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SCHOOL-BASED MANAGEMENT: CONDITIONS
FOR IMPLEMENTATION

A Dissertation Presented

by

THOMAS F. MAGUIRE

Submitted to the Graduate School of the
University of Massachusetts Amherst in partial fulfillment
of the requirements for the degree of

DOCTOR OF EDUCATION

February 1994

School of Education

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SCHOOL-BASED MANAGEMENT: CONDITIONS
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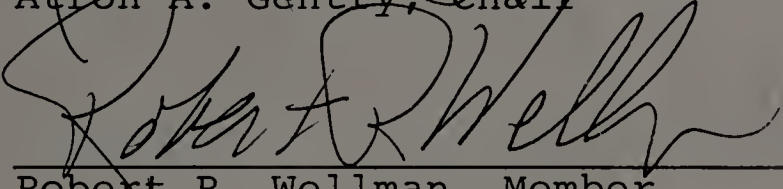
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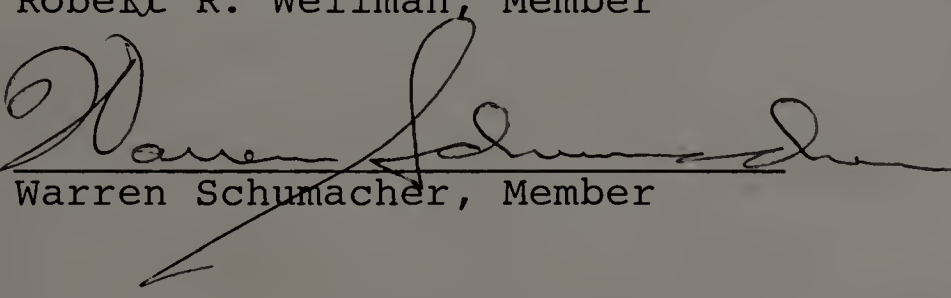
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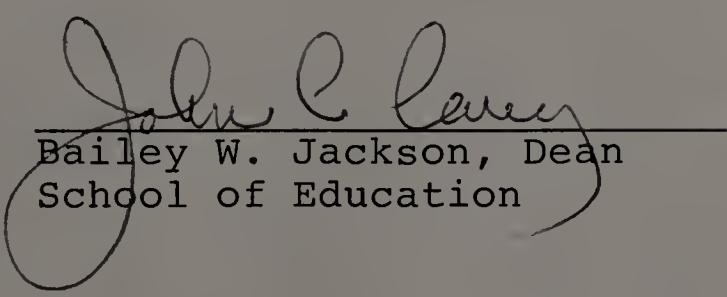
Atron A. Gentry, Chair



Robert R. Wellman, Member



Warren Schumacher, Member



Bailey W. Jackson, Dean
School of Education

To

My Wife, Mary

without whose encouragement, tolerance, insight,
and typing expertise this project would never
have been possible.

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Finally, to my wife, Mary, I express my warm appreciation for her unending love and support from the beginning to the end of this process.

ABSTRACT

SCHOOL-BASED MANAGEMENT: CONDITIONS

FOR IMPLEMENTATION

FEBRUARY 1994

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This study in the field of School-Based Management was initiated to determine under what conditions a School-Based Management/Shared Decision Making (SBM/SDM) Organization might be considered a viable alternative to a traditional (top-down) school structure. The primary focus of this study sought to discover the extent to which school principals and teachers can and should participate in making educational decisions within an urban school system.

To ascertain this information, open-ended structured interviews were developed and conducted with five randomly selected principals. In addition, a close-ended questionnaire was designed and distributed to teachers. In order to ensure broad-based definitive conclusions, participants represented all four school zones and each educational level.

Methodological limitations include a survey of two hundred and sixteen school-based teachers with a response rate of fifty-three percent. Findings identify six key elements to be considered when implementing a SBM/SDM structure. The six key elements are money, trust, training, accountability, participative decision making, and union involvement. Recommendations involving the implementation of School-Based Management are offered in addition to suggested future studies. Results of this study indicate that both principals and teachers have a strong desire to actively participate in budget, personnel, and curriculum decisions effecting their schools.

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C H A P T E R I

INTRODUCTION

The Problem

Today, there are very few people that would dispute the fact that changes need to be made in current approaches to solving school problems. There are an equal number of individuals coming forth offering viable solutions that will rectify the current situation. Historically, schools and teachers have had to deal primarily with instructing students in academic subjects. Over the past twenty years, schools have had to devote more and more time to solving social problems which has taken away from the number of hours that had formally been applied to pure academics. Schools located in urban areas have shown a disproportionate number of school dropouts, students who graduate illiterate and poorly prepared to function in a societal environment that requires high technology skills. One might argue that many schools have become dysfunctional in terms of academics.

If you believe that changes need to be made in schools, the question now becomes what to change, how to implement change, and what instrument will best evaluate any change that might be instituted? No one change or solution can

realistically be proposed to solve all the problems facing schools today.

One attempt at change involves thirty-six City of Boston public schools. The School Administration has attempted to restructure part of the school system with those schools who voluntarily endorse a School-Based Management (SBM) Organization. This dissertation will look at five of those schools after experiencing a two- to three-year involvement with SBM.

School-Based Management is not a new phenomena in the field of education. Many respected and recognized educational leaders have studied, discussed, and presented their views on SBM for several decades. All agree that SBM is an attempt to restructure the traditional (top down) school organization to one that encourages a participative style of school management (bottom up). Guthrie (1986) believes that the origin of SBM ". . . stems from a belief in the individual school as the fundamental decision-making unit within the educational system" (p. 306).

Many definitions of SBM have been offered by those who have previously studied SBM. Mesenburg (1987) defines SBM as an approach to the decentralization of decision making and the governance of schools (p. 3).

In an article appearing in a Boston Association of School Administrators and Supervisors (B.A.S.A.S.) newsletter, Thomas Clegg (1989), President of B.A.S.A.S.,

begins his discussion of SBM by quoting the American Association of School Administrators' definition of SBM: "School-Based Management involves the individuals in the level closest to the issue being addressed--those responsible for carrying out the decisions should actually make the decisions" (p. 1).

Other terms have been used to denote the concept of SBM. Mutchler and Duttweiler (1990) state that "shared decision making is also referred to as 'participatory decision making' in the literature" (p. 2). Mutchler and Duttweiler go on to quote Wood (1984) who states:

Participatory decision making is a collaborative approach in which 'superordinate' and 'subordinates' work together as equals to 'share and analyze problems together, generate and evaluate alternatives, and attempt to reach agreement (consensus) on decisions. Joint decision making occurs as influence over the final choice is shared equally, with no distinction between superordinate and subordinate.' (p. 61)

Terminology used by the Boston Public Schools (BPS) incorporates both School-Based Management and Shared Decision Making (SBM/SDM). Literature provided by the BPS offers the following understanding of SBM/SDM as it applies to the Boston Public School System:

The focus of SBM/SDM is to improve the educational quality of our schools. SBM/SDM, by definition, operates differently from one year to the next. Instead of most decisions being made by the Central Administration at Court Street or the Zone Office, elected councils at the individual school site will be able to identify problems, establish goals, and set and

implement policies. The body that will have this power is called the School Site Council (SSC). (Boston Public Schools, 1990-1991)

For the purpose of this study, the researcher defines School-Based Management/Shared Decision Making as an alternative means of restructuring a traditional school organization to one that transfers decision-making authority from the central office to the school site, providing those who are ultimately accountable for implementing school decisions an opportunity to participate in the decision-making process.

Historical Perspectives

Traditionally, schools have been staffed with a principal, an assistant principal, a secretary, and teachers. Twenty to thirty years ago, it was not uncommon to have a principal teach in addition to performing the functions of the head teacher. Today, the role of principal has shifted to resemble that of a private sector business manager. The principal has little or no time to devote to academic subjects, curriculum, or teachers. Most of a principal's time is taken up with community relations, discipline problems, satisfying the superintendent's needs, payrolls, building maintenance, living within the teachers' contract, teacher morale, custodians, parents, and many other situations that arise during the course of any given school day.

Therefore, the principal quickly loses touch with the needs and concerns of those teachers assigned to his/her building.

Everyone seems to agree that changes need to be made if schools are to be effective in educating students. School-Based Management (SBM) is one area that has received a great deal of attention.

School-Based Management is not a new concept. However, if looked at from an historical prospective, SBM has been around for only a short time. In 1978, the consultant's report prepared for the Select Joint Committee on Public Schools of the Florida Legislature concluded that School-Based Management was a reasonable way of dealing with educational problems: ". . . It promoted equality of educational opportunity by enabling educators to tailor school programs to requirements of individual students, fostered a more efficient use of funds by ensuring that resources are allocated to activities closely related to local objectives, and provided a practical way of administering programs in view of the difficulties encountered in managing classroom activities from district or state offices" (Florida Appropriations Act, Charter 78-401, 1978, p. 5).

Lawrence G. Pierce (1978), in a paper presented at the Annual Meeting of the American Educational Research Association, stated, "School-based management is neither

new nor a specific program of activities, but rather an incorporation of many proposals for returning certain decisions to the individual school sites" (p. 5). Pierce (1978) describes SBM as "an attempt to reverse the trend toward the increasing centralization of educational policy making so that those persons closest to the school children have more to say about policies affecting those children and encourage a greater sharing of decision making between central district offices and schools" (p. 6).

Pierce (1978) also cited several reasons why SBM would improve education by moving more educational decisions to the school level:

- (1) School-site management gives those who are familiar with students' problems (that is, the principal and teachers) greater responsibility for the education of children.
- (2) Proponents of school-based management believe that parent involvement in children's education is essential for improving educational quality.
- (3) By dividing districts into school units, the opportunities for parent participation are increased while the scope of educational problems considered and the number of people involved are reduced. This makes it easier to respond to parent preferences and increases the chances of each parent having the opportunity to influence school policy.
- (4) If school-level personnel are involved in more decision making, there is a greater likelihood of those decisions being effectively implemented. (pp. 6-7)

Sang (1980) observes that:

One of the more obvious realizations of the educational accountability movement of the seventies is that school districts are no longer social islands or separate entities within society. The decade of the seventies in education will long be remembered as a time when an overly large and generally unresponsive and unproductive educational bureaucracy recognized the need for significant organizational changes in order to provide more effectively for the education of youth.

These organizational changes had their beginnings in the State of Florida in 1971 with the appointment of a 22-member citizens committee on education. This distinguished group, after two years of investigation and 100,000 man hours of research, recommended statewide adoption of a concept referred to as school-centered organization. The committee identified the following principles as crucial to the concept:

- (1) Funds are allocated to schools based on needs of children in schools.
- (2) Specific educational objectives for a school are set by people associated with the schools.
- (3) Decisions on how funds for instruction are to be spent are made in the school center.
- (4) Organization of instruction is determined at the school level.
- (5) Parents participate in school decision making. (pp. 1-2)

No one disagreed with the importance of the findings of the citizens committee; however, ". . . implementation of the School-Based Management concept in a highly centralized, rigid, tradition-bound urban school district is a significant task" (Sang, 1980, p. 2).

Background

Employed as a teacher, guidance counselor, and administrator during the past twenty-seven years has provided the researcher the opportunity to witness many school environment changes. The researcher's experience encompasses central administration, middle school, high school, and community college. Future history reporting will probably reveal that more school change has taken place in the past thirty years than in all the years prior to the decade of the sixties.

The researcher has observed many principals, school administrations, school boards, and college presidents come and go. Some teachers became principals in the same school system. Principals and teachers were perceived to be long-term career employees of the system. Exiting the system was primarily through retirement, family considerations, and death. This long-term commitment may be due to the fact that principals and teachers belong to organized groups that offer protection from arbitrary termination by a school board.

Upper-level school administrators were viewed as being transitory in nature, having only a short-term association with the school system. Exiting the system was done primarily as a career move.

Newly-elected school boards recruit a new superintendent, who in turn would bring in his/her own team of administrators. Each new administration would attempt to undo what the previous administration had done by installing its own new rules, policies, and procedures. Power struggles would soon erupt between the school board and the superintendent. Frequent administration turnovers resulted in a system lacking stability while operating in a constant state of flux. Changes made by each new administration were usually done with little or no input by career principals and teachers. However, it was the principals and teachers who were responsible for the implementation of strategic planning done by each new administration.

As a teacher of management, the researcher became interested in School-Based Management (SBM) because it appeared to be a vehicle that would allow those effected by upper-level decision making to participate in the planning process. If principals and teachers are to be held accountable for their actions, it seems only logical that they should be afforded an opportunity to participate in the decision-making process. In a period of austerity, where efficient and effective deployment of limited funds is a necessity, a decentralized participative style of management should be considered. Each dollar used to purchase units of scarce resources must result in a maximization of output.

Nelson (1991) states:

Many of the initiatives promoted to improve public education focus on the individual school, and one of the more popular of these is a move to site-based management. There is nearly unqualified support--from both educators and non-educators--for decentralizing the management of public schools. School systems are increasingly placing more responsibility and more accountability on individual schools for a broad range of activities, including curriculum, budgets, schedules, recruitment, performance evaluation, and professional development. (p. 32)

Nelson (1991) agrees with John Goodlad when he says:

Not surprisingly, the principal is consistently identified as the most vital participant in this aspect of reform. John Goodlad made this point explicitly in his widely cited A Place Called School, likening the principal to 'the captain with full authority and responsibility for the ship.' But Goodlad is also one of those who point out that principals frequently lack many of the necessary managerial skills crucial to the heightened expectations that now go with the job. (p. 32)

School-Based Management (SBM) should not be viewed as a universal solution that will cure all the problems inherent in administering today's schools. One should consider SBM as an attempt at finding the one best way to efficiently and effectively operate a school system. SBM may prove to be only a microcosm in the field of education--Micro-Management.

Prasch (1990) offers the following pros, cons, and barriers to be weighed when contemplating SBM:

Presumed advantages include:

- Better programs for students
- Full use of human resources

- Higher quality decisions
- Increased staff loyalty and commitment
- Development of staff leadership skills
- Clear organizational goals
- Improved communication
- Improved staff morale
- Support for staff creativity and innovation
- Greater public confidence
- Enhanced fiscal accountability
- Restructuring

Some disadvantages of SBM are:

- More work
- Less efficiency
- Diluted benefits of specialization
- Uneven school performance
- Greater need for staff development
- Possible confusion about new roles and responsibilities
- Coordination difficulties
- Unintended consequences
- Irreversible shifts

Some barriers to installation of SBM are:

- Resistance to change
 - Unstable school leadership
 - Budget increases
 - Existing governance structures
 - Misinterpretation of control
 - 'Quick fix' attitude
 - Inappropriate staffing
 - Reduction of administrative staff
- (pp. 9-12)

Interestingly, Prash (1990), after listing the pros, cons, and barriers, says that, "Trust is critical to the successful implementation of SBM" (p. 12). One possible conclusion may be, that after looking at all the factors surrounding SBM, if trust (among all involved parties) is a missing ingredient, SBM will fail.

The researcher has chosen to focus his field study of School-Based Management with the Boston Public School

System (BPS). Boston is an urban city located in the eastern part of Massachusetts. According to the 1990 Census of population and housing, Boston is depicted as a racially diverse city of 574,282 residents (see Table 1).

Student enrollment figures provided by the Boston Public Schools (September, 1993) shows a student population of 59,869 with 4,430 teachers and 122 schools. A comparison of Boston's total population with its public schools reveals a disproportionate minority school enrollment to that of the overall city population. Table 2 shows that eighty percent of the BPS enrollment is comprised of minority students compared to a citywide minority population of forty-one percent.

During the Spring of 1990, the Administration of the Boston Public Schools initiated the implementation of School-Based Management/Shared Decision Making (SBM/SDM). At that time, eighteen public schools in Boston were chosen to participate. Since the Spring of 1990, eighteen schools have been added to the original list of SBM/SDM sites. This represents approximately thirty percent of all the schools in the system.

School Site Councils

Any school has the option of becoming a School-Based Management/Shared Decision Making (SBM/SDM) school. The procedure is as follows:

Table 1
 City of Boston Population
 by Race/Hispanic Origin

Boston	Number	Percent
Total Population	574,282	100.0
White*	360,875	62.8
Black*	146,945	25.6
Native American	1,884	0.3
Asian & Pacific Islander	30,388	5.3
Other Race	34,191	6.0

Hispanic Origin	61,955	10.8
White	22,139	3.9
Black	10,056	1.8
All Other	29,760	5.2

Total Minorities	235,546	41.0

White, Non-Hispanic	338,736	59.0
Black, Non-Hispanic	136,889	23.8

Source: 1990 U. S. Census STFI Counts, Tables P6, P10.

* = Includes persons of Hispanic Origin.

NB: Numbers may not sum precisely to totals due to estimating and rounding.

Table 2

Racial Makeup of Boston Public Schools Compared
to Boston's Total Population

Race	Schools		City	
	Number	Percent	Number	Percent
Total Population	59,869	100.0	574,282	100.0
White	11,974	20.0	338,736	59.0
Black	28,138	47.0	136,889	23.8
Asian & Pacific Islander	5,388	9.0	30,388	5.3
Hispanic	13,769	23.0	61,955	10.8
Native American	600	1.0	1,884	0.3
Other	*	*	4,430	0.8
Total Minority	47,895	80.0	235,546	41.0

Source: 1990 U. S. Census STF1 Counts, Tables P6, P10; and Boston Public Schools' Department of Implementation, September, 1993.

* Other race included with Native American figure.

- (1) Approval of the principal/headmaster and 60% of the teaching staff.
- (2) Election of a School Site Council (SSC) by the teaching staff and parents, and at the high school level by the students.
 - (a) Teachers will elect their representatives to the School Site Council (SSC).
 - (b) Parents will elect their representatives to the School Site Council (SSC) at a SSC meeting.
 - (c) At the high school level, students will elect one student representative to the School Site Council (SSC).
- (3) The application form being completed and signed by the principal/headmaster, the staff, and parent representatives.
- (4) Approval of the application and notification to the school by the SBM/SDM Committee. (Boston Public Schools, 1990-1991)

The makeup of each School Site Council (SSC) is determined by its school's level. School Site Councils are structured as follows:

Small Elementary Schools (under 400 students):

1	Principal
5	Teachers
<u>3</u>	Parents
9	= TOTAL

Large Elementary/Middle Schools:

1	Principal/Headmaster
6	Teachers
<u>4</u>	Parents
11	= TOTAL

High Schools:

1 Principal/Headmaster
 7 Teachers
 4 Parents
1 Student
 13 = TOTAL

(Boston Public Schools, 1990-1991)

School Site Councils make decisions with the principal retaining veto power. Any decisions vetoed by the principal requires a written response to the School Site Council outlining his/her rationale for the veto.

If too many vetoes are rendered by a principal, an investigation board is convened to determine the reason(s). The composition of the board is uncertain at this point; none have been needed to date.

Statement of the Problem

This study is an attempt to determine those essential elements that must be satisfied before a School-Based Management Organization can realistically be considered for implementation.

Concerns

The notion of restructuring schools through the implementation of a School-Based Management (SBM) model has been discussed, written about, and hypothesized for more than

three decades. Research reveals that SBM has been implemented in Australia, Canada, England, and the United States. It is difficult, from the literature reviewed, to determine if attempts to reorganize traditional school systems under SBM have been a success or a failure.

Some authors discuss SBM in general terms, using isolated examples that fail to take into account the many different variables that need to be considered if SBM is to be successfully implemented. For example, some authors focus on curriculum, others look at the decision-making process, while others concentrate on personnel issues. As one examines the literature written to date, it becomes abundantly clear that SBM is multi-dimensional.

A question that might be asked is, "How did the need for SBM originate?" Guthrie (1986) suggests that:

However well-intentioned or logically justified, the permissiveness and the laissez-faire ethos of the sixties and seventies were accompanied by a downward spiral in academic standards. Of course, some local schools and school districts managed to maintain a keen scholarly edge. Nationally, however, test scores declined, the dropout rate increased, students gravitated toward easier courses, grade inflation became common, publishers 'dumbed down' their textbooks, and the public perceived student discipline as lax. In light of such changes, policymakers felt compelled to act. (p. 306)

As a result of this perceived decline in educational standards, Guthrie (1986) further observes that:

A new and not-very-subtle understanding evolved between state-level policymakers and professional educators: no more new money would be

forthcoming from the states except for local school reform. Since the schools had just endured a decade of economic turmoil, many local educators would quite willingly have traded their pedagogical souls to Mephistopheles himself for more funds. School reform in return for state money seemed pure, by comparison. (p. 306)

Therefore, according to Guthrie, the need for money is the reason why the concept of School-Based Management evolved.

Funding for schools has always been an important issue. Financial consideration for future funding of schools has become a major concern for all involved parties.

Keedy (1992) states:

No one really knows how school restructuring is going to play out in the next decade. The term itself--restructuring--is amorphous, having as many definitions as there are self-interest groups. One dimension of restructuring, however, has the potential to irrevocably alter our public schools and the principalship.

The power of the marketplace--fueled by parent choice, tuition tax credits, and vouchers--may force public schools to compete not only with each other but with religious schools, independent schools, charter schools, and even private corporations. In such a scenario, principals will have to become far more enterprising and market-conscious if they are to keep their jobs. (p. 58)

"In Detroit, the Board of Education is considering a proposal to allow some private schools to be paid out of public funds" (Keedy, 1992, p. 58). The Commonwealth of Massachusetts State Senate has debated and voted on removing language from its constitution that had previously

prevented public monies to be used to fund private schools.

"Senate President William Bulger scored a major victory . . . in his quest to remove language from the state constitution, that prohibits public aid to private and parochial schools. By a 103-80 vote, the lawmakers agreed to Bulger's proposed new language to the state constitution, which opponents say will allow the Legislature to siphon off public education funds" (Phillips, 1992, p. 25).

If this trend continues both locally and nationally, fierce competition for limited education funds can be foreseen. Schools that manage their funds efficiently and effectively will survive. Individuals chosen to head up schools of the future will need to be equipped with a vast array of managerial skills. By employing these skills adroitly, the future school manager will provide a learning environment that will better prepare students to be successful in dealing with the dynamics of the rapidly approaching twenty-first century.

Another area of major concern, when attempting to implement School-Based Management, involves school personnel. Goodlad (1983) says, ". . . that the school must become largely self-directing. The people connected with it must develop a capacity for effecting renewal and establish mechanisms for doing this" (p. 276). Goodlad

goes on to point out that, "This approach to change differs markedly from starting out by bringing in innovations from outside the school. Only if present procedures appear to be failing and innovative alternatives appear to be needed and potentially useful are these tried" (p. 276). Goodlad does not take into account that all teachers may not want to participate in the decision-making process. Some teachers may choose to participate in only certain decisions.

Lewis (1989) states that:

Research suggests that teachers differ in the level to which they desire involvement. An essential factor that determines teachers' willingness to be involved in the decision-making process is the level and type of decision required. Some teachers care more about certain issues than others. Therefore, it is unreasonable to assume that all teachers want to participate in the decision-making process at all times.

Evidence also suggests that teachers are more interested in team-based decision making at the building level which involves matters of how to teach than they are in district-wide committees involving matters of what should be taught. A study by J. H. Young indicated that only 22% of the teachers surveyed was interested in extensive participation which involved district-wide committees. We believe that this resulted because teachers are not trained to look at the broader side of the educational process. This will, however, be required of them in the future.

In a study of 454 teachers employed in two school districts in New York State, Allutto and Belasco found that teachers fell into three basic groups--those who want more participation, those who are satisfied with their current level of involvement, and those who want less involvement; 260 teachers experienced a

preference for more participation in decision making than they currently experienced, 107 expressed satisfaction with their current level of participation, and the remaining 87 reported that they experienced more participation than they desired. Alutto and Belasco found that young, male teachers in secondary schools had a stronger desire for participation than other groups. Older, female teachers in elementary schools reported, by contrast, that they desired less participation. This study suggests that as the younger teachers mature, they will want more participation in the decision-making process. We believe that training is an important element which affects teachers' desire to participate in the decision-making process. (pp. 32-33)

According to the research reported by Lewis (1989), it appears that School-Based Management would not be accepted by all teachers. Therefore, it is apparent that some form of teacher education in the area of School-Based Management will be necessary.

Westbrook and Tipping (1992) believe that:

For site-based management to be successful, it is clear that central office staff developers must provide each individual campus with support, expertise, and options for the development and delivery of their own staff development. (p. 36)

A newly-appointed high school headmaster, William Wassel, explains his administrative style when he says that he ". . . will bring a philosophy of inclusion to the school, involving teachers in curriculum development and discipline policy, and giving students a voice in running the school. My strengths in administration is that of being a communicator and a good listener, . . . a person who likes to have his staff, the people in the school,

share in the decision-making process" (Patriot Ledger, 1992, p. 7).

This article points out the fact that school boards are appointing principals whose orientation is in the direction of those ideals encompassing School-Based Management. It may be that future teacher and staff hirings will be predicated upon one's ability to work in a School-Based Management environment. In any case, it is safe to assume that change is inevitable.

Applications of School-Based Management

Today, examples of School-Based Management (SBM) can be found in many parts of the country. Nemeth (1989), in an article written for the American Teacher, illustrates how teachers are taking a more active role in areas involving budgets, curriculum, personnel decisions, and educational materials. Mentioned in the article are the following examples:

In New York City, 'school-based options' became part of the United Federation of Teachers' Contract last year. It allows for 'bending the rules' of the contract when 75 percent of a school's teachers, its principal, the superintendent, and the chancellor agree that by so doing the educational process can be improved.

Under the Boston Teachers Union's new three-year Contract, school-site councils, made up of principals, teachers, parents, and, in the high schools, students, will be created at each of

the city's 23 schools. The councils will be responsible for setting educational goals, designing instructional programs, budgeting and fund-raising, purchasing, scheduling, staffing and hiring, and parent-teacher relations.

The Pittsburgh Federation of Teachers, as part of its Teacher Professionalism Project set up in its 1986 contract, aims for more power sharing between teachers and administrators. Instructional teacher leaders from each grade level and department have been designated at all middle, high, and elementary schools; they meet with other teachers in their departments or schools once a week to fine-tune the curriculum, solve problems, and try out new approaches, without interference from the central administration. Also, decisions formerly made by the principal are shared among members of the 'instructional cabinet', which includes the principal plus the instructional teacher leaders.

In Dade County, Florida, the nation's fourth-largest school district with 260 schools and 225,000 students, Miami's 'school-based management/shared decision-making program' gives individual schools autonomy over staffing, budgetary, and instructional decisions through the consensus of each school's teachers, school-related personnel, and administrators.

The Hammond (Indiana) Teachers Federation's 'School Improvement Process' makes anything possible in the way of change at the local building level, as long as the teachers in that school endorse the change using a system of consensus. Length of school day, student dismissal, class size, scheduling changes, and curriculum changes are just a few of the ideas that teachers can try.

In Los Angeles, where the United Teachers of Los Angeles recently struck for more decision-making power, the new bargaining agreement guarantees teachers 50 percent of the membership on 'school-site governing councils', whose power covers staff development, student discipline, some scheduling, use of school equipment, and each school's budget. (p. 15)

At the present time, one might correctly ask the question, "Has the concept of SBM come and gone?" It is clear from the existing literature that School-Based Management has been around for at least twenty years. Not until recently has the concept been implemented on a wide scale. If one believes that School-Based Management may have some degree of merit, while knowing that it will not solve all of the current school-related problems, a more appropriate question might be, "Under what circumstances will SBM be a viable solution?"

Study Questions

When considering School-Based Management (SBM) as a means of effecting school change, a myriad of questions surface. This study does not purport to address all of the possible concerns relating to SBM; its purpose is simply an attempt to discover an answer to the question, "Under what conditions is SBM considered to be a viable alternative to a traditional (top down) school structure?"

An answer to the foregoing question will be sought by focusing on the roles played by principals and teachers currently working in a School-Based Management setting. In addition to answering the preceding question, three essential research questions need to be addressed:

- (1) What conditions/elements are perceived to be necessary when attempting to implement a School-Based Management Organization?
- (2) How are the randomly-selected schools currently employing these elements?
- (3) What factors encourage or impede the establishment of a School-Based Management structure?

Having conducted an extensive review of the existing literature, a questionnaire (see Appendix C) was designed to address those areas of greatest concern when implementing and operating a School-Based Management facility. The purpose of the questionnaire is to solicit input from teachers who have had direct involvement with implementing a School-Based Management/Shared Decision Making (SBM/SDM) Organization.

Permission was sought from the proper authorities to distribute the survey form to teachers working in the schools selected for the purpose of conducting personal interviews with principals at each respective school site. Comparing and analyzing collected data from personal interviews, teacher surveys, and literature reviewed provided data to answer the study questions identified in this dissertation.

Definition of Terms

The following definitions of essential words and terms give meaning to this study:

Boston Public Schools (BPS): A public school system consisting of one hundred and fourteen schools located in Boston, Massachusetts.

Central Administration: Those individuals who ultimately have the responsibility of operating and coordinating the activities of the entire school system.

Decentralization: A managerial approach that transfers authority and responsibility for decision making to a unit removed from the central body.

Effective: An expression used to identify the successful attainment of goals identified during the planning process.

Efficient: An expression used to denote the maximization of units of input associated with cost factors.

School-Based Curriculum: A program that complements the required knowledge, concepts, and skills offered to pupils in the centrally-devised core curriculum.

School-Based Management (SBM): An alternate method of managing schools by transferring power, authority, and accountability from a central body to the school site.

School Site Council (SSC): A group representing parents, students, teachers, and administration who

participate in identifying problems, establishing goals, setting and implementing school policies, and making recommendations to the school principal.

Shared Decision Making (SDM): An expression commonly used in conjunction with School-Based Management (SBM) that places increased emphasis on community, staff, teacher, and principal participation in the decision-making process.

Urban School System: A school organization located in a densely populated area.

Limitations of the Study

1. Because the identity of each principal interviewed was known, there exists the possibility that there may have been a reluctance to speak openly. (However, the perception of this researcher is that all participating principals spoke candidly and without reservation.)

2. The number of principals interviewed represented only fourteen percent of those currently managing a School-Based Management/Shared Decision Making (SBM/SDM) school site.

3. Teacher questionnaires were distributed only to teachers working at randomly selected sites.

4. Teacher participants were not interviewed for further elaboration of information provided by the survey form.

5. The study was limited to an urban city located in the northeastern part of the United States.

6. The accuracy of solicited information was based on how well the participants comprehended the questions asked, and how well they objectively imparted this knowledge to the interviewer.

7. This study looked at only four areas involving the implementation of School-Based Management/Shared Decision Making (SBM/SDM).

8. Other elements important to the successful implementation of a School-Based Management Organization not considered in this study include: school board, superintendent (including upper-level administrators), staff, parents, and parent councils.

C H A P T E R I I
R E V I E W O F L I T E R A T U R E

Introduction

After reviewing the literature that others have previously presented in the area of School-Based Management (SBM), it is clear that all areas of the school environment are effected. A list of individual areas to be considered when looking at School-Based Management from a global school department perspective includes the following:

- (1) School Board
- (2) Superintendent
- (3) Principal
- (4) Teachers
- (5) Union
- (6) Parent Community Groups
- (7) Central Administration Staff
- (8) School Site Staff
- (9) Custodial/Facilities Maintenance
- (10) Central Administration
 - (a) Decision Making
 - (b) Budgeting
 - (c) Accountability/Authority/Power
 - (d) Personnel

- (e) Planning
- (f) Curriculum
- (g) Empowerment

(11) Taxpayers

(12) Mayor, Selectman, and Locally-Elected
Councils

In this study, the researcher has encountered writings involving all of the above dimensions. Each element, in its own way, has an impact on the subject of School-Based Management. Implementing SBM requires change from a traditional study of management to a participative method. After reviewing the literature, it becomes apparent that any change must initially involve Central Administration. Central Administration is at the crux of any school system reaching out to all dimensions in the organization. Decision making, incorporating budgeting, curriculum, and personnel are the areas that appear to be involved when considering School-Based Management. Therefore, recognizing the need to stay focused, the researcher has limited his literature review to the following areas: Decision Making; Budgets; Curriculum; and Personnel.

When examining the aforementioned topics, it should be understood that it is difficult to isolate any one SBM component from another. The following section will present some of the observations and findings by those who

have previously looked into the field of School-Based Management.

Decision Making

School districts contemplating changing from a traditional school organization to a school-based organization must recognize the need for a power shift. John Lindelow (1981) states: "In a SBM system, the principal becomes the central actor. The great responsibility that the principal now shoulders is--finally--matched by an equivalent measure of authority. With both the responsibility and the authority, the principal is free to become the leader of his or her school" (p. 47).

Lindelow (1981) also believes that, "The relationship that will be most changed by the implementation of SBM is that between the central office and the school site. Because the site administrator will inherit power and authority from the central office, the roles of the central office administrators will change nearly as much as the role of the principal" (p. 47). A former Boston Public Schools Superintendent, Lavall S. Wilson, and the Boston Schools Teachers Union agreed to "a tentative pact that would shift significant powers over day-to-day decisions away from central administration to principals, teachers, and parents" (Wen, 1989, p. 18). Lawrence Pierce (1980)

views School-Based Management as a "system of school decision making in which principals, teachers, and parents all have a part in making decisions they are ultimately responsible for implementing" (p. 21).

Pierce (1978), in a paper presented at the Annual Meeting of the American Educational Research Association, expressed his reasons why a school organization employing SBM could improve education:

- (1) School site management gives those who are more familiar with students' problems (that is, the principal and teachers) greater responsibility for the education of children. Since the educational needs of children in different schools or even in the same school are not always the same, they are in the best position to respond to the differences.
- (2) Proponents of school-based management believe that parent involvement in children's education is essential for improving educational quality. The most important contacts between parents and school personnel take place at the school site not at the district level. Since parents are most interested in the particular schools that their children attend, they are more likely to become involved.
- (3) By dividing districts into school units, the opportunities for parent participation are increased while the scope of educational problems considered and the number of people involved are reduced. This makes it easier to respond to parent preferences and increases the chances of each parent having the opportunity to influence school policy.
- (4) If school-level personnel are involved in more decision making, there is a greater likelihood of those decisions being effectively implemented. (pp. 5-6)

Carl Marburger (1985), in his book One School At A Time, asserts that School-Based Management:

. . . differs from the traditional way of running schools in that a number of policy and budgeting decisions are made at the school building level rather than by the school board or the central administration of the school district. This represents a unique opportunity for planning to be 'bottom up', rather than the traditional 'top down'.

The other essential feature of true school-based management is that all those involved with that local school will participate in making those decisions. While this alternative form of school governance provides the principal with increased responsibilities and authority, it also gives parents and teachers the right to participate in important school decisions.
(p. 19)

In September of 1990, a jointly published newsletter presented by the Boston Public Schools and the Boston Teachers Union expressed the attitudes of both parties regarding School-Based Management when they write, "Shared decision making will allow parents, teachers, students, and administrators a strong voice in determining how their schools will operate" (Boston Public Schools & Boston Teachers Union, 1990, p. 1).

In a speech about reorganizing schools, Governor William Weld of Massachusetts stated, ". . . an overhaul of the state's elementary and secondary schools would include turning over some school management to private companies and shifting policy-making power from local

elected school committees to principals, parents, and teachers" (New York Times, 1991, p. A20).

Governor Weld's speech may be visionary in nature. His plan has "echoes of the Bush Administration's 'America 2000' education strategy, which calls on outside forces like business to help turn around America's ailing schools and for communities to draw up a plan to change schools" (New York Times, 1991, p. A20).

Neal Herrick (1985), from the Management and Behavioral Science Center of The Wharton School at the University of Pennsylvania, purports a participatory style of school management when he states:

Our educational systems, as a general rule, provide no mechanisms for including teachers in this part of the decision-making process. Instead, they are often kept in a continual state of anger and outrage by being presented with decisions as faits accomplis and left to protest them as best they can through their teacher organizations. It is probable that decisions more finely-crafted to meet the common needs of the parties, including their common need to achieve quality education, could be arrived at through the use of participative decision-making systems. It is also likely that teachers would be more committed to making these decisions work in practice. Collective bargaining in education must be supplemented by participative decision-making systems if schools are to meet the needs of students, parents, teachers, administrators, and society.
(p. 55)

Herrick (1985) also described the concept of parallel organization in conjunction with participatory decision-making when he says:

Besides students and teachers, it is necessary to include all stakeholders in the decision-making process--support staff, department heads, parents, and other groups. This leads to the following question: What are the mechanisms for accomplishing this inclusion in an education system? This cannot be answered directly because these mechanisms must be designed by the stakeholders in each organization. However, it can be answered indirectly by discussing some of the rules and principles that are often applied by unionized workplaces using one of the most effective approaches to participatory decision-making--the 'parallel organization'.

'Parallel organization' can be defined as a permanent system of linked labor-management committees. These committees mirror the primary organizational structure (i.e., every unit and subunit in the organization has its parallel committee) and develop rules, policies, and procedures governing the activities of the organization. They have problem-solving functions and decision-making authorities and include representatives of all the groups affected by the problems and decisions with which they deal. (p. 55)

Guthrie (1986) offers the notion that School-Based Management (SBM) may be a potential solution for school change when he states:

School-based management strategies, appropriately tailored to the circumstances of each state and local school district, hold the potential for resolving the tensions that currently exist between state-level policymakers and local school personnel. School-based management stems from a belief in the individual school as the fundamental decision-making unit within the educational system. (p. 306)

Guthrie (1986) further notes that John Coons and Stephen Sugarman have a similar view of SBM when he writes that they both "refer to this belief as the 'principle of subsidiary', and they would carry this principle all the

way to the individual household as the basic decision-making unit in education" (p. 306).

According to Guthrie (1986):

The classroom teacher is not sufficiently independent to be considered a management base. But a school faculty and its principal constitute--or should constitute--a natural team. Moreover, parents and students usually give their allegiance to a school, rather than to a district or to a statewide educational system. Thus it seems only logical that the school should be the primary decision-making unit in an educational system. (p. 306)

An article appearing in American Teacher quotes Bruce Goldberg, Co-Director of the American Federation of Teachers' Center for Restructuring, as saying:

School-based management is the notion that school districts ought to allow those working at individual school sites the authority and responsibility for making as many of the decisions as possible regarding the education, organization, and administration of the schools. Such decisions involve everything, potentially, from curriculum and scheduling to budgetary matters and hiring. (Nemith, 1989, p. 15)

The School-Based Management literature reviewed in the area of decision making suggests to the reader that:

- (1) Decision making needs to be shifted from the central office to the school level.
- (2) The principal should have the authority to make decisions in the areas for which he/she is directly responsible.

- (3) The principal should be willing to delegate his/her decision-making authority, while remaining accountable.
- (4) The principal should employ a participatory style of leadership to ensure that all of the concerned parties have an opportunity to express ideas and concerns.
- (5) Concerned parties to be considered in decision making at the school site level should include teachers, students, parents, administrative staff, maintenance, union, and any other interested citizen group.
- (6) The nature of the decision should dictate what groups should be engaged in a particular decision. For example, a decision involving the use of a controversial book should include teachers, students, and parents.
- (7) Central Administration does not abdicate its decision-making authority, merely shares it with the principal.
- (8) The role of Central Administration should be strategic goal setting, developing policies and guidelines, and instructing control procedures to monitor planned activities.

- (9) Central Administration does not interfere or change any decisions made at the school level provided they are made within established guidelines.
- (10) Central Administration should develop an "Esprit De Corps" environment whereby the principal can look to the central office for needed support services.
- (11) All sources reviewed agree that the principal is the central figure who must be willing to orchestrate a School-Based Management style of leadership.

Budgeting

A generic definition of the term "budget" is offered by Rue and Byars (1992) when they say, "A budget is a statement of expected results or requirements expressed in financial or numerical terms. Budgets express plans, objectives, and programs of the organization in numerical terms" (p. 466).

Mort, Resseur, and Polley (1960) adapt the term "budget" to the field of education when they write:

The word 'budget', when applied to education, means a plan for financing a school system for a period of time in the future, usually for one year. A budgetary document is an exhibit that shows the plan in detail. The budgetary procedures are the steps that the administrator and

the board of education must take in order to plan the budget from beginning to end. These three terms are often used interchangeably; each one refers to an aspect of budgeting. The budget itself is frequently thought to be the document that outlines the school system's financial plan. Ultimately, it represents both the positive potential of educational objectives and the willingness and capacity to support schools. (pp. 345-346)

All school principals need to have a working knowledge of budgeting procedures to ensure that their spending is cost effective. In addition to budgetary skills, a principal should be freed from the concern that his/her budget may be cut after planning has been predicated on a given number of dollars.

In an interview with Alan Butters, Acting Director of School-Based Management/Shared Decision Making for the Boston Public Schools, Butters (1992) emphasized on more than one occasion that once a school has a budget it should not be reduced. He further stated that many volunteered hours are devoted to planning based on a fixed number of dollars. Arbitrarily reducing the budget could easily undermine the planning process and develop a potential morale problem.

Caputo (1980) expresses a similar belief when he says, "If a system encourages you to save and save and tomorrow what you have saved is taken away or rendered worthless by some formula, your motivation, too, will be lost just as the surplus is" (p. 9). Caputo (1980) further states:

For the innovator, the end-of-the-year balance sheet is essential. When a school is successful in its financial planning, that will lead to greater financial freedom. When a school overspends and experiences financial failure, it will lead to restrictions and disability.

. . . Snatching away a school's surplus and pumping it back into the larger organization destroys incentive, and motivation. (p. 9)

When deciding how surplus budget amounts should be treated, Lindelow (1981) and Longstreth (1977) share the same opinion:

Schools should be allowed to carry over budget surpluses from year to year. This practice allows schools to save money for expensive items that could not be included in a single year's budget. Longstreth recommends that a district remain committed to the carry-over provision, even in the face of a budget crisis, or the 'spend it or lose it' attitude and its concomitant waste will immediately surface. (Lindelow, 1981, p. 63)

In an article appearing in Principal, Allen Vann (1992), Principal of James H. Boyd Elementary School, Elwood School District, in Huntington, New York, describes how he involves his teachers in the budget process when he organized a group called the Principal's Advisory Committee on School Improvement (PACSI). The group conducted meetings on a monthly basis.

Vann (1992) reported:

Between meetings, we shared information and ideas in written communication. PACSI's role is to serve as a sounding board, an information-gathering body, a goal-setting and policy-making body, and a decision-making partner. All decisions, including the establishment of annual school improvement goals, recommendations for ad hoc committees on textbooks and

curriculum, and procedural and organizational strategies, are eventually presented to the entire faculty for consideration and adoption.

Before the school year begins, I ask teachers from each grade level and special subject area to prepare preliminary purchase orders for me, listing requested items in A, B, or C priorities. I prefer to have teachers tell me what they need rather than give each one a fixed amount of money. By having all grade-level and subject-area teachers discuss their requests collectively before they submit them to me, we encourage team planning and promote sharing of materials.

PASCI is involved at various stages of the budgeting process, including decisions on building priorities and expenditures of grant money.
(p. 31)

A study of seven selected school districts located in Alberta, Canada, revealed some apprehensions that principals might have when faced with the responsibility of managing a budget.

The major problems encountered by principals concerned their own role and technical difficulties in the administration phase of the budgeting process. Increased workload as well as lack of skill, experience, and guidelines were frequent concerns related to role. Difficulties associated with program budgeting classifications, and a lack of information on costs and expenditures, were major problems in administering budgets. Other problems reported at the school level were related to the nature of teacher involvement, being perceived variously as too high or too low. The difficulty of regularly providing accurate and timely information to schools on the status of the different decentralized accounts emerged as the cause of greatest concern and frustration for principals. This difficulty appeared to contribute to the often-expressed view that school-based budgeting results in burdensome bookkeeping for school personnel. (Caldwell, 1978, p. 14)

There are several approaches to school-site budgeting. An aggressive method of budgeting that seeks to involve the principal in shifting decisions is one based on Educational Equivalent (EE) units. "A basic unit . . . is equal to the average amount paid a teacher" (Cunningham, 1978, p. 9).

To illustrate the implementation of EEs, Cunningham (1978) uses, as an example, a school district located in California:

Perhaps the boldest attempt at decentralization was that reported by the Grossmont Union High School District in La Mesa. Grossmont's equivalent of the EE is its personnel unit, operationally defined as 'a unit the dollar equivalent of which is the average cost of a teacher in the district for the year in question.' The cost of other clerical and support personnel is computed as a ratio of this cost. For example, a stenographic clerk may equal .5 of a personnel unit, whereas a classroom aide may equal only .33 personnel units. A principal thus has the option of hiring one teacher or two clerks or three aides for each personnel unit.

It may be readily observed that the building principal has, under this system, considerable autonomy regarding staffing decisions. He is free to be as innovative as local circumstances will allow. The advantages of this system are as follows:

- (1) It places decisions where problem analysis and accountability should lie.
- (2) It encourages principals and staff to do their own problem analysis and problem solving.
- (3) It gives the principal a tool by which he can give teachers real decision-making functions.

- (4) It relieves the district administration of the constant plea from principals to help them out of a myriad of critical problems. The resources are the principal's to allocate; he must live with the consequences of his own decisions.
- (5) If properly used, it leads to more creative and effective ways of staffing. (p. 10)

Other methods of determining the distribution of funds can be used. Cunningham (1978) offers the following alternative when he states:

The first of these provides for the equitable distribution of funds on a weighted pupil basis. Included in this process is funding for textbooks, educational media (including library books, periodicals, and supplies), materials of instruction, other expenses for instruction, student activities, office supplies, postage, instructional equipment (both new and replacement), etc. Decisions on professional staff deployment are usually made from the central office level.

A variation of this theme holds constant the number of pupils, but varies the flat amount by line item. For example, a district may allow for textbooks \$6.50 per pupil at the elementary level; \$8.00 per pupil at the middle school level; and \$9.50 per pupil at the high school level. Similarly, fixed dollar amounts are established for each level for all budget categories through and including new and replacement equipment. In fact, this has even been extended for allocation of supplies for operation of the plant. Again, multiplying the projected enrollment by the fixed rate for each budget category will yield the total sum available to each building administrator for instructional materials and supplies. Under this system, the principal is usually given some latitude to shift sums from one category to another depending upon local priorities and needs. Again, this system allows little margin for building-level decisions on staffing. (pp. 11-13)

Another budgeting method is offered by Wiles and Bondi (1983) when they suggest:

One effective management tool is zero-based budgeting. Zero-based budgeting forces the administrator to prepare a new budget each year. A school program is subject to zero-based budgeting in the presence of a resource/cost effective relationship. Cost effectiveness is translated into dollars by analyzing stated program objectives in regard to the resource costs needed to attain them. Zero-based budgeting forces review of each school program by requiring assessment of all programs and justification of their costs each year. (p. 141)

Guthrie (1986) believes that:

To function effectively as chief executive officers, principals must have discretion over school resources. But they must also be held accountable for the manner in which they allocate resources. The mechanism that facilitates such discretion and accountability is school-site budgeting and accounting. (p. 307)

Guthrie further states that:

In this kind of budgeting and accounting system, each school has a given sum per pupil (consistent with the state funding formula) credited to its account. A standard amount--say 10%--is taken off the top to pay the expenses of the district's central office. Beyond that percentage, the aggregate amount a school generates by virtue of its enrollment is under its control. (p. 307)

Guthrie (1986) offers a method of dealing with teacher salaries when he writes:

To handle teacher salaries . . . each school receives a certain number of instructional units, based on its enrollment. (A district might allocate one unit for every 20 students, for example.) An instructional unit is a sum of money equal to the average teacher salary in the district. How a school actually allocates

its instructional units is determined by the principal, with advice from the school council. (p. 307)

As a result of a study of two Canadian School Districts--Edmonton Public Schools (Alberta) and Langley School District (British Columbia)--employing allocation budgeting, Brown (1987) concludes that:

Allocation systems are based on school enrollments and numbers of dollars per child. Such a method may provide an increase in the level of student equity, since dollars are directed at children. In contrast, the alternative was seen as 'squeaky-wheel budgeting', whereby dollars are more likely to follow successful lobbyists. The allocation system also appears to rest on the assumption that the units to which allocations are made are acceptable to respondents. Budgeting is based primarily on the price of the teacher being set equal to the district average salary contributions by teachers but may simplify decisions regarding the purchase of teacher services. (pp. 32-33)

It is important not to overlook one very important factor when considering instituting School-Based Management (SBM) and that is cost. When changing from a traditional structure of school administration to one employing a SBM approach, the initial outlay of funds to train and educate all concerned parties may be more than a school system can absorb.

"Implementing a decentralized decision-making system will incur significant costs. The theoretical discussions of SBM do not address the issue of the transference of funds to pay for administrative costs in the processing of personnel and budgets. Yet administrative processes such

as personnel hiring are expensive activities. In an era of shrinking school budgets, it may be more cost effective for schools to centralize much of their budgeting in the district office rather than delegate. It is important that the financial aspects of SBM be realistically evaluated" (Lindquist & Muriel, 1989, pp. 405-406).

The SBM literature reviewed in the area of "decentralized school budgeting" reveals the following:

- (1) A school budget is a financial map that specifies the future direction of a school system, district, or an individual school depending on its application.
- (2) Priorities can be learned by the amount of dollars assigned to each area of the budget.
- (3) In order for School-Based Management to be successful, an adequate amount of funds should be supplied and not cut.
- (4) Any surplus funds should be transferred into the budget for the following year.
- (5) The principal needs to include teachers, parents, community groups, and students in the budget process.
- (6) An equitable method needs to be chosen to allocate available funds.

Curriculum

According to Lindelow (1981):

In a school-based management system, the school site has near total autonomy over curriculum matters. Within broad outlines defined by the board, the individual schools are free to teach in any manner they see fit. As long as a school is attaining the educational goals set by the board, the district does not intervene. The district provides technical assistance to the school sites in instructional matters and monitors the schools' effectiveness. The principal works with staff and parents to determine educational needs and designs the school's curriculum around these needs. (p. 58)

Lindelow (1981) quotes John Gasson, author of "Autonomy, The Precursor of Change in Elementary Schools", as saying:

The bureaucratic system, firmly established on generations of precedent, has created not only conforming non-educators, but also teachers who accept the premise that teacher decision making should be very limited. Curriculum guides, time allocation for subjects, and determination of textbooks are but a few of the many educational decisions made from on high. This collective direction by the central office--and its accompanying acceptance by many teachers--is why school curriculums are often irrelevant. (p. 58)

Lindelow (1981) further emphasizes that state curriculum mandates could be changed as a means of decentralizing curriculum decisions when he quotes Garms, Guthrie, and Pierce who believe that, ". . . state curriculum requirements and pressures from national accreditation and testing organizations leave little room for curriculum innovation at the school level. But state requirements

could be relaxed over time, allowing schools to develop their own curricula. In practice, districts switching to school-based management have not had much difficulty in this area" (pp. 59-60).

Lindelov (1981) also notes:

In general, a district's implementation of school-based management has led to an increase in the diversity of educational approaches in that district. Teachers and principals gain more freedom to design their own instructional programs, and parents gain more influence on the design of those programs. Some schools may opt for a back-to-basics focus, others for open classrooms. Still others may adopt both approaches and have 'schools within schools'.
(p. 60)

Guthrie (1986) uses curriculum to illustrate how change from a centralized to a decentralized school organization will take time when he says, "As matters now stand, the school district central office determines how the funds budgeted for curriculum . . . will be spent. Under a school-based management system, by contrast, a principal and his or her staff determines which curricular . . . activities best meet the needs of their particular school"
(p. 308).

Caputo (1980) believes that:

By his or her style of management, a principal can influence to a large degree what goes on in a classroom, in terms of both curriculum and climate. I have found that teachers are capable of determining curriculum, and I allow them to make many of those decisions. The most important work I can do is to encourage a healthy climate for learning. This comes about essentially by the kind of relationship I have

with my teachers. My work is making the school work, not by controlling each decision but by helping glue the organization together by facilitating good relationships. (p. 25)

It appears that Caputo is advocating that curriculum decisions are best made by classroom teachers. He does not go so far as to state that all curriculum decisions should be made by teachers; however, he leaves the door open to allow himself and others to participate in the curriculum decision-making process.

Several authors, who have studied where and by whom curriculum decisions are best made, concur with Caputo.

Knight's research (cited in White, 1989) states:

School site curriculum development enables school staff to develop the instructional program, to select instructional materials and textbooks, and to design inservice training programs. By allocating individuals at the school site greater discretion over curriculum development, school staff select instructional materials and methods and develop curricula that are most appropriate to the needs of their students. (p. 2)

Conley, Schmidle, and Shedd (1988) point out the benefits of teacher participation in curriculum when they write:

The more teachers are involved in planning, implementing, and evaluating school and district policies, programs, and resources, the more influence the school and the district can be expected to have on the classroom. This influence, moreover, need not be exercised through more directive supervision or more detailed bureaucratic prescriptions. One of the greatest strengths of participation as a managerial strategy is that it tends to build consensus on goals and agreement on priorities, allowing the relaxation of controls over the means that

individuals will use to serve those ends. The importance that recent research on school effectiveness ascribes to goal consensus and a sense of school mission and the need to allow teachers wide discretion over how they orchestrate their classroom activities thus further support the argument for increasing teacher participation in school and district decision making. (p. 265)

Shavelson and Stern (cited in Kennedy, 1992) believe that:

We must accept that teachers make curriculum decisions every minute of the day as they implement their teaching programs. In this largely interactive decision making, teachers adapt and modify their original planning decisions to better meet their students' needs. (p. 184)

SBM literature reviewed in the area of "curriculum" leads to the following general statements:

- (1) Curriculum decisions should be made at the school site.
- (2) Central Administration should monitor curriculum decisions made at the school level.
- (3) Central Administration should provide technical and expert assistance at the school site as needed.
- (4) Building principals should develop an environment that promotes teacher participation in the curriculum process.
- (5) A curriculum should meet the needs of the population that it serves in a given school district.

- (6) If teachers are to be held accountable for what they teach, then it follows that they should be viewed as the primary curriculum input factor.
- (7) The principal is solely responsible for all that takes place in his/her building; therefore, the principal should be afforded some degree of curriculum input.

Personnel

According to Lindelow (1981):

If principals are to tailor their schools' educational programs to the needs and desires of the community, they must have control of their major resource teachers. In most existing districts with school-based management, principals make the final choice of who will work in their schools. (p. 66)

Personnel management is an area in which Lawrence Pierce believes all school principals need to be competent.

Pierce (1980) states:

A principal's personnel responsibilities are perhaps the most challenging. The authority to hire personnel is essential if the principal is to be held accountable for the school's performance, since the classroom teacher remains the critical link in the education process. Without the ability to hire and assign teachers, the principal would have little control over school performance. (p. 34)

Pierce (1977) also suggests that:

The Parent Advisory Council and members of the existing school staff may assist the principal in screening candidates and developing criteria for selecting among qualified applicants, but ultimately, the decision to hire would be the principal's. (p. 11)

A major concern when considering staffing needs for an individual school involves collective bargaining contracts with unions. Pierce (1980) affirms that it may be necessary to amend existing collective bargaining agreements. He goes on to say, "In most areas of the country, teachers' representatives negotiate with district school boards over terms and conditions of employment" (p. 34).

Pierce (1980) proposes that salary negotiations could remain at the district level, while ". . . other aspects of collective bargaining could be moved to the school level. Negotiations could be carried on between teachers and the school principal on matters concerning the hiring, assignment, and transfer of personnel. To ensure that a principal can employ teachers who fit in with the school program, seniority rights probably should be granted only within a particular school" (pp. 34-35).

Pierce (1980) observes that the role teachers play in a plan that employs School-Based Management is important when he states:

School-based management recognizes the central role of the teacher in the educational process and attempts to treat teachers as educational professionals. Instead of being judged on

their ability to follow orders, teachers are judged on their ability to achieve educational results. (p. 39)

When considering remuneration for teachers, Pierce (1980) states:

The more remote from children one is, the more one gets paid. This should be reversed. Excellent teachers should be the highest paid professionals in a school with the possible exception of the school principal. Teachers also should be awarded merit increases for excellent teaching and the seniority system should be relaxed to permit promotion on the basis of performance. (p. 39)

One problem that needs to be addressed when implementing School-Based Management is providing sufficient funding for training concerned parties. Lewis (1987) states:

One of the most common problems in participative management is the school administrator's failure to properly train, develop, and educate school people in the process. Sponsoring a comprehensive training program in our schools will be one of the most pressing problems confronting school administrators in the 21st century. The success or failure of participation rests solely on the shoulders of the superintendent. His or her first move will be to get the board to approve a certain percentage of the budget for training and development activities. A figure of from one-half of one percent to one percent would be a strong indication that the board is serious about training 'its own'. Training for teamwork and team building should most likely involve courses in group dynamics, conflict resolution, problem-solving techniques, consensus decision making, etc. (pp. 48-49)

Implementing a decentralized school organization requires an understanding of power. Under a SBM system, a great deal of power resides with the school site principal. In addition to understanding power, the principal should

also be cognizant of other factors associated with power, namely, authority, responsibility, and accountability. Failure to understand these terms could lead to the abuse of power.

Rue and Byars (1992) explain the aforementioned terms when they state:

'Power' is the ability to influence, command, or apply force. Power is usually derived from the control of resources.

'Authority' is power derived from the rights that come with a position. Authority represents the legitimate exercise of power. Thus, authority is one source of power for a manager. Lines of authority link the various organizational components. Unclear lines of authority can create major confusion and conflict within an organization.

'Responsibility' is accountability for the attainment of objectives, the use of resources, and the adherence to organizational policy. Once responsibility is accepted, it becomes an obligation to perform assigned work. (p. 230)

Guthrie (1986) believes that:

To assign a teacher to a school without the principal's approval violates the notion of the principal as chief executive officer and weakens the chain of professional accountability. It is impractical and unfair to hold a principal responsible for the effectiveness of a school if he or she has no control over who is assigned to teach in that school. (p. 307)

Goodlad (1984), a noted authority in the field of School-Based Management, agrees with Lindelow, Pierce, and Guthrie as to who should do the hiring of personnel at a school that is participating in School-Based Management when he states:

Individual schools should have the authority and responsibility to develop long-term staffing plans, to be effected through judicious replacement of retirees and those teachers who go elsewhere. For example, an elementary school faculty might specify that the next teacher hired should possess, in addition to general teaching ability, a background in mathematics in order to round out a faculty representing a wide range of specialized backgrounds, each serving as a resource person to all other teachers but each assigned as a regular classroom teacher. (p. 278)

According to Marburger (1985):

If we were to examine who currently can most influence the activities of individuals and groups involved in and concerned about the public schools, who has access to the information, and who makes the decisions that most affect the schools, we could design an influence scale that would be accurate for most school systems. (p. 12)

Hersey, Blanchard, and Natemeyer (cited in Marburger, 1985) define power as "influence potential", and they further advocate "seven bases of power" which might prove helpful in understanding a "power line" or influence scale for school systems (see Figure 1):

- (1) Coercive Power: Compliance is induced because one can punish or withhold rewards.
- (2) Connection Power: Compliance is induced because of the significant 'connections' inside or outside the organization. Followers do not want to incur the disfavor of the connection.
- (3) Expert Power: Expert Power is based on the fact that there is a degree of expertise, skill, or knowledge that is respected by the group.

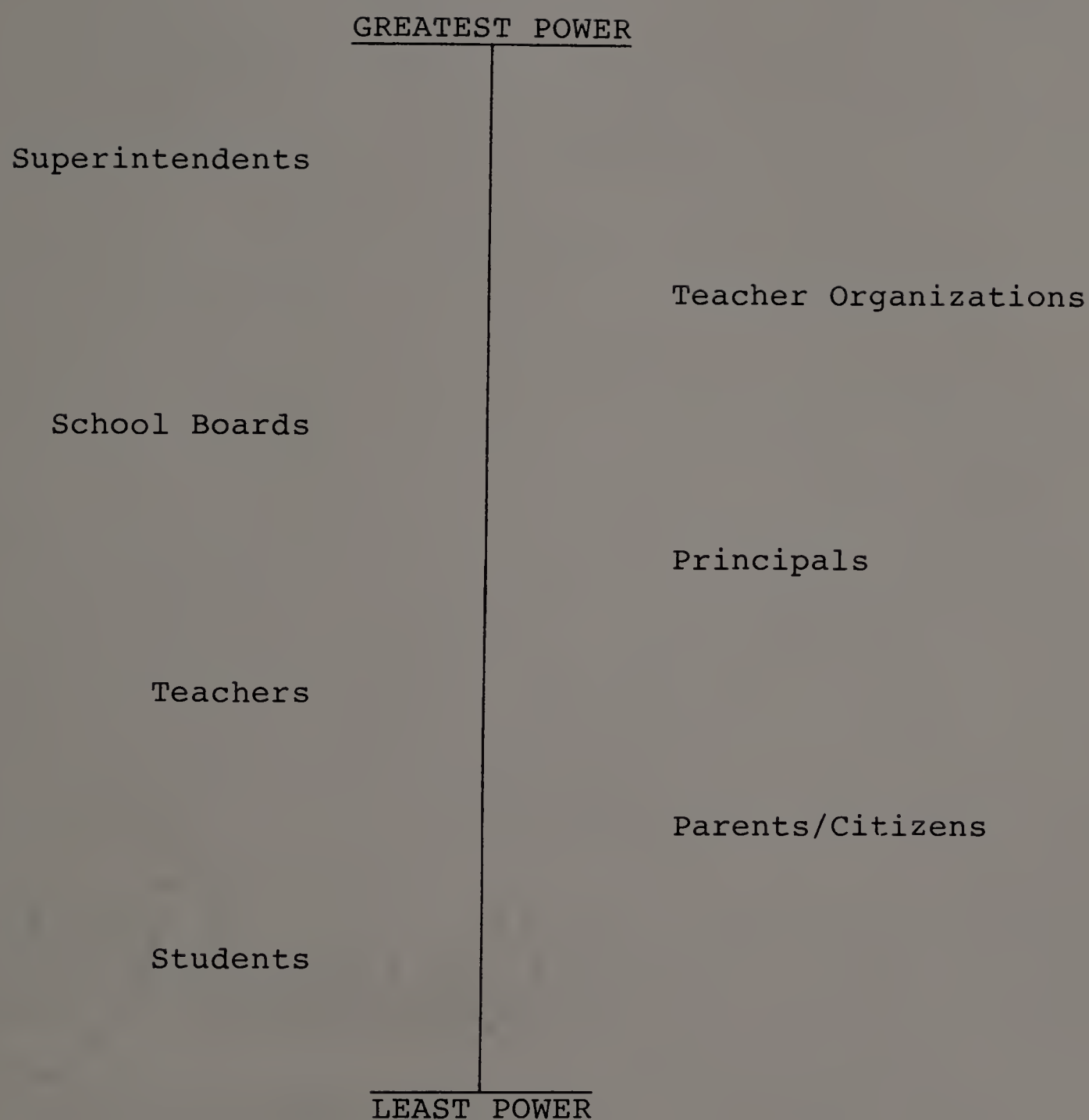


Figure 1. "Power Line" of influence scale for school systems (Hersey, Blanchard, & Natemeyer [cited in Marburger, 1985], p. 12).

- (4) Information Power: One has access to information that is perceived as being of value to the group.
- (5) Legitimate Power: Legitimate Power is based on the position held in the organization, i.e., one has the 'right' to expect compliance.
- (6) Referent Power: Referent Power is based on personality traits.
- (7) Reward Power: Reward Power is based on the ability to reward those who comply.
(p. 12)

According to Mesenburg (1987):

Traditionally, centralized educational decision making has followed a hierarchical pattern with the most power residing with the school board and the least power with the students. This paradigm changes when school site management is implemented.

School site management differs from this paradigm in the following ways:

- (1) Policy and budgeting decisions which are predetermined in consultation with the school board are made at the building level.
- (2) The authority for certain functions are moved to the local building site (i.e., staffing decisions, etc.), therefore developing a broader leadership base.
- (3) Power is shared by all persons concerned with improving the educational program, i.e., students, parents, and staff of the building. (p. 4)

Mesenburg (1987) sums up the notion of power when he states:

Decision making proceeds not by 'recommendations up, orders down', but through the development of a shared sense of direction among the decision makers. School site management forms

the philosophical basis for ultimately improving student learning through the conceptual framework that knowledge is power. When school site management is implemented, people are empowered by knowledge, and they assert the right to be policymakers. The process of participatory decision making implies the sharing of extensive information, widely disseminated, and feedback, seriously considered. (p. 6)

As a result of literature reviewed in the area of "personnel", one can make the following observations:

- (1) The principal needs the authority to select personnel assigned to his/her school if they are to be held accountable.
- (2) Principals should solicit input from parent groups and existing staff when selecting additional personnel.
- (3) Concessions will be necessary by collective bargaining units that will convert existing agreements.
- (4) Teachers should be viewed as professionals who are willing to make a substantial contribution to the successful implementation of a School-Based Management Organization.
- (5) Teachers should be adequately compensated for their efforts in effecting School-Based Management.
- (6) Principals need to clearly understand the use and abuse of power.

- (7) The traditional structure of administering schools will be drastically altered.

C H A P T E R I I I

DESIGN OF THE STUDY

Population

On April 2, 1990, a collaborative meeting was held between the Administration of the Boston Public Schools (BPS) and the Boston Teachers' Union Steering Committee. One of the many responsibilities of the Steering Committee was the selection and monitoring of a committee that would be charged with introducing the concept of School-Based Management/Shared Decision Making (SBM/SDM) in the Boston Public Schools. As a result of this meeting, to date, January of 1993, SBM/SDM has been implemented in thirty-six Boston Public Schools consisting of six high schools, eight middle schools, and twenty-two elementary schools. Table 3 provides the numbers and percentages of School-Based Management schools by zones.

This study involved five of those thirty-six schools identified as SBM/SDM schools. Questionnaires concerning those factors encompassing the successful implementation of SBM/SDM, based on experience, were distributed to 216 teachers working at the five randomly selected schools studied. One hundred and fourteen teacher questionnaires were returned, representing a fifty-three percent response rate. In-depth interviews were conducted by the researcher

Table 3
School-Based Management Schools by Zones

Zone	Total Schools by Zone	SBM/SDM by Zone	Percentage by Zone
High School	21	6	28.5%
North	32	10	31.2%
East	38	10	26.3%
West	31	10	32.2%
TOTAL	122	36	29.5%

with the principals at each of the five schools identified as SBM/SDM schools.

Research Method

"Both qualitative and quantitative data are used in descriptive research studies. As newer and better ways of quantifying attributes are developed, however, qualitative data are coming to be used primarily to provide background for the study and to build hypothesis. Today, an attempt to study a problem by a narrative alone would be inappropriate as a technique for descriptive research" (Hopkins, 1980, p. 285). This method of research was employed during this study.

According to Hopkins (1980), "The source of information for use in educational descriptive research studies is primarily the attributes of human beings. These attributes are studied by comparing, contrasting, and investigating to establish relationships" (p. 289). Prior to conducting this study, three objectives would need to be satisfied. The researcher had to initiate and achieve the following:

- (1) Identify those schools within the Boston Public School System deemed SBM/SDM schools.

- (2) Identify five SBM/SDM schools whose principals would be willing to participate in the study through a personal interview.
- (3) Identify five SBM/SDM schools whose principals would be willing to distribute to his/her faculty a questionnaire designed to solicit anonymous, candid information based on their involvement and experience with SBM/SDM.

Instruments

A close-ended questionnaire, based on the characteristics of School-Based Management formulated from reviewed literature, was developed and distributed to faculty in those schools randomly chosen for study (see Appendix C). According to Asher (1976), ". . . a questionnaire and its accompanying cover letter and materials must be brief unless the respondents are to be paid for their time" (p. 174). This researcher did not have the resources to pay respondents, therefore, taking Asher's advice, the questionnaire was designed to require a minimal amount of time by the participants. Questionnaire return rate was also a consideration.

The questionnaire listed eleven statements involving factors surrounding School-Based Management. Participants

were asked to what degree each factor should be involved with the successful implementation of a School-Based Management Organization. A multiple response scale of "1" to "4" was used. A rating of "1" indicated that the factor was necessary to a marked degree; "2" meant that the factor was necessary to a moderate degree; "3" indicated that the factor does not play a role; and "4" represents a factor's total lack of consideration. The researcher added a "5" to the scale to indicate the omission of a response.

In addition, the participants were invited to make comments that would further expound on their responses.

A set of questions were formulated to be used as a guide during structured interviews with principals in each school zone (see Appendix D). Primary focus was in the areas of budget, curriculum, personnel, and decision making.

Procedures

To facilitate the collection of the required data, the researcher contacted Alan Butters, Acting Director of School-Based Management/Shared Decision Making for the Boston Public Schools, to seek his participation and assistance. Mr. Butters responded, stating that he would be willing to assist in the study. He also requested that

the Superintendent of Schools, Dr. Lois Harrison-Jones, and the Director of Research and Development, Ms. Maryellen Donahue, be contacted. Both offices were contacted and were supportive of this study. Ms. Donahue requested that a letter be sent from the University of Massachusetts-Amherst indicating that this study had been authorized. Dr. Robert R. Wellman, Professor of Education, provided the required correspondence (see Appendix A). Subsequently, Ms. Donahue issued a letter stating that this study was being conducted with her approval (see Appendix B). As a result, the researcher did not experience any resistance on the part of those persons involved and/or directly responsible for SBM/SDM (zone superintendents, principals, teachers).

After receiving Ms. Donahue's letter of approval, a second meeting was scheduled with Mr. Butters. At this meeting, Mr. Butters provided valuable background information, names of the thirty-six SBM/SDM schools, and names of their principals.

The thirty-six SBM/SDM schools constitute six high schools, eight middle schools, and twenty-two elementary schools. Because this study does not seek to identify those conditions necessary to implement a School-Based Management structure at a particular school, it was determined that the sample should include a representation from each zone and each school level.

In order to achieve this broad-based sampling, the thirty-six SBM/SDM schools were clustered by educational levels: high, middle, and elementary. Each school name was written on a standard size piece of paper, placed in a container by cluster, and randomly selected by an independent party. Five schools were chosen: one high school, two middle schools, and two elementary schools. The researcher contacted the principals of each of the five schools and asked if they would be willing to participate in a research project. All five principals contacted agreed to discuss the purpose of the study and their potential role.

Over a three-week period, this researcher met with principals and discussed the nature and purpose of the research project. An abstract was presented to each principal. The five principals contacted expressed an interest and willingness to participate in the study. An interview date was scheduled with each principal. During the interview, each principal was informed that the interview would focus on their perceptions of SBM/SDM based on their past and present experiences. Primary topics would include budget, personnel, decision making, and curriculum. This researcher asked each principal for permission to use a tape recorder during the interview. All agreed to a taped interview. Interviews were conducted over a six-week period.

Teacher survey forms were provided at the initial meeting (see Appendix C). It was agreed that the survey forms would be distributed to all teachers in the building and returned to the researcher on the day of the scheduled interview date.

Prior to the scheduled interviews, this researcher formulated a list of pertinent questions (see Appendix D). Interview questions were formulated to be open-ended. Using this format provided the participants an opportunity to freely express their educational philosophies and experiences as they pertained to School-Based Management/ Shared Decision Making (SBM/SDM). Interviews with principals were conducted in their offices to better accommodate their schedules.

After each interview, participants read and signed the "Informed Consent Form" (see Appendix E). They were reminded that the interview was confidential, and that all data were to be kept anonymous. Each interview lasted approximately one hour, with the longest taking eighty-five minutes.

Data Analysis

The data analysis phase of this study involved organizing, summarizing, and presenting the data to enable interpretations to be made. Miles and Huberman (1984)

state that data analysis involves "data reduction, data display, and conclusion drawing or verification" (p. 23). Data analysis was begun after all of the personal interviews had been completed.

A word processor was used to transcribe tape recordings into written text. The taped transcriptions were read and studied. Several copies of each transcript were made. Folders were used to collect common themes. Once familiar themes were identified, they were grouped together into major themes. Themes from the literature review in Chapter II on School-Based Management (SBM) and new themes, that emerged from the data, were included in the data analysis.

Conclusions were drawn from the data collected. Common themes, that emerged from the personal interview and distributed survey dimensions of the study, were developed into a framework and presented in Chapters IV and V. In addition, those comments made by teacher participants, who answered the questionnaire, were noted. Conclusions and recommendations based on collected data were made for future study.

C H A P T E R I V

PRINCIPALS' PERSPECTIVES OF SCHOOL-BASED MANAGEMENT/SHARED DECISION MAKING

Introduction

The purpose of this chapter is to present the data collected from interviews with five City of Boston public school principals. This chapter will only look at the principals' perceptions of School-Based Management/Shared Decision Making (SBM/SDM), while Chapter V will consider teacher perceptions of SBM/SDM.

The first part of this chapter includes a brief description of the principals and their backgrounds to provide a context for the data. Part two will focus on those similarities and differences among the principals that pertain to the successful implementation of a SBM/SDM Organization. These principals describe the elements based on their experiences with SBM/SDM, that need to be in place when administering a SBM/SDM school.

The Principals

Table 4 depicts the similarities and differences in the principals interviewed. Beyond this information, the following data provide additional information about who

Table 4
Principals

	Principal				
	A	B	C	D	E
School	High	Middle	Middle	Elementary	Elementary
Degree	M.A. Science Teaching	Ed.D.	M.Ed.	Ed.D.	Ed.D.
Years as Principal	3½	6	7	5	4
Degree to Which Formal Education Prepared Him/Her to Be a Principal	Not At All	Very Little	Not Adequately	Very Little	Experience the Best Preparation
Degree to Which Past Job Related Experience Prepared Him/Her to Be a Principal	Provided a Body of Knowledge That Is Used Daily	Immensely	Military Training Was Most Valuable	Significantly	Experience More Important Than Formal Education
Career Path	Teacher/ Assistant Principal to Principal	Teacher/ Assistant Principal to Principal	Teacher/ Assistant Principal to Principal	Teacher/ Project Director to Principal	Teacher/ Assistant Principal to Principal
Conscious Decision to Be a Principal	Evolu- tionary Process	Initially No	Career Change	Career Change	Lifelong Ambition

these principals are and their employment environments. All are principals of schools ranging in size from 220 to 950 students. Their schools are located in an urban setting where a majority of their students come from families of low to middle income. Their tenure as principals ranged from under four years to more than six. All of the principals have advanced academic degrees and educational experience spanning more than eighteen years. Each principal began their careers as a teacher. Principal E is the only principal who initially sought career opportunities that would provide the experience necessary to handle such a leadership position. Principals A, B, and C did not set out to be principals; however, somewhere during their teaching experience they became frustrated and made a conscious choice to seek positions that would provide the qualifications necessary to become a principal.

Principals A, B, and C each seemed to have a need that had to be satisfied. Principal B expresses this need as:

Initially, I wanted to teach. I realized that in teaching, I was under the domination of somebody else's philosophical approach and somebody else's curricular expectations. For the small group of kids that I had the opportunity to pass through my class, that was fine. I feel I did an excellent job. I thought I had much more to give and I could reach more children. So I started my quest to be a principal, and I accomplished that. (Principal B)

Principal D had no intention of becoming a principal:

I became aware, that no matter how hard I worked in the central office, I was not going to make an impact at the school level. The action is really at the school level. In town (central office), you have to get permission for anything you want to do. There is very tight bureaucracy in town. I felt that if I went out to the school level, as I saw it then moving towards decentralization, and if you wanted to get things done, and if you were principal, you could just go out and do it. Whereas in town, you were hampered with permission forms and you had to convince people it's a good thing to do. Often, you could see if your plan was really working and see the direct impact of your work in a way that you couldn't in the central office.
(Principal D)

All five principals believe that their formal classroom training was of little or no value to them when executing the responsibilities of principal. Principal C articulates this in the following:

The courses that I took, my undergraduate and graduate, didn't adequately prepare me for the day-to-day things I do as a principal. I don't think that anything in the classroom can. Things don't happen by the book. A lot of your responsibilities and duties are reactions to the situations and it's hard for a beginning principal to be able to identify all those situations. Hands-on job training plays a big part in preparation. (Principal C)

All five principals have degrees in the field of Education despite the fact that they are serving in a managerial position.

All of the principals interviewed looked upon their roles and responsibilities in a similar manner. Accidental

differences were necessitated by a school's level. Each hold themselves accountable for everything that occurs within their buildings. Some of the numerous responsibilities mentioned included: curriculum, safety, security, bus duty, lunch duty, evaluation of teachers, dealing with parents, bringing outside resources into the building, creating opportunities for people to work together, etc.

Principal A expresses the ever-expanding role of the principal in this way:

Principals are responsible for everything that happens inside and often around a building, including students coming to and from school. The duties of principal are always changing because everyone's always including something else under the umbrella of those duties and responsibilities.

I find that in 1992, 1993, and over the past several years, that the number of social problems that I must deal with--issues and concerns brought in from the community--are increasing. It is occurring with a lack of human resources within the building to deal with them. The human resources available to service these social problems have been decreased. Also, the number of providers to deal with curriculum and curriculum coordination have been decreased. The burden falls on the administrators. (Principal A)

To summarize the composites drawn above, three of the five principals hold a doctoral degree and one is a doctoral candidate. The other principal has additional courses beyond a Master's degree. All five were accomplished teachers before moving into administrative roles. Only one, initially, made a conscious choice to be

a principal. Three evolved as principals out of a need fulfillment. One sought a career in central administration, however made a career change that was perceived to be more conducive to effecting change.

All of the principals recognized their expanding roles and responsibilities within the immediate school environment and newly-emerging community-related concerns.

The principals in this sample were from the thirty-six SBM/SDM schools in the Boston Public School System. The number of teachers in each school ranged from eleven to over seventy-five.

Perceptions

In analyzing the interviews with the principals, themes emerged that related to literature on key elements necessary to the successful implementation of a School-Based Management/Shared Decision Making (SBM/SDM) Organization.

Implementation

The state of implementation was looked at to determine a principal's familiarization with the concept of SBM/SDM. The degree of implementation ranged from just under two years to three years. According to contractual obligations, the maximum number of years a school could be formally involved is three years. Principals B, C, and E

had employed a participative style of management prior to formal implementation in the Boston Public Schools.

Principal E has had experience with SBM/SDM going back fifteen years:

We were doing shared decision making the first year I was here, because I'm a believer in it. We weren't part of the formal process, but we still did collective decision making.
(Principal E)

Another principal said that SBM/SDM was not a new experience when first introduced by the school administration:

We've been involved with SBM now for three years. Prior to the Boston Public Schools' adoption of SBM, we were involved with a form of school-based management and shared decision making at this school. The implementation or adoption of SBM wasn't new to us because we had a shared decision-making process in place already.
(Principal C)

Decision Making/Accountability

School faculty and its principal constitute--or should constitute--a natural team. Moreover, parents and students usually give their allegiance to a school, rather than to a district or to a statewide educational system. Thus it seems only logical that the school should be the primary decision-making unit in an educational system (Guthrie, 1986, p. 306).

The school's effectiveness literature supports the need for school personnel to play an important role in

school decision making to increase academic performance of students (Purkey & Smith, 1983).

When asked if they had been afforded a sufficient degree of autonomy to successfully implement SBM/SDM at their schools, three principals (A, B, and D) answered with an unequivocal, "No". Principals B and E provided answers that could be construed as being somewhat less than unambiguous.

To the same degree as my staff is accountable to me, I believe I am accountable to somebody. Given the parameters established by the system, however, I don't feel that I had the time and space to run my school the best way I can.
(Principal B)

Overall, we've had a lot of independence, but it depends what you mean by sufficient. We've had some independence and have been able to have a lot of insight into making some programmatic decisions. But in terms of issues around personnel, there's still a lot of contractual constraints and there are certain things we've been denied. So I'm not fully satisfied. No. (Principal E)

Lacking sufficient autonomy is contrary to that found in the literature. Messenburg (1987) believes that the key to the successful implementation of a SBM Organization occurs when there is ". . . a management shift of decision-making responsibility from the school district to the school site" (p. 3).

Caputo (1980) states that:

Each school center arranges its own work, determines its own staff, and develops its own style of dealing with the day-to-day problems it experiences. Each experiences its freedom,

its power, and its responsibility as it plans, organizes, directs, coordinates, and budgets its own resources. (p. 6)

Several principals spoke of their frustration with Central Administration's rules and policies that act as barriers to the decision-making process as perceived by SBM.

There's no doubt that we're expected to do things the same old way. They're (Central Administration) calling it SBM/SDM, by getting something different and doing it a little differently, but it's still the same. The amount of flexibility that I would have is very limited. Part of it is that central office people have good intentions, but there are so many rules and regulations that govern what can be done.
(Principal A)

Principal C verbalizes an example that results in a certain degree of dissatisfaction with the present SBM decision-making process:

You cannot make budgetary and personnel policy changes with SBM the way it is in Boston. Central tells you how much money you can spend; Central tells you pretty much how to spend it. You can't make personnel and budgetary decisions. If I wanted to eliminate two custodial positions and use that money to bring on two additional paraprofessionals, I could not do it. Even if the SBM Site Council agreed and submitted a waiver to do it, it would not be granted. (Principal C)

Principal B expressed a willingness to make decisions, even when one hundred percent of the information is not available, and realizes that one should be held accountable for any decision he/she makes.

Many of the decisions that I make are based on less information than I would like to have; and I usually get more than anybody else. I'm willing to take responsibility for my mistakes.

However, I'm not willing to go against my own intuition and my own knowledge, to support somebody else's decision when I don't think it is the best decision and then be held accountable for it. (Principal B)

This feeling mirrors that offered by Sang (1980), in a paper presented at the Annual Meeting of the National Association of Secondary School Principals, when he said: "Decentralization requires strong guidance from the center through the establishment of clear, meaningful objectives for the system. Principals must then be permitted to make a reasonable number of mistakes" (p. 4).

Sang (1980) draws an interesting parallelism between a school organization and a commerce organization:

A close analogy exists between the school-based management concept and the structure of many corporations. The relationship of the branch manager or regional vice-president of the firm is quite different from that of a sole proprietor. In the latter, decisions consist of a simple unilateral directive and therein lies the real difference and challenge of school-based management. The necessity is to accomplish established goals through other individuals. School-based management cannot exist in a vacuum. (p. 5)

Budgets

In a paper presented at the Canadian School Trustees' Association Congress on Education, Caldwell (1978) quotes from a text co-authored by Garms, Guthrie and Pierce when they wrote:

These writers contend that centralized budgeting contributes to inequalities in education, since 'by utilizing abstract allocation formulas [it]

discourages schools from matching their services to the particular mixture of their students' needs'. They assert four reasons for inefficiencies with centralized budgeting:

(1) standardized budget allocations inhibit efforts to tailor programs to the special needs of students; (2) incentives are not provided for school personnel to be efficient; (3) the absence of diversity in centralized budgeting does not foster different approaches in the search for improved instructional techniques; and (4) the lack of responsibility felt by school personnel for the outcomes of programs in their schools. (p. 7)

When discussing the subject of "budget" with the principals, each echoed the same message. The message was simple--they had little or no input when it came to drawing up a budget for their school. The budgets of Boston Public Schools are generated by a formula based on a projected number of pupils.

Principal A finds difficulty dealing with equality when it comes to a formula-driven budget:

I agree with equality, but all people are not the same and not all schools have the same needs. In the past, you had more staff. I could decide if I wanted two art teachers or one art teacher and one music teacher. Today, we are cut to a bare-bone structure allowing me to provide only the required education. To really have SBM work, you have to have something you can really make a decision about without it having to be formula driven. (Principal A)

The above parallels were reported by Garms, Guthrie and Pierce in their case analysis of school-based budgeting. The other four principals stated that their budgets were also formula driven.

All five principals reported that most of their budgets were used up by contractual agreements. Any small amounts remaining were quickly exhausted purchasing supplies, texts, field trips, etc. The faculty of Principals C, D, and E raised extra monies by organizing fund-raising events.

Principal E felt that being a SBM school was an asset when it came to securing external funding through grant monies:

As a SBM school, you have more input and more group ownership in terms of where do we want this school to go. Outside funding sources view their support as not only beneficial to what the principal wants, but also involves teachers and the entire school community.
(Principal E)

Community involvement played a role at Principal D's school when a partnership was established with a large local company. Through the efforts of the faculty and the principal, unwanted furniture was donated by the large company providing an alternative method of acquiring needed school furniture.

We asked the . . . Company if there was any furniture that we could take. They had all kinds of furniture that wasn't good enough for them, but it was perfect for us. Sometimes when we don't have money for some of the things we need, if we just pool our brain power, often-times we can come up with what we need.
(Principal D)

The issue of surplus funds has been mentioned in Chapter II. The literature supports the idea that budget

surpluses should be allowed to carry over from year to year (Lindelov, 1981; Longstreth, 1977). If a system encourages you to save, and then takes what you have saved away arbitrarily, you lose your motivation (Caputo, 1980).

All of the principals stated that any unspent monies were taken back by Central Administration. Principal C stated that all of the budgeted funds need to be spent by April of each year.

Central Office takes unspent monies back. There is no incentive for coming in under budget. We've developed a system of over-spending at the site level because if you don't spend to the penny, you lose it. (Principal D)

This is contrary to all that has been reported in the literature (see Chapter II, pp. 39-40).

In the area of teacher participation in formulating a school's budget, responses varied. All of the principals favored teacher participation. The willingness to listen to faculty was considered essential. When the topic of teacher participation was addressed, Principals A, B, and C expressed a feeling of discouragement.

Why have a discussion around a conference table about what you want to do, when everything is required or mandated? Why bother. You leave the room frustrated because you have so little control. (Principal A)

The teachers in a specific cluster plan their agenda and they let me know what they need money for. They tell me their priorities and I look at the available money. I then try to see that each cluster gets an equal piece of the pie. (Principal C)

Principals D and E developed the school budget consistent with the concept of School-Based Management. Principals D and E involved the teachers and other members of the School Site Council.

We do it as a team. A copy of the available monies is given to each member of the School Site Council. We have a meeting, go over the budget, list priorities, and make decisions together. I didn't do any of the presenting of the budget, the teachers did it. (Principal D)

Staff representatives and parent representatives have to agree with the budget. So far, we have reached consensus on major budgeting items. (Principal E)

Involving principals, teachers, and other concerned community members in the budgetary process is consistent with that found in the literature (Cunningham, 1978; Guthrie, 1986; Vann, 1992).

Curriculum

By allocating individuals at the school site greater discretion over curriculum development, school staff select materials and methods and develop curricula that are most appropriate to the needs of their students (Knight, 1984).

When it came to the subject of "curriculum" during the interviews, there seemed to be a lack of consensus among the principals. All five principals stated that there existed a curriculum department at Central

Administration; however, its effectiveness had been weakened over the past few years.

Principal A's present perception of the Boston Public Schools' curriculum is:

Curriculum is right now in a state of suspended animation. We haven't had the local leadership to deal with curriculum since we've had to eliminate department heads. We haven't had the central leadership to initiate curriculum because we haven't had a Deputy Superintendent for Curriculum and Instruction for two years. Before that, we had a series of years where nothing was happening out of that department. As far as the BPS are concerned, teachers are going on their experiences and on some slight direction. (Principal A)

Principal B indicated that the faculty had the freedom to develop their own curriculum, "but they didn't know how to do it well enough for it to be consistent across the school. School-Based Management can work effectively in terms of curriculum development, if provided the opportunity, time, and training" (Principal B).

Principal D has adopted a management style resembling, "I'd rather ask forgiveness than seek permission. We've sort of taken the leadership. We've gone out on a limb here. We have not sought permission, just made changes on our own" (Principal D).

Principal D involves faculty in curriculum decisions and together they plan a curriculum that will best meet the needs of their students. Central Administration was not involved.

This approach reflects that reported in the literature when attempting to successfully implement a School-Based Management Organization (Little, 1981; Purkey & Smith, 1983).

Principal D appeared to have had a great deal of expertise in the area of curriculum development. The feeling was that if questioned, an acceptable "justification and rationale could be presented." A waiver was not sought from Central Administration because, "we feel they get lost in the red tape . . . and we want to make a change."

Principals C and E were satisfied with curriculum development at their schools. Each involved faculty in the curriculum development process. Each reviewed the curriculum; and as long as it was designed to meet the educational needs of the students, it was approved.

Personnel

It is impractical and unfair to hold a principal responsible for the effectiveness of a school if he/she has no control over who is assigned to teach in that school (Guthrie, 1986, p. 307).

Teacher assignments are made in accordance with that agreed to in the Boston Teachers' Union Contract. Central Administration sends the three most senior applicants, and one is selected from the three.

Contract rights dominate. It may be that somebody has applied to the school; but because that person doesn't have as much seniority as someone else, we can't get that person in our school. It's pretty dissatisfying.
(Principal D)

Principal C's school operates differently from other similar schools within the system. Because of the special nature of the program, Principal C sought and was granted a waiver to the customary staff selection process. The waiver enabled Principal C to consider any and all applicants who have an interest in teaching at the school.

Central Administration will send the three most senior people to most schools. To us, they'll send all applicants and we can pick the one who is best suited for our needs. At our school, seniority is waived, so whoever we feel is the best person or appropriate teacher or a team teacher, we can select that teacher--the one who best fits into our program. (Principal C)

This hiring method is compatible with that found in the literature. If school personnel are involved in making hiring decisions, they will select like-minded staff that reflect their own values, goals, and objectives (Pierce, 1978).

Principal C notes that hiring procedures have been addressed, yet no provision has been made for termination.

Once they're in, they're in (faculty). Seniority is a factor if I had to cut someone. The junior person would be cut, regardless of performance. The Union can waive entrance, but they will not waive exits. (Principal C)

All of the principals feel that Superintendent Jones is an advocate of School-Based Management.

She, Superintendent Jones, is supportive of SBM, but we don't have contracts that have been negotiated under that philosophy. School-Based Management is in the teachers' contract, the administrator's contract, but there are still many grey areas in terms of hiring and firing staff. (Principal B)

On one level, I hear the School Department desires more decentralization. They want parents and teachers more involved. Lately, they have not been aggressive about promoting SBM. I believe that part of the problem is that some schools are frustrated in terms of knowing what it is that a SBM school can do that is any different from a school that is not SBM. (Principal E)

Bullard and Taylor (1993) quote Larry Lezotte when he states, "You have to have a leader who is willing to just about institutionalize time to reflect, plan, and change. . . . If you don't have someone up at the top who believes in that, you're in tough shape" (p. 234).

Resistance to Change

A variety of sentiments, covering a broad spectrum, emerged when the subject of resistance to change was discussed. Each principal shared his/her perspective of change based on their experiences. All five clearly inferred that age and/or years teaching were not factors when measuring resistance to change.

I've seen new teachers with new ideas . . . be less willing to try some of the old ideas.
(Principal E)

I have a teacher who is fifty, and she is the most creative person on the faculty.
(Principal D)

Most people are creatures of habit. Whether you're a teacher or a fireman, people are resistant to change. (Principal C)

Principal A preferred to use the term "comfortable" to explain why an individual might resist change. Principal B believes that "successful experience has more to do with it than anything." Both Principals A and B made it clear that if a change is presented correctly to those effected, the level of resistance will be reduced substantially.

Training

There has to be a commitment of not only time for retraining but money to pay for that retraining (Bullard & Taylor, 1993, p. 234). According to Lindquist and Muriel (1989), "With the exception of the teaching and administrative staff members, the Council members will probably not enter the Council with significant amounts of expertise in educational administration, curriculum, budgeting, or personnel. Developing such expertise may require a significant amount of time and energy. Training . . . can be expensive and needs to be repeated as new members join the Site Councils" (p. 405).

Principal C stated that, "Training is key. It is absolutely necessary."

Principal A noted that "change costs money. The first year of SBM there was more money than the second."

Principal A stated that "new Council elections are held

each year. Adequate monies need to be budgeted to train newly-elected members."

Principals D, E, and C commented:

I think that training and team work are essential. Training in consensus building is essential. Training in win, win negotiations. Training in active listening, so you can understand somebody else's perspective. I really put myself at the top of the list of people who had to learn all those things. Better plans can be formed by listening. The strength of SBM is that it creates a forum within the school, that brings together the parents, the principal, and the teachers. You have your faculty center, that's generally just teachers. You have the inservice, that's generally principal and teachers. You have your school parent council, that's generally the principal and parents. But it is this forum, SBM, that brings all three groups together. We've all discovered and learned that we all have different perspectives and it's by sharing those different perspectives that we learn.

(Principal D)

Training is most critical to the people on the SBM Council. It is critical that they have direct access to training. (Principal E)

Training should be for parents, staff, teachers, school site administration, central administrators, and union negotiators.

(Principal C)

The above parallels Herrick (1985) who states: "If any group, such as department heads, students, support staff, or parents, or any organizational level is left out, the organization will be polarized instead of reconciled" (p. 55).

All five of the principals concurred that the overall purpose of any training session should include

communication skill development and the fostering of an "Esprit de Corps" attitude among all involved parties.

Trust

All five principals agree that trust among all involved parties is of fundamental importance to the successful implementation of a SBM Organization.

Trust is an important factor. (Principal B)

School-Based Management is a group of different people with diverse perspectives coming together to arrive at a consensus on an issue to best serve the kids. Those people (Central Administration) with positions of power have to trust the decisions made by those at the school site; therefore, trust is necessary--absolutely necessary. (Principal C)

The principal/teacher relationship is an area where trust can become strained. Each principal stated that they or their delegates were responsible for evaluating teacher performance. A frequently quoted author, Goodlad (1983), says that, ". . . we are learning about the importance in the principal/teacher relationships. What are the chances of establishing a bond of trust between the principal and teachers if the principal is to be both evaluator and judge of these teachers? Very little, I fear" (p. 303). Goodlad (1983) suggests that, "The only models for evaluating teaching that have proved reasonably effective to date are those of peer review" (p. 303).

When asked what dimension of SBM has been least difficult to implement, statements included the following:

I don't find it difficult to sit down and work with people. (Principal A)

To get people to agree that they should have input. (Principal B)

Affecting change within the (school) building. (Principal C)

Getting together with people, meeting and sharing. I don't like the feeling of, I'm the principal, in the corner of the office, masterminding what goes on in the school. (Principal D)

We have not had difficulty in this school recruiting people who want to be involved. (Principal E)

Responses to the question, "Do you feel that the (school) is better or worse as a result of implementing SBM/SDM?" included:

We are better off. It's a positive label. (Principal A)

I think the (school) has improved under SBM/SDM, but I question whether or not we wouldn't have gone further under a benign dictatorship. (Principal B)

Nothing has changed, business as usual. We are not better; we're not worse. (Principal C)

It's tremendously different now. You can see it in the programs we have now, that we didn't have before. Our after-school program is a result of SBM/SDM. Parents told us, '. . . this would make us choose the school.' People (teachers) here (at the school) didn't really see that as a valuable program. However, when the parents presented it, that changed their minds and they were willing to try it. (Principal D)

Definitely better. Anytime you involve the maximum number of people, directed towards the organization's goals, the more successful that organization will be. (Principal E)

Principals were asked, "If you were given the opportunity to begin over, what aspects of the implementation process would you do differently?"

We would have been better off if we started right away. (Principal A)

I would impose my authority more regularly, because I resisted imposing my authority to support the idea that people's input was valued and should be considered. I would speak out sooner. I would restruct SBM, specifically, for identifying and solving problems. That would be under my full auspices. The SBM team's job would be to identify and document problems that exist and to generate solutions as to how to solve those problems. (Principal B)

The training piece. Involve the Union negotiators and the Central Administration in the training process. The Union and the Administration have the power to make or break decisions that are made by the people in the building and they have never been in the building. They don't know the kids, they don't know the teachers, and, yet, they can veto a request or waive a decision that comes out of the building. (Principal C)

If I had to do it over, I would not rely so heavily on the formula outlined in the SBM/SDM contract. The formula outlines a certain racial mix. Initially, some grade levels were not represented; this caused problems. When we changed the structure of the SBM team to represent all grade levels, the problems dissipated. (Principal D)

I wish I could have tried it the first year, but the staff weren't ready for it. [Principal E's first year at the school coincided with the first year of SBM/SDM--1990.] I think the staff had to get comfortable with me here. My first year here helped to develop a sense of trust. Trust is very important. (Principal E)

C H A P T E R V

PRINCIPALS AND TEACHERS: AGREEMENT AND CONFLICT

Introduction

The purpose of this chapter is to focus upon those areas of consensus and disagreement between the principals and teachers using the data collected from interviews and surveys conducted at five City of Boston schools. The surveys were distributed at the same schools where principal interviews were held as reported in Chapter IV. It should be understood that this is not a study designed to contrast principal and teacher perceptions within the same school. It is merely an attempt to identify those factors/elements that need to be considered and addressed before attempting to implement a School-Based Management/Shared Decision Making (SBM/SDM) Organization. A general consensus of opinion is being sought from those individuals who have knowledge and experience in the area of SBM/SDM. Perceptions obtained from interviewing principals will be incorporated with those derived from teacher surveys.

All of the participating principals and teachers have been working in a school-based management environment for one or more years. Two hundred and sixteen teacher survey

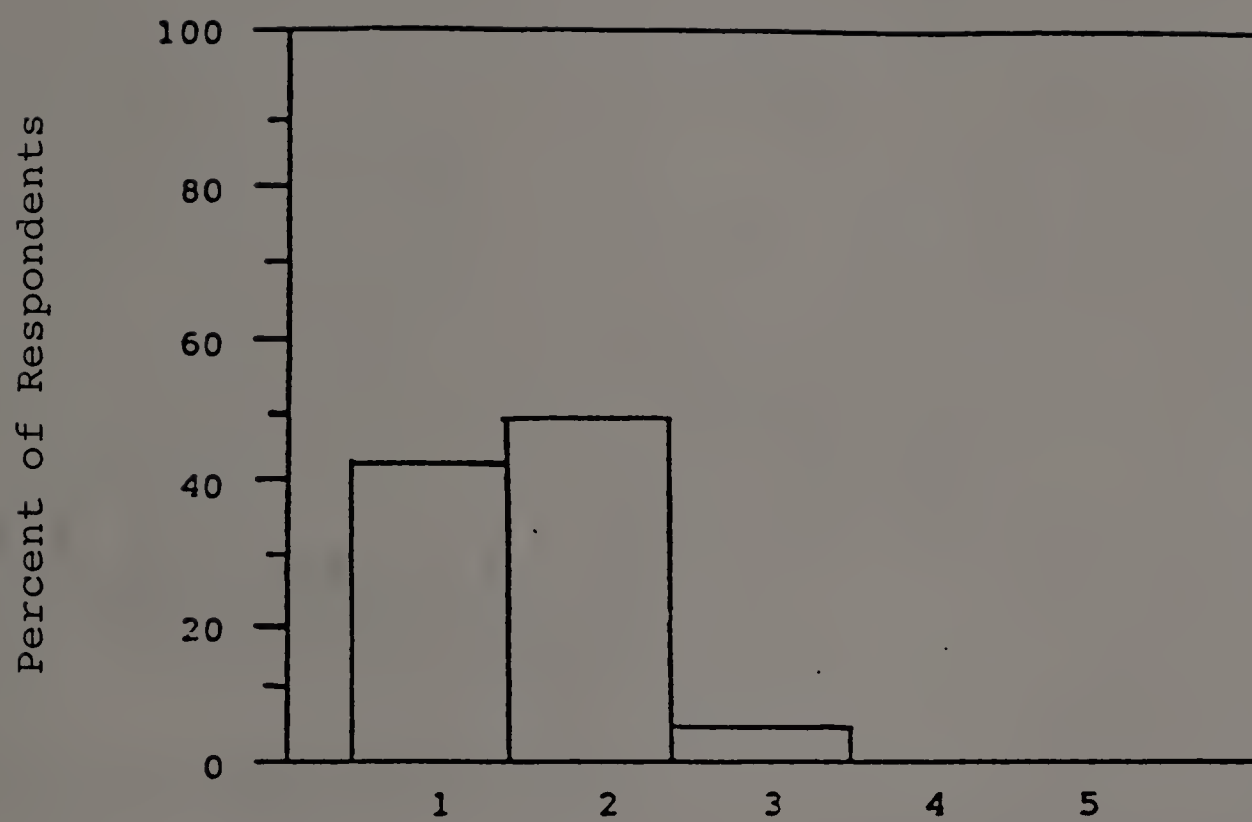
forms were distributed. One hundred and fourteen (N = 114) forms were received from school-based teachers in the five schools studied. In some cases, item responses did not equal 114, as respondents did not choose to answer all of the questions. A fifth category was added, "No Response", to account for the difference. Twenty-one of the participants responded to the invitation to add their personal comments. A summary of the teacher survey data can be found in Appendix F. The appendix has been provided to give the reader a capsulated overview of the survey.

Teacher Survey Results

This section will present the information derived from teacher survey responses to the eleven close-ended questions. A degree of consensus among teacher responses, principal interviews, and reviewed literature was sought to confirm or deny those basic elements needed to implement a successful School-Based Management (SBM) Organization.

Budgets

Participants were asked to what degree do they feel teachers should participate in budget decisions. Ninety-six percent of the teachers circled "Strongly Agree" or "Somewhat Agree" to this statement (see Figure 2). One possible reason for such a large majority agreeing that budget participation is important may be, as one teacher



(N = 114)

- 1 = Strongly Agree
- 2 = Somewhat Agree
- 3 = Strongly Disagree
- 4 = Not At All Important
- 5 = No Response

Figure 2. Teachers should participate in budget decisions.

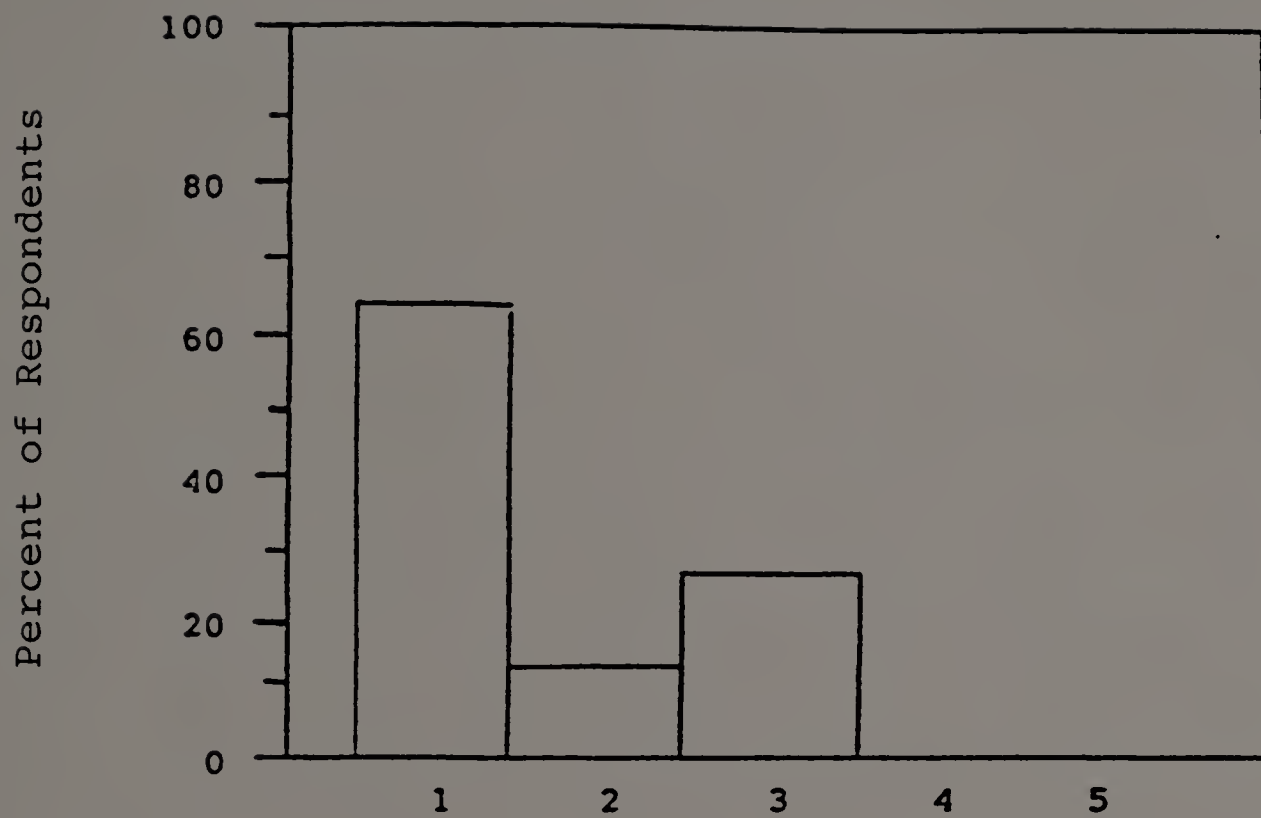
stated, "The budget converts the educational plan into dollars. You cannot have a plan unless you have the resources to implement it." Another teacher noted, "Consensus decision making and budgeting is the ultimate solution in times of scarce resources." A third teacher expressed the belief, "Knowing what monies are available and how they are spent is helpful to all staff." According to the principals interviewed, each solicited input from their faculties, however, all pointed out the fact that his/her budget is primarily formula driven and mostly absorbed by predetermined contractual agreements. A small amount of money, based on a per pupil formula, is provided by Central Administration. Principal A stated, "You get seventy-two dollars per student assigned. . . . Out of that pool of money, I get to buy books, materials, supplies, pay institutional dues to the New England Association of Schools and Colleges. . . . I have to pay for the xerox machine and science supplies, art supplies, the paper for the office. After you subtract all those formula-driven items, you can split what's left for library books or hardware for the computer." When asked, "Who makes these decisions?" Principal A said, "I ultimately make them, but with input from people, e.g., what do you need, why do you need it, etc." When asked, "To what degree do you feel that teachers should be involved with the budget?" Principal B responded, "I would want

teachers, other administrators, parents, and support staff all involved." Principal E inferred, "We do have a say so in terms of our books and materials, but half of that goes for paper and pencils. . . . The reality is, there isn't that much autonomy with the budget. What we really have done is to seek external grants." Based on interviews with principals, there is agreement that teachers should participate in budgetary decisions.

Curriculum

A majority of the teachers felt that they should participate in curriculum decisions (see Figure 3); however, twenty-five percent indicated that they "Strongly Disagree". Although this does not represent a majority, it does depict a significant number who disagree. This may be due in part to the state of flux the Central Office Curriculum Department has been experiencing over the past few years. The twenty-five percent may feel they are already participating, when left to decide course content, based on experience.

In Chapter IV (p. 82), Principal A described the Curriculum Department as currently, ". . . in a state of suspended animation." Also, according to Principal A, not only is the Central Office in a state of limbo, but curriculum leadership at the local school site level has been absent ". . . since we've had to eliminate department heads."



(N = 114)

- 1 = Strongly Agree
- 2 = Somewhat Agree
- 3 = Strongly Disagree
- 4 = Not At All Important
- 5 = No Response

Figure 3. Teachers should participate in curriculum decisions.

Previously noted in Chapter II is Lindelow's (1981) belief, "In a school-based management system, the school site had near total autonomy over curriculum matters. Within broad outlines defined by the board, the schools are free to teach in any manner they see fit" (p. 58).

After reviewing the information provided by principals and teachers, it is difficult to arrive at a consensus of opinion that would accurately reflect Lindelow's understanding. One teacher participant wrote, "Ownership of programs and full disclosure is what can create change."

Personnel

A majority of the respondents believe that teachers should participate in personnel decisions (see Figure 4). White (1989) quotes Marshak and Thomason as saying:

Participation in staffing decisions allows principals, teachers, and other school staff to determine the distribution of full-time and part-time positions, and the number of regular teacher, lead teacher, and teacher-aide positions. School staff are allowed to make trade-offs among instructional aides, vice principals, counselors, and janitors. (pp. 2-3)

Several of the principals interviewed expressed frustration when selecting and deciding the numbers and kinds of personnel assigned to a school by Central Administration. Principal C provided an example of the type of personnel decision that should be afforded under a SBM/SDM Organization when he remarked, "If I wanted to eliminate two custodial positions and use that money to bring on two

additional paraprofessionals, I could not do it" (Chapter IV, p. 77). According to the principals interviewed, teachers surveyed, and the literature reviewed, all are in agreement that teachers should participate in the selection of personnel at their respective schools (see Figure 4).

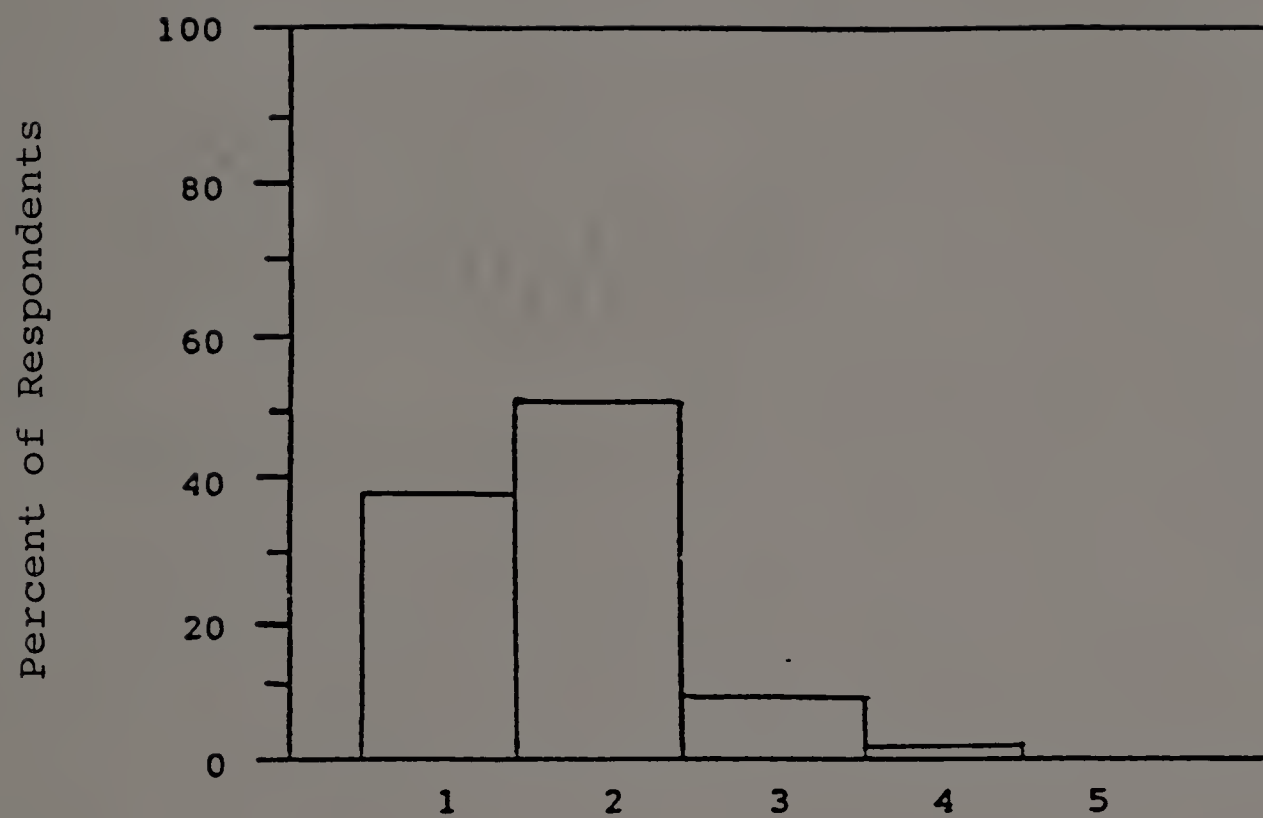
Trust

An overwhelming number of participants indicated that trust between all involved parties is a crucial element when attempting to implement a SBM/SDM Organization. Eighty-seven percent circled "Strongly Agree" and nine percent circled "Somewhat Agree" (see Figure 5).

The large number choosing "Strongly Agree" clearly emphasizes the importance of trust among all involved parties of any SBM/SDM Organization. Principals C and E clearly verbalized the sentiments of the other principals when they used the terms, "absolutely", "without a doubt", and "key", to describe the need for trust among all involved parties.

With such a clear consensus, it would seem that those involved would have little trouble in relating this critically-important factor to a SBM/SDM environment.

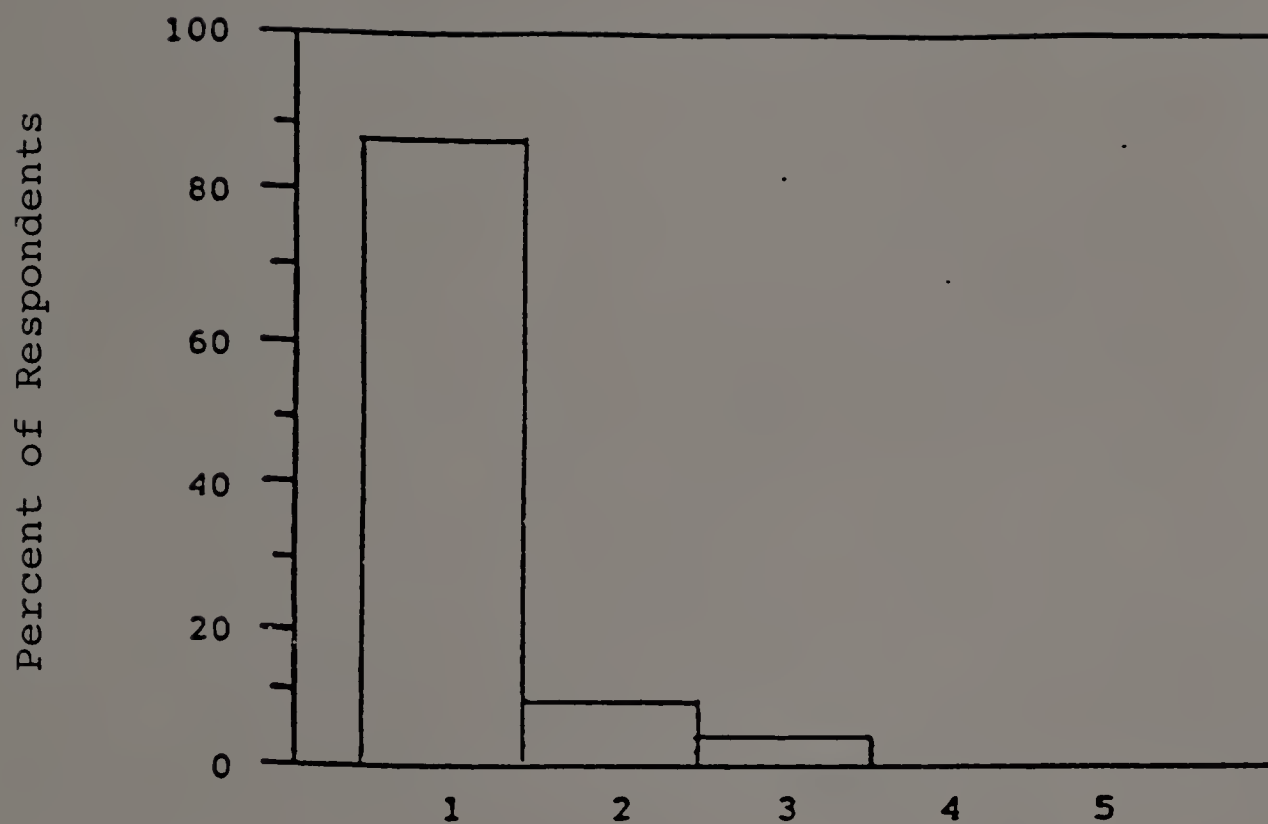
One of the reasons Lewis (1989) lists as to why School-Based Management (SBM) fails is, "lack of sufficient internal trust between principal and teachers" (p. 36). In a paper presented at the Annual Meeting of the American



(N = 114)

- 1 = Strongly Agree
- 2 = Somewhat Agree
- 3 = Strongly Disagree
- 4 = Not At All Important
- 5 = No Response

Figure 4. Teachers should participate in personnel decisions.



(N = 114)

- 1 = Strongly Agree
- 2 = Somewhat Agree
- 3 = Strongly Disagree
- 4 = Not At All Important
- 5 = No Response

Figure 5. Trust among all involved parties (school board, superintendent, principal, teachers, students, parents) is critical to the successful implementation of SBM/SDM.

Educational Research Association, Mutchler (1990) refers to a study done by the Southwest Educational Development Laboratory (SEDL) on barriers to the successful implementation of SBM/SDM. He quotes, ". . . a fourth barrier, lack of trust, that is encountered as participants grapple with the consequences of changing power and assuming new roles and responsibilities. The building of new roles and relationships required for shared decision making can uncover the existence of mistrust in every relational permutation possible" (p. 8).

Teacher perceptions relating to trust that surfaced as a result of the Southwest Educational Development Laboratory Study included:

- The district was 'not serious about shifting decision-making authority to the school sites.'
- They (Central Administration) have already decided what they are going to do anyway.
- There are 'hidden agendas (to bring) to the surface' (Mutchler, 1990, p. 8)

In this study, teacher participants offered their perceptions of SBM/SDM based on their experiences involving the element of trust:

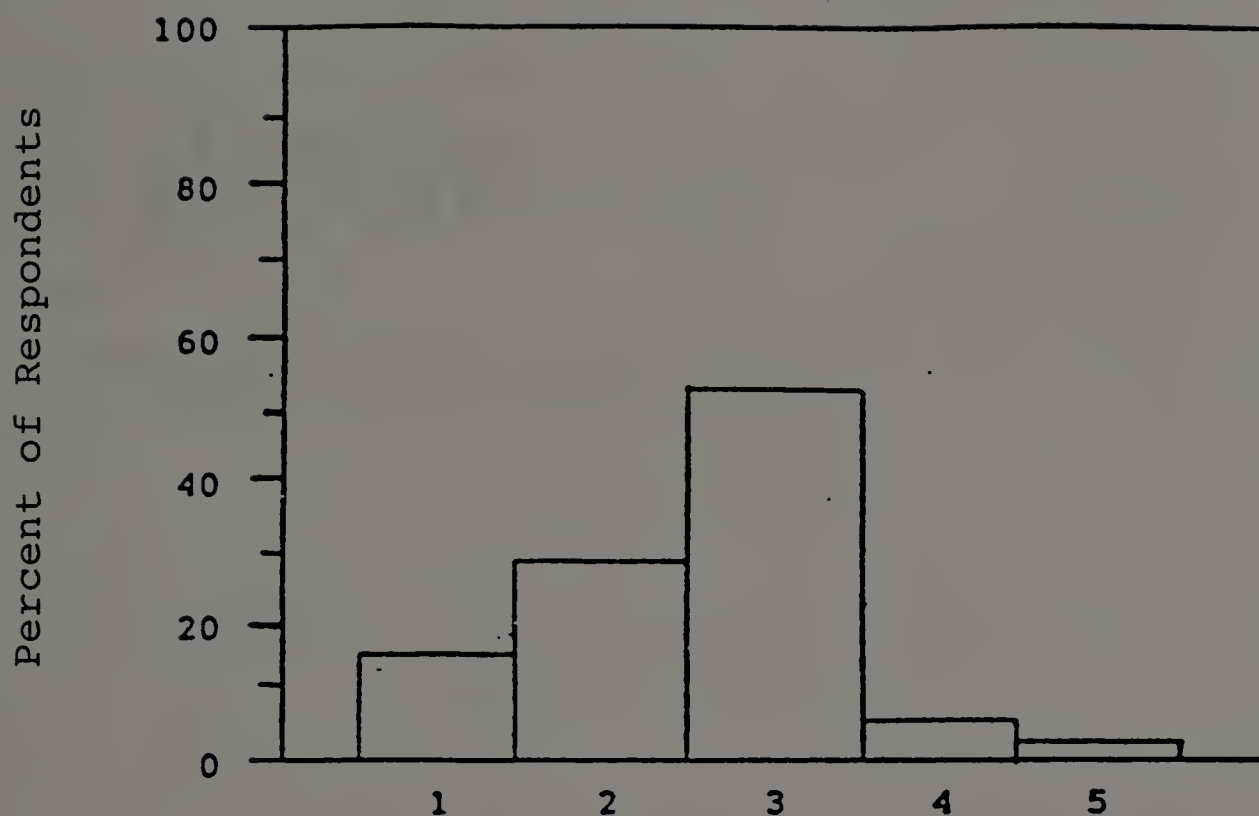
- SBM doesn't seem to work. Ultimately, the decisions are made by the principal. I would vote to discontinue SBM because 'bottom up' hasn't really worked.
- School-Based Management is fine as long as teachers realize that the principal is still the educational leader.

- More autonomy is needed. Still too much control comes from outside authorities, such as Central Administration.
- My experience with SBM/SDM was initially encouraging and hopeful of organizational change. In actuality, I experienced manipulation and deceit from the Administration in its attempt at so-called educational change. The Administration makes the important decisions, while teachers are involved with insignificant day-to-day enforcement of policy! I would prefer open and above-board authoritative leadership instead of the current strong-armed SBM.
- At the beginning, I was enthusiastic; but after I participated in some of the meetings, I realized that (SBM/SDM) is another game of the system.

All stakeholders must develop and nurture trust in each other and in the philosophy itself. There must be genuine desire to cooperate and to make School-Based Management work (Lewis, 1989, p. 22). Trust is critical to the successful implementation of SBM (Prasch, 1990, p. 7).

Accountability

When asked whether the principal should be solely accountable for all decisions regarding budget, curriculum, and personnel, fifty-three percent "Strongly Disagree", while twenty-nine percent circled "Somewhat Agree" and sixteen percent circled "Strongly Agree", indicating clearly a lack of consensus among surveyed teachers (see Figure 6).



(N = 110)

- 1 = Strongly Agree
- 2 = Somewhat Agree
- 3 = Strongly Disagree
- 4 = Not At All Important
- 5 = No Response

Figure 6. The principal should be solely held accountable for all decisions regarding budget, curriculum, and personnel.

Principal B stated:

I think the biggest flaw with SBM is that there is no distinct idea among SBM teams that their power is limited by the fact that the principal is ultimately accountable not the team. In the current organization of SBM as it exists, the team can take risks without risk. The principal is really the only one taking risks because the principal is the only one accountable for the success or failure.

One teacher participant, who circled "Strongly Disagree", expressed the notion, "Shared decision making involves shared accountability."

Mesenburg (1987) supports this belief when he writes:

It (SBM) is based on the premise that moving the locus of control and decision making closer to the level of implementation will result in parents and teachers sharing in an increased accountability for student learning. (p. 1)

Knowing who is going to be accountable for what, and who is going to be accountable to whom in a SBM/SDM Organization, is an extremely important factor.

Pierce (1980) believes that: ". . . a number of specific changes are needed. Teachers should be given more discretion over classroom activities and be held accountable for their students' performance. Working with parents, students, and administrators, teachers should be given more responsibility for program planning, development, and evaluation. Whether teachers participate through faculty councils or teaching teams, they should be involved directly in program decisions since they

are the ones who must ultimately implement those programs" (p. 34).

This important implementation element has been previously discussed in Chapter II.

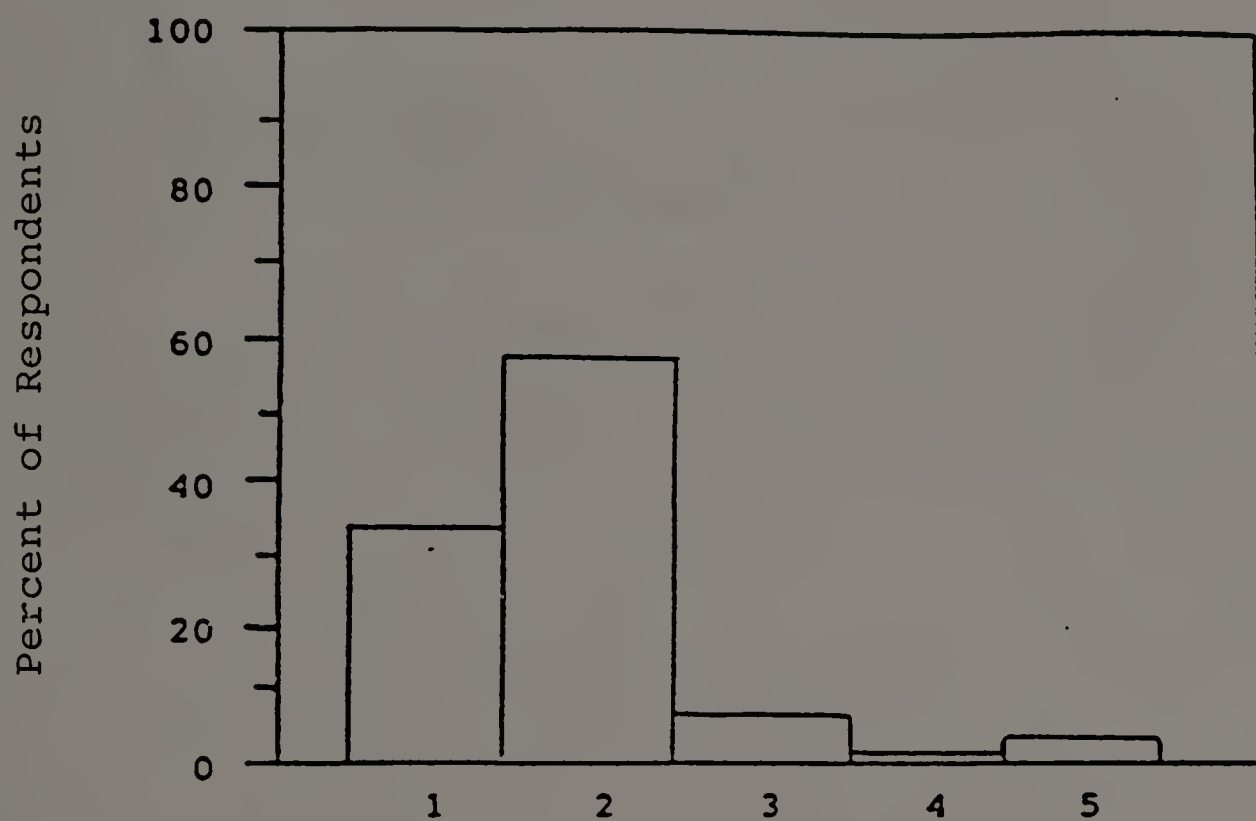
Commitment

Ninety-two percent circled "Strongly Agree" or "Somewhat Agree" that commitment to organizational goals is increased as a result of implementing SBM/SDM (see Figure 7). A majority of the respondents, fifty-eight percent, indicated that commitment to organizational goals increased. Unable to follow-up and question teacher participants (Limitations of the Study, see Chapter I, p. 27), one can only conjecture as to why such a large percentage chose "Somewhat Agree" as being attributable to past experience.

One teacher participant, who chose not to respond to the statement, offered the following comment:

I think that our SBM/SDM has empowered this staff to restructure the school to take ownership of different initiatives. It has given the staff a greater legitimacy with Court Street (Central Administration) and the greater school community. It appears that when SBM endorses something, school officials seem to listen more.

This parallels Mesenburg's (1987) observation. When discussing ways that the school site may be more successful at planned change, he states:



(N = 111)

- 1 = Strongly Agree
- 2 = Somewhat Agree
- 3 = Strongly Disagree
- 4 = Not At All Important
- 5 = No Response

Figure 7. Commitment to organizational goals is increased.

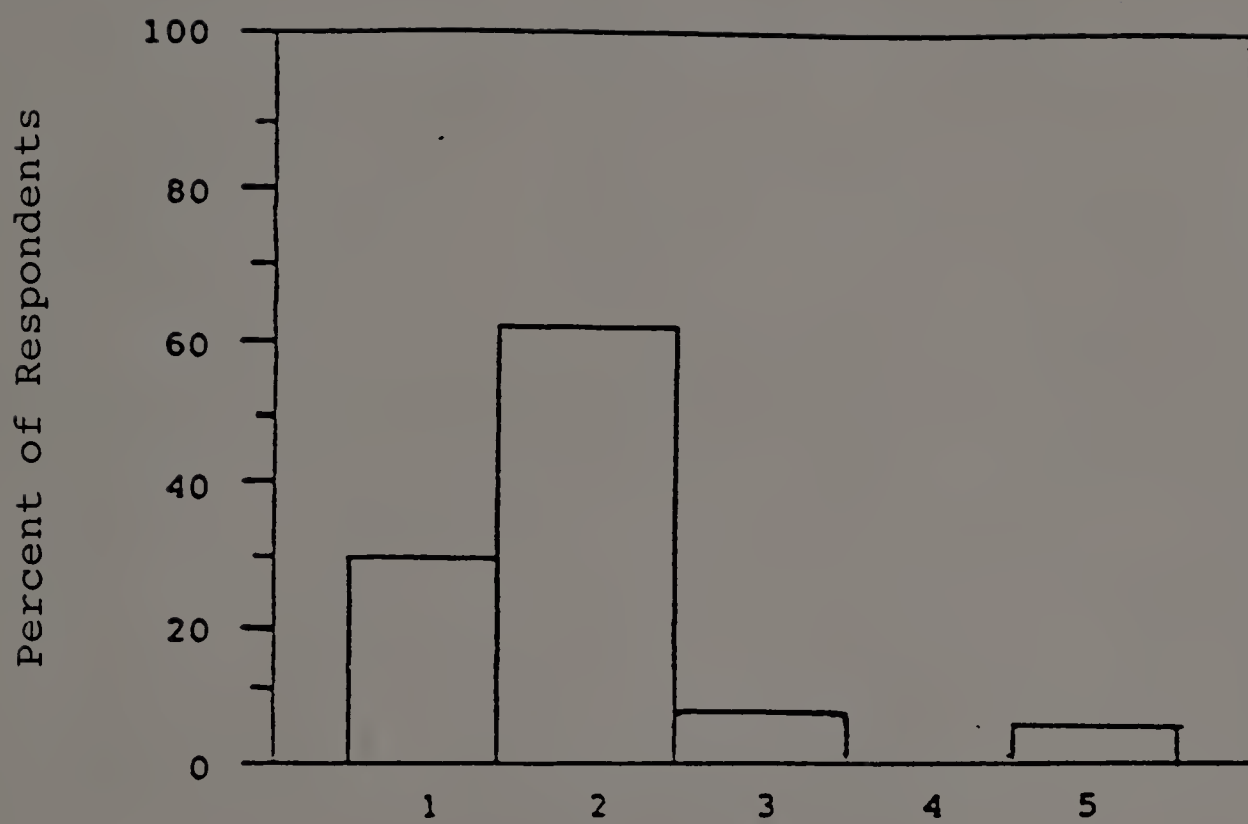
Faculty should be involved because they are the ones making behavioral changes and consequently they must be aware of the changes which result. In addition, involvement in decision making results in greater ownership and commitment to the outcomes. (p. 3)

It (participative management) allows those who will be affected by a decision to participate in its deliberation for the purpose of influencing decisions and building commitment to them (Lewis, 1987, p. 47).

Resistance to Change

A majority of the teacher participants indicated that resistance to change is diminished under a SBM/SDM Organization. Ninety-two percent circled either "Strongly Agree" or "Somewhat Agree". The largest number of "No Response", seven percent, were registered for this question (see Figure 8). If the "No Response" and the "Somewhat Agree" categories are combined, sixty-eight percent, it could be perceived that a certain degree of resistance may be prevalent. However, the sixty-two percent, "Somewhat Agree" category, indicates that resistance exists to a lesser degree under SBM.

Principals interviewed reinforced the perceptions of teachers regarding resistance to change. Overall, the principals interviewed admitted that there existed a certain degree of resistance to change on the part of their faculties. This coincides with that reported by the teacher survey. Principal A said, "Resistant is not the



(N = 107)

- 1 = Strongly Agree
- 2 = Somewhat Agree
- 3 = Strongly Disagree
- 4 = Not At All Important
- 5 = No Response

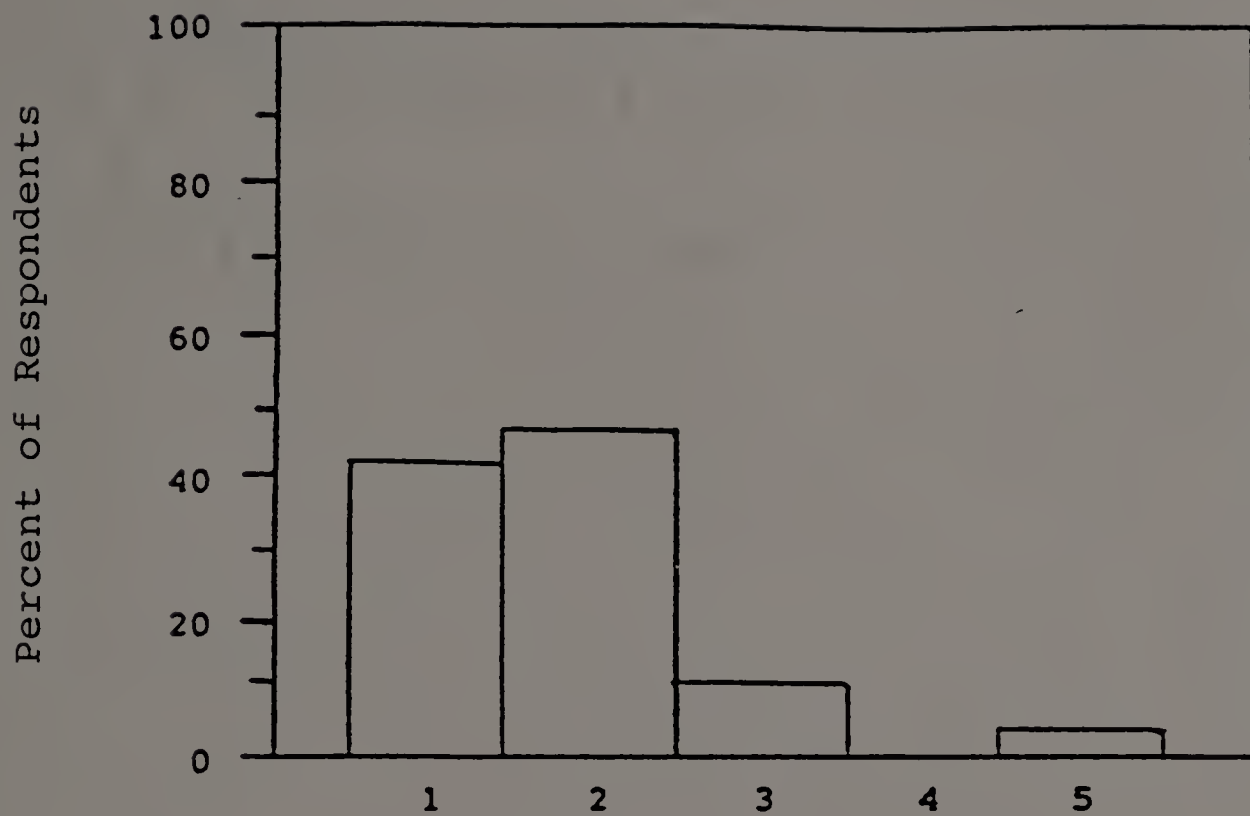
Figure 8. Resistance to change is diminished.

right word." A more accurate expression would be ". . . uncomfortable doing things a certain way." Principal B concurs with Principal A when stating, " I think successful (past) experience has more to do with it (resistance to change) than anything." In addition, ". . . people have a natural fear of change." Principal B also believes this fear can be overcome ". . . with education about the change." Principal C expressed the feeling, "Most people are creatures of habit," and believes that, "the number of years that one has been teaching may be a factor. A teacher of twenty-five years would be more resistant (to change) as opposed to somebody new who is trying to prove him/herself." Principal D does not share Principal C's belief that age is a factor. Principal D stated, "I believe that having a mixed age group of teachers is an important factor when dealing with change."

According to Lewis (1989), School-Based Management is an effective vehicle for combating resistance to change. When teachers participate in effecting the change, they can more readily accept it (p. 24).

Morale

A majority of the teachers responding to the survey felt that morale is increased as a result of implementing a SBM/SDM Organization. Eighty-nine percent circled either "Strongly Agree" or "Somewhat Agree" (see Figure 9). The



(N = 111)

- 1 = Strongly Agree
- 2 = Somewhat Agree
- 3 = Strongly Disagree
- 4 = Not At All Important
- 5 = No Response

Figure 9. An increase in morale is experienced by participants.

teacher survey supports the perceptions expressed by principals and that reported in the literature.

Neal, Bailey, and Ross (1981) state, "The basic consideration about morale is to determine the degree of negative and positive attitudes that employees or clients have about their organization" (p. 214). Teachers responding to the survey indicate that morale is increased by SBM/SDM. Prasch (1990) notes that a presumed advantage of implementing SBM is,

Staff members feel better about their organization and its leadership when they know their opinions are valued, sought, and used. This provides the opportunity to attract and retain higher quality personnel. (p. 4)

Abraham Maslow's perception of motivation is centered in his famous hierarchy of needs theory in which satisfying unsatisfied needs can act as motivators (Robbins, 1987).

Principal C believes that in order to have good morale, an "esprit de corps" environment must exist within the structure. Principal B states that "an esprit de corps type of atmosphere must be developed so that people realize that we are all in this together. No one single body or faction should supersede the interest of the whole group."

Sarason (1973) recognizes this problem. When discussing change, he says, "It will be . . . axiomatic in a theory of change that the introduction of an important

change does not and cannot have the same significance for the different groupings (Central Administration, principal, teachers, parents, etc.) comprising the setting, and that one consequence is that there will be groups that will feel obligated to obstruct, divert, or defeat the proposed change" (p. 59).

Any one of the aforementioned groups could potentially create a morale problem that may be detrimental to an "esprit de corps" environment.

Additional comments offered by teacher participants that may indicate the existence of a morale problem include the following:

- Many studies in industry have shown that shared decision making, both in the office to the factory floor, have shown increase in morale, productivity, and quality of workmanship. However, this must be set up correctly not in name only.
- For any school-based model to work, it must be empowered. Having a mechanism for change, which is constantly vetoed or not allowed to implement the will of the group, is a charade. The superintendent/school committee must allow the SBM to implement the decisions.
- SBM/SDM is a farce unless the schools involved can influence the School Department when making decisions. If the School Committee/School Department keeps making decisions affecting SBM/SDM Schools without involving those schools, let's forget it!

Absenteeism

Twenty-four percent of the respondents circled "Strongly Agree", and fifty-three percent circled "Somewhat

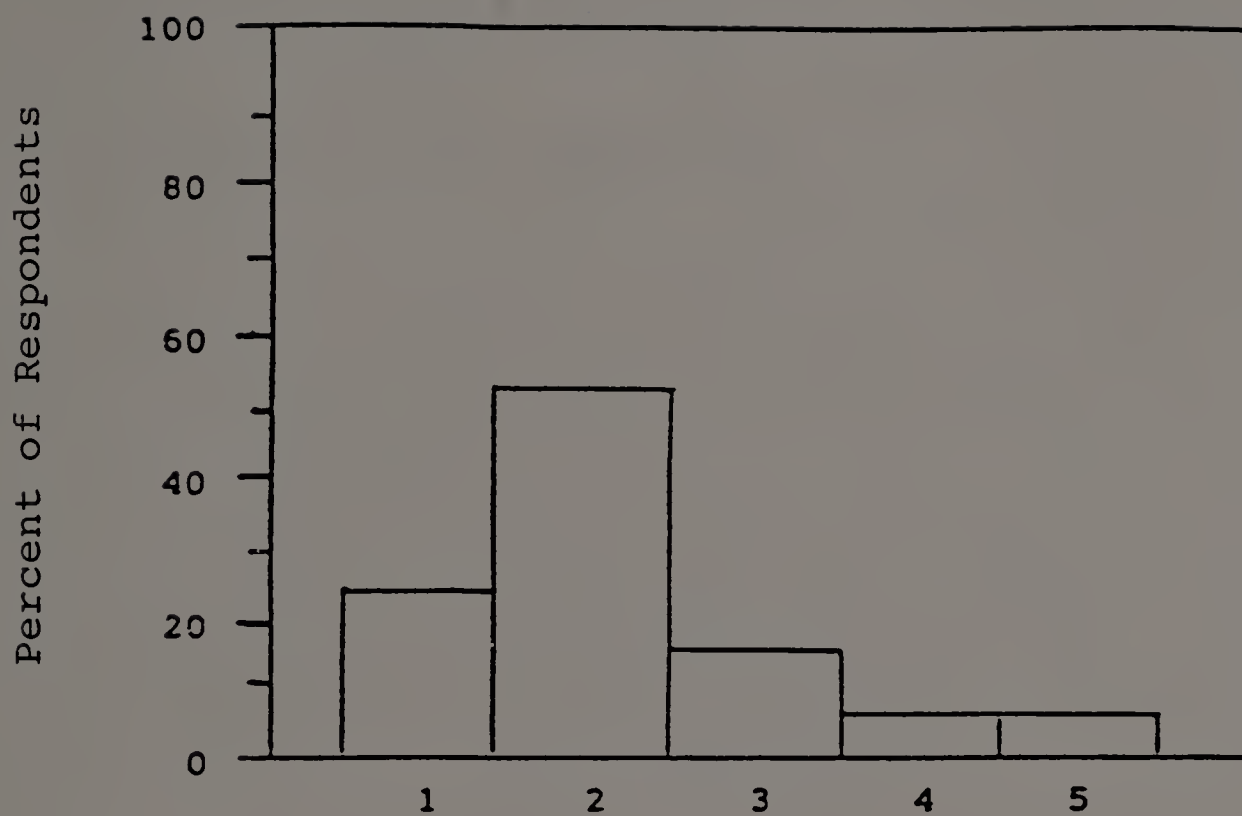
Agree", indicating that based on their observations and perceptions, absenteeism was significantly reduced as a result of implementing a SBM/SDM Organization. Fifteen percent circled "Strongly Disagree" with the statement, indicating that based on their experience, SBM/SDM had no effect on teacher absenteeism (see Figure 10).

One participant, who noted that he was a School-Based Management member, chose not to respond to the statement, however offered the following comment, "SBM is too new to be able to verify this point quantitatively." He further suggests, "At some point (in the future), a study might be in order comparing SBM Schools with non-SBM Schools."

An examination of individual school teacher attendance records would provide the numerical evidence to support or negate this assumption. According to this survey, teachers generally associate teacher absenteeism as being reduced as an outgrowth of SBM/SDM.

Creative Programs

The involvement of teachers in the decision-making process is supported by researchers resembling Robert Fox, who reports that teachers who feel they are influential in decisions are more innovative and more likely to share their ideas with other teachers (Marburger, 1985, p. 28). Owens (1987) observes, "Participation . . . is mental and emotional involvement. This is the notion of (or 'buying



(N = 108)

- 1 = Strongly Agree
- 2 = Somewhat Agree
- 3 = Strongly Disagree
- 4 = Not At All Important
- 5 = No Response

Figure 10. Teacher absenteeism is reduced.

into') decisions. Such involvement is motivating to the participant, and thus it releases his or her own energy, creativity, and initiative" (p. 284).

A majority of the responses of "Strongly Agree" or "Somewhat Agree" (ninety-three percent) indicated that more creative programs are developed under a SBM/SDM Organization (see Figure 11). This large percentage of agreement supports that reported in the literature and that expressed by the principals.

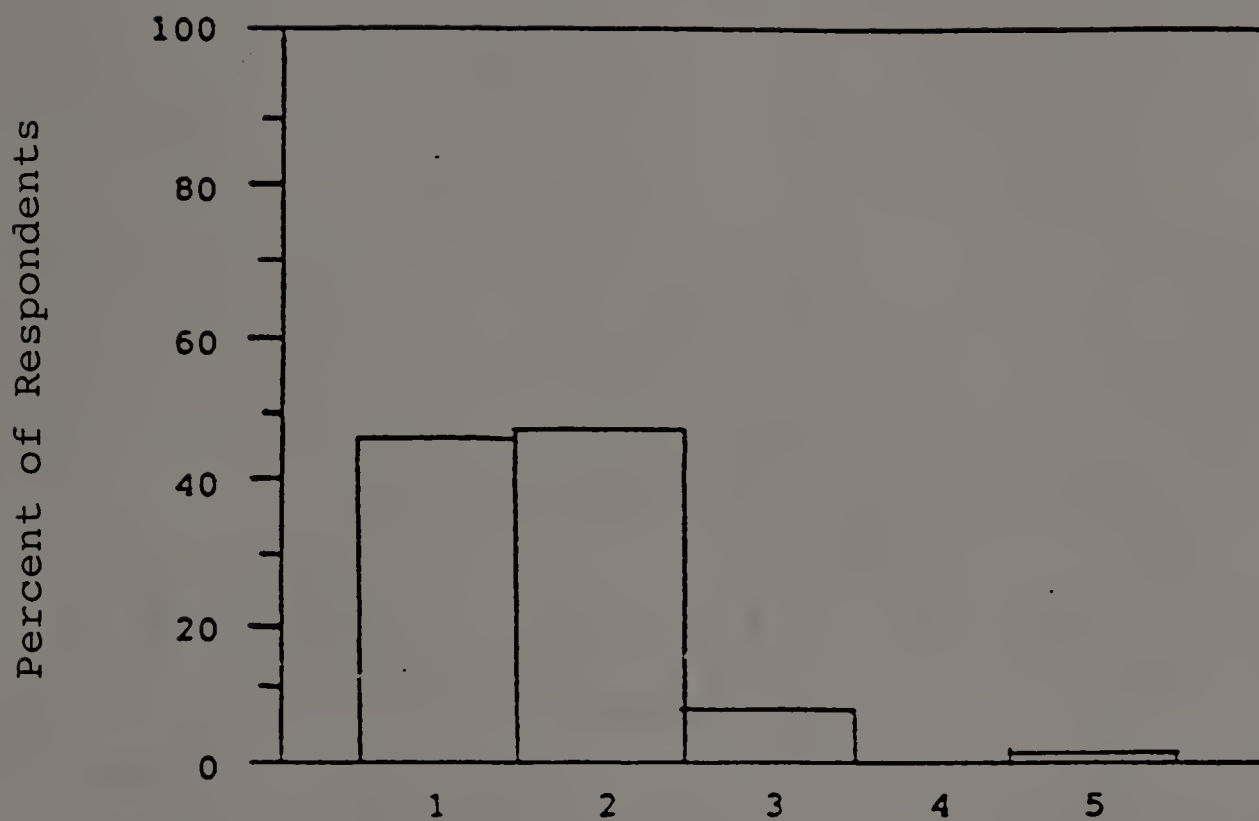
Principal D states:

There is far more creativity (under SBM/SDM) if people really care and they really want to try something. All they have to do is come up with a plan and present it to the School-Based Management Team. If they can answer the tough questions, their plan will be approved. Teachers are coming forward now for the first time with these terrific proposals, finding support of their colleagues, and realizing they can change things.

Training

A preponderance of those participating in the survey indicated that they "Strongly Agree" or "Somewhat Agree" (ninety-seven percent) that all involved parties should participate in one or more training sessions (see Figure 12).

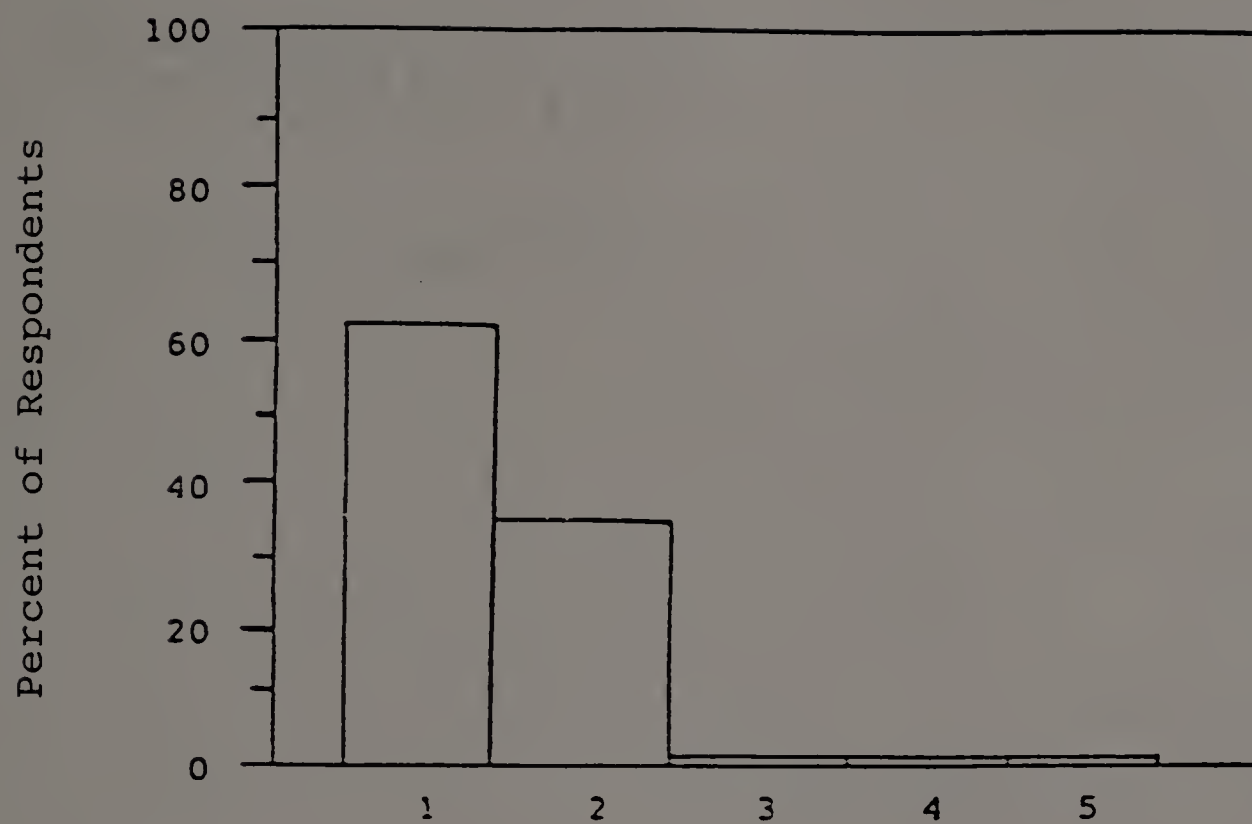
One participant wrote, "After attending several training sessions, I think it is crucial for participants to understand SBM." Another teacher commented, "Training is key. Without it, the understanding of consensus is



(N = 112)

- 1 = Strongly Agree
- 2 = Somewhat Agree
- 3 = Strongly Disagree
- 4 = Not At All Important
- 5 = No Response

Figure 11. More creative programs are developed.



(N = 113)

- 1 = Strongly Agree
- 2 = Somewhat Agree
- 3 = Strongly Disagree
- 4 = Not At All Important
- 5 = No Response

Figure 12. All parties should participate in one or more training session(s).

misunderstood. This undermines the entire concept of 'bottom up' decision making. People get frustrated, discouraged, and the system (SBM) dies by default. Training should be ongoing. Shared decision making is a hard thing to do."

This perception supports the views expressed in the literature and reported by the principals. Recognizing that most of the business done by SBM Teams is accomplished in meetings, Marburger (1985) states:

Effective meetings are more likely if the participants have had an opportunity to learn some of the basic principles of group dynamics or human relations training together in a workshop setting. (p. 54)

White (1989) notes:

All levels of staff must be trained. SBM establishes new lines of communication between administrators and teachers, professionals and non-professionals, and school staff and school board members. Without proper training, administrators, parents, students, and school staff may find it difficult to meet new responsibilities and adjust to new roles. (pp. 6-7)

Principal D comments, "I think that training and team work are essential. Training in consensus building is essential. Training in active listening so you can understand and appreciate individual perspective is essential."

Principal E states, "Training is important for the entire school staff. It's most critical for the individuals serving on the Council."

Principals A and C felt that the overall and specific goals of a SBM/SDM Organization should be emphasized during any training program. Each expressed the belief that all members of the school community should be involved in the training process, including union representatives.

Principal B believes, ". . . a well-trained principal can run a school on par or better than the typical SBM School can operate. I don't see the kind of training and experience being offered to ten, twelve, or fifteen individuals of a school, that would allow that group to be able to function consistently at a decision-making level, that's anywhere close to the typical principal."

When discussing teacher confidence and resistance to change, Principal B expressed the idea, "Confidence isn't a question; the key is staff development and training. Once you erase confidence as an issue, then training is the only roadblock for any kind of change."

C H A P T E R VI

SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

The final chapter of this study of School-Based Management is divided into three major sections. The first section summarizes the research discussed in the previous chapters. The second section examines the outcomes of that research based on themes that emerged from analyzing the interviews with principals, teacher surveys, and literature reviewed. Recommendations based on the research is presented in the third section. In addition, the researcher presents potential areas for further study.

Summary

This study focused on those elements that must be considered before implementing School-Based Management/Shared Decision Making (SBM/SDM) within an urban school system. Although this study concerned only one urban school system, the Boston Public Schools, the goal was to identify those key elements that are perceived to be universally applicable to any school system seeking to redesign its organizational structure using SBM/SDM as a model.

In 1989, the Boston Public School System introduced SBM/SDM as a means of effecting school reform. It began with eighteen schools, that have expanded to thirty-six

schools, encompassing all three educational levels. The Administration at that time expressed an interest in allowing some decisions in the area of budget, personnel, curriculum, and the selection of other resources to be transferred to individual school sites--the premise being that decisions made at the school level would be more responsive to differing needs and wants of local principals, teachers, staff, students, and parents.

An intense literature search was conducted by the researcher to determine those key elements that constitute a School-Based Management Organization. After completing a review of the related literature, several open-ended questions were formulated to be used as a guide when interviewing principals at five randomly selected schools. In addition, eleven statements relating to those characteristics frequently associated with the implementation of a School-Based Management Organization were presented in a teacher survey questionnaire. A section for additional comments was provided at the end of each questionnaire.

One hundred and fourteen (N = 114) teachers responded to the questionnaire. This represented a fifty-three percent return rate. Respondents were from the five schools where principal interviews were conducted. Data collected from the interviews and surveys were collated by topic in an effort to identify key elements as perceived by the participants. In addition to those areas of agreement or

disagreement, all of the data received from the questionnaires were compared with the information provided by interviewed principals. A consensus of opinion was sought, based on an analysis of collected data, in an attempt to supply answers to those questions listed in Chapter I.

Specifically, there was one major question this study aspired to answer: Under what conditions is SBM considered to be a viable alternative to a traditional (top down) school structure?

As the researcher began to look for an answer to this question, it became apparent that three additional questions would require an explanation:

- (1) What conditions/elements are perceived to be necessary when attempting to implement a SBM Organization?
- (2) How are the randomly selected schools currently employing those elements?
- (3) What factors encourage or impede the establishment of a SBM structure?

Conclusions

An overall impression regarding the topic of School-Based Management is that at best it is extremely difficult to implement in its purest form. When drafted on paper, it appears to be an ideal management tool to

restructure today's schools. Unfortunately, when the theory becomes reality, many difficulties are encountered. It is the belief of this researcher, based on the results of this study, that the difficulty arises when the human factor is introduced into the plan. With so many different human factions involved, it becomes abundantly clear that an "Esprit de Corps" environment is difficult to achieve. Unless all of the participants view the goal and the means of attaining that objective in the same light, School-Based Management (SBM) will encounter many barriers during the implementation process. A teacher participant agreed with this assessment when commenting, ". . . There are so many complex factors involved; implementation seldom meets stated goals."

The questions to be answered, which appeared in Chapter I and in the preceding section, provide the structure for the presentation of these conclusions fixed on the analysis of the data received.

Question 1: What Conditions/Elements Are Perceived to Be Necessary When Attempting to Implement a SBM Organization?

In examining the reviewed literature, principal interviews, and teacher surveys, the following elements repeatedly surfaced: (1) Money; (2) Trust; (3) Training; (4) Accountability; (5) Participative Decision Making; and (6) Union Involvement.

(1) Money. When reviewing the literature, a great deal of attention was devoted to budget participation. Little consideration is given to the sustained commitment to school boards and top-level administration--the assumption being that the school board and top-level administration is one hundred percent committed to the plan. This is a dangerous assumption. If the administration is seriously interested in implementing SBM/SDM, it should provide sufficient funding to fully implement the change. It should remain committed to the plan and resist any efforts that call for reducing funds at a later date. The danger of this reduction is that those involved parties will perceive the cut as a vote of no confidence on the part of the school board and top administration. Consequently, this will produce an attitude of indifference.

The Acting Director of School-Based Management/Shared Decision Making for the Boston Public Schools agreed with this assessment. He stated, "Once a school has a budget, it should not be reduced. Arbitrarily reducing the budget could easily undermine the planning process and create a morale problem."

As one teacher participant commented, "You cannot have a plan unless you have the resources to implement it." Principal B stated, "Change costs money."

The money element is of primary importance. Therefore, it is for this reason that the researcher has listed

"money" first. If a sufficient number of dollars are not available to implement SBM/SDM, the idea should be abandoned and the need to discuss other elements becomes moot. The Administration runs the risk of it becoming, as one teacher stated, "a farce". Once this negative connotation becomes embedded within the system, it will be difficult to eradicate.

(2) Trust. After the decision has been made to commit a sufficient amount of funds, the element of trust among all involved parties is paramount.

There is general widespread consensus reported in the literature and among teachers and principals that supports this finding. Mutchler and Duttweiler (1990) conducted a study that revealed "a lack of trust" to be a barrier when attempting to implement SBM/SDM. This researcher learned from the teacher survey conducted that a large majority indicated that they strongly agreed with the statement that trust among all involved parties is critical. All five of the principals interviewed agreed that trust is a crucial issue. Principal C stated, "Trust is absolutely necessary."

(3) Training. The third most salient element that emerged from the study was that all of those individuals connected with the implementation process should participate in one or more training sessions. This philosophy is supported in the literature by the principals and the

teachers. Lewis (1989) noted that one of the reasons SBM fails is because of "inadequate training of principals, union officials, and teachers in the techniques of participatory problem solving" (p. 35). Two of the principals expressed a belief that training should be an "ongoing process" because of the changing nature of the SBM/SDM school councils from year to year. Principal C noted, "Training is key." Training should be, "a well thought-out plan that seeks agreement by all" (Principal B).

A majority of the teachers surveyed concurred with the literature and the principals. Ninety-seven percent either "Strongly Agree" or "Somewhat Agree" with the statement that all parties should participate in one or more training sessions.

(4) Accountability. A certain degree of dissonance was apparent between the principals interviewed and the teachers surveyed. Fifty-three percent of the teachers indicated that they "Strongly Disagree" with the statement that the principal should be held solely accountable for decisions regarding budget, curriculum, and personnel. Another twenty-nine percent "Somewhat Agree". This indicates that a prominent number of teachers feel that a certain degree of decision-making accountability should rest with them. Principals A, B, and C encouraged participative decision making on the part of their faculties; however, they retained the right to make all

final decisions. The expressed feeling was that if Central Administration was going to hold them solely accountable for what ensues in their respective buildings, then they should have the final word. Clearly, this situation indicates a definite lack of participatory management. Unless all of the involved parties have a thorough understanding of and a willingness to accept participatory management, SBM/SDM will not work. Principals D and E used the term "We" on several occasions. It is the belief of this researcher that Principals D and E were more willing to try something suggested by their faculties even though they were not sure of its outcome. Principal B made the point, "If the principal makes a bad decision, Central Administration holds him/her accountable; however, if the School Council makes a poor decision, the entire Council is held responsible and not one individual." Successful site-based management and its concomitant teacher empowerment appear to be a function of the readiness of building-level administrators to share their autonomy, however extensive or limited with those whose commitment is necessary to make the educational program function at the highest degree of efficiency (Lucas, Brown, & Markus, 1991, p. 56).

The area of accountability emerged not only as a key element but one that requires clarification on the part of all participants. It will require a decision by the

Central Administration that answers the question: To what degree should principals and teachers be empowered?

(5) Participative Decision Making. Budget, curriculum, and staffing decisions are the three areas of decision making most commonly decentralized under SBM (White, 1989, p. 2).

Teacher responses indicated that they desired to be involved in budget and personnel decisions. A substantial number (twenty-five percent) of those responding to the survey "Strongly Agree" that teachers should participate in curriculum. Teacher participants were not interviewed. Therefore, further explanation regarding this matter could not be pursued. As previously reported in Chapter V, this perception offered by one-quarter of the teacher participants may be related to the transitory condition of the Central Administration Curriculum Department during the past two years. It should be acknowledged that this opinion is offered as conjecture on the part of the researcher.

All of the principals interviewed had no difficulty involving teachers in the major decision-making areas. Some of the principals were more concerned with who in the final analysis would be held responsible.

Principal B emphasized the time factor in decision making. Noted was the fact that information supplied by Central Administration sometimes is received over a

six-month period. The essential critical information is received in a day along with a request for an immediate decision. Recognizing that group decision making takes time, Principal B felt that in this type of situation there should exist "a certain degree of faith and trust in the ability of the principal to make the best decision."

Review of the data provided by principals and teachers in this study leads this researcher to conclude that both principals and teachers desire to work together on budget, personnel, and curriculum matters. The difficulty arises when the issue of responsibility is introduced. Principals felt that if they are to be held accountable (censured), the final decision should be theirs. Teachers on the other hand felt that without shared responsibility there is no shared decision making. If Central Administration is committed to implementing SBM/SDM, they should play a role in alleviating any concerns of punitive repercussions that principals fear as a result of engaging in participatory decision making.

(6) Union Involvement. In the Boston Public School System, where ninety-seven percent (figure provided by the Boston Teachers' Union, June, 1993) of the teachers are represented by the Union, it seems all too obvious that Union concerns need addressing. Where there exists such an overwhelming number of Union teachers, it is inevitable

that Union representation and input are necessary to successfully implement SBM/SDM.

This view is shared by Principal C who says, "Right now the individuals, that are in the Union, have the power to make or break decisions made by the people in the building and they (Union representatives) have never been in the building."

If SBM/SDM is to be successfully implemented, it will require change and concessions made by Union representatives. After examining all of the participant responses, the conditions of hiring and terminating personnel at SBM Schools appears to be a crucial issue.

In addition to personnel concerns, the issue of power sharing will need to be dealt with. Lewis (1989) cites as one of the reasons why School-Based Management fails is "fear on the part of the principal and Union leaders that school-based management will reduce their power" (p. 35).

In the final analysis, the six aforementioned elements emerged as being critical to the successful implementation of any School-Based Management Organization. This conclusion was derived by triangulating reviewed literature, principal interviews, and teacher surveys. It is the belief of this researcher that unless each element is afforded sufficient consideration within an "Esprit de Corps" environment, organizing and implementing a School-Based Management structure will be fraught with many difficulties.

Question 2: How Are the Randomly Selected Schools Currently Employing Those Elements?

This second question observes how the six elements are currently employed in those schools randomly chosen for the study. Conclusions offered will reflect a consensus derived from an analysis of the data received. Differing opinions will be noted.

(1) Money. The prevalent perception furnished by all was that there was a serious lack of funding. Principals noted that the only monetary advantage a SBM/SDM School had over a traditional school was an additional \$1,500. All indicated that \$1,500 does not go very far. Principal A wondered if the additional work involved was really worth the effort. The reward was not commensurate with the amount of time and risk involved. All of the principals thought that more money should be budgeted for the training component in addition to compensating Council members for attending after school, evening, and/or weekend meetings. Regarding the issue of budget, the consensus of opinion is that the budget should be predicated on the demonstrated individual needs of each school and not a formula-driven method developed by Central Administration.

(2) Trust. Trust is one element where one can safely assume there is unanimous agreement. However, a certain degree of dissonance was detected by this researcher. The area where this was disclosed involved responsibility.

Three of the principals believed that if they were to be held accountable, they should reserve the right to make the final decision. Two of the principals implied they would be more willing to take a risk even if they did not totally agree with their faculties.

(3) Training. All of the participants expressed a need for additional training. Training should be ongoing and include Union representation. A general consensus and concern among the principals was that training should provide an understanding of what SBM/SDM involves. As one participant stated, "A clear understanding of one's role and responsibilities should be a result of training."

(4) Accountability. At the present time, it appears that accountability rests solely with the building principal. Each principal is responsible for anything that happens in their building. Principal A noted that responsibility extended beyond the confines of the building. School-Based Management Teams are willing to make more risky decisions because no one individual can be held accountable. Who is to be held accountable appears to be a primary concern among all involved parties.

(5) Participative Decision Making. At present, there is a willingness and a desire among principals and teachers to employ a participative style of management. However, the major stumbling block continues to be the responsibility factor.

(6) Union Involvement. The Union has made some concessions regarding personnel assignments and seems willing to accept waivers that would exempt a particular school from complying with stated contractual agreements. Some of the principals felt that the Union could be more tolerant and understanding when it came to School-Based Management Schools.

Question 3: What Factors Encourage or Impede the Establishment of a SBM Structure?

Table 5 presents some of those factors that encourage or impede the establishment of a SBM structure identified as a result of this research. Because SBM encompasses many components, it should be understood that the list of factors is not conclusive.

Recommendations

Information acquired during this research has led to the following recommendations:

1. If sufficient funds are not available to adequately implement a SBM/SDM Organization, it would be in the best interest of all concerned parties to seek an alternative method to restructure the system.

2. If the current design is not working as envisioned, do not be afraid to admit that problems exist, identify the problem areas, stop the bleeding,

Table 5

Factors That Encourage or Impede the
Establishment of a SBM Structure

Encourage	Impede
Sufficient Funding	Lack of Funding
Empowerment	Fear of Losing Power
Trust	Lack of Trust
Desire to Restructure	Resistance to Change
Administrative Encouragement	Lack of Administrative Support
Sufficient Training	Lack of Training Program
Union Participation	Union Barriers
Shared Decision Making	Autocratic Attitude
Sufficient Information (Communication)	Lack of Knowledge
Esprit de Corps Attitude	Dissonance
Community Participation (Parents and Business)	Discourage Community Participation by not Soliciting Input

fix the problem, and move on with the educational reform process.

3. When only limited funds are available, initial implementation should be on a small scale. For example, one elementary school, one middle school, and one high school could serve as a pilot program.

4. Schools should be allowed to retain unencumbered funds in an effort to eliminate waste and promote savings.

5. Seek out local businesses, who have embraced a participative style of management, and solicit their technical and financial assistance, especially in the area of training.

6. Recruit principals, faculty, and staff who are willing and openly committed to implementing a SBM/SDM School. Currently, only sixty percent of any school's faculty need to "buy into" the SBM/SDM concept. This may hinder the "Esprit de Corps" atmosphere that is so vital to the success of School-Based Management.

7. Negotiations between the school administration and the teachers' union should seek concessions that would break down existing barriers to implementation. An area of primary concern is hiring and terminating policies.

8. If decision-making authority and accountability are to be delegated to the school site level, adequate training should be provided for all parties that are involved.

9. The Central Administration should hold the entire School Site Council responsible for any decisions made and not the principal alone.

10. Because the multicultural make-up of society is reflected in schools, Central Administration should recognize that all schools do not have the same needs. Therefore, those closest to the situation should be relied upon to determine how to best address those needs. Necessity and freedom will result in more creative programs and build greater commitment.

11. Replace the current formula-driven budget with a derived-needs approach. The individual needs of a school should be determined by the members of the School Site Council and presented to Central Administration for approval.

12. When developing a needs budget, salaries that were negotiated between the Administration, School Board, and Union should not be an accountability issue for the School Site Council.

13. Central Administration should delegate its authority, impose accountability, and promote a trust environment. The School Site Council should be regarded as being capable of making decisions, recognized for good decisions, and supported in rectifying incorrect decisions.

14. Central Administration should support School Site Councils by providing all of the available

information that may be needed in order to make the best decision.

15. Group decision making is time consuming. If Central Administration puts time constraints on the group, they should expect only satisfying decisions.

Future Studies

This study was limited to five randomly selected Boston Public Schools currently operating a School-Based Management/Shared Decision Making School. Therefore, as with most research, it has raised more questions than answers. In order to address some of these questions, several recommendations are suggested for additional study.

1. A study to determine significant differences as a result of implementing School-Based Management. Pre- and post-data could be obtained from a questionnaire and/or personal interviews for comparison.

2. Conduct a study that would answer the question: Is authoritarian leadership style more effective than a participative approach? This could be accomplished by comparing the many variables in the system, Non-School-Based Management Schools versus School-Based Management Schools.

3. A supplementary study to the aforementioned would seek to determine different leadership styles of

several school principals. A self-image perspective could be compared with that of his/her faculty.

4. Another study might focus on the principals' actual practice of leadership to address the problem of converting theory into practice.

5. A case study of one school could examine the perspectives of the various constituencies with which a principal interacts: faculty, staff, students, parents, and external groups.

6. Perhaps a study conducted to determine if the size of a school plays a role in the successful implementation of a SBM/SDM Organization.

7. Another study might seek to determine if implementation of SBM/SDM is more appropriate at the elementary level as opposed to the middle or high school levels.

8. A study that would answer the question: To what degree does the current School Administration and/or School Board support and encourage School-Based Management?

Future Trends

Educational reform is a major concern with a large segment of the population. Political polls consistently list school reform and financing as one of the most important campaign issues.

In the Commonwealth of Massachusetts, educational reform is moving to adopt essential elements of

School-Based Management, for example, decentralization, empowerment, and authority. In June of 1993, the Massachusetts Legislature voted to adopt a new education reform law.

As reported in a Boston Globe article written by Patricia Nealon (1993), "With the signing of the education reform legislation, principals won the power to hire teachers. The superintendent has veto power over the selections, but the school committee no longer does." Nealon (1993) goes on to point out, "The decentralization of power dovetails with a key aim of the reform legislation: to build accountability into the public school system from the bottom up" (pp. 29, 35).

In the same article, Peter Finn, Executive Director of the Massachusetts Association of School Superintendents, is quoted as saying, "This makes it clear that principals are the leaders in their building. In the past, principals had no legal role in the process. Now principals are clearly in the legal loop" (Nealon, 1993, p. 35).

This legislation changes a one hundred and fifty year old law that gave school boards the power and authority to hire school personnel at all levels.

School-Based Management will be implemented in September of 1993 at all schools in the small town of Canton, Massachusetts, which is located twelve miles south of Boston, Massachusetts. Using this example and

the recently passed legislation leads this researcher to conclude that current school reform is moving to adopt elements of a School-Based Management/Shared Decision Making (SBM/SDM) structure.

Final Comments

It would be remiss on the part of this researcher not to note the expressed deep concern and commitment by all five principals regarding the educational well-being of their students. The expression, "in the best interest of the students", was voiced several times by all five principals. This researcher came away with the feeling that this concern was genuine. With this attitude, Central Administration should be assured that these principals will make educational decisions in the best interest of their students.

APPENDICES

APPENDIX A

LETTER SEEKING PERMISSION TO CONDUCT RESEARCH
IN BOSTON PUBLIC SCHOOLS



UNIVERSITY OF MASSACHUSETTS
AT AMHERST

School of Education

Furcolo Hall
Amherst, MA 01003

April 12, 1993

Maryellen Donahue
Director of Research & Development
Boston Public Schools
26 Court Street
Boston MA 02108

Dear Ms Donahue:

Thomas F. Maguire is currently a doctoral candidate at the University of Massachusetts, Amherst. His research for his dissertation in the area of School-Based Management/Shared Decision Making (SBM/SDM) has been approved by the School of Education and the Graduate School. His doctoral committee will be monitoring his research activities on a regular basis as he proceeds towards the completion of his work. I would appreciate it if you would allow Mr. Maguire to collect data for his research.

Thank you. Please let me know if I can assist in any way concerning this matter. I may be reached by telephone at (413) 545-0981.

Yours sincerely,

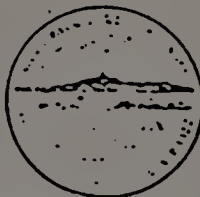
Robert R. Wellman
Professor
Education

c: Tom Maguire

APPENDIX B

RESEARCH PROPOSAL NOTIFICATION FORM

BOSTON PUBLIC SCHOOLS



OFFICE OF RESEARCH AND DEVELOPMENT

MARYELLEN DONAHUE
Director

RESEARCH PROPOSAL NOTIFICATION FORM

The research proposal described below has been:

 X APPROVED DISAPPROVED

Maryellen Donahue

Maryellen Donahue, Director
Office of Research & Development

Name of Researcher: Thomas F. Maquire

Affiliation: University of Massachusetts, Amherst

Title of Proposed Research Project School-Based Management/

Shared Decision Making (SBM/SDM)

Comments: _____

Thank you for your interest in conducting research in the Boston Public Schools.

APPENDIX C

SCHOOL-BASED MANAGEMENT SURVEY

SCHOOL-BASED MANAGEMENT SURVEY

University of Massachusetts, Amherst
School of Education

May 28, 1993

Dear Participant:

The following questionnaire concerns School-Based Management/Shared Decision Making (SBM/SDM). Your opinions, based on your SBM/SDM experiences, are extremely important to the success of this study. It will take only a few minutes of your time to complete this questionnaire. All replies will be held confidential.

Thank you for your assistance.

Sincerely,

Thomas Maguire
Thomas Maguire

Many factors are involved in the successful implementation of SBM/SDM. For each statement listed below, please circle the number that indicates whether you strongly agree, somewhat agree, strongly disagree, or feel that it is not at all important when considering a SBM/SDM Organization.

	<u>Strongly Agree</u>	<u>Somewhat Agree</u>	<u>Strongly Disagree</u>	<u>Not At All Important</u>
1. Teachers should participate in budget decisions.	1	2	3	4
2. Teachers should participate in curriculum decisions.	1	2	3	4
3. Teachers should participate in personnel decisions.	1	2	3	4

APPENDIX D

PERSONAL INTERVIEW QUESTIONS

PERSONAL INTERVIEW QUESTIONS

1. Briefly state your educational and professional experience.
2. How long have you served in your current capacity?
3. What is the scope of your current duties? Probe: elicit specific duties.
4. How well did your formal education prepare you to perform your current duties? Probe: school, major, specific core courses, additional courses.
5. How have your past job-related experiences helped in your present position?
6. What brought you to your current position? Probe: power, achievement, salary, career change, need to contribute as a change agent, lifelong ambition.
7. To what degree has SBM been implemented in your school? Probe: initial stages, well into, fully implemented.
8. It is my understanding from the literature reviewed that a certain degree of autonomy is necessary to successfully implement SBM. Do you believe that you have been afforded sufficient independence?
9. From your experience, do you feel that teachers who have worked in the field of education are more resistant to change? Probe: willing to try, working to return to the old ways.
10. For whom and what kind of training program are necessary to facilitate the successful implementation of SBM? Probe: principals, assistant principals, teachers, parents, decision-making skills, leadership skills, planned skills, communication skills, esprit de corps attitude.
11. What specific problem(s) have you encountered when implementing SBM at your school? Probe: budgets, curriculum, decision-making, personnel, school councils, planning, Central Administration.*

12. What dimension(s) of SBM have you found to be the least difficult to implement? Probe: elicit specific reasons.
13. Do you feel that the _____ School is better or worse as a result of implementing SBM/SDM?
14. If you were given the opportunity to begin over, what aspects of the implementation process would you do differently? Probe: elicit specific examples.
15. You have given me a great deal of information. Do you have any other concerns or advice you would like to offer?

* Question No. 11 will provide me an opportunity to solicit information regarding the different dimensions effected by the implementation of SBM. The following are areas of interest for possible exploration during the interview.

Budget

- Who prepares the budget for your school?
- How is the allotted amount determined (per pupil, formula, lump-sum)?
- How are salary amounts determined (actual, average, other)?
- Can your budget be arbitrarily changed at any-time? Who can amend the budget?
- What amount of input is provided by teachers, parents, and school councils?
- Can surplus funds from one year be retained for the next fiscal year?

Personnel

- How are teachers and staff assigned to your building?
- Does Central Administration provide assistance in training assigned personnel?

- Can you terminate an individual who does not work well within a SBM environment?
- Whose budget is used to recruit and hire personnel?
- Who is responsible for evaluating assigned personnel?

Decision Making

- Does the current Central Administration and School Board encourage a participative style of management?
- What decisions are made solely at the school site (budget, curriculum, personnel)?
- In what areas has the Central Administration retained the right to reverse decisions made at the school-site level?
- Who determines policy decisions?

Curriculum

- Who is responsible for determining the educational goals for those being served in your school?
- Who is held accountable for achieving set goals?
- What instrument is used to measure achievement (test developed by the school system, state, or and independent testing agent)?

APPENDIX E

CONSENT FOR VOLUNTARY PARTICIPATION

STUDY OF SCHOOL-BASED MANAGEMENT
IN THE BOSTON PUBLIC SCHOOLS

Consent for Voluntary Participation

I volunteer to participate in this qualitative study and understand that:

1. I will be interviewed by Thomas Maguire using a guided interview format consisting of several open-ended questions.
2. The questions I will be answering address those issues that will lead to a better understanding of under what conditions is School-Based Management a viable alternative to a traditional (top-down) structure.
3. This study is being conducted as part of a doctoral dissertation at the University of Massachusetts at Amherst.
4. The interview will be tape recorded to facilitate analysis of the data.
5. My name will not be used, nor will I be identified personally in any way or at any time. I understand it will be necessary to identify participants in the dissertation by school and position (e.g., a middle school principal said . . .).
6. I may withdraw from part or all of this study at any time.
7. I have the right to review material up to thirty days from the date of receipt.
8. I understand that information derived from this survey will be included in Thomas Maguire's doctoral dissertation and may also be included in manuscripts submitted to professional journals for publication.
9. I am free to participate or not to participate without prejudice.

10. Because of the small number of participants, approximately five, there is some risk that I may be identified as a participant in this study.

Researcher Signature

Date

Participant Signature

Date

APPENDIX F

TEACHER SURVEY SUMMARY DATA

TEACHER SURVEY SUMMARY DATA

Question 1: Teachers should participate in budget decisions.

(114 responses)

Strongly Agree	(52 of 114 = 46%)
Somewhat Agree	(57 of 114 = 50%)
Strongly Disagree	(5 of 114 = 4%)
Not At All Important	(0 of 114 = 0%)
No Response	(0 of 114 = 0%)

Question 2: Teachers should participate in curriculum decisions.

(114 responses)

Strongly Agree	(73 of 114 = 64%)
Somewhat Agree	(12 of 114 = 11%)
Strongly Disagree	(29 of 114 = 25%)
Not At All Important	(0 of 114 = 0%)
No Response	(0 of 114 = 0%)

Question 3: Teachers should participate in personnel decisions.

(114 responses)

Strongly Agree	(43 of 114 = 38%)
Somewhat Agree	(59 of 114 = 52%)
Strongly Disagree	(10 of 114 = 9%)
Not At All Important	(2 of 114 = 1%)
No Response	(0 of 114 = 0%)

Question 4: Trust, among all involved parties, is critical to the successful implementation of SBM/SDM.

(114 response)

Strongly Agree	(99 of 114 = 87%)
Somewhat Agree	(10 of 114 = 9%)
Strongly Disagree	(5 of 114 = 4%)
Not At All Important	(0 of 114 = 0%)
No Response	(0 of 114 = 0%)

Question 5: The principal should be solely accountable for all decisions regarding budget, curriculum, and personnel.

(110 responses)

Strongly Agree	(18 of 110 = 16%)
Somewhat Agree	(32 of 110 = 29%)
Strongly Disagree	(59 of 110 = 53%)
Not At All Important	(1 of 110 = 1%)
No Response	(4 of 114 = 4%)

Question 6: Commitment to organizational goals is increased.

(111 responses)

Strongly Agree	(38 of 111 = 34%)
Somewhat Agree	(65 of 111 = 58%)
Strongly Disagree	(7 of 111 = 6%)
Not At All Important	(1 of 111 = 1%)
No Response	(3 of 114 = 3%)

Question 7: Resistance to change is diminished.

(107 responses)

Strongly Agree	(32 of 107 = 30%)
Somewhat Agree	(67 of 107 = 62%)
Strongly Disagree	(8 of 107 = 7%)
Not At All Important	(0 of 107 = 0%)
No Response	(7 of 114 = 6%)

Question 8: An increase in morale is experienced by participants.

(111 responses)

Strongly Agree	(47 of 111 = 42%)
Somewhat Agree	(53 of 111 = 47%)
Strongly Disagree	(11 of 111 = 10%)
Not At All Important	(0 of 111 = 0%)
No Response	(3 of 114 = 3%)

Question 9: Teacher absenteeism is reduced.

(108 responses)

Strongly Agree	(26 of 108 = 24%)
Somewhat Agree	(58 of 108 = 53%)
Strongly Disagree	(17 of 108 = 15%)
Not At All Important	(7 of 108 = 6%)
No Response	(6 of 114 = 6%)

Question 10: More creative programs are developed.

(112 responses)

Strongly Agree	(52 of 112 = 46%)
Somewhat Agree	(53 of 112 = 47%)
Strongly Disagree	(7 of 112 = 6%)
Not At All Important	(0 of 112 = 0%)
No Response	(2 of 114 = 1%)

Question 11: All parties should participate in one or more training session(s).

(113 responses)

Strongly Agree	(70 of 113 = 62%)
Somewhat Agree	(39 of 113 = 35%)
Strongly Disagree	(1 of 113 = 1%)
Not At All Important	(3 of 113 = 1%)
No Response	(1 of 114 = 1%)

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