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UNIVERSITY OF VERMONT BURLINGTON, VERMONT 05405

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In September 1976 the Center for Research on Vermont initiated a Research in Progress Seminar series. These seminars are conceived primarily as opportunities for researchers on Vermont topics to present their preliminary findings for critical review. Although we especially encourage attendance by people who either through participation or observation and study have special competencies in the subject under investigation, all sessions are public.

While not every seminar has followed this precise format, the presentations have usually profited from critical commentary or otherwise promoted additional research. In order to facilitate wider dissemination of these efforts, the Center has elected to distribute selected presentations as "Occasional Papers."

Professor Robert Larson presented an earlier version of this paper at a Research in Progress Seminar on November 1, 1977. Since then and in part as a response to criticisms and suggestions he received through the seminar, he has continued his research and revision. This article is a consequence of those continuing efforts.

While Professor Larson's primary concern is with planning for public education, it is our belief that his paper will also be of interest to those concerned with different aspects of planning as well as planning in general.

We encourage readers to provide substantive comments. They may be addressed to either the author or the Center for Research on Vermont. We also welcome suggestions for future Research in Progress Seminar topics.

Samuel B. Hand, Director
Center for Research on Vermont
January 14, 1980

Author's Note: Schools cited in this report were selected by the author in conjunction with administrators and Vermont State Department of Education personnel familiar with the extent to which organizations had used the PDK Model. In the fall of 1974, two to three days were spent in each school interviewing staff and analyzing documents, and inquiries were continued through the fall of 1978.

ABSTRACT

This study discusses and evaluates "rational planning models" for goal setting in educational systems. The author focuses on the Phi Delta Kappa "Educational Goals and Objectives Packet: A Model Program for Community and Professional Involvement" by examining the results of its use in five Vermont schools. His findings show a wide gap between educational realities and the rational tradition of organizational maintenance and change on which the model is based. In addition to his Vermont research, Larson cites studies revealing similar results throughout the country and seeks to derive a number of implications for planning. He concludes that the PDK-type models seldom work as intended and may even prove counterproductive. Finally, he urges educators to rethink traditional planning models to better fit the educational environment.

In August 1972, in the midst of the whirlpool of accountability, Phi Delta Kappa, the national education fraternity, published its first "Workshop Packet for Educational Goals and Objectives: A Model Program for Community and Professional Involvement." The program is a systematic approach to identifying school goals, assessing school performance in relation to these goals, stating new program needs, and translating these needs into program and instructional objectives.

With the assistance of a network of twenty-three higher education affiliated training centers across the United States and Canada,

1. over 300 workshops with 10,000 participants have been held in the U.S., Canada, Germany, Venezuela, Puerto Rico, and Guam to train personnel in the use of the material, and an estimated 360,000 laypersons, educators, and students have participated in subsequent programs.
2. materials have been ordered by over 4,000 school districts enrolling an estimated 2,100,000 students.[1]

The Mythology of Organizational Goals

Goal setting is a time-honored organizational activity.[2] The dominating presence of goals as an essential variable in most models or theories of organizations demonstrates the existence of a goal paradigm--a conceptualization so fundamental that it is, in reality, an article of faith.[3] This paradigm is central to Weber's notion of an ideal bureaucracy which is characterized by clear and explicit goals with organizational structures and processes coordinated and controlled to rationally achieve them.[4] The pervasiveness of the "conventional wisdom" of having goals can be seen when examining organization documents; rarely does one encounter an

organization that does not have a list of goals. Why have goals? An examination of the literature indicates that goals serve to:[5]

1. legitimize the organization in the eyes of employees, constituent groups, and the general public, and provide the rationale to obtain the moral, financial, and political support needed for organizational survival.
2. identify accountability in terms of the organization's societal functions (e.g., educative, legislative, profit making, etc.) and to prevent or inhibit encroachment on its or another organization's functions.
3. create norms which will commit employees and constituent groups to a direction, to common purposes, and to work for a better future.
4. promote norms which stimulate morale and motivation.
5. reduce random and discretionary employee and constituent behavior which limits organizational energy expended on control activities (e.g., enforcement of rules and regulations).
6. enhance the effectiveness and efficiency of the decision-making process.
7. promote integration of various organization functions which enhances organizational effectiveness and efficiency.
8. assist in planning and in determining how resources are to be allocated.
9. guide the setting of policy.
10. establish standards against which to assess efficiency and

effectiveness and to evaluate organization and employee performance.

Despite the persuasiveness of the goal paradigm as a means to analyze and understand the behavior of an organization, there are reasons for being cautious before accepting its logical and common sense appeal. In contrast to the above ten functional dimensions of goals, some possible goal dysfunctions are:

1. assessing effectiveness and efficiency on the basis of goal attainment may be misleading because multiple goals may be in conflict and hence, inhibit single goal realization.
2. frequent measurement of goal attainment may lead to an emphasis on more quantitative as opposed to equally important but more difficult to measure qualitative type goals.
3. unanticipated demands on an organization may require energy and resources to be expended on problem solving which, although necessary for survival, may not be directly related to any goal.
4. unless goals are occasionally updated, public or official goals may, over time, be succeeded by new goals which, although important, may not be stated and thus not be assessed. In such a situation, it may seem that the organization is not performing effectively.
5. too focused a commitment on official goals may inhibit the organization from adopting new goals which may be more appropriate for its mission.
6. overemphasis on attainment of certain goals may divert resources from other vital organization functions which may

not be as clearly linked with the stated goals (e.g., in-service education for staff may be neglected in favor of the official goal of instructional improvement). Also, official goals can divert management attention from the more immediate personal needs of employees. Personnel relationships are seldom a publicly stated goal, yet failure to attend to them can lead to serious internal motivation and morale problems.

7. certain goals, although societally sanctioned, may, if publicly pronounced, be unpalatable to segments of the clientele served (e.g., the socialization function of education versus the 3 R's). An unproductive conflict may result which will inhibit the attainment of related goals.

This research review indicates that goal setting is a complex and often convoluted process. Also, although goals are much discussed, there is slight reference in the literature (or in any of the numerous planning documents examined for this study) to uses or dysfunctions of goals. Although a "goal paradigm" exists, the value of goals and goal setting is assumed with little attention paid to the specifics of goal utilization.

The Mythology of Educational Goals

Goals usually are seen as an important element in the life of a school. Since the mid-nineteenth century, there has been an accelerating debate over which are the appropriate goals for education in a free society, and the degree to which schooling should perpetuate or help change the social order. This debate culminated, in one sense, in 1883 with the Report of the Committee of Ten on requirements for college admission. Although aim

ostensibly at preparation for higher education, the Report generated considerable controversy as it, in reality, proposed a standard curriculum for all students, college bound or otherwise.[6] Despite the fact that no "official goals" were proposed, the curriculum outlined was a classic case of "operative goals" in action--goals, though unwritten, apparent from the way policies are stated and resources allocated.[7]

The Report of the Committee of Ten was the first national statement made by educators on education since the nation's inception. It was destined to spawn numerous others. The next pronouncement, the famous Seven Cardinal Principles of Secondary Education of 1918, was the first specific listing of what might be called "goals." Subsequent reports were issued by the Educational Policies Commission in 1928, 1944, and 1961.

In 1960, a landmark study of goals was conducted by Lawrence Downey of the University of Chicago. Published as The Task of Public Education, the study identified, through an analysis of many of the aforementioned reports plus other documents, sixteen "tasks" or goals for public education. Next, a nationwide survey was conducted through a sampling process to determine how educators and laypersons would rank these goals. The sixteen tasks are shown in Figure 1.[8]

The Downey work is of considerable importance. First, it synthesized the myriad of statements from prior reports into a sound conceptual framework and developed a goal assessment methodology which has been much utilized since 1960.[9] Second, it demonstrated that "contemporary views of educational aims tend to reflect much of the past; only the emphases have changed."[10] Third, educational goals are general rather than specific in nature--it is difficult to find agreement on their meaning and what the outcomes of goal attainment should be.[11] All these support what one re-

A. Intellectual Dimensions

1. POSSESSION OF KNOWLEDGE: A fund of information, concepts
2. COMMUNICATION OF KNOWLEDGE: Skill to acquire and transmit
3. CREATION OF KNOWLEDGE: Discrimination and imagination, a habit
4. DESIRE FOR KNOWLEDGE: A love for learning

B. Social Dimension

5. MAN TO MAN: Cooperation in day-to-day relations
6. MAN TO STATE: Civil rights and duties
7. MAN TO COUNTRY: Loyalty to one's own country
8. MAN TO WORLD: Inter-relationships of people

C. Personal Dimensions

9. PHYSICAL: Bodily health and development
10. EMOTIONAL: Mental health and stability
11. ETHICAL: Moral integrity
12. AESTHETIC: Cultural and leisure pursuits

D. Productive Dimension

13. VOCATION - SELECTIVE: Information and guidance
14. VOCATION - PREPARATIVE: Training and placement
15. HOME AND FAMILY: Housekeeping, do-it-yourself family
16. CONSUMER: Personal buying, selling and investment

Figure 1 -- Dimensions of the Task of Public Education:
A Conceptual Framework

seacher, among many others, has identified as a special property of schools--goal ambiguity.[12]

The debate continues. Witness, for example, the recent call for "back to the basics." What appears to be the crux of the issue is that people disagree, in the context of another historic moment, on the emphasis which should be accorded certain goals, although the goals themselves appear to remain unchanged.[13] In the relative simplicity of Puritan society, the three R's were survival goals with few people holding to a contrary view. In today's society, there is enough ambiguity to cause a recent writer to conclude:

> Pupils and students question vaguely why they study what they study. Parents wonder what their escalating taxes and tuitions are actually purchasing for their children. Responsible public executives, legislators, and judges, and their staffs, in the various branches and at the various levels of America's complex constitutional system, find themselves plagued with problems of educational cost and equity. They search for both practical and philosophical definitions and justifications of an educational public interest. Chief state school officers, superintendents, building principals, college and university administrators, and their various associations, search for rhetoric to explain what their educational enterprises are all about and in ways that reassure political philanthropic patrons and provide some internal reassurance that the political and emotional harassments associated with modern educational administration are worth enduring. Scholars and teachers, traumatized by reductions-in-force and budget stringencies, search for ways beyond the stridencies of collective bargaining to convince others of their essentiality. And, reflecting and refracting all of this perplexity, journalists and educational reformers convey a general sense of educational malaise to a larger public.[14]

It was in this context that the accountability movement was spawned. Likewise, Phi Delta Kappa developed its Model Program specifically to promote "increased educational accountability."[15]

The PDK Educational Planning Model - The Rationalistic Myth[16]

The model and the planning process are depicted in Figure 2. Figure 3 gives the list of eighteen goals. These goals are similar to the Downey list and were derived from a study conducted by the California School Boards Association. Educators, students, and laypersons at the district or school level identify and rank the goals. The process begins at the individual level and then small groups are involved. After the groups exchange feedback, they rank goals, and an inter-group committee rates each item in terms of how well current programs meet the goal. (See Figure 4 for a sample page from the needs assessment instrument.) The professional staff then takes the needs assessment data and translates it into program- and classroom-level objectives. Although called a "model," the program can be adapted to special situations. Participants, for example, are encouraged to identify and add their own goals. The management system component (Phase III), which focuses on the steps of resource analysis and allocation, instructional program change, and evaluation and recycling, was not developed until 1975.

The PDK Model is in keeping with the goal paradigm discussed earlier. Moreover, it is consistent with the rational perspective of management and planning which emerged from the Weberian tradition and that has become prevalent in education in the last decade with the appearance of the "systems approach."

> Planning is used in a broad sense to encompass a rational means-end assessment of resources and objectives by all interested parties, although some cynics contend that in education, there are only means, no ends. This process relates inputs and outputs and directs attention to the preparation of time-phased future activities. Inasmuch as the public's goals in education seem to exceed its present reach, improved planning and reporting by schools can reduce the gap between aspirations and scarce resources.[17]

Therefore, it would appear that the PDK program is predicated on the following

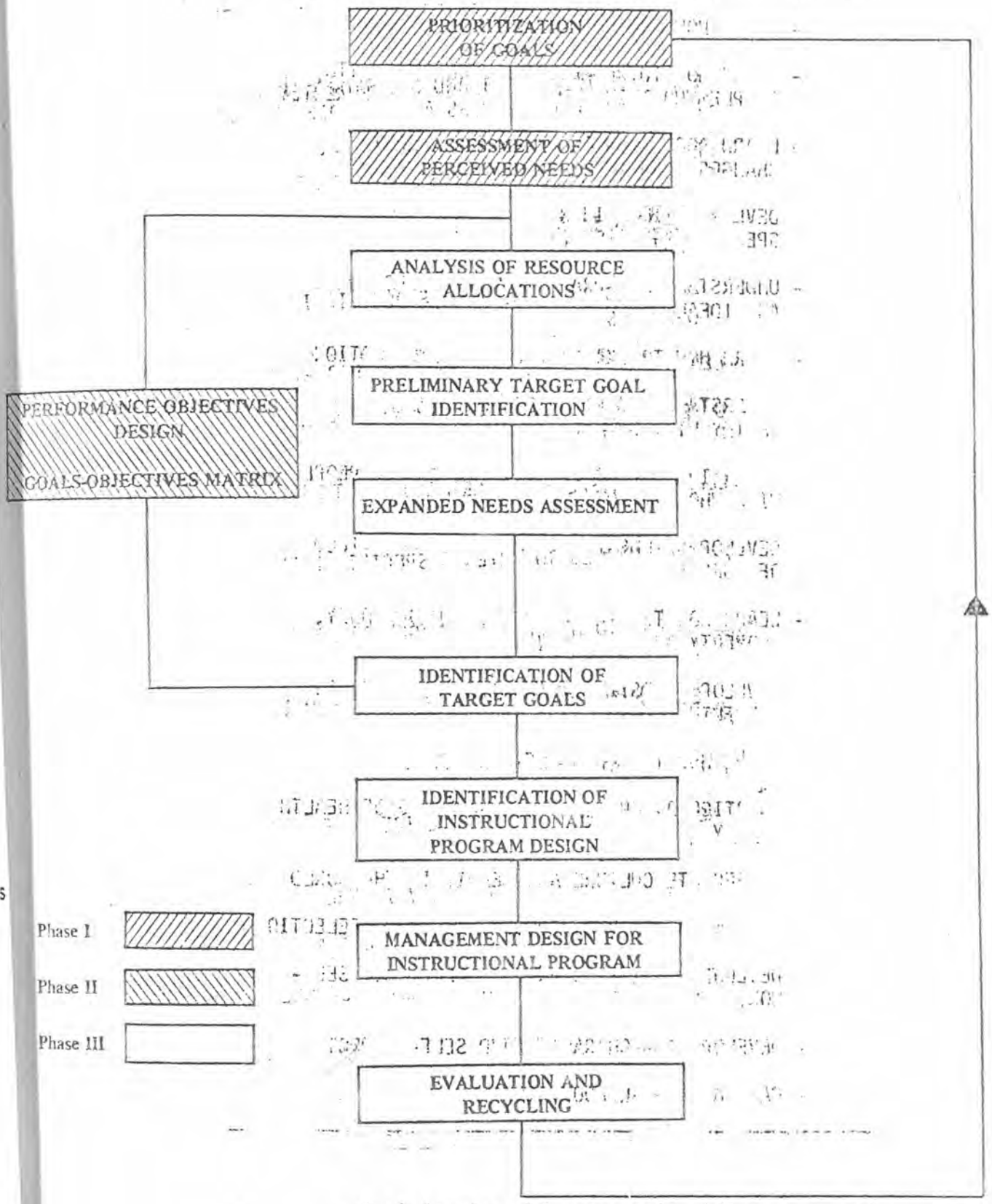

Figure 2 -- PHI DELTA KAPPA

EDUCATIONAL PLANNING MODEL

- LEARN HOW TO BE A GOOD CITIZEN
- LEARN HOW TO RESPECT AND GET ALONG WITH PEOPLE WHO THINK, DRESS AND ACT DIFFERENTLY
- LEARN ABOUT AND TRY TO UNDERSTAND THE CHANGES THAT TAKE PLACE IN THE WORLD
- DEVELOP SKILLS IN READING, WRITING, SPEAKING AND LISTENING
- UNDERSTAND AND PRACTICE DEMOCRATIC IDEAS AND IDEALS
- LEARN HOW TO EXAMINE AND USE INFORMATION
- UNDERSTAND AND PRACTICE THE SKILLS OF FAMILY LIVING
- LEARN TO RESPECT AND GET ALONG WITH PEOPLE WITH WHOM WE WORK AND LIVE
- DEVELOP SKILLS TO ENTER A SPECIFIC FIELD OF WORK
- LEARN HOW TO BE A GOOD MANAGER OF MONEY, PROPERTY AND RESOURCES
- DEVELOP A DESIRE FOR LEARNING NOW AND IN THE FUTURE
- LEARN HOW TO USE LEISURE TIME
- PRACTICE AND UNDERSTAND THE IDEAS OF HEALTH SAFETY
- APPRECIATE CULTURE AND BEAUTY IN THE WORLD
- GAIN INFORMATION NEEDED TO MAKE JOB SELECTION
- DEVELOP PRIDE IN WORK AND FEELING OF SELF-WORTH
- DEVELOP GOOD CHARACTER AND SELF-RESPECT
- GAIN A GENERAL EDUCATION

Figure 3 -- Phi Delta Kappa Educational Goals

Goal Statements:

Similar Goals:

1. Learn how to be a good citizen

A. Develop an awareness of civic rights and responsibilities.
B. Develop attitudes for productive citizenship in a democracy.
C. Develop an attitude of respect for personal and public property.
D. Develop an understanding of the obligations and responsibilities of citizenship.

EXTREMELY POOR	POOR	FAIR BUT MORE NEEDS TO BE DONE	LEAVE AS IS	TOO MUCH IS BEING DONE	Score
1 2 3	4 5 6	7 8 9	10 11 12	13 14 15	

2. Learn how to respect and get along with people who think, dress and act differently

A. Develop an appreciation for and an understanding of other people and other cultures.
B. Develop an understanding of political, economic, and social patterns of the rest of the world.
C. Develop awareness of the interdependence of races, creeds, nations, and cultures.
D. Develop an awareness of the processes of group relationships.

EXTREMELY POOR	POOR	FAIR BUT MORE NEEDS TO BE DONE	LEAVE AS IS	TOO MUCH IS BEING DONE	Score
1 2 3	4 5 6	7 8 9	10 11 12	13 14 15	

3. Learn about and try to understand the changes that take place in the world

A. Develop ability to adjust to the changing demands of society.
B. Develop an awareness and the ability to adjust to a changing world and its problems.
C. Develop understanding of the past, identify with the present, and the ability to meet the future.

EXTREMELY POOR	POOR	FAIR BUT MORE NEEDS TO BE DONE	LEAVE AS IS	TOO MUCH IS BEING DONE	Score
1 2 3	4 5 6	7 8 9	10 11 12	13 14 15	

4. Develop skills in reading, writing, speaking, and listening

A. Develop ability to communicate ideas and feelings effectively.
B. Develop skills in oral and written English.

EXTREMELY POOR	POOR	FAIR BUT MORE NEEDS TO BE DONE	LEAVE AS IS	TOO MUCH IS BEING DONE	Score
1 2 3	4 5 6	7 8 9	10 11 12	13 14 15	

Figure 4 -- Individual Rating of the Level of Performance of Current School Programs

assumptions:

1. schools can utilize effectively a rational "systems based" model and planning process.

2. adequate information exists at the local level about the "state of education" to enable schools to plan around goals and objectives.

3. administrators and teachers are prepared to develop, implement, and use a management system which links with identified goals and objectives.

4. goals and objectives can improve the quality of the curriculum and the effectiveness of the teaching-learning process.

5. goals and objectives are meaningful tools for use by professional educators.

6. community and student input to schools in terms of perceived needs will be utilized by administrators and teachers for decision making.

To examine the validity of these assumptions and to discover

1. How did districts come to use the "Model Program," who initiated the process, and how was the material utilized?

2. What factors aid and impede an effective goal setting process?

3. What impact did goal setting have on program planning and development in the schools in these districts?

the author examined the implementation of the Phi Delta Kappa Educational Planning Model in five Vermont schools located in four districts.* A brief synopsis of activities and processes in these organizations follows.

The Schools - Goal Setting in Practice

District I

School A was a 300-pupil, K-12 organization with twenty-five teachers located in a community composed of about a 50 percent French-speaking population. Over 100 years old and unaccredited when a new superintendent was hired in 1971, it was operating without an official statement of phi-

losophy and goals. As part of an improvement plan, the superintendent applied for a Rural Experimental Schools (RES) grant. Grant guidelines required the formation of a Citizens Advisory Committee which proceeded to conduct a door-to-door bilingual survey of citizen attitudes toward and expectations about education provided by A. Although a grant was not forthcoming, the advisory committee decided to build on survey results and to develop goals for A. In early 1972, this list of goals was linked with a system-wide curriculum development plan.

In the winter of 1973, to clarify further these goals, the Phi Delta Kappa material was used with the advisory committee, a sampling of students, and all staff. Goals were ranked, agreements and disagreements were identified relative to between-group ranking, and opinions aired as to how well the school was meeting goals (the needs assessment step). No outcomes were disseminated to the community or student body. A teacher committee was then assigned by the superintendent to develop a new statement of philosophy and goals based on the Citizen Advisory Committee and PDK lists. The staff and board approved this statement in May, 1973.

Since then, many management and curriculum changes have occurred in A, ranging from new budgeting processes to utilization of community resource people to extensive bilingual programs. During this time, the only formal use of the philosophy and goals has been as a reference point in hiring staff and in building a budget. The document also meets a State Department of Education requirement that each district have a local "design for education."

District II

School B was an 800-pupil, accredited 7-12 regional organization with

fifty-six staff members. Since its inception in 1965, B had operated with an official statement of philosophy and goals. In the fall of 1973, the board approved the principal's proposal to create a thirteen-member Educational Planning Committee (EPC) composed of faculty, students, administrators, and parents for the purpose of reexamining the curriculum and building organization. Specific recommendations were to be made by January, 1973. To facilitate the process a teacher was appointed to a half-time role as EPC Planning and Development Coordinator.

To clarify existing goals the PDK material was used with a sampling of laypersons, students, and all staff in the spring of 1973. Goals were ranked and agreements and disagreements identified relative to between-group ranking. Only teachers completed the needs assessment instrument. No outcomes were disseminated to the community or student body.

In 1975 a report listing eighteen recommendations without reference to any goals was presented to the board. To date sixteen of them, which address a variety of topics from career education programs to school-community interaction, have been adopted. A national foundation gave $2,500 to B to support implementation of the recommendations, and complimented the staff for its "vision and ability to initiate, formulate, and carry out a comprehensive redirection of the school's efforts and organization."[18]

District III

School C was a 300-pupil, K-6 organization and School D was a 300-pupil accredited 7-12 organization. Each had twenty-four teachers. C and D had been in existence since the mid-1800's with official statements of philosophy and goals used, as one teacher put it, "for psychological guidance and nothing more." In 1971 application was made for Rural Experimen-

tal Schools funds. As in District I, a Citizen Advisory Committee was created. Discussions between the advisory committee and board led to questions about the community's expectations of its schools. In the midst of this dialogue, notice was given that no RES funds were awarded.

To sustain the process of goal clarification, the superintendent suggested to the advisory committee that the PDK material be used with a sampling of students, all staff, and as many citizens as possible. In early 1973, goals were ranked by individuals and the needs assessment step was completed by staff and students. Cable TV was used to facilitate citizen participation in goal ranking. There was no discussion among or between groups to resolve or clarify differences in rankings or ratings. No outcomes were disseminated to the community or student body, but they were discussed by the board and staff where one administrator stated: "We made judgments that the information indicated no real changes were needed so that was the end of it. I have not heard since about the goals."

For the next two years the main in-service activity in C and D was the writing of behavioral objectives for reading, writing, science, and math, for, in the superintendent's words, "PDK showed that the majority of people wanted our schools to stress the basics." A reexamination of education in the district came in March, 1976 when the board voted to adopt a new State Department of Education program approval process to achieve an integrated K-12 system to improve curriculum. In the fall of 1978, the district became the first Vermont district to complete all the steps involved in developing a five-year educational plan.

District IV

School E was an 800-pupil, 7-12 organization with fifty-three teachers.

Since its inception in 1971, E had operated without an official statement of philosophy and goals. Being an "open" design building with many innovative programs in a community with a significant conservative population, conflicts arose at the end of the first year over program offerings. A school budget cut prodded the board into searching for ways to gain a clearer understanding of the public's educational expectations for E. The principal suggested the Phi Delta Kappa material as a means to this end.

In the spring of 1973, a sampling of laypersons in each of the five towns sending students to the school, a sampling of students, and all staff went through the process of ranking goals and identifying agreements and disagreements. Parents were asked to complete the needs assessment instrument, but, as an associate principal commented, "People were reluctant to do this as they felt they didn't know enough about the school." Outcomes were discussed by the board and staff, but no attempt was made to resolve ranking differences. No results were disseminated to the community or to the student body.

Convinced that it was important for the board to approve a statement of philosophy and goals, the principal had a consultant study school documents and derive a statement of philosophy and goals. It was presented to the board and discussed one evening in the fall of 1973. There was no further examination of goals until spring, 1975 when the board voted to adopt the program approval process used in District III. In 1976 goal setting once again became a major in-service activity with the statement as a base. No reference was made to the PDK material. A new statement of philosophy and goals was approved by the board in June, 1977.

Findings - The Reality of Planning

How did districts come to use the "Model Program," who initiated the process, and how was the material utilized?

1. The primary reason for using the PDK kits stemmed from a need for a fairly systematic process to establish organizational goals. Setting goals tended to be an "ad hoc" activity, considered after launching the planning process, and viewed as "one of those things we have to do" instead of as an integral component of planning for teachers in the classroom. No discussion occurred in the districts about how goals could be useful to the organization and its staff in any of the functional dimensions identified in the earlier literature review. A strong norm existed "to do goal setting" but reservations about the activity's utility were equally strong.

2. Superintendents and principals were instrumental in initiating the process, often with consultant help. Teachers and board members did not suggest goal setting.

3. Districts readily adapted the model to fit their situation.

4. Parent and lay participation was minimal. Mail-outs obtained low response as did efforts to bring people together for a session on goal identification. The most successful response rate, as well as useful data, came from the District I door-to-door home interviews. This finding is in keeping with Zeigler's study on the lack of consistent participation and sustained interest demonstrated by laypersons regarding school issues and problems.[19]

5. There was a decided tendency for teachers to give higher ranking to "humanistically" oriented goals (e.g., good citizenship, getting along with people different from oneself, and practicing democratic ideas and ideals) compared to the ranking by parents and students. Both parents and

students placed greater emphasis on the "3 R's" and work-oriented learnings. This finding is congruent with Lortie's research on goals of teachers who tend to see themselves as "moral agents" first and imparters of knowledge second.[20]

6. In each district the emphasis was on individual ranking of goals. Where there were teacher, parent, and student differences, the schools made no attempt to resolve between-group goal ranking by a mathematical consensus of subgroup outcomes (as recommended in the PDK Administrator's Manual) or by any "public" means. Differences were resolved by an in-house staff group or simply relayed to faculty and subsequently ignored. The public and students were not informed about differences in ranking and in no instance did they ask for the information. The general professional and board attitude seemed to be, as one board member described it, that "the goals support what we've been doing, so let's get on with what we've always done." A recent study in Iowa identified a similar lack of feedback to interested parties.[21]

An important conclusion which may be drawn from the above is that the Phi Delta Kappa consensus building process clashed with norms present in the schools. Opportunities and processes to support and encourage open and possibly conflictual exchange were weak or generally nonexistent. A conflict-free organizational climate, therefore, appeared to be an unwritten yet powerful goal in each school.

What factors aid and impede an effective goal setting process?

1. Goal setting was seen by most teachers as an isolated event, just another one-shot activity on the long list of educational "fads." "This

year it is accountability. Last year it was Career Education. Who knows what's next?" said a tired teacher. Or, as another put it, "PDK was viewed as playing bingo! We were never told why we were doing what we were doing."

Although at times comments were made to the effect that "it was an exciting and challenging time when we confronted each other over our beliefs about educational purpose," the predominant attitude was that goal setting was just another fruitless exercise. Teachers understood their ability to restrict the capacity of school officials to affect personal teacher goals,[22] as illustrated by one teacher's comment that "I still teach what I want to teach regardless of school goals."

Administrators, on the other hand, were predictably supportive of goal setting since their role is oriented primarily toward maintaining a working equilibrium between conflicting and cooperative forces which impinge upon and are at work within the organization.[23] As one principal stated, "In this day of accountability, what administrator is going to say to a board that we don't believe in or use goals?"

2. When professional staff did discuss goals seriously, it was with a decidedly "here and now" rather than a future-oriented attitude. Purposes of education were rarely grappled with, an observation substantiated by the fact that in no school were any additions made to the original list of eighteen goals. As another national study of schools demonstrated, "There was, in fact, a notable absence of total staff or small group dialogue about education in general or school plans and prospects."[24] Presentism rather than futurism receives teacher allegiance.[25] Philip Jackson's cogent research on teaching led him to make the following relevant statements:

From one point of view the school is properly described as a

future-oriented institution. Its ultimate concern is with the future well-being of its clientele....

...Yet if we believe the testimony of these experienced teachers it is today's behavior rather than tomorrow's test that provides the real yardstick for measuring the teacher's progress.[26]

3. Educational personnel were reluctant to rank goals despite pressures upon schools to sort out priorities. Educators felt strongly that all eighteen goals were important if schools were to fulfill their societal mission. Another study on the PDK model elicited a similar outcome.[27]

4. Rating the performance of current programs relative to goals was avoided. Where rating was done by students, staff, and parents, as in District III, the results were ignored. Parents and laypersons usually were reluctant to rate due to a lack of detailed familiarity with school programs. The Gallup Polls of Attitudes Toward Education demonstrate that this is also a national phenomenon; imposing discipline and better teaching are at the top of the list when laypeople are asked to suggest what schools should be doing that they are not doing now.[28]

5. Although only connected vaguely to the PDK goals, an effective planning process which led to specific actions was utilized in Districts I and II. Concrete proposals for change resulted from a number of factors, among them: board, administrator, and staff commitment to outcomes; administrator understanding of planning; a systematic needs assessment; a coordinator to direct the process; a timetable of events; community support; and planned in-service time devoted to the task at hand.

One important reason why educators often placed the systematic PDK process in the "fad" category is captured quite well in a principal's comment that "PDK assumes a great deal. We really aren't trained to plan. Once we set goals, what do we do?" Administrators were short on knowledge

about how to use a PDK-type "model" in the context of a complex organization like a school. As one national study of professors of educational administration revealed, there is a decided lack of attention given to planning in higher education administration programs.[29] Considering this fact alone, one should not be surprised at the "state of the art" of planning in action.

In addition, even if they possess the knowledge and skill, typical principals are able to devote less time to planning and program development tasks than they would like. In a list of nine major areas of responsibility where they actually spend time, the above task areas were ranked seventh and fifth respectively in a national survey.[30] Another study buttresses this finding by showing that six percent of time during a typical day was expended on curriculum-related activity.[31] The situation is no different for superintendents. Their work day is filled with a myriad of tasks which can lead to a fractured calendar with little opportunity for planning and program development.[32]

What impact did goal setting have on program planning and development in the schools in these districts?

1. "Nothing! PDK has had absolutely no impact in this school" was the blunt way one principal put it. Time and again similar sentiments were echoed by teachers, administrators and board members who meant, as the documents verify, that the PDK goals had no visible impact on the schools' activities. No formal connection was made between goals and program and instructional level objectives. For all intents and purposes, setting goals and subsequent organizational change were unrelated events. This finding also emerged from data collected in a national study of expectations for schooling in the U.S.[33] In essence, "it was fun while it lasted,"

but the staying power of the process and the outcomes was short-lived.

Implications for Planning

Caution should be used when extrapolating field study findings to other settings. However, in this instance, the resources cited previously indicate that there are numerous similarities between aspects of the dynamics of goalsetting in schools A-E and other schools throughout the country. This justifies deriving some planning generalizations that revolve around the Phi Delta Kappa approach.

Characteristics of Schools As Organizations

1. The Phi Delta Kappa Educational Planning Model is grounded in the rational tradition of organizational maintenance and change. Goals can be set, resources marshaled and allocated, programs implemented, and evaluations made on the degree to which goals are achieved. The model is enticing as it outlines an ordering of steps leading to some specific outcomes while avoiding, or at least deemphasizing, long, extended sessions of organizational haggling and delay.

The findings from this study, coupled with other research, challenge the assumptions about planning (see page 12) which permeate this approach. This is not to say that this type of "model" is without value and utility, but educators have become so enamored of "rational planning" that they have ignored the realities of what schools as organizations are really like. Consequently, raised expectations often lead to heightened frustrations. From the classic study by Willard Waller which demonstrated the primacy of the press of classroom demands on teachers' behavior[34] to the more recent works by people such as Lortie, Jackson, Bidwell, Dreeben, and Pellegrin,[35]

scholars have portrayed a sometimes depressing but altogether factual account of what it is to be a teacher. As Jackson notes:

> Here then are four unpublicized features of school life: delay, denial, interruption, and social distraction. Each is produced, in part, by the crowded conditions of the classroom. When twenty or thirty people must live and work together within a limited space for five or six hours a day, most of the things that have been discussed are inevitable. Therefore, to decry the existence of these conditions is probably futile, yet their pervasiveness and frequency make them too important to be ignored.[36]

Recently other research has shed light on the organization characteristics of schools. One concept is that of an "organized anarchy" where (1) goals are "problematic" in that the organization functions around a variety of inconsistent and ill-defined preferences; (2) processes (technology) for doing the job are often poorly understood and operate on a trial-and-error basis; and (3) "commitment to and participation in organizational affairs on the part of individual workers is fluid, uncertain, and changing."[37] A second concept is that of "loose coupling" where an organization's subsystems (classrooms and departments) have their identity and logical separateness and are not efficient and well-coordinated.[38] These are provocative notions for understanding better the nature of schools and the reason that tidy rational planning packages do not work as they ostensibly should.

> The rational-industrial model is a poor analog for schools. It ignores the equivocability of educational goals, denigrates important discussions over means, ignores the professional intent of teachers, and overlooks the rapidly changing characteristics of school populations. The model misguides our efforts through research to understand schools as organizations. Its greatest danger is that it leads to the development of research traditions and findings which overlook the real world of the school for variables and concepts drawn indiscriminately from industrial studies.[39]

In support of this contention, other writers have described the com-

plexity of the environment in which education planning takes place. Numerous organizational and political variables are understood poorly and stressed too little in the literature.[40] This is somewhat ironic, for contemporary planning approaches are rooted in systems theory which emphasizes the environmental forces impinging on organizations and the interrelatedness of environmental and organizational variables.

It seems, therefore, that if these findings are to be useful, one ought to begin to immerse himself in the aforementioned literature--by dissecting, discussing, examining, and proposing alternative means to plan. This can be achieved by either using modifications of rational models or inventing new models to fit better the realities of "life in classrooms" and "organized anarchy." Administrators also need to discuss more openly these realities with teachers, board members, laypersons, and students so that people concerned about improving education will understand that some processes to achieve these goals will be cluttered and tedious. All these groups need an "organizational reeducation." They need it because in this day of scarcer resources and consequent increased pressure on public organizations to be clearer about goals and more specific about objectives, more rather than less discontent about school performance is generated when generally ineffective planning schemes are relied upon to effect change. Administrators also create more rather than less cynicism among teachers when the latter are asked to spend significant amounts of time on goal and objective identification, and the former then proceed as if the activity were only an exercise. Finally, all the energy expended by professionals, laypersons, and students appears to have only minimal impact on improving schools.

Interactive Planning

2. Regardless of the planning model used, educators should spend less time and effort setting goals at the total organization/system level. Evidence from study after study indicates that there is little disagreement among educators and the general populace as to the broad goals which should guide curriculum development. As research cited earlier shows, interpretation of goals can change as culture changes. This may necessitate reevaluation of the appropriateness of certain goals at a particular point in time.[41] However, in general, goals, if left unexamined at the "macro" level of the system, have little or no personal meaning and usefulness for most staff at the "micro" level of the classroom.

In this author's opinion, one possible reason for the prevalence of this system-level, "top down" pattern of planning is that over the past century, the tradition of stimulus-response or behavioristic psychology and psychoanalysis has dominated the literature. These movements have defined behavior as primarily the result of external and internal stimuli at work on the individual. Forces beyond one's control, in other words, whether through the lens of a Skinner or Freud, are major determiners of one's actions. Recently an alternative frame of reference has emerged, often referred to as "third force" or humanistic psychology. Here one seeks to understand people's feelings, attitudes, beliefs, purposes, desires, and values, i.e., those forces at work within the person. This is the phenomenological point of view which stresses that behavior is a function of the perceptions existing for an individual at the time he is behaving, stemming mainly from these internal forces. The reality which one person perceives may not match someone else's conception of it.[42] Most planning models focus on the myth of the rational-industrial reality of educational

organizations and that does not agree with what life is like in an "organized anarchy."

What educators need to do is to place more emphasis on what McCaskey calls "directional planning" which is rooted in an individual's intrinsic goal setting based primarily on what is satisfying and meaningful for him within his work domain. From one's pattern of behavior and experiences in this environment, directions are set and goals derived. In essence, people act and set goals as opposed to the traditional approach which views them as setting goals and then acting.[43] Table I[44] contrasts the rational planning process and the "directional" alternative.

Although some aspects of this "model" can be challenged as to their applicability to educational settings, McCaskey's ideas, on the whole, correspond to evidence that classroom dynamics severely affect teacher behavior. Lists of system-level goals do not motivate teachers to alter their current activities; perhaps greater focus on their everyday experiences with students would have such an impact. A longitudinal study on the process of change in eighteen schools in southern California supports this possibility, as one finding over a five-year period was that "Teachers talk, they move into activities, they examine the whole school program, they raise philosophical questions, and [then] they struggle with goals."[45] It seems quite likely that stressing teacher action will elicit from a staff its operative goals, i.e., what staff value as reflected in their behavior in contrast to their publicly proclaimed beliefs.[46]

Another means by which to identify initially goals at the "operative" level has been tested at the American Institutes for Research at Palo Alto. One thousand thirty-year-old former public school students in ten regions of the U.S. were interviewed to determine which experiences in their formal

Table I

Contrast Between Planning with Goals and Directional Planning

Planning with Goals	*Directional Planning*
Characteristics	
teleological, directed toward external goals	directional, moving from internal preferences
goals are specific and measurable	domain is sometimes hard to define
rational, analytic	intuitive, use unquantifiable elements
focused, narrowed perception	broad perception of task
lower requirements to process novel information	greater need to process novel information
more efficient use of energy	possible redundancy, false leads
separate planning and acting phases	planning and acting not separate phases
Contingent Upon	
people who prefer well-defined tasks	people who prefer variety, change, and complexity
tasks and industries that are quantifiable and relatively stable	tasks and industries not amenable to quantification and which are rapidly changing
mechanistic organization forms, "closed" systems	organic organization forms, "open" systems
"tightening up the ship" phase project	"unfreezing" phase of a project

education had the greatest impact on their quality of life after schooling. Fifteen dimensions of quality of life (e.g., health and personal safety, relations with friends, intellectual development) were then related to the educational goals of the students' respective schools. The findings, inductively derived in the manner of directional planning, revealed useful information about education's avowed contribution to the life of these young people and what the students indicated was most significant to them.[47] This unique approach to goal formulation would seem adaptable to any school provided there is sufficient interest in feedback and teacher involvement in identifying goals and objectives.

Curriculum mapping, which stresses the identification of the existing curriculum, also has merit here. This process is aimed at describing what teachers do, not what they should do, which is the prescriptive function of goals. Mapping, as outlined by English, leads eventually to a representation of the real curriculum, the "bottom line" of what is actually taught in terms of primary content.[48]

"Directional" focus does not imply that staff can have total discretion in terms of goal and objective setting. Directional planning could be chaotic. Moreover, educators work within a boundary of societal values which manifest themselves in broad Phi Delta Kappa-type goals. A major "conceptual gap" in public education is and always has been relating what teachers produce as taxonomies of goals and objectives for their classes to the organization's taxonomy of social purposes.[49] More effort needs to be expended on developing interactive processes such as the one illustrated in Figure 5.[50]

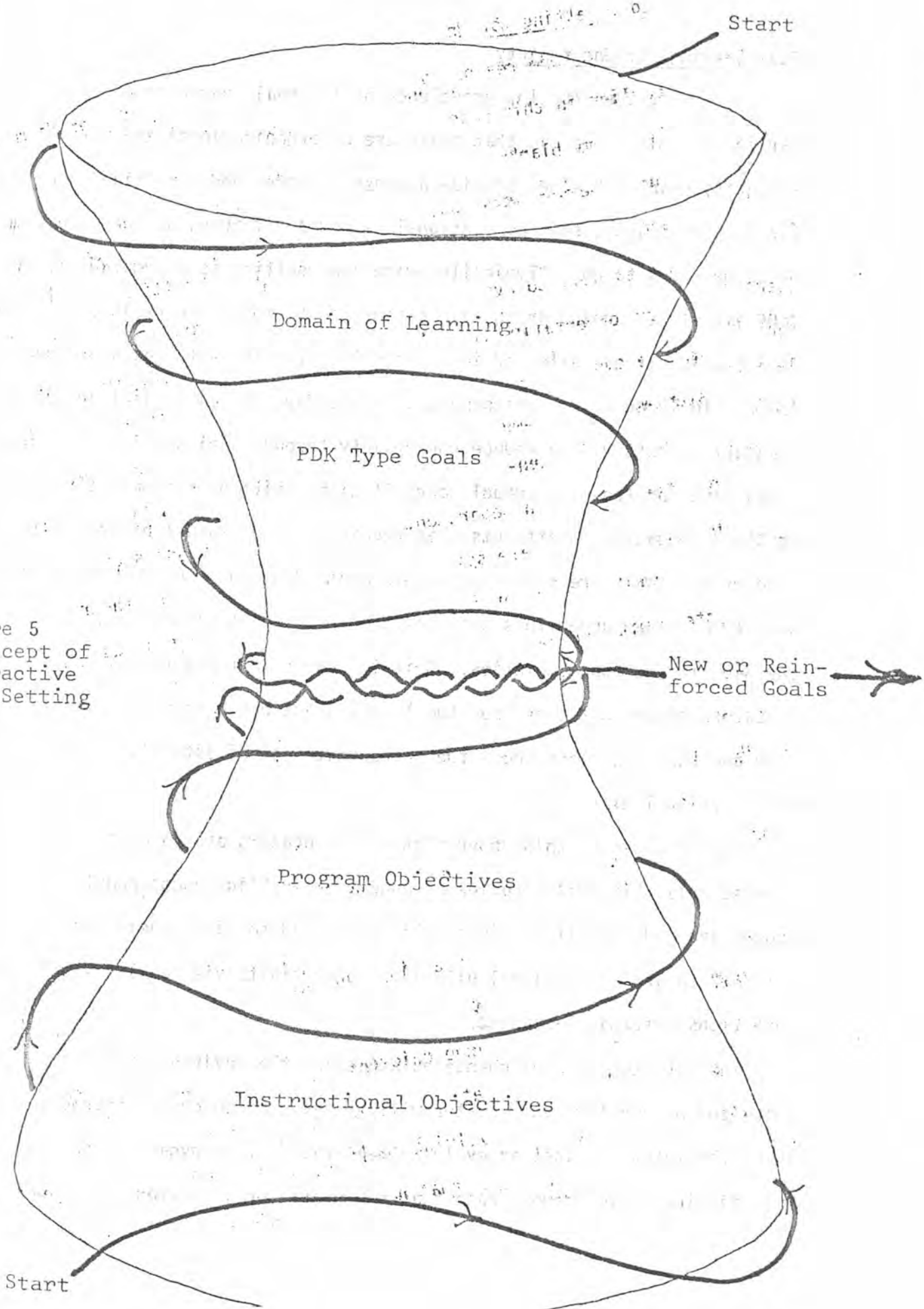

Figure 5
A Concept of
Interactive
Goal Setting

Goal Setting for Uncertainty

3. One reason for the prevalence of the goal paradigm described earlier in this paper, is that goals are an organizational and personal "security blanket." They provide a sense of order and direction, for, before a person acts, says conventional wisdom and theory, he needs to know where he wants to go. "Typically, when goal setting is attempted, it is done largely to avoid, or to gain a sense of avoiding uncertainty."[51] This is the orientation reflected in McCaskey's "planning with goals process." In the slowly changing environment of yesterday, it was logical and understandable to attempt to reduce uncertainty through goal setting. The once every five- or ten-year school accreditation visits by regional agencies or state education departments that require a reassessment of school philosophy and goals are symbolic of this view. However, the rapidly changing society of today undermines this position, and goals appear to confront one instead with new uncertainties. Swirling about in the vortex of change, educators sense that they know too little about why change is impinging on them and know even less about the appropriateness of established goals to organizational mission.[52]

In the midst of this uncertainty, if educators are to create and maintain schools which will provide an education enabling young people to live productive and fulfilling lives, they will need to alter their "psychological set" toward "directional planning" and begin to view goals as being more transient than permanent.

The more the pace of change quickens and the environment becomes characterized by novelty, the greater will be the need to check abstractions about the future against an evolving reality.[53] This dynamic, combined with findings which demonstrate that non-profit organizations have a ten-

dency to stray from their goals and put means in the place of ends,[54] requires that, instead of waiting to assess purposes, practices, and processes at five- or ten-year intervals, educators ought to ask the following kinds of questions on a far more frequent schedule:

> "What are we doing?"
>
> "Why are we doing it?"
>
> "What societal trends are in motion and in what ways are they affecting students and our present goals?"
>
> "What are we doing which might be inappropriate for a school whose graduates will live a major portion of their lives in the twenty-first century?"
>
> "What indicators can we identify which will provide evidence about our effectiveness?"

Perhaps this commitment would help to combat the mindlessness--"the failure or refusal to think seriously about educational purpose, the reluctance to question established practice"[55] which Silberman, in his respected analysis of American education, sees as permeating schools and classrooms.

A Conflict-laden Future

4. The reality of declining resources presses the educational institution to make increasingly difficult, conflict-producing choices. A major problem for schools today is not "What goals shall we pursue?" but rather, "From the nearly inexhaustible set of existing, partially articulated goals, which few can we support from our existing resources?"[56] This challenge indicates that professionals at the building level will face an accelerated array of external forces such as boards, lay groups and legislatures demanding genuine participation in the educational decision-making process. Two current trends increase this likelihood. The first is the

movement toward "school site management" where responsibility for major decision making would be delegated to individual schools along with an annual performance report to the local community.[57] The second is the trend toward public feedback about organizational performance by means such as the National Assessment of Educational Progress.[58] The already conflicting feedback about what schools are and should be doing will be confounded. In the present era, the political systems perspective on organizational change, which focuses on goal attainment and evaluation, is becoming more prevalent than the human relations perspective which emphasizes means more than ends and seldom focuses on assessment.[59]

Given this context, will educators respond to the challenge of sorting out goals in a collaborative mode; will they permit nonprofessional groups to gain an inordinate amount of control over school affairs; will they impose their views of what the goals ought to be? A recent study in Ohio of 320 annual reports to local districts and the legislature revealed that many administrators are still inclined to skirt the topic of purpose. The researchers who examined the reports concluded that, almost without exception, the documents failed to stimulate dialogue about education.[60] As shown above, the same outcome emerged from the schools that utilized the Phi Delta Kappa Model Program. In another study where the PDK Program was used with faculty, students, and community members, educators exerted the most influence and changed their views the least from group interchange.[61]

Goals as Motivators in a Steady State

5. Planners will have to contend more and more with the transition from an expanding to an increasingly steady state economy where there is a more "constant stock of physical resources and population."[62] The leveling

off of school age population, the closing and selling of buildings, and the marked appearance of Reduction in Force (RIF) clauses in negotiated contracts are evidence of this trend. "The boom days of education are over,"[63] and there are fewer new positions and fewer opportunities for relocation to other educational systems. More administrators and teachers will spend their entire careers in one or two systems, a phenomenon which has numerous implications for employee motivation.

Because goal seeking is a major motivator in human behavior, educators should attend to the fact that "...goals provide a kind of myth to which hopes and commitment can be attached. Thereby, goals provide a symbolism for creating a future."[64] Goal setting has come to be recognized as a key change strategy, for it stimulates organization personnel to redirect activities in anticipation of a better tomorrow.[65] There appears to be an implicit recognition of this among many educators. Administrators talk a great deal about the value of the process of goal setting, and, in schools A-E in the Vermont sampling, the goals themselves were secondary to the process. However, the process was too often skewed toward improving staff communications and helping people to "get to know one another" at the expense of redirecting thinking. Such redirection will be sorely needed if educators are to effectively manage schools in a steady state context.

Models as Maintainers of the Status Quo

6. The Phi Delta Kappa Administrator's Manual states the belief that "the utmost benefit derived from this program will be expanded educational opportunities for the students enrolled in our nation's schools." This sampling of Vermont's schools suggests, however, that little if any change emanated from use of the material. The minimal dialogue resulting

from activities, the absence of any additions to the original eighteen goals, the avoiding of resolving differences in goal ranking, the shunning of rating school performance in relation to goals, and the failure to disseminate goal setting outcomes are all indicators that the current PDK process does not alter the substance of curricula. Indeed, given the nature of the "Model Program," its assumptions about planning, and the organizational characteristics of schools described earlier in this paper, it is doubtful whether, with rare exception, it can lead to such change.

Conclusion

The implications derived from this study of the Phi Delta Kappa Educational Planning Model indicate that such models do not work as intended and may in fact be counterproductive in effecting change. In the future, developers of planning tools, procedures, and processes for public education organizations should rethink traditional models adapted from the systems movement in government, business and industry, so they fit better the instructional, managerial, and planning milieu of schools.

> "Chesire Puss," began Alice. . . . "Would you tell me please, which way I ought to go from here?"
>
> "That depends a good deal on where you want to get to," said the Cat.
>
> "I don't much care where--" said Alice.
>
> "Then it doesn't matter which way you walk," said the Cat.
>
> "--so long as I get <u>somewhere</u>," Alice added. . . .
>
> "Oh, you're sure to do that," said the Cat, "if you only walk long enough."[66]

Unlike Alice, the "somewhere" educators get to must lead to the improvement of the quality and an increase in the relevance of what schools have to offer young people as they are ushered into the twenty-first century. Goal setting should be an important part of this process. To ensure this, educators have a responsibility to sort out the myths of the process from its realities.

NOTES

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