support or buy-in.

McCune (1986) did not recommend a committee of stakeholders, but gives the responsibility for development of the plan to the superintendent, board, central staff,

principals, and teachers. There is a call for some input from parents, students, and the community. Their involvement is not very significant, consisting mainly of providing answers to questions on the external scan of the environment (McCune, 1986).

Lewis (1983) recommended a two level participation approach. A central planning unit will develop the district or system plan and each school will have a unit team to develop the school plan. The school plan must be in concert with the central. A full time planner is recommended starting with school enrollment of over 5,000 and increasing as school population increases. The suggestion would set up a full time planning department in the district (Lewis, 1983). A planning coordinator is recommended to conduct the process. The researcher could not find a place in the process which called for input from non-school personnel.

Cook (1990) had the more detailed process of participation by a variety of stakeholders. A planning committee is recommended that is representative of the stakeholders in the community. There must be a balance of school and community participation. A process facilitator is recommended to guide the procedures from creation of the task force to presentation of the final plan to the board. The role of the facilitator is very clearly defined, with the understanding that he or she is the most important element in the process (Cook, 1990). Of the models or processes studied the Cook model had the greatest amount of participation from the most diverse group of people.

Timing

The time a district spends in the planning process is dependent upon the process or model selected. Districts will vary the process to meet their needs. Once the planning process starts it never ends, since it is a living document being revised on a set schedule or as need demands. Knezevich (1984) suggested that, "the typical planning time frame in education is limited to getting ready for what is to transpire the next day, week, or at most the next semester. With few exceptions, the next school or calendar year was the longest time horizon" (p. 89).

Many school districts make a decision to start a planning process when they are confronted with a major problem, i.e. school rezoning. Chopra (1991) contended that you shouldn't start your planning in the middle of a crisis, timing of the planning process is critical to the success of the endeavor.

Outcomes

The planning effort that produces a beautiful document to sit on the shelf will be a total failure and waste of time and resources. Glickman (1990) said, "The final aim is to reach the goal, not to implement a predetermined plan" (p.222). The quality of the plan is not as important as the outcomes or goal attainment. On the other hand, a well-conceived and concisely written plan, which fully reflects the current and future needs of the district, can become a significant tool to gain the confidence of the stakeholders in the school system and meet challenges. Strategic planning can be a way to make budgeting, insurance, health care, and financial decisions in addition to the results the planner gets from the more traditional organizational planning tools

(Chopra, 1991).

Education is in the infancy of strategic planning. Business and industry have learned to use this tool very effectively many years ago according to the Fayol findings. Wood and Wood (1981) found business to be 10 to 15 years ahead of public education in the use of strategic planning. Rachford (1984) in a study of Illinois school districts found that schools were behind industry because their survival was not at stake.

Reinharth, Shapiro, & Kallman (1981) found the value of planning to be dependent on objectives, needs and circumstances of the organization. A major outcome should be that management has the information to make rational decisions with alternatives as a result of having an information base. This would eliminate much of the emotion, intuition, and guesswork in decision making. As a result of the new decision making capabilities, management can act from thoughtful analysis instead of having to always react to situations. (Reinharth, Shapiro & Kallman, 1981).

Morphet, Jesser, & Ludka (1972) summarized the idea of the outcomes by saying:

A society capable of continuous renewal has to be one that systematically develops its human resources, removes obstacles to individual fulfillment and emphasizes education, lifelong learning and self-discovery. Toward these ends, the emerging emphasis on planning should accept the concept that there is a vast difference between a planned society and a planning society and, thus, encourage decisions

to be made by the people or their representatives who have the responsibility for determining basic policies in society (p. 15).

Kimbrough & Burkett (1990) said, "Improvements in the teaching and learning environment of the school seldom happen by chance, but are the results of a planning process" (p. 164). Drucker (1974) said:

The distinction that marks a plan capable of producing results is the commitment of key people to work on specific tasks. The test of a plan is whether management actually commits resources to action which will bring results in the future. Unless such a commitment is made there are only promises and hopes, but no plan (p. 128).

The planner has great difficulty in evaluating the outcomes of a planning process. Many goals and objectives are subjectively evaluated and others dependent upon the perception of the stakeholders. Reinharth, Shapiro, & Kallman (1981) stated that:

Intuitively, one would expect the well-planned company to perform better than poorly planned companies. But the task of justifying that expectation with statistical evidence is not an easy one, because the factors which determine a company's performance of course are not limited to its planning (p. 43).

"Empirical investigations of planning's effectiveness are immature both in the methods used for methodology and findings." (p. 47)

Lewis (1983) concluded that the effective planning process should improve the

decision-making ability of the administration in the district and at the local school level. The school administrator should be able to function more effectively as a result of participating in the process. Key result areas should be measurably improved as a result of the planning process. These key result areas might include financial resources, physical resources, school organization, evaluation, community participation, program marketing, program innovation, and others (Lewis, 1983).

McCune (1986) stated the ultimate outcome of strategic planning is strategic management whereby individuals learn to incorporate the planning process into their daily behavior. The strategic planning process gives the district an information system for improved decision-making. When a data base is available to the decision-makers, the organization's mission and goals are addressed each time a decision is made. There is a common sense of direction for the district. The district has a mission and goals, but the school has a complimenting mission and goals. The mission and goals at the local school will represent the needs of that community but will be in concert with the mission and goals of the district. A major outcome will be the participation of stakeholders thus paving the way for system buy-in. People should not be asked to give opinion without facts, this process gives this information prior to decision-making. There should be a better working relationship between the central office and the individual schools as a result of the planning process (McCune, 1986).

Outcomes for each group that goes through the planning process should be different. School districts are all different and have different needs. The plans for

each district and school will have variations as a result of their diversity. The process can be similar but the outcomes will be different. If a set of national standards and a national curriculum were in place the similarities might increase.

Definitions of Planning

The literature suggests educational planning and in particular strategic planning has a series of unique definitions. The writers, researchers, and specialists in the field do not present a unified definition of either process. Each of the major planning categories have sub-categories, each with definitions. An attempt has been made in the study to present definitions from leaders in the educational planning discipline. The simplest definition may have been given by Kaufman and Herman (1991) when they said, "Planning is simply a substitute for good luck" (p. 2). Knezevich (1969) said that planning was "intelligent cooperation with the inevitable" (p. 1).

Coombs (cited in Sanderson, 1983) defined planning as, "the application of rational, systematic analysis to the process of educational development with the aim of making education more effective and efficient in responding to the needs and goals of its students and society." Lewis (1983) stated, "...educational planning is the process of identifying, collecting, and analyzing essential and critical internal and external data about a school district to arrive at current and useful information for preparing and executing long- and short-range plans in an effort to help realize the district's basic purposes, mission, and operational goals" (p. 6).

Cook (1990) defines strategic planning as, "...the means by which an organization constantly recreates itself to achieve extraordinary purpose" (p. 74). He

maintains that strategic planning is not a model, process, academic exercise, edict, prescription, political manipulation, or budget. Strategic planning is a process and a discipline, producing a plan characterized by originality, vision, and realism.

Strategic planning is an obligation to achieve measurable results translated ultimately into performance standards for those individuals responsible for implementing the plan. The essence of a strategic plan is the identification of specific desired results to which all the effort and activity of the organization will be dedicated (Cook, 1990, p. 84).

Warren Goff (McCune, 1986) viewed strategic planning as a process matching results of an assessment of an institution's external environment with the assessment of the internal environment. The process should be performed to assist the organization to capitalize on its strengths, minimize weaknesses, take advantage of opportunities, and eliminate or reduce threats. The literature refers to this process as the SWOT (Strengths, Weaknesses, Opportunities, and threats) technique (Kaufman & Herman, 1991).

Kaufman and Herman (1991) stated, "Strategic planning is proactive planning which identifies problems and opportunities for the organization" (p. 56). The framework has four major clusters: Scoping, Data Collecting, Planning, and Implementation.

Tregoe identified strategic planning as a vision of what the organization should be. He felt it provided a framework to guide choices that determine the nature and direction of the organization. Another definition looked at strategic planning as a

process by which members of an organization envision its future and develop the necessary procedures and operations to achieve that future (McCune, 1986).

McCune (1986) defined strategic planning as, a process for organizational renewal and transformation. This process provides a means of matching services and activities with changed and changing environmental conditions. Strategic planning provides a framework for the improvement and restructuring of programs, management, collaborations, and evaluation of the organization's progress (p. 34). McCune (1986) combined the elements of several accepted definitions, as found in the literature, to form this composite and more comprehensive definition.

Holloway (1986) said, "Strategic planning is, simply put, the process of positioning an organization so that it can prosper in the future" (p. 16). "The term 'strategic planning' is preferred in current usage over its many competitors: long-range planning, corporate planning, total planning, overall planning, or comprehensive planning" (p. 17).

The three types of planning processes referenced most frequently in the literature have been listed and described in this section. The individual models will be addressed in the next section of this chapter and the most popular planning components will be listed and explained in another section.

Lewis (1983) presented strategic planning as a three phase process. These phases are the most descriptive of the process being described and correspond with the other models that have been selected for discussion.

Classification of Plans

The planning process is classified in a variety of ways. Processes are classified by time between phases, improvement versus restructuring, process components (steps), financial commitment levels, purpose, administrative level, or a variety of other components. Some are planning processes developed as part of a published work or guidebook. School districts take the various parts from different processes and build their own model and process. Some plans are designed to solve an isolated problem within an organization and others work with the needs of the total organization (Cook, 1990; Lewis, 1983; McCune, 1986; Knezevich, 1984; Holloway, 1986). Some plans are designed to improve a situation and others restructure completely.

This study will concentrate on the processes and models presented by Lewis (1983), Cook (1990), Kaufman (1991), and McCune (1986). After an extensive search of the literature in the opinion of the researcher, these models and processes are the most representative of the field of current educational planning practice. Each represents a major organization as their spokesman for educational planning or they are referenced in the literature frequently by people doing research in this area.

Problem-Solving Planning

This planning has a life span of no more than two months. The process involves: (1) identification of the problem; (2) selecting an appropriate strategy for resolving; (3) outlining, controlling, and evaluating activities; and (4) carrying out the plan within thirty to sixty days (Lewis, 1983). This step could be a shorter span of

time covering problems such as personnel, scheduling, or any problem of this type (Knezevich, 1984). All the effort on this level should work for solutions to problems that address the mission statement and objectives in the strategic plan of the organization (Lewis, 1983).

Operational Planning

Sometimes referred to as short-range or tactical planning, this process covers several months to a year. It is designed to implement improvement in routine conditions in the system. Operational planning identifies need, sets short-range objectives, details performance standards, and describes the actions plans (Lewis, 1983). These plans involve administrators at all levels, but primarily those at the lower echelons (Knezevich, 1984).

Strategic Planning

Lewis (1983) stated that this could also be referred to as long-range planning. Cook (1990), McCune (1986), and Kaufman did not agree and give a separate definition to long-range planning. The literature seems to agree on this point and as a result this study will reflect that distinction. Each of the writers listed with the exception of Lewis present strategic planning as an all inclusive process which handles the short term, operational, and extended period problems. Kaufman (1991) even suggested a system of dealing with planning from micro, macro, and mega levels. Micro planning deals with the individual or small group problems in the organization. Macro planning is designed to address the needs of the school district. Mega planning deals with society or at least the community (Kaufman, 1991).

Five to ten years is the accepted time frame for strategic planning by the leaders in the planning field. Lewis (1983) matches strategies with needs (strengths and weaknesses) to address the fulfillment of mission and educational goals. Strategic planning is the "process of realizing the school organization's mission, long-range goals, and strategies governing use of human and nonhuman resources needed to achieve the mission" (p. 10). This method requires more in-depth study of planning variables. The changes in the internal and external environment will call for revisions in the plan.

Cook (1990) and McCune (1986) placed greater emphasis on the environmental scan and how it effects the mission and objectives. Kaufman (1991) placed major emphasis on the needs assessment. Cook (1990) viewed strategic planning as "the means by which an organization constantly recreates itself to achieve extraordinary purpose" (p. 74). McCune (1986) viewed strategic planning as a process of organizational renewal and transformation. A great deal of space is given to a discussion of total restructuring. The process matches services and activities with changed and changing environmental conditions.

Kaufman (1991) viewed strategic planning as a dynamic and active process, that "scans current realities and opportunities in order to yield useful strategies and tactics for arriving at a better tomorrow" (p. xvii). Strategic planning involves all the stakeholders in "defining and supporting the purposes and missions, and it provides blueprints for results-oriented progress" (p. xvii).

Strategic planning is a complex process viewed in a variety of ways by all

those in the field. In the search of the literature for this study an absolute process accepted by all could not be found, but strategic planning was presented as a creative process. If an absolute model or process did exist the planner would have difficulty being creative and serving the school district and the plan could never be a living document always in the process of change.

Basham (1988) developed an instrument to identify educational systems using strategic planning in Kentucky. Snodgrass (1992) duplicated parts of this study and used the instrument to identify Tennessee school systems using the strategic planning process as defined by Basham. In his study he identified 58.7% of the systems using strategic planning versus other planning models. Of the systems using strategic planning, Snodgrass indicated that they were using the four planning components required by the state in the mandate. This may or may not indicate that strategic planning was the method or process selected by Tennessee school systems.

Selected Models

The literature was searched to find as many educational planning models as possible. These models were then compared to find correlation of components, references in scholarly works, and use in school districts. The researcher selected the four models with the components found in the majority of the published models. The literature revealed four models that meet all the criteria and were cited in most research on educational planning. The models chosen for evaluation and correlation were the works of Lewis (1983), McCune (1986), Cook (1990), and Kaufman and Herman (1991). All of the models selected reflect current models in use in business

or education. The newest model the researcher could find was the "Strategic Intent Model". This model is not currently in use in education but has gained favor in business. It is very similar to the strategic planning models reviewed in this work (Hamel & Prahalad, 1989).

The models did not possess the same components, nor were the components in the same order in any of the models. The researcher found that each model placed major emphasis on data collection, with each approaching this component in a different manner. Each model required a mission statement, objectives, strategies, and action plans. Each of these components were present in varying degrees of importance.

A detailed discussion of each of the components is presented in Appendix E of the study. The reader can refer to Figure 1 in this section to see a comparative chart of each of the selected models with their components listed. The components are listed in the sequence recommended by the designer. The reader should not compare the components with each other vertically since no attempt has been made to match functions. This task is not possible since each designer perceived the process in a different manner. The end result of the process is basically the same. The designer expects the school district to have a written plan with a variety of tools to put the plan into action and a method of evaluation. Each model is a "living" document in that the plan is always in a state of revision and movement into the next period of time.

A summary of the dominate features has been presented. Emphasis has been given to components that have been deemed very desirable in a given model in

comparison to their ranking in other models. A particular model will not be selected to use as the guide for the research concerning the Tennessee five-year plan experience. The major features of the models found in the literature are presented in Figure 1.

Lewis Model

Lewis (1983) presented a model with each of the basic components listed as functions of the process. Each component was explained in a clear manner and the process was very easy to follow. The use of a planning committee and the make up of that committee were missing. Lewis (1983) was cited in every work the researcher found in the literature search. A graphic presentation of the Lewis Model is presented in Figure 1.

McCune Model

McCune (1986) presented the strongest model for showing the reader how to do the data collecting or environmental scan. The list and charts provided in the text material were very complete and useful. This model is complimented by the text material and an excellent video. This model has received the endorsement of the American Society of Curriculum Development and is featured as their solution to the educational planning process. A graphic presentation of this model can be found in Figure 1.

COOK	KAUFMAN & HERMAN	LEWIS	McCUNE
BELIEFS	SCOPING •Micro •Macro •Mega	AIMS IN PUBLIC EDUCATION	CREATE BASE •External Scanning •Internal Scanning •Stakeholder Input •Community Education
MISSION	DATA COLLECTING •Identify beliefs and values •Identify vision •Identify current mission •Identify needs •External scanning •Internal scanning	CRITICAL ANALYSIS •Internal Environment •External Environment	DEVELOP PLAN •Developmental Plan •Review of Plan •Revision and Finalization of Plan
POLICIES	PLANNING (IDENTIFY) •Matches and mismatches •Differences •Preferred futures •Mission •SWOT •Decision rules •Strategic action plans	PLANNING ASSUMPTIONS	IMPLEMENTATION PLAN •Central Systems Plans •Building Plans •Correcting and Problem Solving
INTERNAL ANALYSIS •Strengths •Weaknesses •Organizational Structure	IMPLEMENTATION •Design response •Strategic management •Formative evaluation •Summative evaluation •Continue plan or revise	LONG RANGE GOALS	IMPLEMENT AND MONITOR •Reporting And Observing •Monitoring •Replanning
EXTERNAL ANALYSIS •Competition •Environment •Critical Issues		PROGRAM STRATEGIES	RENEWING THE PLAN •Replanning
OBJECTIVES		INITIATE OPERATIONAL PLANNING	
STRATEGIES			
ACTION PLANS			

Figure 1
Selected Educational Planning Models

Cook Model

Cook (1990) presented a how-to guide and a model that had all of the components needed to prepare the educational plan. The work was very strong in methodology. The components were explained very clearly so the reader could begin the process without professional help. This model called for a great deal of stakeholder participation. The action plan section was very complete with good emphasis on implementation, and evaluation. Cook (1990) did this work in connection with the American Association of School Administrators and has conducted a number of workshops for this organization on this model and planning in general.

Kaufman and Herman Model

Kaufman and Herman (1991) recommended that the planner decide if they wanted to do micro planning (individual or small group), macro planning (within the organization), or mega planning (total community or society). When this decision is made the model was very similar to the others. The model featured four major functions: (1) Scoping; (2) Data Collecting; (3) Planning; and (4) Implementation. The role of participants is not clearly delineated. The features of this model are displayed in Figure 1. Major emphasis is placed on doing a needs assessment in this model. This process is a part of environmental scanning and is not a necessity, but is a carry-over from an earlier work by Kaufman. The model and text may be the most complete and usable of the four presented. Kaufman has written several books and

articles on planning over the years. A graphic presentation of this model is presented in Figure 1.

Summary

There are a variety of planning models designed for education. There are common components in each plan, including the business related models. Would there be an advantage to having one planning model that could be used in most situations? The planner must keep in mind this is process only and does not add or eliminate any item the organization wants placed into the plan. The literature points out that going through the planning process and developing a plan is very beneficial to the organization as a self assessment, but the real value is not realized until the organization implements the plan. The models listed in this review of the literature are heavy on process and weak on implementation.

The review of the literature has presented the reader with an introduction to educational planning, history of planning, rationale for planning, classification of plans, definitions of planning, selected models, and summary of the study through a review of the related literature concerning educational planning. A rationale for planning was advanced which included purpose, responsibility, participants, timing, and outcomes. Plans are classified in the literature in three major categories: (1) problem-solving; (2) Operational; and (3) Strategic. The planning process is a mixture of components. The educational planning authorities in the field presented a different listing in a unique order. The major components taken from the literature and presented for consideration in this study were mission, beliefs, vision, policies,

scanning (internal and external), SWOT, needs assessment, critical issues analysis, objectives, strategies, action plans, key result areas, implementation and evaluation. These components are presented in Appendix E.

The educational planning processes described in this study has the components and procedures to develop a workable plan that will help the school districts of Tennessee attain their desired mission, vision, and educational objectives in our changing society.

CHAPTER 3

METHODS AND PROCEDURES

Introduction

This study sought to investigate the educational planning process as a vital component of educational reform. Tennessee was selected as the focus of the study because of a 1984 legislative mandate to the state board of education to produce a master plan for education in Tennessee. In addition, a regulation was passed by the state board of education requiring each local school district to develop an educational plan and produce a yearly report, evaluating progress toward reaching the school system's mission, goals, and objectives as identified in the plan.

The state board of education developed a master plan in 1989 and revised it annually. Each local school system in Tennessee developed a five year educational plan for their system and presented the plan to the Commissioner of Education for approval. Each local school system is currently operating with a state approved five year educational plan. The first annual report was made at the end of the 1990-91 school year.

Standard statistical research methodology was applied to the data to identify the processes used in the formulation, implementation, and evaluation of the five-year educational plan. This study did not attempt to analyze student progress or student outcomes. The study concentrated on the process of formulation, implementation, and evaluation methodology in educational planning.

Population

The legislation requiring the state board to develop a master plan, which led to the local requirement for an educational plan, identified the local school board as the body responsible for plan development and the state department of education as the facilitator of the process. It must be assumed that the school board either led in this effort, delegated the task to the professional staff, or employed an outside agency to produce the plan. It should be further assumed that the school board had final approval of the plan which was presented to the state department of education.

The data identified and examined the role of the board of education, the superintendent, the system-wide staff, and the state department of education in the local school system planning process. Information was obtained from the superintendent of schools in each school system responding to the questionnaire concerning the educational planning process. A current list of the superintendents was obtained from the Annual Statistical Report of the State of Tennessee, Department of Education 1992-93.

The Annual Statistical Report of the State of Tennessee, Department of Education 1992-93 lists one hundred and thirty-nine (139) public kindergarten through twelfth grade school systems with a school board and superintendent in Tennessee. The target population was the superintendents of schools in each school district. Each superintendent in Tennessee was mailed a survey instrument and asked to participate in the study.

Research Design

After a review of the educational research literature, the descriptive research design and statistical analysis was selected to address the problem identified in chapter one. Gay (1992) stated that descriptive research involves the collection of data to answer questions concerning the current status of a given subject. In addition, descriptive research may involve the formulation of a hypothesis and collection of data to test that hypothesis. One frequently used form of descriptive research involves assessing attitudes or opinions toward individuals, organizations, events, or procedures.

The objective of the study was to attempt to determine and report the processes used in preparation, implementation, and evaluation of educational plans in the State of Tennessee from 1990 until the present. In addition, the data sought to describe prevailing practices and conditions. The research questions previously listed in Chapter 1 were used as the basic focus of this investigation.

Instrument Development and Pilot Study

After a search of the literature, a validated survey instrument covering the components of the problem was not found. Consequently, it was necessary for the researcher to construct and pilot test a survey instrument designed to collect the appropriate data for the study. A copy of this instrument is included in Appendix D.

Through the review of literature and empirical knowledge of the researcher seven major research questions were developed which address the problem of the study. The pilot survey instrument was built around the seven basic research

questions. The instrument was divided into sub-sections that related to each research question to help the respondent follow a pattern in indicating the methodology or process used in plan development, implementation, and evaluation.

The questionnaire sub-divisions with related research questions are:

Preparation - What information, guidelines, preparation, and training were given to the school board, administration, and educational staff prior to the development of the five year plan?

Process - What process was used by the local school district to develop the five year plan?

Model - Was the process adopted from one of the accepted models in the field/literature, or was it a model/process developed at the district level?

Plan Agreement - What attempt, if any, did the local system make to match their plan with the master plan prepared by the state board of education?

Implementation - What was the implementation process of the plan?

Goal and Objective Evaluation - What methods and data sources were used to measure local goal achievement in the annual reports to the Commissioner of Education?

Plan Evaluation and Revision Process - What process is used to evaluate and upgrade the current educational plan and planning process or model?

The interest of the researcher was to find ways to improve the educational planning procedures in the second planning cycle and conceivably identify a prototype or model educational planning process from a study of the composite processes of the Tennessee school systems in the study.

Since the questionnaire was an original, a pilot test instrument was sent to a panel of judges to be rated for content validity, clarity, ambiguity, design, and other related items. The panel consisted of a college professor, two state department of education leaders, two former Tennessee superintendents, two assistant superintendents, an instructional supervisor, and a former president of the state school boards association and local school system board chairman . Each panel member had been involved with the educational planning process in the first cycle or had expert knowledge and experience concerning the educational planning processes. Each member of the panel was asked to rate each question using the assessment instrument displayed in Appendix A.

The recommendations of the panel were incorporated into the pilot instrument and the necessary changes were made. Each person was requested to review and evaluate the questions and make suggestions as to the questions that should be included or removed from the instrument. Care was taken to include questions that help identify the major sections of accepted planning models, thus some questions remained in the instrument at the discretion of the researcher, using the related literature as the rationale.

Instrument Validity and Reliability

Borg and Gall (1989) suggested that the common definition of validity, "the degree to which a test measures what it purports to measure," should be replaced with the statement, "Is this test valid for the purposes to which I wish to put it?" (p. 249 - 250). Gay (1992) says a "test is not 'valid or invalid' but rather 'valid for what and for whom?'"(p. 155).

"Reliability is the degree of consistency that the instrument or procedure demonstrates: Whatever it is measuring, it does so consistently" (Best and Kahn, 1986, p.144). Long, Convey, and Chwalek (1988) identified the three major types of validity: content, criterion-referenced or predictive, and construct.

The intent of the researcher was to validate the instrument using logical validity focusing on content validity and face validity. Content validity was determined primarily through judgment. A panel of experts in educational planning was requested to validate each survey item from the stand point of item validity and sampling validity. The expert panel was asked to screen the instrument for face validity prior to performing the content validity evaluation (Gay, 1992).

Data Collection Procedures

The final instrument was developed and validated and the reliability and validity were established. All necessary revisions were made in compliance with findings during the preliminary testing period and following recommendations of the committee chairman and members. The following timeline and activity schedule was followed.

Step 1.

A copy of the instrument was mailed to each superintendent of schools in the state on June 22, 1994. A cover letter requested that the superintendent or assigned staff participate in the study (Appendix B). A stamped self-addressed envelope was included with each instrument. The superintendents were asked to return the questionnaire by July 6, 1994.

Step 2.

Two weeks after the first mailing a second mailing with a follow-up letter (Appendix C) was sent on July 7, 1994, to all superintendents that had not responded by the deadline. Each questionnaire in the first mailing was coded making it possible for the researcher to identify those not responding so that a second questionnaire could be sent to them for completion. A deadline date of July 16, 1994 was set for the second mailing. Respondents were assured of complete confidentiality. A stamped self-addressed envelope, a follow-up letter, and a copy of the questionnaire was sent to each superintendent not responding to the first mailing.

Step 3.

The data was sent directly to the researcher's home address.

Step 4.

The researcher organized the responses and designed the coding process to be

used to analyze the data from the respondents. Each response was recorded in the Statistical Package for Social Studies (SPSS) program. _____

Step 5.

The statistical analysis was conducted by the researcher in the computer lab of the Educational Leadership and Policy Analysis Department using the Statistical Package for Social Studies (SPSS) software.

Step 6.

Data analysis important to the study has been included in the dissertation and other data obtained as a result of the study will be made available to the committee chairman and the Educational Leadership and Policy Analysis (ELPA) staff of East Tennessee State University upon request.

Data Analysis Methods

The analysis of the data were reported using the research questions as a base. Data from the study were analyzed using descriptive statistical procedures. Quantitative analyses were performed for each of the seven research questions. Frequency counts were used to calculate responses. Summary measures including mean, median, and mode were applied to the statistic.

Frequency distributions were compiled from the resulting data analyses. Results from the frequency distribution were converted to percentages in order to facilitate interpretation of the results. All quantitative analyses were based on the total number of responses to each question. The number of responses varied as some

respondents chose not to answer each question, or answered only parts of a particular question.

CHAPTER 4

PRESENTATION AND ANALYSIS OF THE DATA

Introduction

Tennessee school boards developed five-year educational plans for individual districts and presented them to the state department of education in September of 1990, as mandated by the state board of education. The plans submitted by each system were evaluated by a committee appointed by the Tennessee Commissioner of Education. If the plan was approved by the committee and the commissioner, the local school system was directed to proceed. If the plan did not meet the criteria of the committee and the state, it was returned to the school system for revision. This process was repeated until the school system produced a plan which met state regulations.

The mandated educational plan was to include a mission statement, goals, objectives, and strategies. A review of the literature on educational planning does not reveal a definitive process for the development of an educational plan for a local school district. There were data to support that a definitive process does not exist. A well organized process is critical to accomplishing system goals and objectives. The literature suggests that a process must contain certain ingredients or elements if the mission and vision of the school system is to be attained.

The purpose of this study was to determine and describe the process used by Tennessee school systems in the formulation, implementation, and evaluation of a state mandated five year educational plan. The seven research questions set forth in

Chapter 1 are addressed in this chapter. The research design cited in Chapter 3 was used to analyze the data presented in this chapter.

The research applied standard statistical research methodology to identify the processes used in the formulation, implementation, and evaluation of the five-year educational plan. No attempt was made to analyze student progress or student outcomes.

Analysis of the Data

The initial mailing of the survey instrument did not generate an acceptable return percentage, and a second mailing was used as a follow-up for non-respondents. The questionnaires returned were 71% (98) of the total mailing. Of the questionnaires returned 91 or 66% were classified as useable and seven or 5% were unusable. Seven superintendents returned the questionnaires with notes or letters stating that due to personnel changes, no one had direct knowledge about the process used in completing the first five-year plan in 1989.

The data used were obtained through the use of a research instrument in the form of a questionnaire. After a search of the literature, a validated survey instrument covering the components of the problem was not found. Consequently, the researcher designed and validated a survey instrument to collect the appropriate data for the study. A copy of this instrument is included in Appendix D.

The seven research questions were addressed in the questionnaire. Each of the 38 major items in the questionnaire related to some aspect of one of the seven research questions. The findings and analysis of the responses to the items in

the instrument are recorded in this chapter based upon the research questions introduced in Chapter 1. The analyses of the data are presented in narrative, tabular, and graphic form.

Research Question Number One: Preparation

Research question number one was stated as follows: What information, guidelines, preparation, and training were given to the school board, administration, and educational staff prior to the development of the five year plan? The data reveal that 60% of the school system's annual budget served as the only educational plan prior to the state planning mandate (see Table 1).

Twenty-four percent of the school systems prepared a written long-range educational plan. These plans were designed to serve for one year or more. In seven percent of the systems a short-range plan was used with eight percent reporting no planning process prior to 1990. Thus, as revealed in Table 1, the annual budget document was the educational plan for the majority (61%) of the local school systems in Tennessee prior to the five-year mandated planning cycle.

Table 1
Local School System Planning Procedure Prior to the Tennessee State Board of Education Planning Mandate

Item	n	%
1. Annual budget was the educational plan	55	60
2. Written long-range educational plan (1 year plus)	22	24
3. Written short-range educational plan	6	7
4. No formal educational planning process	7	8
Total	90	99

Note. Total may not equal 100% due to rounding or no response to an item.

The state school board gave the state department of education and the commissioner of education the responsibility of administering and coordinating the educational planning efforts with each local school system. Table 2 reveals that 95% of the local systems felt the state provided the necessary rules, regulations, procedures, and deadlines for preparing the five-year educational plan. Of the respondents, 84% received a copy of the state master plan for education. The instrument did not request the superintendents indicate when each item was received or if it was sent at one time. The state master plan was sent to each system several months prior to the information concerning the five-year plan information.

The superintendents (55%) indicated that suggestions for conducting an educational planning process were not included in the information sent from the state department. Sixty-six percent reported that acceptable planning models or procedures were not included in the state information. The data show that 52% of the superintendents recall being notified about planning workshops being conducted by the

Tennessee School Boards Association.

Table 2

Materials and Assistance Provided to Local School Systems by Tennessee State Department Education Prior to Preparation of First Five-Year Plan

Item	Yes		No		Total	
	n	%	n	%	n	%
1. Explanation of rules and regulations including procedure and deadlines	86	95	5	5	91	100
2. Copy of 1989-90 state educational master plan	76	84	15	16	91	100
3. Suggested planning models or acceptable processes	31	34	60	66	91	100
4. Suggested procedures for conducting educational planning process	41	45	50	55	91	100
5. Notification of workshops on educational planning for local school systems	47	52	44	48	91	100
6. Other	13	14	78	86	91	100

Note. Total may not equal 100% due to rounding or no response to an item.

Table 3 data reveal that 48% of the superintendents felt that they did not receive sufficient information to develop an educational plan. The data reveal that 64% felt they were not provided with sufficient training to conduct the planning process. Sixty-three percent were not aware of any training sessions provided by the state.

The local plan was to be constructed using a needs assessment developed by each local school system and sent to the state for approval one year prior to the announcement of the planning mandate. The needs assessment was developed as part of the career ladder and extended contract program. The local systems were not aware that it would later be used as the base for the development of a five-year

educational plan. The data reveal that 81% of those surveyed were aware of the old needs assessment being used as the base for the development of the local educational plan.

The Tennessee School Boards Association developed and conducted an educational planning workshop for school board members and superintendents. As shown in Table 3, 66% of the superintendents and 44% of the local school boards took advantage of the educational development activity. The majority, 63% of the superintendents, felt the training sessions were beneficial. The data shows that 53% of the superintendents reported the TSBA workshop as the only training in educational planning received by board members and superintendents.

Table 3
Local System Evaluation of Staff Development Activities Provided by Various Organizations to Enhance Educational Planning Skills

Item	Yes		No		Total	
	n	%	n	%	n	%
1. Sufficient information sent from state department to develop plan	47	52	44	48	91	100
2. Sufficient training provided by state department to develop plan	33	36	58	64	91	100
3. Training sessions provided by state department regional offices	34	37	57	63	91	100
4. Staff development activities to enhance planning skills were provided by local system	51	56	40	44	91	100
5. State department mandated that local plan was to be developed around local needs assessment	74	81	17	19	91	100
6. Superintendent and/or staff attended TSBA workshop and/or institute on educational planning	60	66	31	34	91	100
7. Local School board members attended TSBA workshop and/or institute on educational planning	40	44	51	56	91	100
8. The TSBA training sessions were very helpful	57	63	34	37	91	100
9. The TSBA training sessions were the only formal staff development received by the board and staff.	48	53	43	47	91	100

Note. Total may not equal 100% due to rounding or no response to an item.

Research Question Number Two: Process

Research question number two was stated as follows: What process was used by each local school system to develop the five year plan? Each school system was

given the opportunity to select a method and procedure for development of a five-year plan. The process used by each system was investigated in this study to find a generic model or a possible pattern to the planning process.

Data regarding components used by local school systems in the development of their local plans are reflected in Table 4. The mandate from the state school board required that each plan have four major components: a mission statement, goals, objectives, and strategies. The superintendents reported that their five-year plans had a mission statement (99%), goals (98%), objectives (98%) and strategies (92%). In addition to required components, the data showed that 89% identified beliefs and values, 88% conducted a needs assessment, 85% obtained input from staff, parents, and community, and 81% identified the critical issues in their system and community.

The literature stresses that a good strategic planning process will seek to identify "What is" in a community through an internal and external environmental scan in an effort to determine "What should be." As shown in Table 4, 24% did an internal environmental scan, and 22% developed an external scan of the environment.

Table 4 indicates that the top ten components developed as part of the local plan in the systems surveyed are subjective and perceptual. These components are not based on any type of scientific or organized investigation such as a critical data analysis or environmental scan.

Table 4
Educational Planning Components Used by Tennessee School Systems to Develop Five-Year Educational Plans

Item	n	%
1. Identified mission of the system	90	99
2. Developed goals	89	98
3. Developed objectives	89	98
4. Developed strategies	84	92
5. Identified beliefs and values	81	89
6. Conducted needs assessment	80	88
7. Obtained staff, parent, and community input	77	85
8. Identified critical issues	74	81
9. Upgraded current plan or developed new plan	69	76
10. Identified visions	68	75
11. Developed action plans	59	65
12. Identified policies	57	63
13. Identified strengths, weaknesses, opportunities, and threats (SWOT)	53	58
14. Identified organizational structure	48	53
15. Identified preferred futures	40	44
16. Conducted internal environmental scan	22	24
17. Conducted external environmental scan	20	22
18. Other	2	2

Note. Total may not equal 100% due to rounding or no response to an item.

Table 5 shows 79% using existing school records, 69% depending on budgets from prior years, 80% using reason, deduction, conclusion, and extrapolation based on perception knowledge to develop their educational plan. The data showed that

90% used the information and expertise of the board and school staff as the major information or data base to prepare the plan. The data reveals that when all sources are combined between 69% and 90% of the data base came from empirical data and perception instead of scientific evaluation of the existing educational, economic, and social conditions within and outside the local school system.

Sixty-two percent of the superintendents reported that they budgeted no funds to cover the cost of planning. In the local systems 11% provided funds to cover the cost of implementing the goals and objectives for the first year.

The majority of the systems reported that the following components were included in their educational plan: a mission statement (97%), goals (93%), strategies (89%), objectives (84%), an implementation plan (74%), beliefs (64%), an evaluation procedure (60%), policies (50%), action plans (52%), and monitoring (50%).

Process components are defined in Chapter 1 and explained in detail in Appendix E.

Seventeen percent of the plans identified preferred futures for the school systems, even though 46% of the systems reported having vision statements in their plans.

Environmental scans were a part of 13% of the five-year plans.

The majority or 64% of the systems identified their planning process as long-range. Strategic planning was the method selected by 36% of the systems. The instrument provided a definition for each method with the question to help the respondent identify the method used.

Table 5
First Planning Cycle Processes, Components, and Elements: Local School Systems in Tennessee

Item	Yes		No		Total	
	n	%	n	%	n	%
1. Information base used to develop plan						
a. Internal/external environmental scan	36	40	55	60	91	100
b. Existing school records	72	79	19	21	91	100
c. Prior year budgets	63	69	28	31	91	100
d. Management Information System (MIS)	8	9	83	91	91	100
e. Reason, deduction, conclusion, extrapolation based on perceived knowledge	73	80	18	20	91	100
f. Information and expertise of local board and school staff	82	90	9	10	91	100
g. Other	2	2	89	98	91	100
2. The local school budget provided						
a. No funds to cover planning cost	56	62	35	38	91	101
b. Funds to cover the cost of planning	24	26	67	74	91	100
c. Funding for the goals and objectives identified for the first year only	10	11	80	88	90	99
d. First year funding with commitment to fund succeeding years	24	26	64	70	88	96
e. Funding for the total five year plan	8	9	80	88	88	97
3. The local school system plan contained						
a. Mission statement	88	97	0	0	88	97
b. Goals	85	93	3	3	88	96
c. Strategies	81	89	7	8	88	97
d. Objectives	76	84	12	13	88	97
e. Implementation plan	67	74	21	23	88	97
f. Beliefs	58	64	30	33	88	97
g. Evaluation procedure	55	60	33	36	88	96
h. Policies	45	50	43	47	88	97
i. Action plans	47	52	41	45	88	97
j. Monitoring	45	50	43	47	88	97
k. Vision statements	42	46	46	51	88	97
l. Internal analysis	29	32	59	65	88	97
m. Management plan	28	31	60	66	88	97
n. Summative evaluation	23	25	65	71	88	96

(table continues)

Table 5 - (Continued)
First Planning Cycle Processes, Components, and Elements: Local School Systems in Tennessee

Item	Yes		No		Total	
	n	%	n	%	n	%
4. Five-year plan classification as categorized by each local system						
a. Financial plan	26	29	62	68	88	97
b. Curriculum plan	32	35	56	62	88	97
c. Comprehensive plan	45	50	43	47	88	97
d. Short-range plan	24	26	64	70	88	96
e. Long-range plan	58	64	30	33	88	97
f. Strategic plan	33	36	55	60	88	96

Note. Total may not equal 100% due to rounding or no response to an item.

The local school board was given the responsibility for presenting to the state department a five-year plan. The process for the development of that plan was then assigned to an individual, group, team, planning committee, or a consultant. School systems in the study assigned the task to the superintendent, staff, and school board in 45% of the systems responding (see Table 6). Eleven percent of the systems used planning committees, and 2% used the services of an outside consultant. The data reveals that 73% of the systems used a combination of superintendent, staff, and school board to develop the educational plan.

Table 6
Group, Team, or Committee Assigned Responsibility for Development of First Five-Year Local Plan

Item	n	%
1. School board, superintendent, and staff	41	45
2. Superintendent and staff	15	17
3. Superintendent and school board	11	12
4. Other	11	12
5. Planning committee	10	11
6. Outside consultant	2	2
7. School board	1	1
Total	91	100

Note. Total may not equal 100% due to rounding or no response to an item.

Each school board selected or appointed someone to assume the leadership role in the planning effort. In 47% of the systems, the data show that the superintendent was given the leadership responsibility for plan development, and 39% of the systems selected someone on the central staff administrative team (see Table 7). School board chairmen were asked to lead the planning endeavor in 3% of the systems. No system in the state employed the services of college or university staff, and 1% of the systems surveyed used an outside consultant.

Table 7
Individual Assigned Primary Responsibility for Leading the Local Planning Process to Develop the First Five-Year Local Plan

Item	n	%
1. Superintendent	43	47
2. Central staff administrator	35	39
3. Other	5	6
4. Board Chairman	3	3
5. Board member	2	2
6. Principal	1	1
7. Teacher	1	1
8. Hired consultant(s)	1	1
9. University professor	0	0
Total	91	100

Note. Total may not equal 100% due to rounding or no response to an item.

School systems called on a variety of sources for assistance in preparing the five-year educational plan as shown in Table 8. Those providing assistance possessed varying degrees of expertise and would have had certain restraints such as time available to give to preparing the plan. The data reveal that the central office staffs, or 80% provided the greatest degree of assistance, with system principals providing the "very much" assistance in 50% of the systems. The majority of the systems recognized local input as the main source of assistance in the process, in addition to the central staff and principals: teachers 26%, locally appointed committees 23%.

When the "very much" assistance and "some" assistance categories are

combined, the Tennessee School Boards Association was recognized by 64% of the systems as providing significant help in this process. The data reflect the use of parents as significant, with 63% providing assistance in the school systems surveyed.

The commissioner of education gave the regional offices the major role in providing assistance to the local systems in the plan development process. Fifty-eight percent of the regional offices were singled out as providing significant help when the two categories are combined. Table 8 reveals that 18% of the systems reporting felt the regional offices gave significant or "very much" help to the local system.

The school systems reported that TEA/NEA(75%), universities and colleges(79%), outside consultants(86%), business/industry(40%), state department of education(23%), and appointed committees(46%) did not give any help or were not asked to help in the planning process. Students in 32% of the systems provided a great deal or some help in the planning process, with 68% of the systems reporting very little to no involvement of students.

Table 8
Agencies, Organizations, and Individuals Providing Help in Preparing Local System Educational Plan

Item	Very Much		Some		Very Little		None		Total	
	n	%	n	%	n	%	n	%	n	%
1. State Board of Education	3	3	26	27	32	35	30	33	91	98
2. State Department	6	6	38	42	26	29	21	23	91	100
3. Regional Offices, State	16	18	36	40	23	25	15	17	90	100
4. TSBA	23	25	35	39	15	16	18	20	91	100
5. TEA/NEA	1	1	1	1	21	23	68	75	91	100
6. Universities or Colleges	2	2	4	4	11	12	72	79	89	97
7. Central Office Staffs	73	80	14	15	1	1	3	3	91	99
8. Principals	45	50	39	43	4	4	3	3	91	100
9. Teachers	24	26	45	50	16	18	6	6	91	100
10. Non-Certificated Staff	11	12	23	25	30	33	27	30	91	100
11. Parents	12	13	45	50	26	28	8	9	91	100
12. Students	4	4	25	28	38	42	24	26	91	100
13. Appointed Committees	21	23	17	19	9	10	42	46	89	98
14. Outside Consultants	1	1	5	6	5	6	78	86	89	99
15. Business/Industry	6	7	22	24	27	30	36	39	91	100
16. Other	0	0	0	0	1	1	82	99	83	100

Note. Total may not equal 100% due to rounding or no response to an item.

Research Question Number Three: Model

Research question number three was stated as follows: Was the process adopted from one of the accepted models in the field/literature, or was it a model/process developed at the district level? Each school system in the state

followed a certain process in the development of their educational plan. The questionnaire sought to identify the procedure and the elements in the process, or the model the system selected to follow.

Table 9 shows the number of systems that selected various models or developed their own model or procedure. The Tennessee School Boards Association (TSBA) presented a planning institute in Gatlinburg, Tennessee, in July of 1988. This institute featured the planning method used in the Broward County School System in Florida. Broward County used a modified model developed by James Lewis, Jr. In October of 1989 the TSBA offered a planning workshop based on a model developed from a variety or mix of the components of other accepted models. This workshop was for board members, superintendents, and staff using the TSBA model. The TSBA model was selected as the favored process by 28% of the systems in the study.

The state department did not present a model to be followed by the local systems, but allowed the system to select the process they wished to follow. As shown in Table 9, 28% of the systems selected the state model, which would be the four elements listed in the mandate: a mission statement, goals, objectives, and strategies. In 21% of the systems, a model developed by the system was selected. The local model may have been a combination of several models, or a completely exclusive process developed to meet the individual needs of the system.

Business and industry has been involved with planning for many years. Chapter 2 cites a variety of authorities in the field that acknowledged planning as the

one element found in all major management models. The population in the study, 2% of the systems investigated, used a model from business/industry.

Table 9
Planning Models Used By Tennessee Schools to Develop Five-Year Educational Plan

Items	n	%
1. TSBA workshop model	25	28
2. Tennessee State Department of Education model	25	28
3. Model developed by local school system	19	21
4. Other	10	11
5. Cook model	4	4
6. A model was not used	3	3
7. Business or industrial model	2	2
8. Kaufman/Herman model	0	0
9. Lewis model	0	0
10. McCune model	0	0
Total	88	97

Note. Total may not equal 100% due to rounding or no response to an item.

Research Question Number Four: Plan Agreement

Research question number four was stated as follows: What attempt, if any, did the local system make to match their plan with the master plan prepared by the state board of education? The state school board had been instructed by the state legislature to develop a state master plan for education (Appendix F) and to keep it current. In turn, the state board mandated that the local system develop an educational plan for the local system. In a search of the literature, memorandum, and other directives, including the state board resolution, the local school system was not

instructed to follow or use the state plan as a guide.

As shown in Table 10, 40% of the local systems made some attempt to match the local plan with the state master plan. Seventy-five percent indicated that they did not understand that they were to correlate the two plans, and 55% did not understand the state plan was a model for them to use. As indicated earlier, 84%(see Table 2) reported they had received a copy of the state master plan.

Thirty-four percent of the systems upgraded their plan to match the Tennessee Basic Education Program(BEP). The 58% that did not upgrade their plans were not required to change their educational plans by mandate or directive from the state department. The new funding formula and directive for the operation of Tennessee schools were passed after the 1990 deadline for the first cycle five-year plan.

Table 10
Correlation of Local Education Plan with State Master Plan

Item	Yes		No		Total	
	n	%	n	%	n	%
1. Local system matched plan with state master plan	36	40	49	54	85	94
2. Local system understood local plan and state plan must correlate	16	18	68	75	85	93
3. Local system understood that the state plan was a model for the local plan	34	37	50	55	84	84
4. Local system matched five year plan with the Tennessee Basic Education Program (BEP)	31	34	53	58	84	29

Note. Total may not equal 100% due to rounding or no response to an item.

Research Question Number Five: Implementation

Research question number five was stated as follows: What was the implementation process of the plan? After each system developed and received approval of the five-year educational plan, to have any impact on the education of children, the plan had to be implemented. The processes used in implementation by school systems being studied were collected in the questionnaire.

The majority of the systems gave the superintendent(36%) or the central office administration(23%) the leadership responsibility for implementation of the local educational plan (see Table 11). Principals were given the leadership role in 3% of the school systems.

Table 11
Primary Local Leadership Responsibility For Implementation of Local Educational Plan

Item	n	%
1. Superintendent	33	36
2. Central office administration	21	23
3. Other	17	19
4. Local school board and superintendent	6	7
5. Superintendent and principals	4	4
6. Principals	3	3
7. Principals and teachers	2	2
8. Teachers	0	0
9. Local school board	0	0
10. Appointed committee	0	0
Total	86	94

Note. Total may not equal 100% due to rounding or no response to an item.

A major function of the implementation process would be to develop a method or plan to accomplish or achieve the goals and objectives as declared by each local school system. As shown in Table 12, 73% of the systems surveyed had an implementation plan to reach their designated goals and objectives. Eighty-four percent had a timetable developed to measure or evaluate their progress. The state department of education directed the local system to develop the timetable, but did not require an implementation plan for achieving the goals and objectives in the five-year plan.

Table 12 indicates that even though the majority of the systems had goals and objectives, 31% elected to do a cost analysis for their school budgets of what it would cost to fund these components. Responsibility was not given to anyone in the system to implement particular goals or objectives in 54% of the systems in the study. The local systems reported that 64% had action plans in place to implement the goals and objectives. Fifty-six percent had developed and written detailed steps to accomplish each objective. The acceptance of the plan as the guide for the educational system was 78%, as compared to 18% that did not accept the plan.

Table 12
Implementation Processes Used By Local School Systems to meet Goals and Objectives

Item	Yes		No		Total	
	n	%	n	%	n	%
1. Plan or procedure developed to reach goals and objectives	66	73	21	23	87	96
2. Time table developed to reach goals and objectives during five year period	76	84	11	12	87	96
3. A cost analysis for the school budget was developed to fund the goals and objectives each year	28	31	58	64	86	95
4. The school system staff accepted the educational plan as a guide for education in the system over the period of the plan	71	78	16	18	87	96
5. Implementation plans were developed and written detailing steps to accomplish each objective	51	56	36	40	87	96
6. Implementation of each objective was assigned to a particular individual, group, agency, or other entity	38	42	49	54	87	96
7. The local system developed action plans for achieving each goal and objective	58	64	29	32	87	96

Note. Total may not equal 100% due to rounding or no response to an item.

Research Question Number Six: Goal and Objective Evaluation

Research question number six was stated as follows: What methods and data sources were used to measure local goal achievement in the annual reports to the state commissioner of education? The state department of education requires that each school system report yearly as to progress in reaching stated goals and objectives. A formal evaluation process was not developed by the state department and each system

must evaluate and upgrade goals and objectives locally. A state monitoring mechanism is not in place to validate goal and objective achievement of each system.

The systems responding to the survey reported that 62% had no formal evaluation procedure for evaluating goals and objectives. In Table 13, the data shows that 72% have a process in place to rewrite or drop a goal or objective that is no longer pertinent to the school systems needs. The instrument did not question who made this decision in the system since the data reveals that 62% have no evaluation process but 72% have a method for dropping or rewriting a goal or objective. Further more, 69% of the systems in the study reported that their objectives were measurable and could be evaluated if the system so desired.

Table 13
Goal and Objective Evaluation of Local Five-Year Plan

Item	Yes		No		Total	
	n	%	n	%	n	%
1. A formal evaluation of goal and objective attainment is utilized	31	34	56	62	87	96
2. All objectives are measurable	63	69	24	26	87	95
3. A process is in place to rewrite or drop goals or objectives after the evaluation process	65	72	22	24	87	96
4. Goals and objectives have been met according to timetable set by local school system	19	21	66	73	85	94

Note. Total may not equal 100% due to rounding or no response to an item.

With one year remaining on the first five-year planning cycle, five percent of the local systems in the study reported that they had completed all of the goals and objectives in the plan according to a timetable. Thirty-two percent had completed 90% and 49% had completed 60% of the goals and objectives on time. The

instrument did not inquire as to the number of goals and objectives that were either dropped or revised during this time period.

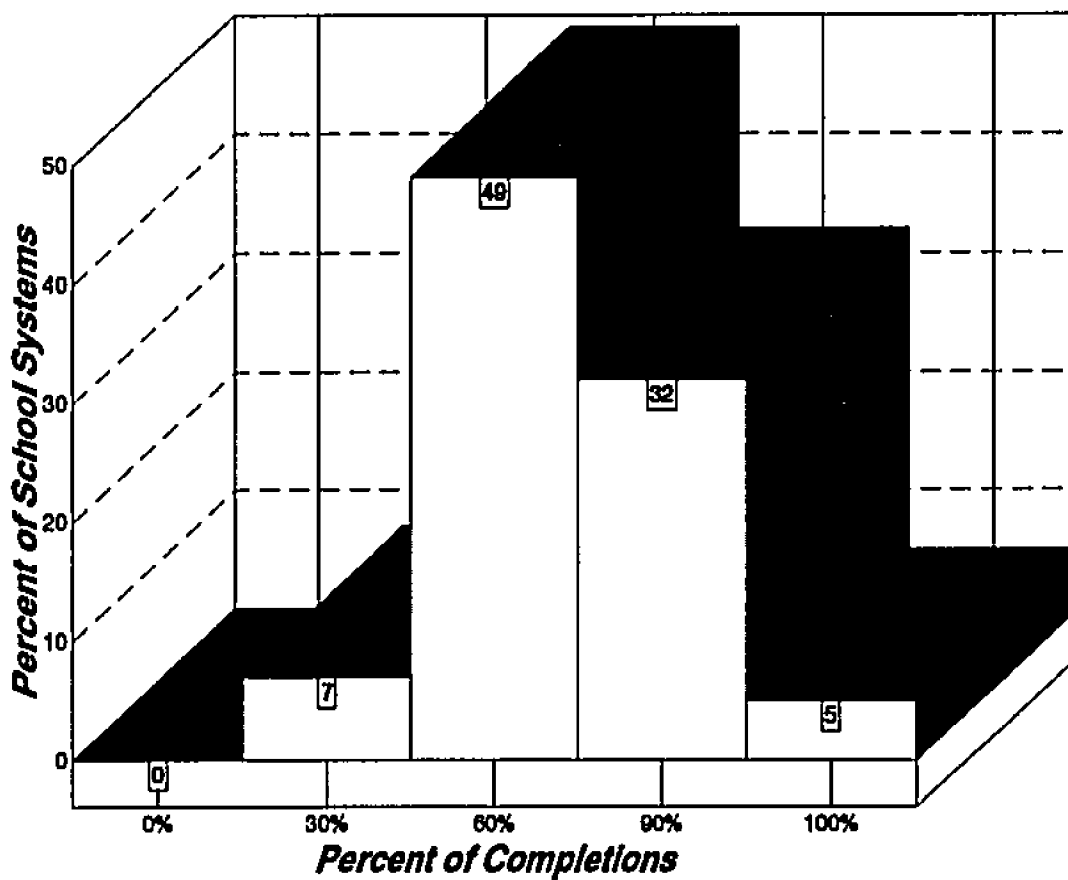


Figure 2
Five-Year Plan Goal and Objective Completions in
Tennessee Schools as of July 1994

Research Question Number Seven: Plan Evaluation and Revision Process

Research question number seven was stated as follows: What process is used to evaluate and upgrade the current educational plan and planning process or model? The state department of education requires that each local system evaluate the five-year plan annually. Eighty-four percent of the respondents reported that they comply with this regulation.

The evaluation process is under the leadership of the superintendent in 42% of the systems, and a central office staff member in another 25% (see Table 14). As a result of these evaluations, 59% of the plans are revised with each evaluation, but 20% remain basically unchanged. Four percent compare and revise the local plan too correlate or match the goals and objectives of the state plan, which by law, is revised each year.

The systems were asked to respond to a list of possible changes that might be made in the planning process in the second cycle as a result of the evaluation of the first cycle. As shown in Table 14, 24% of the local school systems in the study do not use a formal evaluation process. This could mean a formal method is used or none is used. Forty-four percent of the systems indicate that they use both the formative and summative method of evaluation.

Table 14
First Planning Cycle Evaluation Techniques: Local School Systems in Tennessee

Item	n	%
1. Plan is evaluated:		
a. Annually	76	84
b. Semi-annually	2	2
c. Quarterly	2	2
d. Monthly	1	1
e. Evaluation not on a schedule	4	4
Total	85	93
2. Individual responsible for evaluation of plan and process:		
a. Chairman of the board	3	3
b. Board Member	1	1
c. Superintendent	38	42
d. Central office staff member	23	25
e. Principal	0	0
f. Teacher	0	0
g. Community member	0	0
h. Parent	0	0
i. Consultant	1	1
j. Other*	20	22
Total	86	94
3. Result of evaluation process		
a. Plan revised after each evaluation	54	59
b. Plan is basically unchanged	18	20
c. Plan revised each year to match state plan	4	4
d. Planning model or process changed	1	1
Total	77	84
4. Evaluation method used:		
a. Formative	13	14
b. Summative	8	9
c. Formative and Summative	40	44
d. Formal method is not used	22	24
Total	83	91

Note. Total does not equal 100% due to rounding or no response to an item.

*Respondents selected more than one category in this item; superintendent and central staff member 9%, School board and superintendent 8%, and other single entities identified 6%.

Four of the five changes receiving the highest positive responses are components that are required by the state. The one exception was that 74% of the systems plan to review and modify the action plans or the implementation process (see Table 15). In the second cycle, the school systems plan more involvement of all the school and community shareholders in the process as compared to the heavy use of central staff personnel as indicated in Tables 6, 7, and 8. Sixty-nine percent plan to increase parent and community involvement, 67% will seek to increase teaching staff participation, and 65% will seek more "buy-in" from administration, staff, teachers, and community.

The method of plan process or development will not be changed in 62% of the systems, but 56% will change the evaluation procedure. As shown in Table 15, 57% plan to upgrade the implementation process, which will work in concert with the 75% who plan to modify their action plans.

As in the first planning cycle, 62% do not plan an internal or external scan of the environment in which the school system operates. Eighty-eight percent reported that an outside consultant will not be used.

Table 15
Process Changes or Revisions Planned by Local School Systems in the Second Five-Year Planning Cycle

Item	Yes		No		Total	
	n	%	n	%	n	%
1. Annual review and revision of plan	81	89	9	10	90	99
2. Increased input and participation by board	57	63	33	36	90	99
3. Increase in administrative staff participation	58	64	32	35	90	99

(table continues)

Table 15 - (Continued)
Process Changes or Revisions Planned by Local School Systems in the Second
Five-Year Planning Cycle

Item	Yes		No		Total	
	n	%	n	%	n	%
4. Decrease administrative staff participation	2	2	88	97	90	99
5. Increase in teaching staff participation	61	67	29	32	90	99
6. Decrease in teaching staff participation	0	0	90	99	90	99
7. Increase parent and community involvement	62	68	28	31	90	99
8. Decrease parent and community involvement	6	7	84	92	90	99
9. Include students in planning process	53	58	37	41	90	99
10. Use outside facilitator or consultant	10	11	80	88	90	99
11. Assign staff member to full or part-time staff position in planning	21	23	69	76	90	99
12. Seek more endorsement or buy-in by administration, teachers, staff, and community	59	65	31	34	90	99
13. Seek more endorsement or buy-in by the local funding body	51	56	39	43	90	99
14. Conduct internal and external environmental scan or analysis	34	37	56	62	90	99
15. Review and revise mission statement	63	69	27	30	90	99
16. Review and revise belief statements	57	63	33	36	90	99
17. Review and modify goals and objectives	76	84	14	15	90	99
18. Review and modify vision statements	55	60	35	39	90	99
19. Review and modify action plans	68	75	22	24	90	99
20. Review and modify strategies	67	74	23	25	90	99

(tables continued)

Table 15 - (Continued)
Process Changes or Revisions Planned by Local School Systems in the Second Five-Year Planning Cycle

Item	Yes		No		Total	
	n	%	n	%	n	%
21. Revise methods used to implement plan	52	57	38	42	90	99
22. Review and modify the method of monitoring the plan	47	52	43	47	90	99
23. Review and modify the evaluation procedure	51	56	39	43	90	99
24. Revise the method or model used to develop the first five-year plan	34	37	56	62	90	99
25. Other changes in process planned	3	3	86	95	89	98

Note. Total may not equal 100% due to rounding or no response to an item.

In Tennessee there is a great deal of diversity from one school system to another, one school to another, and within each grade level and between each student. A mixture of thoughts, ideas and actions exists. Priority in each community may go to a different set of preferred futures. The responses to the items in the questionnaire reflects the diversity of process and thought in the various school systems. The data show few significant patterns in formulation, implementation, or evaluation between school systems in Tennessee. The findings, conclusions, and recommendations presented in Chapter 5 will illustrate the similarities in the processes used in formulation, implementation, and evaluation of the local educational plan.

CHAPTER 5

SUMMARY, FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

Summary

In 1984, the Tennessee Board of Education mandated that local school districts develop and implement a local educational plan to address the question of planning a total state educational program. This study is designed to analyze the processes used by school systems in Tennessee to formulate, implement, and evaluate the educational planning processes used to develop a mandated five-year educational plan.

Each local plan was to be developed, approved, and operational by September of 1990. The plan was to include a: (1) mission statement, (2) goals, (3) objectives, and (4) strategies. In the absence of specific guidelines from the state for plan development, data have revealed a lack of clarity in the process followed by schools as they completed the educational plan.

A review of the literature on educational planning did not reveal a definitive process or model for the development of an educational plan for a local school district. General agreement substantiates that while a definitive process does not exist, it is imperative that a well organized process is critical to accomplishing goals and objectives.

The literature suggests (Schlechty, 1990; Cook, 1990; O'Neil, 1992; Orlich, 1989; Kaufman & Herman, 1991; Morphet et al., 1972) that a holistic view on the local, state, and national levels of the mission, goals, objectives, strategies, and vision of education is one element in educational reform that is missing. The significance of

the study is based around this premise. There is no grand scheme or master plan on the state or national level which looks at the whole in an attempt to put all the various restructuring or reform components together to form a complete educational plan.

The process, implementation, and evaluation methods used in the local school systems in Tennessee to develop educational plans as they related to acceptable educational planning practice as found in the literature was evaluated. Data were gathered using a survey instrument developed and validated by the researcher as described in Chapter 3. The instrument was divided into seven sections covering seven research questions relating to the planning components found in the most accepted models in the literature. The instrument was mailed to 139 superintendents, consequently covering all of the local school systems in Tennessee. The purpose of this chapter is to summarize the findings, present conclusions, and make recommendations derived from the literature review in Chapter 2 and data analysis in Chapter 4.

Findings

From the results of the data analysis and interpretation, the following findings are presented. These findings are related to seven research questions dealing with the processes used by Tennessee school districts in the formulation, implementation, and evaluation of a state mandated five-year educational plan.

Research Question Number One: Preparation

What information, guidelines, preparation, and training were given to the school board, administration, and educational staff prior to

the development of the five year plan?

- 1. The annual budget was the educational plan in most Tennessee school systems prior to the state board of education resolution calling for a five-year educational plan.**
- 2. The state department of education provided each system with the necessary rules and regulations for completion of the educational plan. A copy of the state board's master plan for education was sent to each local school system.**
- 3. The state department of education did not suggest models, procedures, or processes that the systems might use for acceptable development of an educational plan.**
- 4. Only 6% of the local school systems reported receiving a great deal of help in preparing their plan from the state department of education. Eighteen percent of the local school systems reported receiving a great deal of help from the state regional offices. These two agencies were given responsibility for training and operating the educational planning process. Thus, the data reveals that a majority of the local school systems had to obtain the skills for educational planning from other sources.**
- 5. The Tennessee School Boards Association provided two training opportunities for school boards, superintendents, and some educational staff prior to the September 1990 state department deadline for submitting the local system plan to the state. The majority of the superintendents and local school board members attended these two training sessions and gave them good evaluations.**

Research Question Number Two: Process

What process was used by each local school system to develop the five year plan?

1. A predominant planning model cannot be identified from a review of the data. Over 90% of the school systems included the development and identification of a mission statement, goals, objectives and strategies in the process. Each of these components was mandated by the state board in the resolution.

2. Less than one fourth of the local school systems conducted an internal or external environmental scan to develop a picture of "What is?" and "What should be?" in the local school system. A formal evaluation of the community and the school system was not conducted prior to the development of the five-year plan. A needs assessment was required of each local system one year prior to the request for a five-year plan. The needs assessment and a formal environmental scan do not address the same issues and would not be compatible when addressing the components of an educational plan. The needs assessment requested by the state department of education was very general and non-specific as to specifics to be addressed.

3. A needs assessment sent to the state department of education one year prior to the planning deadline was used by the state department as the guide for evaluating the local plan of each system. This needs assessment was designed previously for the career ladder and extended contract programs. The state did not require a plan based on business and community trends projections, a SWOT analysis, or an internal or external environmental scan of the community.

4. The majority of the school systems identified beliefs and values, critical issues, and involved staff, parents, and community in providing input as part of the local planning process. These were not suggested by the state department as part of the process.

5. The local school systems used reasoning, deduction, conclusion, perception, and the expertise of the local board and educational staff as the information base to develop the local plan.

6. Funding was not provided for the process or to cover the cost of meeting the goals and objectives after plan development.

7. The majority of the local system models or processes included as follows: a mission statement, goals, strategies, measurable objectives, an implementation plan, belief statements, and an evaluation procedure.

8. The majority of the plans can be identified as long-range. A long-range plan, in this situation, can be defined as one that is designed to improve, not restructure, an entity over a period of more than a year. Only 36% of the school systems in the study used a strategic planning process or model as defined in the literature.

9. The local educational plans were developed by the central administration of the school system.

10. The superintendent or a central office administrator was given primary responsibility for leading the planning process. Professional consultants or professional staff from a university were not used to assist in the development of the

local plans.

11. Involvement in the development of the educational plan was almost exclusively a function of the local administration and staff. Data show limited outside expertise was sought or received. The Tennessee School Boards Association was the only exception to this finding. The local school systems identified this organization as being the most helpful to the majority of the school systems by providing training and help in plan preparation.

Research Question Number Three: Model

Was the process adopted from one of the accepted models in the field/literature, or was it a model/process developed at the district level?

1. Local school systems did not use an accepted model or process to develop the local plan but selected components from a variety of models.

2. The local systems used the planning components suggested by the Tennessee School Boards Association, the requirements of the state school board resolution, or developed customized models or processes to develop educational plans.

Research Question Number Four: Plan Agreement

What attempt, if any, did the local system make to match the local school system plan with the master plan prepared by the state board of education?

1. The majority of the school systems made no attempt to match the local plans with the state master plan for education.

2. No state evaluation mechanism was in place to compare the local plan with the state master plan.

Research Question Number Five: Implementation

What was the implementation process of the plan?

1. The primary leadership responsibility for implementation of the plan was given to the superintendent or a central office administrator.

2. The local school systems developed action plans or implementation processes. These processes did not follow any set pattern state-wide, but were designed by the local system for internal use only.

3. In most local school systems funds were not provided in the local school budget for the implementation of the identified goals and objectives of the local plan.

4. Implementation plans were in place, but responsibility for implementing the strategies to achieve the goals and objectives of the plan were not assigned, in most systems, to an individual, group, agency, or other entity.

5. The educational plan received general acceptance by the educational staff in the local school systems.

Research Question Number Six: Goal and Objective Evaluation

What methods and data sources were used to measure local goal achievement in the annual reports to the state commissioner of education?

1. Measurable objectives were written and designed to reach the identified goals and objectives of the plans. A timetable was developed as prescribed by the

state department of education.

2. A formal evaluation plan to measure the degree of attainment of identified goals and objectives was not in place in the local school system.

3. The local school systems had a process or procedure in place to rewrite or drop goals or objectives that need changing after an evaluation.

4. Most of the school systems report attainment of between 60% to 90% of the goals and objectives of the five-year plan as of July 1994.

Research Question Number Seven: Plan Evaluation and Revision Process

What process is used to evaluate and upgrade the current educational plan and planning process or model?

1. Local educational plans are evaluated annually.

2. The superintendent or a central staff administrator is responsible for the evaluation and upgrade of the local plan.

3. Most plans are revised after each evaluation, but they are not revised to correlate with the annual revision made by the state board of education to the state master plan for education.

4. Formative and summative evaluation methods are used in most school systems for general evaluation of the plans. A definitive evaluation of goals and objective attainment is not conducted, nor planned in the future evaluations.

5. The local school systems plan to make modifications or revisions in the components required by the state department of education, but will not change or add other components. The one exception is an increased interest in improving the

implementation process and accompanying action plans.

6. Most school systems plan to seek more involvement and input from people on staff and in the community served by the school system. Over 58% plan to seek more involvement and input from students, a major change from the first cycle planning process.

7. The local school systems do not plan to do a formal analysis of the trends and changes in the school or community prior to development of the educational plan in the second cycle.

8. The local school systems do not plan to revise the model, method, or procedure for the development of the second cycle plan.

Conclusions

Based upon the results of this study of the processes used by Tennessee school districts in the formulation, implementation, and evaluation of a state mandated five year educational plan, the following conclusions are presented:

Formulation

1. The local school boards and educational staffs in the local school systems did not receive sufficient information, training, and preparation materials to prepare an effective five-year educational plan. The educational planning formulation activities were developed and implemented by the local school system with limited or no outside help. The local school systems received the necessary guidelines and directives as to what must be submitted to meet the letter of the law. The Tennessee School Boards Association, a non-government organization, provided the majority of

the training, information, and process suggestions to the local school boards and local education staffs.

2. The local school system five-year educational plan was developed mainly by the local school board, superintendent, and the central office staff in each school system. In most cases, the superintendent or a central office administrator led the process. The local school system developed the educational plan around the four components presented in the resolution by the state board of education: a mission statement, goals, objectives, and strategies. The school systems used a needs assessment developed earlier in the year for career ladder and extended contract programs. The local school systems did not gather sufficient information from the local community to project a vision for the school system or identify present or future trends in the schools and community. Proper funding was not provided for any of these activities in most communities. The planning process in most local school systems could be classified as long-range planning, since the educational plan was for a period of over one year and centered around improving the current program, not restructuring.

3. An accepted planning model as found in the field/literature was not used by the majority of the school systems. Most systems developed the components required by the state school board in the resolution or the TSBA model which was a combination of various models.

4. Some of the local school systems made an attempt to match the local plan with the state master plan for education that was mandated by the legislature in 1984.

The majority of the school systems were not aware that this was a planning requirement and a correlation of plans between the two entities was not found.

Implementation

5. The local educational plan was implemented by the superintendent or a central office administrator in most systems. Implementaiton may have been a central office process and did not include each local school in the system in putting the plan into action. The data revealed that most systems were not reaching the objectives according to the local timetable therefore it can be assumed that the implementation process may not have been as successful. An implementation plan should have been in place in each system.

Evaluation

6. A formal evaluation process to measure success or failure in reaching the declared goals and objectives was not in place in most local school systems. The local plan could not be very effective in reaching a defined mission if quality evaluation was not being conducted on a regular basis.

The local school systems placed major emphasis on the components of planning found in the state resolution which covers only a small part of acceptable planning practice as found in the literature and in practice. The local school systems realized that too much emphasis was placed on the expertise of the school board and local school administration in the first planning cycle and have made plans to seek input from the total community in the second planning cycle.

Recommendations

Based upon the findings of this study of processes used by Tennessee school districts in the formulation, implementation and evaluation of a state mandated five year educational plan, the following recommendations are presented for consideration:

1. Local school systems should be required to correlate local educational plans with the state master plan for education.
2. Local systems should be required to establish and maintain a data base of information about the school system and the community served by the school system. This should take the form of an internal and external environmental scan of the school and community. A composite of local economic and educational data from across the State of Tennessee could be used by employees and elected policy makers of the State of Tennessee in developing annual and long-range budgets and educational plans.
3. The state mission statement and local mission statements should be in basic agreement. In addition, the local mission statement should reflect the needs of the community being served.
4. An acceptable planning process or model should be developed or selected for use by the state school board and each local school board to be used to develop the five-year educational plans. This model or process should have established statistical procedures for measuring success or failure in meeting the identified goals and objectives of the state and each local school system. A comprehensive training component should be a part of the total planning process. The initial training component could be a state function, funding and materials would be provided by the

state department of education.

5. Institutions of higher education with programs and courses about educational planning should have a greater influence with local and state agencies in the process of training, implementation, and evaluation of local and state planning.

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APPENDICES

APPENDIX A

QUESTIONNAIRE ASSESSMENT FORM

Questionnaire Assessment Form

Please answer the following questions concerning each item on the Educational Planning Questionnaire. Each question below corresponds to the same numbers on the questionnaire. If you answer no to either (A) or (B) below, please indicate whether the question should be changed or deleted and the reasons why. If you believe the question should be changed, please specify what the change should be.

	Is this question:			
	A Clear and unambiguous		B Relevant to subtopic area?	
Write Recommended Changes to Question #	YES	NO	YES	NO
1-				
2-				
3-				
4-				
5-				
6-				
7-				
8-				
9-				
10-				
11-				
12-				
13-				
14-				
15-				
16-				
17-				
18-				

APPENDIX B:

LETTER TO SUPERINTENDENT

June 21, 1994

Dr. George Norris, Director of Schools
Kingsport City Schools
1701 East Center Street
Kingsport, Tennessee 37664

Dear Dr. Norris:

I am conducting a study of the processes used by Tennessee school districts in preparing the state mandated five-year educational plan in 1990. The purpose of the study is to provide school districts with information concerning processes used in the first planning cycle to serve as an aid to planning in the second cycle. The study will ascertain if local school districts were given the appropriate information, training, and assistance to develop an acceptable educational plan and yearly evaluation for the first cycle.

I have designed a questionnaire to provide a comprehensive inventory of the methods used by the school districts in the state to develop their first five-year educational plan. Dr. Norris, please take fifteen minutes of your valuable time to complete this instrument. If you were not the superintendent during the first cycle, please allow someone on your staff to complete this instrument that was involved with the process. By completing this form, you will be expressing a willingness to participate in this research project. An executive summary of the study will be made available to you upon request. The identity of the respondents and the school district will remain confidential and will not be revealed in any manner in reporting the results of the study.

I am an educator in the Kingsport City School System and have served the district as teacher, educational planner, and in a variety of other assignments during the past 18 years. I am presently completing the requirements for an Ed.D. Degree at East Tennessee State University. Dr. Norris, please return the completed questionnaire in the enclosed self-addressed, stamped envelope by July 6, 1994. Your cooperation and assistance will be greatly appreciated.

Sincerely,

Daniel R. Fielden
ETSU Doctoral Student

APPENDIX C

FOLLOW UP LETTER TO SUPERINTENDENT

July 7, 1994

*Dr. George Norris, Superintendent
Kingsport City Schools
1701 East Center Street
Kingsport, Tennessee 37664*

Dear Dr. Norris:

Recently, I mailed you a copy of a survey that I am conducting on the processes used by Tennessee school districts in preparing the state mandated five-year educational plan in 1990. The purpose of the study is to provide school districts with information concerning processes used in the first planning cycle to serve as an aid to planning in the second cycle. If for some reason you have not completed and returned the survey, I would greatly appreciate your taking a few minutes to complete and return the enclosed instrument.

Dr. Norris, I realize, having been a central staff administrator for sixteen years, how extremely busy you and other superintendents are at this time of year as you close one year and start the next. Your response is greatly valued and significant. If you were not the superintendent during the first cycle, please allow someone on your staff to complete this instrument that was involved with the process.

*I am conducting this study as partial fulfillment of the requirements for an Ed.D. Degree at East Tennessee State University. Dr. Norris, please return the completed questionnaire in the enclosed self-addressed, stamped envelope by **July 16, 1994**. Your time and assistance is greatly appreciated.*

Sincerely,

*Daniel R. Fielden
ETSU Doctoral Student*

APPENDIX D:

INSTRUMENT

Educational Planning Survey

All responses should be based on information and training received to prepare the first five-year plan. (1990)

PREPARATION

DIRECTIONS: Place a "✓" for the most appropriate response for your situation.

1• Which of the following planning processes best describes your procedure prior to the mandated five-year process? (Check one.)

- | | |
|--|---|
| <input type="checkbox"/> a• Annual budget was yearly plan | <input type="checkbox"/> c• Written short-range plan (Less than 1 year) |
| <input type="checkbox"/> b• Written long-range plan (1 Year or more) | <input type="checkbox"/> d• No formal planning process |

2• Check all materials you received from the state department of education to help you prepare your five-year plan.

- a• Letter from state department explaining rules and regulations for compliance to the law and deadlines
- b• Copy of the State Board of Education Master Plan for Education
- c• Suggested models and/or samples of effective or acceptable educational plans
- d• Suggested procedures for conducting an educational planning process
- e• Notification of sessions or workshops being made available to help prepare for this process
- f• Other (Please list.) _____

DIRECTIONS: Place a "✓" for the most appropriate response for your situation.

Yes	No	Item
		3• Sufficient information was sent from the state department to develop a quality educational plan.
		4• Sufficient training was provided by the state department to develop a quality educational plan.
		5• State department regional offices conducted planning workshops and/or district training sessions.
		6• The local school system provided staff development activities to cultivate educational planning skills.
		7• The state directed that the local plan must be developed around the local system needs assessment.
		8• The superintendent and/or staff attended the Tennessee School Boards Association (TSBA) institute and/or the workshop in 1990 on educational planning (Please do not include the February 1993 School Board Academy).
		9• Members of the school board attended the Tennessee School Boards Association (TSBA) institute and/or the workshop in 1990 on educational planning (Please do not include the February 1993 School Board Academy).
		10• The planning process and techniques presented at the TSBA workshop and institute were very helpful.
		11• The TSBA institute and/or the workshop were the only formal training sessions attended by the board and staff.

PROCESS

DIRECTIONS: Place a "✓" for the most appropriate response for your situation.

12• Please identify all of the processes you used to develop your educational plan. (Leave blank any processes you did not use.)

- | | |
|---|---|
| <input type="checkbox"/> a• Identified mission of the system | <input type="checkbox"/> j• Conducted external environmental scan |
| <input type="checkbox"/> b• Identified beliefs and values | <input type="checkbox"/> k• Conducted internal environmental scan |
| <input type="checkbox"/> c• Identified visions | <input type="checkbox"/> l• Obtained staff, parent, and community input |
| <input type="checkbox"/> d• Identified critical issues | <input type="checkbox"/> m• Developed goals |
| <input type="checkbox"/> e• Identified preferred futures | <input type="checkbox"/> n• Developed objectives |
| <input type="checkbox"/> f• Identified SWOT (strengths, weaknesses, opportunities, threats) | <input type="checkbox"/> o• Developed strategies |
| <input type="checkbox"/> g• Identified policies | <input type="checkbox"/> p• Upgraded current plan or developed new plan |
| <input type="checkbox"/> h• Identified organizational structure | <input type="checkbox"/> q• Developed action plans |
| <input type="checkbox"/> i• Conducted needs assessment | <input type="checkbox"/> r• Other (Specify.) _____ |



13. The information base to develop the five-year plan came from the following: (Check all that apply.)

- a. Organized internal/external environmental scan or organized demographic analysis of the school/community
- b. The various existing records in the school system
- c. Budgets from prior years
- d. Management Information System (MIS) - a formal computerized data system established to collect and disseminate information
- e. Reason, deduction, conclusion, or extrapolation based on perceived knowledge of the school system
- f. Information and expertise of the local school board and/or professional education staff
- g. Other _____

14. The five-year plan in the school system was developed primarily by the following: (Select one.)

- a. Superintendent and school board
- b. School board, superintendent, and staff
- c. Other (Specify.) _____
- d. Superintendent and staff
- e. School board
- f. Planning committee
- g. Outside consultant

15. The person given primary responsibility for leading the planning process: (Select one.)

- a. Board Chairman
- b. Superintendent
- c. Central Staff Administrator
- d. Board Member
- e. Principal
- f. Teacher
- g. University Professor
- h. Hired Consultant(s)
- i. Other (Specify.) _____

16. Please check the extent to which the agencies listed helped you to develop your five-year educational plan.

ASSISTED IN THE PROCESS				AGENCY, ORGANIZATION, OR INDIVIDUAL PROVIDING SERVICE
VERY MUCH	SOME	VERY LITTLE	NONE	
				a. State Board of Education
				b. State Department of Education (Nashville office)
				c. State Department of Education (Regional office)
				d. Tennessee School Boards Association
				e. TEA/NEA
				f. University or college (IDENTIFY.) _____
				g. Central Office Staff and Administration
				h. School Principals
				i. Teachers
				j. Non-certificated Staff
				k. Parents
				l. Students
				m. School Board Appointed Committee
				n. Private consultant or consulting firm
				o. Business/Industry
				p. Other (Identify.) _____

17. The school system budget provided: (Check those items that apply.)

- a. No local funds to cover the cost of the planning process.
- b. Funding to cover the cost of the planning process.
- c. Funds to match the goals and objectives in the system educational plan for the first year only.



Continued on Next Page

- ___ d. Funds to match the goals and objectives for the first year with a commitment to fund the succeeding years.
- ___ e. Funds to match the goals and objectives in the system educational plan for the five year life of the plan.

18. The local school system five-year plan contains the following components: (Check all that apply.)

- | | | |
|--|---|---|
| ___ a. Mission Statement | ___ h. Beliefs | ___ o. Formative Evaluation |
| ___ b. Policies | ___ i. Planning Assumptions | ___ p. Summative Evaluation |
| ___ c. Internal Analysis (data collection) | ___ j. Environmental Scan (data collection) | ___ q. Vision Statements |
| ___ d. Strategies | ___ k. Action Plans | ___ r. Preferred Futures |
| ___ e. Implementation Plan | ___ l. Management Plan | ___ s. SWOT (Strengths, Weaknesses, Opportunities, Threats) |
| ___ f. Evaluation Procedure | ___ m. Monitoring | ___ t. Other _____ |
| ___ g. Goals | ___ n. Objectives | |

19. Please classify your current five-year plan as follows: (Check those that apply.)

- ___ a. Financial - Plan is designed completely around the yearly school system budget.
- ___ b. Curriculum - Plan is designed completely around the school system curriculum.
- ___ c. Comprehensive (Please check one.)
 - ___ d. Short-range planning - plan of action to improve a function or organization, designed for a time frame of less than a year
 - ___ e. Long-range planning - plan of action for a period of more than a year in a static setting, improvement of the current function only
 - ___ f. Strategic planning - organization identifies relevant trends in its environment, analyzes their potential implications, and projects an integrated strategy to address these future events and their contingencies



DIRECTIONS: Place a "✓" for the most appropriate response.

20. In educational planning step-by-step models have been developed to guide the school system in the development of educational plans. Please check the model or process that best describes the method you used in developing your five-year plan.

- | | |
|---|-----------------------------|
| ___ a. Bill Cook Model | ___ i. James Lewis Model |
| ___ b. Roger Kaufman and Jerry Herman Model | ___ g. Shirley McCune Model |
| ___ c. State Department of Education Model | ___ h. TSBA Workshop Model |
| ___ d. A Model developed by the Local School System | ___ j. A model was not used |
| ___ e. Business or Industrial Model | ___ l. Other model |
| Specify _____ | Specify _____ |



DIRECTIONS: Place a "✓" for the most appropriate response.

21. The State Board of Education is required by law to develop and maintain a current state master plan for education in Tennessee. In preparing your local five-year plan, did you... (Check all items that reflect your actions.)

- ___ a. Match your plan with the state plan?
- ___ b. Receive instructions from the state department that you were to match your plan with the state plan?
- ___ c. Use the state plan as a model for your local plan?
- ___ d. Did you match your five year plan with the Tennessee Basic Education Program (BEP)?



DIRECTIONS: Place a "✓" for the most appropriate response.

22. Assuming that everyone in your school system participates in the implementation of the educational plan, who is given the primary responsibility for leading the implementation process in the school system?

- | | | |
|--------------------------------------|---------------------------|--|
| ___ a. Superintendent | ___ e. Principals | ___ h. Superintendent and principals |
| ___ b. Central office administration | ___ f. Teachers | ___ i. Principals and teachers |
| ___ c. Appointed committee | ___ g. Local school board | ___ j. Local school board and superintendent |
| ___ d. Other (Specify) _____ | | |

YES	NO	Item
		23• Did you develop a plan or procedure for reaching all of your goals and objectives?
		24• Did you develop a time table for attaining each goal or objective during the five-year planning cycle?
		25• Was a cost analysis for funding each goal and objective included in the budget for each year of the plan?
		26• In your opinion, did the school system staff accept and "buy-in" to the local five-year plan?
		27• Do you have written implementation plans, detailing the steps you will use to accomplish each objective?
		28• Did the implementation plan give responsibility for execution of each objective to a particular individual, group, agency, or other entity in the school system?
		29• Did you develop action plans to achieve the goals and objectives of your educational plan?

GOAL AND OBJECTIVE EVALUATION

DIRECTIONS: Place a "✓" for the most appropriate response.

Yes	No	Item
		30• Have you met your goals and objectives to date according to the timetable you set? Please "✓" percent completed to date: <input type="checkbox"/> 0% <input type="checkbox"/> 30% <input type="checkbox"/> 60% <input type="checkbox"/> 90% <input type="checkbox"/> 100%
		31• Do you use a formal process to evaluate your goals and objectives?
		32• Are each of your objectives measurable?
		33• If a goal or objective is not reached is a process in place to rewrite or drop the goal or objective?

PLAN EVALUATION AND REVISION PROCESS

DIRECTIONS: Place a "✓" for the most appropriate response.

34• The school system educational plan is evaluated:
 a• Annually c• Quarterly e• The school system does not have a set time for evaluation
 b• Semi-annually d• Monthly

35• Identify the position of the individual given leadership responsibility for the evaluation of the local plan and process.
 a• Chairman of the Board e• Central Office Staff Member h• Community Member
 b• Board Member f• Principal i• Parent
 c• Superintendent g• Teacher j• Consultant
 d• Other (Please list: _____)

36• As a result of the local evaluation of the educational plan,
 a• The plan has been revised or modified annually after each evaluation.
 b• The plan is basically the same as the original five-year plan.
 c• The plan has been upgraded each year to match the yearly upgrade of the state master plan.
 d• The planning process used for the first five-year plan has been changed to another model or method.

37. Formative Evaluation is conducted during the life of the plan to discover necessary in-process changes in activities, tactics, strategies, objectives, strategic goals, or the vision. Summative evaluation is conducted at the end of the planning cycle to ascertain the success of the plan in reaching the stated goals and objectives of the plan. (Please check only those that apply to the process used in your school system.)
 a• Formative evaluation c• Both methods are used
 b• Summative evaluation d• A formal evaluation method is not used



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38. The first five-year planning cycle will be completed at the end of the 1994-95 school year. Prior to the start of the second planning cycle, what changes do you plan to make in the planning process in your school system as a result of your evaluation of the first planning cycle? (Please check only those that apply to the process used in your school system.)

Yes	No	Item
		a. Review and revise the plan annually.
		b. Request more input and participation by school board members.
		c. Increase administrative staff involvement in the planning process.
		d. Decrease administrative staff involvement in the planning process.
		e. Increase teaching staff involvement in the planning process.
		f. Decrease teaching staff involvement in the planning process.
		g. Include parents and community more directly in the planning process.
		h. Include parents and community less directly in the planning process.
		i. Include students in the planning process.
		j. Use an outside planning facilitator or consultant.
		k. Give someone on the present staff full or part-time responsibility for educational planning.
		l. Seek more endorsement and buy-in of the plan by administration, teachers, staff, and community.
		m. Seek more endorsement and buy-in of the plan by the funding body for my school district.
		n. Do an internal/external analysis or scan of the environment or demographics in the community and school system.
		o. Review and revise the mission statement.
		p. Review and revise the belief statements.
		q. Review and modify the goals and objectives.
		r. Review and modify the vision statements.
		s. Review and modify the action plans.
		t. Review and modify the strategies.
		u. Revise the methods used to implement the plan.
		v. Review and modify the method of monitoring the plan.
		w. Review and modify the evaluation procedure.
		x. Revise the method or model used to develop the first five-year plan.
		y. Other (Please Specify.) _____

Please send me an executive summary of the Tennessee educational planning study.

Thank you for completing this questionnaire. Remember to mail before July 6, 1994, in the enclosed self-addressed, stamped envelope. Should you have a question, do not hesitate to contact Dan Fielden, P.O. Box 325, Church Hill, Tennessee, 37642 or call 357-5764.

APPENDIX E

EDUCATIONAL PLANNING PROCESS COMPONENTS

EDUCATIONAL PLANNING PROCESS COMPONENTS

Four educational planning models have been selected from the literature to serve as prototypes of a generic educational planning model. Models created by James Lewis,(1983), Shirley McCune (1986), Bill Cook (1990), and Roger Kaufman and Jerry Herman (1991) are recognized in the literature as the leading designs for educational plans. Each of these models has been used in education in various settings around the country. The search of the literature has led the researcher to believe these models are best suited to assist school districts achieve their mission.

The following is a summary of the components found in the selected models and their role in the planning process. A scientifically defined sequence of how each element should be placed in a model to achieve ultimate success does not exist. The social scientist must use empirical data, logic, and intuition to place these components in the best order to achieve the desired results or outcomes for the organization.

Mission

Cook (1990) suggested that the mission statement is a clear, brief, visionary statement of what the organization will be, purpose and function, usually one sentence in length. The statement must identify the organization's uniqueness that sets it apart from other organizations. Kaufaman and Herman (1991) felt the statement should ask: Where are we going, and how will we know when we have arrived? The authors did not agree with the one sentence approach, but were more interested in the accountability aspect of the mission statement. The statement might be inspirational, providing general direction for the organization. Lewis (1983) concluded that the

mission statement should be the reason the school district exists and should be stated in terms of student achievement. The mission statement should give direction for the school district, where are we going? Socrates said, "For a man without an intended port, no wind is favorable."

Beliefs

Kaufman and Herman (1991) said a belief is a statement based upon fact or one which is projected as becoming factual at some point in the future. Lewis (1983) did not list beliefs or vision as a part of his necessary components for a strategic plan.

Cook (1990) felt very strongly that beliefs are the most logical place to start a strategic planning process. Beliefs are a "formal expression of the organization's fundamental values: its ethical code, its overriding convictions, its inviolate commitments" (p. 89). The statement is a consolidation, a condensation, of the values of those who make up the organization (Cook, 1990). The statement of beliefs provides the value system upon which the other parts of the plan will be developed and evaluated. Cook (1990) said, "beliefs are declarations of universal human values as held by the people who make up the organization, values they would hold no matter where they were or under what conditions they found themselves" (p. 90).

Vision

Kimbrough & Burkett (1990), "...emphasized the critical need for a school faculty to have a vision of what the school is becoming. The vision grows out of a formal or informal planning process" (p. 164). Kaufman and Herman defined vision as, "a clear picture or written statement of what the strategic planners expect their

community, society, and organization to look like, deliver, and accomplish at some future point of time. It is the description of the planners' determination of 'What Should Be' or 'What Could Be' at some future date" (p. 110). There is a close relationship between vision and environmental scanning, in fact scanning is part of visioning. Visioning should be completed before any of the how-to-do-its are decided. The objectives should come after the planner has decided what the "ideal" situation should be in the district. The planners identify and define: 'What Is', 'What Should Be', and 'What Could Be', which will allow a look at alternate or preferred futures (Kaufman & Herman, 1991).

Policies

Cook (1990) said that strategic planning policies were completely different from school board policies. Strategic planning policies state the limitations, parameters, boundaries the organization places upon itself within which it will operate; they are things the district will never do or will always do. Stated usually in the negative, policies serve as a security alarm to warn the district when it is about to do something either unwise or dangerous. An example might be: "We will not tolerate any action or circumstances that degrade any person" (p. 95).

Environmental Scanning

D'Amico (1988) stated, "A large number of school districts and schools are undertaking improvement efforts with little or no data—and even less planning—to support or justify them or the policies that underlie them. In many models this component is not recognized as a major part of the process. Each of the selected

models in this study base the process on a comprehensive scanning procedure or process.

McCune (1986) presented the most in-depth scanning process of the four models under investigation. Environmental scanning is a series of information and data gathering activities aimed at providing an organization with the information it needs to make decisions about its present and future. The scanning process covers five areas: "(1) trend analysis; (2) pattern analysis; (3) scenario decision points; (4) internal scanning; and (5) stakeholder perceptions and expectations" (p. 40). These scanning processes should be conducted as part of the internal and external analysis.

Morphet, Jessor, and Ludka (1972) stated,

For too long the education system has been viewed by many persons, including educators, as a self-sufficient system that seems to be quite autonomous and independent of other systems. As a result, education has not been especially concerned with the scientific, economic, or human needs of the society in which it operates and to which it contributes. In reality, the education system interacts with other systems of which it is a part, for example, the community. The education system produces an effect on the community, while the community, in turn, modifies educational objectives in some dynamic ways. What is implied is that a consideration of the needs of the total environment of the educational system, both internal and external, is vital in systematic planning in education (p. 87).

Internal Scanning (Critical Analysis; Internal Analysis)

Yogi Berra said, "You can observe an awful lot just by watching." Cook (1990) described the internal analysis as, "a thorough, unbiased, tripartite examination of the organization: specifically, strengths; weaknesses; and the organizational chart as it reflects function, decision-making and information flow" (p. 97) The internal analysis is a prerequisite to the development of the objectives and strategies. Scanning should take place after the vision for the system has been developed. The vision is what should be and should not be a how-to statement. The scan gives the planner the necessary information to formulate the objectives and then the strategies (Kaufman & Herman, 1990).

McCune (1986) presented a five step scanning process which should be conducted if the proper data is obtained to make visionary decisions to attain the mission and meet the objectives of the plan. The trend analysis is the first step and possibility this most important. The researcher in this process would analyses economic, demographic, social, political, and educational trends in the community, state, and nation. This analysis would be the base for the analysis in the other four areas (McCune, 1986).

External Scanning (Critical Analysis; External Analysis)

The school system has little or no control over the external environment, except for planning. Cook (1990) asserted that, "the purpose of external analysis is to prevent surprises that may negatively affect the organization's ability or opportunity to accomplish its mission" (p.104).

The external analysis helps the planner understand the environment so the proper objectives and the strategic commitment of resources can be directed to solve the problems. Cook (1990) suggested that there are six categories of influence on the organization: "social and demographic; economic; political; technological, scientific and environmental; and educational trends and influences" (p. 105). Kaufman and Herman (1991) added: attitudes; governmental laws, rules and regulations, and policies; finances; future forecasts and trends; future opportunities; and external political information to the Cook list. The best information available to the local school district is information they obtain with the local staff. Kimbrough & Burkett (1990) stated that, "Accurate assessment of where we are provides a base for planning" (p. 164).

McCune (1986) presented a five step scanning process which should be conducted if the proper data is obtained to make visionary decisions to attain the mission and meet the objectives of the plan. The same process should be followed in this component as was listed under internal scanning. The trend analysis would be the base for the analysis in the other four areas (McCune, 1986).

SWOT (Strengths, Weaknesses, Opportunities, and Threats)

Cook (1990) included weaknesses and strengths into his process but does not use the total SWOT methodology. Weaknesses are described as internal characteristics, conditions, or circumstances that are restrictive to the task of accomplishing the mission of the organization. Strengths are the internal qualities, circumstances, or conditions that are positive forces or components that contribute to

the organization's ability to achieve its mission (Cook, 1990). Opportunities are defined as areas in which favorable circumstances provide the possibility for improving various aspects of the school district. Threats are elements that are in the external environment and are somewhat uncontrollable. The threats require adjustment to the plan if necessary to continue on a path to achieve the mission and objectives of the district (TSBA Summer Institute, 1988).

Needs Assessment

Kaufman and Herman (1991) identified four major steps in the strategic planning process: (1) Scoping; (2) Data Collecting; (3) Planning; (4) Implementation. Needs assessment is a part of data collecting, which is a part of internal and external scanning or analysis. The needs assessment defines the process where the planner list "What Is" and "What Should Be" and decides what the problems of the organization seem to be from the items needed to fill the gap (Kaufman and Herman, 1990). In earlier models, Kaufman (1972) did not include the environmental scanning process and the new model is beginning to introduce this concept as part of the total model.

Critical Issues

Critical issues must identify areas in which the institution faces the prospect of getting either much worse or much better (Cook, 1990). These are issues that the organization must address and find workable solutions if the stated mission is to be accomplished. This process focuses attention on the major threats, negative elements that can disable or destroy, and opportunities, blessings of time and circumstance that aid the organization (Cook, 1990).

Objectives

Objectives are statements of measurable expectations over a given time period. The objective should include: (1) What results are to be accomplished, (2) how will the results be displayed and by whom, (3) under what conditions will the results be observed, and (4) what criteria will be used to measure success or failure (Kaufman & Herman, 1991). The objectives are usually the school district's commitment to achieve specific, measurable end results (Cook, 1991). The objectives should be oriented toward the mission of the school district and supported by stakeholder commitment (Lewis, 1983).

Strategies

Strategies are the at the heart of strategic planning and must show a commitment for the system to apply it's resources toward the stated objectives. The strategies tell how the organization will accomplish the objectives, therefore realizing the mission. Strategies indicate the operational emphasis, priorities, and standards by which the school district will measure its own performance. An example of a strategy might be: "We will develop and support a new comprehensive employee wellness program, or We will put into effect a consistent and manageable system of job accountability and performance standards" (p. 114-115).

Lewis (1983) maintained that, "strategy is a statement describing how a school organization intends to utilize its resources and skills to capitalize on its strengths, correct its weaknesses, and change threats into opportunities for the improvement of the overall educational process" (p. 109). Tactics are distinguished from strategies in

that they are short term and strategies are long term activities. A strategy gives or explains the appropriate action to take to achieve a given end, and the tactic is the performance of that action.

Action Plans

Cook (1990) stated the following:

...action plans are a detailed description of the specific actions required to achieve specific results necessary for the implementation of the strategies. Each strategy will be developed by several such plans, all containing step-by-step directions, time lines, assignments of responsibilities, and cost-benefit analyses. It is in the action plan that the strategies become operational (p.115).

At this point the overwhelming urge is to plan to plan, thus postponing action. The action plan is not a plan to plan but it says the planning is finished and it is time to get busy.

The district takes the action plans and starts the implementation portion of the process. The action plans are the how-to of implementation. Action plans must be clear and leave little to the imagination and nothing to chance (Cook, 1990).

Cook (1990) recommended that the action plans include: "(1) specific reference to the strategy it supports; (2) a statement as to the objective of the action plan itself; (3) a detailed description of each step required to accomplish the plan; (4) an indication of assignments and responsibilities; (5) a time line for the plan; and (6) a cost-benefit analysis" (p. 116). The cost-analysis is essential since it will ultimately

force the question of the best use of resources.

Lewis (1983) viewed action plans as methods to reach objectives. The action plan is a way to describe the processes or steps to go through to achieve an objective and match this to a time frame and a person assigned the task of implementation. Lewis (1983) disagreed with this step even though it is found in most of the literature. He suggested this is a step that generates a large amount of paper work that is in essence unnecessary if the other components of the plan are properly prepared.

Kaufman and Herman (1991) defined action plans as, an operational plan which clearly and comprehensively responds to the What? and Why? questions providing answers to the questions of How? When? Who? and Where? as these apply to a specific set of tasks and procedures designed to achieve an objective (p. 246).

Implementation and Evaluation

McCune (1986), Cook (1991), and Kaufman and Herman (1991) presented implementation and evaluation plans. In each situation, it is recommended that the stakeholders in the district serve as the implementors. Strategic management is recommended to be used to put the program in place. This is the "doing" side of the process and less is said about this aspect in these cited works.

Kaufman and Herman (1991) suggested that strategic management is used to monitor and evaluate the process. Formative and summative evaluations were suggested as the evaluation methodology. Strategic planning is a continuous process and the strategic plan is a living document (Kaufman and Herman, 1991).

Key Result Areas

Lewis (1983) was the only reference the researcher could find that discussed key result areas. The Tennessee Board of Education has used this component in each of the eight plans they have developed. The Tennessee School Boards Association conducted a planning workshop for superintendents and board members on October 26, 1989, at the request of the Tennessee State Department of Education. This workshop was designed prepare the leadership of the school districts to develop a strategic plan as mandated by the state board rule. In the workbook, developed by the Tennessee School Boards Association, one of the three major elements of the guidance system for developing an educational plan was the planning categories or key result areas. The first two elements of the guidance system was a listing of the basic beliefs of the system and a mission statement.

The key result areas (planning categories) are used to record the school district goals and objectives and divide the plan into manageable parts. The key result area might have several goals and each goal could have a number of actual or potential objectives. They suggested the following key result areas:

- 1. Student learning and growth**
- 2. School board operation**
- 3. School district administration**
- 4. Instructional programs and service**
- 5. Support services**
- 6. Financial resources**

7. Personnel

8. Physical resources

9. Community involvement

Each key result area is a variable that affects the school organization in either a positive or negative manner. The nine key result areas listed should be viewed as a part of the total and the break down of any one key variable could seriously affect the total school organization (Tennessee School Boards Association, 1989).

Other

Cook (1990) included competition as one of the components in his process. This component is covered in the other models as part of the scanning process. Competition is defined in the Cook model as any organization that is in competition with the local school district or another organization providing the same services. The rationale for including this component is that there is no guarantee by law concerning the future of the public schools and it is critical for the local school system to be prepared for competition (Cook, 1990). This may be true, but this component can be covered without difficulty in the scanning process.

Cook (1990) gave "Organizational Critique" as a major component of the process. The critique consists of a five point analysis: "(1) span of control; (2) layers; (3) gaps; (4) redundancies; and (5) formality versus informality" p. 101). This component is integrated into the internal scan in the other models.

Holloway (1986) stated that, "...no consulting firm or author has adequate experience or evidence to put forth a universally valid planning system. The body of

scholarly research involving comparative evaluations is so sparse and inadequate that some might question whether planning per se has demonstrable value to a firm" (p. 16).

APPENDIX F:

**TENNESSEE STATE BOARD OF EDUCATION -
EDUCATIONAL MASTER PLAN 1990**

Master Plan for Tennessee Schools

Tennessee State Board of Education - 1990

Mission: To ensure that Tennessee Schools are among the best in the nation.

OBJECTIVES	MEASUREMENT	STRATEGIES
KEY RESULT AREA I: Student Achievement		
<p>A. Expectations and Assessment</p> <p>□ To assess performance, establish baseline performance data, and use information to improve educational programs.</p>	<p>● Performance of students in grades 2 through 8 and grade 10 on the Tennessee Comprehensive Assessment Program (TCAP).</p>	<ol style="list-style-type: none"> 1- Implement the Tennessee Comprehensive Assessment Program in grades 2 through 8 and grade 10. 2- Use test results and other assessment tools to identify opportunities for curriculum and instructional improvement. Provide support to local school systems on the interpretation and use of student test data. 3- Develop and revise curriculum frameworks and guides for grades K-12 on a six-year cycle and coordinate textbook adoption. 4- Determine ways to assist teachers in teaching thinking skills in addition to basic skills. Provide curriculum guides, activities, and training for teachers to use in promoting thinking and problem solving. 5- Expand the use of technology in all instructional areas to include VCR, computer applications, and distance learning. 6- Improve writing (composition) skills in grades K-12. Develop a testing program to assess writing skills at three grade levels, one each in elementary, middle, and high school, to be implemented on a voluntary basis in fall 1990. 7- Annually communicate information to local school systems and others about the performance of school systems and schools, including student test results, attendance, dropout rates, accreditation, pupil/teacher ratio, and per pupil expenditures. 8- Evaluate progress in meeting the five-year legislative goals and State Board of Education success indicators and report progress to the General Assembly February 1, 1990.
<p>B. Early Grades and Middle School</p> <p>□ To ensure that children develop in early grades the skills required for success in school and to ensure that children in middle grades sustain achievement so that they do not fall behind.</p>	<p>● Performance on basic skills part of TCAP.</p>	<ol style="list-style-type: none"> 9- Determine the state role in expanding the availability of comprehensive early childhood education programs for at-risk children and their parents. 10- Require all children to participate in a kindergarten experience. 11- Make a commitment to zero failures. Identify learning problems early and provide appropriate intervention programs for individual students to prevent failure and minimize retention in the early grades. 12- Use transition classes in early grades to provide developmentally appropriate programs for students who need additional help. 13- Provide funding incentives for local school systems to lower the class size in primary grades in schools with high concentrations of students at risk of dropping out of school. 14- Complete the analysis of Project STAR data to determine the effectiveness of reduced class size and use the results in determining policy. 15- Focus attention on middle grades. Ensure that the academic program results in students who are literate, know how to think critically, have high self esteem and behave ethically. 16- Promote middle school improvement by creating schools within schools where teachers and students function as teams and by encouraging flexible scheduling and cooperative learning. 17- Strengthen instruction in art, music, and physical education in grades K-8. Increase the number of art, music, and physical education teachers so that students have at least one hour of instruction per week in each of the three subjects taught by specialists in the subjects. Implement the program as part of the Basic Education Program.

OBJECTIVES	MEASUREMENT	STRATEGIES
<p>C. At-Risk Students</p> <p>☐ To ensure success in school at all grade levels for children at risk in order to increase the high school graduation rate.</p>	<ul style="list-style-type: none"> ● Improvement of performance of students in the lowest quartile as measured by TCAP. 	<ul style="list-style-type: none"> 18• Assist educators at all grade levels to use and interpret results from the state testing program to assist students experiencing academic difficulties. 19• Develop a career awareness program for middle grades to help students understand the importance of continuing their schooling. 20• Expand alternative school and in-school suspension programs for disruptive students in high schools to enable all school systems to participate. 21• Assist local school systems in designing and implementing drug education and prevention programs. 22• Expand peer tutoring programs in elementary, middle and high schools. 23• Provide incentive grants high schools to assist pregnant teenagers and teenage parents to earn their diplomas and learn parenting skills. 24• Improve the method for counting and tracking students who drop out of school.
<p>D. High School</p> <p>☐ To ensure that high school students are capable of advancing successfully into post-secondary institutions or directly into job opportunities.</p>	<ul style="list-style-type: none"> ● Performance of 10th grade students on TCAP. ● ACT score in each subject area and in the composite. ● Number of students requiring remedial or developmental courses in public colleges and universities. 	<ul style="list-style-type: none"> 25• Review the instructional goals of high school and review the high school curriculum. Ensure that students have the opportunity to take a logical sequence of academic and vocational course work required for high school graduation, the honors required for high school graduation, the honors diploma, admission to Tennessee's public post-secondary institutions, and entry into the work force. Develop recommendations by January 1991. 26• Ensure that the curriculum addresses the basic academic competencies and subjects defined by the College Board in Educational Project Equality. 27• Make available to high school juniors the State Board of Regents' Academic Assessment and Placement Program (AAPP) test to help them plan for college. Administer the test on a voluntary basis for diagnostic purposes beginning fall 1989. 28• Determine the feasibility of variable class size depending on subject, laboratory requirements and writing requirements.
<p>E. Vocational Education</p> <p>☐ Ensure that students are adequately prepared to move directly into technical programs at post-secondary institutions or into job opportunities.</p>	<ul style="list-style-type: none"> ● Number of students requiring remediation at post-secondary institutions. 	<ul style="list-style-type: none"> 29• Develop and revise curriculum frameworks and guides for all vocational subject areas on a six year cycle, delineate basic competencies in each, and provide skill certificates to each student indicating the level of mastery. Train teachers to use the guides. 30• Implement statewide new courses in Principles of Technology and Math for Technology by 1990-91. Expand pilot programs in communication for Technology and General Science 1A. 31• Identify success indicators for vocational programs and evaluate local programs every five years to determine if programs are meeting their objectives. Assist local school systems in long range planning. 32• Continue to improve the fit between secondary vocational programs and post-secondary education; promote joint program offerings at secondary and post-secondary institutions. 33• Provide coordination between private industrial councils and local school systems to implement the Jobs for Tennessee Graduates program in high schools and improve the transition of students from school to work; focus on students at risk of dropping out of school. 34• Develop a state model for guidance programs to assess student interests and abilities in vocational programs. 35• Improve field service to vocational teachers. Provide professional development of new teachers and teachers with less than three years' experience. Provide assistance to vocational education teachers of handicapped, limited English proficiency, and educationally at-risk students.

OBJECTIVES	MEASUREMENT	STRATEGIES
<p>F. Special Education</p> <p>□ To provide appropriate instruction and related services for all students with handicaps.</p>	<ul style="list-style-type: none"> ● Reduction in waivers and permits granted for teachers who are not fully credentialed. ● Number of students with IMPS developed and implemented. 	<p>36- Enhance the achievement of all students with handicaps through the use of individualized educational programs (IMPS) with continued emphasis on placing the students in the least restrictive environment. Provide training for regular classroom teachers.</p> <p>37- Develop and implement statewide a comprehensive, inter-agency program of early intervention services for handicapped infants and toddlers and their families.</p> <p>38- Refine special education staffing ratios and incorporate them into the Basic Education Program.</p> <p>39- Implement revised procedures for monitoring special education programs.</p> <p>40- Provide technical assistance to teachers and local school systems through summer institutes and other means.</p> <p>41- Provide training for persons who seek endorsement in areas of teacher shortage in special education.</p> <p>42- Provide professional development for teachers of gifted and talented students. Encourage local school systems to provide programs for gifted and talented students through extended contract activities. Refine and make available to teachers sample curricula.</p> <p>43- Provide Governor's school programs for rising juniors and seniors who are gifted and talented.</p> <p>44- Strengthen programs provided at the special schools. Improve facilities in accordance with the five year plan.</p>
<p>KEY RESULT AREA II: Teaching</p>		
<p>□ To attract good teachers and to improve the work environment so as to retain good teachers.</p>	<ul style="list-style-type: none"> ● Number of individuals who become licensed as teachers. ● Survey of teachers' perceptions of working conditions. ● Rate of participation of teachers in academies, workshops, and other professional development activities. 	<ol style="list-style-type: none"> 1- Provide greater opportunity for professional development to strengthen teaching and mentoring skills through teacher academies, workshops and other activities. Provide opportunities for teachers to select professional development activities applicable to their areas of teaching. 2- Expand the use of technology for professional development and instructional planning and management. 3- Increase planning time so that all teachers have at least three hours per week as part of the Basic Education Program. 4- Expand statewide recognition of teachers and encourage local communities to recognize the accomplishments of teachers. 5- Evaluate and improve state and local Career Ladder evaluation procedures for teachers and other groups of educators. 6- Encourage local school systems to work with teachers in eliminating unnecessary paperwork required by local systems.
<p>KEY RESULT AREA III: Teacher Education</p>		
<p>□ To attract talented candidates into teacher preparation programs and to prepare them to teach students effectively in the classroom.</p>	<ul style="list-style-type: none"> ● ACT and grade point average of individuals entering teacher education programs. ● NTE core battery and specialty exams of candidates for initial licensure. ● Performance during probationary and apprentice years of teaching as measured by local evaluations. 	<ol style="list-style-type: none"> 1- Implement licensure standards in elementary education, secondary education (academic and vocational areas), and art and music beginning in fall 1990, effective for teacher candidates seeking licensure in May 1994. Implement licensure standards in special education, health and physical education in fall 1991, effective for teacher candidates seeking licensure in May 1995. Implement licensure standards for occupational education effective for candidates seeking licensure in May 1994. 2- Develop licensure standards for areas not yet addressed by the Advisory Council on Teacher Education and Certification by June 1991. 3- Monitor the implementation of experimental internships and post-baccalaureate programs. Implement state funded pilot internships, enhanced student teaching programs, beginning teacher programs, and post-baccalaureate programs beginning in 1990-91. Evaluate the programs to determine which are most effective. <p>(Table continues)</p>

OBJECTIVES	MEASUREMENT	STRATEGIES
		<p>(Table - continued)</p> <p>4- Implement program approval procedures approved by the State Board of Education in accordance with standards of the National Council of Accreditation of Teacher Education (NCATE) by fall 1990. Base the continuing approval of teacher preparation programs in part on performance of graduates in the classroom.</p> <p>5- Increase the number of well qualified candidates preparing to become teachers, with particular emphasis on minority teachers. Support future teacher organizations, expand the loan/scholarship program for prospective teachers, establish teacher fellows service awards for outstanding high school seniors, and create a teacher job bank to facilitate placement.</p> <p>6- Implement reciprocal agreements for licensure of applicants from other states by March 1990.</p> <p>7- Develop standards and procedures for assessing performance of teacher candidates and recent graduates of teacher education programs.</p> <p>8- Implement subject area tests as a requirement for teacher licensure. Implement tests and standards in as many endorsement areas as feasible (beginning in 1987-88) and implement tests in the remaining areas by 1991-92. Review minimum score requirements as additional data become available.</p> <p>9- Develop and maintain a system for forecasting teacher supply and demand. Collect and analyze data regarding students enrolled in teacher education and teachers employed in Tennessee in order to Determine participation of minorities in teaching and to determine teaching areas of actual and potential shortage.</p> <p>10-Minimize the employment of teachers who do not have the appropriate licensure and endorsement. Establish a job bank to assist local school systems in identifying prospective qualified teachers.</p>

KEY RESULT AREA IV: LEADERSHIP AND MANAGEMENT

<p>A. Leadership Development</p> <p><input type="checkbox"/> To enhance the ability of superintendents and principals to provide leadership to their organizations.</p>	<ul style="list-style-type: none"> ● Rate of participation of superintendents in the Tennessee Executive Development Program. ● Rate of participation of principals in the Academy of School Leaders. ● Percent of principals who have plans for school improvement in the opinion of those who systematically visit schools. 	<ol style="list-style-type: none"> 1- Encourage innovation by providing opportunities for teachers, principals, superintendents and school boards to plan, make decisions and solve problems. 2- Strengthen pre-service programs that prepare prospective principals and supervisors. 3- Improve procedures for recruiting and selecting principals. 4- Provide academies for principals, assistant principals, and supervisors to strengthen instructional leadership, evaluation, and school management in which every administrator can participate at least once every five years. 5- Provide components I, II, and III of the Tennessee Executive Development Program for superintendents. Provide an annual orientation program for new superintendents. 6- Evaluate and improve state and local Career Ladder procedures for evaluation of principals, assistant principals and supervisors. 7- Monitor and evaluate the use of local school system personnel in upper Career Ladder evaluations of teachers. Strengthen training of principals, supervisors, and superintendents in personnel evaluation.
<p>B. Local School Board Development</p> <p><input type="checkbox"/> To enhance the ability of local school districts to establish goals and implement long range planning.</p>	<ul style="list-style-type: none"> ● Number of acceptable plans developed and submitted to the state. ● Rate of participation of school board members in professional development activities designed specifically for them. 	<ol style="list-style-type: none"> 8- Require local school boards to develop long range plans to include annual needs assessment, goals, objectives, and strategies. Encourage local school systems to involve educators and community members in planning and goal setting. 9- Develop a program that results in local school board members receiving training.

OBJECTIVES	MEASUREMENT	STRATEGIES
<p>C. Organization</p> <p><input type="checkbox"/> To enhance the capacity of the public education system to achieve student performance objectives</p>	<p>● Student performance on TCAP using state, school system and school data.</p>	<p>10- Establish procedures for the appointment of superintendents by local boards of education and define the relationship among the superintendent, school board, and local governing body.</p> <p>11- Examine the feasibility of restructuring the education system to decentralize authority and decision making so that important educational decisions are made at the school site.</p> <p>12- Use technology to improve the management of local school systems and to improve communication between school systems and the state.</p> <p>13- Promote the spread of successful practices from one school system to another.</p> <p>14- Establish or improve data bases needed by the State Board of Education in policy making and in monitoring resources and outcomes and by the State Department of Education in managing programs.</p> <p>15- Examine the <u>Rules, Regulations, and Minimum Standards</u> of the State Board of Education and the <u>Tennessee Code Annotated</u> eliminate provisions that are not necessary for the assurance of good schools, and clarify standards and criteria for approval of schools.</p> <p>16- Evaluate the effectiveness of school reform initiatives in Tennessee schools.</p>

KEY RESULT AREA V: Family/Community Involvement

<p><input type="checkbox"/> To increase the involvement of the family and community in the education of children and to develop school/community partnerships.</p>	<p>● Number of school systems with staff and formal programs designed to increase involvement.</p>	<p>1- Support demonstration projects in family and community involvement and disseminate information about these projects to other school systems.</p> <p>2- Provide incentive grants to local school systems to develop programs for improving parenting skills of parents of pre-school children.</p> <p>3- Provide technical assistance and staff development opportunities to assist local educators in building community and family involvement.</p> <p>4- Recognize communities that establish and fulfill goals to ensure effective schools and that implement family/community involvement programs.</p> <p>5- Provide technical assistance to local educators in developing extended school day/year programs including school age child care.</p>
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KEY RESULT AREA VI: ADULT LITERACY

<p><input type="checkbox"/> To strengthen programs to reduce adult illiteracy.</p>	<p>● Number of programs, number of participants, and number of adults progressing from one level to the next.</p>	<p>1- Develop full-time, year-round literacy and basic education programs in all counties.</p> <p>2- Assist local communities in developing and coordinating adult education services.</p> <p>3- Encourage the development of workplace literacy programs through cooperative efforts between the private sector and state government.</p>
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KEY RESULT AREA VII: FUNDING

OBJECTIVES	MEASUREMENT	STRATEGIES
<p>☐ To achieve a rational funding formula that provides adequate and equitable distribution of resources and to provide adequate funding for new initiatives.</p>	<p>● Level of funding of the Basic Education Program and new initiatives.</p>	<ol style="list-style-type: none"> 1- Determine the amount of funds needed to achieve the Board's mission and prepare a long range plan for phasing in priorities. 2- Establish a funding formula designed to provide the fiscal support required to assure a Basic Education Program in every school in the state. 3- Pilot the first stage of implementation of the Basic Education Program in selected school systems beginning in fall 1990. 4- Plan for the implementation of the Basic Education Program in all school systems. Determine capital needs and personnel needs and provide for various adaptations in differing situations. 5- Maintain salaries for both beginning and experienced instructional personnel that are equal to or greater than the average of those in the Southeast. 6- Determine all costs associated with new state initiatives, such as early childhood education, dropout prevention, family and community involvement, teacher education, adult literacy, and technology utilization, and ensure that adequate funding is provided. 7- Present to the Governor and the General Assembly an annual report on funding needs based upon strategies identified in the Master Plan. 8- Use Master Plan strategies as the framework for development of the State Department of Education budget.
<p>KEY RESULT AREA VIII: Food Service, Transportation, Facilities, Supplementary and Special Programs, and Others.</p>		
<p>☐ In addition, food service, transportation, facilities, and supplementary and special programs are important to achievement of the Board's mission.</p>		<p>1- The strategies needed in these areas should be developed and implemented by the local school systems and the State Department of Education as needed. However, the State Board of Education and the State Department of Education will maintain standards for these areas and will ensure that funds allocated by the General Assembly and Congress are appropriately distributed.</p>

VITA

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