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## An Investigation of the Attainment of Site-Based Decision Making Products in Secondary Local Affiliates' Contracts as Compared with the Aft's Or Nea's National Position on the Issue

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**AN INVESTIGATION OF THE ATTAINMENT OF SITE-BASED  
DECISION MAKING PRODUCTS IN SECONDARY  
LOCAL AFFILIATES' CONTRACTS AS  
COMPARED WITH THE AFT'S OR NEA'S  
NATIONAL POSITION ON THE ISSUE**

**by**

**James Joseph Gallagher**

**A Dissertation Submitted to  
the Faculty of the School of Education  
of Loyola University of Chicago in Partial Fulfillment  
of the Requirements for the Degree of Doctor of Education**

**January 1994**

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Finally, to my wife, Margaret, I dedicate this investigation for her patience, encouragement, support and love she has given to me throughout this investigation. If it were not for her, this investigation would not have been completed. My love and devotion to her is number-one in my life.

## ABSTRACT

James Joseph Gallagher

AN INVESTIGATION OF THE ATTAINMENT OF SITE-BASED  
DECISION MAKING PRODUCTS IN SECONDARY LOCAL  
AFFILIATES' CONTRACTS AS COMPARED  
WITH THE AFT'S OR NEA'S  
NATIONAL POSITION ON THE ISSUE.

The impact of the educational reform movement has been continually increasing with the recommended educational policy changes from a number of national reports starting with A Nation at Risk in 1983. In the second wave of the educational reform movement, educational policy makers called for increased teacher professionalism through shared decision making at the site--site-based decision making. In effect, the national teacher unions recognized the need to play a significant role in restructuring and the professionalizing of teaching. In response to the second wave of reform, the national teacher unions shaped new approaches on restructuring and teacher professionalism as models for their local affiliates to follow when bargaining, and one of these positions was site-based decision making.

This investigation described and analyzed the attainment of site-based decision making products in secondary school contract provisions negotiated by AFT affiliates and those negotiated by NEA affiliates as compared with each national organization's position on the issue. Provisions from thirteen AFT affiliates' contracts and thirteen NEA affiliates' contracts, selected from Cook and Will counties in the State of Illinois were examined, categorized and analyzed to determine what their similarities and differences were. In addition, personal interviews were

conducted with key informants. The data collected from the interviews provided for a validation of the provisions of the documents examined and for more complete data concerning school site-based decision making.

The results of the investigation indicated differences in approaches espoused by each national organization to site-based decision making and indicated the similarities and differences of site-based decision making products attained by each organization's local affiliates as compared with the national organization's position on the issue. The NEA espouses a model for site-based decision making to their affiliates. The AFT does not have a model, but it espouses general lessons and model contract language through publications to their affiliates. Other approaches and factors attained by the local affiliates as compared with the national's position on the issue are described and analyzed in this investigation.

## VITA

James Joseph Gallagher was born in Chicago, Illinois on November 2, 1947. He was a 1965 graduate of Bogan High School, Chicago, Illinois, a 1969 graduate of Chicago State University, Chicago, Illinois with a Bachelor of Science in Education--Business Education and a 1972 graduate of Governor's State University with a Master of Arts in Business Administration and Public Service.

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# TABLE OF CONTENTS

	PAGE
ACKNOWLEDGMENTS . . . . .	ii
ABSTRACT . . . . .	iv
VITA . . . . .	vi
LIST OF TABLES . . . . .	vii
CHAPTER	
I. INTRODUCTION . . . . .	1
Background	2
Purpose	8
Definition of Terms	9
Limitations	12
Procedure	13
Significance	14
II. REVIEW OF LITERATURE AND RESEARCH . . . . .	16
Background on Teacher Professionalism and Educational Decision Making	17
AFT's Approach to Reform and Teacher Professionalism	23
NEA's Approach to Reform and Teacher Professionalism	33
Related Research on the Differences in the NEA and AFT Approaches to Site-Based Decision Making	41
The Effects of Collective Bargaining on Site-Based Decision Making	46
The Effects of Collective Bargaining on Contract Provisions Pertaining to Site-Based Decision Making	52
III. METHODS AND PROCEDURES . . . . .	67
Methodology	67
Background Information	67
Research Design	68
Procedures	70
Document Examination	75
Professional-Teaching-Conditions Score Instrument	75
Site-Based Decision Making Score Instruments - AFT and NEA	77
Key Informant Interviews	79

IV. ANALYSIS OF THE DATA . . . . .	82
Demographic Information	82
Research Questions	89
V. SUMMARY, CONCLUSIONS AND RECOMMENDATIONS . . . . .	124
Summary	125
Conclusions	128
Recommendations:	
Recommendations for Action	133
Recommendations for Further Study	135
WORKS CITED . . . . .	137

Appendix

A. LETTER OF INTRODUCTION TO THE SUPERINTENDENTS	139
B. LETTER OF APPROVAL FROM THE RAND CORPORATION	141
C. MCDONNELL'S AND PASCAL'S INSTRUMENT FOR PROFESSIONAL TEACHING CONDITIONS SCORE	143
D. SCHOOL SITE-BASED DECISION MAKING SCORE INSTRUMENT FOR THE AMERICAN FEDERATION OF TEACHERS	145
E. SCHOOL SITE-BASED DECISION MAKING SCORE INSTRUMENT FOR THE NATIONAL EDUCATION ASSOCIATION	147
F. KEY INFORMANT INTERVIEWS	149

## LIST OF TABLES

Table	Page
1. Location of Secondary Districts	83
2. Enrollment of Secondary Districts	84
3. Number of School Sites in Sample Districts	85
4. Breakdown of Key Informants Interviewed	86
5. The Bargaining History of Site-Based Decision Making Provisions for the Districts Interviewed	88
6. Professional Teaching Conditions Score and the Attainment of Them	95
7. Affiliate's Professional Teaching Conditions Score and Percent of Attainment	96
8. AFT Local Affiliate's Attainment of School Site-Based Decision Making Products Espoused by the AFT	100
9. NEA Local Affiliate's Attainment of School Site-Based Decision Making Products Espoused by the NEA	102
10. Local Affiliates Attainment of Site-Based Decision Making Scores as Compared with the National's Position on the Issue	103
11. Based on Contractual/Formal Agreements	106
12. Scope of Decision Making--School Site-Based Implementation Structures	107
13. Scope of Decision Making at the Site--Type of Decision	108
14. Scope of Decision Making--In Contracts--Area of Responsibility Included	109
15. Other Similar AFT and NEA Site-Based Decision Making Products Attained by Local Affiliates	110

Table	Page
16. Attainment of Additional AFT Site-Based Decision Making Products by AFT and NEA Affiliates	112
17. Attainment of Additional NEA Site-Based Decision Making Products by AFT and NEA Affiliates	113
18. Contituent Representation Appropriate to the School Site	114
19. Selection by Each Constituency	115
20. Method of Constituent Selection-Union	116
21. Attainment of Other Site-Based Decision Making Products Not Espoused by AFT or NEA	117
22. Attainment of Professional Teaching Conditions (PTC) Score Compared to the Attainment of the Site-Based Decision Making (SBDM) Score by AFT Affiliates	120
23. Attainment of Professional Teaching Conditions (PTC) Score Compared to the Attainment of the Site-Based Decision Making (SBDM) Score by NEA Affiliates	122

## CHAPTER I

### INTRODUCTION

Traditionally, the National Education Association and American Federation of Teachers bargained for "bread and butter" issues for teachers--higher salaries, improved fringe benefits and working conditions. With the recommended educational policy changes from a number of national reports starting with A Nation at Risk in 1983, increased public attention on improving education, increased state educational investigations and policy decisions, and the concern for a trained labor force, teacher unions were faced with a number of issues that dealt with teacher professionalism in the mid-1980's. The first wave of the educational reform movement tried to improve upon existing programs, but the second wave of the educational reform movement emphasized the need for school districts to make fundamental changes in organization, structure, management, curriculum and instruction. In the second wave, educational policy makers called for increased teacher professionalism through shared decision making at the site between principals and teachers--site-based decision making. The unions recognized that the long-term welfare of teachers, and therefore the long-term welfare of the unions, rested upon a better balancing of union and professional responsibilities.<sup>1</sup> In effect, the national teacher

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<sup>1</sup>Arthur Wise, "Six Steps to Teacher Professionalism" Educational Leadership, 47:7, (April 1990): 59.

unions recognized the need to play a significant role in restructuring and professionalizing teaching.

In response to the second wave of reform, the national teacher unions shaped new positions on restructuring and teacher professionalism as models for their local affiliates to follow when bargaining, and one of these positions was site-based decision making.<sup>2</sup> Yet, taking a position at the national level on site-based decision making does not mean that the change will occur through collective bargaining at the affiliate level. If site-based decision making has evolved through collective bargaining, this generates a critical area for investigation. Namely, are there similarities or differences in site-based decision making products attained by AFT and NEA local affiliates from what is espoused by the national organizations?

In public elementary and secondary public schools, the American Federation of Teacher and the National Education Association are two unions that represent a majority of the nation's teachers. Both unions have different approaches to reform, and these approaches include the issue of site-based decision making. This investigation attempted to examine the differences as to the extent and characteristics of site-based decision making products contained in secondary local affiliate contracts represented by the AFT and NEA.

### Background

From the 1950's through the 1970's, public education in the United States became increasingly bureaucratized as decisions shifted

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<sup>2</sup>Ann Lewis, Restructuring America's Schools, (Virginia: American Association of School Administrations, 1989), 77-87.

away from teachers and principals to district offices, state education departments, state legislatures, and the federal government. The intended outcomes of centralized bureaucracies were "increased efficiency and improved equity."<sup>3</sup> The characteristics of the traditional bureaucracy associated with schools were: hierarchical chain of command, a division of labor based on written policies, rules and regulations, impersonal environment and career orientation.<sup>4</sup>

In the mid-1980's, educators and policy makers found that the bureaucratic style of organization was equitable and efficient when students and teachers were uniform and were pliable enough to be "batched processed." However, students were becoming increasingly diverse through immigration, changing social mores, and access to external technological resources such as computers and television.<sup>5</sup> With the changes to students and teachers uniformity and pliability, educators and policy makers found other obstacles caused by bureaucratic organizations that hampered school success: a lack of communication between teachers and administrators, an absence of teacher participation in decision making, restricted autonomy for principals and teachers, organizational rigidity, isolation of teachers from their colleagues, low morale, and expensive evaluation systems that

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<sup>3</sup>Edward Pajak, "A View from the Central Office" Supervision In Transition, (Virginia: Association for Supervision and Curriculum Development Publication, 1992), 127.

<sup>4</sup>Charles Reavis and Harry Griffith, Restructuring Schools Theory and Practice (Pennsylvania: Technomics Publication, 1992), 3.

<sup>5</sup>Ibid., 4.

had little relevance or impact on what happened in classrooms and school.<sup>6</sup>

During the late 1980's, an alternative to the present bureaucratic system emerged which Edward F. Pajak called "emerging practice." "Emerging practice" was characterized by decentralization, site-based decision making, the principal as instructional leader and teacher empowerment, and this alternative was one part of the restructuring movement in American Education which redefined roles and responsibilities in schools.<sup>7</sup>

With this "emerging practice," many school districts started school programs in site-based decision making under a variety of names--shared decision making, school-based management, school-based decision making, site-based management and participative leadership. All of these programs required a change from the traditional administrative and teacher roles and responsibilities in school management and decision making, but the key change to these programs was the decentralization of decisions from the central office to the school-site. In short, as to decision making, site-based decision making, school based decision making and shared-decision making have similar meanings and characteristics.

Harrison, Killion and Mitchell defined site-based decision making as creating ownership for those responsible for carrying out decisions by involving them directly in the decision making process.<sup>8</sup> Scott

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<sup>6</sup>Pajak, 127.

<sup>7</sup>Ibid., 127.

<sup>8</sup>Cynthia R. Harrison, Joellen P. Killion, and James E. Mitchell, "Site-Based Management: The Realities of Implementing," Educational Leadership, 46 (1989): 55.



Bauer described some of the common premises of site-based decision making as the following: formation of school councils, participation of teachers, principal, parents, community members, union representatives, and others on the council, decisions as to policies and programs that affect the school and the children, the implementation and responsibility for the decision by the school council, and finally effective and lasting educational change occurred when those who must carry it out feel a sense of ownership and responsibility for the process.<sup>9</sup> He also found that administrators, principals, teachers, local associations, parents and others were fearful, confused and uncertain about the site-based decision making process for the following reasons: losing of power, understanding the terminology and what the process will accomplish, devoting adequate money, training and time to keep the process going, and having participants with the skills they need to collaborate.<sup>10</sup>

Mirman described restructuring as sharing leadership and ownership of what goes on in school and as signifying a new view of power. Whereas, she contended that the exercising of traditional power meant control by a single leader, this "new power" was expressed by different stake holders mobilizing to achieve a common vision. She believed that this mobilization can best be identified by leaders who recognized that major changes pose legitimate threats to people in the

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<sup>9</sup>Scott Bauer, "Myth, Consensus and Change", The Executive Educator, July 1992: 27.

<sup>10</sup>Ibid., 26.

school community, and that people's resistance was best dealt with by responding to their concerns, rather than trying to "enforce change."<sup>11</sup>

As the calls for educational reform from external, social and political forces continued, the American Federation of Teachers and National Education Association were upstaged by these external forces. Due to the stressing of "bread and butter issues" since the 1960's, the unions spent little time on reform. David Selden, past president of the AFT, contended that the bitter rivalry between the two unions to organize teachers left little time for educational concerns.<sup>12</sup>

In the RAND study, Teachers' Unions and Educational Reform, Lorraine McDonnell and Anthony Pascal contended that the two major teachers' unions have not stood in the way of reform and restructuring efforts, as some public officials charge, but their approaches to the issue certainly have been different.

While the AFT quickly moved toward a position of leadership in shaping new approaches to teacher professionalism, the NEA shifted from initial opposition to some reform proposals, on to accommodation, and finally, to a position where it now supports and encourages local affiliates to experiment with new approaches . . . .<sup>13</sup>

Anne Lewis has stated that both NEA and AFT have created networks to advance their restructuring ideas on school districts willing to try their approaches. According to Lewis, both unions agreed that

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<sup>11</sup>Jill Mirman, "Toward A Definition of Restructuring" paper reproduced by The Regional Laboratory Educational Improvement of the Northeast and Islands, Andover, Massachusetts, 1988, 44.

<sup>12</sup>Maurice Berube, Teacher Politics: The Influence of Unions (Connecticut: Greenwood Press, 1988), 146.

<sup>13</sup>Lorraine McDonnell and Anthony Pascal, Teacher's Unions and Educational Reform (New Jersey: The RAND Corporation, 1988), 22.

teachers should receive higher salaries and that teachers should essentially be in control of the basic elements of education. However, Lewis described NEA's approach to restructuring as tending to be cautious and more dependent on research, while AFT appeared more closely tied into national, non-educational leadership trends.<sup>14</sup>

In order to influence the educational direction of change in the nation's schools, the unions and teacher affiliates recognized the need to play a significant role in restructuring and professionalizing teaching.<sup>15</sup> The NEA and AFT have traditionally gained their "bread and butter issues" through collective bargaining. Hellriegel, French and Peterson in their study of collective bargaining and education concluded that collective negotiations are perceived as a means of attaining professional goals and also as a means of participating in decision making and having some control over task accomplishments.<sup>16</sup> Since past change has been negotiated by the unions for teachers and placed in collective bargaining agreements, Susan Moore Johnson stated that as a result of this change there is general agreement that unionized teachers have changed public education. She further states that collective bargaining is by no means the only way in which teachers exert their professional influence. Individual teachers also shape instructional policy in their classrooms and in collaboration with

<sup>14</sup>Anne Lewis, Restructuring America's Schools (Virginia: American Association of School Administrators, 1989), 78.

<sup>15</sup>Ann Liberman, "Navigating the Four C's: Building a Bridge Over Troubled Waters" Phi Delta Kappan, March 1990: 532.

<sup>16</sup>Donald Hellriegel, Wendell French, and Richard Peterson, "Collective Negotiations and Teachers: A Behavioral Analysis" Education and Collective Bargaining (California: McCutchan Publishing Corporation, 1976), 215.

colleagues, yet collective bargaining provided the only forum where teachers are legally recognized and empowered as policy makers.<sup>17</sup>

The results of bargaining in education have been provisions in contracts which tend to restrict and limit the authority of administrators. Teacher contracts may contain provisions which vary from clean parking lots to guaranteed participation in decision making on school policies.<sup>18</sup>

### Purpose

The purpose of this investigation was to describe and analyze the attainment of site-based decision making products in secondary school contract provisions negotiated by AFT affiliates and those negotiated by NEA affiliates as compared with each national organization's position on the issue. Generally, this investigation was conducted in secondary school districts in Cook and Will Counties.

The specific objectives of this investigation were:

1. To determine the similarities and differences between the site-based decision making approaches espoused by the American Federation of Teachers and the National Education Association.
2. To identify professional teaching conditions that previously existed in the contracts of the AFT and NEA local affiliates which may have contributed to the possible attainment of the site-based decision making products.

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<sup>17</sup>Susan Moore Johnson, "Can Schools Be Reformed at the Bargaining Table?" Teacher's College Record 89:2, (Winter 1987): 270.

<sup>18</sup>Larry Janes and Ned Lovel, "Re-Asserting Leadership in the Eighties: The Principal's Role in Collective Bargaining" Illinois Principal, 12:4 (May 1981): 4-5.

3. To identify the site-based decision making products contained in the contract provisions of the local affiliates of the AFT and NEA.
4. To determine the similarities and differences in the attainment of site-based decision making products in local affiliates' contracts as compared to each national organization's position on site-based decision making.

The investigation focused on the attainment of site-based decision making products in local affiliates' contracts and specifically on whether the local affiliates appeared to follow the national organization's position on site-based decision making.

### Definition of Terms

For the purpose of this paper, the following terms were used within the context of the indicated definitions.

#### AFT

The American Federation of Teachers, a national teacher's union affiliated with the AFL/CIO.

#### Attainment

The inclusion of provisions within a contract which provide for site-based decision making.

#### Collective Bargaining

Collective Bargaining will be defined as it is stated in the 1947 Labor Management Labor Relations Act, Section 8, Subsection D.

For the purpose of this section, to bargain collectively is the performance of the mutual obligation of the employer and the representative of the employees to meet at reasonable times and confer in good faith with respect to wages, hours, and other terms and conditions of employment, or the negation of an agreement, or any question arising thereunder and the execution of a written contract incorporating any agreement reached if requested by either party but such obligation does not compel

either party to agree to a proposal or require the making of a concession.<sup>19</sup>

### Committee/Council

Committee will be defined as it is stated in the Black's Law Dictionary.

A person, or an assembly or board of persons, to whom the consideration, determination, or management of any matter is committed or referred.<sup>20</sup>

### Contract

A written agreement between an organization which represent the board of education in a given secondary school district.

### District Site-Based Decision Making

Provisions of contracts that create ownership for those responsible for carrying out decisions by involving them directly in the decision making process at the secondary level. Some of those responsible may be the board of education, central administration, union representation, teachers, parents, students and others.

### Enabling Conditions

Enabling conditions will be defined as it is stated in the Carnegie Report, Teacher Unions and Educational Reform.

Provisions of contracts that "support a more professional environment, and create the circumstances that are necessary for more professional teaching reforms to occur."<sup>21</sup>

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<sup>19</sup>Sterling H. Schoen and Raymond L. Hilgert, Cases in Collective Bargaining and Industrial Relations, A Decisional Approach, (Illinois: Richard D. Irwin Inc., 1978), 37.

<sup>20</sup>Henry Cambell Black, M.A., Black's Law Dictionary, (Minnesota: West Publishing Company, 1968), 341.

<sup>21</sup>McDonnell and Pascal, 6.

### Espoused

A local affiliate of the AFT or NEA takes some or all of the national organization's position on site-based decision making as its own.

### Local Affiliate

A secondary teacher's organization united in a relationship with a national teacher's organization, and is recognized in the secondary teacher's organization's contract.

### NEA

The National Education Association, a national association of teachers which formerly included administrators and college professors in its membership.

### Professional Teaching Conditions

Professional teaching conditions will be defined as it is stated in the Carnegie Report, Teacher Unions and Educational Reform.

Provisions of contracts that "together constitute a core set of necessary conditions for professional teaching--creating greater autonomy, collective decision making, and accountability."<sup>22</sup>

### School Site-Based Decision Making

Provisions of contracts that create ownership for those responsible for carrying out decisions by involving them directly in the decision making process at the secondary school level. Some of those responsible may be the principal, other building administrators, union representatives, teachers, parents, students and others.

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<sup>22</sup>Ibid., 6.

Score

Total number and/or percentage of contract provisions found for each national organization pertaining to professional teaching conditions and site-based decision making.

Secondary School

A school containing students attending grades nine through twelve.

Secondary School District

A secondary school district is a division of the state for administrative purposes and contains only secondary schools.

Site-Based Decision Making

Site-based decision making will be defined as it is stated in the article entitled "Site-Based Management: The Realities of Implementing," Educational Administration by Cynthia R. Harrison, Joellen P. Killian and James E. Mitchell..

Provisions of contracts that "create ownership for those responsible for carrying out decisions by involving them in the decision making process."<sup>23</sup>

Waiver

A provision of the contract for the relinquishment of some right or claim contained within the contract.

### Limitations

The sample in this investigation consisted of thirteen AFT and thirteen NEA secondary school districts in Cook and Will counties. Due to the limited number of AFT affiliated districts within the geographic

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<sup>23</sup>Harrison, Killian and Mitchell, 55.



area, neither the AFT nor NEA affiliated districts could be selected at random. Rather an attempt was made to match as many as possible AFT and NEA affiliates according to contract availability, approved 1992-93 contracts, school enrollment and school sites. Given these limitations, any conclusions that are made must be considered in the light of the sample selection.

In addition, because of the inherent differences in contracts between secondary and elementary teachers, only secondary school districts were included in this investigation. Therefore, any conclusions must be directed toward secondary schools.

Interviews were limited to two key informants from each of the top four local affiliates from each national union attaining the highest site-based decision making score. While aspects of these inquiries may provide additional information for this investigation, the conclusions are limited to those supported by the actual data.

### Procedure

The sample was a selection of thirteen AFT and thirteen NEA contracts from secondary districts in Cook and Will Counties in Illinois. For each county, the Regional Superintendent's Office was contracted and asked to supply a list of secondary school districts within the county limits. From the list provided, each superintendent was contacted by mail and asked to supply a copy of the current contract negotiated between the school district and the local teacher's association. For this investigation, the sample contracts were selected by union affiliation, 1992-93 contracts, district enrollment and number of secondary sites.

The items in the individual master contracts were first examined for the attainment of professional teaching conditions, and the contracts were reexamined for the attainment of site-based decision making products as espoused by each affiliate's national organization. For each examination, the items were categorized, compared, and contrasted by affiliation through a content analysis to determine what, if any, relationship existed between them. The attainment of professional teaching conditions was compared to the attainment of site-based decision making products for each affiliate to determine what, if any, relationship existed between them.

From the top four local affiliates from each national union attaining the highest number of site-based decision making products, structured interviews were conducted with administrators and union representatives concerning the professional teaching conditions and site-based decision making products found within each affiliate's contract. The data collected from the interviews were categorized according to administrative and union representative responses for each question, and a general summary statement was completed from the responses for each question. The data collected from the interviews provided a validation of the provisions of the documents examined and for more complete data concerning site-based decision making.

### Significance

National, state and local teacher unions, boards of education and educational administrators will receive new information that may assist them in future negotiations concerning issues on site-based decision making and other teacher professional issues. It was hoped that the

additional information would assist all parties in understanding site-based decision making, its purpose, the national teacher unions' positions, the extent and characteristics of site-based decision making in secondary schools in suburban Cook and Will Counties in Illinois. As a result of the investigation, teachers may be able to make more informed choices, and management and local affiliates will be able to negotiate in a more informed manner concerning site-based decision making.

The following chapter will attempt to review literature and research on this topic.

## CHAPTER II

### REVIEW OF LITERATURE AND RESEARCH

In 1992, the American Federation of Teachers had 780,000 members, and the National Education Association had 2.3 million members. Participating in their first joint interview in 1992, Albert Shanker, President of the AFT, and Keith Geiger, President of the NEA, spoke about the stake of the teachers in successful restructuring, but warned that reform must proceed within the framework of negotiations.<sup>1</sup> On the reform issues, AFT and NEA differ on their approaches, and within each organization, state and local affiliates often disagree on the best way to improve teaching.<sup>2</sup>

The effect of collective bargaining on the teaching profession has been very profound, and the roles played by the two major teacher organizations has also been influential in molding the course of education in the United States.<sup>3</sup> Both unions have different approaches to reform, and these approaches include the element of site-based decision making. With the onset of the reform movement, it was felt that there was a need to explore the approaches of the two

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<sup>1</sup>Edward Fiske, "United Against A Common Foe," America's Agenda, (Spring 1992): 16.

<sup>2</sup>Lorraine McDonnell and Anthony Pascal, Teacher's Unions and Educational Reform (RAND Corporation, 1988), 2.

<sup>3</sup>Dolores Fittanto, "An Analysis of the Similarities and Differences in Secondary School Provisions of Contracts Negotiated by the NEA and those Negotiated by the AFT" (Ed.D. diss., Loyola University of Chicago, 1986), 15.

organizations as to the extent of and the characteristics of site-based decision making in collective bargaining agreements from several points of view.

Therefore, this chapter is divided into the following sections:

1. Background on Teacher Professionalism and Educational Decision Making
2. AFT's Approach to Reform and Teacher Professionalism
3. NEA's Approach to Reform and Teacher Professionalism
4. Related Research on the Differences in the NEA and the AFT Approaches to Site-Based Decision Making
5. The Effects of Collective Bargaining on Site-Based Decision Making
6. The Effects of Collective Bargaining on Contract Provisions Pertaining to Site-Based Decision Making

#### Background of Teacher Professionalism and Educational Decision Making

In the last half of the 19th century, teaching in the United States was a male occupation, but with the advent of the Industrial Revolution and the Civil War, women replaced men. Because differentiated salary schedules were universal, women were simply cheaper to employ than men. McClure and Watts cited Willard Elsbree's explanation about the circumstances:

Women teachers were a transient group, withdrawing after a few years of service to be married. This reduced their political effectiveness, slowed up educational reforms, and impeded the improvement of professional welfare.

By the beginning of the 20th century, according to McClure and Watts, the bureaucratic model of supervision was deeply entrenched for the following reasons: a young teaching force, transient, poorly paid, and

for the most part only slightly better educated than the students to be taught.<sup>4</sup>

In 1920, U.S. classroom teachers had less than four years of experience, and in 1940, it had increased to about ten years. A conclusion in a 1940 NEA Research Bulletin stated, "Teaching has not yet become a life-career service, but the tendency is definitely in that direction." According to McClure and Watts, the administrative solution to this lack of stable, career-oriented teachers was to create a system of bureaucratic control with decision making and authority vested above the level of the classroom. There was no planning for a professional, career-motivated teacher work force, and the main focus was on curriculum uniformity, class control and following administrative directions.<sup>5</sup>

After World War II, the following factors stimulated the building of a career oriented teaching force according to McClure and Watts: the number of men seeking employment increased steadily and the approval of married women working outside of the home. The authors contended that as the number of teachers who viewed their teaching positions as careers increased, so did the frustration with the bureaucratic model of supervision. During the 1950's and 1960's, teacher's frustration continued with the bureaucratic model, and McClure and Watts stated that teachers wanted increased access to the means of building a better-compensated career and of doing a better job in the classroom. In order to achieve these economic and political

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<sup>4</sup>Robert McClure and Gary Watts, "Expanding the Contract to Revolutionize School Renewal," Phi Delta Kappan, (June 1990): 766.

<sup>5</sup>Ibid., 767.

objectives, the teachers used the processes of collective bargaining and political action.<sup>6</sup>

By 1970, the "advocacy revolution" had started, and a new form of professionalism arose that emphasized the empowerment of teachers and attacked the unilateral decision making found in the bureaucratic model of supervision. With the advent of collective bargaining, teacher unions were able to achieve for teachers some bilateral decision making on some matters in schools, but the bureaucratic model was still present. These matters were not only economic, but included professional, curricular and pedagogical concerns.<sup>7</sup>

After the release of A Nation At Risk in 1983 and the other studies and reports on the deteriorating quality of American education, the first wave of reform dealt with more of the same, or they were top down reforms that reinforced the bureaucratic model. During the second wave of reform, A Nation Prepared, the Carnegie Task Force on Teaching as a Profession Report, Time for Results, and the National Governor's Association Report discussed the operation of schools under the professional model rather than the bureaucratic. The second wave of reform was entitled teacher empowerment by Frederick West. He described this wave as the bottom-up view of school reform. In this wave, the district and state provided resources, funding and knowledge to the local schools in facilitating their own instructional decisions as an attempt to promote creative responses to educational and instructional issues and problems, rather than the rigid uniformity of practices

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<sup>6</sup>Ibid., 767.

<sup>7</sup>Ibid., 767.

across schools and districts.<sup>8</sup> Glickman stated that under this reform approach, principals, teachers and support personnel shared joint responsibility for decision-making in such key areas as supervision of instructional tasks in the school, staff development, team development for planning, problem solving and action research.<sup>9</sup>

In the 1988 RAND Report, Teacher Unions and Educational Reform, Lorraine McDonnell and Anthony Pascal interpreted the following assumptions on professionalism by Barber and Boreham to arrive at criteria that was used in a score representing contract items that established professional teaching conditions. Barber stated that professionalism assumes that members of an occupation possess a specialized body of knowledge and that, because their work poses complex and non-routine problems, their behavior in applying that expert knowledge should be regulated by an internal code of ethics and by voluntary groups representing them. Since judgment must be used in applying professional knowledge to individual client's needs, Boreham stated that knowledge cannot be reduced to rules or prescriptions for practice; thus professionals as a group required autonomy from administrative control in determining tasks and functions. McDonnell and Pascal summarized from these two assumptions that professional values held teachers accountable through standards and procedures collectively specified and enforced by peers, and that these values also stressed notions of self-governing and collective autonomy. From their

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<sup>8</sup>Frederick West, "Educational Collaboration in the Restructuring of Schools," (Texas: Institute for Learning and Development, 1990), 4.

<sup>9</sup>C. D. Glickman, "Has Sam and Samantha's Time Come at Last?" Educational Leadership, 46 (1989): 5.



summary, the authors used the following three criteria to create a score representing contract items that established professional teaching conditions:<sup>10</sup>

1. Teachers must have sufficient autonomy to exercise their best judgment to instruct students effectively.
2. Teachers must participate in making the decisions that affect the way in which instruction is organized.
3. Teachers must be guaranteed a work environment that includes reasonable class sizes, availability of materials, and sufficient time to teach.<sup>11</sup> Kerchner and Mitchell described these resources as enabling conditions. Enabling conditions do not guarantee professionalism, but they create the circumstances that are necessary for more fundamental teaching reforms to occur.<sup>12</sup>

Using the above criteria, McDonnell and Pascal selected fifteen items that constituted a core of necessary conditions for professional teaching. These fifteen items were used by the authors to generate a professional teaching condition score for each contract examined.<sup>13</sup>

The purpose of McDonnell's and Pascal's research was to study the extent to which teacher unions had attained more professional teaching conditions for their members through collective bargaining. Their research was based on data representative samples of 151 collective bargaining contracts coded for four time periods between 1970 and 1985, and from interviews with more than 600 policy makers and educators in 52 schools, 22 school districts and 6 states. After reviewing the 1980 and 1985 contracts, McDonnell and Pascal concluded

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<sup>10</sup>McDonnell and Pascal, 5.

<sup>11</sup>Ibid., 6.

<sup>12</sup>C. T. Kercher and D. E.. Mitchell, "Teaching Reform and Union Reform," The Elementary School Journal 46:4 (1986): 459-460.

<sup>13</sup>McDonnell and Pascal, 6.

that they perceived a beginning of teacher professionalism provisions being bargained into 1985 contracts. Their findings also suggested that factors related to the collective bargaining process itself, such as early contract strength through the attainment of key bread-and-butter issues, have had important effects for unions attaining more professional teaching provisions.<sup>14</sup>

Collective bargaining by teacher organizations is typically associated with the attainment of "bread and butter" issues. However, teacher unions have argued that a strong contract was also a route to greater professionalism.<sup>15</sup> After unions obtained items governing basic working conditions, their contracts appeared to reflect an interest in establishing more professional conditions for teachers in public schools. The attainment of economic security and teacher rights by unions improved teacher status, but it also ensured that teachers exerted greater control over the way schools were organized and the kind of instruction delivered to students.<sup>16</sup>

The AFT and NEA have not stood in the way of reform, but their approaches to the issue have been different.<sup>17</sup>

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<sup>14</sup>Ibid., 7.

<sup>15</sup>AFT Task Force on the Future of Education, "The Revolution That is Overdue: Looking Toward the Future of Teaching and Learning," (Washington, D.C.: American Federation of Teachers, 1986), 5.

<sup>16</sup>McDonnell and Pascal, 5.

<sup>17</sup>Ibid., 22.

## AFT's Approach To Reform and Teacher Professionalism

David Selden, past president of the AFT, stated that the reasons educational reform did not emerge from the teacher union movement in the 1960's and 1970's were the lack of teacher unity, the need for one teacher union, and the preoccupation of the two unions with organizational rivalry. Since the 1960's, the AFT had stressed blue collar labor issues--teacher salaries, working conditions and teacher rights. After the issuance of A Nation At Risk in 1983 and other educational reports, the AFT responded differently to the reform movement than their counterpart.<sup>18</sup>

William and Howard portrayed the AFT as being "more responsive to educational issues,"<sup>19</sup> or Bernstein portrayed them as staking out "a position clearly to the political right of the once-conservative NEA."<sup>20</sup> Albert Shanker, president of the AFT, was characterized by Maurice Berube as most in tune with the reform movement, and he was its leading teacher "cheerleader." By 1986, Albert Shanker had written dozens of articles in the New York Times on reform, and he issued a position paper on reform calling for a movement to restore teacher professionalism, raising the entry standard of teachers through a national examination, and the development of professional teacher boards that would develop professional standards, handle parent complaints and evaluate textbooks.<sup>21</sup>

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<sup>18</sup>Maurice Berube, Teacher Politics: The Influence of Unions, (Connecticut: Greenwood Press, 1988), 141.

<sup>19</sup>D. Williams and L. Howard, "The NEA in a Cross Fire," Newsweek, (June 1983): 53.

<sup>20</sup>H. Bernstein, "Teacher Unions Swing Right and Left in Battle," Los Angeles Times, 11 July 1983, sec. IV, p. 1.

<sup>21</sup>Berube, 143.

McDonnell and Pascal stated that the AFT did not oppose the reform proposals recommended by the National Commission and by other national and state policy makers. They felt that Albert Shanker framed the union's case in favor of accommodation in terms of potential risk to the AFT if policy makers were to use its opposition as an excuse not to support public education and to support vouchers or tuition tax credits. In 1983, Shanker stated the union's position toward reform in his address given at the 67th annual AFT convention in Los Angeles:

In a period of great turmoil and sweeping change, those individuals and organizations that are mired in what seemed to be petty interests are going to be swept away in larger movements. Those organizations and individuals who are willing and able to participate to compromise and to talk will not be swept away. On the contrary, they will shape the directions of all the reforms and changes that are about to be made. That is what we in the AFT intend to do. We intend to be on board shaping the direction of every change in education.

The AFT continued to support the testing of new teachers and some performance-based compensation, but the union opposed merit pay. Shanker recognized the internal risk of the union position, but characterized the new position as the same risk AFT took twenty years earlier in advocating collective bargaining when the teachers were skeptical of the change.<sup>22</sup>

In the next three years, the AFT moved beyond accommodation to active leadership with a variety of proposals for strengthening the teacher profession. Some of the AFT ideas were embodied in the 1986 Carnegie Report--national teacher examination, a professional teacher board, new roles for teacher mentoring, and a restructuring of the delivery of educational service. In 1986, the AFT Task Force prepared

<sup>22</sup>McDonnell and Pascal, 22-23.

a publication that included the vision Shanker had been stating and the union's vision of implementing the AFT's reform issues. Other publications included recommendations to locals on how the professionalization of teaching goals could be translated into policy and practice through the collective bargaining process, but the emphasis was on local needs and process through formal and informal approaches in the contract--contract provisions, separate memoranda of understanding, etc.<sup>23</sup>

In a 1986 report from the AFT Task Force on the Future of Education, the AFT believed that all decisions regarding the establishment, maintenance, or reform of school structure and governance must be based on their effect upon student learning. With this belief, all AFT recommendations were based on the assumption that schools must be learning centered with teachers empowered to carry out their responsibilities. The AFT stated that the "effective school" characteristics were consistent with their goals and policies for teacher professionalism, but these characteristics were more descriptive rather than prescriptive. In other words, they tell how a school should appear, but do not guide how to create a school.<sup>24</sup>

During the second wave of reform, restructuring networks were formed by the Coalition of Essential Schools, John Goodlad, and the Center for Education and the Economy to promote radically different structures. The AFT used the bargaining process to promote radically different structures. Through the collective bargaining process, in

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<sup>23</sup>Ibid., 23.

<sup>24</sup>AFT Task Force on the Future of Education, 9.

Toledo, Ohio, it was a peer evaluation and assistance plan; in Hammond, Indiana, it was school-site decision making, and other changes were made in Cincinnati, Pittsburgh and the New York City schools. Shanker described these efforts as ways to respond to learning needs of students and to recognize that students learn at different rates and ways.<sup>25</sup>

In 1988, recognizing that scattered restructuring through the bargaining process in some AFT school districts to create radically different structures was not enough. The AFT encouraged 1,000 local units to develop proposals for school-within-schools. This idea was approved by the AFT at the same time as NEA adopted its single laboratory school in each state, and Lewis characterized this AFT strategy as a "mobilization behind a single idea for school reform." Under the AFT plan, union locals bargained with school districts to provide support for groups of six or more teachers to establish "charter schools," and a "charter school" was one in which school boards, administrators, and unions chartered teams to establish autonomous public schools within their building. The criteria established for this AFT Plan includes:

1. No adverse impact on teachers or students not involved in restructuring.
2. Participating student's representative in background and achievement of district enrollment, with their civil rights protected.
3. Participative management and governance required.

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<sup>25</sup>Anne Lewis, Restructuring America's Schools, (Virginia: American Association of School Administrators, 1989), 82.

4. Exposure of all students to higher-order knowledge and holding of students to high standards while acknowledging they learn in different ways.
5. Students actively involved in learning rather than passive recipients of information; use of multiple instructional strategies and technologies.
6. Use of new methods of evaluation that require students to demonstrate mastery and that replace standardized testing.
7. Approval of plans by both the union and the school board.
8. Voluntary participation of teachers, students and parents.
9. Sanction of the school-within-a-school's project by all teachers in the building and the principal; not all would be required to participate however.
10. A time period of a minimum of five years, preferably 10 years, for the restructuring planned, implemented, and evaluated.

The above criteria plus the school district's support for the "charter schools" appeared to be the elements of discussion in bargaining.<sup>26</sup>

The AFT also established the Center for Restructuring that provided technical assistance for this plan. The Center also launched efforts with the Educational Technology Center at Harvard University to analyze student assessments and to provide an Urban District Leadership Consortium to assist urban school superintendents, school board members and union leaders where "participating management" was underway. The AFT Center included 19 cities that enrolled more than 4 million elementary and secondary students. Lewis suggested that the AFT network represented a "first" in many ways because it enlisted a broad range of leadership in the restructuring effort.<sup>27</sup> The AFT has also proposed to the federal government that financial incentives be

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<sup>26</sup>Ibid., 83.

<sup>27</sup>Ibid., 84.

awarded to those school districts who show dramatic improvement over a five year period.<sup>28</sup>

Shanker's call for teacher professionalism through negotiations was a reversal of traditional AFT union policy, and he has reverted to a traditional position of the NEA. Berube stated that the AFT still lagged far behind the NEA on educational issues, and that the quality and quantity of NEA research publications on educational issues was much greater.<sup>29</sup>

As to site-based decision making, the AFT proposed a work place democracy similar to the Theory Z participatory management of the Japanese with greater input from teachers. Shanker believed that American educators should imitate the Japanese system of workers contributing to decision making and being rewarded with life-time security.<sup>30</sup>

In a 1991 Report from the AFT Center for Restructuring Educational Issues Department, the AFT stated that there were few systematic research studies on site-based decision making leading to better teaching and learning. The report further stated that research does indicate that as a result of decentralized governance teacher and student morale improved initially, but whether improved morale translated into better academic performance was uncertain. The AFT viewed site-based decision making as only one part of restructuring

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<sup>28</sup>Albert Shanker, "The End of the Traditional Model of Schooling and A Proposal for Using Incentives to Restructure our Schools," Phi Delta Kappan, (January 1990): 354.

<sup>29</sup>Berube, 144.

<sup>30</sup>Ibid., 144.



schools, and this one part must be tied to an overall effort that helps to bring about improved learning and teaching.<sup>31</sup>

In the same AFT report, the authors stated that AFT does not espouse a model for site-based decision making for the following reasons: differences in composition between affiliates, newness of the issue and lack of research on the issue. The authors further stated that AFT shares information through publications on general lessons learned through bargaining and implementing site-based decision making projects and through model contract language on this issue. The authors cited the following general lesson from AFT urban affiliates on school site-based decision making:

1. A shared vision is the key ingredient to ensuring success at the school site.
2. The goal of enhanced student learning is an indispensable precondition for considering school site-based decision making.
3. As a governance measure, school site-based decision making is one-piece of the restructuring puzzle and so should be considered in relation to other pieces.
4. To ensure that student learning is enhanced, it is necessary to enumerate the substantive educational decisions that will be considered at the school level and how progress will be measured. If school site-based decision making is confined solely to "process" concerns and does not address instructional, curriculum and assessment issues, its success will be limited.
5. Additional time and resources are items most often sought after by staff implementing school site-based decision making.
6. An evolutionary approach (over at least five years) to school site-based decision making is more likely to succeed than one expected to show results in a shorter period of

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<sup>31</sup>AFT Center for Restructuring, "Rebuilding Public Education: America's Foundation for the 21st Century," (Washington, D.C.: American Federation of Teachers, 1991), 3-4.

time. This means that the district's commitment in continuity must supersede any changes in administrative leadership.

The AFT supports school site-based decision making, and supports the following mechanisms to bring this about: collective bargaining process, memorandum of understanding and collaborative trust agreements.<sup>32</sup>

In restructuring schools, the AFT believed that the union and teachers have a self-interest in maintaining the general public's faith in public schools. Shanker stated that the union must acknowledge to the public their stake in successful restructuring through acknowledging the problem, through the AFT's involvement in an intelligent process to finding answers for the problem, and through convincing the public that the union and teachers are the best avenue to finding the answers. He believed that accountability must extend to more than the teachers. He also believed that the nation will not have quality educational reform without the teachers moving into a role of decision making with management to resolve the problems.<sup>33</sup>

According to Berube, Shanker's bottom line was that the unions have not been completely successful in bargaining for wages and working conditions, and that through the restructuring initiatives and the emphasis on teacher professionalism, the AFT and teachers may be able to achieve issues in negotiations that were not obtainable in the past. Shanker stated that the AFT must go beyond the traditional bargaining process to achieve teacher professionalism, to succeed in preserving public education, and to most importantly improve the status of teachers economically, socially and politically. Berube summarized

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<sup>32</sup>Ibid., 4.

<sup>33</sup>Fiske, 19.

that the AFT's goal in the school reform movement was to redistribute educational power more into teacher union hands through bargaining "professionalism" into the contracts. Berube cited this goal of AFT's through the following Shanker statement:

The only thing that's going to turn the schools around is to start turning over the decision making as to what works and what doesn't work over to the people who are actually doing the work and know what's happening in the classrooms. We ought to have power to make the decisions because we know more--more about what is right and wrong to do in the education of children, more about what distinguishes a good textbook from a poor one, more about all of the issues in education.<sup>34</sup>

The AFT believed the union's role was to participate in establishing the ground rules through negotiations, to sponsor training programs for site-based teams, and to create a staff development partnership with the district.<sup>35</sup>

In an interview with Ron Brandt, Albert Shanker explained the AFT's position on restructuring through collective bargaining and the union's flexibility to change provisions in the negotiated contract--waivers or trust agreements:

Well, a contract is a reflection of a system that's already based on rules and hierarchy. With collective bargaining, we're simply saying, if you're going to improve regulations, we're going to make sure that they're jointly arrived at and fairly enforced. However, as you move toward a system where faculties and schools have greater power, you not only have to lift the school board regulations, you also have to lift union regulations.

. . . I do see a trend toward contracts with procedures that enable teachers in school to remove regulations.

Yes, it might be that if a school wants to lift a certain regulation, the principal goes to the school board and the union representative goes to the union that it be lifted. There's still a lot of fear that if we get rid of the union contract provisions - or

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<sup>34</sup>Berube, 145.

<sup>35</sup>AFT Center for Restructuring, 4.

the district regulations - who knows what the next school board, or the next principal, or the next superintendent, or the next union leader will do. So everybody is careful about what they're willing permanently to give up.<sup>36</sup>

In summary, McDonnell and Pascal stated that the AFT's national level approach to reform and teacher professionalism was not to maintain the status quo but to respond positively to the demands for reform, because it feared the result would be extreme change to the public education system. Even though this reaction compromised the AFT's traditional goals, the AFT felt it was in their interest to shape a major change strategy for educational reform. Due to the lack of specifications, the national position was not necessarily followed by the local affiliates. Some local affiliates followed the national organization's direction, but some local affiliates moved more slowly. Externally, the national AFT was represented as a leader in shaping new restructuring strategies; but internally, it encouraged and supported local affiliates in these innovative directions, but did not dictate them.<sup>37</sup>

On decision making, the AFT's position is to total school change that brings about improved learning and teaching, and part of their commitment is to support site-based decision making as one part of restructuring schools. The AFT does not have a model for site-based decision making, but through publications on general lessons and model contract language, the national organization espouses its position. The AFT believed that the collective bargaining process, memoranda of

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<sup>36</sup>Ron Brandt, "On Restructuring Schools: A Conversation with Al Shanker," Educational Leadership 47:7 (April 1990): 16.

<sup>37</sup>McDonnell and Pascal, 24.

understanding and collaborative trust agreements were mechanisms to bring about reform.<sup>38</sup>

### NEA's Approach to Reform and Teacher Professionalism

Historically, NEA's focus had been on professional issues, but due to AFT's militancy in organizing teachers in urban areas, the NEA dropped its professional association stance to follow suit. Teacher professional issues were low priority, while bread-and-butter issues were top priority in the NEA. After the issuance of A Nation At Risk in 1983, NEA's response to the reform movement was characterized by Berube as defensive and suspicious. NEA's officials interpreted criticism of the schools as attacks on teachers. At the time, the NEA was committed to working on policies to educate the disadvantaged, rather than what was espoused in the reform reports, the educating of the "best and the brightest." At the start, the NEA responded differently than the AFT to the reform movement.<sup>39</sup>

In the review of the 1982-83 NEA Handbook, the following positions were opposed by the national organization according to McDonnell and Pascal: testing of new teachers, use of student tests in evaluating teachers, uniform accountability reporting systems and performance based compensation. During this time period, these were the reform policies considered by state and local policy makers.<sup>40</sup>

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<sup>38</sup>AFT Center for Restructuring, 4.

<sup>39</sup>Berube, 127.

<sup>40</sup>McDonnell and Pascal, 21.

Initially, NEA's view point was to "package reforms" using past demands—more money for education, strengthening standards of schools of education and opening avenues for schooling. At a later date, the NEA followed AFT's calling for teacher examinations for certification, and the NEA endorsed the reform objective of developing higher order thinking skills and problem solving skills for students. Instead of national boards of control as espoused by AFT, NEA advocated state boards controlled by teachers. Teachers within the NEA took pro and con positions on the following issues: core curriculum, community service for high school students, elimination of vocational education and lengthening the school year. On the issue of merit pay, both unions opposed this issue.<sup>41</sup>

In 1986, Mary Futrell, past president of the National Education Association, participated on a panel of the Carnegie Forum with Albert Shanker, president of the American Federation of Teachers, to prepare recommendations for educational reform. Mary Futrell stated the following reason for making this accommodating move:

I believe very strongly that we should be on the inside fighting these battles, rather than on the outside casting stones.<sup>42</sup>

While the NEA initially opposed some reform proposals, McDonnell and Pascal depicted NEA shifting from their initial opposition to accommodation, and finally to supporting and encouraging local affiliates to examine and experiment with new approaches to teacher professionalism.<sup>43</sup>

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<sup>41</sup>Berube, 141-143.

<sup>42</sup>McDonnell and Pascal, 25.

<sup>43</sup>Ibid., 26.

NEA's recent emergence as a militant labor union was another reason for the differentiation of the two unions on their approaches to reform. Since most of the collective bargaining gains in local NEA affiliates were recently won, it was hard for the national organization to convince the membership that the new direction would not compromise the gains. In order for change to take place, a reform issue had to be researched thoroughly by the national organization, before the NEA could espouse any new public position. Due to the NEA's size, rotating leadership, recent emergence as a labor union, and current bargaining gains, the national-level NEA's role in reform was different from the AFT's. For these internal and external factors, the NEA approached reform issues in the following manner: the issues were framed by the leaders, research findings were disseminated, NEA publicized state and local affiliates implementation of new reform issues and NEA sponsored network projects such as Mastery in Learning to enhance teacher improvement and more effective learning.<sup>44</sup>

Anne Lewis contended that NEA's approach to educational change stems from different types of networks. The NEA's Mastery in Learning Project was a school based project in 127 cooperating schools throughout the country that focused their efforts on teaching, learning and curriculum. In these schools, teachers worked collaboratively to redesign their programs, and these schools received special funds, a bank of substitute days, a site-based consultant, support from regional educational laboratories and help from NEA headquarters. The four assumptions of this program were: 1) the school's curriculum must

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<sup>44</sup>Ibid., 26.

have content, integrity, social significance, and empower learners now and for the rest of their lives, 2) the school community must hold high expectations for its students, 3) the central priorities of schools--learning, teaching, curriculum--must guide all other educational decisions and 4) every decision about learning and instruction that can be made by a local school faculty must be made by that faculty. With these assumptions, each school developed their own plan, and the faculty agreed upon the plan. Robert McClure, NEA's Project Director for this program, stated the purpose of the program was to help faculty and students in individual schools, but it also showed to educational policy makers the benefits of allowing teachers to make decisions over teaching, learning and curriculum.<sup>45</sup>

Operation Rescue was an NEA network program that consisted of grants to nine NEA affiliates to locally develop and implement drop-out prevention programs. The Team Approach to Better Schools (TABS) was another network program that supported small team projects that were gradually expanded within the school and then to other feeder schools. For this program, the NEA has provided start-up funds and technical support for 70 schools in 17 school districts, and the purpose of TABS was to develop school based, shared-decision making. Another network, Learning Laboratory, was announced in 1988 to form a "learning laboratory" in at least one school district in each state for innovation in curriculum and teaching. The laboratory school districts had to have the backing of the school community, and were to implement improvements in curricula, teaching strategies, cooperative

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<sup>45</sup>Lewis, 78-79.



decision-making and collaborations with colleges and universities based on research. The project district provided for time and resources for planning and training.<sup>46</sup>

The NEA and AFT agree that successful reform must proceed within the frameworks of negotiations. In an interview with Edward Fiske in 1992, Keith Geiger, current president of the National Education Association, described NEA's collective bargaining response to restructure schools:

If one looks at the history of collective bargaining, starting in the early 1950's or in the early 1960's, we negotiated in the early days basically for salaries and fringe benefits, and working conditions to a certain degree. Now those young people coming out of college and going into teaching expect us to continue to do the bargaining for salaries and working conditions, but their expectations that the unions will also be a catalyst for change and will be expert in instruction and in school reform and so on, is much greater than it ever was. Yes, the union must change its role.<sup>47</sup>

Through collective bargaining, he proposed that the NEA will respond to the teachers' expectations for professionalism.

Keith Geiger stated that he agreed with the RAND Report findings, "Teacher Unions and Educational Reform," and he believed the NEA needs to look for school reform in places that the union has strength such as a strong superintendent and strong union leader. He further stated that the successful restructuring of schools must not just hold teachers accountable, but it must include an accountability mix of teachers, administrators, school community, the public, the state and federal government and the President of the United States. Geiger agreed with Shanker that successful reform will not occur unless

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<sup>46</sup>Ibid., 80.

<sup>47</sup>Ibid., 80.

teachers are allowed to become decision makers with management. He also stated that no union in the U.S. is going to waive any rules and regulations for school reform unless it is first handled at the bargaining table.<sup>48</sup>

In a speech at the 1990 NEA Convention, Keith Geiger briefly described the organization's position on teacher professionalism and educational decision making:

If we are going to improve education, we have to change what's going on in the classroom. We must say, "No more business as usual." We must be the catalyst to move the country off dead center . . . we must be the ones to show how to get the educational structure ready, the school staff ready for the year's ahead.

I want people to recognize that we fully support school-based decision making. Push the decisions and the funds to go with them-down to where the faculty and school staff are, and I guarantee that education in this country will improve. So, to the school boards and state legislatures, I say, if we are really to restructure, free the NEA two million. Free their creativity. Free their talents. Free their ideals, and deep desire to make a difference.<sup>49</sup>

At this same convention, the NEA assembly passed the following NEA Resolution F-4 on Site-Based Decision Making:

The National Education Association supports site-based decision making processes that are based on contractual/formal agreements between districts and local associations. The Association believes that the scope of local site decision making should be limitedly only by the contractual/formal agreement. The Association further believes that such agreements must include the following elements:

- a. Voluntary participation by local sites.
- b. A district-association structure for processing conflict resolution.

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<sup>48</sup>Ibid., 16-19.

<sup>49</sup>Anna Natale and Donna Harrington-Lueker, "Teacher Unions Mull the Usual From Ecology to Foreign Policy," The Executive Educator, (October 1990): 28-29.

- c. An agreement on the scope of decision making authority available to the sites.
- d. Consistent representation appropriate to the site and selected by each constituency.
- e. Compensated planning and training time for staff and governance bodies as well as additional resources necessary for successful implementation.
- f. Compensation and/or released time for participating members.<sup>50</sup>

Keith Geiger feels that moving down the decisions to the building level will not be that smooth.<sup>51</sup>

In addition to Resolution F-4, an NEA Guidance and Training Manual defined the term "site-based decision making" as follows:

Site-based decision making is a joint planning and problem solving process that seeks to improve the quality of work life and education.<sup>52</sup>

In conformity with the characteristics stated in NEA Resolution F-4, the NEA manual also described the process for a site-based decision making project as follows:

1. It is a joint effort between labor and management.
2. It involves the association and its members in planning as well as problem solving in present and future problems.
3. It changes the nature and exercise of power in the district and its schools. The project must fundamentally change the way decisions are made, and both the control of decisions and responsibility for them are shared.
4. It involves the institutionalization of the change process. A site-based decision making project gives committees formal

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<sup>50</sup>NEA Handbook-1991-92, "Resolution F-4, Site-Based Decision Making," (Washington, D.C.: National Education Association, 1991), 264.

<sup>51</sup>Fiske, 19.

<sup>52</sup>NEA Research, "Site-Based Decision Making--The NEA Census of Local Associations," NEA Studies in Collective Bargaining, (Connecticut: National Education Association, 1990), 3.

authority to make decisions, and it is not dependent upon the patronage of individual administrators.

5. It is a process in which the ultimate goal is comprehensive change in school governance and educational programs.
6. Where collective bargaining exists, site-based decision making is regulated by the collective bargaining agreement. Items to be covered in the agreement are noted in Resolution F-4.
7. Where bargaining does not exist, the process is regulated by a memorandum of understanding between the board and association.

As a complex and large-scale effort, site-based decision making, as cited by NEA, can be easily distinguished from other NEA reform projects that have more modest goals.<sup>53</sup>

With the organizational structure of the NEA, McDonnell and Pascal contended that the policy of gradual accommodation was the only approach NEA could attempt to achieve school reform and teacher professionalism. Through gradual accommodation, the NEA moved in a particular direction, and the organization felt that it would be more likely that the change would be accepted by the local affiliates.<sup>54</sup>

On decision making, the NEA viewed site-based decision making as the major component for restructuring schools, whereas, the AFT viewed site-based decision making as only one part of restructuring schools. The NEA does have a model for site-based decision making, and the national organization's position on this issue is espoused in NEA Resolution F-4 on Site-Based Decision Making.

In the next section, research studies will be reviewed on the differences between the NEA and AFT on site-based decision making.

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<sup>53</sup>Ibid., 3-4.

<sup>54</sup>McDonnell and Pascal, 26.

Related Research on the Differences in the NEA  
and the AFT Approaches to Site-Based Decision Making

In 1965, Robert Lee Clark studied the roles of the AFT and NEA in collective negotiation. His study involved a survey of teachers and school administrators in five Illinois school districts. One of his conclusions was that both the teachers and school administrators felt that NEA was more concerned with raising professional standards, and AFT was more concerned with salaries and working conditions.<sup>55</sup>

In 1973, Thomas Thacker compared the attitudes of negotiators and items in negotiated contracts affiliated with the AFT and NEA. His sample included nine-randomly selected school districts in the Southeastern portion of Illinois. The study attempted to measure the level of militancy, professionalism and association with management, and he conducted an item analysis on the district's master contracts.

As to professionalism, Thacker concluded that AFT negotiators displayed a higher degree of militancy, but they did not display any significant difference in professionalism. His study found no significant differences in items in contracts, but he concluded that there were a significantly higher number of educational provisions and employee considerations in AFT contracts.<sup>56</sup>

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<sup>55</sup>Robert Lee Clark, "The Roles and Positions of the NEA and of the AFT in Collective Negotiations: Opinions of Teachers and School Administrators of Five Selected School Districts in Illinois," (Ph.D. diss., Southern Illinois University, 1965); quoted in Fittanto, 39.

<sup>56</sup>Thomas Larry Thacker, "A Comparison of Attitudes of Negotiators and Negotiated Contracts Between NEA Affiliated School Districts and AFT Affiliated School Districts," (Ph.D. diss., Oklahoma State University, 1973); quoted in Fittanto, 40-41.

After a content analysis of forty selected teacher contracts in 1967, Edward Andrews concluded that the two organizations were essentially the same.<sup>57</sup>

The purpose of a study by Ziemer and Thompson in 1972 was to determine the extent in which curriculum and instruction components were included in fourteen AFT contracts and fourteen NEA contracts. They concluded that a significantly greater number of curriculum components were contained in AFT contracts. According to Ziemer and Thompson, the reason for the significant number of curriculum components in AFT contracts was the union attitude to gain greater control over curriculum and instruction. The NEA sought more of a professional approach.<sup>58</sup>

In 1986, Delores Fittanto studied the differences and similarities in contract provisions negotiated by the AFT and NEA. She examined nineteen IEA and nineteen IFT contracts from Cook, Will, Lake and DuPage counties in the state of Illinois. She concluded that the study indicated no clear difference in the provisions negotiated by AFT or NEA. AFT negotiated contracts tended to be more specific in all provisions. She felt that the reasons for the specificity in the AFT contracts was the union's association with organized labor, and with this association, the AFT would attempt to negotiate a contract that would be extensive to avoid interpretive problems and implementation.<sup>59</sup>

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<sup>57</sup>Edward J. Andrews, "What are the Issues?" Educational Leadership, 26:6 (March 1969): 535-537.

<sup>58</sup>Russell H. Ziemer, "Negotiations and Curriculum: NEA vs. AFT," Educational Leadership, 31:2 (November 1973): 102-105.

<sup>59</sup>Fittanto, 87-92.

In the 1988 RAND Report, Teacher Unions and Educational Reform, Lorraine M. McDonnell and Anthony Pascal examined the role of organized teachers in educational reform efforts, focusing on three primary issues:

1. The extent to which teacher unions have attained more professional teaching conditions for their members through collective bargaining.
2. The political response of teacher organizations to national, state and local reform initiatives.
3. The way in which the interests and activities of teacher organizations are likely to shape successive generations of educational reform, particularly efforts to restructure the teaching profession.

Their research was based on data representative samples of 151 collective bargaining contracts coded for four-time periods between 1970 and 1985, and from interviews with more than 600 policy makers and educators in 52 schools, 22 school districts and 6 states.<sup>60</sup>

From 1980 to 1985, McDonnell and Pascal concluded that they perceived a beginning of teacher professionalism provisions being bargained into contracts. Their findings also suggested that factors related to the collective bargaining process itself, such as early contract strength through the attainment of key bread-and-butter issues, have important effects for unions on the winning of professional-teaching-condition provisions.<sup>61</sup>

As to the political role of teachers' unions, McDonnell and Pascal concluded that the national-level AFT and NEA chose different strategies in their response to reform and teacher professionalism, but

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<sup>60</sup>McDonnell and Pascal, 2.

<sup>61</sup>Ibid., 13-14.

their positions have not always been reflected in their state and local affiliates. AFT state and local affiliates were more cautious than the national organization, and they were more apt to choose accommodation rather than active leadership. NEA state and local organizations responded in the same way as the national organization, but even these affiliates had some variation by choosing the response of accommodation. The authors concluded that a teacher union's choice of strategy depended largely on how it calculated the balance of risk between its internal function as a membership organization and its external role as an interest group. Their case studies indicated that active reform leadership was risky, and accommodation has been the most common response for state and local affiliates of both unions. With the teachers' unions common response of accommodation, the authors further concluded that teacher unions have not been a major obstacle in school reform.<sup>62</sup>

On teacher unions and the next generation of reforms, McDonnell and Pascal examined school districts where labor and management have worked collaboratively to restructure teachers' work lives and enhance their professional responsibilities. The purpose of this examination was to determine if these were isolated cases or a start of a broad-based trend. The author's findings suggested that the signal of the beginning of a national trend depended upon the extent the teachers were resocialized in their expectations of their own role and the union's role. From these findings, McDonnell and Pascal concluded that the teacher organizations need to develop a strategy to meet the

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<sup>62</sup>Ibid., 50-51.



expectations of policy-makers for higher quality teachers, while at the same time, teachers regard the pay-off from greater professionalism more positively. The authors argued that this strategy for teacher organization depends on meeting the following three conditions:

1. Reform policies cannot be substituted for traditional bread-and-butter items that regulate teachers' basic working conditions (e.g., length of teaching day, class size).
2. Policy makers should accept the fact that not all teachers want to assume the new roles envisioned in an environment of greater professionalism, but they do not want to be treated as second class citizens.
3. Policy makers and reform advocates should consider how the trade-offs that must inevitably occur in bargaining for greater teacher professionalism can be packaged to make them more acceptable to both local union leaders and rank and file members.<sup>63</sup>

According to the research, there appeared to be no significant differences in the contracts negotiated by the AFT or NEA, but AFT contracts tended to be more specific. As to contract provisions pertaining to teacher professionalism, there appeared to be no clear difference in the contract provisions between the two organizations.

Site-based decision making is one of a number of contract provisions under the umbrella of teacher professionalism. There is related research on the differences between the NEA and AFT as to teacher professionalism, but there appears to be no research on this topic, the differences in the NEA and AFT approaches to site-based decision making.

In the next section, the effects of collective bargaining on site-based decision making will be reviewed.

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<sup>63</sup>Ibid., 52-58.

## The Effects of Collective Bargaining on Site-Based Decision Making

Until the late 1970's, there had been minimal research on the effects of teacher unions and collective bargaining on public schools. Susan Moore Johnson stated that collective bargaining has been found to provide protection from administrative abuse and political patronage and to improve many of the conditions of teaching. The following paragraphs describe the conclusions of the authors of four major case studies on the effects of collective bargaining in public schools.<sup>64</sup>

In 1979, William J. Grimshaw studied the development and consequences of union rule in Chicago schools, an AFT affiliate. In his study, he concluded that teacher unions have gained a measure of critical control over education.<sup>65</sup>

In 1984, Susan Moore Johnson studied three militant union school districts and found both positive and negative impacts. She concluded that collective bargaining resulted in class-size limits that made teaching easier, and the elimination of clerical duties enabled teachers to have more time for classroom preparation. She further concluded that collective bargaining did not increase a teacher's professional commitment.<sup>66</sup>

In 1985, a study by Randall W. Eberts and Joe A Stone examined 14,000 fourth graders in math from 328 elementary schools in a nationwide random sample. The authors adopted the production input-output

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<sup>64</sup>Susan Moore Johnson, "Can Schools be Reformed at the Bargaining Table?" Teachers' College Record, 89:2 (Winter 1987): 271.

<sup>65</sup>William J. Grimshaw, Union Rule in the Schools (U.S.A.: D. C. Heath Publication, 1979), 72.

<sup>66</sup>Susan Moore Johnson, Teacher Unions in Schools (Pennsylvania: Temple University Press, 1984), 154.

research design, and they factored in variables ranging from socioeconomic background of pupils, parental involvement, teacher-pupil characteristics and the amount of time on instruction. The authors concluded that students in union schools performed no better on standardized math tests than did those in non-union schools.<sup>67</sup>

The final study was completed in 1985 by Dorothy Kerr Jessup. She studied three small, unionized school districts in southern New York State. In a 1979 follow-up to a 1969 survey, Jessup discovered that teachers were satisfied with salary increases resulting from collective bargaining, but they reported deteriorating job security at the time of national involvement in education. Jessup concluded that the effectiveness of collective bargaining depended, to a large extent, on how the communities were receptive to teacher unionism.<sup>68</sup>

Susan Moore Johnson contends that collective bargaining has been adapted by local districts to address issues of educational policy, but she stated it is not the ideal process to specifically design new programs or to resolve difficult problems. She further contended that there were limits to the bargaining process, and policy-makers should expect that the progress teachers make will occur in other forums, away from the negotiating table and independent of the contract.<sup>69</sup>

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<sup>67</sup>Randall W. Eberts and Joe A. Stone, Unions and Public Schools: The Effects of Collective Bargaining on American Education (Massachusetts: Lexington Books, 1983); quoted in Johnson, 1987, 271.

<sup>68</sup>Dorothy Kerr Jessup, Teachers, Unions and Change: A Competitive Study (New York: Praeger Press, 1985); quoted in Johnson, 1987, 271.

<sup>69</sup>Johnson, 276.

In 1988 and 1989, Priscilla Wohlstetter and Karen McCurdy investigated the relationship between political context and choice of decentralization policy. The study focused on three large urban school districts that were in the process of implementing decentralization reform--Chicago, Los Angeles, and Miami. Semistructured interviews were conducted with school board members and others who might have influenced the decision on decentralization. This data was supplemented by archival documents provided by the school district, newspaper accounts and journal articles. Wohlstetter and McCurdy concluded that decentralization policies appeared to be strongly influenced by district politics. They stated that many of the political conditions found in the study, can be manipulated and acted upon by policy-makers. They further concluded that the findings from this study suggested that policy makers concerned about educational improvement ought to start by evaluating school district politics, and to the extent possible ready the district's political climate before beginning reform efforts.<sup>70</sup>

From studies of organizations, educational change, school effectiveness, and reform in private industry, Wohlstetter and McCurdy stated that certain political conditions were more likely to produce lasting change. From an analysis of literature, they suggested that school district politics should be characterized by:

1. Strong inside actors.
2. Strong alliances between district management and the teacher's union--change is more likely to result from policies requiring a participatory approach (administrator-

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<sup>70</sup>Priscilla Wohlstetter and Karen McCurdy, "The Link Between School Decentralization and School Politics," Urban Education 25:4 (January 1991): 392-412.

teacher collaboration) that fosters ownership and commitment.

3. Strong leadership and support from top management.
4. Locus of power at school site.<sup>71</sup>

In a paper presented at the 1990 Annual Meeting of the Southern Regional Council on Educational Administration in Atlanta, Georgia, School Improvement Can't be Negotiated, Donald Chalker contended that since the school improvement models require mutual trust, there appeared to be incompatibility between the traditional negotiation process and school improvement process. He contended that negotiations carried a negative connotation by educators and carried a perception of adversarial relationships, and since the trust levels between participants declined in adversarial negotiations, meaningful change became difficult. He also contended that the traditional negotiation process would not produce the cooperative and trusting atmosphere required for successful school improvement.<sup>72</sup>

Chalker further contended that site-based decision making cannot be negotiated under the traditional adversarial model, because he believed it must be cooperatively planned, and the decisions made by the participants at the site must not be confined by limitations of a master contract. He concluded that as school governance changes, so must the people and the methods they use to gain power. If the negotiation process changed, he believed that school improvement could

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<sup>71</sup>Ibid., 411.

<sup>72</sup>Donald M. Chalker, "School Improvement Can't be Negotiated," paper presented at the Annual Meeting of the Southern Regional Council on Educational Administration, Atlanta, Georgia, (November 1990) Loyola University Library, Chicago, 1-2, microfiche.

be negotiated, and this positive change would create power for all involved in educational decision making.<sup>73</sup>

Both Donald Chalker and Susan Moore Johnson referred to this positive change in the negotiation process as a form of win-win bargaining such as Fisher's and Ury's "principled negotiations." Susan Moore Johnson characterized the use of win-win bargaining experiments in education as coinciding with an increasing recognition on the part of school managers that teachers can play constructive roles in policy making, and that the problem of professional reform was one of enabling rather than regulating their staffs. Without this positive change and recognition by school management, bargaining would remain an adversarial game.<sup>74</sup>

In the "principled negotiations" process, Fisher's and Ury's approach to collective bargaining stated that both sides look for mutual gains through a process of open problem solving. Issues are decided upon on the basis of merit only when both sides can end-up winners. The participants cannot focus on people, but only on issues. Personal attacks are not permitted and the atmosphere of negotiations is not confrontational, but collaborative.<sup>75</sup>

The process of "principled negotiations" has become a popular concept used in place of the traditional process which Fisher and Ury called "positional bargaining." In Toledo, Ohio; Dade County, Florida; Petaluma, California; Hammond, Indiana; Pittsburgh, Pennsylvania;

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<sup>73</sup>Ibid., 3-6.

<sup>74</sup>Ibid., 6; Johnson, 1987, 275.

<sup>75</sup>Chalker, 6.

Boston, Massachusetts and Albuquerque, New Mexico, these urban school districts used some form of win-win bargaining to restructure their schools. A common comment of other union leaders on the new process of negotiations was echoed by Albert Fondy, president of the Pittsburgh Federation of Teachers:

We can now get things into the contract that we could never get into it in any other way. Collaborative bargaining actually makes this easier.<sup>76</sup>

Don Whatley, president of the Albuquerque Federation of Teachers, observed the following about win-win bargaining:

Win-win bargaining produced discussions and solved contract language problems that had been on the table for years. In addition, items spun out of these discussions had not been on the table, such as teacher empowerment and site based management. Looking back, I don't know why we didn't do this before. We spent ten years unproductively.

The factory-model contract of the past emphasized the product with no regard for the process, and it is time to move away from this conception. The process of change is ongoing and collective bargaining is fundamental to the continuation of the process.<sup>77</sup>

Marilyn Rauth contended that collective bargaining, strong collaborative relationships and a process that fosters union/management cooperation seems to be the keys to achieving greater faculty involvement in decision making and to moving toward school restructuring. She stated that just as there is no single blueprint for restructuring, there is no single blueprint for using collective bargaining to accomplish restructuring. She also contended that many union officials struggle to

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<sup>76</sup>Marilyn Rauth, "Exploring Heresy in Collective Bargaining and School Restructuring," Phi Delta Kappan (June 1990): 783-784.

<sup>77</sup>Ibid., 789.

redesign collective bargaining in order to decentralize decision making in the schools and to raise teacher professionalism.<sup>78</sup>

### The Effects of Collective Bargaining on Contract Provisions Pertaining to Site-Based Decision Making

Although there is no research on the differences between the NEA and the AFT approaches to site-based decision making, there has been some research conducted and literature written on contract provisions pertaining to site-based decision making.

Decision making is the process of choosing among alternatives. According to Lunenberg and Orenstein, it is important for school administrators to understand that choice processes play an important role in motivation, leadership, communication and organizational change. They contended that all decisions have an effect on the performance of faculty and students, and the quality of decisions is an evaluative measure of an administrator's effectiveness. In a group decision making process such as site-based decision making, decisions are the product of interpersonal decision processes and group dynamics. Lunenberg and Orenstein believed that group decision making results in a number of benefits over individual decision making, including increased decision quality, creativity, acceptance, understanding, judgment and accuracy. In their book, they cited experts such as John Goodlad, Jennie Oakes and Kenneth Sirotnik who advised school districts that a proven method to increase school effectiveness is to involve employees in the decision making process.<sup>79</sup> According to Harrison, Killion, and Mitchell, the

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<sup>78</sup>Ibid., 790.

<sup>79</sup>Federick C. Lunenberg and Allan C. Ornstein, Educational Administration (California: Wadsworth Publishing Company, 1991), 158-172.



reason for this increase in school effectiveness can be explained in their definition of site-based decision making:

Site-based decision making means creating ownership for those responsible for carrying out decisions by involving them directly in the decision making process.<sup>80</sup>

In Edwin M. Bridges shared decision making model, Zone of Acceptance, he postulated that as administrators involve teachers in making decisions within their zone of acceptance, participation will be less effective, and as administrators involve teachers in making decisions outside their zone of acceptance, participation will be more effective. In this model, the school administrator must determine, through the test of relevancy and the test of expertise, which decisions fall inside and which outside the zone of acceptance. If teachers have a personal stake (high relevance) in the decision and have the knowledge to make a useful contribution (high expertise), the decision falls outside the zone of acceptance, and Bridges contended that teachers should be involved in the decision making process. If the decision is not relevant and it falls outside their sphere of competence, the decisions fall within their zone of acceptance, and Bridges contended that the school administrator should make the decision and the teachers should not be involved.<sup>81</sup>

In Victor Vroom's and Paul Yetton's decision making model, Normative Model, the authors described decision making as a clear

<sup>80</sup>Cynthia R. Harrison, Joellen P. Killion and James E. Mitchell, "Site-Based Management: The Realities of Implementing," Educational Leadership, 46 (1989): 55.

<sup>81</sup>Wayne K. Hoy and Cecil G. Miskel, Educational Administration: Theory, Research and Practice (U.S.A.: McGraw-Hill, 1991), 328-329.

statement of what the school administrator is suppose to accomplish as to decision quality, decision acceptance and timeliness. In the model, Vroom and Yetton defined five decision making styles for school administrators which were: 1) school administrator makes the decision, 2) input or recommendation is received from individual teacher, but the administrator makes the final decision, 3) the problem is shared with the individual; input or recommendation may or may not be involved, but the administrator makes the decision, 4) the problem is shared with the teachers in a group; input or recommendation is received from the group, but the administrator makes the decision, and 5) the problem is shared by the group; a consensus decision is made by the group, and the administrator implements the decision of the group.<sup>82</sup>

DeBruyn described Vroom's and Yetton's fifth decision making style as empowerment, and two, three and four as hollow empowerment. He defined empowerment as the delegation of power and authority to teachers within the school setting, and he defined hollow empowerment as increasing the amount of time teachers spend on decision making without increasing the teachers influence over decisions.<sup>83</sup>

In 1984-85, the Illinois Association of School Boards published a research report on "Collective Bargaining in Illinois Schools." One part of the four part report dealt with the impact of collective bargaining on decision making. In 1984, IASB mailed a four part collective bargaining questionnaire to 940 member school districts in the state of Illinois. Questionnaires were returned by 62% of the school districts which

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<sup>82</sup>Lunenberg and Ornstein, 168-169.

<sup>83</sup>R. DeBruyn, "Releasing Power . . . Maintaining Control," Views, Insights and Perspectives (March 1991): 12-16.

represented 58% of the total school districts in Illinois. As to teacher organization affiliation, there were responses from 235 NEA/IEA affiliates, 40 AFT/IFT affiliates, and the rest were independent. Part two of the report dealt with an analysis of "How Collective Bargaining Affects Decision Making in Illinois Schools." Ronald Booth, Milton Carlson and Steven Johnson, the authors, highlighted the following conclusions from the data summaries on the effects of collective bargaining on decision making in Illinois: 1) a majority of districts would not involve teachers in decision making in the following areas: establishing citizen advisory committees, replacing a head coach, adding a learning disability teacher, approving building specifications, holding a tax referendum, approving union request to use the P.A. system, days-off from unused snow days, increases in class sizes, issuing individual contracts, reprimanding teachers, issuing dismissal notices, reducing staff, evaluating principals, and decisions related to implied teacher security issues, and 2) a majority of districts would involve teachers in decision making in the following areas: regarding requests to attend a union convention, assignment of non-paid duty, adoption of salary schedule, change in insurance benefits, change in sick leave policy, preparation of school calendar, change in payroll procedure, an increase in the school day, change in length of lunch period, retirement bonus provisions, implied teacher benefits, revising teacher evaluation procedures, reassigning teachers, reassigning paid extra-duties, developing pupil discipline procedures, limiting irrelevant classroom discussion and revising the grievance procedure. Many of the teacher

decision making items were written in policy, but were not included in collective bargaining agreements.<sup>84</sup>

In 1988, the American Association of School Administrators surveyed the teachers of the year and also surveyed superintendents and other administrators about various restructuring proposals. The survey was conducted for Anne Lewis's book, Restructuring America's Schools. The administrative survey was based on a small sample of AASA members from mostly non-urban districts, but according to Lewis, the respondents were representative of the school leadership in this country. In analyzing the individual responses of the administrators and teachers to each restructuring proposal, the following information reflected the actual responses from the two surveys: 1) as to reorganizing the district structure/governance, the administrators disagreed, and there was no general agreement by the teachers, 2) as to requiring more accountability, the administrators agreed, and the teachers disagreed, 3) as to reorganizing faculty practices, both parties agreed, 4) as to establishing restructuring experiments, the administrators disagreed, while the teachers agreed, 5) as to restructuring of teaching methods and restructuring of curriculum, both parties agreed, 6) as to site-based management or giving greater authority to the schools, both parties agreed, and 7) as to site-based decision making or giving greater authority to teachers, both parties appeared somewhat neutral on this matter. Lewis concluded that the administrative responses may reflect "official" positions of local and

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<sup>84</sup>Ronald Booth, Milton Carlson and Steven Johnson, "Collective Bargaining in Illinois Schools, 1984-85," (Illinois: Illinois Association of School Boards, 1985), 33-48.

state organizations, and she also concluded from the survey that experienced teachers are comfortable with the proposals of restructuring and strongly support them.<sup>85</sup>

In 1990, the National Education Association took a national census of local associations to determine the extent and characteristics of site-based decision making. The NEA Census on Site-Based Decision Making Initiative was mailed to 12,760 local association presidents representing K-12 education employees. The response rate was 45% (5,747) of those receiving the census. Data was collected from both bargaining and non-bargaining local associations. Inferences were only made from those responding to the census. According to the NEA, the census focused on general characteristics as well as labor relations pertinent to site-based decision making, and it examined the relationship of local association involvement and collective bargaining to the structure and objectives of site-based decision making. The purpose of the census was to help NEA assess the importance of site-based decision making and to make well informed future decisions on this subject. The projects referred to in the NEA report described district-level projects and not building-level projects. The NEA made the following conclusions from the census data: 1) various forms of site-based decision making is fairly wide spread--one-third of respondents, 2) the site-based decision making projects deal with a number of educational issues--curriculum, staff development, program evaluation, instructional material, student assessment, student grouping and the budget, 3) a wide range of educational issues are more likely to be discussed when

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<sup>85</sup>Lewis, 15-20, 70-76.

the local association is involved, then when it is not, 4) participation by parents, students, and educational support personnel is higher when the local association is involved in the project than when there is no association involvement, 5) association involvement is also related to the nature of the primary objective of site-based decision making projects—improvement of instruction, improvement of job satisfaction and employee decision making, 6) when the association is involved, the project is more likely to have representatives who are either elected or chosen by the local association than when it is not involved, 7) one-half of all site-based decision making projects were initiated by school boards, superintendents or school administrators; one-third of the projects were initiated by the local association in concert with another group, and six percent were initiated by the local association alone, 8) associations are more likely to be involved in site-based decision making when they have a role in initiating it, 9) one-half of the site-based decision making projects are not regulated by an agreement of any kind; one-fourth are regulated by an informal agreement, and one-fourth are regulated by a collective bargaining agreement or letter of agreement, 10) training and association involvement are related to the presence of a formal agreement, 11) close to forty percent of all site-based decision making projects involve outside groups, 12) many state governments and state education departments support the concept of site-based decision making, and 13) the distribution of power and authority to employees is a key issue in the effectiveness of site-based decision making—improvements in morale and improved coordination of policies and programs in school. The census also requested information regarding a number of key provisions found in the local agreements regulating site-

based decision making projects. The NEA found that half of all agreements contained some provisions for financial resources and release time; one-fourth contained a prohibition on subjects to be discussed, and fifteen percent of collective bargaining agreements and six percent of informal agreements contained waivers. The NEA contended that in seeking to bring the site-based decision making projects into a healthy relationship with the contract, there is no substitute for a formal agreement. The NEA claimed that to their knowledge this was the largest census on site-based decision making conducted in public education in the United States.<sup>86</sup>

In 1993, Judith Anderson, Office of Research of the U.S. Department of Education, prepared a report to provide background information on school-based decision making for the Organization of Economic Cooperation. The purpose of the report was to examine where decision making now occurs in school districts in the United States. Anderson analyzed information collected from 8,580 public school principals on the 1987-88 School Administrator Questionnaire. As to school-based decision making, Anderson concluded that much decision making takes place at the school district level, although principals appeared to have considerable influence in hiring.<sup>87</sup>

Shedd contended that as efforts increase to shift more decision making from central office to individual schools, bargainers can expect to create new rules governing application of district wide agreements to individual schools. He predicted school principals and faculties jointly

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<sup>86</sup>NEA Research, 3-18.

<sup>87</sup>Judith Anderson, "Who Runs the Schools?" The Principal's View," Education Research Report (May 1993): 1-4.

making decisions and sharing authority, and being able to make some exceptions to provisions of the district-wide agreement. With site-based decision making, he contended that management rights will also need to be modified.<sup>88</sup>

Nikoles stated that site-based decision making will cause unions to bargain over management practices, procedures and even policies. He contended that unions will continue to negotiate items they demanded in centralized systems, but they will broaden their demands as more decisions are made at the school site. With site-based decision making, he contended that unions will focus attention on the following areas at the site: hiring, firing, budgetary allotments, acquisition of supplies and equipment, promotions, class size, hours of work, community involvement, department head teachers, career ladders, school committee membership and other areas that centralized unions had difficulty gaining footholds.<sup>89</sup>

On restructuring schools through the union contracts, Murphy stated that a number of analysts have concluded that the reinvention of schooling will necessitate the rethinking of the labor-management perspective that undergirds relationships between teachers and school boards, and he concluded that labor and management priorities must become more similar. Murphy also stated that the basic concepts contained in restructuring attacks the principles of the trade union doctrine, and this attack, has exposed the inconsistencies between

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<sup>88</sup>Joseph B. Shedd, "Collective Bargaining, School Reform and the Management of School Systems," Educational Administration Quarterly, 24:4 (November 1988): 412-413.

<sup>89</sup>Kenneth W. Nikoles, "Contract Negotiations in the 1990's," School Business Affairs, 62 (February 1990): 36-39.



contract requirements and the needs of students and the traditional contract provisions that mandate sameness for all.<sup>90</sup>

In order to address the impediments of the traditional union contracts, Murphy recommended the employment of waivers in union contracts. Murphy described the waiver, as a strategy that allows the basic contract to remain in place, but individual schools are allowed to request exemptions from some of its provisions. He stated that many school districts were using contract waivers to pioneer restructuring efforts and to enhance site-based decision making.<sup>91</sup>

As cited by Reavis and Griffith in their book, Restructuring Schools, in the area of decision making authority at the site, discretion has been permitted in the areas of budget, staffing, curriculum, personnel, establishing school priorities, assessing the effectiveness of school programs and staff development. The authors mentioned that some school districts have formed local site-councils that involve parents and teachers, and the council participants can make decisions in specified areas or make recommendations to the school board and/or apply for waivers.<sup>92</sup>

According to Watts and McClure, the National Education Association has established two district approaches in its effort to implement a locally based model for school renewal. Watts and McClure explained that through the deductive approach the NEA encouraged

<sup>90</sup>Joseph Murphy, Restructuring Schools: Capturing and Assessing the Phenomena (New York: Teacher's College Press, 1991), 41.

<sup>91</sup>Ibid., 42.

<sup>92</sup>Charles Reavis and Harry Griffith, Restructuring Schools--Theory and Practice (Pennsylvania: Technomics Publication, 1992), 2-3.

local affiliates to provide local school faculties with the knowledge, resources and latitude to undertake the school improvement efforts.<sup>93</sup> The NEA's approach to improve public education is based on John Dewey's vision of democratic schooling and rational decision making.<sup>94</sup> Watts and McClure and Tuthill listed the following examples of the deductive approach: the NEA's Mastery in Learning Project, Operation Rescue, Team Approach to Better Schools and local affiliate experimentation.<sup>95</sup> In Illinois, the Consortium for Educational Change is a network of NEA affiliates that focuses on enhancing student learning by bringing together teachers, administrators and board members to stimulate and promote change in school structures and relationships through collaboration.<sup>96</sup> In the deductive approach, labor and management must agree to experiment with a site-based decision making project. This agreement comes in the form of an approved NEA network application or an informal agreement between an NEA local affiliate and management to pilot a program. Under this approach, teachers work in collaboration with site-based administrators and local NEA affiliates under the existing bargaining agreement. Through experimentation, the local affiliate learns how the contract provisions will have to change in order to address the professional model of site-based decision making. At this point, after experimentation, the

<sup>93</sup>McClure and Watts, 768.

<sup>94</sup>Doug Tuthill, "Expanding the Union Contract: One Teacher's Perspective," Phi Delta Kappan June 1990, 775-776.

<sup>95</sup>McClure and Watts, 768; Tuthill, 776-777.

<sup>96</sup>Illinois Math and Science Alliance and Illinois Math and Science Academy, "Consortium for Educational Change--History, Status and Summer Institute" (Illinois: National Louis University, 1991), 7.

authors stated that the affiliate is prepared for the second approach-- inductive. The inductive approach broadens the scope of bargaining and extends the range of contract provisions. This approach uses the bargaining process to professionalize teaching and to empower school faculties to engage in school restructuring.<sup>97</sup>

According to the following case studies reviewed by Watts and McClure and by Tuthill, these urban and suburban NEA local affiliates successfully used the deductive and inductive approaches to establish site-based decision making programs: Bellevue, Washington; Jefferson County, Kentucky; Pinnellas County, Florida; Greece, New York; Glenview, Illinois; San Diego, California and Easton, Pennsylvania. Before these affiliates began working with their school district on site-based decision making initiatives, these NEA affiliates had strong collective bargaining agreements as to salaries and working conditions. Each district experimented and held discussions on site-based decision making before bargaining the provisions. In their presentation of the case studies, Watts and McClure and Tuthill described the site-based decision making contract provisions negotiated by the NEA affiliates as enabling, rather than prescriptive. The enabling contract provision was either a philosophy or mission statement which generally contained the following: enables each school faculty to map a course of school restructuring to meet the needs of its students through a site-based decision making model, allows participation of employees in school/district level consensus decision making, confirms participation and support by employees, union and the district, and provides a basis

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<sup>97</sup>McClure and Watts, 758-769.

for waiving individual provisions of the contract on a school-by-school basis. Other site-based decision making provisions were: voluntary program and participation, site-based decision making school approval process, waiver process and resource funds to support research, related time for staff or any other needs arising from school improvement. The NEA contract provisions did not include the following: a predetermined structure and the composition or specific authority of decision making for committees at individual schools. Watts and McClure and Tuthill contended that the NEA believed each school faculty should develop a structure it feels will work best for its schools, and that it's the NEA's clear intent to free school staff members and administrators to redesign their schools and to redefine a professional culture for the district teachers.<sup>98</sup>

According to Anne Lewis, the American Federation of Teachers has espoused two approaches to bargain radically different structures. The first approach involved a network, school-within-schools, to mobilize behind single ideas for school reform. Under this approach, the AFT locals first bargained with the school districts to provide support for any group of six or more teachers to establish a "charter school." The criteria for the program included the requirement of participative management and governance, approval of plans by both the union and school board, voluntary participation of teachers, students and parents, sanction of program by all teachers in building and principal, student provisions, and a time period of a minimum of five years. Some or all of these provisions were included in the contract.<sup>99</sup>

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<sup>98</sup>McClure and Watts, 769-774; Tuthill, 776-780.

<sup>99</sup>Lewis, 82-84.

According to Marilyn Rauth and Elizabeth Steinberger, the second AFT's approach involved individual AFT locals using the bargaining process to promote radically different structures. In their review of the following case studies, Rauth and Steinberger contended that these urban AFT locals have used this approach: Toledo, Ohio; Pittsburgh, Pennsylvania; Dade County, Florida; Rochester, New York; Hammond, Indiana; Boston, Massachusetts; Cincinnati, Ohio and Los Angeles, California. In their presentation of the case studies, Rauth and Steinberger described the following site-based decision making contract provisions negotiated by AFT locals as both enabling and prescriptive: definition of site-based decision making, membership on school/district councils, functions and responsibilities of local leadership councils, decision making areas, restrictions, consensus decision making process, council meeting dates, time and agenda procedures, election procedures for members on council, resource funds and the waiver process. In both the Boston and Toledo contracts, there is a provision that allows a joint labor and management review team to assist schools for one year that consistently perform inadequately, and after one year, recommend the replacement and/or reassignment of staff.<sup>100</sup>

The reasons for the prescriptive emphasis in AFT local contract provisions for site-based decision making can be summed up in these two comments: Albert Fondy, president of the Pittsburgh Federation of Teachers, commented that the process by which the Professional

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<sup>100</sup>Marilyn Rauth, "Exploring Heresy in Collective Bargaining and School Restructuring," Phi Delta Kappan (June 1990): 782-790; Elizabeth Steinberger, "Teacher's Unions Handle Tricky Turns on the Road to Reform," School Administrator (September 1990): 26-31.

Education Partnership operates was established to survive changes in the superintendent and union leadership. Pat Tornillo, president of the Dade County Federation of Teachers, contended that the union must aggressively define the rights and powers of members to participate in site-based decision making or whatever type of restructuring is taking place, and he stated that because of the enormous time and effort involved in restructuring, embarking on this path without the protection of collective bargaining is extremely dangerous.<sup>101</sup>

In summary, there has been much written in literature on the NEA and the AFT approaches to site-based decision making in large urban and suburban school districts. Before negotiating changes, it appears that the NEA affiliates first experiment with site-based decision making projects, and as a result of this experimentation, the contract provisions pertaining to site-based decision making are enabling, rather than prescriptive. Whereas, in AFT locals, it appears that the contract provisions pertaining to site-based decision making are based on bargained experimentation, new reform initiatives or other AFT's local model contract language, and the provisions appear to be both enabling and prescriptive.

In the next section, the procedures used in this investigation are described.

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<sup>101</sup>Rauth, 783-784.

## CHAPTER III

### METHODS AND PROCEDURES

In elementary and secondary public schools, the American Federation of Teachers and the National Education Association are two unions that represent a majority of the nation's teachers. The research methods used in this investigation are now presented, and this chapter is divided into the following sections:

1. Methodology
2. Background Information
3. Research Design
4. Procedures
5. Document Examination
6. Professional-Teaching-Conditions Score Instrument
7. Site-Based Decision Making Score Instruments--AFT and NEA
8. Key Informant Interviews

#### Methodology

The methodology of the investigation consisted of qualitative research. The research design, procedures, document examination and instruments used for analysis are detailed in this section.

#### Background Information

In the second wave of the educational reform movement, educational policy makers called for increased teacher professionalism

through shared decision making at the site--site-based decision making. In effect, national teacher unions recognized the need to play a significant role in restructuring and professionalizing teaching. If site-based decision making is to occur through collective bargaining, this generates a critical area which needs examination. Taking a position at the national level on site-based decision making does not mean that the changes will occur through collective bargaining at the local level. Namely, are there similarities or differences in the site-based decision making products attained by AFT and NEA local affiliates from what is espoused by the national organizations?

### Research Design

The research design in this investigation is descriptive. The purpose of a descriptive research design was to describe systematically the facts and characteristics of a given population or area of interest, factually and accurately.<sup>1</sup> In this investigation, the descriptive research design involved the following: 1) to collect information pertaining to the site-based decision making approaches espoused by the AFT and NEA, 2) to collect professional-teaching conditions' products and site-based decision making products from secondary local affiliates' contracts of the AFT and NEA in Cook and Will Counties in Illinois, 3) to identify the extent of and characteristics of site-based decision making products contained in local affiliates contracts, and 4) to make comparisons and evaluations between the organizations as to the

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<sup>1</sup>Stephen Isaac, Handbook In Research and Evaluation, (U.S.A: Robert R. Knapp, Publisher, 1976) 14.



attainment of site-based decision making products that are espoused by the national organizations.

The major purpose of this investigation was to describe and analyze the attainment of site-based decision making products in thirteen Illinois secondary AFT local affiliates contract provisions and thirteen Illinois secondary NEA local affiliates contract provisions in suburban Cook and Will Counties as compared with the national positions on the issue. The focus is on the attainment of site-based decision making products in local affiliates' contracts and specifically on whether the local affiliates appear to follow the national organization's position on site-based decision making. Of equal importance in this investigation is the identification of professional teaching conditions that existed previously in the contracts of the AFT and NEA local affiliates which contributed to the possible attainment of site-based decision making products as espoused by the national organization.

The major research question investigated was:

Are there similarities or differences in the site-based decision making products attained by the AFT and NEA local affiliates from what is espoused by the national organizations?

The following specific questions were investigated to arrive at some conclusions to the major question stated above:

1. What are the site-based decision making approaches espoused by the national organizations?
2. To what extent have the local affiliates obtained contract provisions that are necessary conditions for, and are more likely to contribute to, professional teaching?
3. What are the site-based decision making products contained in the contract provisions of the local affiliates of the AFT and NEA compared to what is espoused by the national organization?

4. Does the attainment of professional teaching conditions in the contracts of the AFT and NEA local affiliates contribute to the attainment of site-based decision making products that are espoused by the national organizations?

In the next section, the procedures used in this investigation will be described.

### Procedures

The methodology of the investigation consisted of qualitative research activities. The descriptive activities used in the investigation were the collection of information through document examination and the validation of this information through structured interviews. The units of study were thirteen secondary AFT local affiliate contracts and thirteen secondary local affiliate contracts from suburban Cook and Will Counties in Illinois. Despite the risks associated with a small sample and the lack of generalizability, the qualitative methodology provided the researcher an opportunity to develop a data bank on site-based decision making. Document examination and field study was an intensive, scholarly exercise, and as a result, the following qualitative procedures were also utilized to achieve reliability and validity.

### Professional Literature and Research Review

The professional literature and current research pertaining to site-based decision making was reviewed, and a site-based decision making score for each organization and interview guide were developed from the analysis of literature.

### Document Collection

The documents collected for this investigation were twenty-six Illinois secondary contracts from Cook and Will Counties. The criteria

for selection of the contracts was by suburban secondary public high school districts in Cook and Will Counties, union affiliation, number of secondary sites and district enrollment.

To obtain the contracts, a letter was mailed to each superintendent of the school district (see Appendix A). All superintendents were assured complete confidentiality.

#### Document Examination and Categorization

All of the original thirteen AFT and thirteen NEA contracts from the Illinois Counties of Cook and Will were collected, examined and categorized.

In the 1988 RAND Report, Teacher's Unions and Education Reform, McDonnell and Pascal stated that a strong contract is a route to greater professionalism.<sup>2</sup> Using McDonnell's and Pascal's score (See Appendix C), "Professional Teaching Conditions and the Attainment of Them," each contract was first examined for contract provisions that established professional teaching conditions. The data collected on professional teaching conditions provided a picture of each local affiliate's attainment of professional teaching conditions. Each item found in a local affiliate's contract was given a score of one (yes), for a possible score of fifteen. The RAND Corporation approved the use of their instrument for this investigation (see Appendix B).

A site-based decision making score was developed from the review of literature on each union's position on site-based decision making (See Appendix D and E). Each local affiliate's contract was examined a second time for school site-based decision making products espoused by

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<sup>2</sup>Lorraine McDonnell and Anthony Pascal, Teacher's Unions and Educational Reform (RAND Corporation, 1988), 5.

their national organization. Using each national organization's instrument, each site-based decision making product found was given a score of one (yes), for a possible total determined by the total number of items espoused by the national organization. The data collected provided a picture of the attainment of site-based decision making products espoused by the national organization.

The site-based decision making score for each union was validated by examining four randomly selected elementary school district's contracts. The instruments were used by one administrator and one union official to examine their contracts for site-based decision making products. Afterwards, the intent of the investigation was explained, all parties to the piloting of each instrument felt the instruments were appropriate for the proposed analysis, and they had no suggestions for change to the instruments.

### Structured Interviews

The literature review and the data collected from the document examination provided a framework from which to conduct interviews. From the top four local affiliates from each national union attaining the highest site-based decision making score, personal interviews were conducted with key informants. The data collected from the interviews provided for a validation of the provisions of the documents examined and for more complete data concerning site-based-decision making within the district.

Stephen Isaac described structured interviews as following a well-defined structure, allowing clarification and elaboration within narrow limits. Structured interviews are generally factually oriented, aimed at specific information and relatively brief. Structured interviews are

suitable when accurate and complete information from all respondents is important and information sought fits readily into a structured inquiry.<sup>3</sup>

From the literature reviewed and data collected, open-ended questions were framed for the structured interviews (See Appendix F). These questions were field tested in three elementary school districts on one administrator and one union representative. The superintendents from eight secondary school districts (4 from AFT district and 4 from NEA districts) were asked to approve the research interview. The subjects for the interviews were one administrator and one union representative who were knowledgeable of the district's contract provisions. The interviewers recorded the responses of the interviewee and, after the interviews, all information collected was classified by national organization and by the responses made by the administration and union representatives to each question.

### Analysis of Data

The researcher reviewed each of the twenty-six contracts completing the professional-teaching-condition-score and the appropriate site-based decision making score, and classified the data by organization and their affiliates. Two independent evaluators reviewed contract provisions that were unclear to the researcher. The two independent evaluators were an administrator and a union teacher representative who had experience in collective bargaining. The independent evaluators were consistent in their classification of contract

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<sup>3</sup>Isaac, 96.

provisions six of eight times. Both disagreements were resolved by contacting the two district superintendents by phone.

To assess the significance of the relationships between data, descriptive statistics were used to summarize the observations for the professional-teaching-conditions-score and the site-based decision making score. All data are expressed as a numeric total of the number of each provision contained in contracts examined from each organization and their affiliates, as well as the percentage this total represents. The absence of a provision in any contract should not be interpreted to mean that the provision was not present in the district, only that it was not specified in the procedural agreement. In the site-based-decision making score, the data are expressed for each contract by school-site, and the category entitled "others" is an aggregate total of all provisions found in contracts from either one or both of the organizations.

For the site-based decision making score for each organization, each AFT district could register a point total of 0 to 11, and each NEA district could register a point total of 0 to 11. Other data will be presented to describe the components of the site-based decision making criteria for each organization. Finally, the professional-teaching-condition score and site-based decision making score for each organization and their affiliate will be compared.

In Chapter 4, Analysis of Data, the data will be presented according to the research questions being investigated. For each research question, the data from the document examination and interviews will be analyzed.

## Document Examination

The documents for this investigation were twenty-six contracts affiliated with the AFT and NEA from Cook and Will Counties in Northeastern Illinois. The twenty-six high school districts contain sixty high schools within the following boundaries: North, Palatine - East, Lansing - South, Elwood and West, Joliet. The contracts reviewed in this investigation were from secondary high school districts and were approved contracts for the 1992-93 school year.

### Professional Teaching Conditions Score Instrument

Teacher unions have contended that a strong contract is a route to greater professionalism.<sup>4</sup> In the 1988 RAND Report, Teacher Unions and Educational Reform, Lorraine McDonnell and Anthony Pascal suggested the following findings from their examination of teacher collective bargaining contracts:

Our findings suggest that factors related to the collective bargaining process, such as early contract strength through attainment of key bread-and-butter provisions, have important effects on the winning of professional-teaching conditions provisions.<sup>5</sup>

In their research, McDonnell and Pascal created and used an instrument, Professional Teaching Conditions and Attainment of Them, to arrive at a professional-teaching-conditions score for each contract examined. In this investigation, with the permission of the RAND Corporation, (see Appendix B), the same instrument (see Appendix C) was used to arrive at some conclusions to the following specific research questions:

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<sup>4</sup>AFT Task Force on the Future of Education, "The Revolution that is overdue: Looking Toward the Future of Teaching and Learning." (Washington, D.C.: American Federation of Teachers, 1986), 5.

<sup>5</sup>McDonnell and Pascal, 14.

2. To what extent have the local affiliates obtained contract provisions that are necessary conditions for, and are more likely to contribute to, professional teaching?
4. Does the attainment of professional teaching conditions in the contracts of the AFT and NEA local affiliates contribute to the attainment of site-based decision making products that are espoused by the national organizations?

As presented in Chapter 2 of this investigation, "Background of Teacher Professionalism and Educational Decision Making," in the creation of this instrument, McDonnell and Pascal suggested three criteria from Barber's and Boreham's general definition of professionalism that should be included in a score representing contract items that establish professional teaching conditions:

1. Teachers must have sufficient autonomy to exercise their best judgment about how to instruct students effectively.
2. Teachers must participate in making the decisions that affect the way instruction is organized.
3. Teachers must be guaranteed a work environment that includes reasonable class sizes, availability of materials, and sufficient time to teach.<sup>6</sup>

Using the above criteria, they selected fifteen items that together constituted a core set of necessary conditions for professional teaching. In Appendix C, Professional Teaching Conditions and the Attainment of Them, the first ten items in the score relate directly to professional teaching conditions, and these items include the first two-criteria of creating greater autonomy, collective decision making and accountability. The last five items in Appendix C constitute the third criteria which consists of enabling conditions that support a more professional teaching environment. As stated by McDonnell and Pascal, these enabling conditions do not guarantee greater professionalism, but

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<sup>6</sup>Ibid., 5-6.



they create the circumstances that are necessary for more fundamental reforms to occur. McDonnell and Pascal recognized that these fifteen items did not include the entire range of professional teaching conditions, but the fifteen items represented major areas that unions would likely seek through the collective bargaining process. Using these fifteen items combined, they generated a professional-teaching-conditions-score for each contract they examined in the 1988 RAND Report, Teacher's Unions and Educational Reform.<sup>7</sup>

Using McDonnell's and Pascal's fifteen item professional-teaching-conditions-score in Appendix C, thirteen secondary AFT affiliates' contracts and thirteen secondary NEA affiliates' contracts were collected and reviewed in this investigation for the purpose of examining the success of each local affiliate to attain professional teaching conditions for their members. Each item found in the local affiliate's contract was given a score of one (yes), for a possible total score of fifteen. After examining all contracts, the data found were used to analyze the success of local affiliates to obtain contract provisions that are necessary conditions for professional teaching and that are likely to contribute to more professional teaching conditions such as site-based decision making products.

#### Site-Based Decision Making Score Instruments

Through a review of the professional literature, a school site-based decision making score instrument for each organization was developed. In this investigation, these instruments were used to arrive at some conclusions to the following specific research questions:

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<sup>7</sup>Ibid., 6.

1. What are the site-based decision making approaches espoused by the national organizations?
3. What are the site-based decision making products contained in the contract provisions of the local affiliates of the AFT and NEA compared to what is espoused by the national organization?
4. Does the attainment of professional teaching conditions in the contracts of the AFT and NEA local affiliates contribute to the attainment of site-based decision making products that are espoused by the national organizations?

As presented in Chapter 2 of this investigation, "AFT's Approach to Reform and Teacher Professionalism," the American Federation of Teacher's Site-Based Decision Making Score Instrument (see Appendix D) was determined through AFT's "Charter Schools" criteria<sup>8</sup> and from the AFT's publication on general lessons<sup>9</sup> from AFT urban affiliates on school site-based decision making. Using this information, the AFT's Site-Based Decision Making Score Instrument was developed (see Appendix D). Each school site-based decision making product found in a district's contract was given a score of one (yes), for a possible score of eleven.

As presented in Chapter 2 of this investigation, "NEA's Approach to Reform and Teacher Professionalism," the NEA assembly passed NEA Resolution F-4 on Site-Based Decision Making at the 1990 National Education Association Convention.<sup>10</sup> The elements contained in the NEA Resolution were used to develop an NEA Site-Based Decision

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<sup>8</sup>Anne Lewis, Restructuring America's Schools, (Virginia: American Association of School Administrators, 1989), 83.

<sup>9</sup>AFT Center for Restructuring, "Rebuilding Public Education: America's Foundation for the 21st Century," (Washington, D.C.: National Education Association, 1991), 264.

<sup>10</sup>NEA Handbook--1991-92, "Resolution F-4, Site-Based Decision Making," (Washington, D.C.: National Education Association, 1991), 264.

Making Score Instrument (see Appendix E). Each site-based decision making product found in a district's contract was given a score of one (yes), for a possible score of eleven.

Using each organization's site-based decision making score instrument, thirteen AFT and thirteen NEA affiliate's secondary contracts were examined a second time for the attainment of school-site-based decision making products. The data collected were categorized and analyzed by the site-based decision making score for each affiliate as compared to its national organization's position on the issue. To assess the significance of the relationships of "attainment" between data, descriptive statistics were used to summarize and compare the data for the professional-teaching-conditions-score and the site-based decision making score for each organization and its affiliates.

### Key Informant Interviews

An interview guide was designed according to the literature reviewed and the data collected from the document examination. The purpose of the following open-ended questions contained on the interview guide was to arrive at some conclusions to the specific research questions in this investigation, to validate the provisions of the documents examined and to provide more data concerning site-based decision making.

1. What was the overall purpose of these provisions being negotiated into the contract? (Specific Research Questions 1 and 3).
2. In negotiating these contract provisions, what were the factors that influenced the final product? (Specific Research Questions 2, 3 and 4).
3. How have these contract provisions helped your school? (Specific Research Questions 1 and 3).

4. How have these contract provisions hindered your school? (Specific Research Questions 1 and 3).
5. What evidence do you have that these contract provisions have affected student achievement? (Specific Research Question 3).
6. What future changes do you plan to these already existing contract provisions? (Specific Research Question 3).
7. What other new proposals related to these contract provisions do you plan to offer in the future? (Specific Research Question 3).

The above questions were field tested in three elementary school districts on one administrator and one union representative. Afterwards, the intent of the investigation was explained, all parties felt the interview guide was appropriate for the proposed analysis, and they had no suggestions for change to the instrument.

From the top four local affiliates from each national organization attaining the highest site-based decision making score, personal interviews were conducted with key informants. The superintendents from eight secondary school districts (4 from AFT districts and 4 from NEA districts) were contacted by phone and asked to approve the research interview. The subjects for the interviews were one administrator and one union representative from each district who were knowledgeable of the district's contract provisions. The superintendent in each district selected the administrator to be interviewed, and the president of the local affiliate selected the union representative to be interviewed. The interviewer contacted each key informant by phone to schedule a date and time for each interview.

Before each structured interview was held, each key informant was asked to review specific provisions in the district's contract that were previously identified on the district's site-based decision making

score. The purpose of the structured interviews was to give each key informant the freedom to express himself in his own way and in his own time. Since the information involved may be considered by the key informant as highly personal, the interviewer reassured each key informant that the data obtained from the interview would be kept confidential. All interviews were held within the district of the key informant.

In the interview process, each key informant was asked the seven-questions on the interview guide. As the key informant responded to each question, the interviewer recorded the responses of the interviewee. After the key informant responded to the seventh question, the interview was concluded.

After the sixteen interviews were completed, the information collected from each question was classified by national organization and by the responses made by the administrators and union representatives (see Appendix F).

In the next section, the data collected from the document examinations and interviews on site-based decision making are analyzed.

## CHAPTER IV

### ANALYSIS OF THE DATA

As presented in Chapter 1, the purpose of this investigation was to describe and analyze the attainment of site-based decision making products in secondary school contract provisions negotiated by AFT affiliates and those negotiated by NEA affiliates as compared with each national organization's position on the issue. The investigation was conducted in secondary school districts in Cook and Will Counties in Illinois. The methods followed for this investigation were those detailed in Chapter 3. The information collected from the contract examinations and structured interviews are presented and analyzed in this chapter. The summary of responses from the seven questions in the structured interviews is presented in Appendix F. In this chapter, a summary of the detailed factual information is cited, and the foregoing is followed by a descriptive analysis of the data, including a detailed discussion. This chapter is organized into the following sections:

1. Demographic Information
2. Research Questions.

#### Demographic Information

#### Contract Examination

The documents for this investigation were twenty-six contracts affiliated with the AFT and NEA from Cook and Will Counties in Northeastern Illinois. The twenty-six high school districts contain

sixty high schools within the following boundaries: North, Palatine-East, Lansing-South, Elwood and West, Joliet. The contracts reviewed in this investigation were from secondary high school districts and were approved contracts for the 1992-93 school year.

As indicated in Table 1, of the twenty-six secondary contracts, four were from Will County. In Will County, all secondary district contracts were examined. In Cook County, of the twenty-seven secondary school districts, twenty-five are affiliated with either the AFT or NEA, and twenty-two secondary district contracts were examined. Of these, ten were AFT and twelve were NEA. The remaining four contracts were from Will County, three affiliated with the AFT and one affiliated with the NEA.

TABLE 1  
LOCATION OF SECONDARY DISTRICTS

COUNTY	CONTRACTS	
	AFT	NEA
Cook	10	12
Will	3	1
N = 13		

Table 2 reflects the enrollment of the sample secondary districts. Four of the contracts, two affiliated with the AFT and two affiliated with the NEA, were from districts with enrollments between 500 and 999. Seven contracts, five from the AFT affiliates and two from NEA affiliates, were from districts with enrollments ranging from 1,000 to

2,999. Eleven contracts, four AFT and seven NEA, were from districts with enrollments ranging from 3,000 to 5,999. Four contracts were examined from districts with enrollments of 6,000 to 11,999. Two of these were AFT affiliates and two were affiliated with the NEA.

TABLE 2  
ENROLLMENTS OF SECONDARY DISTRICTS

ENROLLMENT	AFT	NEA
500 - 999	2	2
1000 - 2999	5	2
3000 - 5999	4	7
6000 - 11999	2	2
N = 13		

Twenty-six contracts, thirteen AFT affiliates and thirteen NEA affiliates, were each considered a district site. Table 3 reflects the number of school sites of the sample districts. Seven of the contracts, four affiliated with AFT and three affiliated with the NEA, were from districts with one school site. Nine contracts, six AFT affiliates and three NEA affiliates, were from districts with two school sites. Six contracts, two AFT and four NEA, were from districts with three school sites. Four districts had four or more sites. Of these, one was an AFT affiliate, and three were NEA affiliates.



TABLE 3  
NUMBER OF SCHOOL SITES IN SAMPLE DISTRICTS

SCHOOL SITES	AFT	NEA
One	4	3
Two	6	3
Three	2	4
Four or more	1	3
N = 13		

### Structured Interviews

Structured interviews follow a well-defined structure, allowing clarification and elaboration by the researcher within narrow limits. Structured interviews are generally factually oriented, aimed at specific information and relatively brief. The literature reviewed and the data collected from the document examination provided a framework from which to conduct structured interviews. From the top four local affiliates from each national union attaining the highest site-based decision making scores, personal interviews were conducted with key informants. The key informants for the structured interviews were one administrator and one union representative who were knowledgeable of the district's contract provisions. The seven interview questions were presented in Chapter 3, and the summary of the key informant responses to each question is presented in Appendix F. Three of the interviews, three affiliated with the AFT, were from districts with one school site, and one of the interviews, one affiliated with AFT, was from a district with two school sites. Two of the interviews were with NEA affiliates with three school sites, and two of the interviews were with NEA affiliates with four or more school sites.

A breakdown of the key informants interviewed in each district is described in Table 4. One AFT superintendent was new to the district, but in his first year, he was involved in the bargaining of the site-based decision making provisions. Another AFT superintendent and NEA superintendent were involved with the bargaining of the site-based decision making provisions, and as principals, they were both involved as participants in the process. The other administrators interviewed included one AFT principal and three NEA principals who were involved in the bargaining of the provisions and are presently involved as participants in the process. The AFT curriculum director was not involved in the bargaining of the provisions, but he is involved as a participant in the process. All union representatives interviewed were involved with bargaining the provisions of the contract, and were formerly or currently involved as participants in the process.

TABLE 4  
BREAKDOWN OF KEY INFORMANTS INTERVIEWED

KEY INFORMANTS INTERVIEWED	DISTRICT	
	AFT	NEA
<b>Administrators:</b>		
Superintendent	1	
Superintendents/Principal	1	1
Principals	1	3
Curriculum Director	1	
<b>Union Representatives:</b>		
Union Officer/Teacher	2	2
Teacher	2	2

Before each structured interview started with each key informant, the appropriate site-based decision making provisions were identified in each contract. At that time, the key informant briefly described the bargaining history of the provisions as to initial bargaining, bargaining changes and implementation of provisions. As reflected in Table 5, the initial provisions bargained before 1983 for two AFT affiliates and one NEA affiliates changed. As to implementation for the provisions bargained before 1983, the three AFT affiliates and one NEA affiliate went from minimal to active participation between the periods of 1983 to 1988, and after 1990, two of the AFT affiliates became very actively involved in the implementation of the provisions. In 1983, A Nation At Risk was published, and there was increased pressure to improve education. From 1983 to 1992, the first and second phases of the reform movement occurred. In the second wave of reform, the AFT and NEA shaped positions on site-based decision making for local affiliates to follow. As indicated in Table 5, the call for educational reform and the communication of the national positions on the issue may have created the change in initial bargaining positions and the implementation of the provisions. Furthermore, in Appendix F--interview question one, five of the administrators and five of the union representatives cited one of the reasons that these provisions were placed in the contract was to design a committee to improve student learning.

TABLE 5

THE BARGAINING HISTORY OF THE SITE-BASED  
DECISION MAKING PROVISIONS FOR THE DISTRICTS INTERVIEWED

BARGAINING HISTORY FOR PROVISIONS	AFFILIATES	
	AFT	NEA
Initial Bargaining:		
Before 1983	3	1
After 1990	1	3
Bargaining Changes to Initial Provisions		
Bargained before 1983:		
No changes	1	
Bargained before 1983:		
Provisions added between 1988-92	2	1
Bargained After 1990:		
No changes	1	3
Implementation of Provisions:		
Before 1983 Committee Involvement-minimal	3	1
Between 1983-1988 Committee Involvement-active	3	1
After 1990 Committee		
Active	1	1
Very Active	3	3

In 1990, NEA Resolution F-4 on Site-Based Decision Making was passed by the NEA Assembly, three of the four NEA affiliates bargained their initial positions after 1990. In interview question two, in Appendix F, two of the four NEA administrators and two of the four NEA union representatives identified the NEA model as a factor that

influenced the final product. NEA's communication of their national position on this issue appears to have had an effect in the bargaining of these provisions after 1990.

In the next section, the research questions will be presented.

### Research Questions

#### Research Question One:

What are the site-based decision making approaches espoused by the national organizations?

Before the reform movement began, both organizations bargained for "bread-and-butter issues," rather than issues of teacher professionalism such as site-based decision making, and they were both preoccupied with organizational rivalries. At the start of the reform movement both unions were caught off-guard, and they both responded differently.

The AFT first took an accommodation role and then moved toward a position of leadership in shaping new approaches to teacher professionalism. The AFT encouraged and supported its local affiliates in shaping new approaches, but did not dictate to them. Whereas, the NEA shifted its approach from initial opposition to accommodation, and finally the organization encouraged and supported local affiliates experimentation of new reform approaches.

In the restructuring movement, both unions created networks for schools and districts willing to try out their approaches. Both unions agreed to push for higher salaries and working conditions, but they added a third ingredient of site-based decision making to increase the

involvement of teachers in decision making at the school site. The AFT viewed site-based decision making as only one part of restructuring schools, whereas, NEA viewed site-based decision making as the major component of restructuring schools. Finally, the NEA's approach to restructuring and site-based decision making was more cautious and more based on research. The AFT's approach was more closely tied to national views, non-educational leadership issues and trends.

Through collective bargaining, the AFT and NEA proposed to increase teacher decision making at the site. To support their affiliates in bargaining, both organizations have prepared and distributed brochures and articles on site-based decision making. In Appendix F, interview question two, three of the four NEA and two of the four AFT union representatives cited their union's publications as factors that influenced the final product.

The AFT does not espouse to its affiliates a model for site-based decision making for the following reasons: differences in composition, newness of the issue, and lack of research on the issue. For bargaining, the AFT's approach to site-based decision making is to provide publications to its affiliates with general lessons from their networks and urban affiliates and to share other AFT urban affiliates contract language on site-based decision making. In Appendix F, interview question two, two of the four AFT union representatives stated that they used AFT publications along with model contracts in bargaining their contract provisions.

The NEA does espouse a model for site-based decision making, and the NEA approach to site-based decision making is contained in NEA Resolution F-4 on Site-Based Decision Making. In Appendix F,

interview question two, two of the four NEA administrators and two of the four NEA union representatives stated they used this model as a guide during the bargaining of their site-based decision making contract provisions. Prior to bargaining, two administrators and two union representatives also cited their involvement in the Consortium for Educational Change as a factor that influenced the final product. In Illinois, the Consortium for Educational Change is a network of NEA affiliates that focuses on enhancing student learning by bringing together teachers, administrators and board members to stimulate and promote change in school structures and relationships through collaboration.

As to site-based decision making products, the similarities between their two approaches are: based on contractual/formal agreements, voluntary participation by local school-site, an agreement on the scope of decision making at the site, and additional time and resources for the staffs implementing school site-based decision making. The AFT approach differs from the NEA approach with the inclusion of the following site-based decision making contract provisions: voluntary participation by participants, approval of site-plans by the union and the school board, approval of all projects by teachers and principals at the site, a shared vision is a key ingredient to success at a school site, a goal of enhanced student learning and a time period of a minimum of five years, preferably ten years for the restructuring to be planned, implemented and evaluated. The NEA approach differs from the AFT approach with the inclusion of the following site-based decision making contract provisions: a district association structure for processing conflict resolution, constituent representation appropriate to

the site and selected by each constituency, compensation for planning and training time for staff and governance bodies, and compensation and/or release time for participating members.

Both organizations agree that the prerequisites to bargaining their approaches to site-based decision making include an atmosphere of trust between the parties, accountability by all parties, and the agreement to include the site-based decision making products within the contractual/formal agreement. The latter prerequisite is considered a protection for both parties to prevent misinterpretation of the provisions by future administrators and union leaders. In Appendix F, interview question two, three of the four AFT administrators, two of the four NEA administrators, two of the four AFT union representatives and three of the four NEA union representatives cited the trusting relationship between the union, superintendent and Board of Education as a factor that influenced the final product. In interview question three in Appendix F, five of the eight administrators and four of the eight union representatives stated that teachers feel they have ownership in the process. Additionally, six of the eight administrators and four of the eight union representatives stated that the core members of the committee are accountable for their decisions, but other staff members are not. As for the inclusion of the site-based provisions into the contract, two of the four AFT union representatives and two of the four NEA union representatives stated that the provisions were placed into the contract to insure proper interpretation by future administrators and union representatives.



## Research Question Two:

To what extent have the local affiliates obtained contract provisions that are necessary conditions for, and are more likely to contribute to, professional teaching?

As presented in Chapters 1 and 3, the major purpose of this investigation was to describe and analyze the attainment of site-based decision making products in thirteen Illinois secondary AFT local affiliates' contracts and in thirteen Illinois secondary NEA local affiliates' contracts in suburban Cook and Will Counties as compared with the national organization's position on the issue. Of equal importance in this investigation, is the identification of professional teaching conditions that existed in the contracts of the AFT and NEA local affiliates which may have contributed to the possible attainment of the site-based decision making products as espoused by the national organization. This section contains the identification of the professional teaching conditions contained in the AFT and NEA local affiliates' contracts.

Using the instrument in Appendix C, McDonnell's and Pascal's Instrument for Professional Teaching Conditions Score, each contract was examined and categorized according to the fifteen items that together constitute a core of necessary conditions for professional teaching. Each item found in a local affiliate's contract was given a score of one (yes), for a possible score of fifteen. All data are expressed as a numeric total of the number of items found in each national organization's affiliates' contracts, and the total score registered for it affiliates, as well as the percentage of total score

represents. The absence of a provision in any contract should not be interpreted to mean that the provision was not present in the district, only that it was not specified in the procedural agreement.

One of the primary observations from the examination of contracts were the different models used by each organization. Therefore, the provisions were recategorized according to the instrument in Appendix C.

As can be seen from Table 6, in item number three, teachers can refuse assignments outside of grade or subject area, six NEA affiliates and only one AFT affiliate had attained this item. Yet, in item number 14, controls on numbers of class room interruptions, eight AFT affiliates and only three NEA affiliates had attained this item. Overall, the AFT and NEA contracts exhibited very few differences with respect to the attainment of the other thirteen professional teaching conditions.

TABLE 6

PROFESSIONAL TEACHING CONDITIONS AND  
THE ATTAINMENT OF THEM

	PROFESSIONAL TEACHING CONDITIONS	AFFILIATE'S ATTAINMENT OF			
		NUMBER		PERCENT	
		AFT	NEA	AFT	NEA
1.	Assistance provided to teachers judged unsatisfactory.	9	7	69	54
2.	Provisional teachers to be evaluated.		8	11	62
85					
3.	Teachers can refuse assignments outside of grade or subject area.	1	6	8	46
4.	Administrators cannot intervene to change teachers' grades.	4	2	31	15
5.	Controls on administration of standardized tests to students.	0	2		15
6.	Limits on the number of subjects, grades, or ability groups teacher must teach.	7	9	54	69
7.	Establishes academic freedom for teachers.	8	8	62	62
8.	Teachers comprise half or more of instructional policy committee (IPC) membership.	5	6	38	46
9.	IPCs established in each school.	4	6	31	46
10.	IPCs empowered to review curriculum.	4	7	31	54
11.	Class size mandated.	5	3	38	23
12.	Teacher can exclude a disruptive student.	1	4	8	31
13.	Limits on teachers' paperwork load.	2	2	15	15
14.	Controls on numbers of classroom interruptions.	8	3	62	23
15.	Salary paid during sabbatical leaves.	9	9	69	69

N = 13

For each contract, the items were combined to generate a professional-teaching-conditions-score. The score could range from 0 to 15, and no contract received a score higher than 11. As indicated in Table 7, the AFT affiliates' scores ranged from 0 to 9, and the NEA affiliates' scores ranged from 3 to 11. Four of the AFT affiliates and four of the NEA affiliates registered a score of 8 or higher, which implies that these affiliates had achieved over 50 percent of the fifteen items.

TABLE 7  
AFFILIATE'S PROFESSIONAL TEACHING CONDITIONS  
SCORE AND PERCENT OF ATTAINMENT

SCORE	AFFILIATES NUMBER		ATTAINMENT PERCENT	
	AFT	NEA	AFT	NEA
0	1		7	
1				
2				
3		2	0	20
4	2	1	27	27
5	3	2	33	33
6	2	2	40	40
7	1	2	47	47
8	3	1	53	53
9	1		60	
10		2		67
11		1		73
12				
13				
14				
15				

N = 13

In Appendix F, interview question two, one of four AFT administrators, two of four NEA administrators, two of four AFT union representatives and two of four NEA union representatives believed that the organization's past history of working collaboratively with the teachers was a factor that influenced the final product. Other than this factor and the factor of a trusting relationship stated by five of the eight administrators and five of the eight union representatives in interview question two, there were no other responses that past attainment of professional teaching conditions was a factor in the achievement of the final product.

Research question four will focus on whether previous contract strength in the attainment of professional teaching conditions has an effect on union attainment of more professional teaching conditions such as site-based decision making.

### Research Question Three:

What are the site-based decision making products contained in the contract provisions of the local affiliates of the AFT and NEA compared to what is espoused by the national organization?

As stated in Chapter 3, the focus of this investigation was on the attainment of school-site-based decision making products in local affiliates' contracts and specifically on whether the local affiliates appear to follow the national organization's position on site-based decision making. This section presents the extent of and characteristics of the school site-based decision making products found in the AFT and NEA affiliates' contracts. In the characteristics part of this question, the

similarities and differences of each organization's position on school site-based decision making will be presented and analyzed.

All contracts were reexamined and categorized according to the national organization's position on site-based decision making. The instruments used for the reexamination are located in Appendix D, Site-Based Decision Making Score Instrument for the American Federation of Teachers, and in Appendix E, Site-Based Decision Making Score Instrument for the National Education Association. Each product found in a local affiliate's contract was given a score of one (yes), for a possible score of eleven for each organization. All data in this section will be expressed as a numeric total of the number of each provision contained in contracts examined from each organization, and the total score registered for each of its affiliates, as well as the percentage these totals represent. The absence of a product in any contract should not be interpreted to mean that the product was not present in the district, only that it was not specified in the procedural agreement. All products found in the contracts are specified in the tables. The category entitled "others" is an aggregate of all products found in contracts from both organizations.

The site-based decision making products were found in different sections of the contracts, and the products were recategorized according to either Appendix D or E.

#### Extent of Attainment of Site-Based Decision Making Products

As indicated in Chapter 1, site-based decision making was defined as provisions of contracts that create ownership for those responsible for carrying out decisions by involving them in the decision making

process. The factor used to separate contract provisions dealing with school site-based decision making rather than district was the participants responsible for the decisions. For school site-based decision making, some of those involved in the decision making process may be the principal, other building administrators, union representatives, teachers, parents, and students. For district site-based decision making, some of those involved in the decision making process may be the board of education, central administrators, union representatives, teachers, parents, and students.

Using the criteria in Appendix D, Site-Based Decision Making Score Instrument for the AFT, the data were collected according to the AFT's position on the issue--general lessons, AFT networks and urban affiliates model contract language. In Table 8, AFT Local Affiliates Attainment of School Site-Based Decision Making Products Espoused by the AFT, the school site-based decision making products found in the thirteen AFT affiliates' contracts are summarized.

TABLE 8

AFT LOCAL AFFILIATES ATTAINMENT OF SCHOOL SITE-BASED  
DECISION MAKING PRODUCTS ESPOUSED BY THE AFT

SCHOOL SITE-BASED DECISION MAKING PRODUCT ESPOUSED BY AFT	AFFILIATES	ATTAINMENT
	Number	Percent
Based on contractual/formal agreements	7	54
Voluntary participation by local school site	0	
Voluntary participation by participants at school site	7	54
Approval of site-plans by the union and the school board	1	8
An agreement on the scope of decision making authority at the site	7	54
Approval of all projects by all teachers and the principal at the site	0	
A shared vision is the key Ingredient to enduring success at a school site	3	23
A goal of enhanced student learning	2	15
Additional time and resources are items most sought after by staffs implementing school site-based decision making		
Additional Time	0	
Additional Resources	0	
A time period of a minimum of five years, preferably ten years, for the restructuring to be planned, implemented and evaluated.	0	

N = 13



As indicated in Table 8, seven of the thirteen AFT affiliates have included the school site-based decision making products within their contractual/formal agreement. Seven of the thirteen AFT affiliates have also attained individual products for voluntary participants at the school site and an agreement on the scope of decision making authority at the site. As compared with the AFT's position on the issue, three of the eleven products were attained by fifty-four percent of the AFT affiliates, while five of the eleven products were not attained by any affiliate.

Using the criteria in Appendix E, Site-Based Decision Making Score Instrument for the NEA, the data were collected according to the NEA's position on the issue--NEA Resolution F-4 on Site-Based Decision Making. In Table 9, NEA Local Affiliates Attainment of School Site-Based Decision Making Products Espoused by the NEA, the school site-based decision making products found in the thirteen NEA affiliates' contracts are summarized.

TABLE 9

NEA LOCAL AFFILIATES ATTAINMENT OF SCHOOL SITE-BASED  
DECISION MAKING SCORES PRODUCTS ESPOUSED BY NEA

SCHOOL SITE-BASED DECISION MAKING PRODUCTS ESPOUSED BY NEA	AFFILIATES NUMBER	ATTAINMENT PERCENT
Based on contractual/formal agreements	4	31
Voluntary participation by local school site	0	
A district association structure for processing conflict resolution	11	85
An agreement on the scope of decision making authority available to the sites	7	54
Constituent representation appropriate to the site and selected by each constituency	7	54
Representation appropriate to the site	7	54
Selected by each constituency	7	54
Compensated planning and training time for staff and governance bodies as well as additional resources necessary for successful implementation.		
Compensated planning time	1	8
Compensated training time	1	8
Additional resources	2	15
Compensation and/or release time for participating members		
Compensation	1	8
Release time	4	31

N = 13

Eleven of the thirteen NEA affiliates have a product for a district association structure for processing conflict resolution included within the contract. Seven of the thirteen AFT affiliates have also attained individual provisions for scope of decision making available to the sites, constituent representation appropriate to the site and selected by each constituency. As compared with NEA's position on the issue, four of the eleven products were attained by fifty-four percent or more of the NEA affiliates, while only one of the eleven products was not attained by any affiliate.

TABLE 10

LOCAL AFFILIATES ATTAINMENT OF SITE-BASED DECISION  
MAKING SCORES COMPARED WITH THE NATIONAL'S  
POSITION ON THE ISSUE

SITE-BASED DECISION MAKING SCORE	AFFILIATES NUMBER		ATTAINMENT PERCENT	
	AFT	NEA	AFT	NEA
0	5	2		
1		4		9
2	2		18	
3	2		27	
4	3	1	36	36
5	1	2	45	45
6		2		55
7		1		64
8		1		73
9				
10				
11				

N = 13

Table 10 presents the local affiliates attainment of site-based decision making scores as compared with the national's position on the

issue. For each contract, the products attained were combined to generate a site-based decision making score. The score could range from 0 to 11, and no contract received a score higher than 8. The AFT affiliates scores ranged from 0 to 5, and the NEA affiliates scores ranged from 0 to 8. The percent of attainment of site-based decision making products by AFT local affiliates as compared with the national position on the issue ranged from 18 percent to 45 percent, while the percent of attainment of site-based decision making products by NEA local affiliates as compared with the national position on the issue ranged from 9 percent to 73 percent. There was no AFT local affiliate that attained over 50 percent of the products espoused by the national organization, whereas four of the NEA local affiliates attained over 50 percent of the products espoused by the national organization. The higher attainment by NEA affiliates of site-based decision making products may be the existence of and publication of the site-based decision making model by NEA, and the lower attainment of site-based decision making products by AFT affiliates may be AFT's lack of a model.

In Appendix F, interview question one, all eight administrators and eight union representatives stated that the overall purpose for the site-based decision making provisions being negotiated into the contract was to allow the teachers to have input into the educational decision making process. Yet, in question two, three of the AFT administrators and two of the NEA administrators believed that the major factor that influenced the final product was that the decision making was advisory, and this allowed the administration to make the final decision. Another factor mentioned by one AFT administrator and one NEA administrator

was that the Board of Education agreed to teacher input into the educational decision making process because they did not consider it a cost item.

### Analysis of the Attained Site-Based Decision Making Provisions

This subsection will present the similarities and differences between the individual site-based decision making products espoused by the national organizations and attained by the AFT and NEA affiliates. In comparing the products contained within the two national positions, any dissimilar product attained by the affiliates will be grouped into one table.

The similarities of the site-based decision making products espoused by the national organizations.

Both organizations espouse that their site-based decision making products should be included in the contractual/formal agreement. As can be seen in Table 11, seven of the eight AFT affiliates and four of the seven NEA affiliate's provisions are included within the contract. In interview question two, in Appendix F, three of the four AFT union representatives and two of the four NEA representatives stated that the provisions were placed into the contract to insure proper interpretation by future administrators and union leaders. Inclusion of the site-based decision making products within the contractual/formal agreement gives the affiliate protection through the grievance procedure of possible misinterpretation or lack of implementation of these provisions by future administrators and union leaders.

TABLE 11  
 BASED ON CONTRACTUAL/FORMAL AGREEMENTS

FORM OF AGREEMENT	AFFILIATES		PERCENT	
	AFT	NEA	AFT	NEA
Contractual/Formal	7	4	54	31
Memorandum of Understanding	1	3	8	23
N = 13				

As stated in Chapter 2, NEA has two approaches to restructuring--deductive and inductive. In the deductive approach, labor and management agree to experiment with a site-based decision making project. Table 11 also indicates that three NEA affiliate's site-based decision making products are included within a memorandum of understanding. Two of the four NEA administrators and two of the four NEA union representatives stated, in interview question two, that their involvement in the Illinois Consortium for Educational Change was a factor that influenced the final product. Through this informal agreement, memorandum of understanding, the NEA approaches the initial stages of site-based decision making through experimentation. Through experimentation, labor and management work under the existing bargaining agreement and learn how the contract provisions will have to change in order to address site-based decision making. In question six, in Appendix F, one of the four NEA administrators and two of the four NEA union representatives feel that the current wording needs to be placed in the formal agreement. As indicated in Table 11 and in interview question two, NEA's deductive approach seems to be used by affiliates to experiment and to work in collaboration with

management before placing the site-based decision making provisions into the contractual/formal agreement.

The AFT and NEA concur that affiliates need to agree upon the scope of decision making at the school site. In the following three tables, the scope of decision making will be described according to site implementation structures, type of decision and areas of responsibilities found in the affiliates' contracts.

A summary of the school site-based implementation structures for the affiliates of both organizations is given in Table 12. As found in the contracts, the predominant structure for both organizations consists of one site-based decision making committee or council at the school site.

TABLE 12  
SCOPE OF DECISION MAKING--SCHOOL  
SITE-BASED IMPLEMENTATION STRUCTURES

PROVISIONS FOR SCHOOL SITE-BASED STRUCTURES	AFFILIATES		PERCENT	
	AFT	NEA	AFT	NEA
One Committee/Council at Site	6	6	46	46
Two Committees/Councils at Site	1		8	
Four or More Committees/ Councils at Site		1		8
N = 13				

As reflected in Table 13, committee decisions are predominantly recommendations to the principal. Only two NEA affiliates' decisions evolve through mutual agreement. From interview question one, in Appendix F, all administrators and union representatives agreed that

the purpose these products were negotiated into the contract was to allow the teachers to have input into the educational decision making process. Yet, in interview question 2, three AFT administrators and two NEA administrators believed that one of the factors that influenced the final product was that administrators considered the type of decision making advisory rather than mandatory. It appears that the overall purpose for the type of decision making product being placed into the contract is to allow teachers input into educational matters, but not at the expense of administrators losing the right to make the final decision. From Table 13, it appears that only two NEA affiliates have reached a higher professional level of consensus decision making where the committee decisions evolve through mutual agreement of members.

TABLE 13  
SCOPE OF DECISION MAKING  
AT THE SITE--TYPE OF DECISION

PROVISIONS FOR TYPE OF DECISION	AFFILIATES		PERCENT	
	AFT	NEA	AFT	NEA
Reach Consensus		2		15
Recommendation (advise or consult)to Principal	7	5	54	38
N = 13				

This deduction is supported by the responses of five administrators and four union representatives to interview question four, in Appendix F, that a hindrance to the successful implementation of these contract provisions is the lack of administrative commitment to shared leadership.



The areas of responsibility for the committee decisions made are reflected in Table 14. The scope of decisions vary between affiliates and organizations. From the documents examined, for both organizations, curriculum and discipline seem to be the focus of a number of the committee decisions.

TABLE 14  
SCOPE OF DECISION MAKING--AREAS  
OF RESPONSIBILITY INCLUDED IN CONTRACTS

PROVISIONS FOR AREAS OF RESPONSIBILITY	AFFILIATES		PERCENT	
	AFT	NEA	AFT	NEA
Building Climate	2			15
Class Size	2	2	15	15
Curriculum	4	5	31	38
Declining Enrollment	1		8	
Discipline	3	4	23	31
Educational Innovation	1	1	8	8
Evaluation - Program	1		8	
Evaluation - Teachers	1	2	8	15
Facilities	1		8	
Federal Programs	1		8	
Mutual Interest Topics	1	1	8	8
Non-teaching assignments	1	1	8	8
Paperwork Reduction		1	8	
School Day	2	2	15	15
Staff Development	2		15	
Tracking	1		8	

N = 13

Other AFT and NEA similar site-based decision making products attained by their local affiliates are described in Table 15. The affiliates of both organizations did not include the product for voluntary participation by the local school-site. Since the affiliates represent all

teachers within a district and for consistency purposes, the affiliates appear to bargain the provisions for all school sites to participate in site-based decision making. In some NEA affiliates, release time and additional resources are provided within the contract provisions to implement school-site based decision making as reflected in Table 15.

TABLE 15

OTHER SIMILAR AFT AND NEA SITE-BASED  
DECISION MAKING PRODUCTS ATTAINED BY LOCAL AFFILIATES

AFT AND NEA SIMILAR PRODUCTS	AFFILIATES		PERCENT	
	AFT	NEA	AFT	NEA
Voluntary participation by local school site	0	0		
Additional time and resources are items most sought after by staffs implementing school site-based decision making				
Additional (release) time	0	4		31
Additional resources	0	2		15
N = 13				

In interview question 4, in Appendix F, five of the administrators and six of the union representatives cited the time commitment to research issues as a hindrance to the process. In interview question seven, two of the four AFT administrators, two of four NEA administrators, one of four AFT union representatives and two of four NEA union representatives plan to introduce new proposals to address the time

commitment of committee members. For successful implementation of site-based decision making, the issue of time commitment of committee members should be considered as a product in bargaining the issue.

The differences in the site-based decision making products espoused by the national organizations.

Table 16 reflects the attainment by AFT and NEA affiliates of additional AFT site-based decision making products that are different from the NEA's position. From the documents examined and requirements of the AFT network of "charter schools," the AFT product of voluntary participation by participants at the school site is a provision included in a number of AFT affiliates' contracts. The AFT appears to want their affiliates to allow their constituency to decide upon their level of involvement in the process.

Only one AFT affiliate allows for approval of site-projects by all teachers and the principal at the site as indicated in Table 16. Five of the administrators and three of the union representatives in question three, in Appendix F, believe that the core members of the committee feel accountable for their decisions, but other staff members do not. Without some form of communication of the committee decisions to the other staff members, ownership and accountability of the decision by all administrators and teachers of the school site is prohibited.

The AFT product of a shared vision, in Table 16, is included in the provisions of three AFT affiliates and three NEA affiliates. The AFT believes a shared vision gives the committee a focus and a reason for existence. As indicated in Table 16, the focus of two AFT affiliates and one NEA affiliate is enhanced student learning, but in interview

question one, three of four AFT administrators, two of four NEA administrators, three of four AFT union representatives and two NEA union representatives, responded that the committee was designed to improve student learning. Even though this goal is included in a small number of the AFT and NEA affiliates' procedural agreements, the goal of improved student learning appears to be a primary focus of the site-based decision making committees. The second wave of the reform movement may be the impetus for this goal to be the focus of committee decisions.

TABLE 16

ATTAINMENT OF ADDITIONAL AFT SITE-BASED  
DECISION MAKING PRODUCTS BY AFT AND NEA AFFILIATES

AFT PRODUCTS	AFFILIATES		PERCENT	
	AFT	NEA	AFT	NEA
Voluntary participation by participants at school site	7	2	54	15
Approval of site-plans by the union and the school board	0	0	8	
Approval of all projects by all teachers and principals at the site	1	0		
A shared vision is the key ingredient to enduring success at a school site	3	3	23	23
A goal of enhanced student learning	2	1	15	8
A time period of a minimum of five years, preferably ten years, for the restructuring to be planned, implemented and evaluated	0	0		

N = 13

Table 17 reflects the attainment by NEA and AFT affiliates of additional NEA site-based decision making products that are different from the AFT's position. Within the contracts, ten of the AFT affiliates and eleven of the NEA affiliates have a district-association structure for processing conflict resolution. In all cases, the conflict resolution provision applied to all provisions contained within the procedural agreement. Both labor and management appear to have created a forum to discuss and possibly resolve conflicts that arise out of misinterpretations of the contract provisions.

TABLE 17

ATTAINMENT OF ADDITIONAL NEA SITE-BASED  
DECISION MAKING PRODUCTS BY AFT AND NEA AFFILIATES

NEA PRODUCTS	AFFILIATES		PERCENT	
	AFT	NEA	AFT	NEA
A district association structure for processing conflict resolution	10	11	77	85
Constituent representation appropriate to the site and selected by each constituency				
Representation appropriate to site	7	7	54	54
Selected by each constituency	7	7	54	54
Compensated planning and training time for staff and governance bodies for successful implementation				
Compensated planning time	1			8
Compensated training time	1			8
Compensation for participating members	1			8
N = 13				

As indicated in Table 17, a number of the affiliates of both organizations include the NEA product of constituent representation and constituency selection in their contract provisions. Table 18 summarizes the constituent representation on the affiliates' site-based decision making committees. It appears that the predominant committee representation includes building administrators and teachers. In interview question six, in Appendix F, two of four AFT administrators, two of four NEA administrators, one of four AFT union representatives and two of four NEA union representatives planned on changing existing contract provisions to include parents, students and educational support staff on the site-based decision making committees. With the future changes, there may be a movement toward expanding the committee membership to include input from other sources.

TABLE 18  
 CONSTITUENT REPRESENTATION APPROPRIATE  
 TO THE SCHOOL SITE

CONSTITUENTS	AFFILIATES		PERCENT	
	AFT	NEA	AFT	NEA
Building Administrators	7	7	54	54
Parents		1		8
Students		1		8
Teachers	7	7	54	8
Union Representatives	2	1	15	8
N = 13				

Table 19 describes who selects each constituency. For both organizations, the affiliates contract provisions designate that the building administration selects the administrative, parent and student members, and the union selects the teacher and union members. In interview question four, in Appendix F, eight administrators and seven union representatives cited committee members differing personalities as a hindrance to the process. Additionally, in question four, four administrators and three union representatives point-out the lack of training for committee members in collaboration techniques as a problem. In the same question, eight administrators and six union representatives cited problems of committee members discussing individual concerns. The constituency representation of the school-site may be included to prevent one side from dominating the discussion or recommendations, and the selection by each constituency may be included to place members on the committee that represent each constituency's point of view.

TABLE 19  
SELECTION BY EACH CONSTITUENCY

CONSTITUENCY SELECTING	AFFILIATES		PERCENT	
	AFT	NEA	AFT	NEA
Building Administration	7	7	54	54
Union Representatives	7	7	54	54
N = 13				

In Table 20, the method of selection of committee members by each constituency is presented. AFT affiliates seek volunteers and then appoint the committee members, whereas the NEA appears to appoint their committee members.

TABLE 20  
METHOD OF CONSTITUENT SELECTION - UNION

METHOD	AFFILIATES		PERCENT	
	AFT	NEA	AFT	NEA
Appointed		5		38
Volunteers-Appointed	7	1	54	8
Volunteers-Elected		1		8
N = 13				

Other site-based decision making products not espoused by either national organization.

Table 21 describes the attainment by AFT and NEA affiliates of other site-based decision making provisions that are not included in either organization's national position. From the document examination, it appears the AFT provisions are more specific as to agendas and meeting arrangements. Within two of the AFT affiliate contracts, provisions were made for the committee to waive provisions in the procedural agreement and/or board policy.



TABLE 21

ATTAINMENT OF OTHER SITE-BASED  
DECISION MAKING PRODUCTS NOT  
ESPOUSED BY EITHER AFT OR NEA

OTHER PRODUCTS NOT ESPOUSED BY AFT OR NEA	AFFILIATES		PERCENT	
	AFT	NEA	AFT	NEA
Agendas for meetings	5	2	38	15
Establishing subcommittees	2	0	15	
Evaluation of committee effectiveness	0	1	8	
Meeting Arrangements (days, dates)	5	3	38	23
Minority reports	2	0	15	
Officer selection	0	2	15	
Posting of meeting dates	2		15	
Term of office		2	15	
Training for committee members		2	15	
Vote requirement for approval - 3/4 vote	1		8	
Waiver - Board Policy	1		8	
Waiver - Procedural Agreement	2		15	
Written Response to Denials		3	23	

N = 13

In interview question five, in Appendix F, the key informants were asked for evidence that these contract provisions have affected student achievement. Four AFT administrators, two of four NEA administrators, four AFT union representatives and three NEA union representatives stated that they could supply no evidence that these contract provisions have affected student achievement. The same informants cited improved teacher motivation that permeates down to the students. Two NEA administrators cited that the work of the committee has improved student attendance, increased the number of students on the honor roll and increased achievement and ACT test scores. AFT

does not dictate a model to their affiliates on the premise that there is a lack of research that site-based decision making will improve student learning. For this reason, AFT believes site-based decision making is one component to improve student learning, whereas the NEA believes site-based decision making will improve student learning. Until more research evolves on this subject, it appears that the correlation between site-based decision making and improved student learning has not been established.

#### Research Question Four:

Does the attainment of professional teaching conditions in the contracts of the AFT and NEA local affiliates, contribute to the attainment of site-based decision making products that are espoused by the national organizations?

In research question two, the professional teaching conditions scores for the affiliates of both organizations were presented in Table 7, and the site-based decision making scores for the affiliates of both organizations were presented in Table 10. These two scores will be compared by organization and their affiliates to analyze whether the affiliates previous contract strength to attain professional teaching conditions contributes to the attainment of site-based decision making products espoused by the national organization. In Tables 22 and 23, the affiliate scores ranked from high to low according to their site-based decision making score.

Table 22 compares the professional teaching conditions score to the site-based decision making score for the AFT affiliates. The top

three AFT local affiliates have attained a number of site-based decision making products espoused by the AFT, and the affiliates have also attained high professional teaching conditions score. As can be seen in Table 22, the computation for Spearman rank-order correlation coefficient ( $p=rho$ ) was performed to compute the correlation between the professional teaching conditions scores with the site-based decision making scores for the thirteen AFT affiliates. The AFT rho rank correlation coefficient was .38. For the thirteen AFT affiliates, there appears to be a low positive correlation between the professional teaching conditions scores and the site-based decision making scores. The AFT does not espouse a site-based decision making model, and for this reason, the lack of a model may weaken the relationships between the two factors. In question two, in Appendix F, the trusting and past collaborative relationship between the parties was cited by two of four AFT administrators and two of four AFT union representatives as factors that influenced the inclusion of site-based decision making products into their contracts. These relationships between labor and management may be the reasons for the previous contract strength that led to the attainment of the site-based decision making products espoused by the AFT. Even though the other AFT affiliates have lower site-based decision making scores and somewhat high professional teaching conditions scores, the same trusting and collaborative relationships may not exist between labor and management.

TABLE 22

ATTAINMENT OF PROFESSIONAL TEACHING CONDITIONS (PTC)  
SCORE COMPARED TO THE ATTAINMENT OF SITE-BASED  
DECISION MAKING (SBDM) SCORE BY AFT AFFILIATES

AFT LOCAL AFFILIATES	SCORES		PERCENT ATTAINED	
	PTC <sup>1</sup> SCORE(15)	SBDM <sup>2</sup> SCORE(11)	PTC <sup>1</sup> SCORE	SBDM <sup>2</sup> SCORE
1	8	5	53	46
2	9	4	60	36
3	8	4	53	36
4	5	4	33	36
5	5	3	33	27
6	5	3	33	27
7	6	2	40	18
8	4	2	27	18
9	8	0	53	
10	7	0	47	
11	6	0	40	
12	4	0	27	
13	0	0		

Spearman Rank-Order Correlation Coefficient for AFT:

N = 13 (number of AFT affiliates)

$\Sigma D^2 + T = 224.25$  (sum of the squared differences in the ranks plus sum of number of ties)

$p = .38$  (rho--correlation coefficient)

<sup>1</sup>Professional Teaching Conditions Score

<sup>2</sup>Site-Based Decision Making Score

Table 23 compares the professional-teaching-conditions-score to the site-based decision making score for the NEA affiliate. The top four NEA local affiliates have attained a number of site-based decision making products espoused by the NEA, and the affiliates have also attained high professional teaching condition scores. As can be seen in Table 23, the computation for Spearman rank-order correlation coefficient ( $p=rho$ ) was performed to compute the correlation between

the professional teaching conditions scores with the site-based decision making scores for the thirteen NEA affiliates. The NEA rho rank correlation coefficient was .56. For the thirteen NEA affiliates, there appears to be a high positive correlation between the professional teaching conditions scores and the site-based decision making scores. The NEA espouses a site-based decision making model, and for this reason, the model may strengthen the relationships between the two factors. In question two, in Appendix F, two of four NEA administrators and three of four NEA union representatives stated that a trusting relationship between the parties is a factor that influenced the inclusion of the site-based decision making products into their contracts. Two the four NEA administrators and two of the four NEA union representatives also stated that past collaborative relationships between the parties was also a factor that influenced the final product. Once again, these relationships between labor and management may be the reasons for the previous contract strength that led to the attainment of site-based decision making products espoused by the NEA. Even though the other NEA affiliates have lower site-based edition making scores and somewhat high professional teaching conditions scores, the same trusting and collaborative relationship may not exist between labor and management.

TABLE 23

ATTAINMENT OF PROFESSIONAL TEACHING CONDITIONS (PTC)  
SCORE COMPARED TO THE ATTAINMENT OF SITE-BASED  
DECISION MAKING (SBDM) SCORE BY NEA AFFILIATES

NEA LOCAL AFFILIATES	SCORES		PERCENT ATTAINED	
	<u>PTC<sup>1</sup></u> SCORE(15)	<u>SBDM<sup>2</sup></u> SCORE(11)	<u>PTC<sup>1</sup></u> SCORE	<u>SBDM<sup>2</sup></u> SCORE
1	11	8	73	73
2	10	7	67	64
3	10	6	67	55
4	7	6	47	55
5	5	5	33	46
6	4	5	27	46
7	6	4	40	36
8	8	1	53	9
9	7	1	47	9
10	3	1	20	9
11	3	1	20	9
12	6	0	40	
13	5	0	33	

Spearman Rank-Order Correlation Coefficient for NEA:

N = 13 (number of NEA affiliates)

$\Sigma D^2 + T = 159$  (sum of the squared differences in the ranks plus sum of number of ties)

p = .56 (rho--correlation coefficient)

<sup>1</sup>Professional Teaching Conditions Score

<sup>2</sup>Site-Based Decision Making Score

The past attainment of professional teaching conditions by an affiliate may contribute to the attainment of additional site-based decision making products espoused by the national organization. The attainment of a national organization's site-based decision making products may depend upon a history of a trusting and collaborative relationship between labor and management.

In the next chapter, the summary, conclusions and recommendations for this investigation will be presented.

## CHAPTER V

### SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

The data presented in Chapter 4 represents the results of a content analysis performed on 13 AFT affiliates' secondary contracts and 13 NEA affiliates' secondary contracts and of formal discussions with administrators and union representatives from 4 AFT secondary districts and 4 NEA secondary districts from the Illinois counties of Cook and Will. The purpose of the content analysis and formal discussions was to determine what, if any, were the similarities or differences in the site-based decision making products attained by the AFT and NEA local affiliates from what is espoused by the national organizations. As per the review of the related literature and research, this is the first known investigation of the similarities or differences in the site-based decision making products espoused by AFT and NEA.

Specifically, the following questions were investigated to arrive at some conclusions to the major question stated above:

1. What are the site-based decision making approaches espoused by the national organizations?
2. To what extent have the local affiliates obtained contract provisions that are necessary conditions for, and are likely to contribute to, professional teaching?
3. What are the site-based decision making products contained in the contract provisions of the local affiliates of the AFT and NEA compared to what is espoused by the national organization?



4. Does the attainment of professional teaching conditions in the contracts of the AFT and NEA local affiliates contribute to the attainment of site-based decision making products that are espoused by the national organizations?

This chapter presents a summary of the investigation and provides conclusions and implications drawn from the data gathered for this investigation. Recommendations are also made for further research.

### Summary

The literature and research was reviewed to find the approaches espoused for site-based decision making by the American Federation of Teachers and National Education Association, national organizations, to their local affiliates. In the review of the literature, the national organization's approaches to site-based decision making were found, and other factors were also found that related to the bargaining and implementation of school site-based decision making. As for the research, there was minimal research found on site-based decision making, and there was no research found similar to this investigation.

The methodology of the investigation consisted of qualitative research activities. The descriptive activities used in the investigation were the collection of information through document examination and the validation of this information through structured interviews. The focus of this investigation is on the attainment of site-based decision making products in local affiliates' contracts and specifically on whether the local affiliates appear to follow the national organization's position on site-based decision making. Of equal importance in this investigation is the identification of professional teaching conditions that existed previously in the contracts of the AFT and NEA local affiliates which

contributed to the possible attainment of site-based decision making products as espoused by the national organization.

The units of study were thirteen secondary AFT local affiliates' contracts and thirteen secondary NEA local affiliates' contracts from suburban Cook and Will counties in Illinois. Despite the risks associated with a small sample and lack of generalizability, the qualitative methodology provided the researcher an opportunity to develop a data bank on site-based decision making.

The analysis of professional teaching conditions was obtained by examining the selected contracts and categorizing the various provisions according to McDonnell's and Pascal's Instrument for Professional Teaching Conditions Score (See Appendix C). The purpose of this examination was to determine each affiliates prior contract strength in the attainment of professional teaching conditions that may contribute to the attainment of site-based decision making products. Overall, the AFT and NEA contracts exhibited very few differences with respect to the attainment of professional teaching conditions. The professional teaching conditions score for each affiliate varied, and the total score for each affiliate described their prior contract strength in the attainment of professional teaching conditions.

Each contract was examined a second time for site-based decision making products as compared with what is espoused by its national organization. The analysis was obtained by examining the selected contracts and categorizing the various provisions according to the School Site-Based Decision Making Score Instrument for the American Federation of Teachers (see Appendix D) or the School Site-Based Decision Making Score Instrument for the National Education Association

(see Appendix E). The NEA model was used to list the various site-based decision making products obtained by their affiliates. Since the AFT did not have a site-based decision making model, a model was constructed according to their publications, networks language and model contract language. This model was used to categorize the AFT affiliates attainment of site-based decision making products. It was recognized that this introduced a bias into the study.

In general, both organization's affiliates had obtained some site-based decision making products espoused by their national organization. From the analysis, the NEA affiliates attained more of their organization's site-based decision making products than the AFT affiliates.

Structured interviews were held with administrators and union representatives from four AFT affiliates and four NEA affiliates attaining the highest site-based decision making scores. The data collected from the interviews provided for a validation of the provisions of the documents examined and for more complete data concerning school site-based decision making.

Each affiliate's professional teaching conditions score was compared to their attainment of site-based decision making products espoused by their national organization.

This investigation represents a descriptive content and interview analysis to support the conclusions found. The conclusions are the deductions of the researcher based on the data as presented. For this investigation, it also must be noted that the sample in this investigation was restricted to secondary districts in a selected area of the state of

Illinois. Any conclusions therefore must be viewed in light of the sample limitations.

### Conclusions

The findings of this investigation and the review of the literature warrant the following conclusions:

1. The National Education Association does espouse a model for site-based decision making for its affiliates to follow. The American Federation of Teachers does not espouse a model for site-based decision making for its affiliates to follow. The AFT does not espouse a model for site-based decision making for the following reasons: differences in composition between affiliates, newness of the issue and lack of research on the issue. Instead, AFT shares information through publications on general lessons learned, through bargaining and implementing site-based decision making projects and through model contract language on this issue. This conclusion was derived from the review of the literature, document examination and interview responses.
2. The NEA's approach to site-based decision making can be described as deductive and inductive, whereas, the AFT's approach to site-based decision making can be described as inductive. In the NEA local affiliates, the first step is to experiment with site-based decision making through a network, consortium, informal agreement or other means, without changing the formal collective bargaining agreement. The reason for the deductive approach is to allow the NEA

affiliates to focus on enhancing student learning by bringing together teachers, administrators and board members to stimulate and promote change in school structures and relationships through collaboration. After experimentation, the inductive approach evolves with labor and management negotiating site-based decision making products into the contractual/formal agreement. In the AFT affiliates, the affiliates bargain the site-based decision making products first, and include the products in the contractual/formal agreement. Presidents of AFT urban affiliates explain that the site-based decision making products must be included in the contractual/formal agreement in order to survive changes in the superintendency and union leadership, to prevent violations of the contract provisions, and to be able to defend the rights and powers of the members to participate in site-based decision making. The second conclusion is derived from the review of the literature, document examination and interview responses.

3. Although there were similarities and differences between the site-based decision making products espoused by the AFT and NEA, there were also some similarities and differences in the products attained by each organization's local affiliates. The predominant site-based decision making products attained in the AFT affiliates' contracts as espoused by the national organization were: based on contractual/formal agreements, voluntary participation by participants at the school site and an agreement on the scope of decision making. The

predominant site-based decision making products attained in the NEA affiliates' contracts as espoused by the national organization were: a district association structure for processing conflict resolutions, an agreement on the scope of decision making authority available to the sites, constituent representation appropriate to the site and representation selected by each constituency. Both organizations espouse the inclusion of the site-based decision making products in the contract, but as described in conclusion two, the organizations have different approaches to the inclusion of these products in the contractual/formal agreement. Another difference between the organizations that is espoused by the AFT and has been attained by its affiliates is the product of voluntary participation by participants at the school site. The other products espoused by the organizations are different, but in some instances, the products appear in the other organization's affiliates contracts. The conclusion was derived from the review of the literature and through the examination of the documents.

4. Within the contractual/formal agreements, the administrators will agree to allow teachers to have input into educational matters, but not at the expense of the administrators losing the right to make the final decision. AFT and NEA concur that affiliates need to agree with management upon the scope of decision making at the school site. From the data in Table 13 and the interview responses to question one, the scope of decision making is described, and the teacher's role

in the decision making process is to recommend. From the interviews, all administrators and union representatives agreed that the reason the provisions were placed into the contract was to allow the teachers input into the educational decision making process. In interview question two, five of the eight administrators believed that one of the factors that influenced the final product was that administrators considered the type of decision making advisory rather than mandatory.

5. The AFT believes that each teacher at the school site should decide upon their level of involvement in the process. As indicated in Table 16, the AFT espouses a site-based decision making product of voluntary participation at the school site. AFT espouses this product, and believes that the teacher should not be forced into the process.
6. Until more research evolves on the effects of school site-based decision making, the correlation between site-based decision making and improved student learning has not yet been definitely established. A site-based decision making product of AFT's is enhanced student learning. Even though, this product is included in a small number of AFT and NEA contracts, from the interviews, the goal of improved student learning appears to be a primary focus of the site-based decision making committees. The AFT does not dictate a model to its affiliates on the premise that there is a lack of research that site-based decision making will improve student learning. The AFT agrees that a result of

site-based decision making is increased student and teacher motivation, but it has not been proven that this increased motivation improves student learning. For this reason, AFT believes site-based decision making is one component to improve student learning, whereas, the NEA believes site-based decision making will improve student learning.

7. The past attainment of professional teaching conditions by an affiliate does contribute to the attainment of site-based decision making products espoused by the national organization, and the future attainment of provisions for professional teaching depends upon a history of a trusting and collaborative relationship between labor and management.

As indicated in Tables 22 and 23, affiliates with the highest site-based decision making scores also had high professional teaching conditions scores. From the Spearman rho rank-order correlation coefficients for each organization contained in Tables 22 and 23, the thirteen AFT affiliates had a low positive correlation between the professional teaching conditions scores and the site-based decision making scores, and the thirteen NEA affiliates had a high positive correlation between the professional teaching conditions scores and the site-based decision making scores. From the positive rho correlation coefficients for each organization, the NEA affiliates had a strong relationship between the two factors; whereas, the AFT affiliates had a significant relationship between the two factors, but it was not as strong as the NEA affiliates. From interview question two, a



trusting and collaborative relationship between labor and management was a factor cited that influenced the attainment of site-based decision making products into the contract.

### Recommendations for Action

The findings and conclusions of this investigation suggest the following recommendations for action:

1. Through research of the common site-based decision making products contained in contracts of successful AFT affiliates, the American Federation of Teachers needs to provide a model for site-based decision making in order to offer a concrete direction for their affiliates on this issue. The AFT believes site-based decision making is one component to improve student learning, but it also espouses increased decision making at the sites by its members. For the latter, a model would provide direction for the affiliates, and at the same time, the affiliates would be able to determine with management which products will activate this one component.
2. The American Federation of Teachers should promote and encourage their affiliates to use the deductive approach before bargaining site-based decision making products. To stimulate and promote change in school structures, it is important that labor and management understand the products, before entering into a relationship on a formal basis. Prior experimentation helps to build an understanding of, ownership in and collaborative relationship between

parties with the final product, and may lead to the success of the implementation of the products.

3. Prior to bargaining, the AFT and NEA affiliates can use McDonnell's and Pascal's Instrument for Professional Teaching Score (see Appendix C) to measure their success in obtaining professional teaching provisions for their members. This indicator can be used to analyze past relationships with management and to plan appropriate strategies in bargaining site-based decision making products.
4. For planning and discussing at the table, the affiliates and management need to know the predominant site-based decision making products found in AFT and NEA affiliates' contracts. From the affiliates contracts examined and from the review of the literature, the following site-based decision making products were found in both organization's formal or informal contracts: 1) the products were stated within the contract or in a memorandum of understanding; 2) the AFT affiliates clearly imply voluntary participation by participants; 3) both organizations have district association structures for conflict resolution; 4) both organizations include the scope of decision making, and the type of decision making agreed to between the parties is recommendation; 5) both organizations have included the constituency representation and selection process included within the agreement; the representatives are predominantly building administrators and teachers, and the representatives are selected by the building

administration and the union. The above information can be used as a guide by the affiliates.

5. For successful implementation of the site-based decision making products, from the interviews, it was implied that committee members need to be trained in collaborative techniques and receive some form of compensation for the time commitment. Affiliates and management may need to include these items in bargaining.
6. There is a need for more research on the effects of site-based decision making on improved student learning. At present, the correlation between site-based decision making and improved student learning has not been established.

#### Recommendations for Further Study

The following have been identified, during the course of this investigation, as possible areas for future study:

1. The present investigation has certain sample limitations. Because of these limitations, it is suggested that a similar study be conducted using a larger and more cross-sectional sample including elementary and unit districts.
2. A study should be conducted to determine whether site-based decision making does improve student learning.
3. A study should be conducted to determine why some local affiliates who are eligible to participate in site-based decision making projects choose not to do so.

4. A study should be conducted to determine how students perform academically, compared to schools with and without site-based decision making committees.
5. A study should be conducted to determine what are the similarities and differences between affiliates with site-based decision making products included within their contracts and those that do not.

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**APPENDIX A**

**LETTER OF INTRODUCTION**

**TO THE SUPERINTENDENTS**

November 16, 1992

Dear \_\_\_\_\_ :

My name is Jim Gallagher, and I am Assistant Superintendent for Curriculum and Instruction in Bremen Community High School District 228. I am presently working on my doctoral dissertation at Loyola University. My topic deals with the attainment of site-based decision making products by local associations in Cook and Will Counties as compared with the national union's position on the issue. It is the purpose of this letter to request a copy of the contract between your district and local teacher's association.

Please send me a copy of your district's teacher contract in the enclosed self-addressed, stamped envelope. If you would like the contract returned, please indicate this on the document. All information used from your district's contract will be kept confidential.

If you have any questions or concerns, please feel free to contact me.

Thank you for your time, consideration and cooperation.

Sincerely,

Jim Gallagher

**APPENDIX B**

**LETTER OF APPROVAL FROM**

**THE RAND CORPORATION**

# RAND

November 30, 1992

James J. Gallagher  
Assistant Superintendent  
Bremen Community High Schools  
15233 Pulaski Road  
Midlothian, IL 60445  
Fax: (708) 389-2552

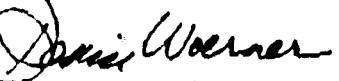
Dear Mr. Gallagher:

Permission is hereby granted, royalty-free, to the request detailed in your letter of October 30, 1992 regarding use of material from:

McDonnell, Lorraine and Anthony Pascal, *Teachers Unions and Educational Reform*,  
RAND, JRE-02.

It is understood that Table 2.1 (p. 9) will be used in your dissertation, "An Investigation of the Attainment of Site-Based Decisionmaking Products in Secondary Local Affiliates Contract Provisions as Compared with the AFT's and NEA's National Positions on the Issue." The standard academic credit should be given.

Sincerely,

  
Denise Woerner  
Rights and Permissions

**APPENDIX C****MCDONNELL'S AND PASCAL'S****INSTRUMENT FOR PROFESSIONAL****TEACHING CONDITIONS SCORE**

District \_\_\_\_\_

Association \_\_\_ AFT \_\_\_ NEA

**PROFESSIONAL TEACHING CONDITIONS AND  
THE ATTAINMENT OF THEM**

Professional Teaching Conditions	Attainment of Items
1. Assistance provided to teachers judged unsatisfactory.	_____
2. Provisional teachers to be evaluated.	_____
3. Teachers can refuse assignment outside of grade or subject area.	_____
4. Administrators cannot intervene to change teachers' grades.	_____
5. Controls on administration of standardized tests to students.	_____
6. Limits on the number of subjects, grades, or ability groups teacher must teach.	_____
7. Establishes academic freedom for teachers.	_____
8. Teachers comprise half or more of instructional policy committee (IPC) membership.	_____
9. IPCs established in each school.	_____
10. IPCs empowered to review curriculum.	_____
11. Class size mandated.	_____
12. Teacher can exclude a disruptive student.	_____
13. Limits on teachers' paperwork load.	_____
14. Controls on numbers of classroom interruptions.	_____
15. Salary paid during sabbatical leaves.	_____

**APPENDIX D**

**SCHOOL SITE-BASED DECISION MAKING**

**SCORE INSTRUMENT FOR THE AMERICAN**

**FEDERATION OF TEACHERS**

**AMERICAN FEDERATION OF TEACHERS**  
**SCHOOL SITE-BASED DECISION MAKING SCORE**

SITE-BASED DECISION MAKING CONTRACT PROVISIONS	SCHOOL
Based on contractual/formal agreements.	
Voluntary participation by local school site.	
Voluntary participation by participants at school site.	
Approval of site-plans by the union and the school board.	
An agreement on the scope of decision making authority at the site.	
Approval of all projects by all teachers and the principal at the site.	
A shared vision is the key ingredient to enduring success at a school site.	
A goal of enhanced student learning.	
Additional time and resources are items most sought after by staffs implementing school site-based decision making.	
Additional time	
Additional resources	
A time period of a minimum of five years, preferably 10 years, for the restructuring to be planned, implemented and evaluated.	
<b>TOTAL SCORE</b>	

DISTRICT \_\_\_\_\_

OTHER:

Sources: Ann Lewis, Restructuring America's Schools, (Virginia: American Association of School Administrators, 1989), 83, and AFT Center for Restructuring, "Rebuilding Public Education: America's Foundation for the 21st Century," (Washington, D.C.: American Federation of Teachers, 1991), 4.



**APPENDIX E**

**SCHOOL SITE-BASED DECISION MAKING  
SCORE INSTRUMENT FOR THE NATIONAL  
EDUCATION ASSOCIATION**

NATIONAL EDUCATION ASSOCIATION

SCHOOL SITE-BASED DECISION MAKING SCORE

SCHOOL SITE-BASED DECISION MAKING CONTRACT PROVISIONS	SCHOOL
Based on contractual\formal agreements.	
Voluntary participation by local sites.	
A district association structure for processing conflict resolution	
An agreement on the scope of decision making authority available to the sites.	
Constituent representation appropriate to the site and selected by each constituency.	
Representation appropriate to the site Selected by each constituency	
Compensated planning and training time for staff and governance bodies as well as additional resources necessary for successful implementation.	
Compensated planning time Compensated training time Additional resources	
Compensation and/or release time for participating members.	
Compensation Release time	
TOTAL SCORE	

DISTRICT \_\_\_\_\_

OTHER:

Source: NEA Handbook - 1991-92, "Resolution F-4, Site-Based Decision Making, (Washington, D.C.: National Education Association, 1991), 264.

**APPENDIX F**

**KEY INFORMANT INTERVIEWS**

## INTERVIEW GUIDE AND RESPONSES

1. What was the overall purpose for these provisions being negotiated into the contract?

RESPONSES	ADMINISTRATION		UNION REPS	
	AFT	NEA	AFT	NEA
The purpose was to allow the teachers to have input into the educational decision making process.	4	4	4	4
The purpose was to design a committee to improve student learning.	3	2	3	2
The purpose was to make committees more meaningful rather than rubber stamps.		2		1
The purpose was to hear other viewpoints on educational issues.		1		1
The purpose was to share ideas and data and to solve problems.		2		1
The purpose was to set up a process for experimentation.	1			

2. In negotiating these contract provisions, what were the factors that influenced the final product?

RESPONSES	ADMINISTRATION		UNION REPS	
	AFT	NEA	AFT	NEA
A factor was to allow teachers to have input into the decision making process.	4	4	4	4
The factor was that administrators considered the teacher input as advisory rather than mandatory.	3	2		
A factor was that the board felt it was not a cost item.	1	2		
A factor was the past history of the organization to work collaboratively with teachers.	2	2	2	2
A factor was the trusting relationship between the Board of Education, Superintendent and Union.	2	2	2	3
A factor was that teachers were not involved in making decisions on curriculum.			2	2
A factor was involvement in the Consortium for Educational Change.		2		2
A factor was the ingredients from NEA model and publications		2		2
A factor was the support from the IEA uniserv director.		2		3
A factor was the information from AFT publications and model contracts.	2		2	

## Question Two Continued

RESPONSES	ADMINISTRATION		UNION REPS	
	AFT	NEA	AFT	NEA
A factor was the support from the IFT representative.		2		2
A factor was the form of bargaining-win-win.	1	1	1	1
A factor was that it was placed into the contract to insure proper interpretation by future administrators and union leaders.			3	2
A factor was to improve student learning.	2	1	2	
A factor was a need to change from a top-down process to a bottom-up process on educational issues.	1	1		
A factor was to overcome past differences.	1	2		
A factor was to help administrators get the job accomplished.	1			
A factor was due to new union leadership.	1			
A factor was due to a new superintendent.				1

## 3. How have these contract provisions helped your school?

RESPONSES	ADMINISTRATION		UNION REPS	
	AFT	NEA	AFT	NEA
Teachers feel they have ownership in the process.	2	3	2	2
Teachers have a formal process to express educational concerns and look for resolutions.	2	4	1	1
Core members of the committee feel accountable for the committee decisions, but other faculty members do not.	2	3	2	1
The provisions provided for an improve school climate and student education.	3	1		1
Problems are solved within the committee rather than bargaining.	2		1	
Teachers feel that somebody is listening to them.	1	2		1
The provisions have helped faculty morale.	2	2	1	1
The provisions provide an avenue for teachers and administrators to discuss improving student learning.	4	1	3	
Committee recommendations helped administrators to make final decisions.	2			
The provisions helped teachers to understand the administrators position.	1	2	1	1

## 4. How have these contract provisions hindered your school?

RESPONSES	ADMINISTRATION		UNION REPS	
	AFT	NEA	AFT	NEA
Committee members have different personalities.	4	4	4	4
A committee may address individual concerns.	4	4	3	3
The time commitment by volunteers to research issues has become a problem.	2	3	2	4
The lack of collaboration training of committee members has created problems.	2	2	2	1
The lack of commitment by some administrators to shared leadership creates problems.	3	2	2	2
With students present, open discussion is stifled.				1
The input received does not address the parents, students and educational support staff needs.		1	1	
A hindrance is when a union representative tries to take control.		1		
If recommendations do not come from the grass roots, there are always problems.	1		1	
Committee decisions are not communicated to the entire faculty.	1			
The participation of members needs to be voluntary.				1
New members entering the process tends to stall the process.				1
Administrators need to be careful that issues are not resolved by them that should be handled by the committee.	1	1		1



5. What evidence do you have that these contract provisions have affected student achievement?

RESPONSES	ADMINISTRATION		UNION REPS	
	AFT	NEA	AFT	NEA
We have no evidence that these provisions have affected student achievement.	4	2	4	3
The provisions have improved teacher motivation which permeates down to students.	4	2	4	3
The provisions have created a positive school atmosphere.	1	1	1	1
Three years ago, the committee recommended a Freshman Convocations Program. Data shows that this program has improved student attendance and increased the number of freshman on the honor roll..		1		
The committee recommended curriculum revision. As a result of this recommendation, the standardized test and ACT scores have improved over the last three years.		1		
We have seen a decrease in the failure and suspension rate and an increase in the attendance rate.		1		1

6. What future changes do you plan to these already existing contact provisions?

RESPONSES	ADMINISTRATION		UNION REPS	
	AFT	NEA	AFT	NEA
No changes are needed to the existing contract provisions: To new to change.	1	1		1
Working well, why fix it.	1	1	2	1
The committee should be more inclusionary - students, parents and educational support staff.	2	2	3	2
Training is needed in collaboration techniques.		1		
Rather than input, the scope of decision making should be by consensus..				2
The dates and times meetings will be scheduled.			1	
The current wording needs to be placed into the contractual/formal agreement.		1		2

7. What other new proposals related to these contract provisions do you plan to offer in the future?

RESPONSES	ADMINISTRATION		UNION REPS	
	AFT	NEA	AFT	NEA
No new proposals are planned.	2	2	2	2
The committee focus needs to be stated.		2		1
The time commitment by committee members needs to be addressed - compensation or release time.	2	2	1	2
Training is needed in collaboration techniques.	1	1		
In order to experiment, we need to be able to waive the provisions within the procedural agreement.				
The current wording needs to be placed into the contractual/formal agreement.		1		2

APPROVAL SHEET

The dissertation submitted by James J. Gallagher has been read and approved by the following committee:

Dr. Max A. Bailey, Director  
Associate Professor and Chairman of the Department,  
Educational Leadership and Policy Studies  
Loyola University of Chicago

Dr. Philip M. Carlin,  
Associate Professor,  
Educational Leadership and Policy Studies  
Loyola University of Chicago

Dr. Edward T. Rancic,  
Assistant Professor,  
Educational Leadership and Policy Studies  
Loyola University of Chicago

The final copies have been examined by the director of the dissertation and the signature which appears below verifies the fact that any necessary changes have been incorporated and that the dissertation is now given final approval by the committee with reference to content and form.

The dissertation is therefore accepted in partial fulfillment of the requirements for the degree of Doctor of Education.

November 30, 1993

Date

Max A. Bailey

Director's Signature