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Bilingual desegregation : school districts' responses to the spirit of the law under the Lau vs. Nichols Supreme Court decision.

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BILINGUAL DESEGREGATION: SCHOOL DISTRICTS'

RESPONSES TO THE SPIRIT OF THE LAW UNDER

THE LAU VS. NICHOLS SUPREME

COURT DECISION

A Dissertation Presented

By

VICTOR-ALBERTO MONROY OCHOA

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

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MAY   1978

EDUCATION
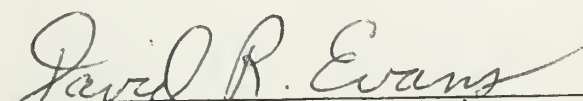
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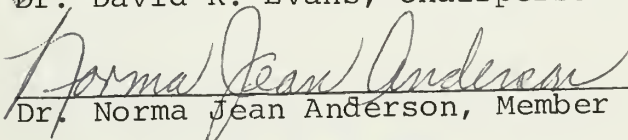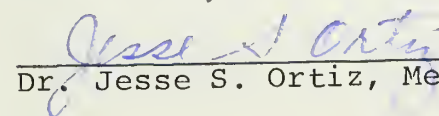
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PREFACE

This study was motivated by my experience as Coordinator of the Region G General Assistance Center at San Diego State University.* On August 1975, I was given the responsibility for conceptualizing and implementing a technical assistance delivery system for assisting school districts in the state of California to meet bilingual desegregation compliance with federal regulations.

During the first two and one-half years of operation (1975-1977) the Region G General Assistance Center was concerned with the responsibility of providing assistance to districts to meet bilingual desegregation compliance and with the need to improve and forecast the educational needs of linguistically and culturally distinct students.

Recognizing that bilingual desegregation requires substantive and demonstrable changes within a school district organization, this study sought to identify the characteristics of the planning process and organizational and motivational characteristics of school districts that

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*Nine General Assistance Centers were established by the Office of Education, Washington, D.C., to provide technical assistance to school districts found to be in noncompliance with Title VI of the Civil Rights Act of 1964. The Region G General Assistance Center--Type B is one of nine federally funded centers whose major goal is to aid public schools in resolving desegregation problems directly related to limited-English-speaking students.

would provide insight as to which characteristics
contribute to the effective development and implementation
of bilingual desegregation compliance plans.

This study has not been sponsored by any organization
or agency and is not intended to represent the official
position of the Region G General Assistance Center or any
of its sponsoring agencies.

Victor Alberto M. Ochoa

January 1978

University of Massachusetts

ABSTRACT

BILINGUAL DESEGREGATION: SCHOOL DISTRICTS'
RESPONSES TO THE SPIRIT OF THE LAW UNDER
THE LAU VS. NICHOLS SUPREME
COURT DECISION

June 1978

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The purpose of this study was to identify the basic
characteristics of the planning process, and organizational
and motivational characteristics of the school districts in
Southern California which support or hinder the implemen-
tation of a compliance plan under the Lau vs. Nichols
Supreme Court decision of 1974.

The study begins with an intensive review of the
literature of organizational development and planned
change. The review of the literature identified four
stages of a planning process applicable to the context of
Lau compliance. In addition, the review of the literature
suggested two dimensions of characteristics--planning
process and organizational climate for effecting educa-
tional planned change.

The four stages of a planning process for Lau
compliance were used as a framework for identifying and

operationalizing characteristics of a district's planning

process and organizational climate. For each stage of the

planning process (Determination of Legal Requirements,

Initiation, Implementation, and Incorporation) and

dimension (planning process and organizational climate)

specific characteristics were identified. The identified

characteristics were then used as criteria for assessing

the planning behavior and organizational climate of sixteen

school districts in Southern California involved in the

four-stage planning process of Lau compliance. In

addition, a Likert-type questionnaire was sent to ninety-

four school districts (with a 73 percent response) to

obtain their perceived opinion on what impact the Lau

decision has had on their district and the level of

district involvement and support in complying with the Lau

decision. To illustrate the planning behavior of districts

throughout the four-stage planning process of Lau

compliance, four case studies were examined.

Four questions were posed in Chapter 1 to facilitate

the identification of basic characteristics of the planning

process, and organizational climate characteristics that

could guide school districts found in noncompliance under

the Lau decision in their efforts to meet Title VI require-

ments. The results described in Chapters 3, 4, and 5 allow

for some generalizations.

The study suggests that most school districts complying with the Lau decision meet compliance requirements through minimal efforts that have little affect on the existing district curricula. The administrative leadership of most districts does not involve community persons in the development and implementation of educational master plans. It also does not take an active role in the implementation of educational strategies. Finally, it fails to re-allocate resources and to defend negative political forces opposing bilingual desegregation. In enforcing the Lau compliance process, the United States Office for Civil Rights generally exert their legal power on the developmental stages of Lau compliance rather than on the implementation and incorporation stages. The study also indicates that a receptive district setting toward bilingual desegregation is a necessary but not sufficient condition for effective implementation of Lau compliance.

The study concludes by identifying the planning process characteristics, and organizational and motivational characteristics that are most crucial to the implementation of bilingual desegregation plans under the Lau decision.

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BACKGROUND OF THE STUDY

During the concluding third of the twentieth century
man will increasingly see the impossible become the rule.
As social unrest and resulting fundamental societal changes
take place throughout the nation, educational decision
makers will be increasingly required to focus on and assume
their responsibility for producing students who are equally
educated (Forbes, 1971). The implied mandate to keep up
with cultural, social and technological change will be to
have educational systems that are responsive to the
educational needs and concerns that confront people of
different life styles, values, and cultural backgrounds,
while affecting the cultural orientation of the teaching
profession and the practice of education.

Educational systems, nonetheless, have failed to
recognize the need of the culturally and linguistically
different child. Most school districts of the nation have
consistently failed to accept the reality of different
cultures within our national boundaries. Blacks, native
Americans, Mexican Americans, and Puerto Ricans are treated
as though they were recalcitrant, undereducated, middle-
class Americans of northern European heritage instead of

what they really are: members of culturally differentiated enclaves with their own communication systems, institutions, and values (Hall, 1973).

The expectation of the educational system towards the minority child as he enters school has been to teach the child to change his behavior in order for him/her to be able to participate and survive in the mainstream of American society.

> Whatever the effort toward acculturation or assimilation, total acceptance by American society is denied to them because of "obvious" racial, cultural and linguistic differences; and to be "different" in American society means to be ostracized and to be viewed as unacceptable because "you" don't fit the Anglo-American stereotype. (Cardenas et al., 1972:6)

The implication of viewing the culturally and linguistically different child as different and needing to assimilate to the value system of American society implies that the child is socially deficient, disadvantaged, and culturally deprived (Stent and Hazard, 1973). Schools in the United States have functioned to domesticate the culturally different child. Within the present educational apparatus, students suffer from institutionalized discrimination through I.Q. testing, classroom ability grouping, and negative teacher attitudes (Knowles and Prewitt, 1969).

An historical overview of American education presents an educational system that is generally guided by conforming middle-class values, interaction with middle-class students who possess the same value orientation or

are in the process of acquiring it. Minority students or students from low-income communities whose needs and values do not necessarily conform are more likely to become drop-out statistics (Zintz, 1971). Educators, during the period of 1954 to 1977, have been faced with social movements, federal mandates, Civil Rights legislation, and minority social consciousness. They have been forced to deal with racism, sexism, and classism, only to offer clinical band-aid approaches to improve living and educational conditions for Blacks, Chicanos, and native Americans. Token programs without major societal changes have only increased the breeding of ignorance, superstition, provincialism and irrational fears and hatred among the have and have-nots of American society (Coleman et al., 1966). The result of token federal programs, such as Title I and Title VII, for the "disadvantaged" child has led to two perspectives:

> The perseverance of two perspectives has been particularly damaging to the Mexican American and should be reversed. The first of these is the cultural deficit perspective. The second is the obsessive view that educational reform can occur if one hits upon the right workbook for children or the right behavior modification technique or even the right classroom arrangement. If educational reform is to occur it must be based on a macrocosmic view of the educational system and the society whose interests it promotes and transmits. (Cardenas, 1974:209)

The response to redirect education towards a more compatible and equal educational system has led to proposals to restructure education upon radically different

values, and to work toward the destruction of its oppressive qualities enabling the development of a system which is directed toward producing equally educated children and youth without compromising their integrities (Coleman et al., 1966).

The U.S. Commission on Civil Rights (1971a,c, 1972a,b, 1973b, 1974) in its analysis of the educational system's response to the Mexican American in the Southwest conducted research designed to answer three basic questions:

(1) What current practices in Southwestern schools appeal significantly to affect educational opportunities for Mexican Americans?
(2) What current conditions appear significantly to affect educational opportunities for Mexican Americans?
(3) What are the significant relationships between practices and conditions and educational outcomes for Mexican Americans?

The Commission in its published findings reported in Reports I (1971a) and II (1971c) that schools are deficient in:

1. An inability to hold many minority students through 12 years of schooling.
2. Consistently low reading achievement which thwarts success in other academic disciplines.
3. Extensive classroom failures which necessitate grade repetition.
4. Resultant over-ageness of the student who has been left behind.
5. Lack of student participation in extracurricular activities.

Report III (1972a) reported that in the Southwest schools omit the history, heritage and folklore of the Mexican American child in their curricula, which expresses

the schools' lack of responsiveness to the Chicano community.

In Report IV (1972b), the Commission examined public school finances in the state of Texas and reported that Texas school finance system results in discrimination against Mexican American school children; with almost twice as much money spent on the Anglo child as on the Mexican American child.

The U.S. Commission on Civil Rights in Report V (1973b) found marked disparity in the treatment of students by teachers of both Anglo and Mexican American origin. The Commission found:

1. That teachers praise or encourage Anglo students considerably more often than Mexican Americans;
2. That teachers use and build upon the ideas of Anglo students much more frequently than those of Mexican American students;
3. That teachers direct questions to Mexican American students much less often than they do to Anglo students.

In Report VI (1974), the Commission addressed itself to issues of curriculum and language, student placement, and the enforcement of Title VI of the 1964 Civil Rights Act that deals with desegregation issues. The Commission found that one of three conditions have existed in most school districts in the Southwest:

1. too little was being done;
2. nothing was being done; or
3. the wrong thing was being done.

All of the six reports by the Commission of Civil Rights reflect the failure of the educational system to adequately adapt its programs to the needs of the Chicano student; and by implication, to the needs of the culturally and linguistically distinct child.

Arciniega (1973:161-180) identifies four educational issues that the schools must confront in order to redirect their services to meeting the needs of the culturally and linguistically distinct child.

1. The role of education in promulgating racism and unequal opportunities for minority groups.
2. The role educational systems should play in actively seeking solutions to pressing social problems, e.g., to the four major societal problems of our time: War, Poverty, Ecology, and Racism.
3. How to develop culturally relevant programs with specified objectives designed to promote personal and social well-being in our culturally and linguistically different youth.
4. The role of education as an agent for social mobility.

The four educational issues touch on concerns that call for the total structure of American society to open its doors of equal opportunity--judicial, economic, political, and educational--not in rhetoric but in broad-based social, political, and educational action.

Identification of the Problem

The primary goal of education is to facilitate all students to develop in accordance with the life style and social values of their community and to enable them to

function adequately both within their community and within the dominant society in America (Bernier, 1973).

A view of education from the perspective of the culturally and linguistically different communities reveals a large discrepancy between expectations and reality that give rise to minority community charges that the American educational system has failed them and their demands for drastic changes in the educational system (Forbes, 1971).

The failure of the present educational institution to provide the culturally and linguistically different student with the opportunity to develop fully his/her social and intellectual capabilities can be attributed to the scarcity of culturally pluralistic educational programs in a mono-cultural educational system. Jaramillo (1973), Carter (1970), and Cardenas (1974) point to the fact that most of the institutions in society, because of the way the United States has developed, are monolingual and monocultural in nature. Since the educational system is a reflection of society, it too is monolingual and monocultural in nature.

The school system of the U.S. mirrors a monocultural teaching staff. Ethridge (1973) states that in order to bring about equity and parity for minorities, 211,000 more minority teachers must be hired for the country's public schools to bring the minority educator/minority pupil ratio to the national teacher/pupil ratio of 1 to 22.5. Ethridge proposes that the Nation's schools need to add about

116,000 Black teachers; 84,500 Spanish-speaking teachers; 7,400 native American teachers; and 3,000 Asian-American teachers. Garcia (1976) projects these figures to be much higher, based on 1974-1975 data.

While schools reflect a monocultural staff, curriculum programs, and educational policies, cultural incompatibilities between culturally and linguistically different students and the traditional school predominate. Cardenas (1974:176-177) describes the incompatibilities in three generalizations:

1. School personnel are usually unaware of the cultural characteristics of the minority school population;
2. School personnel aware of the cultural characteristics of minority groups invariably do nothing about them; and
3. When the school attempts to do something concerning cultural characteristics of minority groups, it almost invariably does the wrong thing.

The problem of how to provide equal opportunities to Americans of all different ethnic and linguistic back-grounds has become one of this country's most pressing domestic issues. Two current major educational positions proposing equality of schooling are equal "access" and equal "benefits." Equal access implies that every ethnic group has an equal opportunity to attend an equally staffed and equally supplied school. The equal benefits view emphasizes that an equal opportunity is provided only when

each group accrues equal benefits from schooling. In the
equal "access" point of view, the educational system is
responsible only for exposing students to common
educational curricula, making the student responsible for
taking advantage of the equal education provided. In the
equal benefits view, on the other hand, the school assumes
responsibility for students' progress. The school
acknowledges the learning acquired by students during school
hours and takes into account community, home, language,
and cultural influences on students' learning styles.

The challenge of our schools to provide equal
educational benefits to the Chicano can be summarized in
six major problem areas (Arciniega, 1977).

1. Inadequate treatment and presentation of the
   historical, cultural, and economic contributions
   made by Mexican Americans in the curricular
   programs of the schools.

2. Pejorative and pathological perspective regarding
   the appropriateness, worth, and status of the
   Spanish language as a bona fide medium of
   instruction in the classroom.

3. Underrepresentation of Chicanos on school district
   staffing patterns: teachers, administrators,
   counselors, etc.

4. Lack of authentic involvement of the Mexican
   American community in the decision making

structures of the school system.

5. Testing, counseling, and guidance programs and
    processes which are based on a cultural deficit
    perspective.

6. Educational policies that promote the American-
    ization of the Chicano student through hiring
    policies, school finance, curriculum, and lack of
    community input to the schools' curricula.

In response to the incongruent services provided by
schools to minority students, federal and state enactments
since 1970 have been requiring school districts in
California to provide equal educational opportunity to all
the limited and non-English-speaking students under Title
VI of the 1964 Civil Rights Act, Department of Health,
Education, and Welfare Memorandum of 25 May 1970, and the
Lau v. Nichols Supreme Court decision of January 1974.

Title VI of the 1964 Civil Rights Act requires that--

no person in the United States shall, on the grounds
of race, color, or national origin, be excluded
from participation in, be denied the benefits of,
or be subjected to discrimination under any program
or activity receiving Federal financial assistance.[1]

Prior to 1970, the federal agencies responsible for
enforcing the decisions of the U.S. Supreme Court and the
1964 Civil Rights Act largely ignored both segregation and
discriminatory practices denying Mexican Americans,

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[1]Sec. 601, Civil Rights Act of 1964, 78 Stat. 252
(1964); 42 U.S.C. § 2000d (1965).

Puerto Ricans, Orientals, American Indians, and other
national origin minority group students equal access to
the full benefits of equal educational opportunity. In
attempting to enforce Title VI of the 1964 Civil Rights Act
(CRA '64) the Office of Civil Rights of HEW issued the
Memorandum of 25 May 1970 focusing national attention on
the civil rights of national origin minority group children
in the schools of the United States. The HEW Memorandum of
25 May 1970 called for all school districts in the nation
that had 5 percent or more national origin minority chil-
dren to correct their educational services in regard to the
specific language problems of ethnic minority children by
eliminating (1) unequal access to effective participation
in the educational program offered by a school district,
(2) segregation through tracking ability grouping, and
assignment to classes for the mentally retarded, and (3)
the exclusion of their parents from the process by which
the district provides information.[2] However, since few
districts in the nation were monitored, it was not until
the Lau v. Nichols Supreme Court decision that school
districts begun to address these issues.

In 1974 the United States Supreme Court addressed the
issue of whether a school district has the affirmative duty
to provide language instruction to national origin

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[2]Refer to Appendix A for a copy of the HEW Memorandum
of 25 May 1970.

minority students whose first language is other than
English and who require special language instruction in
order to participate in the educational process (Lau v.
Nichols, 414 U.S. 563 [1974]). The District Court had
found that 2,856 students of Chinese ancestry were in the
San Francisco, California school system and did not speak
English. Of those that had that language deficiency, about
1,000 were given supplemental courses in the English
language; approximately 1,800 were not receiving any
special lingual services. The Supreme Court was not asked
to fashion a specific remedy, rather the issue of affir-
mative duties on the part of the school system to address
the lingual problem was at hand. The Court cited Section
601 of the Civil Rights Act of 1964 (42 U.S.C. § 2000d),
Title VI regulations, and the HEW Memorandum of 25 May
1970 to arrive at their decision.[3]

Thus, the Supreme Court, in the Lau v. Nichols Court
decision found that a school district's failure to provide
non-English-speaking students with a program to deal with
their language needs is a violation of Title VI of the
Civil Rights Act of 1964. The Supreme Court held:

> There is no equality of treatment merely by
> providing students with the same facilities,
> textbooks, teachers, and curriculum for
> students who do not understand English are

[3]Refer to Appendix B for a summary of the Lau v.
Nichols Decision and subsequent interpretation.

effectively foreclosed from any meaningful
education. (414 U.S. Reports 563 [1974])

In addition, the Court called for affirmative action
by the school districts to overcome language barriers:

Where inability to speak and understand the
English language excludes national origin
minority group children from effective par-
ticipation in the educational program offered
by a school district, the district must take
affirmative steps to rectify the language
deficiency in order to open its instructional
program to these students. (414 U.S. Reports
563 [1974])

To comply with the Lau v. Nichols Supreme Court
decision school districts are being required to make
provisions for instructional programs in a language under-
standable to each limited English-speaking and
non-English-speaking student. In the state of California
this court decision affects approximately one million
national origin minority students.

The majority of these students are found in 154 school
districts that have been identified by the Office for Civil
Rights as potentially in noncompliance with Title VI
regulations.[4] In Southern California ninety-four school
districts are actively seeking guidance for the purpose of
developing educational master plans to meet Lau compliance.

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[4]Refer to Appendix C for HEW News Release listing
school districts.

Setting of the Study

In the State of California 646 out of 1,040 public
school districts have 5 percent or more Spanish-surname
students. These districts are located in forty of fifty-
eight counties. In the Spring of 1975, the Office for
Civil Rights identified 157 California school districts as
potentially in noncompliance with Title VI. Since July
1975, over eighty school districts have been officially
notified of their noncompliance status. Failure to comply
with the Title VI regulations may result in suspension,
termination or refusal to grant federal financial
assistance.

In July 1975, the Department of Health, Education, and
Welfare issued a memorandum specifying remedies available
to school districts for the elimination of past educational
practices ruled unlawful under the Lau v. Nichols Supreme
Court Decision (Lau Task Force Remedies).[5] The effect of
the memorandum is that a large number of school districts
found in noncompliance with Title VI regulations have
developed plans to meet the educational needs of limited
and non-English-speaking (LES/NES) students.

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[5]Refer to Appendix D for a description of the Task
Force Findings Specifying Remedies Available for
Eliminating Past Educational Practices Ruled Unlawful under
Lau v. Nichols.

The implications of the Lau v. Nichols decision, based on the Title VI regulations and HEW policy guidelines issued on 25 May 1970 to school districts throughout the nation are such that districts must systematically and validly:

1. Ascertain which of their students have a language other than English.

2. Ascertain the language dominance and abilities of their students.

3. Ascertain the achievement characteristics of their students.

4. Match an educational program to the characteristics of the students.

5. Implement an instructional program that provides for proficiency in the English language and maintains student academic achievement at grade level or better.

6. Provide certificated instructional personnel that are linguistically and culturally familiar with the background of the students to be served.

7. Implement an educational plan with or without the resources of federal assistance.

In identifying who is a Lau student, a district must define and implement a student language identification process and assess his/her cognitive skills in the language. A Lau student is identified as speaking a

language other than English if:

1. The student's first acquired language is other than English.

2. The language most often spoken by the student is other than English.

3. The language most often spoken in the student's home is other than English, regardless of the language spoken by the student.

Twenty or more students of the same language other than English necessitate a meaningful instructional program under the Lau Task Force Remedies. The model of the instructional program is determined by each school district; however, the model must meet the needs of the students rather than the needs of the school staff and resources.

In reference to the type of instructional programs that are acceptable under the Task Force Remedies for Lau compliance, an English as a Second Language (ESL) program is not effective and not acceptable at the elementary or intermediate levels because it does not consider the cognitive development of the student. At the secondary level, ESL programs are allowed because of the time factor involved; however, the intent of the Task Force Remedies is to insure that NES/LES students are able to participate in the regular school program as soon as possible and will be able to achieve as well as other students in the regular school program. If necessary prerequisite skills in the

native language have not been taught, some form of basic

instruction or enrichment activities in the native language

must be provided by the district. The instructional

programs recommended by the Task Force Remedies for Lau

compliance are as follows:

1. Bilingual-bicultural. To provide all students

   the opportunity to become bilingual and bicultural

   and to allow NES/LES students the opportunity to

   maintain and develop their home language and

   culture while learning English and acquiring

   academic skills in their native language.

2. Multilingual-multicultural. To provide all

   students the opportunity to participate in more

   than one culture and language while allowing

   NES/LES students to maintain and develop their

   home language and culture while learning English

   and acquiring academic skills in their native

   language.

3. Transitional-bilingual. To incorporate NES/LES

   students into the mainstream of the English

   language school program as soon as possible by

   developing academic skills in their native

   language while promoting proficiency in English.

4. ESL (acceptable at the secondary level only; also,

   if prerequisite skills have not been taught, those

   skills must be developed in the home language of

the student): To provide instruction to NES/LES students in the official language used in the schooling process and to develop a competency in the English language that will enable those students to function and achieve in the regular school program.

In addition, as school districts are required to develop a comprehensive educational plan to meet the needs of LES and NES students, major efforts need to be made in assessing available resources of time, staff, money, space, curriculum, and in the systematic acquisition, redirection, adaptation, and utilization of these resources to meet the objectives of the district plan.

A district plan submitted to HEW/Office for Civil Rights is unacceptable if it consists of unrealistic time-outcome expectations and limited objectives which are inadequate to meet the educational needs of LES and NES students. Thus, a district must establish educational objectives and realistic time-outcome expectations relative to the Lau Task Force Remedies giving an indication of an intent to systematically allocate resources and personnel to implement the plan.

In order to assist districts in meeting Title VI (CRA '64) regulations as a result of the Lau v. Nichols decision, Congress authorized the establishment, through the Emergency School Aid Act (ESAA), of nine regional

Type B General Assistance Centers to provide technical
assistance to districts declared to be in noncompliance
with the Office for Civil Rights regulations.

The Region G Lau Center (Type B General Assistance
Center) was established in 1975 to assist school districts
in Southern California in the development of master plans.
(See Fig. 1.) The Region G Lau Center is administered by
the Institute for Cultural Pluralism, San Diego State
University; and it services Southern California school
districts in ten counties:

San Luis Obispo	Kern
San Bernardino	Santa Barbara
Ventura	Los Angeles
Orange	Riverside
San Diego	Imperial

In these ten counties, approximately 335 school
districts serve some 2,800,000 students, of whom to date
approximately 290,000 have been identified as non-English-
speaking or limited speaking (NES/LES) by the California
State Department of Education Survey, 1975-76.

As of Summer 1977, the Office for Civil Rights had
found fifty-four school districts within the Region G
service area to be in noncompliance with the Title VI of
the Civil Rights Act. The fifty-four include the largest
districts in Southern California and those with the
largest NES/LES students within Region G are not providing
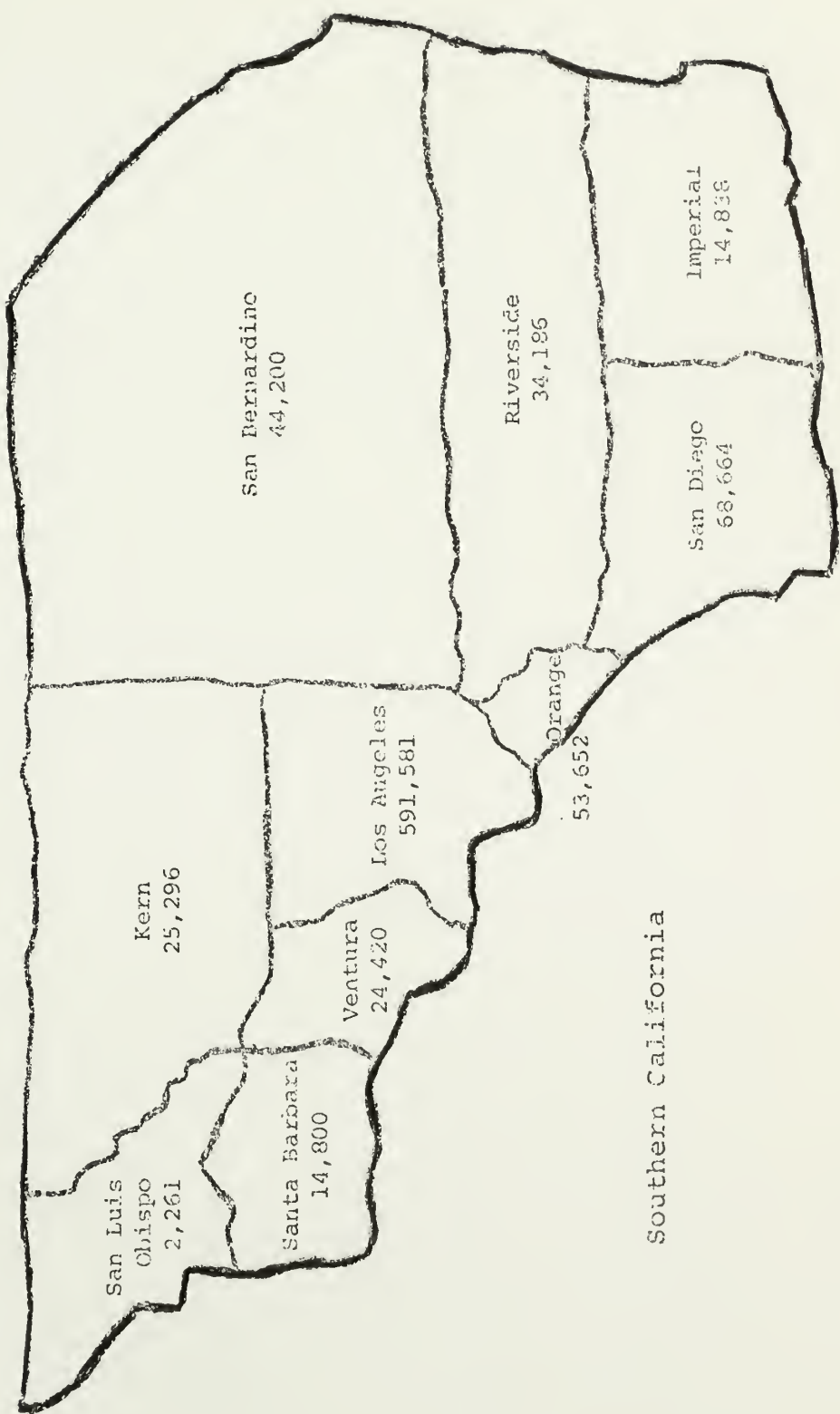
Fig. 3. School district minority student population by county within the Region G Lau Center Service Area.

equal educational opportunities as defined by the Office for Civil Rights.

Racial and ethnic segregation is prevalent within the whole Region G Lau Center service area. Approximately 889,000 students have been identified by the courts as suffering from segregation. Court orders to desegregate have been issued for the largest school districts, including Los Angeles Unified, San Diego Unified, San Bernardino Unified, and Oxnard School District. Each of these districts has also been found in noncompliance with Title VI of the Civil Rights Act. While the court orders referred to above are aimed specifically at Type A desegregation issues (concern with racial isolation), there are within these districts large numbers of segregated LES/NES students as well.

The pattern of racial, ethnic and linguistic segregation revealed in these major school districts is clearly repeated in many smaller districts not presently under court order to desegregate nor currently under notification of noncompliance by the Office for Civil Rights.

The Region G Lau Center has provided assistance to school districts in Southern California in their formulation of compliance plans and in prescribing alternative solutions for multilingual instructional needs. The major goal of the Lau Center has been to aid public schools in

resolving desegregation problems directly related to students who speak a language other than English.

Since the Fall of 1975, the Lau Center, through a six-phase technical assistance process has enabled school districts in noncompliance with Title VI regulations to develop comprehensive educational plans to meet the linguistic and conceptual needs of limited and non-English-speaking students.[6]

During its first year, the Region G Lau Center provided technical assistance to fifty-six school districts. The Lau Center developed a comprehensive and sequential process for delivery of technical assistance services to mesh with district plans for long-range and permanent change to provide equal education to NES/LES students.

During its second year, fiscal year 1976-77, the Region G Lau Center provided technical assistance to ninety-four school districts. Of the ninety-four, forty-seven were school districts found in noncompliance by the Office for Civil Rights.

Forty-seven school districts who have not been found to be in noncompliance with Title VI requested and received technical assistance from the Lau Center during 1976-77. In keeping with the Office for Civil Rights policy of encouraging voluntary compliance with Title VI, the Region

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[6]Refer to Appendix E for Region G Lau Center Six Phase Technical Assistance Process.

G Lau Center has placed much importance on responding to such voluntary requests for assistance.

However, a major concern of the Region G Lau Center has been two vital factors that determine a school district's potential for achieving significant results in bilingual desegregation:[7]

1. District commitment to meeting bilingual desegregation needs.

2. School district characteristics favorable to accomplishing significant educational change to meet Title VI regulations.

Thus, it is the focus of this study to identify what are the necessary characteristics that guide districts found in noncompliance under the Lau v. Nichols decision to meet Title VI compliance requirements and meet the bilingual desegregation needs of limited English-speaking students.

Purpose of the Study

This study seeks to identify the basic characteristics of the planning process, and organizational and motivational characteristics of the school districts in Southern California which support or hinder the implementation of a

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[7]Region G Lau Center staff retreat, April 1977.

compliance plan under the Lau v. Nichols Supreme Court decision.

In the course of identifying major characteristics of an educational planning process, and organizational and motivational climate of the school districts pursuing Lau compliance, this study will seek to address the following questions:

1. What are the basic characteristics of an educational planning process proposed by the literature of organizational development and planned change for resolving desegregation problems under the Lau v. Nichols decision?

2. What are the organizational and motivational characteristics proposed by the literature of organizational development and planned change for supporting bilingual desegregation under the Lau v. Nichols decision?

3. Which characteristics of the educational planning process are necessary for developing and implementing an educational master plan to comply with the Lau v. Nichols decision?

4. What is the relationship of the characteristics of the educational planning process to the planning and implementation behavior of observed school districts complying with Title VI (CRA '64) regulations under the Lau decision?

Procedures of the Study

The procedures used for implementing this study include the following:

1. A selective review of the literature of organizational development and planned change identified the major characteristics of educational planning processes as proposed by the major writers in the field. Library searches were conducted at the main libraries of San Diego State University, University of California at San Diego, University of Massachusetts at Amherst, and through the U.S. Office of Education.

2. An opinion survey, involving ninety-four school districts in Southern California, identified by the U.S. Office for Civil Rights as potentially in noncompliance with the 1964 Civil Rights Act, was developed and mailed to district administrators responsible for the development of educational master plans to meet Title VI (CRA '64) regulations. The survey sought to find out what factors, involvement and constraints are faced by school districts seeking to meet the Lau v. Nichols Supreme Court decision. The results of the survey were analyzed by a chi-square test of statistical significance.

3. The identified basic characteristics of educational planning process and organizational and motivational characteristics as derived from the literature were taken as criteria for examining the educational planning processes of sixteen school districts developing and implementing educational master plans to meet Title VI (CRA '64) regulations.

4. Case studies of four school districts were undertaken as part of this study. The four school districts were selected from a list of districts found in noncompliance with Title VI (CRA '64) regulations and which have undertaken a planning and implementation process to develop educational master plans for compliance. These cases were researched through on-site visits, review of available documents, and open-ended, in-depth interviews with people who are involved intimately with the districts.

5. Interviews with U.S. Office for Civil Rights personnel and U.S. Office for Equal Opportunity officials provided more detailed information and clarification on the noncompliance status and requirements of school districts in Southern California.

Importance of the Study

The educational concern facing our multicultural society in the latter part of the 1970s is whether American society will enforce an educational policy of cultural imperialism--education as adaptation to the majority society by means of establishing schools which inculcate the values of the dominant culture (Glazer and Moynihan, 1970; Inkoff, 1970; Cornoy, 1974); or of cultural isolation--education as separatist cultural and political fragmentation by means of equal but separate education (Knowles and Prewitt, 1969; Epps, 1974); or of cultural pluralism--education that begins where people are, by means of providing for their development while affirming the value of diversity and the right of people to make decisions in matters affecting their lives (Stent and Hazard, 1973). This study supports the position of cultural pluralism through the identification of basic characteristics of an educational planning process that guides school districts in meeting Title VI (CRA '64) regulations and compliance with the Lau v. Nichols decision.

This study will also contribute to the development and operationalization of educational planning process strategies to meet the educational needs of culturally and linguistically distinct children. Figure 2 provides

Federal/State Mandate/Court Action/Educational Federal Reports	Supported by	Focus of Concern	Educational Impact	Contribution of the Study
Brown v. Board of Education	347 U.S. 483 (1954) Supreme Court	Detrimental effects of segregation	Equal Educational Opportunity	To provide a generalizable educational planning process for guiding school districts found in non-compliance with the 1964 Title VI Civil Rights Act for failure to provide equal educational opportunity to students of culturally and linguistically different background
May 25th Memorandum 1970	Dept. of HEW, Director of the Office of Civil Rights	Identification of discrimination and denial of educational services on the basis of national origin	Cultural and linguistic instructional programs; eliminate differences in educational performance attributable to membership in any minority group	
Lau et al v. Nichols et al.	U.S. Supreme Court slip. Op., No. 72-6520, January 21, 1974	Instructional medium only through the dominant language of the nation and incompatible educational services to Chinese American students	Bilingual education to Chinese American students in San Francisco, California through their dominant tongue	
Civil Rights Commission Reports on Mexican American Education (six reports)	U.S. Commission on Civil Rights Reserve (1971-1974)	Unequal education; institutional racism; unequal school finance	Comprehensive analysis of the educational system response to the Chicano in the Southwest	

Fig. 2. Educational mandates.

possible contributions that the study will make to federal, state and court educational mandates.

Assumptions of the Study

1. Education has failed to meet the educational needs of the linguistically and culturally distinct child.

2. School districts are committed to developing and implementing educational master plans for meeting the educational needs of limited and non-English-speaking students.

3. The development and implementation of an educational master plan reflects the input of community people, school district personnel, and students.

4. The implementation of an educational master plan promotes the active participation of the respective limited and non-English-speaking communities.

5. The conceptual framework of an educational master plan will complement and reflect the notion of equal educational benefits.

6. Cultural Pluralism is a desirable concept that values highly the recognition, acceptance, and support of all cultures, as well as the respect for human dignity and human differences.

7. Culturally pluralistic education provides a viable
    foundation for developing a richness of life in our
    society, deriving from the unique strengths of each
    of its parts.

8. School districts--Lau contact/liaison persons will
    react candidly and honestly in a series of
    interviews and to an opinion survey concerning
    factors, involvement and constraints faced by
    their districts in responding to the Lau v.
    Nichols decision.

Limitations of the Study

1. A selective review of the literature of organi-
    zational development and planned change was made
    to identify those basic characteristics of an
    educational planning process.

2. The study only examined the educational planning
    process of school districts identified by the U.S.
    OCR as potentially in noncompliance with Title VI
    regulations.

3. School districts selected for the study were
    identified by the U.S. Office for Civil Rights as
    potentially in noncompliance with Title VI.

4. School districts selected for the study are all
    located in Southern California and within the
    service area of the Region G Lau Center.

5. School districts selected for the study have a significant proportion of Lau students and have requested technical assistance from the Region G Lau Center to meet Title VI regulations.

6. The results of the study will only be generalizable to school districts developing educational master plans to meet the Lau v. Nichols decision.

Definitions of Terms

Bilingual Desegregation. Applies to school districts in violation of Title VI of the Civil Rights Act of 1964 (42 U.S. C. 2000d) for excluding national origin minority students who are not proficient in the English lnaguage from effective participation in the educational program offered by the district.

Chicano. Another term used to identify members of the Mexican American community.

Culturally and Linguistically Distinct Child. This study will use this term to refer to a child whose major language and culture differs from that of the dominant American society.

Equal Access to Schooling. The view which contends that equal educational opportunity is attained when different segments of the population have a roughly equal opportunity to compete for the benefits of the educational

system, e.g., equal access to school for all who wish to attend, that schools be roughly equal as regards quality of staff, materials and facilities.

Equal Benefits to Schooling. The view that focuses on the distribution of the benefits derived from the educational system and places the responsibility of student success on the school; equality of education is said to exist only if there is an equal benefits situation and not merely equal access.

Educational Master Plan. A detailed plan of educational services to be provided to students under the Lau v. Nichols Supreme Court decision (1974) that is consistent with the outlined approaches of the HEW/OCR Task Force Findings.

Federal Regulations. Rules set by the United States government in Washington, D.C. which must be followed in school programs.

Lau Center. A center supported by Title IV (ESAA) funds of the federal government to assist school districts develop plans to assist non-English and limited English-speaking students in obtaining equal benefits from school programs.

Lau v. Nichols. Supreme Court decision stating that the failure of a school district to provide for the special linguistic needs of limited and non-English-speaking students is a violation of the Civil Rights Act of 1964,

which bans discrimination in any program receiving federal financial assistance.

Lau Student. Any student whose home, first, or preferred/comfortable language is other than English and who is underachieving and below grade level in his/her linguistic and academic skills in English.

Limited English-Speaking (LES). A student who speaks a language other than English in the home environment and who is less capable of performing schoolwork in English than in the other language.

May 25th Memorandum. Used regularly to refer to a memorandum released by the Director, Office for Civil Rights, Department of Health, Education and Welfare, on May 25, 1970, regarding the identification of discrimination and denial of services on the basis of national origin.

Noncompliance with Title VI of the Civil Rights Act of 1964. A district violating federal regulations that prohibit discrimination on the grounds of race, color, or national origin. Under the Lau decision, districts are required to develop specific compliance plans to eliminate discriminatory educational practices, including the effects of past practices.

Non-English-Speaking (NES). A student who communicates in a language other than English and is unable to conduct basic conversation in English or to participate in English classroom instruction.

Task Force Findings Specifying Remedies Available for
Eliminating Past Educational Practices Ruled Unlawful under
Lau V. Nichols (TFR). A set of guidlines recommended by
the Office for Civil Rights to noncompliant school
districts to assist them in formulating an educational
master plan which will constitute appropriate affirmative
steps to be taken by the district to open its instructional
programs to meet the educational needs of Lau students.

Title VI Civil Rights Act (CRA '64). Federal
regulations that forbid discrimination because of race,
color or national origin in any program or activity
receiving federal aid.

C H A P T E R   I I

REVIEW OF THE LITERATURE

This chapter will present a review of selected
literature to identify the necessary and sufficient
characteristics of an educational planning and imple-
mentation process that guide school districts to develop
and implement comprehensive educational master plans to
meet federal educational regulations under the Lau v.
Nichols Supreme Court decision of 1974. The review of the
literature covers eight areas in the field of organiza-
tional change, organizational development, and educational
planning:

    1. The intervention process as a change agent

    2. Educational innovation and planned change

    3. Organizational development as a strategy of social
intervention

    4. Implementation of educational innovation

    5. Planned change as a strategy of social
intervention

    6. Organizational change through collaboration

    7. Organizational climate and change

    8. Power coercive approaches to effecting change

    The literature of organizational development (Bennis
and Schein, 1969; Havelock, 1969; Lippitt, Watson, and

Westley, 1958) generally agrees that federal efforts to promote educational changes have resulted in little consistent and stable improvement in student outcomes. The reasons given for this apparent failure center on the following explanations:

1. Schools are already having the maximum possible effect; new practices, then cannot be expected to make a difference.
2. Educational change ideas and approaches tried thus far are inadequate.
3. Change in student outcome has occurred, but the measurement and analyses are inappropriate or insensitive.
4. Educational change practices are not developed nor implemented as desired. (Berman and McLaughlin, 1975a:5)

The first and second points cannot be judged because, as the third explanation maintains, evaluators of educational change are faced with conceptual and method- ological problems of knowing what to measure. These research difficulties suggest the examination of the fourth explanation. The bridge between a desired educational practice and its impact on students is implementation, but educational change seldom is implemented as desired and planned (Miles, 1964; Coleman, 1972; Rein, 1970).

Further, educational change attempts may result in disappointing outcomes not because of inadequacies of the educational practice envisioned, but because of the dif- ficult and uncertain process of planning and implementing educational change practices in an educational system that resists change (Berman and McLaughlin, 1975a; Bennis, 1966;

Gross, Giacquinta, and Bernstein, 1971; Havelock, 1969; Miles, 1964; Rein, 1970; Smith, 1971).

The areas to be covered by the review of literature for the most part reflect theories that apply to institutions and organizations outside of public education. Outside the field of education, theories of planned change, organizational development and social intervention are used to increase the productivity and profits of an organization that competes in the open market. School districts being tax supported are not directly dependent on the market to sell their product. A district may implement an educational innovation because of available federal or state monies to further assist students in their academic development, to deal with community pressure for specific educational programs or to meet federal or state regulations in providing equal educational opportunities for students. Thus, a school district may initiate innovations for opportunistic reasons or for problem-solving motives. As the innovation is adapted by the district, the innovation has to fit into the curriculum framework of the district and there is nothing in the setting that directly forces the district to either carry out the innovation or lose its clients.

In reviewing this chapter the reader should focus on the following aspects:

1. What are the planning stages in developing and

implementing an innovation?

2. What characteristics and factors are necessary for
   guiding organizations to develop and implement an
   innovation?

3. What organizational climate and motivational
   characteristics are important for developing and
   implementing an innovation?

In addition, the reader should relate the above-
mentioned questions to school districts required by the
federal government to develop an educational master plan
(innovation) to meet the academic and linguistic needs of
students whose first, home or preferred language is other
than English.

The Intervention Process as a Change Agent

A change agent is a person or group of persons whose
mission is to encourage an institution to change. The
change agent concept has been defined by Lippitt, Watson,
and Westley (1958) as a person who has the skills necessary
to help a client work out problems in an integrated step-
by-step sequence. Bennis, Benne, and Chin (1969) compiled
readings on the roles, objectives, and methods of the
change agent in The Planning of Change. The change agent
may be external or internal to the organization. The
internal change agent described by Havelock (1969, 1973a)is
seen as more advantageous than the external change agent,

since the insider possesses intimate knowledge of the
organization to which the outsider is not privy. Other
change theorists (Lippitt, Watson, and Westley, 1958)
discuss the external change agent as a person who can
provide the change perspective necessary to produce
significant change in existing organizational behavior
patterns only if that person is highly skilled and
sensitive to the goals of the organization.

Whether the change agent is internal or external to
the organization being assisted, the literature reveals the
importance of four areas of the intervention process by
change agents (Crocker et al., 1976; Bennis and Schein,
1969; Havelock, 1969, 1973a; Schon, 1971; Berman and
McLaughlin, 1975a; Lippitt, Watson, and Westley, 1968).
These are (1) the source of power of the change agent; (2)
the role of the change agent; (3) the value context of the
change process; and (4) the strategies of the implementa-
tion used. The four areas of the intervention process are
briefly discussed under each heading.

Source of power of the change agent. Bennis and Schein
(1969) state that the change agent derives influence with
an institution when the client sees the change agent as
possessing skills, competence, and expert power.
Recognition of his expert power is derived from the
agent's occupying a position in some organization that

bestows the authority and confirms the expertise. The
change agent is seen as having a positive influence by the
institution receiving assistance when the agent is per-
ceived as possessing expert power and experienced as using
a noncoercive approach. The noncoercive status of a change
agent is seen as an important factor in providing technical
assistance to an institution, specifically in cases where
the federal government funds an agency or institution to
assist school districts to meet federal regulations
(Crocker et al., 1976). Furthermore, the change agent
becomes effective as collaboration develops between the
institution receiving assistance and the change agent in
setting goals and strategies for change (Havelock, 1961;
Bennis, Benne, and Chin, 1969; Lippitt, Watson, and
Westley, 1958).

Role of the change agent. Bennis and Schein (1969) specify
four factors that affect the role of the change agent: (1)
professionalism, (2) marginalism, (3) ambiguity, and (4)
insecurity and risk. In reference to the role of
professionalism, the change agent must rely on a body of
knowledge with the needs of the client as the focus of
the services to be provided. In regard to the role of
marginalism the change agent is faced with the inability
to directly participate in the change process and is
generally detached from the day-to-day realities of the

institution. The ambiguity of the role of the change

agent relates to the job position s/he undertakes. And,

lastly, the insecurity and risk of the change agent's

role is created by the process of change which itself may

at any stage move the client to choose not to receive

further assistance.

Value context of the change agent. This is the crucial

area of change agent theory in which advocacy differs from

the change process. Hampden-Turner (1971) and Schon (1979)

describe this type of advocacy by stating that the change

agent takes a value position and then looks for clients

who are supportive. Other writers speak of the true change

agent model as one that demands more commitment to the

organization's goals, which may call for shifts in the

client's orientation of the change agent throughout the

relationship (Bennis, Benne, and Chin, 1969; Harrison and

Hopkins, 1967; Kelman, 1965). In taking a value position

in the change process the change agent is faced with the

probability of advocating a value position that is

incompatible with the goals of the institution being

assisted. In the case of federal programs providing

technical assistance to educational institutions, the

federal programs generally take a noncoercive role to fit

their assistance into the institution's perception of its

educational goal (Crocker et al., 1976).

Strategies of intervention. Argyris (1962) and Blansfield
(1959) assert that change can succeed only if it begins
at the top and percolates down, signifying that the point
of highest command must be the initiating force. Others,
like Schon (1971) and Havelock (1973a) see the impetus for
change occurring in the perimeter of the organization and
infiltrating the top administration. The rationale
provided by Schon and Havelock is that pressure created by
the perimeter of the organization is system-transforming,
for it is the lower levels who get the work done. Argyris
(1962), Schon (1971), and Blansfield (1959) in discussing
change within an organization present three variables for
understanding the change process: (1) the level in the
organization at which the change process is first targeted,
(2) which levels in the organization must be involved, and
(3) the extent of organizational involvement in the needs
assessment and prescription process.

In determining the initial steps to be taken by the
change agent within the context of a change process,
Crocker et al. (1976) advocate that the change agent begin
at whatever level the organization has expressed commitment
to the change process, with the expectation that other

levels may be affected over time by the change in environment stimulated by the change process. In their discussion of organizational commitment to a change process, Crocker et al. (1976) present four levels of school district commitment to desegregation while projecting the impact of a change process:

Level of Commitment to Desegregation	Projected Impact
1. Total Commitment: Administration and teaching staff commitment to change	Successful change
2. Core Commitment Only: Administration, but not teaching staff, committed to change	Successfully administered change without staff support or staff commitment
3. Periphery Commitment Only: Teaching staff, but not administration, committed to change	Improved teacher classroom behavior without administrative support or district administration commitment
4. No Commitment: Neither administration nor staff committed to desegregation	No change

In reference to the issue of organizational commitment Argyris (1962), Schon (1971), Blansfield (1959), and Havelock (1969, 1973b) state that successful change can occur only if both the key agents of the organization (e.g., the superintendent, school board, central office staff) and

the perimeter staff (e.g., principals and teaching staff) are receptive to the change agent and the change process. Where key agents of an organization are uncommitted to change the change process will only serve to maintain the existing conditions of the organization.

Berman and McLaughlin (1974), Havelock (1973a), and Lippitt, Watson, and Westley (1958) further elaborate on the initial step of successful change. They point to the "mutual definition" process by which the organization and the change agent define their perceptions of the problem and translate them into goals. Failure to undertake this step can lead to bureaucratic responses that will only superficially address the demands and needs of the external environment. Berman and McLaughlin (1975a) state that a bureaucratic organizational response to change takes three possible positions: (1) aggressive resistance to any change, (2) adoption of the trappings of change while maintaining the behavior and attitudes that existed before, or (3) ignoring it all together.

An organization or school district can be made to change through federal mandates; however, they cannot be made to want to change. Thus, the commitment of an organization or school district to successful change must be expressed by those in leadership positions such as school administrators (Kirby, Crain, and Harris, 1973; U.S. Commission on Civil Rights, 1973b).

Another crucial factor in the change process is the change agent's awareness and sensitivity to the geography, demography, sociology and politics of the organization or client district. According to Crocker et al. (1976) the change agent needs to call upon the expertise of the organization to correctly identify the political and social factors that have an influence on the dynamics of the organization and community.

In the process of establishing trust and fostering a willingness to make change, the change agent is faced with the decision to take a passive or active role in working with an organization or school district. Crocker et al. (1976) state that for the most part school districts are unwilling to work with a change agent who takes an active role in advocating and undertaking activities to bring changes to a district. Thus, the burden of establishing rapport and providing systematic assistance to an organization is on the change agent.

Summary. In reviewing the change agent literature the factors significant to the focus of the study include the following: (1) the role of the change agent in establishing a setting of collaboration; (2) the role of the change agent as defined by the organization requesting the service; (3) the degree of change required in implementing

an innovation and the perceptions of change by the organization and the change agent; (4) the involvement and commitment of key decision makers of an organization in the implementation and success of an innovation; and (5) the role of the change agent in establishing a setting of receptivity for the innovation. These five factors play a major role in facilitating the development of a district comprehensive educational master plan while required by the U.S. OCR to meet federal regulations under the Lau decision.

Educational Innovations and Planned Change

The analytical literature of planned change in education focuses on the institutional aspects of educational innovation (Bennis, Benne, and Chin, 1969; Bennis, 1966; Cyert and March, 1963; Rogers, 1962; Rogers and Schoemaker, 1971). Berman and McLaughlin (1974) suggest that there are institutional factors that influence the success or failure of an innovative effort--quite apart from the "quality" of the innovative strategy itself. The literature identifies two institutional factors in effecting planned change: One analytical approach emphasizes adoption; a second focuses on implementation.

The adoption approach. The adoption approach to analyzed planned change effectiveness concentrates on the

development and use of information and attempts to formulate and specify management principles that might contribute to the adoption of educational innovations. Havelock (1969, 1973a) has synthesized four alternative models that focus on preadoptive behavior--the behavior of schools before a decision to adopt is made.

The first model, the Problem-Solving model, casts innovation in a "diagnostic" frame, and emphasizes that the needs of the institution are paramount in selecting and adopting an innovative strategy.

The second model, the Social Interaction model, focuses on patterns of diffusion and assumes that information is a major source of motivation to innovate. Information about a "better" practice is expected to lead to adoption or trial.

The third model, the Research and Development model, assumes a rational sequence of goal setting, planning, implementation and evaluation. Emphasis is given to needs assessment and the motivational aspects of information.

A fourth model, the Linkage model, draws from the preceding three models and considers the incentives, behavior, and goals of individual decision makers in response to proposals for planned change.

Berman and McLaughlin (1974) state that underlying the four alternative models of effecting educational innovation are the assumptions that school administrators constantly

seek better practices, have reliable ways of identifying

better procedures, and are eager and able to adopt proved

innovations. Thus, given the existence of promising

strategies, the main barriers to change are seen as

deficiencies in:

1. Planning, communication, and dissemination.

2. The quantity and quality of available information.

In the examination of the adoption approach from a

conceptual perspective, Berman and McLaughlin (1974) find

that this approach ignores the issue of implementation or

institutional adaptation of an innovative strategy. It also

provides school administrators with few incentives to

initiate change when outcomes of innovation are uncertain,

and when changing bureaucratic patterns involve personal

risk.

In support of Berman and McLaughlin the literature of

educational innovation, related to the adoption approach,

suggest the following characteristics of the educational

change process:

1. Decisions to adopt or reject an innovation are

   seldom made on the prima facie merits of the

   innovation (Miles, 1974; Coleman, 1972; Rein,

   1970).

2. The usual process of change is from top down;

   pressure for change is typically initiated outside

   the local school rather than by assessment of

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school needs (Fullman, 1972; Sarason, 1971;

Bennis, Benne, and Chin, 1969).

In general, the issue raised by the adoption approach is

seen as only one and not the most important variable to

overcome in successfully bringing out change in educational

practices.

The implementation approach. The implementation approach

to effecting planned change defines the problem of success-

ful innovation in terms of implementation. Theorists who

have examined educational innovation from the perspective

of an organizational model of institutional behavior take

the position that the most difficult part of the problem of

innovation has to do with the process of implementation

(Miles, 1964; Gross, Giacquinta, and Bernstein, 1971;

Sarason, 1972; Smith and Keith, 1971; Carlson et al., 1971;

and Charters et al., 1973).

The implementation approach contends that resistance

to change persists after a decision to adopt is made and

continues throughout the process of adaptation and imple-

mentation. Schon (1971) calls this type of resistance

the "dynamic conservatism" of the school system. Others,

such as Ginsburg et al. (1970), Miles (1964), Wirt and

Kirst (1972) see the regressive tendency of a school system

to fall back into preexisting patterns of behavior after

the adoption of innovative strategies as symptomatic.

Four essential dimensions to understanding the process of implementation are suggested by Miles (1964); Carlson et al. (1971); and Gross, Giacquinta, and Bernstein (1971):

1. The role of principal decision makers or actors--
   active versus passive support.

2. The institutional structure of incentives and
   constraints--the degree of support to implement
   the educational innovation.

3. The institutional policy setting--the degree to
   which influential decision makers are involved in
   the decision to support the implementation of the
   educational innovation.

4. Characteristics of the innovation--the degree to
   which the goals, specificity of treatment,
   relationship between treatment and outcome, user
   involvement, and support for the innovation is
   clearly specified or known.

Thus, the process of implementation in reference to educational innovation is seen as a two-way process of adaptation in which the innovation strategy is modified to fit the institution, and the institution is altered to some degree to accommodate the innovation.

Summary. The literature of educational innovation and planned change focuses on two institutional factors that influence the success or failure of an innovative effort-- the adoption and implementation factors. For the purpose of this study the implementation approach is most relevant in reference to the implementation of an educational master plan to comply with the Lau decision. The implementation approach focuses on the dynamics of the institution as the most important factor for determining if the educational innovation will be implemented. To the degree that there is pressure from outside the institution, active involvement, commitment, supportive policy makers, and risk taking on the part of the institution to the educational innovation, the implementation of the innovation will be actualized.

Organizational Development as a Strategy of Social Intervention

The changing of group norms and values is the primary focus of organizational development (OD) efforts. Hornstein et al. (1971:343) define the process of OD as

> the creation of a culture which institutionalizes the use of various social technologies to regulate the diagnosis and change of interpersonal, group, and intergroup behaviors, especially those behaviors related to organizational decision-making, communication, and planning.

According to Katz and Kahn (1966:346), the culture

an organization is reflected in its

1. system of norms and values

2. history of internal and external struggles

3. types of people attracted

4. work processes and physical layout

5. modes of communication

6. exercise of authority

In their analysis of the culture of organizations, they see

the conflict between the democratic expectations of people

and their actual share in decision making as the greatest

organizational dilemma facing the institutions of the

United States.

Thus, assuming the desirability of the OD culture, the

problem is to move the organization from a traditional

culture to a new culture. In the institutionalization

process of a new organizational culture three components

are recommended for the change: Entry, Normative, and

Structural Support.

Entry: Initiating cultural support. A recommended

principle for initiating change is Lewin's (1939) emphasis

on the distinction between own and induced motivational

forces. Hornstein et al. (1971:350) state that with

autocratic leadership (induced force regulating behavior)

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group members tend to develop little of their own
motivation with respect to group activities. With
democratic leadership group members worked productively
whether or not a person of authority was present.
According to Hornstein et al. (1971), three techniques for
initiating cultural change which involve participants of
the total system and provide for self-motivation can be
identified:

1. Steps toward cultural change may be stimulated
    when dissonant information is introduced in the
    system. This technique according to Festinger's
    (1957) theory of cognitive dissonance proposes
    that when a person experiences information which
    contradicts his own belief system, values, or
    opinions, s/he will be motivated to reduce this
    dissonance. Procedures for determining the
    present situation usually involve data collection
    from the use of individual interviews (Beckhard,
    1969) to organization-wide attitude or morale
    surveys (Mann, 1957). The data collected assist
    in determining to what degree there is dissonance
    in the organization.

2. Steps toward cultural change may occur when it can
    be demonstrated that an OD approach will meet a
    felt need. Beckhard (1969:16-19) lists some ten
    "felt needs" that have initiated OD efforts:

1.   The need to change a managerial strategy.
2.   The need to make the organization climate
more consistent with both individual needs and the
changing needs of the environment.
3.   The need to change "cultural" norms.
4.   The need to change structure and roles.
5.   The need to improve intergroup
collaboration.
6.   The need to open up the communications
system.
7.   The need for better planning.
8.   The need for coping with problems of merger.
9.   The need for changing in motivation of the
work force.
10.   The need for adaptation to a new environment.

3.   Steps toward cultural change can be initiated with

a direct change in the interpersonal skills, the

attitudes and the values of key persons in the

organization. Blake and Mouton (1968) through

their Managerial Grid, Argyris (1962), and

Bradford, Gibb, and Benne (1964) through labora-

tory methods of human relations training provide

ways to bring initial change to an organization's

culture.

Normative support for the change. In this stage of the

change effort the emphasis is in involving all relevant

personnel in the planning and problem solving of the

organization change (Mann, 1957). Blake and Mouton (1968)

recommend that all levels of management be involved through

a team approach in establishing the norms of the new

organizational culture. Thus, in this stage, the

involvement of the decision makers and key personnel of an organization is vital to strengthening the support for changes in the organization.

Structural support for the change. Beckhard (1969), Lippitt (1969), and Gardner (1965) have stated that one way to ensure that an organization continues to be self-critical and self-renewing is to develop "guardians" of the new culture. These guardians are said to be persons whose responsibilities are to collect information on the state of the organizational members, feed back the information to relevant organizational members, provide help in diagnosing the causes of the problems, assisting in the planning and implementation of change, and provide technical assistance in training and development (Hornstein et al., 1971).

Thus, the third phase in the institutionalization of change is to establish a role in the organization which helps to regulate the process of OD. This role is generally accorded to a "coordinator" who is skilled in organization diagnosis, consultation, and laboratory training (Beckhard, 1969; Bennis, 1966).

In the implementation of an OD effort, according to Hornstein et al. (1971:353-356), two areas of OD technology are essential--diagnosis and intervention.

The diagnosis phase of OD is described as a three-step process: (1) gathering system-wide information, (2)

identifying problem areas, and (3) determining the causes of the problems which have been identified. The intervention phase of OD, which follows the diagnosis, focuses on the development of a strategy for dealing with a problem. The interventions are usually experienced-based and require collaborative participation of the client group in most phases of the change effort. The types of intervention strategies mentioned in the litera-ture (Hornstein et al., 1971:343-439; Beckhard, 1969:26-41; Blake and Mouton, 1968:133-155; Burke and Ellis, 1969:410-412; Lewin, 1947:5-41; Bennis and Benne, 1969:60-146) include techno-structural interventions, team development, data feedback intervention, action research interventions, intergroup interventions, and training interventions.

Summary. The emphasis in OD is on some form of diagnosis followed by an intervention which responds to the needs diagnosed. For the focus of this study, diagnosis and intervention are important factors in the development of an educational plan, for these are the factors that identify the need and the strategy for meeting the need.

The criteria for choosing a strategy for OD intervention are that it be one which will (1) respond to some field need for change, (2) facilitate change in the organization's culture, and (3) involve the personnel of

the organization in planning and implementing the change.

Also of importance to this study are three components
in the process of organizational cultural change: (1) the
entry phase of initiating change within the organization,
(2) the normative phase of establishing support for the
organizational change, and (3) the structural phase that
regulates the planning and implementation of the
organizational change.

Implementation of Educational Innovation

According to Pressman and Wildavsky (1973), there is
no theory or analytical understanding of implementation in
the educational literature. Some of the reasons given for
the lack of understanding of implementation of educational
innovations is due to the evolutionary nature and character
of social change, and to the attention given to describing
stable systems and their mechanisms for resisting change
(Stinchcombe, 1965; Huntington, 1971; Bennis, Benne, and
Chin, 1969). Another explanation is based on the defini-
tion of implementation: Within the context of federally
funded projects, the most common definition is an
administrative one--to implement is to carry out a
directive that resolves the problem of obtaining compliance
with a law or with a set of procedures in an organization
(Stinchcombe, 1965). This definition focuses on why
subordinates fail to comply. In complying with a federal

law, Bernard (1938) states that the implementation of a
"plan" through an organizational directive creates an
uncertain situation in that such plans lack specificity and
clarity and are developed, operationalized, and often
revised to fit the institutional setting of the
organization.

In the area of federal intervention efforts requiring
school districts to comply with federal policies and
mandates, Wirt and Kirst (1972) state that such efforts are
not "self-executing"--that ratification of a legislative
mandate concerning a local behavior and practice does not
always ensure a local response that is consistent with the
intent of the law. Berman and McLaughlin (1974) further
elaborate that if federal policies or mandates are to be
implemented the decision-making power in the educational
system ultimately resides at the school district level,
since federal initiatives are guided by the response of
local educational agencies.

Thus, the implementation of innovation in education
is not based on rational choices but on bureaucratic
incentives and constraints, political opportunities, and
conflicts (Berman and McLaughlin, 1974; Pressman and
Wildavsky, 1973). Furthermore, rather than innovation
being initiated through internally generated pressures for
change, it is generally initiated by outside generated
social forces (Sarason, 1972; Smith and Keith, 1971; Carlson

et al., 1971; Miles, 1964; Clasky, 1975).

In the process of working with educational institutions in the process of implementing innovation, studies conducted by the Rand Corporation for the U.S. Office of Education[1] have developed and recommended a three-stage process of implementing innovation rather than the "rational" five-stage model of planned change developed by Rogers (1962) consisting of (1) awareness, (2) interest, (3) evaluation, (4) trial, and (5) adoption.

The proposed Rand Corporation three-phase process for implementing innovation consists of the stages of Initiation, Implementation, and Incorporation.

In the Initiation stage four factors contribute to the initial process of obtaining support for the innovation:

1. the identification of the need for the proposed innovation,
2. the availability of federal or local funds,
3. local support for the need of the proposed innovation, and
4. the incentives of local decision-makers within the organization to support the innovation. (Berman and McLaughlin, 1975a:9)

The organizational setting in the Initiation stage is characterized into two ideal types: opportunism and

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[1]Five-volume study on factors affecting change agent projects, The Rand Corporation reports: R-1589/1 HEW, R-1589/2 HEW, R-1589/3 HEW, R-1589/4 HEW, R-1589/5 HEW. The theoretical framework of these reports closely follows the four stages of organizational change suggested by Hage and Aiken (1970:65-106).

problem solving (Pascal et al., 1975). Innovations generated by opportunism seem to be a response to available funds and without real interest and commitment on the part of the organization's leadership to the change process of the innovation. The problem solving motive for innovation responds to locally identified needs with strong interest and commitment to address the needs of the organization. Federal and categorical funds are viewed by the problem solving approach as a way to support the local change process of the innovation. Generally, in the Initiation process for implementing an innovation, whether to solve a local need or in response to an opportunity, the involvement of all key participants is important to implementation in its early stages (Pascal et al., 1975). In addition, support for the innovation at the Initiation stage is said to be political and influenced by local interest groups, the degree of disruption or change implied for the organization, as well as short- and long-range benefits to the local organization (Berman and McLaughlin, 1975b).

The Implementation stage of an innovation confronts the institutional setting of the organization. In this stage, plans are translated into practice. There are three types of possible interactions that characterize the implementation stage:

> 1. Mutual Adaptation--the innovation is adapted
>   into the organizational setting, while the

        people of the organization also adapt to the
        demands of the innovation.
2. Nonimplementation--no adaptation on the part
        of either the innovation or organizational
        setting, generally occurring in "opportu-
        nistic" organizations or where innovation is
        overcome by implementation problems.
3. Cooptation--Innovation is adapted into an
        organizational setting that is indifferent
        and resistant to change and that results in
        no change in the organization. (Berman and
        McLaughlin, 1975a:10)

The type of implementation process, whether mutual
adaptation, nonimplementation, or cooptation, that occurs
for any particular innovation depends on three factors:
the motivations and circumstances involved in the
Initiation stage, the substance and scope of the proposed
change, and its implementation strategy. For example,
innovations implemented for "opportunistic" motives tend to
either be coopted during implementation or to undergo a
symbolic process of nonimplementation (Pascal et al.,1975).
Organizations implementing innovations through a "problem
solving" approach tend to achieve mutual adaptation through
an attitude of positive commitment and a process of broad-
based organizational involvement and adaptive planning in
implementing the innovation (Pascal et al., 1975).

The Incorporation stage represents the most serious
commitment on the part of the educational organization in
determining what components of and on what scale the
innovation should be incorporated into standard organiza-
tional practice. Within an educational-organizational

setting, Incorporation implies local support--financial, organizational, and political--to continue the innovation when it loses its federal or categorical funding. Decisions or expectations about the continuation of an innovation closely parallel the decisions or motivations that were prevalent during the initiation of the innovation. Those innovations with strong district support, and that are also seen as resolving a particular problem, are generally expected to continue. Those innovations that represent an opportunistic response to monies, and receive little or no support from the leadership of the organization, are usually expected to be terminated (Berman and McLaughlin, 1975a). The leadership of an educational organization (e.g., superintendent) generally considers four factors in determining the continuation of an innovation:

1. The innovation's success during implementation

2. The importance of the educational needs served by the innovation

3. The resources required by the innovation

4. The organizational political forces inhibiting or promoting innovation

According to the Rand Corporation studies on federal programs supporting educational change (Berman and McLaughlin, 1975a), evaluation evidence tends to play a minor role in the continuation of an educational innovation.

The Rand Corporation's three-stage process of
innovation calls for three types of outcomes by which the
impact of the innovation within the school organization can
be assessed:

Implementation Outcomes

1. The relative extent to which the school
    organization believed that the innovation
    goals were achieved (perceived success).
2. The type or extent of change in teacher
    and administrator behavior as perceived
    by participants (change in behavior).
3. The extent to which implementation
    followed the innovation design (fidelity
    to implementation).

Continuation Outcome

4. The extent of school organization support
    for the innovation after federal monitoring
    or funding stops, as reported by superin-
    tendents (expected continuation).

Dissemination Outcome

5. The extent of innovation diffusion to
    other schools or school organizations
    (dissemination). (Berman et al., 1975:9-10)

The three outcomes are designed to measure what the
school organization thinks about the innovation's success.
For example, if the school district personnel perceives
that the innovation has limited impact on their own
behavior, and there is little relationship between the
design of the innovation and how it is implemented, there
will be little or no mutual adaptation. Thus, the
continuation outcome has the intent of measuring how much,
if any, of the innovation methods seemed important enough
for the school district to provide long-term support. The
dissemination outcome measures the extent of local support

and how much and under what conditions innovations spread.

In determining what factors are most likely to affect implementation, continuation, and dissemination of an innovation, Berman et al. (1975:10) identify three kinds of factors:

1. The Characteristics of the Innovation, such as the amount of funding, educational methods, implementation strategies, and scope of change;
2. Federal or State Policies, such as directives calling for innovation through the implementation of change agent programs' objectives and management strategies;
3. Institutional Setting, such as the organizational climate and motivation of the staff, characteristics of the school district, and characteristics of the people most closely involved with the innovation.

In summary of the Rand Corporation five-volume study on Federal Programs to Support Educational Change, the study suggests the following conclusions:

1. Federal or State program policies tend to be only important at the Initiation stage of the process for implementing innovation.
2. The extent to which the school district's Initiation behavior is characterized by problem-solving motives and opportunistic ones has significant influence on effective implementation and continuation of an innovation.
3. A receptive local institutional setting is necessary, but not sufficient for effective implementation.
4. Two kinds of characteristics, (1) an effective implementation strategy, and (2) a scope of change as broad as the institutional setting permits are important in promoting mutual adaptation and successful outcomes. Other characteristics such as differences in resources, technology, or federal and state policies have a strong influence on the outcomes of an innovation.

5. Mutual adaptation and successful implemen-
tation outcomes are no guarantee to the
continuation of an innovation. The decision
to continue an innovation is affected by the
success of the innovation, but costs, and
political and bureaucratic acceptability
have equal importance. (Berman and
McLaughlin, 1975b:16)

Summary. The review of selected literature in the area of
implementation of educational innovation suggests that
implementation strategy--the decisions made by policy
makers of an organization or school district on how to
implement an innovation vitally affects the outcomes of the
innovation. The factors contributing to the initiation,
implementation and incorporation of an innovation are
generally based on external forces be they political,
community pressure, or legislative at the initial stage
and on internal support, commitment, and the need and
importance given to the innovation in the stages of
incorporation.

The studies conducted by the Rand Corporation on
federal programs supporting educational change conclude
that a receptive institutional setting is a necessary but
not sufficient condition for effective implementation. An
implementation strategy that promotes mutual adaptation is
imperative. The primary factors affecting innovation are
the institutional setting, the organizational climate and
motivations of participants, the implementation strategy

employed by the school district to establish the innovation, and the scope of change implied by the innovation relative to its institutional setting.

Thus, the implementation of educational innovation suggests that the following premises express the realities of school district behavior in the innovation process (initiation, implementation, incorporation):

1. Implementation rather than the adoption of a technology, the availability of information about it, or the level of funds committed to the innovation dominates the innovative process and its outcomes. (Berman and McLaughlin, 1975a)

2. Effective implementation depends on the receptivity of the institutional setting to change. (Pascal et al., 1975; Mann, 1975)

3. Effective implementation is characterized by the process of mutual adaptation.
4. Local schools vary in their capacity to deal with the implementation and incorporation of innovations. (Berman and McLaughlin, 1975a)

For the purpose of this study the Rand Corporation three-phase process for implementing innovation (Initiation, Implementation and Incorporation) is most relevant in assessing the process taken by school districts in meeting Lau compliance.

Planned Change as a Strategy of Social Intervention

Planned change is explained by Lippitt and Watson (1961) as a process involving a change agent, a client

system, and the collaborative attempt to apply valid know-
ledge to the client's problems. Generally, planned change
is distinguished from other types of change in that it
calls for mutual goal setting, an equal power ratio, and
deliberateness on the part of the client system and the
change agent (Bennis, 1961). The planned change effort
according to Beckhard (1969:9-13) can be characterized by:

1. A process that involves a systematic diagnosis
    of the organization, the development of a
    strategic plan for improvement, and the
    mobilization of resources to carry out the
    effort.
2. The involvement of the total organization in
    the planned change effort.
3. The active involvement and support of the
    decision makers of the organization in the
    planned change effort and through the knowledge
    and commitment to the goals of the effort.
4. A planned change design effort that calls for
    an increase of organizational effectiveness
    and organizational hygiene.
5. Planned interventions to achieve the goals of
    the planned change efforts.

The notion of planned change according to Bennis
(1965:65) suggests that planned change is concerned with
such problems as (1) the identification of mission and
values of the organization, (2) collaboration and conflict,
(3) control and leadership, (4) resistance and adaptation
to change, (5) utilization of human resources, (6)
communication, and (7) management development. In
resolving the identified problem areas, Bennis (1966) and
Greiner (1968), through a similar focus, propose seven
possible approaches that can be undertaken by a change

agent and/or organization. The approaches differ according to the distribution of power provided to the people involved in the planned change process; the degree to which there is participation in the process of goal setting, and the degree to which there is commitment to the implementation of the process of change. The seven-change approaches to change are as follows:

1. Indoctrination Change--mutual and deliberate goal setting under unilateral power.
2. Coercive Change--unilateral goal setting with deliberate intentions using unilateral power, e.g., through control practices.
3. Technocratic Change--unilateral goal setting but shared power; one party defines the goal while the other party helps to reach that goal without question as to the goal's value.
4. Interactional Change--shared power under conditions where goals are not deliberately sought.
5. Socialization Change--unilateral power but collaborative goal implementation, e.g., parent-child relationship with parent defining goals.
6. Emulative Change--unilateral power without deliberate goals, e.g., in organizations where subordinates emulate their superiors.
7. Natural Change--shared power with nondeliberate goal setting, e.g., changes due to accidents, unintended events, etc. (Bennis, 1966:81-82)

The seven approaches suggest that change can be initiated and implemented using various power distributions through a single authority source or shared control of authority.

In the examination of the concept of power distribution, Coch and French (1948) and Roethlisberger (1941) from an organizational perspective suggest that resistance to technological change is inversely related to

participation in group decision making. Coch and French (1948) argue that management can introduce major changes in an organization through effective communication of the need for change and group participation in planning the changes. Likert (1961:222-235), from a perspective of effective management, contends that top management, being interested in the welfare of their workers, should hold group meetings to create an atmosphere of trust and mutual respect. Likert states that the participation of workers in the problem-solving and decision-making process of the organization stimulates loyalty and increases job satisfaction. In addition, through the delegation of responsibility and autonomy the vertical communication within the organization will improve and enhance the top management's ability to innovate programs for review by the work force of the organization. The suggested goal of an organization following Likert's suggestions is toward a participative group.

Likert (1961) further elaborates that organizations start at different points on a continuum in reference to their operating behavior. Likert depicts four management styles in the continuum (see Figure 3).

In regard to the operating characteristics of an organization, Likert (1961:223-233) proposes seven general concepts:

Organizational Variable	I Exploitative Authoritative	II Benevolent Authoritative	III Consultative	IV Participative Group
Leadership process: Extent to which superiors have confidence and trust in subordinates.	Have no confidence and trust in subordinates	Have condescending confidence and trust, such as master to servant	Substantial but not complete confidence and trust; still wishes to keep control of decisions.	Complete confidence and trust in all matters

Fig. 3. Organizational management styles.

1. Motivational Forces--organizational motives, attitudes toward organization and goals, and membership satisfaction in the organization.
2. Communication--amount of interaction and communication aimed at achieving organization's objectives, accuracy and direction of downward and upward communication.
3. Interaction-Influence--amount of interaction and cooperation, extent to which subordinates and management can influence the goals, methods, and activity of their departments/ organization.
4. Decision-making--where and how are decisions made, group or individually made, decisions made at the best level in organization and with the most adequate and accurate information.
5. Goal-setting--where and how is goal setting done, what are the forces for the acceptance, resistance or rejection of goals.
6. Control processes--level in organization concern for the performance of the control function, how accurate are the measurements, extent to which there is a formal or informal organization that supports or opposes the goals of the organization.
7. Performance--productivity, degree of participation, quality control and inspection.

In all, Likert lists over forty variables within the seven factors to illustrate aspects of leadership, organizational behavior and important characteristics of an organization. Thus, the continuum and variables outlined by Likert provides a rough overview of probable patterns of leadership, organizational characteristics and behavior of an organization. For example, high satisfaction should be positively related to high communication and favorable attitudes towards peers and organizational policy.

Hershey and Blanchard (1972:158-161) from a management of organizational behavior perspective describe four levels of change in people: (1) knowledge changes, (2) attitudinal changes, (3) behavior changes, and (4) group or organizational performance changes. They illustrate the time relationship and the relative difficulty involved in making each of these levels of changes in the following model:

```
Difficulty
involved         ┌─────────────────────────────────────────────┐
   ↑    (high)   │            GROUP  BEHAVIOR                    │
        ↑        │   ┌─────────────────────────────────────┐    │
        │        │   │      INDIVIDUAL  BEHAVIOR            │    │
        │        │   │   ┌─────────────────────────────┐   │    │
        │        │   │   │      ATTITUDES              │   │    │
        │   (low)│   │   │   ┌──────────────────┐      │   │    │
                 │   │   │   │  KNOWLEDGE        │      │   │    │
              (short)────────────── Time Involved──────────────→(long)
```
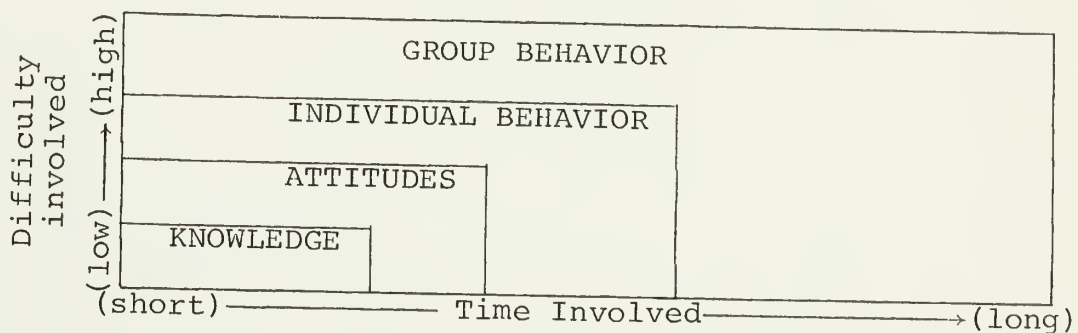
The model presents changes in knowledge as the easiest to make. Attitude change follows, resulting from the placing of positive, negative or neutral value on knowledge. Changes in individual behavior are significantly more difficult and time consuming, with group behavior the most difficult and time consuming. The four levels of change according to Hershey and Blanchard can be introduced through a participative change cycle or a coerced change cycle. The participative change cycle depends upon personal power and is implemented when new knowledge is made available to the individual or group. With the

individual or group receiving new information it is hoped
that a positive attitude and commitment in the direction of
the desired change is achieved. The leadership of an
organization becomes an important role group in bringing
change through this approach insofar as they accept and
support the desired change. This participative change
cycle is portrayed as follows:

```
                                    4.  GROUP BEHAVIOR
                              3.   INDIVIDUAL BEHAVIOR
                  2.  ATTITUDES
            1.  KNOWLEDGE
PERSONAL
  POWER
```
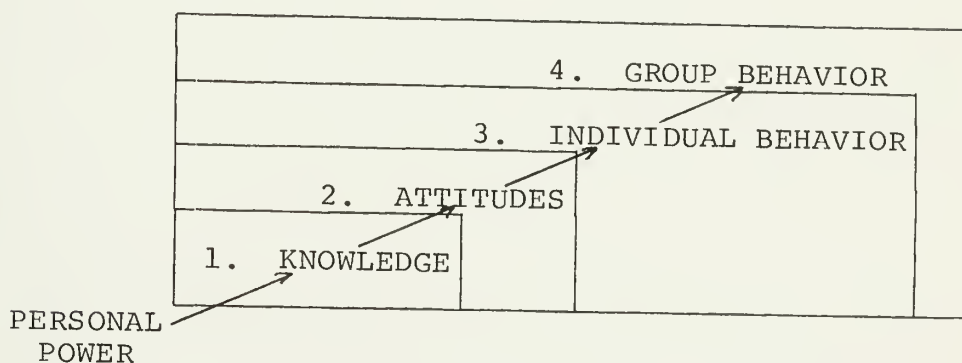
The coerced change cycle depends upon position power
and is implemented when the decision-maker of the organiza-
tion imposes change on the total organization. The imposed
change brings about new modes of behavior and knowledge
which can work toward or against the change. The coerced
change cycle is portrayed as follows:

```
                                              POSITION
                                                POWER
                        1.   GROUP BEHAVIOR
                 2.  INDIVIDUAL BEHAVIOR
         4.  ATTITUDES
   3.  KNOWLEDGE
```
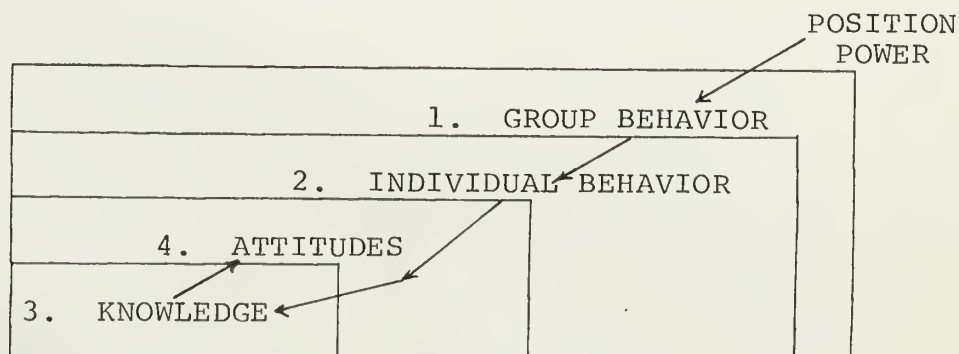
According to Hershey and Blanchard (1972), the
participative change cycle tends to be effective when
induced by leaders with personal power, while the coerced
cycle requires significant position power (for the purpose
of rewards, punishment and sanctions). While the advantage
of the participative change cycle is that it is lasting and
people are committed to change, the disadvantage is that it
is slow and evolutionary. The advantage of the coerced
change cycle is speed in bringing change to an organi-
zation, while the disadvantage is that it is volatile and
can only be maintained as long as the leadership has
position power.

In reference to the issue of support or opposition
to planned change within an educational setting, Watson
(1966:1-22) states that the sources of resistance are
based within persons and within the institutions. Watson
elaborates on the issue of resistance to planned change by
discussing three questions: Who brings the change? What
kind of change? How is it best done--by what procedures
and in what climate? In his analysis of resistance to
planned change, Watson (1966:23-24) makes the following
recommendations:

    I.   Who brings the change?

        1.   Resistance will be less if administrators,
            teachers, board members and community
            leaders feel that the "planned change" is
            their own and not one devised and operated
            by outsiders.

    2. Resistance will be less if the planned change clearly has the support from top decision makers of the institution.

II. What kind of change?

    3. Resistance will be less if participants see the change as reducing rather than increasing their present problems.

    4. Resistance will be less if the planned change accords with values and ideals which have long been acknowledged by participants.

    5. Resistance will be less if the planned change offers the kind of new experience which interests participants.

    6. Resistance will be less if participants feel that their autonomy and their security is not threatened.

III. Procedures in instituting change.

    7. Resistance will be less if participants have joined in diagnostic efforts leading them to agree on the basic problem and to feel the importance of the problem.

    8. Resistance will be less if proponents are able to empathize with opponents, to recognize valid objections, and to take steps to relieve unnecessary fears.

    9. Resistance will be less if the planned change is adopted by consensual group decision.

    10. Resistance will be reduced if it is recognized that innovations are likely to be misunderstood and misinterpreted, and if provision is made for feedback of perceptions of the project and for further clarification as needed.

    11. Resistance will be reduced if participants experience acceptance, support, trust, and confidence in their relations with one another.

    12. Resistance will be reduced if the plan is kept open to revision and reconsideration if experience indicates that changes would be desirable.

The recommendations of Watson, for the most part, focus on the individual's resistance to change efforts. However, he provides an overview for understanding the forces of resistance and how these forces are undermined.

Summary. The review of selected literature on planned change as a strategy of social intervention for the purpose of this study suggests that if the personnel of a school district participate and become involved in the decision-making of a planned change effort the result will be greater district receptivity and acceptance to the change. In addition, Likert proposes the concepts of motivational forces, communication, interaction-influence, decision making, goal setting, control processes, and performance as important operating characteristics of an organization in maintaining a productive and effective organizational behavior.

In the examination of the change process, Hershey and Blanchard suggest two change cycles: participative (long-term process) and a coercive (short-term and generally legally mandated). The change cycle can be introduced in changing knowledge, attitudes, individual behavior and group behavior of district personnel in meeting federal regulations, e.g., Lau decision.

In maintaining a supportive environment in the planning and implementation of the planned change effort, Watson outlines twelve essential factors that contribute to lessen the resistance to planned change and to increase the participation, acceptance, and support of the planned change effort.

Organizational Change through Collaboration

According to Lippitt (1973), Fox (1973), Schein (1964), Bennis (1969), and Lewin (1947) an organization implementing change requires the development of confrontation skills by those inside the organization. Organizational change can be brought about by internal confrontation of situations by those in the organization rather than awaiting external confrontation by those who may have little concern for the long-range growth of the organization. Confrontation of differences leads to an understanding of the organizational conflict and towards collaborative efforts in resolving the problems of the organization.

Blake and Mouton (1968) and Fink, Beak, and Taddeo (1971) discuss the concept of organizational crises through a conceptual framework that illustrates stages of growth and reactions to organizational crises. The four-stage conceptual framework is based on the assumption that a

human system passes through several phases as it adapts to a crisis situation beginning with an initial period of shock followed by defensive retreat, acknowledgment of the crisis, and finally, a process of adaptation and change. The four phases are presented in Figure 4 (Fink et al., 1971:20).

Related to the third phase of the organizational crises conceptual framework, Dalton, Lawrence, and Greiner (1970) in their discussion of a collaborative approach that promotes organizational change, recommend the following sequence of phases (see Fig. 5).

The six-phase collaborative approach advocated by Dalton, Lawrence and Greiner begins with the concern of some key decision-makers in the organization responding to external or internal pressures, then seeking assistance from a resource person or group, followed by their willingness to engage in some "shared" problem-solving discussion with personnel, supporting some experimental attempts at organizational change, and finally reinforcing new behavior patterns introduced by the organizational change.

Additional essential factors in a collaborative process for initiating and implementing planned educational change are also discussed in a number of reports, articles and studies dealing with desegregation, decentralization, and community action programs.

PHASE:	Inter-Personal Relations	Inter-Group Relations	Communi-cation	Leadership and Decision Making	Problem Handling	Planning and Goal Setting	Setting
Shock	Fragmen-ted	Discon-nected	Random	Para-lyzed	None	Dormant	Chaotic
Defen-sive Retreat	Protec-tive Cohesion	Alienated	Ritual-ized	Auto-cratic	Mechan-istic	Expedient	Traditional
Acknow-ledge-ment	Confron-tation supportive	Mutuality	Search-ing	Partici-pative	Explora-tive	Synthesi-zing	Experi-menting
Adapta-tion and Change	Inter-depen-dent	Coordina-ted	Authen-tic Congru-ent	Task Centered	Flexible	Exhaus-tive and Integra-tive	Organic

Fig. 4. Four-phase conceptual framework of organizational crisis.

	Phase I	Phase II	Phase III	Phase IV	Phase V	Phase VI
Stimulus on the Power Structure	Pressure on top Management	Intervention at the top	Diagnosis of Problem Areas	Invention of New Solutions	Experimentation with New solutions Solutions	Reinforcement from Positive Results
Reaction of the Power Structure	Arousal to take Action	Reorientation to Internal Problems	Recognition of Specific Problems	Commitment to new Courses of Action	Search for Results	Acceptance of New Practices

Fig. 5. Collaborative approach towards organizational change.

In a two-year study involving over one thousand school districts on the _Desegregation of the Nation's Public Schools_, the U.S. Commission on Civil Rights (1976) reports that the most important ingredient in successful school desegregation is leadership at the community and school district level that involves the school boards, school administrators, political leaders, police officials, religious and business groups, the media, and other public and private organizations. In providing guidelines for planning school desegregation, the U.S. Commission on Civil Rights (1976:168-69) recommends:

1. School administrators should develop projects to involve and inform the community in all aspects of desegregation.
2. School administrators should involve the community in the planning process of desegregation.
3. School administrators should involve the community in examining the role of leadership in desegregation and the educational process of the school district.

The U.S. Commission on Civil Rights (1976:174-205), in their analysis of their two-year study provide the following findings:

1. Role of Leadership

   The process of school desegregation is significantly affected by the support or opposition it receives from the local community leadership. Affirmative leadership by school board members and superintendents is a critical factor for acceptance and peaceful implementa- tion of desegregation--inaction on their part fosters community outright resistance to school desegregation.

2. Political Leadership

   The success of school desegregation is directly
   affected by elected officials' positive or
   negative public response to school desegrega-
   tion. When no positive political support is
   exerted by most top officials, the community
   becomes divided on the issue of desegregation.

3. Law Enforcement

   If elected officials are committed to peaceful
   implementation of desegregation, law enforce-
   ment agencies respond accordingly.

4. Business, Religious, and Organizational
   Leadership

   Strong affirmative leadership by members of
   business, religious, and social service
   organizations contribute immeasurably to
   community acceptance of desegregation.

5. Media

   Media coverage of school desegregation has an
   enormous impact upon local and national
   opinions and perceptions.

6. Community Involvement

   Leadership that is committed to ensuring that
   desegregation works will solicit involvement
   of the community at various stages of the
   process, from planning through implementation
   and monitoring.

In a ten-year study of decentralization that reviews
the involvement of urban communities in school decision-
making, four goals of increasing community involvement
between school district administrators and the school-
community are suggested (Mann, 1957:1-14):

   1. Improving the institutional responsiveness of
      urban schools to their community clientele for the
      purpose of increasing the congruence between what
      schools do and what their urban clientele want

them to do or need them to do.

This goal is based on the studies of Mann (1957), Yin et al. (1973), Gittel and Hollander (1968) that suggest that under democratic principles, it is right for public schools to be responsive to the communities they serve. According to Mann (1957), the impetus for improving institutional responsiveness most often comes from outside the school and generally, the larger the school system the less likely it is to display innovation, responsiveness, and adaptation and more likely to depend upon exogenous shocks to the system. Mann (1957), in a study of 168 school administrators, found responsiveness by individual administrators to be clearly related to the degree of organized community involvement. Thus, the number and kinds of organizations present in a community affect the responsiveness of local school administrators.

2. Increasing the effective and material support
    which communities give to school districts.

To support a school district as an institution implies cooperation, assistance, and reinforcement between the community and district administrators. In support of this concept Havelock (1969) states that participation with others in decision-making groups usually leads to a commitment to the groups' actions. According to Mosher (1967:518) participative practices contribute to the "self-actualization" of the individual in the work situation

and to the lessening of the differentials in power and status in an organization. In studies in the area of parent involvement, they found that as involvement increases, so does the tendency to be critical of the schools. As a person is exposed to the schools, the more likely it is for the person to define education as either the first or second greatest problem in the community. Thus, Russel and Koopman (1964:87-88) advise that without participation in educational planning only the most common and traditional needs may be perceived and met.

3. Educational achievement is regarded as most important. The achievement levels of urban schools are a source of profound dissatisfaction that can be improved through community involvement.

This position assumes that educational achievement is a principal goal of public schools. Lopate et al.(1969) argue that when parents are involved in the decision-making process of education, their children are likely to do better in school. Berube (1968:3) attributes this to the student's attitude and interest in school and to the extent to which a student feels that s/he has some control over her/ his destiny. Man et al. (1975:8-13) identifies four paths through which involvement may affect achievement: (a) through parent self-efficacy--parents as citizens partici- pate in educational decisions, become more knowledgeable and confident, and then encourage their children to higher

levels of achievement; (b) through institutional/child congruence--parents participate in educational decisions, and in so doing, affect the school which becomes more responsive to the children, who then perform better; (c) through community support--parents participate in educational decisions, become themselves more interested in school and turn to community to get more support for the school, which is then better able to help children to higher achievement levels; and (d) through student self-efficacy--students notice parents' involvement with the school and are stimulated by that example to perform better.

4. Democratic principle expresses the norm that people affected by public institutions should participate in their governance.

One of the root norms of a democratic society is that those persons whose lives are affected by public institutions should participate in the control of those institutions. According to Dewey (1927:2),

> no government by experts in which the masses do not have the chance to inform the experts as to their needs can be anything but an oligarchy managed in the interest of the few.

Thus, community involvement in school decision making is best achieved through a collaborative and decentralized process.

The Institute for Responsive Education, from the perspective of a community-oriented organization, defines

school-community collaboration as "parents, community residents or students sharing information or skills with teachers or administrators to reach common educational goals." In their handbook, <u>Together: Schools and Communities</u>, Clasky et al. (1973:1-85) summarize the concept of collaboration by discussing four basic questions about school/community collaboration:

1. Why collaborate? To give people more voice in an institution that affects them. To reduce feeling of powerlessness and alienation resulting from unresponsive bureaucracies. To contribute to a "sense of community." To improve and coordinate the ways schools utilize community resources to enrich the school program, and the planning and evaluation of school programs.

2. What conditions are necessary for effective collaboration? People feel personal, group, and community interest at stake. People identify a problem or goal and begin to prescribe a solution. People have a base of support and feel competent as a group. People operate in an environment when there is a supportive climate and collaboration.

3. What skills are necessary? Communication skills and the ability to exchange ideas, information, criticisms person to person, person to group, and group to group. Planning skills. Leadership skills in defining problems, setting goals, examining alternatives, designing a strategy, assessing resource needs, designing evaluation.

4. How do we judge success? Successful collaboration can be measured in terms of purposes for school/community collaboration, e.g., through number/types of people involved, in planning, evaluating and implementing school programs, the number of opportunities for contributions, indicators of increased interaction and cooperative action, evidence of comprehensive plan for public participation, and number/types of programs and personnel available to students.

Summary. The four phases of organizational crisis

suggested by Fink et al. (1971) are pertinent to the

organizational climate of a school district cited by the

U.S. OCR in noncompliance under the Lau decision. The four

phases (shock, defensive retreat, acknowledgment and

adaptation and change) suggest the following factors in a

collaborative process for initiating and implementing

planned educational change: the reactions of a district to

organizational crisis, the willingness on the part of the

decision-makers to engage in shared problem-solving,

participant-oriented leadership at the community and

organizational level, institutional responsiveness to

community needs, the degree of democratic participation

in decisions affecting one's life, and the involvement in

reaching common educational goals.

Organizational Climate and Change

Persons who are more inclined to be open and direct

and to trust others to be the same tend to become more

committed to change and to problem solving (Watson,

1966:86). In establishing an educational and organiza-

tional climate that is open, direct, trusting and committed

to change, eight factors are suggested in the publication,

School Climate Improvement: A Challenge to the School

Administrators (1975:7-9):

1. Respect--schools should be a place where there are self-respecting individuals; in a positive climate there are no put downs.
2. Trust--trust is reflected in one's confidence that others can be counted on to behave in a way that is honest.
3. High Morale--people with high morale feel good about what is happening.
4. Opportunities for Input--every person desires the opportunity to contribute his/her ideas and know that they have been considered.
5. Continuous Academic and Social Growth--each person needs to develop additional academic, social and physical skills, knowledge, and attitudes.
6. Cohesiveness--members should feel part of the school district and should collaborate towards making the school district run effectively.
7. School District Renewal--diversity and pluralism are valued. The school district should be able to organize improvement projects rapidly and efficiently, with an absence of stress and conflict.
8. Caring--every individual in the school district should feel that some other person(s) are concerned about him as a human being.

The eight factors are presented as applicable to any organization and their quality as dependent on the practices and programs of specific institutional operations within the areas of program, process, and material determinants. In reference to process determinants that provide for a positive school climate, eight determinants are discussed further by Fox et al. (1973:53-89):

1. Problem solving ability in which skills are adequately developed to reach effective solutions quickly. There should be well-developed structures and procedures for sensing the existence of problems, for inventing solutions, for implementing them, and for evaluating their effectiveness.
2. Improvement of school goals in which they are clearly stated and understood by all partici-pants. Goals should serve as reference points

for making decisions, organizing school
improvement projects, and guiding day-to-day
operations.
3. Identifying and working with conflicts in a
way that recognizes that conflict is natural
and that it occurs within individuals, between
them, and between groups. Conflict is
accurately identified and effectively worked
on.
4. Effective communications which enhance inter-
personal relationships and between participants
rather than causing alienation, isolation,
misunderstanding, fear, and frustration. There
should be emphasis on sharing and problem
solving.
5. Involvement in decision making in which
opportunity to improve the school exists for
all participants. Decisions should be based on
pertinent information and decision processes
that are clearly specified.
6. Autonomy and accountability which balances the
freedom of being independent and self-governing
with the necessity and desirability of being
responsible for actions through reporting and
explaining processes in achieving goals and
objectives.
7. Effective teaching-learning strategies in which
goals for teaching-learning situations are
clearly stated and educators seek evaluative
feedback from students and other educators.
8. Ability to plan for the future is a character-
istic whereby the school determines and plans
for its immediate and long range future.

According to Schmuck and Runkel (1972:2-13) schools,

like other living systems, display different degrees of

openness in communication and relationships within and

between components or units. It is through the increase of

contact and cooperation among the various role groups that

assists the entire school district in learning to respond

more adaptively to its environment. Schmuck and Runkel

identify three social processes that enable an organization

to adapt to planned educational change: (1) receptiveness

to the environment, (2) responsiveness to the environment, and (3) accessibility of the variety pool (resources). Receptiveness characterizes a climate of interaction--communication--use of information; responsiveness characterizes a climate that receives valid information and acts on it to enable the organization to take a new orientation toward the environment; variety pools enable the organization to use its own resources to do things in new ways. Important to the planned educational change are the norms of an organization. Norms define organizational climates and can be forces for resisting organizational change or to support interpersonal openness, helpfulness, and tolerance.

In reference to issues affecting the norms and climate of educational institutions, Harman and Rosenberg (1973:9-16) enumerate six issues:

1. Freeing the educational system to meet problems adaptively--a sense of community and trust needs to be established in which all who work (administrators, teachers and students) can be cooperative participants and decision-makers in both the learning and teaching fun functions.
2. Resolving the issues of legitimacy and accountability--schools have been challenged as having a major role in creating and maintaining the caste system; alternatives to education must be met in such a way that the national interest is preserved.
3. Restructuring the educational system to meet new needs--a systematic change is required to meet a variety of new needs simultaneously.
4. Actualizing new educational goals--goals of education are altering because of cultural change and future needs. This implies

> fostering feelings of safety and trust,
> giving freedom to explore and inquire, and
> providing a responsive environment and
> directed challenges.
>
> 5. Contributing to a nonviolent transition--
> change is systematic and involves all
> sectors of the society. There is a need
> for the sharing of educational tasks
> involving collaboration between the
> institutions of our society and education.
>
> 6. Participating in a comprehensive managing
> and governing network--a collaborative
> coordinated network of institutions need
> to monitor unanticipated consequences as
> innovations which impact upon the lives
> of millions of people.

Gordon L. Lippitt (1965), in his discussion of community change, feels that the desirable state of affairs is one in which there is trust established between the community planners and the citizens of the community. Thus, the community planner-leader needs to develop a trust relationship before meaningful and necessary change can take place in an orderly, beneficial, and a non-accidental manner.

Summary. The review of selected literature in organizational change and school climate improvement suggests that eight factors are important in the efforts of a school district to bring about change: respect, trust, high morale, opportunity for input, academic and social growth, cohesiveness, school renewal, and caring.

For the focus of this study, the process determinants that are crucial factors affecting a district's effort in

developing and implementing educational master plans in meeting Lau compliance are as follows: the improvement of district goals, effective communication, involvement in decision-making and the receptiveness of a district to planned change.

Power Coercive Approaches to Effecting Change

There are a number of power-coercive strategies that have been used by groups, the federal government and individuals to enforce their power or to seek to enlarge their power base. These strategies have been identified under the categories of strategies of nonviolence, use of political institutions to achieve change, and changing through the recomposition and manipulation of power elites.

Strategies of nonviolence seek change in situations that are seen as unfair, unjust, or as a cruel system of coercive social control through dramatization of the situation that calls for the rejection of the system by publicly and nonviolently witnessing and demonstrating against it (Bennis, Benne, and Chin, 1969). Nonviolent coercion strategies have been used by Thoreau, Martin Luther King, and Cesar Chavez in their struggle to change the unjust treatment of people.

The use of economic boycotts has been an important tool of the advocates of nonviolent coercive change in

demonstrating against the injustices or inequities in existing patterns of social control.

The use of political institutions is the most known strategy in American society for bringing about social change. Changes in policies through legislation, administrative orders, and judicial decisions can affect millions of people as in the case of the Brown v. The Board of Education decision declaring that segregation according to race is unconstitutional. The problems that arise with the use of political institutions to effect changes are twofold. One is the overestimation by change agents of the capability of political action to effect changes in practice. In the Lau v. Nichols Supreme Court decision of 1974, the decision called for the development of districts' comprehensive educational plans to meet the linguistic and academic needs of limited English-speaking students. However, in practice a backlash resistance exists to limit change to the minimal level of services demanded for these students by the law. Secondly, court rulings, legislative mandates, and administrative orders call for the internalization of new knowledge, new skills, new attitudes, new value orientations, changes in norms, roles, and redefinition of relationships among the institutions involved (Bennis, Benne, and Chin, 1969).

Changing through the recomposition and manipulation of power elites is a third power coercive strategy. This

strategy calls for the alienated worker to gain consciousness of his/her social and political condition towards the necessity of power-coercive strategies in achieving fundamental redistributions of socioeconomic power or in recomposing or manipulating power elites in a society (Mills, 1956). Modified versions of this strategy are the use of teacher unions' efforts in collective bargaining in order to offset the centralized decision-making power of the school district.

Summary. The use of political institutions to achieve change is the most relevant power coercive strategy for this study.

The U.S. Office for Civil Rights (U.S. OCR), since Spring 1975, has pressured school districts to affirmatively take steps to meet the educational needs of national minority students. For the most part, districts not pressured by the U.S. OCR will implement limited services to meet the linguistic and academic needs of national minority students. Without legal or legislative mandates school districts provide equal educational opportunity through an equal access approach--providing the same books, facilities, teachers, etc. to all students. The legal role played by the U.S. OCR in the enforcement of the Lau decision has created a counteractive movement in Southern California. School districts through their superintendents

have been applying political pressure to the U.S. Congress and the Office of HEW to allow districts to meet the Lau v. Nichols decision through their own time-lines and existing programs. Thus, a power-coercive condition exists in the planning and implementation of a district's educational master plan to meet the Lau v. Nichols Supreme Court decision of 1974.

Conclusion

The major topics presented in the review of literature on this study focused on organizational development and planned change as a strategy of social intervention. The literature reviewed for the most part dealt with organizations that are not involved with education. However, the review of the literature revealed important studies relevant to the purpose of this study. Specifically, the Rand Corporation studies on Federal Programs Supporting Educational Change and the work of Fink, Beak, and Taddeo (1971) form a conceptual framework for describing and dealing with organizational crises. The Rand studies and the framework of Fink, Beak, and Taddeo will be used for discussing the major characteristics of an educational planning and implementation process that guide school districts in resolving bilingual desegregation problems related to language.

The next two chapters of the dissertation will present (1) the basic characteristics of educational planning process for bilingual desegregation and (2) the supportive school districts' organizational climate and motivational characteristics for bilingual desegregation. The two chapters will have, and follow, as their common framework four stages of a planning process; three suggested by the Rand Corporation studies (Initiation, Implementation, and Incorporation) and a fourth stage that addresses the value position taken by a district in responding to noncompliance with the Lau v. Nichols Supreme Court decision.

Each of the chapters will identify major characteristics derived from the review of the literature, and a two-year involvement through the Region G Lau Center in providing technical assistance to fifty-four school districts in Southern California found in noncompliance with the Lau decision. A latter chapter will analyze the relationship of the identified major characteristics for bilingual desegregation to the four-stage planning process within the context of Lau compliance.

CHAPTER III

IDENTIFICATION OF BASIC CHARACTERISTICS OF
AN EDUCATIONAL PLANNING PROCESS FOR
BILINGUAL DESEGREGATION

In the implementation of the Lau v. Nichols decision
the Office for Civil Rights has the task of enforcing
Title VI of the Civil Rights Act of 1964. The enforcement
of Title VI regulations calls for affecting change within
given school districts to meet the educational needs of
LES/NES students.

A review of selected literature in the area of power-
coercive approaches to effecting change suggests that
change comes about when political and economic sanctions
are imposed upon those who break the law (Bennis, Benne,
and Chin, 1969; Mills, 1956). For example, a law passed
against racial imbalance (Title VI CRA '64) in the schools
brings legitimate coercive power behind efforts to
desegregate the schools, threatening those who resist with
sanctions under the law and indirectly reducing the
resistance of others who are morally against breaking the
law.

In reference to the Lau decision, the U.S. Office for
Civil Rights (U.S. OCR) exercises coercive influence over
the decisions of local school officials in regard to its
compliance with the Lau decision. A district's refusal to

comply with the Lau decision can result in the removal of all federal funds being received by the school district. Thus, in almost all cases a district is faced with the imperative to comply with federal regulations (Wirt and Kirst, 1972). In effecting change within a district the U.S. OCR under the Lau decision requires districts to develop master plans to meet the educational needs of LES/NES students. To the degree that a district can negotiate the development and implementation of an educational plan with the U.S. OCR, the coercive role of the U.S. OCR diminishes as well as its power-coercive influence for effecting change (Crocker et al., 1976).

The planning stages in developing and implementing an educational master plan become essential to the budget allocations of a school district found in noncompliance by the U.S. OCR. This chapter identifies the important characteristics which a planning process for effecting educational change must consider. These characteristics were selected from the review of literature chapter and from a personal two-year experience in working actively with over fifty-four school districts in noncompliance with the Lau decision in Southern California.

The four necessary stages that a planning process must consider in developing and implementing an educational master plan within the context of the Lau requirements are as follows:

1. Determination of Legal Requirements for Title VI
    (CRA '64) Compliance

2. Initiation of Compliance

3. Implementation of Compliance--An Educational
    Master Plan

4. Incorporation of Compliance--Continuation of
    Educational Master Plan

Each of the four stages has characteristics that contribute
to the planning process and are described in the order of
their implementation.

Determination of Legal Requirements

The value position taken by a school district when
notified of their noncompliance status with the Civil
Rights Act of 1964 becomes an important indicator in regard
to how a district will approach compliance requirements. A
district may take one of four positions: (1) aggressively
denying any wrongdoing; (2) ignoring the violations all
together; (3) bureaucratically responding to OCR by super-
ficially addressing the violations; or (4) by taking
positive affirmative steps in complying with the violations.
A general rule in working with a district found to be
violating federal Title VI regulations is that district
personnel can be made to change through federal mandates;
however, a district cannot be made to want to change.

A district that superficially addresses its violations of Title VI regulations generally makes a conscious effort to meet only the most minimal intent of the law. For example:

> In March of 1976, a district in Imperial County upon notification of its noncompliance status, in a general meeting with all district staff, openly announced that its commitment to OCR in complying with the Lau decision was to be no more than a paper plan.[1]

Districts that aggressively deny any wrongdoing may take a political and public position by publicizing that they are being harassed by OCR. Politically, such districts through their school board and the state school board association have gone on record as stating that OCR used confusing procedures and misled districts through survey forms in obtaining information on Lau requirements.

> A district in Orange County argued that the only reason they were found in noncompliance under the Lau decision was due to an arithmetic error on their part. If they had known that the HEW OS 53-74 form was to be used against them, a review of the form would have been done by legal counsel.[2]

Those districts ignoring the violations under Title VI regulations often resort to legal counsel and direct

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[1]Excerpt was taken from the Region G Lau Center summary reports of services provided to a district in Imperial County. All other excerpts will not be given their source of reference in order to preserve the anonymity of the district being discussed.

[2]U.S. OCR Form OSCR 101-102 (Ethnic Survey) and HEW #OS 53-74 (Instructional Services for students whose Primary language is other than English).

political pressure through their Congress-person in an effort to change their noncompliance HEW/OCR status, with success in some cases:

> A district superintendent in Riverside County informed its administrative staff to keep their Congressional representatives well informed of federal regulations and procedures which seem to conflict with local control in an effort to avoid Lau non-compliance.
> A member of the U.S. Congress in support of this district stated, "It's one thing to require school districts to comply with the law; it's quite another to issue directives that go beyond the law."

A fear expressed by these districts is that federal control of local programs is a potentially serious concern unless California school districts unite under expert legal and political coordination. The claim is also made that OCR has demonstrated a lack of understanding of the school districts which OCR's bureaucracy is attempting to regulate by replacing local control and development of instructional designs through fiats from the Office of Education.

Districts that proceed to take affirmative steps to comply with the Lau decision, initiate activities that enable them to meet OCR Lau requirements. The activities undertaken vary from meeting with OCR, visiting the Lau Center, and forming a task force committee to work on Lau compliance, to budgeting resources for the development and implementation of the Lau educational master plan. The value position of these districts is one of awareness and

responsibility to comply with laws that have been enacted by Congress and to abide by judicial rulings handed down by the courts.

> One district announced through its local press that the district was in non-compliance with the Lau decision but in such a case the district was going to take "progressive and dynamic steps in meeting the needs of Lau students. Changes are continuous and in the area of identification and treatment of children with language needs, changes will be implemented."

These districts approach their noncompliance status as a task that needs to be accomplished regardless of their political or administrative attitude towards OCR and the Lau decision.

Initiation of Compliance

The value position taken by a district in response to noncompliance under the Lau decision will set the conditions by which the district will respond to OCR. Where the central office administration of a district is uncommitted to the compliance requirements of OCR the results will most likely perpetuate existing conditions of the district. In the case where the district defines goals for compliance and operationalizes the advocacy of the goals through district resources, the results will generally demonstrate affirmative compliance steps taken by the districts in meeting OCR Title VI regulations.

Fullman (1972), Sarason (1972), and Bennis, Benne, and Chin (1969) suggest that the pressure to comply with OCR regulations is more typically initiated outside the school district rather than by assessment of internal district needs. The pressure from the outside in regards to the Lau decision comes from the target school-community and from OCR. In the case of the community the pressure is expressed through critical assessment of the educational services being provided to their children by the school system (e.g., incompatible instructional programs, curriculum, teacher competencies, counseling services, and administrative responsiveness and sensitivity to the school community). The pressure applied by OCR is in the form of a legal requirement for compliance with federal law within a 210-day period upon receipt of a letter of noncompliance.

Thus, a district is faced with a 210-day time period to initiate and develop an educational master plan to meet OCR compliance. The initiation of compliance stage as based on the review of selected literature in the field of organizational planning (Lippitt, 1973; Bennis, 1966; School Climate Improvement, 1975; Temkin et al., 1975) and the Region G Lau Center technical assistance process (Ochoa, Romo, and Mazón, 1976; Ochoa et al., 1977) suggest the following ten factors under the characteristic of systematic planning approach:

1. The identification of the areas of noncompliance
   (defining the problem[s]).

2. Orientation to districts' needs for meeting Title
   VI (CRA '64) compliance (defining participation).

3. Specification of personnel and school-community
   representatives to participate in the development
   of an educational master plan (establishing a
   planning group).

4. Specification of compliance goals (goal setting),
   enabling objectives and activities to achieve said
   goals.

5. Needs assessment of student characteristics
   (language and achievement) in response to the
   areas of educational incompatibilities as
   specified in the district's letter of noncom-
   pliance (specifying needs).

6. Specification of needs as based on the results of
   the needs assessment (determination of needs).

7. Development of an educational master plan for
   bilingual desegregation to meet Lau compliance
   in the areas of curriculum, instructional programs,
   staff training, community relations, counseling
   and guidance and administrative re-organization
   (development of plan).

8. Specification of resources for implementing an
   educational master plan for bilingual

desegregation (specification of enabling resources).

9. Specification of a time-line, personnel, and a management system for implementing an educational master plan for bilingual desegregation (establishing a management system).

10. Specification of procedures for implementing an educational master plan.

For a description of the planning process followed by the Region G Lau Center for operationalizing the Initiation stage of the planning process for bilingual desegregation, please refer to Appendix E.

The first factor of the systematic planning approach characteristic focuses on the areas in which a district was found by OCR to be in noncompliance with Title VI regulations. This initial step requires clarification of type and extent of the violation and of what needs to be done by the district to meet compliance. Most California districts are found in noncompliance under the Lau decision for:

1. Inadequate identification and improper linguistic assessment of students whose primary or home language is other than English.

2. Retention of students in the lower grades because primary or home language is other than English.

3. Violation of individual rights and/or discriminatory practices against district personnel.

4. Denial of equal educational services based on the insufficient operation of a program designed to serve the language needs of students who speak little or no English.[3]

The identification of district violations directs the minimal effort needed to achieve _Lau_ compliance. The effort is complex and requires time.

> A district with over 50,000 students in Los Angeles County found in non-compliance for improper identification of the primary or home language was required to determine the home language of each of the 50,000 students and cross-validate the results with other procedures to determine the dominant language of each student. At least two months of work was required to comply with this OCR request while involving twelve professionals full time. Once this activity was completed the district was requested to provide educational programs to meet the educational and linguistic needs of each student.

Thus, in order to initiate and understand the complexity of _Lau_ compliance and its implications to the district, the second factor of the systematic planning approach becomes imperative.

The orientation to a district's needs for meeting Title VI compliance involves direct communication with the school board, district administrators, teaching staff, and

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[3]Based on a review of fifty-four letters of noncompliance under the _Lau_ decision.

target community. The communication addresses desegrega-
tion issues and information as to the noncompliance status
of the district, the implications of compliance, steps
towards meeting compliance, and the necessary involvement
of district role groups in developing and implementing an
educational master plan.

A district in San Bernardino County found in
noncompliance did not notify the school board until
two months after their receipt of a letter of non-
compliance. District administrators were informed
of Lau non-compliance a month after the school
board, and teachers five months after the receipt
of the letter of non-compliance.
The community was not involved in providing
input until a year had elapsed. The consequence of
this lack of communication as to Lau non-compliance
created problems for the district that ended in the
resignation of the assistant superintendent who was
in charge of the district's effort to comply with
the Lau decision. Another factor contributing to
the districts' limited effort in addressing the Lau
decision had to do with the priority given to
teacher contract negotiations.

The third factor, the specification of personnel and
school community representatives to participate in the
development of an educational master plan is a sensitive
and political issue. The involvement of persons in the
development of an educational master plan requires a school
community analysis as to who exerts influence, respect, and
leadership in the educational process of the district.
Role groups such as teacher unions, community leaders,
advocacy groups, church and political leaders, district
administrators, business leaders, and PTA are all interest
groups that exert a great deal of influence in the

governance and delivery of educational services of a
district. The involvement of the above role groups in the
development of a Lau plan becomes critical if it is to be
implemented.

> A district in Riverside County was afraid to
> involve the community in their Lau Steering
> Committee because a group of Anglo parents were
> critical of the district's administration.
> A large district in Southern California with
> a very ethnically diverse community chose to
> completely ignore community.
> In another district, teacher unions became
> the role group that was critical of Lau compliance
> because of federal and state staff development
> requirements to meet the linguistic and cultural
> needs of the school community.

Since each district plan must have the approval of the
school board before it is sent to OCR, the district person
responsible for district compliance becomes an indicator
as to how serious a district approaches Lau compliance.
Persons assigned this responsibility without decision-
making power will face problems in the development of the
plan since every activity of the plan will require approval
from district decision makers.

The fourth factor, the specification of compliance
goals, enabling objectives and activities to develop and
implement the Lau educational master plan is the first
function of the selected committee (Steering Committee)
representing the principal role groups of the district
community. The determination of goals and parameters for
compliance is a necessary step for addressing the areas of

violations under Title VI regulations. The goals that are specified by the Lau Steering Committee serve as guiding parameters for the district to focus in developing and implementing an educational master plan. The goals that fail to reflect the areas of violation under the Title VI regulations and the NEW/OCR Task Force Remedies will result in enabling activities that will produce an educational master plan that is incompatible with OCR requirements for Lau compliance.

> A number of Lau educational master plans have been rejected by OCR for failure to address the recommended guidelines specified under the HEW/OCR Task Force Remedies. Also, in the process of goal setting, many districts tend to emphasize rhetorical humanistic goals that are difficult to operationalize or goals that are "safe" to implement.

The determination of enabling objectives and activities to operationalize goals is another crucial step towards developing a Lau plan. This step requires the leadership of the district and of the Steering Committee to mutually negotiate the thoroughness of the activities to be undertaken, the necessary cooperation and the Steering Committee's access to personnel, data, and resources that are needed to accomplish the goals of the Committee.

> In a number of districts in Southern California, the process for developing an educational master plan has resulted in the district's either manipulating, cooperating, or following the advice and recommendations of the Lau Steering

Committee. In cases where manipulation of a Lau Steering Committee is an issue, the results generally create bad public relations and public accusations.

The fifth factor is the needs assessment of student characteristics in response to the areas of educational incompatibilities as specified in the district letter of noncompliance. This step addresses three questions: (1) What is the status of the educational services for Lau students vis-a-vis the letter of noncompliance? (2) What educational services should Lau students be receiving? and (3) What is the discrepancy between what is and what should be in regards to district educational services for Lau students? The degree to which a district addresses these three questions in a comprehensive manner will determine how accurately the educational plan will reflect the existing needs of Lau students, meet compliance and provide quality services.

A Steering Committee in a district in Los Angeles County developed a very comprehensive needs assessment survey only to be disapproved by the Superintendent on the grounds that it would generate questions and criticism from Anglo parents and teachers. Three months of work and broad based involvement was wasted by lack of district commitment and leadership.

The sixth factor is the specification of needs as based on the results of the needs assessment. The assessment of educational needs derived from the implementation of the needs assessment step provides the Lau Steering Committee with specific information and data to develop a

district-wide Lau educational master plan that addresses
the HEW/OCR Task Force Remedies and the specified district
goals for meeting Lau compliance.

> A district in Riverside County upon identifying
> the areas of needs to meet Lau compliance was
> faced with contradictory information derived
> from a needs assessment survey of teachers,
> school administrators, community parents and
> students in the area of bilingual education vs.
> the teaching of English. The power structure
> of the district reacted negatively to the
> findings of the survey generating a number of
> local newspaper articles calling for OCR and
> the Lau Center to leave town.

The seventh factor, the development of an educational
master plan for bilingual desegregation to meet Lau
compliance, addresses the areas of language determination,
staff training, community relations, counseling and
guidance and administrative re-organization. These areas
are related to the needs assessment question of what should
be the district's educational services for meeting Lau
compliance. In this step, the content of each component
of the Lau educational master plan is written in a manner
that incorporates all of the previous six factors in a
comprehensive manner. To facilitate the development of
each Lau component, the Lau Steering Committee is broken
down into various task force committees. These committees
include representation from each of the principal role
groups of the district community and are given the
responsibility to write a specific component of the Lau
plan.

The representation and leadership of each task
force committee has direct implications as to
what is written in a Lau plan. In a district
in Santa Barbara County, the Administrative
Re-organization Task Force Committee was
composed of mostly district administrators who
refused to deal with the issue of school
finances on the grounds that only the school
board could deal with such an issue.

The consolidation of all Lau components into an

educational master plan becomes the responsibility of the

coordinating committee of the Lau Steering committee

composed of representatives from each Task Force Committee

and the district Lau coordinator.

The eighth factor, the specification of resources for

implementing an educational master plan for bilingual

desegregation, is a critical enabling source for

determining if the Lau plan will be implemented or become

a district paper plan. This step is the most sensitive and

critical to the district's administration and school board,

requiring the re-allocation of district funds and the

specification of resources for implementing the Lau plan.

Most school districts express a need for federal
and state categorical funds for financing the
implementation of a Lau educational master plan.
The use of locally generated monies (ADA) is
generally seen as a long range enabling step
that will be dealt with over a period of three
years. The problem that is generated due to the
dependence on federal and state categorical funds
for implementing a Lau plan is twofold: the
federal government requires a district to imple-
ment their Lau plan with or without federal and
state categorical funds and to use the ADA
generated by the Lau students. In many cases
this means $5 to $60 million dollars of ADA monies.

The ninth factor, the specification of a time-line, personnel, and a management system for implementing an educational master plan for bilingual desegregation, addresses four basic questions: (1) Who is responsible for implementing each component and activity of the Lau plan? (2) When is each component and activity of the Lau plan to be implemented? (3) What are the resources necessary for implementing the Lau plan? and (4) Who is responsible for providing the resources for implementing the Lau plan? The thoroughness of a district's answer to each of the four questions provide for the organization and implementation of the Lau plan in a systematic way.

> A district in Orange County, in the specification of responsibilities for implementing the Lau plan, gave primary responsibility to an administrative intern with no decision-making power and housed under the Compensatory Programs Office. The district has had limited impact in implementing their Lau plan.

The success of a district in involving the principal role groups of the district-community is reflected in this step when district personnel is given the responsibility for implementing the Lau plan.

The tenth factor, the specification of procedures for implementing an educational master plan, addresses the administrative issue of how the Lau plan will be implemented and what the district staff and community involvement is going to be in the implementation of the Lau plan. This step sets the stage for the actual operationalization of

the Lau plan.

> A number of districts in Ventura, Los Angeles,
> Riverside, and San Diego Counties have developed
> educational master plans to meet Lau compliance
> that have been accepted by the OCR but have not
> been implemented. Only the threat of an OCR
> follow-up on-site review keeps these districts
> from broadcasting their feelings as to how they
> feel about complying with Lau decision.

Under the Initiation of Compliance stage most

districts in noncompliance with Title VI regulations

generally follow all or most of the ten factors outlined

under this stage of the planning process. Since a district

is faced with the OCR 210-day time period to develop its

Lau master plan, OCR plays a major role in motivating

districts to involve their decision makers in the planning

process. Those that do not follow a systematic planning

approach are districts that are going through the motions

just in case they are found in noncompliance with the Lau

decision.

Implementation of Compliance-- Educational Master Plan

Upon the approval of the Lau educational master plan

by the school district board of education and OCR, the

district is responsible for notifying OCR of the progress

made in implementing the Lau plan sixty days after school

begins each year and thirty days after the last day of each

school year for a period of three years. However, once the

Lau educational master plan is developed and approved, the

harsh reality confronts the institutional setting of the district. How does the district undertake the task of translating the paper plan into practice?

The planning process that involves the implementation of the compliance plan is defined as the change process that occurs when the district's responsibility to operationalize the Lau educational master plan and the organizational structure of the district interact. Berman and McLaughlin (1975b) suggest that the implementation of an innovation must be a give-and-take on the part of the institution that must adapt to the demands of the innovation. Likewise, the innovation itself must adapt to the institutional setting and organization of a district. Thus, the implementation of compliance is a process of mutual adaptation. Three characteristics serve to describe the stage of implementation of compliance:

1. Specification of scope of proposed organizational change required by the Lau plan.

2. Mutual adaptation of the Lau plan and the organizational setting.

3. Implementation strategy to operationalize the Lau plan.

The first characteristic focuses on the specification of scope of the proposed organizational change required by the Lau plan. Four factors are suggested by the Rand studies for the implementation of innovation:

1. Centrality of goals. This involved a compatibility between district goals and the goals of the Lau educational master plan.
2. Nature and extent of staff and program change. This includes the extent of change required of the district to meet Lau compliance.
3. Complexity of change required. This encompasses short and long range implementation of educational programs and services required of the district to meet Lau compliance.
4. Consonance of Lau educational programs and services vis-a-vis target community needs. (Berman and McLaughlin, 1975b:15)

The centrality of goals in the implementation of Lau compliance calls for the leadership of the district to determine the degree of compatibility the Lau plan will have in operationalizing its goals. According to Watson (1966) a school district's resistance to the goals of an innovation is reduced if the personnel of the district see the organizational change required by the innovation as being compatible with the goals and values acknowledged by the district staff. To the degree that the goals of the district and of the Lau plan are incompatible, resistance to implement the plan will be voiced. If the conflict is not resolved, certain district role groups will campaign actively to force their interpretation as to what should be implemented (e.g., community groups, teacher unions, district administrators).

In a district in Los Angeles County the school board approved the Lau plan without the support of the main teacher union of the district. The school board approved the Lau plan that called for a comprehensive program to implement bilingual maintenance programs while the teacher

union advocated English as a Second Language
instruction to comply with Lau. The teacher union
mobilized its teachers against the school board
and had workshops on "The Lau Decision or How to
Lose Your Job," and made the issue a negotiating
concern in the collective bargaining process.

The issue of compatible goals between the district and
the Lau plan is closely related to the second factor of the
determination of scope of proposed organizational change.
The nature and amount of staff and program change required
to meet the educational needs of Lau students is another
political issue that confronts the implementation of the
Lau plan. If the plan calls for certified teachers who
have specific competencies in bilingual-multicultural
education and instructional programs utilizing a different
curricula and approach, the issue of when, who, and how it
will be done by the district creates a climate of
uneasiness and friction among district personnel,
administrators, and the target community. Although time-
lines are specified for the implementation of Lau
components, legal issues such as the tenure system,
collective bargaining, school finance, federal and state
regulations, and testing procedures complicate the efforts
of meeting Lau compliance.

> Districts throughout Southern California are
> extremely sensitive to teacher union pressures
> and although federal law supercedes state laws,
> districts are afraid to implement Lau plans too
> quickly in order not to create a confrontation
> with the teacher unions in their collective
> bargaining negotiations.

The rationale of a district in Los Angeles County to plan over a period of two to five years was based on its inability to implement its affirmative action plan due to a decrease of student enrollment, no federal assistance to assist their "disadvantaged" bilingual students, and the lack of parental involvement in the school community.

The complexity of change required over a period of less than a year to three years to show affirmative improvement in a district is a logistical issue of time, personnel, resources, and district commitment. Due to the enormous gap in academic achievement between the non-minority and minority students within any given district,[4] under _Lau_ compliance a district is required to delineate short-and long-range goals and enabling activities. To the degree that a district allocates sufficient resources and personnel to implement its Lau plan, the quality of educational services provided will reflect such a fiscal and personnel commitment.

> A district in Imperial County in a heavily popu-lated Spanish-surname community was alarmed by its commitments to OCR while having less than five certified bilingual teachers among a staff of over one hundred teachers and attempted to have a Lau Center intervene in their behalf. Other districts create a dependence on federal and state categori-cal funds (such as ESEA Title I, Title VII, and Title IV) to implement programs for Lau students and hired aides to assist monolingual English speaking teachers in dealing with Lau students.

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[4]For example, the academic expectancy for a minority student in most districts in California is generally below the 50 percentile on standardized tests, while for the nonminority student the expectancy is generally above the 50 percentile.

Consonance of Lau educational programs and services vis-a-vis the needs of the target community can take two perspectives. Those districts sensitive to the minority target community will involve its leadership and parent groups in the design and implementation of bilingual-multicultural programs.

> A district in Los Angeles County in order to identify the instructional programs that were compatible with the characteristics of the target community involved community leaders in a series of meetings, workshops, and conferences in order to define goals and program designs for their Lau plan. The involvement of the target community created a support group for the district in counter-acting the district's teacher unions in their attempt to dilute the efforts of the district in meeting Lau compliance.

Districts that take a condescending attitude towards the minority target community take the position that the district knows what is "good for these people."

> The cries of "America: love it (learn English) or leave it (go back from where you came)," are voiced by hundreds of districts' administrators, school board members, and teacher unions through-out California. The good and correct curriculum is translated as the 3 R's taught in English and by English speaking models.

The second characteristic, mutual adaptation of the Lau plan and the organizational setting, addresses the degree of interaction between the Lau educational master plan and the organizational structure of a district. A district can engage in one of three types of adaptive interaction between the Lau plan and the organizational

setting of the district (Berman and McLaughlin, 1975:10).

1. Mutual adaptation. In this interaction the Lau
    plan is adapted into the organizational setting
    of the district, while the district personnel
    also adapt to the demands of the Lau plan.

    A school district in Santa Barbara County
    upon completion of its Lau plan was faced with
    the lack of expertise within the district office
    to implement the Lau plan. The district
    re-organized its administrative staff to open a
    new position at the district office level and
    with decision making power to coordinate the
    implementation of all programs related to
    desegregation and bilingual instruction.
    In another district, each school within the
    district designated a resource teacher to
    coordinate and implement its Lau plan. Other
    districts through the superintendent's office
    provide on-going inservice to their school
    principals on the process of implementing their
    Lau educational master plans.

Mutual adaptation is directly related to the first
stage of the planning process in regard to the desire and
commitment of the district to comply with the Lau decision.

2. Nonimplementation. Here, the Lau plan is not
    adapted within the organizational setting and
    structure of the district due to implementation
    problems.

    A number of districts in the Los Angeles County
    faced with non-compliance letters eagerly
    developed Lau paper plans only to assign the
    implementation of the plan to their bilingual
    coordinator or compensatory program director
    with the directive to integrate the Lau plan
    into their previously existing program. No new
    programs or services were initiated as proposed
    by the Lau plan. Problems arose in regards to

the implementation of a district-wide Lau plan
through existing services designed to meet the
needs of a few schools.

3. Cooptation. In this type of interaction the Lau

    plan is adapted into the district organizational

    setting that is indifferent and resistant to the

    proposed programs and services specified in the

    plan sent to OCR.

A district in Orange County through educational
associations and the press openly opposed the
task of developing a Lau educational master plan
to meet Title VI regulations. However, in 1976,
the district completed the plan and was approved
by OCR. The district has not taken any steps to
implement the plan, but claims the Lau plan has
been implemented through the existing district
programs.

Cooptation of a Lau plan is generally a result of the
resistance to bilingual desegregation issues and programs
that pose a threat to the autonomy and values of a
district.

In the third characteristic, districts that are able
to provide district-community leadership in accepting the
issues and mandates of their noncompliance status with
Title VI regulations and the Lau decision undertake the
task of implementing a strategy to operationalize their
Lau plan. This characteristic of the implementation stage
of the planning process consists of the following factors:

1. Critical participation--the participation of staff

    and district decision makers in the promotion and

    support of the implementation of the Lau plan to

establish a norm for change in the district.

2. Adaptive implementation strategy--the planning and implementation of activities that are flexible, adaptive, and congruent with the Lau plan through established channels of communication and a continuous process of planning.

3. Resource re-allocation--re-assessment and adaptation of fiscal, personnel, and curriculum resources to deliver the educational services outlined in the Lau plan.

4. Articulation of educational services--the integration and coordination of programs and services in the district and across schools into a district-wide comprehensive educational plan for serving all students.

The critical participation factor focuses on the internal dynamics of the school district related to who becomes involved in the implementation of the Lau plan and who exerts negative or indifferent attitudes towards the Lau plan. The more district and school personnel are involved in the implementation of the Lau plan the greater is the chance that a district norm will be established to respond to the educational needs of Lau students.

> In a large district in San Diego County, the
> district and staff commitment to implement the
> Lau educational master plan is strong; however
> a public relations effort is an on-going
> activity of the district in order to respond

to the fears and the racist statements voiced by
the district-community regarding desegregation
and the Lau decision. The reaction of the
district-community towards Lau has made teachers
involved in the implementation of the Lau plan
feel isolated and defensive.

The adaptive implementation strategy calls for an
enabling ongoing process of communication among district
personnel in which a forum for re-assessing the imple-
mentation and monitoring of the Lau plan is provided.
Regular meetings make the implementation stage a continuous
process in which achievements, problems of implementation,
and modifications are discussed and made to facilitate the
operationalization of the Lau plan.

A district in Los Angeles County due to the lack
of communication among district administrators
and school personnel have failed to implement
their Lau plan because three different groups
within the district are implementing different
components of the plan. Since all of the three
components are interrelated (language determi-
nation, program options, staffing) the plan has
not been operationalized.

The resource re-allocation factor requires the
re-assessment of the district budget, personnel, and
curriculum vis-a-vis the Lau student characteristics
(socio-cultural background and language achievement).
Every student in California generates on the average of
$1,200 (ADA) per year from local and state taxes for the
district budget; thus, resources are available.

The resource re-allocation of ADA to meet the
educational needs of Lau students in the areas of bilingual

teachers and developing bilingual-multicultural curriculum
are two major enabling areas that determine if the Lau plan
will be operationalized.

> A district in San Bernardino County with over 2500
> Lau students depends on state and federal monies
> and minimal ADA funds for providing educational
> services to Lau students. If the flow of state
> and federal monies stops, the district plans to
> terminate most of its bilingual educators, while
> generating 3 million dollars of ADA from the
> district's Lau students.

The articulation of educational services calls for the
integration of the Lau plan into the district educational
programs. The integration of the Lau plan requires that
the district adapt to the demands of the Lau plan as the
plan adapts to the district curricula. Failure to
integrate the Lau plan into the district's educational
setting results in remedial band-aid programs labeled as
compensatory. Multicultural educational services and
programs perceived by district personnel as desirable and
compatible for all students will have the budgetary and
attitudinal support of the district.

> A district in San Luis Obispo County integrated
> its Lau plan into the Migrant Education and
> Title I programs on the basis that the Lau plan
> met the criteria set by these programs. The
> district personnel perceive these programs as
> compensatory and for Mexican children.

The four factors of the implementation strategy to
operationalize the Lau educational master plan are inter-
related and interdependent, with each factor serving as
a catalyst for the implementation stage.

Incorporation of Compliance--
Educational Master Plan

The Incorporation of Compliance is the fourth stage of the planning process for developing and implementing an educational master plan to meet the Lau decision. This stage focuses on the commitment and continuation of the Lau educational master plan after pressure from OCR has subsided and the implementation of the Lau plan has been ongoing for at least one year. The Rand studies (Berman and McLaughlin, 1975a:14-29) suggest four characteristics that have a strong influence in the incorporation of a Lau plan into the district's organizational setting:

1. District support for the incorporation of perceived successful instructional services.
2. Financial resources allocated for the continuation of instructional programs and educational services.
3. Importance ascribed to the instructional programs and educational services provided through the implementation of the Lau plan.
4. Organizational political forces inhibiting or promoting the instructional programs and educational services of the Lau plan.

The Rand studies further suggest that a Lau plan perceived as successful by the district administration, that has the support of the district staff, and that can be implemented without burdening the district budget, will likely be continued by a district (Berman and Pauly, 1975).

District support for the incorporation of the instructional programs and educational services outlined in

the Lau plan is influenced by the superintendent and the
district administration who either perceive the Lau plan as
successful during the initiation and implementation stages
or as creating problems for the district. Thus, the
commitment and leadership exerted by the superintendent
throughout the stages of the planning process will directly
affect the Incorporation stage (Berman and McLaughlin,
1975a).

> The leadership of school districts in Southern
> California, for the most part, have gone on
> record as opposing bilingual instructional
> programs for limited English speaking students.
> Superintendents who have advocated support for
> programs to resolve bilingual desegregation
> problems are generally advocates of bilingual-
> multicultural education.[5]

The financial support and resources allocated for the
continuation of instructional programs and educational
services of the Lau plan is directly related to the support
and advocacy provided by the district administrative
personnel throughout the implementation of the Lau plan. A
district's administrative leadership can allocate the
appropriate resources to incorporate the Lau plan into the
existing curricula and organizational setting of the
district through the implementation of district policies,
in the hiring of staff, in the delivery of curriculum,
professional inservice of staff, and program offerings.

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[5]"California School Board Association, Survey of
California School Districts Considered for Non-Compliance,
Title VI, Civil Rights Act of 1964," November 1976.

Districts in Southern California with over 5%
minority students receive state and federal funds
that supplement the ADA generated by these
students. All of the funds received by a district
can be pooled to provide for the most comprehensive
educational program that addresses the needs and
characteristics of the minority student population
of the district.

The importance ascribed to the instructional programs

and educational services through the implementation of the

Lau plan serves as an indicator of the district's perceived

value of the programs and services. District support,

leadership, advocacy and fiscal backing of bilingual-

multicultural programs provides for a receptive organiza-

tional setting for incorporating the ongoing implementation

of the Lau plan. Thus, the importance given to such

programs as bilingual-multicultural instruction is closely

correlated to the support, leadership, and fiscal backing

provided by the district administration to the Lau plan.

The administrators of a district in Riverside
County in determining the importance of their Lau
plan stated, "We know from prior experience with
Dutch, Vietnamese and Mexican immigrants that
bilingual instruction is not the most expedient
method of getting these people into the mainstream
of American life. HEW/OCR guidelines are obviously
geared to force the employment of more minority
people. They (OCR) have no right to disrupt our
operations."

The organizational political forces in a district

inhibiting or promoting the ongoing implementation of the

Lau plan serve to pressure the leadership of a district to

respond with their opinion or policies. The political

forces promoting the ongoing implementation of a Lau plan

can be identified as community groups, parents, district
personnal, and court-mandated regulations. Those forces
inhibiting the incorporation of the Lau plan can be teacher
unions, district personnel, community values, community
groups, cost, and staffing requirements. At the incor-
poration stage community groups and teacher unions are the
most influential in pressuring the leadership of the
district to support or to resist the incorporation of the
Lau plan into the organizational setting of the district.

> A major nation-wide political effort on the part
> of school districts is to do away with Lau
> compliance. On August 26, 1977, in the Washington
> Post an article read: "School superintendents
> around the country are breathing easier over the
> news that they will not have to fill out the
> controversial civil rights OS 101-102 forms for
> the federal government this year. In the wake of
> extensive opposition from educators and strong
> pressure from Congress, HEW's Secretary, Joseph
> A. Califano has decided not to require the
> nation's 16,000 school districts to submit
> information about the status of minorities, women,
> and the handicapped for the 1977-78 school year."
> These are the same forms used to identify
> complaint districts under the Lau decision.

The incorporation of the Lau plan into a district's
organizational setting is directly related to the previous
three stages of the planning process. Lau plans that are
initiated with strong district support and have involved
teachers and principals in the development of the Lau plan,
are expected to be supportive of continuing the implemen-
tation of the Lau plan. However, districts that in the
first two stages of the planning process demonstrate

resistance to the development and implementation of a Lau plan are expected to be dormant in meeting Lau compliance.

Summary

Each stage of the planning process--determination of compliance, initiation of compliance, implementation of compliance, and incorporation of compliance--was described in reference to the characteristics of each stage. The four stages and specific characteristics were derived from the review of literature and from two years involvement with over fifty-four school districts in Southern California that were noncompliant with the Title VI (CRA '64) regulations and the Lau decision. The characteristics of each stage of the planning process are presented in Figure 6.

A district that proceeds to comply with the Title VI (CRA '64) regulations and the Lau decision through a value position that positively addresses the areas of Lau non-compliance is expected to involve the most influential role groups of the district during the Initiation stage of the planning process and undertake the operationalization of its respective characteristics. Upon completion and approval of the Lau plan by OCR, the district is faced with the task of instituting the Lau plan into the organizational setting of the district. Under the Implementation stage, the major activities faced by a district are the

STAGES

CHARACTERISTICS

I. Determination of Legal Requirements	II. Initiation of Compliance	III. Implementation of Compliance	IV. Incorporation of Compliance
1. Noncompliance value position taken by school district in addressing Title VI (CRA '64) regulations 1.1 Denial of wrongdoing 1.2 Ignoring violation 1.3 Bureaucratic Positive 1.4 Affirmative Receptivity	1. Systematic planning approach 1.1 Defining the problem 1.2 Defining participation 1.3 Establishing a planning group 1.4 Goal setting 1.5 Specifying needs 1.6 Determination of needs 1.7 Development of educational master plan 1.8 Specification of enabling resources 1.9 Establishing a management system 1.10 Procedures for implementation	1. Specification of scope of proposed organizational change 1.1 Centrality of goals 1.2 Nature and extent of change 1.3 Complexity of change 1.4 Consonance of plan 2. Mutual adaptation of plan and institutional setting 2.1 Mutual adaptation 2.2 Nonimplementation 2.3 Cooptation 3. Implementation of strategy to operationalize plan 3.1 Critical participation 3.2 Adaptive implementation strategy 3.3 Resource allocation 3.4 Articulation of educational services	1. District support 2. Allocation of fiscal resources 3. Importance ascribed to the implementation Lau plan 4. Organizational political force inhibiting or promoting the Lau plan

Fig. 6. Characteristics of an educational planning process for bilingual desegregation.

specification of scope of the proposed organizational change (addressing Lau compliance requirements and their compatibility with existing district services). Another major activity is the mutual adaptation of the Lau plan into the organizational setting of the district (its adaptation to the demands of the Lau plan). Finally, the implementation of strategies to operationalize the Lau plan (essential resources, leadership and staff involvement to implement the Lau plan) must be considered.

A district that is able to tackle the implementation stage for more than one year and successfully adapt to the demands of the Lau plan proceeds to the Incorporation stage. The key issues that need to be addressed by a district in incorporating a Lau plan are the overall district administrative and staff support, district fiscal ADA re-allocations to implement Lau plan components, the importance ascribed by the district to the Lau instructional programs and services. Another area is the organizational political forces within the district community that inhibit or promote the incorporation of the Lau plan into the district organizational setting and structure.

All districts found in noncompliance under Title VI (CRA '64) regulations and the Lau decision are required by OCR to at least complete the first and second stage of the planning process. The third and fourth stages become the

sole responsibility of the district to operationalize with OCR's coercive influence diminishing to two written reports per year. The influence to implement the Lau plan and incorporate it into the district organizational setting and structure becomes dependent on the organizational climate and motivations of district personnel in implementing the Lau decision.

The following chapter delineates those organizational climate and motivational characteristics that parallel the four stages of the planning process and that contribute towards a receptive setting and supportive environment for developing and implementing the Lau plan.

CHAPTER IV

IDENTIFICATION OF ORGANIZATIONAL CLIMATE
AND MOTIVATIONAL CHARACTERISTICS
FOR BILINGUAL DESEGREGATION

A school district's organizational climate and the
motivations of its decision makers play a major role
throughout the four stages of the planning process
presented in the previous chapter. According to Watson
(1966), Argyris (1962), Schon (1971), Blansfield (1959),
and Havelock (1969, 1973a) successful change can occur only
if both the key agents of an organization and the perimeter
staff are receptive to the change process. Where the
decision makers are uncommitted to change, the change
process will only serve to maintain the existing conditions
of the organization.

The organizational climate and administrative commit-
ment of a school district to meet Title VI regulations and
Lau compliance are important characteristics for district
adaptation to the demands of developing and implementing a
Lau educational master plan. In districts where the
organizational climate is hostile or indifferent, very
limited support will be found in realizing a Lau plan. In
contrast, an organizational climate that is receptive
towards the development and implementation of a Lau plan
will support efforts to operationalize the plan. Thus,

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this chapter seeks to identify those organizational climates and motivational characteristics that are especially relevant to the four stages of an educational planning process for bilingual desegregation. The organizational climate and motivational characteristics were derived from the review of literature chapter, from discussions with a panel of experts, and from direct participation and involvement over a period of two years with over fifty-three school districts in Southern California in noncompliance with the Lau decision (1975-77).

A common initial response by a district superintendent to a letter of noncompliance with Title VI regulations is to downplay the described violations in order to safeguard the letter's content from district personnel and the community. Blake and Mouton (1968) and Fink et al. (1971) provide an organizational crises framework to assist an organization to react to crisis (such as a district being found in violation of Title VI regulations and told that failure to comply may result in withholding of federal financial assistance). The organizational crises conceptual framework presented in the review of the literature chapter (Fig. 4, p. 79 [Fink et al., 1971]) has been adapted as a framework for describing the organizational climate characteristics that parallel the four stages of the planning process for developing and implementing an educational master plan within the context of the Lau

decision.

The conceptual framework is presented under Figure 7. The columns parallel the four stages of the planning process described in the previous chapter, as well as the major organizational climate and motivational character- istics which contribute to and affect the development and implementation of a Lau plan. The rows parallel the value position taken by a school district upon receipt of a letter of noncompliance with the Civil Rights Act of 1964.

The conceptual framework assumes that every human system has within it forces for maintenance of the status quo and forces for growth. These forces tend to operate counter to each other, but the balance between maintenance and growth is constantly shifting (Fink, Beak, and Taddeo, 1971). In addition, the value positions taken by a school district in response to noncompliance with federal regu- lations relate to Lewin's (1948) concept of change as a three-stage process of unfreezing, changing, and refreezing. Unfreezing being: creating motivation to change; changing: developing new responses based on new information; and refreezing: stabilizing and integrating the changes.

Organizational Climate and Motivational Characteristics Vis-A-Vis the Four Stages of the Planning Process

Under the first stage of the planning process, the Determination of Legal Requirements, the organizational

	DETERMINATION OF LEGAL REQUIREMENTS		INITIATION OF COMPLIANCE			IMPLEMENTATION OF COMPLIANCE			INCORPORATION OF COMPLIANCE	
DISTRICT VALUE POSITION	Attitude towards Compliance	Community Pressure	Organizational Leadership and Involvement	Attitude towards Planning Process	Effort of Goal Setting and Planning	Communication Flow of Information	Administrative Support and Commitment	Participation of Key Actors	Degree of District Priority towards Education Plan	Congruence Between Priority of Plan and Actual Incorporation
Ignoring Violation: Legal and Hostile	Shock	Active Power Structure	Dormant Leadership and Dormant Involvement	Status Quo	Dormant	Legal and Random	None	Superintendent and Legal Counsel	None	None
Denial of Wrongdoing Political and Hostile	Defensive Retreat	Active Power Structure and Dormant Target Community	Autocratic Leadership and Consultive Involvement	Mechanistic	Expedient and Limited	Procedural and Ritualized	Limited Support and Limited Commitment	Superintendent and District Cabinet	Piecemeal	Minimal Congruence
Minimal Intent: Bureaucratic and Passive	Acknowledgment	Active Power Structure and Active Target Community	Participative Leadership and Consultative Involvement	Opportunistic	Synthesizing Administratively	Contingent Communication Dependent on Need	Support but Limited Commitment	-District Central Administration -Principals -Resource Teachers	Conditional upon Available Supplemental Resources	Some Congruence
Positive Affirmative Steps and Receptivity	Adaptation and Change	Collaborative Power Structure and Target Community	Collaborative Leadership and Broadbased Involvement	Problem Solving	Exhaustive and Integrative District-wide	Continuous Clear and Systematic	Support and Commitment	-District Central Administration -School Board -Principals -Resource Teachers -School Staff -Community leadership	High Level of ADA Resources and Local Effort	High Level of Congruence

Fig. 7. Organizational climate and motivational characteristics.

climate characteristic that has an impact on the planning
process is the attitude of the district towards compliance
with the Lau decision (Fink, Beak, and Taddeo, 1971). The
attitude towards compliance is described through the
following continuum:

> Resistant   ° Shock
>
> ° Defensive Retreat
>
> ° Acknowledgment
>
> Receptive   ° Adaptation and Change
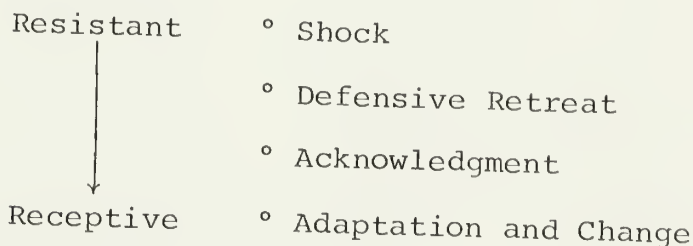
The shock attitude towards Lau compliance occurs when
the district administration becomes aware of OCR's power to
suspend district federal funds. The management structure
of the district is legally threatened and counteracts
through legal channels.

> A district in Los Angeles County took the attitude
> that the Office for Civil Rights should not have
> the power to threaten school districts nor to
> impose regulations which force a school board to
> be unresponsive to public desire and advised their
> attorney to pursue a show cause hearing with
> HEW/OCR.[1]

A defensive retreat attitude towards Lau compliance
mobilizes district forces to exert political pressure on
OCR for the purpose of reducing the legal threat from

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[1]Excerpt was taken from the Region G Lau Center
Summary reports of services provided to a district in Los
Angeles County. All other excerpts will not be given their
source of reference in order to preserve the anonymity of
the district being discussed.

HEW/OCR and not towards resolving the noncompliance status with the Lau decision. The thrust behind a defensive retreat attitude is maintenance of the existing instructional programs and control over external pressures.

An assistant superintendent expressed his concern over the tendencies of federal agencies and/or their representatives to use a heavy hand in forcing school districts to comply with newly developed regulations: "We are very much aware that there are strings attached to our federally funded programs and HEW does not hesitate to pull those strings. I suppose the question before the house is, 'Should a local school district continue seeking federal aid or pull out of the federal programs entirely?'"

The acknowledgment attitude towards Lau compliance recognizes the district's responsibility to comply with the law. The school district experiments with some new educational approaches, in a rather cautious way, in order to meet minimal legal requirements of compliance with the Lau decision. The intent of this attitude is to address OCR pressures and develop and implement educational services to satisfy legal requirements.

A superintendent in Ventura County while acknowledging district efforts to comply with the Lau decision and the laws enacted by Congress, stated that the district did not agree that legislation that had been enacted on court rulings necessarily provided for the best interests of students. He further declared that there is a conflict between some of the requirements being placed upon the district and what may best serve the educational interests of youngsters.

The adaptation and change of attitude towards Lau compliance represents a district setting receptive to the

development and implementation of a Lau educational master
plan that goes beyond meeting minimal legal requirements.
The district proceeds to take affirmative steps in
developing and implementing a comprehensive Lau educational
master plan through a district-wide coordinated process.

> A district in Los Angeles County indicated that
> notification of non-compliance was a challenge
> to be progressive and not static. Changes are
> continuous and changes to meet the educational
> needs of linguistically different students would
> be made.

The organizational climate and motivational character-
istics corresponding to the second stage of the planning
process, Initiation of Compliance, are: (1) community
pressure, (2) organizational leadership and involvement,
(3) attitude toward the planning process, and (4) the
effort of goal setting and planning. The four character-
istics are discussed by Harman and Rosenburg (1973), Mann
(1957), Clasky et al. (1973), Argyris (1962), Schon (1971),
Havelock (1969, 1973a), Likert (1961), Greenwood et al.
(1975), and Lippitt, Watson, and Westley (1961) as
important factors that influence an organization's
operating behavior.

1. Community pressure is created by the community dynamics
    of both the power structure of the district community
    (decision makers) and the target community (that sector
    of the community directly affected ty the Lau decision).
    Community pressure on a school district takes two

approaches: that of pressuring the district to maintain the status quo or that of pushing the district for educational responsiveness and change. Community pressure towards addressing <u>Lau</u> noncompliance is described through the following continuum:

Community Pressure

Resistant 1.1 Active Power Structure

1.2 Active Power Structure and Dormant Target Community

1.3 Active Power Structure and Active Target Community

Receptive 1.4 Collaborative Power Structure and Target Community

1.1 The community pressure exerted on a district by an active power structure is generally expressed through the local press, attendance at board meetings and campaigning for candidates in advocating that OCR and the federal government have no business in local matters and that the function of schooling is to Americanize all children to our democratic system of government in order to create strong citizens.

1.2 An active power structure and dormant target community represents a district that has the strong support of the power structure of the community in denying any wrongdoing and actively

seeks political pressure to challenge OCR. While the target community becomes aware of a district's noncompliance status with the Lau decision, it recognizes its limited information as to its meaning and implication of noncompliance, and is thus dormant in pressuring the district to take serious educational steps to meet Lau compliance.

1.3 An active power structure and active target community represents a district that has two active communities, generally having opposing views, applying pressure to the district. A district can be pressured by the monolingual community to resist any type of educational approach that uses a language other than English on the grounds that it is un-American and contrary to community opinion and support. An active target community takes the counter view that the district legally, educationally, and socially has the responsibility to meet the educational needs and wants of the target community. Pressure can be exerted by confronting district personnel and the school board in open meetings, through the media of communication, through the boycott of classes, through court class action suits, indirect pressure through politicians, etc.

1.4 A collaborative power structure and target

community represents a district that has the
active commitment and involvement of the dominant
decision makers and the target minority commu-
nities, who collaborate in the development and
implementation of an educational master plan to
meet the Lau decision. The collaborative effort
shares information, skills, and decision making in
reaching common educational goals and objectives
for complying with the Lau decision.

Most school districts in California are careful in
involving community persons who speak a language
other than English,or from a target community,for
fear that you invite trouble. Community partici-
pation is equated with federal programs' advisory
committees and the PTA. Other than that, it is
not the function of a target community to decide
what is best for their youngsters. Some districts
even go so far as to speculate that community
advisory committees are obviously geared to force
the employment of minority people. Few districts
under compliance with the Lau decision have
collaboration between the power structure and the
target community.

2. Organizational leadership and involvement focuses on
leadership participation and involvement of district
decision makers in the development and implementation
of the Lau educational master plan. The leadership and
involvement of a district's decision makers and key
personnel at the Initiation stage of the planning
process is an important determinant of a district's
effort to develop a comprehensive Lau plan. The
following continuum breaks down this characteristic
into four levels:

		Leadership	Involvement
Resistant	2.1	Dormant -	Dormant
	2.2	Autocratic -	Centralized
	2.3	Participative-	Consultative
Receptive	2.4	Collaborative-	Broadbased

2.1 With dormant leadership and dormant involvement, the district administration takes a nonparticipative role in involving and communicating with district personnel due to its decision to ignore the noncompliance status and the legal challenge of OCR's ruling.

2.2 A district superintendent takes an autocratic leader-style when s/he centralizes all involvement of the Lau planning process in a few trusting administrators or district personnel.

2.3 The district decision maker that pursues a participative leadership style supports the notion that all key role groups within the district should provide input to the planning process but s/he keeps control of all final decisions. The involvement of district personnel provides for a wider range of influences which may be given fair consideration irrespective of the status of the person holding the opinion.

2.4 The highest level of collaborative leadership

supports the notion that all key role groups
within and outside the district should participate
in providing input to the planning process through
a consensus approach, sharing decision-making
responsibility. Leadership and decision making
are dictated by the nature of the task and the
kinds of resources required to accomplish it.

The leadership style of district decision makers
in Southern California in responding to the Lau
decision has for the most part been autocratic
and participative; carefully selecting personnel
to deal with Lau non-compliance, with very minimal
community input and sporadic on-going involvement
of key district personnel in the planning process.
District leadership and involvement is most
evident when OCR or community pressure is exerted
on the district to comply with the Lau decision.

3. The attitude towards the planning process reflects
incentives, motivations and ways in which a school
district approaches the planning process in developing
and implementing a Lau plan. Four levels of implied
motivations are presented in the following continuum
of attitudes towards the planning process.

<u>Attitude</u>

Low	3.1	Status Quo
	3.2	Mechanistic
	3.3	Opportunistic
High	3.4	Problem Solving

Each of the four levels characterizes a district

attitude, incentive and motivation in developing a Lau plan.

3.1 The status quo attitude reflects a district's unwillingness to develop any kind of Lau plan and sees Lau compliance as irrelevant to day-to-day educational services provided to students.

3.2 A mechanistic attitude towards the planning process mirrors a district's position of just going through the motions to buy time in putting off OCR and Lau compliance. This attitude enables a district to dispose of its noncompliance status for a period of time.

3.3 An opportunistic attitude towards the planning process takes the position that meeting Lau compliance is like writing a compensatory proposal to meet the remedial educational needs of students. Thus, it is easier to play OCR's rules than to fight the federal government. The opportunistic attitude responds to community and legal pressure by going through the planning process, but with little in the way of serious change.

3.4 The problem-solving attitude towards the planning process responds to the educational need identified by individuals in the school community. There is a commitment to diagnose and act upon the

educational needs identified and to effectively plan strategies to resolve needs. An explicit expression of district interest in developing a Lau educational master plan encourages district personnel to take Lau compliance seriously and to work hard to achieve it.

Some districts in Southern California have taken the position that they will work with the local Lau Center as a delaying action and hope that the California School Board Association can bring about a reasonable change in the interpretation in meeting the Lau decision. Another large percentage of districts claim through an opportunistic attitude that once they do something, automatically it will put them in compliance. Lastly, a small percentage of districts through a problem-solving attitude take affirmative steps toward implementing district-wide needs assessments and using findings to develop their Lau master plan.

4. The effort of goal setting and planning focuses on the degree of effort demonstrated by a school district in developing a Lau plan. The district's effort to establish goals and a planning process is directly related to its perceived need to address the Lau decision and the pressure from OCR and its local advisory groups. A continuum of four levels of effort includes the following:

<u>Effort of Goal Setting</u>
<u>and Planning</u>

None   4.1   Dormant

 │   4.2   Expedient and Limited

 │   4.3   Synthesizing and Administrative
 ↓
High   4.4   Exhaustive and Integrative
                District-wide

4.1 A dormant effort of goal setting and planning
     reflects a district position that refuses to
     address a compliance framework for developing and
     implementing a Lau plan. The claim is made that
     the district is providing equal access to educa-
     tion for all students regardless of race, color or
     national origin, and therefore complying with
     federal and state regulations.

4.2 An expedient and limited position towards goal
     setting and planning is approached within a very
     narrow perspective, with the emphasis upon getting
     the paper work done in order to satisfy the
     federal government. Expediency substitutes for
     long-range thinking and forecasting of district
     educational needs.

4.3 The synthesizing and administrative position takes
     a more receptive approach, with the planning and
     goal-setting process going beyond an immediate and
     narrow perspective. This position, in a tentative

manner, begins to address the educational incompatibilities that exist in the district vis-a-vis students who speak a language other than English. The identification of educational incompatibilities serves to identify short- and long-range goals in an effort to develop and implement a Lau plan that meets the educational needs of Lau students. However, the synthesis of the planning and goal-setting approach is looked upon as if it were a special program for a specific population of students due to the difficulties attached to relinquishing safer expedient educational objectives.

4.4 An exhaustive and integrative district-wide position towards the goal-setting and planning process takes a position advocating equal benefits from education for all students. This position implies a district-wide comprehensive needs assessment to identify educational discrepancies affecting linguistically and culturally different students. This planning and goal-setting position avoids the pitfalls of overgeneralization, premature action, and a narrow perspective. This position examines and identifies short- and long-range goals that are necessary to provide equal educational benefits. The goals are then

integrated into a coherent set of plans that
include management and evaluation components to
assure the mutual adaptation of the Lau plan into
the district while the district makes certain
alternations to accommodate the implementation of
the Lau plan.

Goal setting is generally viewed by districts as
an exercise to satisfy community pressure and to
create a feeling of collaboration, and a mechanism
for providing input to the school district. In
some districts, this approach was used to keep
community people busy for a period of over six
months while claiming community responsiveness in
the identification of educational needs. In
districts' court orders to desegregate, goal
setting becomes a philosophical debate involving
the power structure of the district community and
the minority leadership in reference to what is
equal educational opportunity. Few districts,
for the most part, examine and address the concept
of equal educational benefits, although on paper
90% of the districts make such a claim. Thus,
goal setting is often an excuse for coopting the
compliance process that legitimizes paper progress,
with no necessary implementation.

The organizational climate and motivational character-
istics corresponding to the third stage of the planning
process, the Implementation of Compliance, are (1)
communication flow of information, (2) administrative
support and commitment, and (3) participation of key
actors. These three characteristics are identified by the
literature in the field as being critical in determining
whether or not the Lau plan is translated into practice.
1. In reference to the first characteristic, the
   communication flow of information focuses on the amount

and quality of communication passed throughout the various channels of the district in implementing the Lau plan. The flow of information among district personnel is a key factor that determines the effectiveness and climate of interaction among district personnel in implementing the Lau plan (Fox et al., 1973; Schmuck and Miles, 1971; Coch and French, 1948; Likert, 1961; Watson, 1966). The following continuum distinguishes four levels of communication in implementing the Lau plan:

<u>Flow of Information</u>

Closed   1.1 Legal and Random

1.2 Procedural and Ritualized

1.3 Contingent Communication Dependent on Need

Open   1.4 Continuous, Clear and Systematic

1.1 A legal and random flow of information describes a district that is pursuing legal action in challenging OCR's letter of noncompliance while providing carefully controlled information to the community through the press as to its status and problems with OCR. Such a district's communication with the community pictures itself as victimized, and OCR is accused of being the victimizer.

1.2 A procedural and ritualized flow of information describes a district that follows procedural steps in meeting minimal legal obligations and through constricted communication keeps the district administration and personnel informed of its effort to meet minimal compliance with the Lau decision.

1.3 The flow of information, based on contingent communication dependent on need, describes a district that is pursuing Lau compliance and has ongoing communication with district personnel but limited to what the law says and not what is educationally sound for the district. The communication channels are open to all, but the information is only available upon request.

1.4 A continuous, clear, and systematic flow of information describes a district that provides for communication that reflects exactly what is going on. Communication is authentic and congruent in that information does not contradict the events and activities taking place. The continuous and systematic flow of information creates a signifi-cant amount of interaction and communication aimed at achieving district goals and objectives vis-a-vis the Lau plan.

The control of the flow of information is one of
the most guarded procedures of a district. The
quantity and quality of information can control
and/or manipulate the implementation of a Lau
plan. Generally, districts that have community
pressure will have a top district administrator
regulate the flow of information regarding areas
of educational discrepancy and limit the avail-
ability of such information to the district
community.

2. The second characteristic, administrative support and

commitment, focuses on the degree to which the district

administration supports the Lau plan and the degree to

which such support is internalized through an ongoing

commitment to implement the plan. Hershey and

Blanchard (1972), Argyris (1962), Schon (1971),

Blansfield (1959), Kirby, Grain and Harris (1973), and

the U.S. Commission on Civil Rights (1976) address the

importance of a district's positive attitude, support

and commitment towards the implementation of desired

change. The following continuum provides four levels

of administrative support and commitment towards the

implementation of a Lau plan:

<u>Administrative Support and</u>
<u>Commitment</u>

Weak   2.1 None

2.2 Limited Support and Limited
     Commitment

2.3 Support and Limited
     Commitment

Strong 2.4 Support and Commitment

2.1 A nonsupport and commitment position describes a district that is totally opposed to the implementation of any kind of Lau plan.

2.2 A limited support and limited commitment position describes a district that will provide minimal support and commitment to the implementation of a Lau plan. Minimal becomes the least necessary to bring the district into compliance with OCR as defined by law.

2.3 A district that demonstrates support and limited commitment towards the implementation of a Lau plan, is generally a district that abides by any state or federal regulation. Such a district will implement programs to meet a state or federal mandate but will not feel committed to funding such programs through local monies since they are imposed on the district under the name of equal educational opportunity. This position also perceives bilingual desegregation as compensatory.

2.4 A support and commitment position describes a district that has an organizational climate that sees bilingual desegregation as important and vital for the district. Commitment is reflected

through the district budget that allocates
resources and the hiring and/or training of
bilingual personnel for the implementation of
the Lau plan.

Districts throughout Southern California generally
take a position of supporting the Lau plan on the
basis that they have no other choice than to
comply with the law. However, these same dis-
tricts demonstrate limited commitment to implement
a Lau plan due to reasons ranging from no funds
and personnel to the argument that bilingual
desegregation plans violate the constitutional
rights of people under the equal protection clause
of the 14th Amendment of the United States
Constitution.

3. The third characteristic, the participation of key
actors, focuses on the involvement of district person-
nel who hold decision-making positions and personnel
who are important enablers in implementing the Lau
plan. According to Miles (1964), Carlson et al. (1971),
the U.S. Commission on Civil Rights (1964), Cloward and
Jones (1963), Russel and Koopman (1964), Berube (1968),
and Lippitt (1965), key actors in successful change
represents the leadership of both the target community
and the school district. The following continuum
provides four levels of key participants in bilingual
desegregation:

Limited
Participation ————————————————→ Broadbased
                                            Participation

3.1   3.2   3.3   3.4

° Legal   ° Superin-   ° District   ° District Central
  Counsel   tendent   Central   Administration
                                          Adminis-
° Superin-   ° District   tration   ° School Board
  tendent   Cabinet
                                        ° Principals   ° Principals

                                        ° Resource   ° Resource
                                          Teachers   Teachers

                                                            ° School Staff

                                                            ° Community
                                                              Leadership and
                                                              Agencies
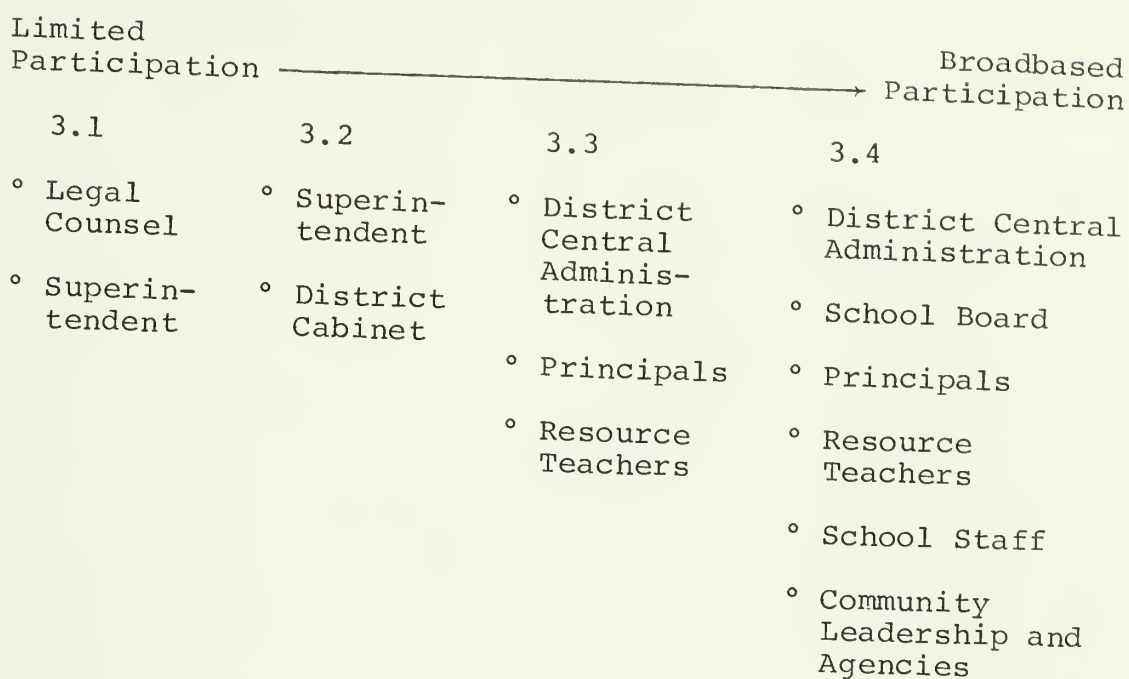
3.1 The involvement of district legal counsel and
     superintendent represents the key actors in the
     participation of any kind of district process in
     addressing the Lau decision. Both legal counsel
     and superintendent control the process for
     challenging OCR in court, while requiring limited
     participation of district personnel.

3.2 The participation of the superintendent and
     district cabinet as sole actors in implementing
     the Lau decision represents a district that
     chooses to centralize its control in order to
     apply pressure on OCR and obtain clearance from
     them as a complying district. Implementation is
     seen as using district categorical programs (state
     or federally funded) to provide instructional

programs for disadvantaged, underachieving students.

3.3 The district central administration, principals, and resource teachers are the key actors of a district that pursue Lau compliance through an intent to implement the Lau plan by meeting the minimal requirements of the law. The implementation of the Lau plan is seen as a compensatory program rather than a district-wide master plan. Responsibility for implementation is given to the bilingual resource teachers, with the principals supervising the services provided to Lau students, and the district central administration monitoring the delivery of services to Lau students.

3.4 Broadbased participation of all role groups affected by bilingual desegregation forms the basis for the involvement of district central administration, school board, principals, resource teachers, school district teaching staff, community leaders and community educational agencies in the implementation of the Lau plan. The active involvement of school principals, teachers, and the participation of the target community, the district school board, and community educational agencies in the ongoing implementation and monitoring of the Lau plan

are indicative of a district's effort in going

beyond the minimal requirements of the law. Equal

educational benefits is the central focus of a

district's effort to implement their Lau plan.

The most important ingredient in successful
bilingual desegregation plans, according to OCR
officials, is leadership, both at the community
level and in the schools. The implementation of
a Lau educational master plan involves adminis-
trative educational change. The school board,
school administrators, political leaders, target
community, and other private and public educational
organizations must explain the law and insist that
it will be enforced. They must ensure that
bilingual desegregation will be achieved through
careful and thorough planning.
Where leadership exists, bilingual desegre-
gation is more likely to be achieved with minimal
difficulty. Where it is lacking, bilingual
desegregation may be accompanied by resistance,
confusion, anxiety and perhaps disruption on the
part of students, parents, and/or teachers
through their unions.[2]

The organizational climate and motivational character-

istics corresponding to the _fourth_ stage of the planning

process, Incorporation of Compliance, are: (1) the degree

of district priority towards the Lau educational master

plan, and (2) the congruence between the priority of the

Lau educational services and the actual incorporation of

the Lau services into the district-wide curricula. These

two characteristics closely parallel the decisions and

motivations that correspond to the three previously

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[2]Discussion among participants at the HEW/OCR General
Assistance Conference on Desegregation, Kansas City,
Kansas, May 1976. (Personal notes by the author.)

presented stages of the planning process. Those district
Lau educational master plans that have support and commit-
ment of the decision makers of the district and the
community, and are seen as positive educational efforts,
will most likely be incorporated into the district-wide
curricula. Those Lau plans that have support but limited
commitment and are dependent on federal or state funding
for implementation will generally become paper plans
(Greenwood et al., 1975; Berman et al., 1975; Crocker et
al., 1976).

1. The district priority assigned to the Lau educational
   master plan reflects the district's commitment to
   institutionalize the educational services provided to
   Lau students regardless of cost constraints. A
   district is more likely to institutionalize educational
   services for Lau students if such services help the
   district solve the problems that it perceives as an
   educational necessity (Greenwood et al., 1975; Harman
   and Rosenburg, 1973; Schmuck and Miles, 1971). The
   following continuum distinguishes four levels of
   priority towards the incorporation of the Lau plan into
   the district's curricula:

<u>The Degree of District Priority towards the
Incorporation of the Lau Educational Plan</u>

Low   1.1   None

           1.2   Piecemeal

           1.3   Conditional upon Available Supplemental
                Resources

High   1.4   High Level of ADA Resources and Local
                Effort

1.1   No priority towards the incorporation of a Lau

plan represents a district that disregards its

legal and educational obligation under Title VI of

the Civil Rights Act of 1964.

1.2   A piecemeal position towards the incorporation of

a Lau plan describes a district that only

incorporates the most minimal and least important

educational services provided to Lau students.

This degree of priority towards a Lau plan closely

parallels a district's administrative commitment

to "go through the motions to get OCR off our

backs."

1.3   A conditional upon available supplemental resources

position depicts a district that implements and

maintains educational services for Lau students as

long as federal or state funds (categorical) are

provided to the district. The district's

educational services are designed for specific

groups of students and through a compensatory

attitude. Limited commitment is made by the
district to use locally generated monies to
provide services to Lau students. A district
incorporates Lau services as long as supplemental
funds are provided to the district.

1.4 A high level of ADA resources and local effort
position describes a district strongly committed
to incorporating Lau educational services to the
mainstream district curricula and providing
available resources to actualize Lau services.
The district is committed to the hiring and
training of professional staff through district
policy and locally generated monies. A district
incorporates Lau services with or without federal
or state supplemental funds.

District educational services that attempt to
replace current educational practices to meet the
educational needs of Lau students are more likely
to be incorporated than those Lau services which
depict additions to existing services. The low
priority of a district's incorporation of Lau
educational services is generally explained by
district administrators as due to cost constraints,
unavailable staff, and program aims not compatible
to local interests and priorities. In districts
where local involvement and a sense of district
commitment towards the educational services is a
high priority, the incorporation of Lau services
into the district's curricula becomes an issue
of re-allocating resources within a designated
timeline.

2. The congruence between priority of Lau educational
services and the actual incorporation of Lau services

into the district-wide curricula is the second charac-
teristic of the Incorporation of Compliance stage.
This characteristic reflects the district's commitment
and its actual practice in incorporating Lau educa-
tional services into the district-wide curricula. The
congruence between priority ascribed to the Lau
educational services and the actual delivery of
services incorporated to the district's curricula
serves as a critical indicator as to the achieved value
position of a district in meeting Lau compliance
(Schmuck and Miles, 1971; Man, 1975; Yin et al., 1973).
The following continuum provides four levels of
congruence between the priority of Lau educational
services and the actual delivery of services:

<u>Degree of Congruence</u>

Low   2.1 None

        2.2 Minimal Congruence

        2.3 Some Congruence

High   2.4 High Level of Congruence

2.1 High negative congruence between priority of Lau
     educational services and actual incorporation of
     Lau services into district curricula depicts a
     district that ignored Lau compliance and is
     legally successful in freezing their noncompliance
     with the Lau decision through legal channels.

2.2 A negative congruence position describes a
district that has limited support and limited
commitment towards the incorporation of Lau
educational services into the district's curricula.
Most of the effort in meeting Lau compliance is
based on legitimizing ongoing district programs
as Lau educational services. This district's
position echoes the equal educational perspective
that holds the student accountable for his/her
academic achievement regardless of the school's
educational services and incompatibilities.

2.3 A positive congruence position portrays a district
that has introduced educational services to meet
Lau compliance into the district's curricula.
However, the educational services meet only the
minimal requirements and are designed to main-
stream the Lau student to the curricula and values
of the district's educational programs. The
dependence on federal and state categorical funds
for incorporating Lau educational services is seen
as a major inhibiting factor in institutionalizing
Lau services as part of the district's curricula.

2.4 A high positive congruence position describes a
district that has an administration, staff, and
community that shares a high level of commitment
and support for the incorporation of Lau

educational services into the district's curricula.
Lau educational services are seen as necessary for
providing equal educational benefits to Lau
students regardless of cost constraints. Through
the re-allocation of staff, resources and
curricula the Lau educational services are
incorporated into the district's curricula.

Summary

The ten identified characteristics describe the
organizational climate and motivational characteristics for
bilingual-related desegregation. The ten characteristics
were selected from the review of the literature chapters,
the Rand reports on federal programs supporting educational
change, and from a two-year period of direct personal
observation and involvement with fifty-four school districts
in Southern California developing Lau educational master
plans for meeting the Lau v. Nichols decision. The
characteristics were selected on the basis of their
importance in contributing and affecting the development
and implementation of an educational innovation. The ten
organizational climate and motivational characteristics
were subdivided into the four stages of the planning
process for bilingual-related desegregation as shown in
Figure 8.

Determination of Legal Requirements	Initiation of Compliance	Implementation of Compliance	Incorporation of Compliance
• Attitude towards Compliance	• Community Pressure • Organizational Leadership and Involvement • Attitude towards Planning Process • Effort of Goal Setting and Planning	• Communication Flow of Information • Administrative Support and Commitment • Participation of Key Actors	• Degree of District Priority towards Lau Educational Services • Congruence between Priority of Lau Services and Actual Incorporation of Lau Services

Fig. 8. Organizational climate and motivational characteristics: summary.

The ten characteristics parallel the four stages of
the planning process and the four value positions taken by
districts in responding to the development and implemen-
tation of a comprehensive Lau educational master plan.
Under each characteristic a four-point continuum was
identified to describe the characteristic and correlated it
to each of the four district value positions.

The ten organizational climate and motivational
characteristics and their respective continuums are not
meant to be absolute, but rather to represent the major
variables that have a direct influence on the planning
process taken by a school district in developing and
implementing a comprehensive Lau educational master plan.
Thus, given a long-term period of time in developing and
implementing a Lau plan, any given district can go through
the various value positions and points under each continuum
of a characteristic. For example, a district can
demonstrate a great deal of activity in each of the stages
of the planning process but have negative to positive
organizational climate and motivational receptivity towards
change (Lau compliance) under any given stage of the
planning process. In examining school districts that are
pursuing Lau compliance, while taking into consideration
the characteristics of the planning process and the
district's organizational climate and motivational
characteristics, a school district can be assessed in

reference to change (Lau compliance) by examining its level of task activity and receptivity toward meeting Lau compliance.

In the following chapter school districts developing and implementing a comprehensive Lau educational master plan will be examined and assessed in reference to their level of organizational activity throughout the four-stage planning process and level of organizational climate and motivational receptivity towards meeting Lau compliance.

C H A P T E R V

AN ANALYSIS OF SCHOOL DISTRICTS' CHARACTERISTICS
OF THE PLANNING PROCESS AND ORGANIZATIONAL
CLIMATE AND MOTIVATIONAL CHARACTERISTICS

This chapter will examine and analyze the effect of the characteristics of the planning process and organizational and motivational characteristics on the four-stage process of Lau compliance. Three questions are addressed in this chapter:

1. What is the nature of school district participation in the Lau compliance process?

2. What is the planning behavior and organizational climate of districts involved in the four-stage planning process of Lau compliance?

3. What have been some specific responses to Lau compliance in terms of the basic characteristics of the planning process and organizational climate and motivational characteristics?

Description of School Districts

School districts in Southern California since July 1975 have been faced with the responsibility for meeting compliance with Title VI of the CRA '64. During the period of July 1975 through January 1978, the Region G Lau Center had provided technical assistance to ninety-four school

districts with over two million students. Of the ninety-
four school districts, forty-seven were school districts
found in noncompliance by the Office for Civil Rights.
These forty-seven school districts represent 87 percent of
the fifty-four school districts in Southern California in
noncompliance. Twenty-one of these forty-seven districts
signed letters of agreement with the Region G Lau Center
formalizing their commitment to long-range plans for
remedying their noncompliant status, based on the Lau
Center's process of technical assistance. This established
an ongoing relationship with districts which enabled
participant observers to analyze the level of district
organizational task activity and organizational climate and
motivational receptivity towards meeting Lau compliance.

The Nature of District Participation
in the Lau Compliance Process

Two vital dimensions were identified that suggest a
school district's potential for achieving significant
results in bilingual desegregation: (1) district organi-
zational planning process (task activity) in meeting
bilingual desegregation and (2) school district
organizational climate and motivational characteristics
favorable to accomplish bilingual desegregation. Of the
ninety-four school districts involved with the Region G Lau
Center, not all districts share an equal commitment to

meeting bilingual desegregation needs. Five different levels of school districts were identified by the staff of the Region G Lau Center. Level I on one end of the spectrum identifies a district that is highly involved toward meeting compliance and receptive to receiving technical assistance; level V identifies the opposite end of the spectrum. The relationship between school district involvement in bilingual desegregation and the level of service provided by the Region G Lau Center is presented in Figure 9. The five levels of districts and the types of services provided are described as follows:

Level I: Very highly involved in the four-stage planning process of Lau compliance. Implements the Lau Center's six phases of the long-range plan and its corresponding technical assistance and training are implemented with school district administration, staff, school board and target community.

Level II: Highly involved in the four-stage planning process of Lau compliance. Implements the Lau Center's six phases of the long-range plan and its corresponding technical assistance and training are implemented with the school district administrators, staff and school board (target community not involved).

Level III: Involved in the four-stage planning process of Lau compliance. Technical assistance and training elements of the six phases of the long-range plan

Level of District Involvement	Levels of Service				
High Involvement	Level I	Level II	Level III	Level IV	Level V
Limited Involvement					
Degree of Center Assistance	Maximum ⟶ Minimum				
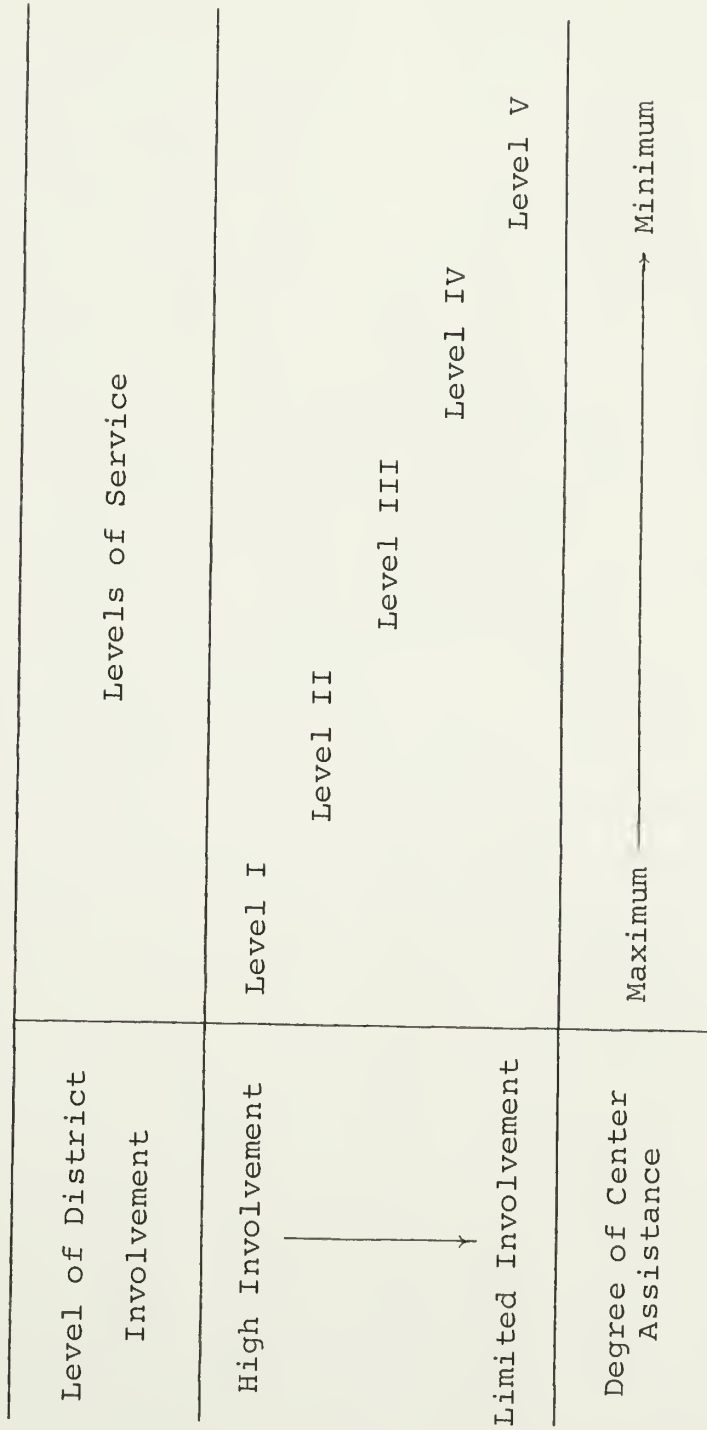
Fig. 9. The representation of the relationship between district involvement and the amount of assistance.

are provided according to school district's needs.

Level IV: Limited involvement in the four-stage planning process of Lau compliance. Specialized workshops and/or clustered information and orientation meetings are provided according to school district needs.

Level V: No involvement in the four-stage planning process of Lau compliance. Informational services are only provided upon request from the district.

Table 1 describes the districts served at each respective level based on the criteria identified for each of the five levels of involvement in the four-stage planning process of Lau compliance.

As a result 44 (Levels I, II, and III) districts of the total 94 school districts served were identified as being involved in the four-stage planning process of Lau compliance, with only 35 of the 44 districts being officially notified of their noncompliance under the Lau decision. The remaining 50 districts represent districts with limited or no involvement in the four-stage planning process of Lau compliance.

Instrument and Survey Procedure

To obtain information as to the nature of responses of districts to Lau compliance, a ninety-nine-item Likert-type questionnaire was developed, pilot-tested and sent to the ninety-four school districts in Southern California who had

TABLE 1

DISTRICTS SERVED AT EACH OF THE FIVE LEVELS
OF INVOLVEMENT IN LAU COMPLIANCE

Level	Noncompliance with the Lau Decision	Identified by OCR as Potentially in Noncompliance with the Lau Decision[a]	Total	%
I	9	2	11	11.7
II	14	0	14	14.9
III	12	7	19	21.2
IV	15	3	18	19.2
V	5	27	32	34.0
Total	54	40	94	100.0

[a]U.S. Department of Health, Education and Welfare;
HEW News Release (HEW-E70), 23 January 1975. See Appendix
C.

received technical assistance from the Region G Lau Center at any of the five levels of involvement (see Appendix F). The questionnaire was sent in April 1977 to the district Lau contact person (i.e., superintendent, district administrator, or district person designated by the superintendent) responsible for the coordination of the development and implementation of the Lau plan. The survey focused on the following areas:

- Type of technical assistance and training requested by each district
- Responsibilities for coordination of efforts directed toward compliance with the Lau mandate
- Perceptions of the role of the Region G GAC
- Role groups that exert influence within the school district
- District level of response to bilingual desegregation needs
- Impact of the Lau decision on the district
- Projected technical assistance and training needs
- Community involvement in bilingual desegregation
- Means of determining district educational needs
- Problems faced by districts in the development and implementation of Lau educational master plans

Seventy-three percent of the school districts (sixty-nine) responded to the questionnaire from the period of 14 April 1977, through 7 May 1977. The data collected were

subjected to chi-square analysis.

Table 2 summarizes the number of districts responding to the questionnaires by level of involvement.

Consistent with the previously outlined purposes of this study, the following response categories were analyzed in reference to the following factors:

1. District administrator designated to coordinate the development and implementation of the Lau plan (level of leadership)

2. District role groups, exerting the most influence in the development of the Lau plan

3. District role groups' involvement in implementing the Lau plan

4. District's perceived problems in developing the Lau plan

5. District's perceived problems in implementing the Lau plan

6. Involvement of the district's target community in developing and implementing the Lau plans (broad-based input)

7. District's perceived impact of the Lau v. Nichols Supreme Court decision on the district's educational services

The analysis of data collected on these seven factors from sixty-nine school districts in Southern California will focus on Levels I, II, and III districts. These three

TABLE 2

NUMBER AND LEVEL OF INVOLVEMENT OF DISTRICTS
RESPONDING TO LIKERT-TYPE QUESTIONNAIRE

Level of District Involvement	Number Responding	Percentage Responding
I (Very High Involvement)	11	100
II	14	100
III	18	95
IV	9	50
V (Limited Involvement)	17	53
Total	69	

levels of districts were chosen because of their involve-
ment in the four-stage planning process of <u>Lau</u> compliance.

1. <u>Professional Status of the Individuals Responsible
   for Development and Implementation of the Lau plan</u>

Table 3 indicates that out of 77 responses, 51.8
percent (40) identified either the superintendent, the
assistant superintendent, or principal as the person(s)
responsible for the development and implementation of the
Lau master plan. An additional 29.8 percent (23) of the
respondents designated the bilingual or compensatory
education director, while 18.4 percent (14) stated other
school district personnel as the persons responsible for
the development and implementation of the Lau master plan.

The data suggest that 59.8 percent of the districts
designated persons to coordinate the development and
implementation of the Lau master plan who do not have
district decision-making power and are dependent on the
central office administration for direction.

2. <u>Results Indicating District Role Groups Exerting
   the Most Influence</u>

Table 4 contains the response percentages of forty-
three districts identified at Levels I, II, and III of
involvement in regard to district role groups exerting the
most influence in the development of a Lau master plan.
In ranking the role groups exerting the greatest influence,
81 percent of the districts identified the central office

TABLE 3

RESPONSE OF DISTRICTS ON STATEMENT CONCERNING ADMINISTRATOR DESIGNATED
TO COORDINATE THE DEVELOPMENT AND IMPLEMENTATION OF THE
LAU MASTER PLAN BY LEVEL OF INVOLVEMENT

Designated Administrator	District Level of Involvement			Total Responses ($\underline{N}$ = 43)	Total %
	I ($\underline{N}$ = 11)	II ($\underline{N}$ = 14)	III ($\underline{N}$ = 18)		
Superintendent	1	2	5	8	10.4
Assistant Superintendent	4	8	11	23	29.8
Principal(s)	2	1	6	9	11.6
Bilingual Education Coordinator	4	6	7	17	22.1
Compensatory Education Director	0	2	4	6	7.7
Resource Teacher	0	0	0	0	0.0
Other	4	5	5	14	18.4
Total Responses	15	24	38	77	
Percentage	19.5	31.2	49.3		100.0

TABLE 4

RESPONSE PERCENTAGES OF DISTRICTS ON STATEMENT CONCERNING DISTRICT ROLE GROUPS
EXERTING MOST INFLUENCE IN THE DEVELOPMENT OF LAU PLAN BY ROLE GROUP

	DISTRICT LEVEL OF INVOLVEMENT									Number of Districts Responding				Total %			Rank by Greatest Influence
	I			II			III										
Role Group	N[a]	S[b]	G[c]	N	S	G	N	S	G	I	II	III	MD[d]	N	S	G	
1. School Board Members	0	18	82	0	53	47	0	41	59	11	13	18	2	0	41	59	5
2. Superintendent	0	27	73	0	14	76	0	22	78	11	14	18	1	0	23	77	2
3. District Office Administrators	0	36	64	0	7	93	0	17	83	11	14	18	1	0	19	81	1
4. Principals	0	63	37	0	22	88	0	28	72	11	14	18	1	0	35	65	3
5. Teachers	0	45	55	0	43	57	0	34	66	11	14	18	1	0	40	60	4
6. Paraprofessionals	9	73	18	14	57	29	0	61	39	11	14	19	1	6	64	30	7
7. Teacher Unions	30	60	10	22	56	22	35	49	16	10	14	18	2	29	55	16	9
8. Student (Involvement)	28	72	0	22	71	7	39	56	5	11	14	18	1	31	65	4	12
9. Business Groups (Chamber of Commerce) etc.	54	37	9	42	58	0	56	39	5	11	14	18	1	52	44	4	12
10. Local Government Officials	63	37	0	50	36	14	45	44	11	11	14	18	1	52	40	8	10
11. Target Community	9	45	46	7	21	72	22	33	45	11	14	18	1	14	32	54	6
12. Parent Teacher Association	18	55	27	7	86	7	23	49	28	11	14	18	1	17	63	20	6
13. Local Union Advocacy Agencies	50	50	0	22	56	21	47	53	0	10	14	15	5	39	54	7	13

[a]N = no influence.

[b]S = some influence.

[c]G = great deal of influence.

[d]MD = districts not responding.

administrators as exerting the greatest influence in the development of a Lau master plan. The superintendent with 77 percent, principals with 65 percent, teachers with 60 percent, and the target community with 54 percent ranked respectively as role groups exerting the most influence in the development of a Lau master plan. The role groups exerting the least influence were students, business groups, local union advocacy agencies, and local government officials all with less than 10 percent of the responses. Teacher unions ranked ninth with 16 percent of the responses.

Taking in consideration that approximately 52 percent of the persons who filled out the questionnaire were district administrators, the data suggest that the district role groups exerting the most influence in the development of a Lau master plan are the key decision makers of the district. This includes the central office administrators and superintendent, with principals exerting the greatest influence at the school level and students exerting the least influence.

3. Results Indicating Role Groups' Involvement in Implementing the Lau Master Plan

Table 5 describes the data of forty-three districts identified at Levels I, II, and III of involvement in reference to the degree of district role groups' participation in implementing the Lau master plan. In ranking the

TABLE 5

RESPONSE PERCENTAGES OF DISTRICTS ON STATEMENT CONCERNING DEGREE OF DISTRICT GROUPS' INVOLVEMENT IN IMPLEMENTING LAU PLAN BY ROLE GROUPS

Role Groups	DISTRICT LEVEL OF INVOLVEMENT									Number of Districts Responding				Total %			Rank by Greatest Importance
	I			II			III										
	N^a	S^b	G^c	N	S	G	N	S	G	I	II	III	MD^d	N	S	G	
1. School Board Members	0	18	82	0	14	86	6	40	54	11	13	15	4	2	25	73	6
2. Superintendent	6	5	89	0	14	86	5	29	66	11	14	17	2	2	19	79	4
3. District Office Administrators	0	0	100	0	0	100	0	16	84	11	14	16	1	0	7	93	3
4. Principals	6	9	91	0	0	100	0	5	95	11	14	18	1	0	4	96	1
5. Teachers	0	0	100	0	0	100	0	16	64	11	14	18	1	0	6	94	2
6. Paraprofessionals	0	27	73	0	36	67	5	28	67	11	14	18	1	2	30	68	7
7. Teacher Unions	10	60	30	28	28	44	22	50	28	10	14	18	2	22	44	34	10
8. Student (Involvement)	0	60	40	0	43	57	16	62	22	10	14	18	2	7	55	38	9
9. Business Groups (Chamber of Commerce)etc.	0	82	18	7	71	22	51	33	16	11	14	18	1	24	59	17	13
10. Local Government Officials	9	82	9	21	51	28	34	50	16	11	14	18	1	24	57	19	12
11. Target Community	0	9	91	0	14	86	11	29	60	11	14	17	2	4	19	77	5
12. Parent Teacher Association	6	27	73	0	50	50	17	41	42	11	14	17	2	7	39	54	8
13. Local Union Advocacy Agencies	10	40	50	33	50	17	47	22	31	10	12	13	9	32	46	22	11

a_N = not at all.

b_S = somewhat.

c_G = a great deal.

d_{MD} = districts not responding.

role groups having the greatest importance in the imple-
mentation of the Lau master plan, 96 percent of the
districts identified principals as being the role group
most important in implementing the Lau master plan,
followed closely by teachers with 94 percent and central
office administrators with 93 percent. The superintendent
with 79 percent, the target community with 77 percent, and
paraprofessionals with 68 percent ranked respectively in
regard to their importance in implementing the Lau master
plan.

The role groups ranked as being least important in the
implementation of the Lau master plan were business groups,
local government officials, local union advocacy agencies,
and students respectively.

The data suggest that the key role groups in
implementing the Lau master plan are principals, teachers,
and central office administrators respectively. The target
community and the school board are also suggested as being
important role groups in the implementation of the Lau
master plan.

4. Results Indicating the District's Perceived
   Problems in Developing a Lau Master Plan

Table 6 contains the cluster responses of sixty-nine
districts identified at Levels I, II, III, IV, and V of
involvement in reference to statements concerning district
perceived problems in developing a Lau master plan. In

TABLE 6

RESPONSE PERCENTAGES OF DISTRICTS ON CLUSTER STATEMENTS CONCERNING
PERCEIVED PROBLEMS IN DEVELOPING A LAU MASTER PLAN

	Number of Responses by District Level of Involvement					Total Number of Responses %	Rank by Greatest Problem
	I	II	III	IV	V		
1. Lack of commitment to develop a Lau master plan on the part of district central administration.	4	12	11	5	5	25.6	1
2. Resistance to the development of a bilingual desegregation Lau master plan on the part of district administration, school board, teachers, and Anglo community.	6	4	12	2	2	18.8	2
3. Time constraints to adequately assess needs (language, programs, materials).	6	8	8	0	3	17.4	3
4. Lack of funds, resources and personnel to develop Lau master plan.	4	4	11	0	1	14.0	4
5. Confusing OCR regulations and compliance requirements.	0	3	6	2	1	8.3	5

TABLE 6--Continued

	Number of Responses by District Level of Involvement					Total Number of Responses %	Rank by Greatest Problem
	I	II	III	IV	V		
6. Insufficient input from teachers and target community to develop Lau master plan.	6	2	1	0	0	6.2	6
7. Lack of information to all district role groups.	1	3	2	2	0	5.5	7
8. Lack of diagnostic designs and bilingual programs to meet the educational needs of Lau students.	2	1	1	2	0	4.2	8
Totals	29	37	52	9	17		
Percentages	20.2	25.7	36.2	6.1	11.8	100.0	

ranking the greatest problems, 26.5 percent of the 145 respondents identified the lack of commitment on the part of district central administration as the major problem in developing a Lau master plan. Ranked second by 18.8 percent of the respondents is resistance to the development of a bilingual desegregation Lau plan on the part of administrators, school board, teachers, and Anglo community. An additional 17.4 percent of the respondents identified time constraints to adequately assess needs as the third greatest problem in developing a Lau master plan.

The data reveal that 44.4 percent of the respondents perceived problems in developing a Lau master plan are due to the limited commitment and the resistance to the development of a bilingual desegregation Lau plan on the part of administrators, school board, teachers and non-target community. Another 39.7 percent of the perceived problems are attributed to time constraints, lack of funds, resources and personnel, and confusing OCR regulations and compliance requirements. An additional 11.7 percent of the perceived problems are related to insufficient input from teachers and target community and the limited information provided to district role groups. Only 4.2 percent of the perceived problems in developing a Lau master plan are associated to the lack of diagnostic designs that lead to instruction.

5.   Results Indicating the District's Perceived
     Problems in Implementing a Lau Master Plan

Table 7 presents the data of sixty-nine districts
identified at Levels I, II, III, IV, and V of involvement
in regard to statements concerning district's perceived
problems in implementing a Lau master plan. In ranking the
greatest problems, 26 percent of the 154 respondents
identified the limited commitment and resistance on the
part of district administrators, teachers and Anglo
community to implement the Lau master plan. Constraints
in hiring bilingual teachers and lack of trained personnel
were indicated by 20.8 percent of the respondents. An
additional 16.8 percent indicated that minimal implemen-
tation was equated by districts as meeting compliance,
while another 16.8 percent attributed insufficient funds,
resources, and curriculum materials as the problem in
implementing the Lau master plan.

The data suggest that 80.4 percent of the perceived
district problems in implementing a Lau master plan are due
to lack of commitment and resistance on the part of
administrators, lack of trained personnel, negotiated
agreements under collective bargaining against preferential
hiring of bilingual teachers, insufficient categorical
funds, resources and curriculum materials, and minimal
implementation becoming the maximum as the district goal
for meeting compliance requirements advanced. Only

TABLE 7

RESPONSE PERCENTAGES OF DISTRICTS ON CLUSTER STATEMENTS CONCERNING
PERCEIVED PROBLEMS IN IMPLEMENTING A LAU MASTER PLAN

	Number of Responses by District Level of Involvement					Total Number of Responses %	Rank by Greatest Problem
	I	II	III	IV	V		
1. Lack of commitment and resistance to the implementation of the Lau master plan on the part of district administrators, teachers and Anglo community	7	7	13	6	7	26.0	1
2. Lack of trained personnel and negotiated agreements under collective bargaining against the hiring of bilingual teachers.	10	9	7	2	4	20.8	2
3. Minimal implementation is equated by district as meeting a comprehensive compliance.	4	6	4	7	5	16.8	3
4. Insufficient funds, resources and curriculum materials to implement Lau programs.	4	10	8	2	2	16.8	3

TABLE 7--Continued

	Number of Responses by District Level of Involvement					Total Number of Responses %	Rank by Greatest Problem
	I	II	III	IV	V		
5. Devising new district and school procedures and programs into existing district programs.	3	6	4	0	1	6.5	5
6. Time constraints in preparing district personnel for the implementation of the Lau master plan.	2	3	4	0	1	6.5	5
7. Incompatibility between OCR and state regulations in implementing programs for Lau students.	1	1	4	0	0	3.9	6
Totals	31	42	44	17	20		
Percentages	20.2	27.2	28.5	11.1	13	100.0	

9.2 percent of the respondents perceived devising new district and school procedures and programs as the major problems in implementing a Lau master plan.

6. Results Indicating the Involvement of District Target Community

Table 8 contains the response percentages of forty-one districts identified at Levels I, II, and III of involvement in regard to participation of the district target community in the development and implementation of a Lau master plan. In ranking the responses by greatest involvement, 61 percent of the districts indicated that the target community was involved in the capacity of receiving information while 52 percent of the respondents stated that the target community was involved through advisory meetings. Another 47 percent stated that the district target community was involved in committees with advisory power, whereas only 34 percent of the respondents indicated that the target community was involved in a decision-making capacity in developing and implementing a Lau master plan.

The data suggest that the target community is mostly involved in an advisory capacity in the development and implementation of a Lau master plan. Limited decision-making power is shared by some districts with the target community.

7. District's Perceived Impact of the Lau Decision on the District's Educational Services

TABLE 8

RESPONSE PERCENTAGES OF DISTRICTS ON STATEMENT CONCERNING
THE INVOLVEMENT OF DISTRICT TARGET COMMUNITY IN
DEVELOPING AND IMPLEMENTING LAU PLANS

	Number of Districts Responding by District Level of Involvement				Total %				Rank by Greatest Involvement
	I	II	III	MD[e]	N[a]	S[b]	G[c]	NA[d]	
Informational	11	13	16	4	2	32	61	5	1
Advisory	11	13	17	3	9	35	52	4	2
Task Force Committees/Advisory	11	14	16	3	9	37	47	7	3
Decision Making	10	11	15	8	13	48	34	5	4

[a] N = not at all.

[b] S = some.

[c] G = a great deal.

[d] NA = not applicable.

[e] MD = districts not responding.

Table 9 gives the response percentages of sixty-nine districts identified at Levels I, II, III, IV, and V of involvement on statements concerning the impact of the Lau v. Nichols decision on the district educational services. In ranking the responses by greatest impact, 68.1 percent of the districts identified developing educational plans for limited and non-English-speaking students as the major impact the Lau decision has had on the district, while 62.3 percent stated administrative responsibilities and 59.4 percent indicated curriculum. Hiring policies followed with 52.2 percent. District allocations (budget) ranked last (34.8 percent).

Table 10 contains the percentage responses of Levels I, II, and III districts in reference to the impact of the Lau decision on the district's educational services.

The data suggest that the Lau decision has had the greatest impact on getting districts to develop Lau master plans, re-structuring administrative responsibility, selecting curriculum materials, implementing testing procedures, and short- and long-range planning, addressing hiring policies and developing bilingual instructional programs. While all of the major impact of the Lau decision has been on program development and management, the least impacted areas are budget allocation, public relations, and student placement respectively. Thus, while the impacted areas have to do with program design, the

TABLE 9

RESPONSE PERCENTAGES OF DISTRICTS ON STATEMENTS CONCERNING THE IMPACT OF
THE LAU V. NICHOLS DECISION ON THE DISTRICT EDUCATIONAL SERVICES

Areas of Impact	DISTRICT RESPONSES			Number of Districts Responding	Ranking by Greatest Impact	X^2 *	Degrees of Freedom	Level of Significance
	M^a	S^b	G^c					
Developing educational plans for limited and non-English speaking students	4.35	27.51	68.12	69	1	31.79	4	P< .01
Establishing Staff development inservice programs	10.14	39.13	50.73	69	6	6.0	4	P< .20
District Educational policies	11.59	39.13	49.27	69	7	11.94	4	P< .02
District Allocations (budget)	14.49	50.72	34.78	69	11	13.97	4	P< .01
Instructional Programs	4.35	43.48	52.17	69	5	16.15	4	P< .01
Communication with Community	5.80	46.37	47.82	69	8	20.93	4	P< .01
Hiring Policies	11.59	34.79	53.63	69	4	11.65	4	P< .05
Administrative responsibilities	7.25	30.44	62.32	69	2	20.49	4	P< .01
Curriculum (selection of Materials)	4.35	36.23	59.42	69	3	35.57	4	P< .01
Public Relations	5.80	52.17	42.02	69	10	24.98	4	P< .01
Testing Procedures	2.90	43.47	53.62	69	4	24.55	4	P< .01
Student Placement	5.97	49.26	44.77	67	9	24.78	4	P< .01
Short and Long-range planning	5.80	42.02	52.17	69	5	22.96	4	P< .01

$^a M$ = minimal.

$^b S$ = somewhat.

$^c G$ = a great deal.

* X^2 was based on five levels of involvement.

TABLE 10

RESPONSE PERCENTAGES OF DISTRICTS ON STATEMENTS CONCERNING THE IMPACT OF THE
LAU V. NICHOLS DECISION ON THE DISTRICT EDUCATIONAL SERVICES

Areas of Impact	DISTRICT LEVEL OF INVOLVEMENT									Number of Districts Responding				Total %			Ranking by Greatest Impact
	I			II			III			I	II	III	MD^d	M	S	G	
	M^a	S^b	G^c	M	S	G	M	S	G								
Developing educational Plans for limited and non-English speaking students	0	18	82	0	7	93	5	28	67	11	14	18	1	2	19	79	1
Establishing Staff Development Inservice Programs	9	45	46	0	21	79	11	38	51	11	14	18	1	7	35	58	7
District Educational policies	9	27	64	0	35	65	11	45	44	11	14	18	1	7	38	55	8
District Allocations (Budget)	18	27	55	0	58	42	11	56	33	11	14	18	1	9	49	42	10
Instructional Programs	0	55	45	0	14	86	11	45	44	11	14	18	1	5	37	58	7
Communication with Community	0	36	64	0	37	63	11	39	49	11	14	18	1	5	37	58	7
Hiring Policies	27	9	64	0	28	72	5	43	52	11	14	18	1	13	31	61	5
Administrative respon-sibilities	0	36	64	0	7	93	5	27	68	11	14	18	1	2	24	74	2
Curriculum (selection of materials)	0	36	64	0	14	86	5	44	51	11	14	18	1	2	33	65	3
Public relations	0	45	55	0	43	57	5	39	56	11	14	18	1	2	43	55	8
Testing Procedures	0	27	73	0	43	57	5	37	58	11	14	18	1	3	34	63	4
Student Placement	9	45	46	0	65	35	5	22	73	11	14	17	2	3	44	53	9
Short and Long-range planning	9	36	55	0	35	65	11	27	62	11	14	18	1	7	33	60	6

a_M = minimal.

b_S = somewhat.

c_G = a great deal.

d_{MD} = districts not responding.

least impacted have to do with facilitating the implementation of the programs addressed in the Lau master plans.

The overall district responses to the seven factors presented suggest that:

1. Only 51.8 percent of the persons responsible for coordinating the development and implementation of a district Lau master plan have decision-making power.

2. The district role groups exerting the most influence in the development of a Lau master plan are the central office administrators, the superintendent and principals.

3. The district role groups having the greatest importance in implementing a Lau master plan are principals, teachers, and central office administrators.

4. 44.4 percent of the perceived problems in developing a Lau master plan are due to a lack of commitment and resistance on the part of district administrators, teachers, and nontarget community.

5. At least 80.4 percent of the perceived problems in implementing a Lau master plan are due to a limited commitment and resistance on the part of district administrators. This also includes negotiated collective bargaining agreements in the hiring of bilingual teachers, lack of trained personnel, and

insufficient federal and categorical funds,
resources and curriculum materials.

6. The target community for the most part is involved
in receiving information and in providing advisory
input to the districts on activities related to
bilingual desegregation.

7. The Lau Supreme Court decision has had the
greatest impact on districts' program development
and management, and the least impact on district
budget allocations, public relations and student
placement.

Planning Behavior and Organizational Climate of Districts Involved

In discussing the planning behavior and organizational
climate of selected districts involved in the four-stage
planning process of Lau compliance, the characteristics of
the planning process (Chapter 4) and the organizational and
motivational characteristics (Chapter V) are examined using
a two-dimensional axis.

One dimension corresponds to the characteristics of
the planning process that represents the task behavior
undertaken by a district in the four-stage planning process
of Lau compliance. The second dimension relates to the
organizational climate and motivational characteristics
(Chapter V), that describes the receptivity of the district

towards the four-stage planning process of Lau compliance. Thus, through the incorporation of the criteria of each characteristic described in Chapters IV and V under each dimension, the planning behavior and organizational climate of selected Levels I, II, and III districts are plotted on two separate axes.

Four quadrants are presented to show four types of compliance efforts undertaken by school districts in their involvement in the four-stage planning process of Lau compliance. District task activity is illustrated on the vertical axis and district organizational receptivity on the horizontal axis. Each axis has a negative and positive continuum of value behavior, as illustrated in Figure 10.

Criteria for Plotting Districts

A chart for each of the two dimensions was developed outlining the characteristics of each dimension. For each dimension, criteria for assessing the behavior of a district was identified. In addition, each stage of the two dimensions was given a numerical value using a Likert-type scale (refer to Appendix G).

Positive Task Activity Positive Receptivity	Negative Task Activity Positive Receptivity
Positive Task Activity Negative Receptivity	Negative Task Activity Negative Receptivity

Fig. 10. Typology of planning process behavior.

Stage   Numerical Value

I and II

```
     <--------+--------+--------+-------->
      -2      -1       0       +1      +2
```

III

```
     <--------+--------+--------+-------->
      -4      -2       0       +2      +4
```

IV

```
     <--------+--------+--------+-------->
      -6      -3       0       +3      +6
```
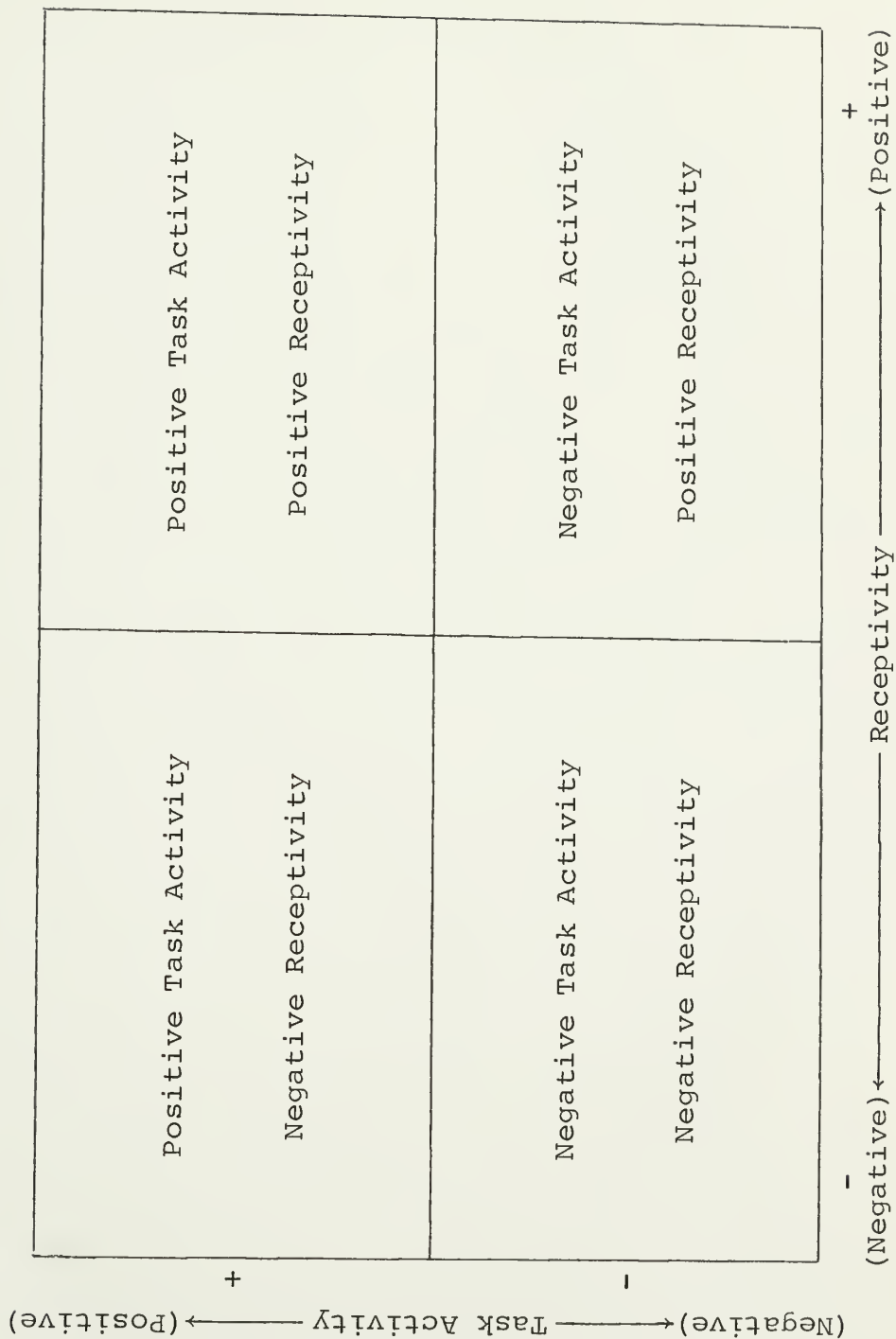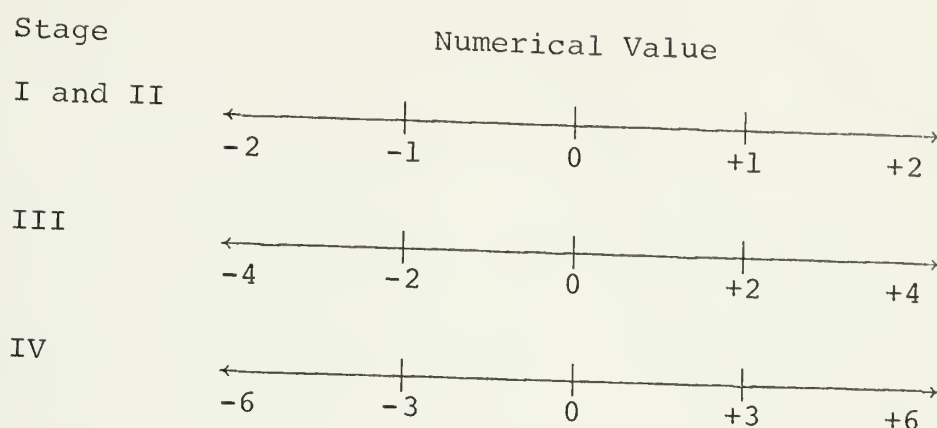
The rationale for ascribing different numerical weight
to the stages of the planning process is based on the
involvement and complexity in accomplishing each stage of
the four-stage planning process. Stages I and II primarily
focus on the development of the Lau master plan through
direct external pressure from OCR. Upon completion and
acceptance of the Lau master plan by OCR, the coerciveness
and monitoring of OCR diminishes. Internal pressure to
implement the Lau master plan (Stage III) becomes the
responsibility of the district and the task becomes more
complex to accomplish. The Incorporation stage, the fourth
stage of the planning process, determines if the Lau master
plan is institutionalized into the district educational
framework or remains a piecemeal paper plan.

Procedures for Plotting the Planning Behavior and Organizational Climate of Selected Districts

Using the criteria for assessing the planning behavior
(task activity) and organizational climate (receptivity),

sixteen districts were plotted in regard to their observed behavior in each of the two dimensions using the identified characteristics of the four-stage planning process of Lau compliance. Table 11 provides a description of the sixteen districts, all at Levels I and II of involvement with the Lau compliance process. To preserve the anonymity of the districts, selected letters were assigned to refer to each of the sixteen districts. The procedures undertaken were as follows:

1. Districts were selected that have worked closely with the Region G Lau Center for over a period of two years and actively worked in developing their Lau master plan (Stages I and II) and had their plans approved by OCR.

2. Information was obtained on each of the selected sixteen districts in regard to the planning process and organizational climate through the following resources:

   2.1 District Lau Center file containing all correspondence, telephone summaries, reports of technical assistance provided, districts' progress reports sent to OCR, and legal documents pertaining to the district were chronologically examined.

   2.2 Interviews with the Lau district liaisons were held throughout a two-year period to observe the progress, constraints, delimitations, and problems in developing and implementing the Lau master plan.

TABLE 11

DESCRIPTION OF DISTRICTS INCLUDED IN THE STUDY

District	Grade Level	Total Enrollment (1975-1976)*	Percentage of Lau Students	Location County	Urban/ Rural	Minority Teacher-Student Ratio (1975-1976)**
A	K-12	9,000	41 % 3700	Riverside	Rural	1:175
B	K-12	16,500	14 % 2350	Los Angeles	Urban	1:149
C	K-12	13,750	57 % 7900	Los Angeles	Urban	1:121
D	K-12	9,500	25 % 2400	Riverside	Rural	1:113
E	K-6	5,000	46 % 2300	San Diego	Urban	1:115
F	K-8	10,000	43 % 4300	Ventura	Rural	1:86
G	K-12	29,000	29 % 8400	San Bernardino	Urban	1:87
H	K-12	24,750	16 % 4000	Los Angeles	Urban	1:231
I	K-12	14,000	11 % 1600	Los Angeles	Urban	1:56
J	K-8	13,750	11 % 1500	San Diego	Rural	1:117
K	K-12	60,000	13 % 8000	Los Angeles	Urban	1:75
L	K-12	31,750	12 % 3900	Orange	Urban	1:84
M	K-12	14,000	21 % 2950	Santa Barbara	Rural	1:141
N	K-12	118,000	17 % 20000	San Diego	Urban	1:91
O	K-12	18,500	19 % 3500	Ventura	Rural	1:147
P	9-12	24,750	8 % 2000	San Diego	Urban	1:70

* Based on the figures of the California State Department
of Education for 1975-1976.
** Spanish-surname teachers.

2.3 Direct on-site participant observation and involvement with each of the sixteen districts were undertaken through the delivery of technical assistance to each respective district for a period of at least five consultant days within a two-year period.

2.4 Weekly staff meetings and de-briefing sessions pertaining to services provided to districts and follow-up activities.

2.5 Information derived from school district community parents and leaders pertaining to the implementation of the Lau master plan.

3. Each of the two dimensions were given the following value scale for the purpose of plotting the sixteen districts using the Typology of Planning Process Behavior:

Task Activity (vertical axis):

```
Negative                                                    Positive
Task     ←——+——————+——————+——————+——————+——————+——————+——————+——→   Task
Activity   -40    -30    -20    -10    0     10    20    30    40    Activity
```
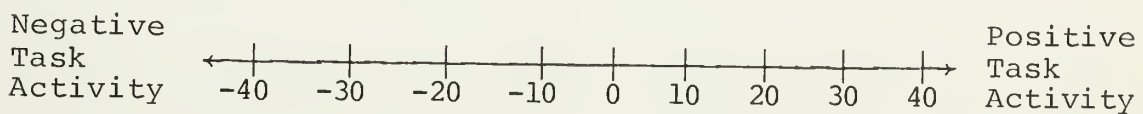
Receptivity (horizontal axis):

```
Negative                                                    Positive
Recep-   ←——+——————+——————+——————+——————+——————+——————+——————+——→   Recep-
tivity    -4.0   -3.0   -2.0   -1.0   0    1.0   2.0   3.0   4.0    tivity
```
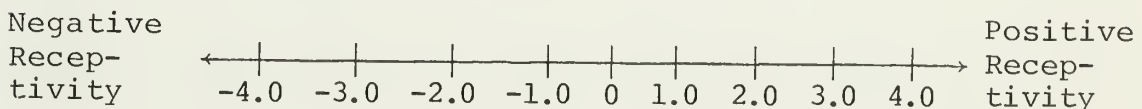
4.0 Each district was assessed and given index scores for each of the two dimensions. Stages I and II received one score, and Stages III and IV another.

The rationale for this step is based on the focus
of Stages I and II that deal with the development
of the Lau master plan, and Stages III and IV
that are concerned with the implementation and
incorporation of the Lau master plan within the
context of the district-wide educational frame-
work.   (See Appendix H for a sample of how the
scores were given to a district for each of the
two dimensions.)

Planning Behavior and Organizational
Climate of Selected Districts

Table 12 contains the index scores given to each of
the sixteen districts for Stages I and II and Stages III
and IV respectively, in reference to their task activity
(planning process) and receptivity (organizational climate)
to Lau compliance.

The data suggest a variance in the task activity and
receptivity of school district behavior in the four-stage
planning process of Lau compliance. Under Stages I and II
56 percent (9) of the districts demonstrated positive task
activity and receptivity towards developing a Lau educa-
tional master plan, while 19 percent (3) demonstrated
negative task activity and receptivity. Another 6 percent
(1) demonstrated positive task activity and negative
receptivity, while an additional 19 percent (3)

TABLE 12

INDEX SCORES OF SIXTEEN SCHOOL DISTRICTS ON TASK ACTIVITY
AND RECEPTIVITY BEHAVIOR IN REFERENCE TO THEIR
INVOLVEMENT IN THE FOUR-STAGE PLANNING
PROCESS OF LAU COMPLIANCE

School District	Task Activity Dimension (Planning Process) Stages			Receptivity Dimension (Organizational Climate) Stages		
	I & II	III & IV	Total Index	I & II	III & IV	Total Index
A*	+9	-13	-4	+.25	-1.6	-.46
B*	+5	-23	-18	-.60	-2.4	-1.5
C*	+11	+28	+39	+1.2	+3.4	+2.3
D*	+8	-3	+6	+0.6	-0.8	-0.5
E*	+12	+22	+34	+1.5	+2.8	+2.73
F*	+9	+3	+12	+.14	-1.2	-.42
G*	+6	-9	-3	+.25	+.40	+.31
H**	+7	-8	-1	+.14	-.33	-.08
I**	-4	-14	-18	-.43	-1.0	-.69
J**	+7	-12	-5	+.60	+.66	+.64
K**	+6	-11	-5	0	+.60	+.27
L**	-4	-14	-18	-.33	-.40	-.37
M**	-1	-19	-20	-.43	-1.6	-1.9
N**	+4	-8	-4	+.20	+1.6	+.90
O**	+2	-15	-13	0	+.66	+.33
P**	+4	-14	-10	0	-.80	-.36

* level I district.
** level II district.

demonstrated a combination of positive task activity and neutral receptivity to the development of the Lau master plan (see Fig. 11). Under Stages III and IV, only 12.5 percent (2) of the districts demonstrated positive task activity and receptivity towards implementing and incorporating their Lau educational master plan. In addition, 6 percent (1) demonstrated positive task activity and negative receptivity. Another 50 percent (8) demonstrated negative task activity and receptivity, while 31 percent (5) demonstrated positive receptivity and negative task activity to the implementation and incorporation of the Lau master plan (see Fig. 12).

Figure 13 presents the composite scores of the sixteen school districts on task activity and receptivity behavior in all of the four stages of the planning process of Lau compliance that shows that only 12.5 percent (2) of the districts have demonstrated positive task activity and receptivity, while 44 percent (7) districts have demonstrated negative task activity and receptivity. An additional 31 percent (5) districts have demonstrated positive receptivity, but negative task activity throughout the implementation and incorporation stages of the planning process of Lau compliance; while 12.5 percent (2) districts have demonstrated positive task activity, but negative receptivity.
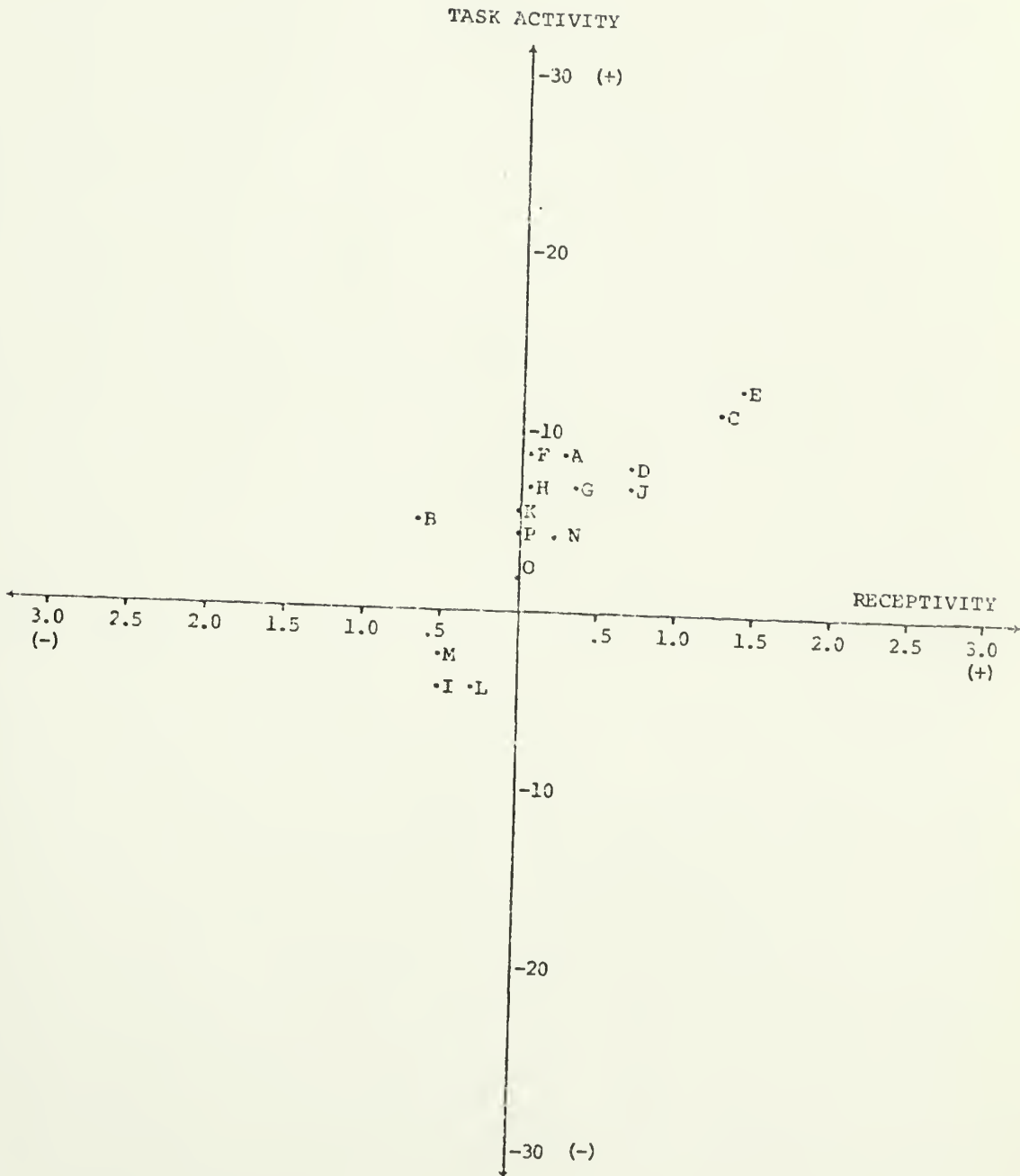
Fig. 11. Positions of sixteen school districts on task activity and
receptivity behavior in reference to their involvement at the
determination of legal requirements and initiation of compliance stages of
the planning process of Lau compliance.
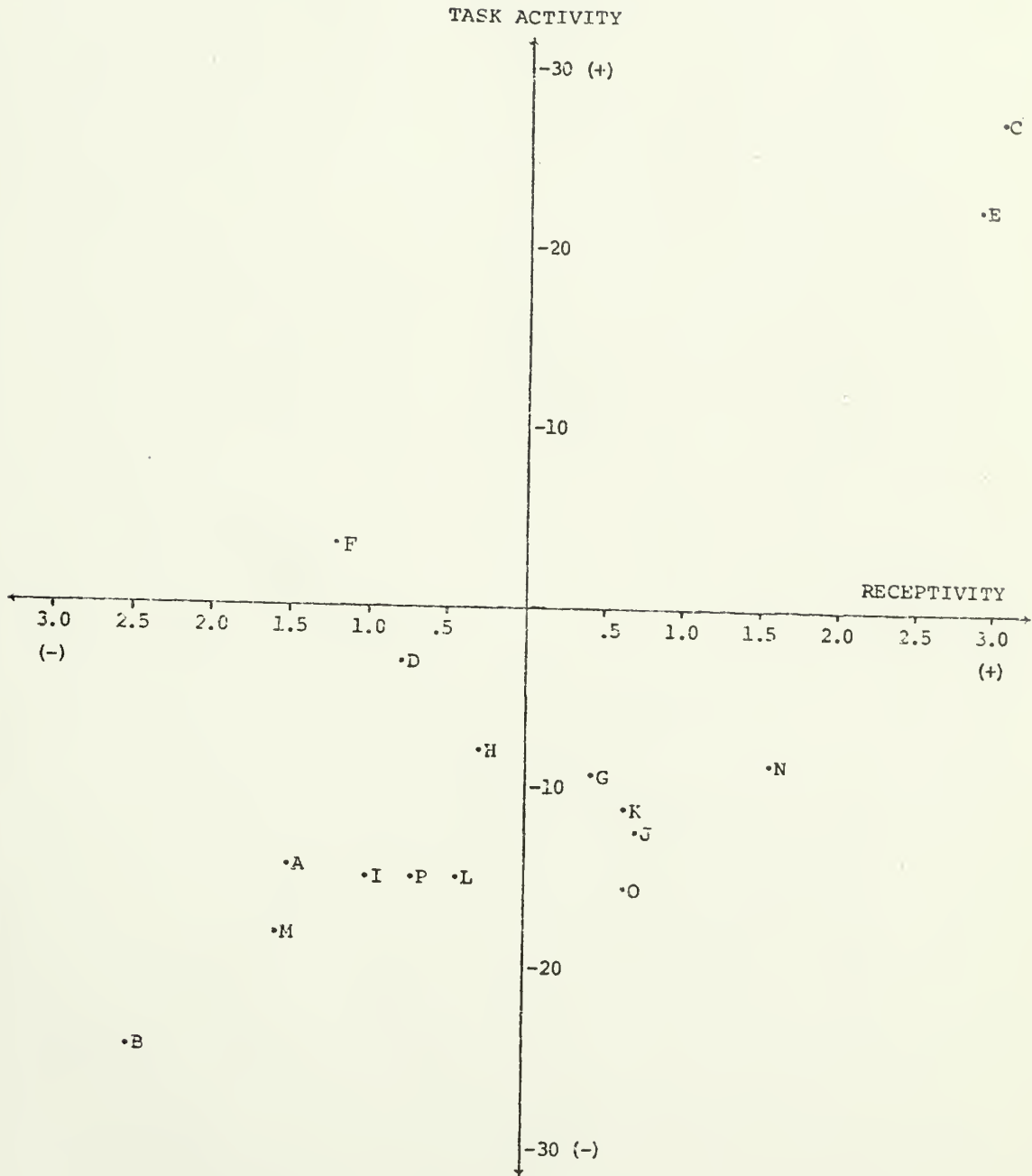
Fig. 12.   Positions of sixteen school districts on task activity and receptivity behavior in reference to their involvement at the implementation of compliance and incorporation of compliance stages of the planning process of Lau compliance.
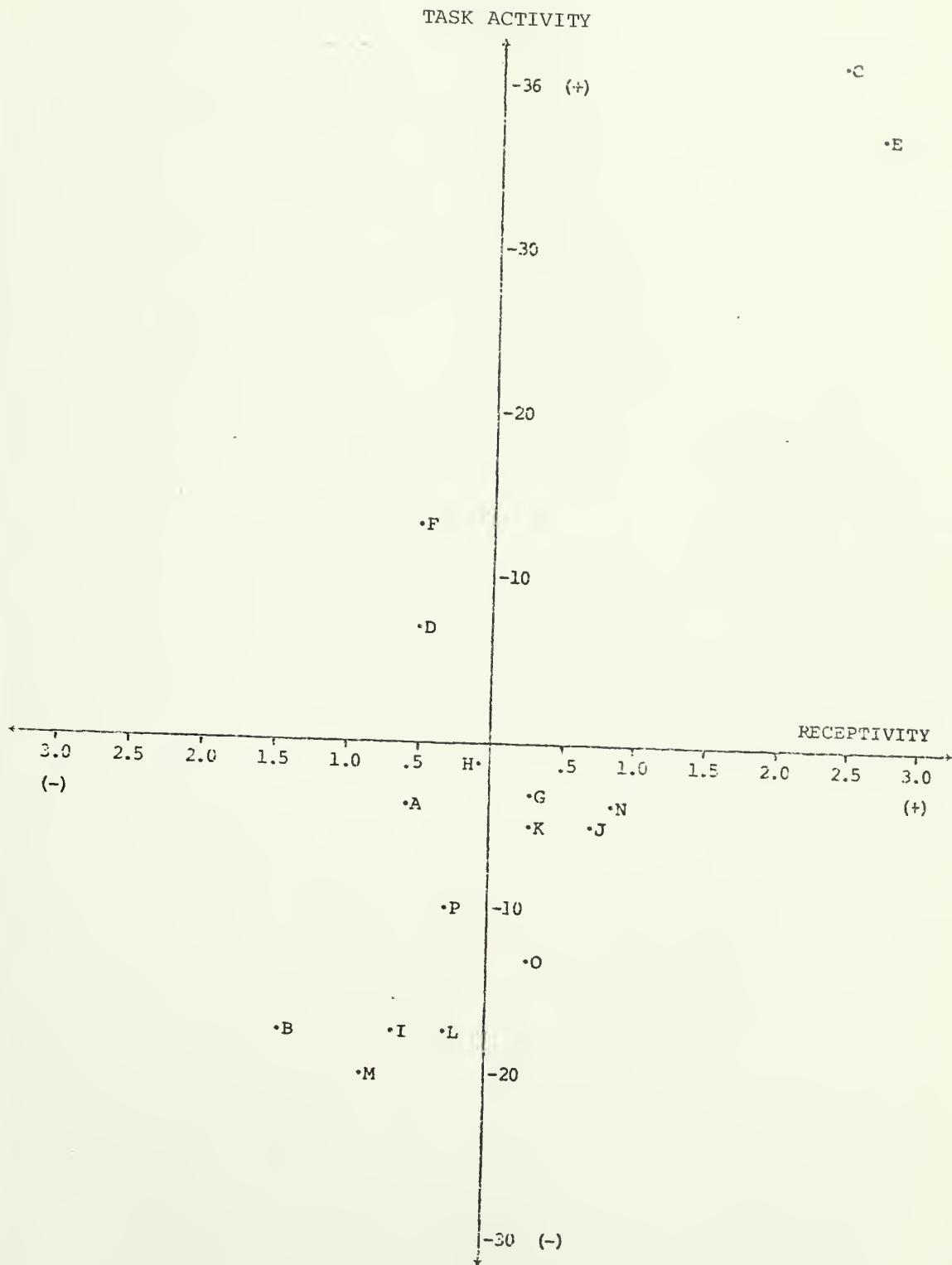
Fig. 13. Positions of sixteen school districts on task activity and receptivity behavior in reference to their involvement in all of the four stages of the planning process of Lau compliance.

The variance in the task activity and receptivity of school districts' behavior in the four-stage planning process of <u>Lau</u> compliance can be explained through an examination of the characteristics of the planning process and organizational climate. Table 13 describes the positive/negative involvement of the sixteen school districts in reference to the planning process (task activity) characteristics. The results suggest that the following characteristics of the planning process tended to indicate positive, neutral, and negative involvement towards <u>Lau</u> compliance:

<u>Positive</u>

- Value position towards <u>Lau</u> compliance (I)[1]
- Systematic planning approach (II)
- Importance ascribed to Lau plan (IV)

<u>Neutral</u>

- Specification of scope of proposed organizational change (III)
- Mutual adaptation of plan and institutional setting (III)

<u>Negative</u>

- Implementation of strategy to operationalize plan (III)
- District support (IV)

---

[1]Indicates stage of the planning process.

TABLE 13

INVOLVEMENT OF SIXTEEN SCHOOL DISTRICTS IN REFERENCE TO THE PLANNING PROCESS CHARACTERISTICS IN THE FOUR-STAGE PLANNING PROCESS OF LAU COMPLIANCE

	STAGES								
	I	II	III			IV			
School District	Value Position Towards Lau Compliance	Systematic Planning	Specification of Proposed Organizational Change	Mutual Adaptation	Implementation of Lau Plan	District Support	Allocation of Fiscal Resources	Importance Ascribed to Lau Plan	Organizational Political Forces (+/-)
A	0	+	+	0	-	-	-	+	-
B	+	+	-	0	-	-	-	0	-
C	+	+	+	+	+	+	+	+	-
D	+	+	+	0	-	-	-	+	0
E	+	+	+	+	+	+	+	+	-
F	+	+	+	+	0	0	-	+	-
G	0	+	+	0	-	0	-	+	-
H	+	+	+	0	-	-	-	0	0
I	0	-	0	0	-	0	-	0	-
J	+	+	-	0	-	-	-	+	-
K	0	+	-	0	-	0	-	+	-
L	0	-	-	0	-	-	-	+	-
M	0	-	0	0	-	-	-	0	-
N	+	+	-	+	-	-	-	+	-
O	+	+	-	0	-	0	-	0	-
P	+	+	-	0	-	0	-	0	-

+ = positive involvement   - = negative involvement   0 = neutral involvement

· Allocation of fiscal resources (IV)

· Organizational political forces inhibiting or
  promoting Lau plan (IV)

Table 14 describes the positive/negative involvement
of the sixteen school districts in reference to the
organizational climate and motivational characteristics
(receptivity). The results suggest that the following
characteristics tended to indicate positive, neutral, and
negative involvement towards Lau compliance:

Positive

· Attitude towards planning process (II)

· Effort of goal setting and planning (II)

· Administrative support and commitment (III)

· Participation of key actors (III)

· Priority towards educational Lau plan (IV)

Neutral

· Attitude towards compliance (I)

· Organizational leadership and involvement (II)

Negative

· Community pressure (II)

· Communication flow of information (III)

· Congruence between priority and actual
  incorporation (IV)

TABLE 14

INVOLVEMENT OF SIXTEEN SCHOOL DISTRICTS IN REFERENCE TO THE
ORGANIZATIONAL CLIMATE AND MOTIVATIONAL CHARACTERISTICS
IN THE FOUR-STAGE PLANNING PROCESS OF <u>LAU</u> COMPLIANCE

School District	STAGES									
	I	II				III			IV	
	Attitude Towards Compliance	Community Pressure	Organizational Leadership & Involvement	Attitude Towards Planning Process	Effort of Goal Setting & Planning	Communication Flow of Information	Administrative Support & Commitment	Participation of Key Actors	Priority Towards Educational Lau Lau Plan	Congruence Between Priority and Actual Incorporation
A	0	0	0	+	+	-	-	+	-	-
B	+	-	-	-	-	-	-	-	-	-
C	+	+	+	+	+	+	+	+	+	+
D	+	-	+	+	+	-	+	+	-	-
E	+	+	+	+	+	+	+	+	+	+
F	0	-	0	+	+	-	-	-	+	-
G	0	0	+	0	+	-	+	+	+	-
H	+	-	+	0	0	0	+	+	-	-
I	0	-	-	0	-	0	+	-	-	-
J	+	-	+	+	+	0	+	+	+	-
K	0	-	-	+	+	-	+	+	+	-
L	0	-	+	-	-	-	-	+	+	-
M	0	-	0	-	-	-	-	+	-	-
N	+	-	-	+	+	-	+	+	+	-
O	0	-	-	+	+	0	+	+	+	-
P	0	-	-	+	+	-	+	+	-	-

+ = positive
involvement

- = negative
involvement

0 = neutral
involvement

Case Studies of District Responses
to Lau Compliance

A sample of four districts were selected to further illustrate the dynamics of the characteristics of the planning process and organizational climate and motivational characteristics of a district in the four-stage planning process of Lau compliance.

Case studies of Districts A, C, F, and G are presented in the following section to illustrate how districts that demonstrated positive task activity and receptivity in stages I and II of the four-stage planning process of Lau compliance (see Fig. 11, p. 199) changed their behavior in stages III and IV (see Fig. 12, p. 202). Thus, districts A, C, F, and G were chosen because they typified each of the four quadrants of the two-dimensional typology of planning process behavior. All of the four districts were found by the U.S. OCR to be in noncompliance with the Lau decision and have a significant number of Lau students. These districts are located in Southern California with a large percentage of Spanish-surname students. They also illustrate the positive, neutral, and negative involvement of districts in reference to the characteristics of the planning process, and organizational climate and motivational characteristics (see Tables 13 and 14).

Case study District A. District A (K-12) is located in

Riverside County with a student population of nine thousand. The ethnic composition of the district is 58 percent Anglo and 42 percent minority, with 32 percent identified as Lau students. The teacher ethnic composition is 5 percent minority. District A is situated in an agricultural belt that pulls in many migrant seasonal workers throughout the year. Farmers run the community and are dependent on migrant workers who do stoop labor, generally are Spanish-speaking and have no political representation. The target community perceives District A as being resistant to any form of bilingual-multicultural educational programs. The prevailing attitude of Mexican American community leaders towards farmers is that they are only interested in retaining cheap labor in keeping minority groups in their "rightful" place.

In September 1975, District A received their letter of noncompliance from the OCR, requesting the district to take affirmative steps to rectify their discriminatory practices. The initial reaction of the district leadership was one of denying any wrongdoing and politically using the local press to blame OCR for its problems. Faced with the issue of Lau noncompliance, OCR advised District A to initiate steps towards the development of a Lau master plan or have their federal funding terminated. The threat of losing federal funding forced the district to mobilize itself and call the Region G Lau Center for technical assistance.

A community meeting involving over four hundred target community parents was held in March 1976 to inform the community of the district's responsibility to Lau compliance. Meetings with the school board and school personnel followed and a steering committee with broad-based representation was formed to develop and assist in the implementation of the Lau master plan. The superintendent and school boards became very cautious of the work of this committee. An educational district level master plan was approved by the school board in a period of just over eight months, which included inservice workshops, the implementation of a comprehensive needs assessment, and the intensive involvement of the target community.

Upon the approval of the Lau master plan, the newspapers and the media attacked District A, accusing the district of selling out to OCR and the Lau Center directives by adopting programs with the intent of "attempting to indoctrinate students in a language other than English." For a period of three months, letters from local residents to the editor expressed alarm at the proposed objectives of the Lau plan and questioned whether guidelines enforced by OCR exceeded the intent of the law. Some questioned their congressmen about the intent of the law. Others called their congressmen who, in turn, expressed concern that the House of Representatives needed to look into the directives

of OCR and the Lau Centers for it was felt that the intent of the Supreme Court was being exceeded. The involvement of the Lau Center was also questioned by the local press who stated, "a gang of former Brown Berets now holding doctorates should not be allowed to dictate policy to local school districts or to interpret the Constitution of a nation they demonstrably despise."

While the implementation of the Lau master plan is seen by the district administration and school board as being very important (80 percent of administrators surveyed) and feel that over 85 percent of the staff is inadequately prepared to implement the Lau plan, minimum budgetary priority is given to such implementation. The district administration feels that minimal compliance is sufficient to satisfy OCR, while Lau compliance becomes a paper process that keeps OCR away from the district. Politically, the administration of District A supported the Lau master plan to obtain federal funding, but did the minimal to begin implementing its activities. In early fall 1976, teachers and community members who actively participated in the development of the plan felt that the "paper plan" was being given limited attention by the individual school administrators and implementation was being given a low priority.

While the Lau master plan addressed itself to the development of district-wide bilingual programs, the

district only hired six bilingual teachers out of sixty during the school year of 1976 and 1977. Under pressure again, in January 1977, District A hired a bilingual coordinator to implement the district's Lau master plan. Yet the coordinator had no decision-making power, no influence over principals, a limited budget, few resource teachers and with a set of planned objectives to be met.

Over all, the district has demonstrated limited leadership, minimal operationalization of the Lau master plan, and limited commitment to the implementation of Lau educational programs. The projected student population by the California State Department of Education of District A for 1985 is 60 percent minority. The school board, as of November 1977, voted against a proposal to request funds from the Title VII (ESEA) Bilingual Office of the U.S. Department of Education under the pretense of not having the proper information. The fear towards implementing and incorporating bilingual-multicultural programs is based on teacher's dissatisfaction of having to develop new skills and proficiency in the target language of the community. This fear imagines that a bilingual "army" will be created and stimulates the possibility of losing one's job. This fear places blame on the target community for their inability to adjust to the life style and language of the United States.

Case study District C. District C (K-12) is located in Los Angeles County with a student population of fourteen thousand. The student ethnic composition of the district is 14 percent Anglo and 84 percent minority (83 percent Spanish-surname) with 57 percent identified as Lau students. The teacher ethnic composition is about 12 percent minority. The makeup of the student body in 1961 was 33 percent minority and sixteen years later the percentage had increased to 84 percent while the teaching staff remained predominantly Anglo.

The present school board has seven members, four are Spanish-surname and advocates of bilingual-multicultural education. The assistant superintendent, one of three top administrators of the district, is Spanish-surnamed. In response to the Lau decision and state legislation (Assembly Bill 2284, 1972) the school board of District C in June 1975 adopted a district policy calling for the implementation of bilingual-multicultural education to meet the individual needs of its Spanish-surname population. This position taken by the school board encouraged teachers to address themselves to the needs of Lau students.

In the fall of 1976, District C was cited by the U.S. OCR in noncompliance with the Lau decision for failure to provide instructional programs for limited English-speaking students. The district immediately organized a steering committee of forty-two members to develop and monitor an

educational master plan to comply with the Lau decision. The steering committee was strongly represented by the target community, district administration, teachers, the local teacher unions, school board members, and students. The superintendent of District C and a liaison to the school board participated actively throughout the development of the Lau master plan. Through a systematic process and the active participation of a vocal and articulate target community (Chicano), the Lau educational plan was developed, strongly endorsed by the school board and approved by the U.S. OCR.

The Lau plan calls for implementation of bilingual-multicultural programs in all of its schools. Since the district staff is composed of mostly Anglo, English-speaking teachers, the district is undertaking the following steps in order to staff the bilingual programs: hiring bilingual credentialed teachers when openings occur, applying for emergency bilingual credentials for para-professionals who qualify, and planning intensive inservice for present teaching staff. The local teacher union and many of the Anglo teachers feel that it is unfair to expect them to retrain, since when they signed their contract with the district bilingual skills were not required. Many of them also feel that the student should only be taught in English because English is the predominant language in this country. The local teacher union in a resolution to the

state council in May 1977 stated:

> The California Teacher Association is supposed
> to be a Teacher Advocate Organization, not a
> "politically" nice group playing little games.
> Unless CTA does something now to protect our
> rights . . . we will be out of jobs. CTA must
> take action.

The efforts of District C in implementing and
incorporating their Lau educational master plan has the
support and commitment of its decision makers, school board
and the target community (93 percent Spanish-surname).

The major constraint faced by the district in
implementing their Lau educational master plan is the
Anglo teaching staff faced with the need to develop
proficiency in the Spanish language or potentially lose
their jobs. In order to dilute the fears of the mono-
lingual English-speaking staff the district is offering
staff development programs to further develop the bilingual
skills of the district teaching staff. The Spanish-
surnamed community of the district through the Association
of Mexican American Educators and its leadership has
continued to inform the community of bilingual desegrega-
tion issues and the need to demand quality education from
the district personnel.

In summary, the commitment and receptivity towards
meeting the educational needs of Lau students in District
C is strong. As the fears of the monolingual English-
speaking staff diminishes, the potential for District C to

provide model bilingual-multicultural programs is a strong probability.

Case study District F. District F (K-8) is located in Ventura County with a student population of ten thousand. The ethnic composition of the district is 45 percent Anglo and 55 percent minority, with approximately 43 percent identified as Lau students. The teacher ethnic composition is 11 percent minority.

District F is situated in a rural community near the Pacific Ocean and two hours away from Los Angeles. The economy of the district community is agriculture. In the spring of 1975, District F developed a five-year flow chart for addressing the needs of Lau students and expressed confidence that they were in compliance with the Lau decision. In April 1975, concerned target community members wrote to the U.S. OCR expressing their frustration and unhappiness over the educational services provided to Lau students and the oblivious attitude of the district administrators towards bilingual programs. The target community stated in their complaint to OCR:

> We have detected numerous subtle manifestations of discrimination and racism in the areas of attitude toward minority employees, students and parents, administration of school policy and curriculum.

In addressing the concerns of the target community, District F involved parents in the specification of a

philosophy and goals for bilingual programs just in case the district was found in noncompliance under the Lau decision. Community participants perceived the district as taking preventive steps and tactical measures to fore-stall any action taken by the discontented target community leaders against the district. The district on July 1976 received their letter of noncompliance with the Lau decision for failure to provide sufficient instructional programs to meet the educational needs of Lau students. Under pressure from OCR and a few vocal target community leaders the district proceeded to develop a steering committee composed of one-third target community, one-third teachers, one-sixth administrators and one-sixth teacher aides to undertake the task of developing a Lau master plan. The district administration took a legal position in proceeding to comply with OCR regulations and by administratively controlling the deliberations of the steering committee.

At the same time, some of the issues raised by the target community representatives of the steering committee were incompetent teachers, low academic teacher expecta-tions of minority students, district failure to implement Affirmative Action programs. Other issues included limited educational programs to meet the Lau students' needs. For the most part the district orally acknowledged these

complaints, but only superficially addressed in the Lau master plan, which was completed in the Spring of 1977.

During the development of the Lau master plan, District F implemented a series of workshops to familiarize the district's staff, school board and community of the legal requirements, for complying with the Lau decision and related state legislation. The position of the district in the workshops was one of complying with the law and administratively taking the necessary steps to meet Lau compliance.

In the implementation and incorporation of the Lau master plan, District F administratively required from each of its school principals school site plans for implementing Lau programs. Organizationally, the district is faced with teachers who are resistant to the Lau programs and with school administrators who see the major constraint in implementing the Lau master plan as the lack of qualified bilingual staff, and limited federal funding for bilingual programs.

In summary, the administrators of District F are hesitant in their support and commitment to the Lau master plan, while taking the necessary steps to meet the minimal Lau compliance reuiqrements. Teachers in District F general feel threatened by bilingual instruction and feel that English should be the only language of instruction. The leaders of the target community perceive the district

as not being interested in the implementation of bilingual programs and controlling all information related to Lau compliance.

While the projected student population by the California State Department of Education for 1980 is 60 percent minority, District F has implemented some Lau programs, but the consistent support from district personnel and local funding has not been provided to fully operationalize the Lau master plan.

Case study District G. District G (K-12) is located in San Bernardino County with a student population of 29,000. The ethnic composition of the district is 60 percent Anglo and 40 percent minority, with approximately 24 percent identified as Lau students. The teacher ethnic composition is 12 percent minority.

District G was one of the first districts in the State of California to be found in noncompliance under the Lau decision. On 6 January 1976, the district received notification from the U.S. OCR stating that students were "excluded from effective participation in the educational programs offered by the district." The district's reply to OCR expressed commitment to initiate a course of corrective action through the development of a plan to remedy and eliminate discriminatory practices. The school board, on 11 March 1976, officially assigned the Assistant

Superintendent of Program Development to develop the Lau master plan with the technical assistance from the Region G Lau Center. To assure their legal obligation, the Assistant Superintendent asked the County Legal Counsel to investigate OCR's requirements for programs to meet the educational needs of national-origin minority and limited-English speakers. County Counsel declared the district responsible in meeting Lau compliance.

Through community pressure, the district in May 1976 identified a steering committee of thirty members to develop a Lau master plan. The committee was composed of one-third target community members, one-third teachers, and one-third district administrators. The Assistant Superintendent, in order to control the direction of the Lau Steering Committee and the input from active target community leaders, provided limited direction to the committee and often had the Lau Center staff make the same initial presentation to numerous small groups; often called Lau consultants for poorly advertised, poorly attended inservice sessions; making little effort to inform Lau committee members, staff or community of Lau progress and activities. The Assistant Superintendent, through a change of administration, left the district just before the plan was due, leaving the responsibility to the Title VII Bilingual Program Coordinator who had limited decision-making power and had not been included in all of the

planning process. The committee, following a systematic planning process, developed the Lau master plan. Although the district, through pressure from active community leaders, had involved the target community in the Lau planning process, the district did little to facilitate their efforts or effectively coordinate activities.

In the implementation and incorporation of the Lau master plan, the school board has been supportive of Lau efforts, but their commitment to Lau compliance is one of minimal effort to meet OCR's regulations. With a change in the composition of the school board in the summer of 1977, and faced with the desegregation of fifteen minority identifiable schools, the internal politics of the district often seem to hinder the implementation of the Lau plan. While the district personnel claim to have a high priority for the hiring of bilingual-bicultural certificated personnel (59 percent of 326 district personnel surveyed), involving the target community in district programs (75 percent of 328 district personnel surveyed), and for accepting the concept and rationale for bilingual education (66 percent of 277 district personnel surveyed), all such priorities are dependent upon federal and categorical funding for implementation. The Lau master plan, officially approved by OCR in the summer of 1977, is perceived by the district central administration as another compensatory program rather than as a district-wide

educational plan, dependent solely on the local generated ADA funds. On 20 October 1977, a Chicano community leader representing over two hundred persons in a report presented to the seven school board members stated:

> The Chicano community has concluded that the bilingual-bicultural programs in District G have been viewed as a threat by incompetent teaching staff, centralized administrators and principals who do not fully understand or support the programs. The Chicano community can no longer afford to support District G.

The 1977 achievement results from District G had identified Lau students to be two to five years behind in the reading, writing and computational skills in contrast to nonminority students.

Overall, District G is lagging in the implementation and incorporation of their Lau master plan into the district framework due to the lack of qualified bilingual personnel and the allocation of funds for implementing programs for Lau students. The district has set its priorities in the operationalization of the Lau master plan through a staff development inservice program that will take three to five years to complete, while the minority population of the district is projected by the California State Department of Education to increase to 50 percent by 1980.

Summary

The results of the study and the four case studies support the findings of the Rand Corporation studies on federal programs supporting educational change (Berman et al., 1975). Insofar as school districts are legally and judicially mandated to comply with federal law, districts will demonstrate positive task activity. However, as the minimal legal and judicial requirements are met, districts' commitment to implement and incorporate their Lau educational master plans into the district educational framework diminishes. The implementation of districts' Lau educational master plans, as suggested by the study, is closely related to the involvement, support and leadership of district decision makers throughout the four-stage planning process of Lau compliance; the presence of effective community and U.S. OCR legal and judicial pressure on the district decision makers to operationalize educational master plans; the political forces in the district promoting or inhibiting the implementation of the Lau master plan; the flow of communication from district decision makers to principals, teachers and community; and the allocation of fiscal resources to implement the Lau educational master plan.

The study suggests that a receptive organizational climate is a necessary, but not a sufficient condition for

effective implementation and incorporation of a Lau educational master plan into the district's curricula. Positive task activity (planning process) and positive receptivity (organizational climate) in all of the four stages of Lau compliance is the required behavior of school districts for meeting the educational needs of Lau students under the Lau v. Nichols Supreme Court decision.

CHAPTER VI

SUMMARY, IMPLICATIONS AND CONCLUSIONS

This study sought to identify the basic characteristics of an educational planning process and organizational and motivational characteristics that could guide Southern California districts found in noncompliance under the Lau decision to meet Title VI (CRA '64) compliance requirements. As part of the study an intensive review of the literature of organizational development and planned change was conducted. The review of the literature identified four stages of a planning process applicable to the context of Lau compliance. In addition, the review of the literature suggested two dimensions of characteristics--planning process and organizational climate for effecting educational planned change.

The four stages of a planning process for Lau compliance were used as a framework for identifying and operationalizing characteristics of a district's planning process and organizational climate. For each stage of the planning process (Determination of Legal Requirements, Initiation, Implementation and Incorporation) and dimension (planning process and organizational climate) specific characteristics were identified. The identified

characteristics were then used as criteria for assessing the planning behavior and organizational climate of sixteen school districts in Southern California involved in the four-stage planning process of Lau compliance.

In addition, a Likert-type questionnaire was sent to ninety-four school districts (with a 73 percent response) that had requested technical assistance from the Region G Lau Center to obtain their perceived opinion on what impact the Lau decision has had on their district and the level of district involvement and support in complying with the Lau decision. To illustrate the planning behavior of districts throughout the four-stage planning process of Lau compliance, four case studies were examined.

Four questions were posed in Chapter 1 to facilitate the identification of basic characteristics of an educational planning process and organizational and motivational characteristics that could guide school districts found in noncompliance under the Lau decision in their efforts to meet Title VI (CRA '64) compliance requirements. The results described in Chapters 3, 4, and 5 allow for some generalizations. Some implications are examined and propositions are posed about the planning behavior of school districts involved in the four-stage planning process of Lau compliance.

Summary

In summarizing the four questions posed by this study, some generalizations derived from the results described in Chapters 3, 4, and 5 are briefly discussed:

Question: What are the basic characteristics of an educational planning process proposed by the literature and organizational development and planned change for resolving desegregation problems under the Lau v. Nichols decision?

1. School districts complying with bilingual desegregation under the Lau decision engage in a four-stage planning process of Determination of Legal Requirements, Initiation, Implementation, and Incorporation of Compliance in meeting federal regulations.

Whereas all school districts found in noncompliance by the U.S. OCR under the Lau decision are required to develop and implement Lau educational master plans, most districts venture through the four-stage planning process to comply with federal requirements (see pp. 167-171). Although most districts develop a Lau master plan that is approved by the U.S. OCR and express written commitment to implement the plan, the majority of districts only go through the minimal effort to comply. Though the majority of districts demonstrate positive activity and receptivity toward meeting legal requirements and initiating the compliance

process through the development of Lau master plans, most districts demonstrate negative activity and receptivity toward implementing and incorporating their plans (see Table 12, p. 202). Over one-fourth of the responses given by districts for the perceived problems in implementing their Lau plans were due to the lack of commitment and resistance to the Lau plan on the part of the district administrators, teachers and nontarget community. Another 37 percent perceived the problem as due to lack of trained personnel and negotiated teacher contracts, while 17 percent perceived the problem as due to insufficient funds, resources and curriculum (see Table 7, p. 186).

2. The basic characteristics of the planning process that guide school districts in resolving bilingual desegregation problems are the value position taken by the district, systematic planning approach, specification of scope of proposed organizational change, mutual adaptation of plan and institutional setting, implementation of the strategy to operationalize plan, district support, allocation of fiscal resources, importance ascribed to the implementation of the educational plan, and organizational political force inhibiting or promoting the proposed educational plan.

All school districts complying with the Lau decision address each of the characteristics through positive or negative involvement (see pp. 97-129). The three characteristics most often addressed by school districts through positive task activity are value positions towards Lau compliance, systematic planning approach, and importance ascribed to the educational plan. The remaining six characteristics of the planning process are addressed either through neutral or negative task activity behavior. This difference may reflect the minimal risk or conflict affecting the internal structure of a district in meeting compliance with federal regulations (see pp. 129-132).

Question: What are the organizational and motivational characteristics proposed by the literature of organizational and planned change for supporting bilingual desegregation under the Lau v. Nichols decision?

1. The supportive organizational climate and motivational characteristics of the planning process that guide school districts in resolving bilingual desegregation problems are attitude towards compliance requirements, community pressure, organizational leadership and involvement, attitude towards planning process, effort of goal setting and planning, communication flow of information, administrative support and commitment, participation of key actors, degree of district

priority towards educational plan, and congruence
between priority of plan and actual incorporation
of plan into the district's curricula.

All school districts complying with the Lau decision
demonstrate positive or negative involvement with all of
the above characteristics (see pp. 133-166). Overall, most
districts demonstrate positive receptivity in the deter-
mination of legal requirements and initiation of compliance
stages of the planning process, while demonstrating
negative receptivity in the implementation and incorpora-
tion stages of the planning process. This difference may
be due to the resistance and institutional demands faced by
a district in implementing the Lau master plan and adapting
the plan into the district educational setting.

    Question: Which characteristics of the educational
                 planning process are necessary for
                 developing and implementing an educa-
                 tional master plan to comply with the
                 Lau v. Nichols decision?

1. School districts complying with federal regula-

    tions under the Lau decision generally have

    problems in developing their Lau master plan, but

    have a great deal of difficulty in implementing

    the Lau master plan.

Although districts have problems in developing Lau
educational master plans, they generally demonstrate
positive task activity and receptivity in the two initial
stages of the four-stage planning process of Lau compliance,

but they have difficulty in translating the Lau master plan
into practice. Most districts demonstrate neutral or
negative involvement in implementing their Lau master plan,
and even greater negative involvement in the incorporation
stage of Lau compliance (see pp. 185-188, 202).

    2. School districts throughout the four-stage planning
process of Lau compliance demonstrate apprehension
and resistance to the planning process character-
istics that involve the implementation of strategy
to operationalize the plan. This also includes
district support in the incorporation of the Lau
master plan, allocation of fiscal resources, and
political force inhibiting or promoting the Lau
master plan.

The results of the study suggest that most districts'
efforts in implementing their Lau educational master plan
take a neutral involvement position in specifying the scope
of the proposed organizational change and in adapting the
Lau plan into the organizational setting of the district
(see Table 13, p. 208).

The tendency of most districts in implementing the Lau
master plan is to equate the plan as a compensatory program
that requires the minimal participation of district-wide
personnel in addressing bilingual desegregation. Most
districts demonstrate resistance in the implementation of
strategy to operationalize the Lau master plan. Districts

generally involve the compensatory program personnel to implement the Lau plan, depend on federal or state categorical monies for the implementation of the plan and demonstrate minimal effort in integrating the plan into the district's educational curricula. Most districts give the lowest priority to the allocation of fiscal resources to the implementation of the Lau educational programs (see Tables 9, p. 191 and Table 13, p. 208).

Almost all districts expressed and demonstrated a negative organizational political force that inhibited the implementation of the Lau master plan. The teachers' unions, district administrators, teachers and the nontarget community respectively were the most active in inhibiting or coopting the implementation of the Lau educational master plan (see Tables 7, p. 186 and 13, p. 208).

3. School districts throughout the four-stage planning process of Lau compliance experience difficulty in managing the organizational climate characteristics of community pressure (target community), communication flow of information, and congruence between priority of plan and its actual implementation.

The results of this study suggest that most district decision makers take a neutral involvement position in addressing compliance with the Lau decision and in demonstrating leadership and involvement in the initial

two stages of the planning process of Lau compliance (see Table 14, p. 210).

Whereas almost all districts give priority to involving the target community in developing and implementing the Lau plan (see pp. 178, 180), most districts involve target community in an advisory capacity with limited decision-making power (see p. 189). The involvement of district personnel from the development stage to the implementation stage of Lau compliance is generally dictated by the decision makers of the district who control the flow of information provided to district personnel regarding the Lau educational master plan (see pp. 176-180). Although this study suggests that most districts are supportive and committed to the implementation of their Lau master plans, most districts perceived the number one problem in implementing a Lau master plan as due to lack of commitment and resistance on the part of administrators, teachers and Anglo community (see Tables 7, p. 186; 14, p. 208; and 14, p. 210). In reference to congruence between priority of plan and its actual implementation, most districts expressed that the greatest impact the Lau decision has had on their district has been in the development of a Lau educational master plan, the reassessment of administrative responsibilities and the selection of curriculum materials and in hiring policies. Almost all districts expressed that the areas least impacted by the

Lau decision were district budget reallocations, public
relations, student placement, communication with target
community and district educational policies (see pp. 186,
191-193).

Question: What is the relationship of the
characteristics of the educational
planning process to the planning and
implementation behavior of observed
school districts complying with Title
VI (CRA '64) regulations under the
Lau decision?

1. School districts complying with the Lau decision

   generally demonstrate positive task activity and

   organizational receptivity to meeting federal

   regulations when legally pressured by the U.S.

   OCR to develop educational master plans.

Most districts demonstrated positive involvement in
almost all of the characteristics of the planning process
and organizational climate throughout the stages of
determination of legal requirements and initiation of
compliance. This is probably due to the U.S. OCR legal
mandate for the district to comply with the Lau require-
ments or have its federal assistance terminated. The
U.S. OCR generally exerts heavy pressure on a district in
the development of its Lau compliance plan and minimal
pressure on the implementation of the Lau plan (see Tables
12, p. 202; 13, p. 208; and 14, p. 210).

2. School districts complying with the Lau decision

   generally demonstrate negative task activity and

organizational receptivity in the implementation and incorporation stages of Lau compliance.

Most districts demonstrated neutral and negative involvement in almost all of the characteristics of the implementation and incorporation stages of the planning process (see Table 13, p. 208). In regard to districts' organizational climate characteristics, negative involvement was exhibited by districts in the organizational climate characteristics of flow of information to district personnel and congruence between priority and actual incorporation of the Lau plan (see Table 14, p. 210). This is probably due to the limited commitment of districts to provide equal educational benefits to Lau students and to the limited role taken by U.S. OCR in monitoring the implementation of Lau master plans.

    3. School districts complying with the Lau decision demonstrate a variance of planning and organizational climate behaviors throughout the four stages of the planning process of Lau compliance.

In the determination of legal requirements and initiation of compliance stages, over 56 percent of the districts demonstrated positive task activity and receptivity towards developing a Lau master plan. Another 25 percent of the districts demonstrated a combination of positive task activity and neutral receptivity to the development of a Lau master plan, while 19 percent of the

districts demonstrated negative task activity and receptivity (see Fig. 11, p. 204).

In the implementation and incorporation of compliance stages, 12.5 percent of the districts demonstrated positive task activity and receptivity, while 50 percent demonstrated negative task activity and receptivity. Another 31 percent demonstrated positive receptivity, but negative task activity, and 6 percent positive task activity, yet negative receptivity (see Fig. 12, p. 205).

Implications

How relevant are the basic characteristics of an educational planning process and organizational and motivational characteristics for guiding school districts found in noncompliance under the Lau decision in their efforts to meet Title VI (CRA '64) compliance requirements?

Although the study was limited to selected districts found in noncompliance under the Lau decision by U.S. OCR in Southern California, the findings of this study tend to support the findings of the Rand Corporation studies of federal programs supporting educational change. The Rand studies concluded that the implementation of educational innovation, and not the initiation of the innovation, was the most critical stage of the planning process in determining whether or not innovations are instituted into the district programs. The evidence provided by the study indicated

that the characteristics of the implementation stage of
Lau compliance are key to the operationalization of an
effective Lau educational master plan. The following
explanations are suggested by the study:

1. First, the study suggests that greater attention
    needs to be provided to the implementation stage
    of Lau compliance. District strategies for
    addressing the implementation of bilingual
    desegregation plans under the Lau decision need to
    counteract the arguments the budget constraints,
    lack of trained personnel, and resistance from
    district personnel prevents them from implementing
    the Lau decision. Federal rights guarantee equal
    educational benefits for all students under Title
    VI (CRA '64) regulations.

2. Even when districts express commitment and
    demonstrate positive receptivity toward the
    implementation of the Lau master plan, districts
    lack effective implementation strategies, allocate
    minimal resources and are careful not to collide
    with political forces opposing bilingual
    desegregation.

3. Effective implementation depends on the
    receptivity of the district toward bilingual
    desegregation under the Lau decision. The
    organizational climate of the districts needs to

exhibit active leadership and involvement in actualizing the concept of equal educational benefits, involve the target community in the implementation stage of compliance and keep the district personnel informed of the operationalization of the Lau compliance master plan.

4. Effective implementation is characterized by the active involvement of district personnel responsible for the implementation of the Lau compliance master plan. The involvement of principals, teachers and district administrators in the implementation stage of compliance is limited to only those directly affected by the Lau compliance master plan.

5. School districts vary a great deal in their expressed, versus actual, commitment to the implementation of Lau compliance plans. U.S. OCR mandated compliance requirements generate expressed commitment to comply with federal regulations that are minimally visible in the implementation of Lau compliance. Congruence between an approved paper plan and the actual implementation of the plan is generally lacking. The political forces within a district play a major role in the lack of implementation of a Lau compliance plan. While legally, federal

regulations mandate equal educational benefits for all students, the actual behavior and receptivity of district personnel towards this concept generally exhibits resistance towards the educational needs of national origin-minority students.

In summary, under the described conditions, most school districts complying with the <u>Lau</u> decision meet compliance requirements through minimal efforts that have little affect on the existing district curricula. In order for districts to operationalize the implementation stage of <u>Lau</u> compliance, the administrative leadership of the districts must involve the target community, take an active role in the implementation of educational strategies, allocate resources and address negative political forces opposing bilingual desegregation. The U.S. OCR, to be effective in seeing that districts fully comply beyond the paper plan stage, must exert its legal power in order for districts to demonstrate task activity and receptivity in the implementation and incorporation stages of <u>Lau</u> compliance. The following propositions describe possible conditions that may affect the behavior of district personnel in operationalizing the four-stage planning process of <u>Lau</u> compliance.

<u>Propositions</u>. In review of the study, four propositions

are posed:

1. Positive task activity (Planning Process) in the determination of Legal Requirements and Initiation of Compliance stages occurs in school districts that express acceptance to legal mandates to comply with federal law. These districts involve administrators and target community in the development of educational master plans that meet more than the minimal U.S. OCR requirements for Lau compliance.

Districts that approach their noncompliance status through a problem-solving perspective, pursue compliance with the intent of improving their educational services and involve the affected school communities in the process of developing compliance plans. Districts that demonstrate negative task activity pursue compliance through a legal perspective and involve few district administrators. They also seek to control the process of developing the Lau master plan.

2. Positive task activity in the Implementation and Incorporation of Compliance stages occurs in districts where the educational master plan and the institutional setting adapt to one another. It also occurs where the district administration supports and ascribes positive importance to bilingual desegregation educational programs that are

operationalized through the implementation of educational strategies, the involvement of district-wide personnel, the articulation of district-wide educational services and the re-allocation of local funds (ADA) to implement and incorporate the Lau master plan into the district curricula.

Districts that operationalize their compliance plans through district resources, and commitment that sees Lau compliance as a district responsibility, rather than as a legal mandate, will generate positive task involvement. Negative task involvement occurs in districts that address Lau compliance as a compensatory program that can be met through the expansion of its existing programs, where the implementation of the plan is dependent on categorical monies, where district personnel are provided with limited information and opportunity to participate and where political forces within the district oppose bilingual desegregation.

3. Positive receptivity (organizational climate) in in the Determination of Legal Requirements and Initiation of Compliance stages occurs in districts where district administrators are involved with target community and district personnel in determining the goals and content of the educational master plan to meet more than

the minimal legal requirements to comply with OCR regulations.

Districts that pursue Lau compliance through a collaborative planning approach involving district decision makers and target community will develop compliance plans that reflect the needs of the target community. Negative receptivity is visible in districts where the target community is not involved and key decision makers take a political position in developing a Lau compliance plan that meets the minimal legal requirements.

4. Positive receptivity in the Implementation and Incorporation of Compliance states occurs in districts where district personnel receive adequate and ongoing information about the district's efforts to achieve more than the minimal requirements for compliance, where the district administration is supportive and committed to the implementation of Lau compliance plans, and where district policies, budget and educational programs reflect the commitment of the district.

Districts that are supportive and committed to the implementation of Lau compliance plans will express and demonstrate commitment by keeping district personnel informed of the operationalization of the plan, by providing resources necessary for implementation of the

plan and actively seeking the involvement of district personnel in the implementation and incorporation of the Lau compliance plan. Negative receptivity occurs in districts where the flow of communication is controlled by the administration and where limited commitment is demonstrated through the legitimization of existing programs as the districts legal fulfillment in meeting Lau compliance.

In summary, the implementation stage of Lau compliance is the most crucial for effecting bilingual desegregation programs. Since the organizational climate of a district is important to the implementation and incorporation stages of Lau compliance, the receptiveness on the part of district decision makers and personnel toward bilingual desegregation seems a necessary condition for successful implementation. Other factors of importance are:

1. A receptive district setting toward bilingual desegregation is a necessary but not sufficient condition for effective implementation of Lau compliance.

2. Positive task activity and positive receptivity in the determination of legal requirements and initiation of compliance stages are not indicators for effective implementation of a bilingual desegregation Lau educational master plan.

3. Positive task activity and positive receptivity in the implementation and incorporation stages of Lau compliance is characterized by an active and committed district administration that neutralizes negative political forces opposing bilingual desegregation.

4. Insofar as school districts are legally and judicially pressured by the U.S. OCR to develop compliance plans to meet federal regulations under the Lau decision, districts will demonstrate positive task activity and receptivity.

5. Insofar as school districts develop and meet the U.S. OCR minimal federal requirements in developing a Lau compliance plan, most districts' commitment to implement and incorporate their Lau educational master plan will demonstrate negative task activity.

6. Strategies for affecting bilingual desegregation lack the active involvement and support of school principals, teachers, and nontarget community.

7. Communication and active involvement of principals, teachers and target community in the development and implementation of a bilingual desegregation Lau educational master plan are necessary characteristics for effective Lau compliance.

8. The implementation of strategies to operationalize
    the Lau educational master plan is a key
    characteristic for effective implementation of a
    bilingual desegregation Lau educational master
    plan.

Conclusion

Does positive organizational receptivity and task
activity in the development of a bilingual desegregation
Lau educational master plan provide sufficient reason to
assume that a district will implement their compliance
plan? The answer appears to hinge upon whether conditions
similar to those suggested under the Implications of the
Study are present. However, the study does suggest that
school districts exhibit different organizational behavior
in the Implementation and Incorporation stages of Lau
compliance. The implementation stage of compliance being
the most vital for effecting bilingual desegregation needs
to be examined. For example, is the goal of Lau compliance
to provide for the development of paper plans that express
equal educational benefits for linguistically and
culturally different students? or, is the goal of Lau
compliance to assure the active and supportive involvement
of school personnel in providing equal educational benefits
that meet the needs of all students? In response to the
first question, the study reveals serious problems in

school districts' effort to implement bilingual desegrega-
tion <u>Lau</u> compliance plans. In answer to the second, the
Supreme Court of the United States in <u>Brown v. Board of
Education</u> (1954) ruled that segregation according to race
is unconstitutional and under the <u>Lau v. Nichols</u> (1974) the
courts found that school districts have denied linguis-
tically and culturally different students the opportunity
to actively participate in the public education programs
of this country. Yet, school districts throughout the
country continue to resist racial and bilingual
desegregation.

This limitation suggests several vital issues
concerning bilingual desegregation under the <u>Lau</u> decision
as a social policy that must be addressed:

1. What is the definition of <u>Lau</u> compliance? Is
    <u>Lau</u> compliance a strategy for equal educational
    benefits through organizational change or is it a
    strategy for organizational maintenance? As is
    presently evidenced, school districts have
    demonstrated minimal efforts to provide for an
    active involvement and support of bilingual
    desegregation.

2. What is the nature of the internal and external
    support systems that need to be considered for the
    implementation of the four-stage process of <u>Lau</u>
    compliance? What kind of support systems provide

for organizational responsiveness to bilingual
desegregation concerns? Perhaps, too much
emphasis for organizational change input has been
placed upon advisory groups while limited concern
has been addressed to the structures of school
district responsiveness to the target community,
school board policies, priorities for allocation
of resources, the nature of interest group
involvement, school finance of educational
programs, and the legal rights of students.

3. What expertise is necessary to provide for
responsive bilingual desegregation compliance? In
efforts to address the concept of equal educa-
tional opportunity, district personnel have
responded by designing special compensatory
programs while maintaining the same personnel,
curriculum, and administrative policies. Little
attention is focused on the socialization process
of schooling; curriculum designed on a preferred
criteria model that rewards behavior that reflects
the economic values of capitalism; hiring policies
and collective bargaining; the role of colleges
and universities in preparing teachers, and the
educational, social, political and economic
implications of equal educational opportunity.
Thus, the nature of an effective delivery system

for achieving bilingual desegregations needs to be addressed as part of the Lau compliance process.

If equal educational benefits is the objective of Lau compliance, then the process of compliance and its enforcement must be defined more completely. On the other hand, if the objective is effective integration of linguistically and culturally different students through paper compliance plans that maintain the existing educational system, then school districts have been very successful.

In the state of California, districts are experiencing changes in their student population due to population growth and white flight. As bilingual and racial desegregation affects school districts, the need to forecast educational needs is imperative. For example, if the present population trends for the state of California continue, it is projected that by 1990 California will be over 60 percent Spanish-surname. At least for the state of California, the implementation of bilingual desegregation educational programs in the next ten years will have legal, social and political implications for districts to resolve.

In the courts of the nation, the aftermath of the Lau v. Nichols Supreme Court decision has manifested legislation at the federal and state levels and in a number of lawsuits. The Equal Educational Opportunity Act of 1974 (20 U.S.C. § 1703 [1974]) extended the Lau decision to all public school districts, not just those receiving

federal assistance. In California, under the Chacon-Mascone Bill (AB 1329), the state legislature passed statutes in 1976 mandating bilingual education. Court decisions since Lau, Serna v. Portales Municipal Schools (351 F. Supp. 1279 [N.O. Mex. 1972], aff'd 499 F. 2nd 1147, 1154 [10th Cir. 1974]) and Aspira of New York, Inc. v. Board of Education of the City of New York (72 Civ. 4002 [S.D. N.Y. Aug. 29, 1974]), have resulted in court mandated bilingual programs. Under Rios v. Read (75 C. 296 [E.D. N.Y. Jan. 14, 1977] Memorandum of decision and Order) the court discussed the district's responsibility toward implementing effective bilingual programs or being faced with a Lau violation. Most recently, under the Morris v. Brentwood Union Free School District (20 U.S.C. § 1703 [f] 1977) the court found the district to be in violation of the Equal Educational Opportunity Act of 1974 and failing to implement the recommended OCR Task Force Remedies for Lau compliance.

In the enforcement of Title VI, on 20 July 1977, President Carter in a memorandum to the heads of executive departments and agencies stated:

> Title VI of the Civil Rights Act of 1964 writes
> into law a concept which is basic to our country--
> that the government of all the people should not
> support programs which discriminate on the grounds
> of race, color, or national origin. There are no
> exceptions to this rule; no matter how important a
> program, no matter how urgent the goals, they do
> not excuse violating any of our laws--including the
> laws against discrimination.

This Administration will enforce Title VI.
This means, first, that each of you must exert
firm leadership to ensure that your department or
agency enforces this law.

Second, there must be central guidance and
oversight of Title VI enforcement. Executive
Order 11764 places with the Attorney General the
responsibility for coordinating Title VI enforce-
ment and for approving rules, regulations and
orders which departments or agencies issue under
Title VI. I want the Attorney General to work
closely with each of you to help you make sure
that your department or agency is doing an
effective job, and I have asked him to give this
matter a high priority. The Department of Justice
will shortly be contacting each department and
agency to determine what action has been taken to
comply with the Attorney General's Title VI
regulations.

Finally, as you know, Title VI was intended
to provide an administrative mechanism for
insuring equal treatment in Federal programs.
Consequently, administrative proceedings leading
to fund terminations are the preferred method of
enforcing Title VI, and this sanction must be
utilized in appropriate cases. There may be some
instances, however, where litigation is in order.
You must make sure such cases are referred to the
Department of Justice. (Carter, 1977)

The implications of President Carter's concern for the

enforcement of Title VI directly calls for school districts

to address bilingual desegregation and the responsibility

for assuring that the linguistically and culturally

distinct students are provided with equal educational

benefits.

Thus, the challenge to districts and communities

throughout this nation is one of promoting cultural

pluralism in the form of social, economic, political and

educational opportunity rather than cultural imperialism

that supports the notion of total assimilation into a preferred system of values dictated by those in power. While cultural pluralism supports the principles of our constitution and democratic government, cultural imperialism contradicts such rights guaranteed to all residents of this country.

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APPENDIXES

APPENDIX A

MEMORANDUM OF 25 MAY 1970

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20201

May 25, 1970

MEMORANDUM

TO   :   School Districts With More Than Five Percent
              National Origin-Minority Group Children

FROM   :   J. Stanley Pottinger
              Director, Office for Civil Rights

SUBJECT   :   Identification of Discrimination and Denial
              of Services on the Basis of National Origin

Title VI of the Civil Rights Act of 1964, and the Departmental
Regulation (45 CFR Part 80) promulgated thereunder, require
that there be no discrimination on the basis of race, color
or national origin in the operation of any federally assisted
programs.

Title VI compliance reviews conducted in school districts with
large Spanish-surnamed student populations by the Office for
Civil Rights have revealed a number of common practices which
have the effect of denying equality of educational opportunity
to Spanish-surnamed pupils. Similar practices which have the
effect of discrimination on the basis of national origin exist
in other locations with respect to disadvantaged pupils from
other national origin-minority groups, for example, Chinese
or Portugese.

The purpose of this memorandum is to clarify D/HEW policy on
issues concerning the responsibility of school districts to
provide equal educational opportunity to national origin-
minority group children deficient in English language skills.
The following are some of the major areas of concern that
relate to compliance with Title VI:

   (1)   Where inability to speak and understand the English

language excludes national origin-minority group children
from effective participation in the educational program of-
fered by a school district, the district must take affirma-
tive steps to rectify the language deficiency in order to
open its instructional program to these students.

(2) School districts must not assign national origin-
minority group students to classes for the mentally retarded
on the basis of criteria which essentially measure or evaluate
English language skills; nor may school districts deny national
origin-minority group children access to college preparatory
courses on a basis directly related to the failure of the
school system to inculcate English language skills.

(3) Any ability grouping or tracking system employed
by the school system to deal with the special language skill
needs of national origin-minority group children must be
designed to meet such language skill needs as soon as possible
and must not operate as an educational dead-end or permanent
track.

(4) School districts have the responsibility to adequately
notify national origin-minority group parents of school activi-
ties which are called to the attention of other parents. Such
notice in order to be adequate may have to be provided in a
language other than English.

School districts should examine current practices which exist
in their districts in order to assess compliance with the
matters set forth in this memorandum. A school district which
determines that compliance problems currently exist in that
district should immediately communicate in writing with the
Office for Civil Rights and indicate what steps are being
taken to remedy the situation. Where compliance questions
arise as to the sufficiency of programs designed to meet
the language skill needs of national origin-minority group
children already operating in a particular area, full infor-
mation regarding such programs should be provided. In the
area of special language assistance, the scope of the program
and the process for identifying need and the extent to which
the need is fulfilled should be set forth.

School districts which receive this memorandum will be
contacted shortly regarding the availability of technical
assistance and will be provided with any additional infor-
mation that may be needed to assist districts in achieving
compliance with the law and equal educational opportunity
for all children. Effective as of this date the aforementioned
areas of concern will be regarded by regional Office for
Civil Rights personnel as a part of their compliance re-
sponsibilities.

APPENDIX B

SUMMARY OF THE <u>LAU v. NICHOLS</u> DECISION
AND SUBSEQUENT INTERPRETATION

SUMMARY OF THE LAU V. NICHOLS DECISION
AND SUBSEQUENT INTERPRETATION[1]

On January 21, 1974, the U.S. Supreme Court unani-
mously ruled that the San Francisco Unified School District
illegally discriminated against some 1,800 non-English-
speaking Chinese American students by failing to help them
surmount the language barrier. By requiring these children
to sit and languish in regular English-language classes,
the Supreme Court, in Lau v. Nichols, found the school
district had denied them "a meaningful opportunity to
participate in the public educational program." To expect
non-English-speaking students to know English before they
can effectively participate in the educational program, the
court declared, "is to make a mockery of public education."
Casting itself directly into the plight confronting non-
English-speaking children, the Justices unanimously
concluded, "We know that those who do not understand English
are certain to find their classroom experience wholly
incomprehensible and in no way meaningful." The Supreme
Court rules that the rights of the non-English-speaking
Chinese children to an education were being denied, but

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[1]Taken and adapted from An Abstract of the Master Plan
for Bilingual-Bicultural Education (San Francisco: San
Francisco Unified School District, January 21, 1975).
Prepared by the Citizens Task Force for Bilingual Education
with assistance from the Center for Applied Linguistics.

they did not explore the nature of the required remedy. Instead, the Supreme Court remanded the case to the Federal District Court in San Francisco to fashion "appropriate relief" in the case.

To better understand the legal and educational significance of Lau v. Nichols, a summary is presented describing the arguments and rulings in the case and how federal courts and Congress have interpreted Lau in the past year.

On March 25, 1970, thirteen non-English-speaking Chinese American students filed suit in the Federal District Court in San Francisco against the San Francisco Board of Education, whose president happened to be Alan Nichols, on behalf of nearly 3,000 Chinese-speaking students. Their class-action suit, Lau v. Nichols, alleged that Chinese-speaking children were being denied their rights to an education because they were unable to comprehend or speak the English language in which their classes were taught. By denying these children special instruction in English, the school district was not only violating their rights to an education and to equal educational opportunities as guaranteed by the State of California and by federal and state legislation, but the school district was also "dooming these children to become dropouts and to join the rolls of the unemployed."

In their complaint, the non-English-speaking Chinese American students raised two basic issues: first, whether the SFUSD was required to provide them with special instruction in English; secondly, whether such special instruction in English must be taught by bilingual, Chinese-speaking teachers.

The suit asked the District Court to order the Board of Education to provide special English language classes with bilingual teachers and claimed that law enacted by both Congress and the California State Legislature demonstrated the need for bilingual teachers. Without such bilingual teachers, the plaintiffs contended, even special instruction in English would be a fruitless gesture, with students merely parroting teachers rather than learning English.

The lawsuit was not developed in a vacuum. It was brought because of a deep sense of frustration; it was the community's last resort after all avenues had been exhausted in hopes of overcoming the serious educational harm suffered by its children. For years the Chinese community employed meetings, negotiations, studies, demonstrations, and community-alternative programs to try and rectify the educational deprivations suffered by non-English-speaking children. All these efforts invariably resulted in token gestures, in the form of stopgaps here and there on the part of a school administration which

seemed to have neither the interest, the willingness, the competence, nor the commitment to cope with the thousands of limited English-speaking children in San Francisco. Ironically, such inaction by the school district was accompanied by an explicit recognition of the seriousness of the problem. The school district in 1969 admitted:

> When these [Chinese-speaking youngsters] are placed in grade levels according to their ages and are expected to compete with their English-speaking peers, they are frustrated by their inability to understand the regular work . . . for these children, the lack of English means poor performance in school. The secondary student is almost inevitably doomed to be a dropout and another unemployed [sic] in the ghetto.

During the court hearing, the school district freely admitted the grave needs of these children to receive special instruction, but contended that such needs did not constitute legal rights. The school district argued that its obligations to these children were satisfied by providing them the same educational setting offered to other children in the district. Though the school district acknowledged its desire to provide more special classes for limited English-speaking children, it said such classes would be offered "gratuitously," as personnel permitted, rather than as a matter of right and duty.

In its decision, the Federal Court agreed with the school district and denied the non-English-speaking children any relief. The Court expressed sympathy for the

plight of the students, but concluded that their rights to an education and to equal educational opportunities had been satisfied as "they received the same education made available on the same terms and conditions to the other tens of thousands of students in the SFUSD." Though the plaintiffs contended that the "surface" equality of identical textbooks, teachers, and classrooms afforded no education to non-English-speaking children, the Federal Court ruled the school district had no legal duty to rectify this situation. Access to the same educational system provided others, regardless of whether any educational benefits could be received, was the extent of a child's right to an education, according to the trial court.

The Chinese-speaking students appealed the decision to the U.S. Court of Appeals for the Ninth Circuit. Their contention that the lower court decision should be reversed was supported by the Attorney General of the U.S. who filed an avis-cus curie brief with the Ninth Circuit Court of Appeals. However, a three-judge panel affirmed the lower court decision on January 8, 1973, and accepted the school district's argument that its responsibility to non-English-speaking children "extends no further than to provide them with the same facilities, textbooks, teachers, and curriculum as is provided to other children in the district." The panel further observed that the problems suffered by the children were "not the result of law

enacted by the state . . . but the result of deficiencies created by the (children) themselves in failing to learn the English language."

Faced with the devastating appellate court decision, the Chinese-speaking children petitioned the U.S. Supreme Court to take their case and reverse the Appellate Court. On June 12, 1973, the U.S. Supreme Court granted the petition to hear the case and oral arguments were heard on December 10, 1973.

On January 21, 1974, the Supreme Court issued its unanimous decision reversing the Appellate Court opinion. Relying on Title VI of the Civil Rights Act of 1964, the Supreme Court ruled that the failure of any school system to provide English-language instruction to its non-English-speaking students constitutes a denial of "a meaningful opportunity to participate in the equal treatment of unequals," and refuting directly the position and language of the lower courts, the Supreme Court declared:

> There is no equality of treatment merely by providing students with the same facilities, textbooks, teachers, and curriculum; for students who do not understand English are effectively foreclosed from any meaningful education.

The unanimous decision by a court well-known for its relative judicial conservatism in matters related to education and civil rights is extremely significant. First, it emphasizes loudly and clearly that the court in

Lau was not concerned with the intentions or motivations of the school district.

Regardless of how much good faith a school district might be exercising in trying to meet the problem, the only relevant factor is whether the child receives a "meaningful" and "comprehensible" education and "effective participation in the educational program." It is to this aspect of the decision we now turn.

To date, all court decisions which have applied and interpreted Lau v. Nichols have concluded that Lau requires bilingual education to overcome the deprivations suffered by limited English-speaking children. In Serna v. Portales New Mexico School District, the U.S. Court of Appeals for the Tenth Circuit ruled on July 19, 1974, that bilingual education is the only appropriate remedy under the Lau decision. In Aspira v. Board of Education of the City of New York, the Federal District Court on August 29, 1974, relied on the Lau decision in sanctioning the immediate implementation of a complete bilingual-bicultural education program for nearly 200,000 Spanish-speaking Puerto Rican children in New York City. Similarly, the other court decision which has interpreted Lau, Keyes v. Denver Unified School District also held on April 9, 1974, that bilingual-bicultural education is required by Lau. The Federal Court in Keyes held that the Lau decision demonstrates that it is ineffective to require non-English-speaking children to

learn a language with which they are unfamiliar, and at the same time acquire normal basic learning skills which are taught through the medium of that unfamiliar language.

What these clarifying decisions by various federal courts across the nation conclude is that a school district, in order to fully comply with the mandate of the U.S. Supreme Court, should develop a plan that directly addresses the question of "meaningful and comprehensible education" for "effective participation" of students of limited English-speaking ability. It also means that the nonbilingual instruction currently provided under the ESL "pull-out" and newcomers programs, not to mention those limited English-speaking students not receiving any assistance at all, is grossly inadequate because it represents a continued absence of "meaningful" education and produces the very "mockery" to which Lau is addressed. In essence, the nonbilingual instruction offers the child, except for forty minutes a day, the same facilities, text-books, and teachers as those who understand English--the very situation found legally intolerable by the Supreme Court.

Finally, a few examples show that before the Lau decision both federal and state governments have reached the identical conclusion that the Supreme Court decision mandates bilingual education.

Even before the Lau decision, the Office of Civil
Rights of the U.S. Department of Health, Education and
Welfare, issued regulations on May 25, 1970, pursuant to
Title VI of the Civil Rights Act of 1964, to eliminate
discrimination against national-origin minority students.
The regulation states:

> Where inability to speak and understand the
> English language excludes national origin-
> minority group children from effective
> participation in the educational program
> offered by a school district, the districts
> must take affirmative steps to rectify the
> language deficiency in order to open its
> instructional program to these students.

According to J. Stanley Pottinger, then Director of
the Office for Civil Rights, "the drafting of the memoran-
dum reflected the operational philosophy that school
districts should create a culturally relevant educational
approach to assure equal access of all children to its full
benefits." The burden, according to this philosophy,
should be on the school to adapt its educational approach
so that the culture, language and learning style of all
children in the school (not just those of Anglo, middle
class background) are accepted and valued. "Children
should not be penalized for culture and linguistic
differences, nor should they bear a burden to conform to a
school-sanctioned culture by abandoning their own."
Representing the U.S. Government, Pottinger personally
appeared before the Supreme Court to argue in support of

Lau. On behalf of the U.S. Government, he has now entered the Lau case as a third party.

Throughout the enforcement of the regulation and educational policy development activities, the Office for Civil Rights consistently developed a number of bilingual-bicultural program models for implementation by school districts to equalize the educational opportunity for limited English-speaking children, beginning with the Beeville Independent School District in Texas. In April 1971, the Office for Civil Rights assembled a group of seventy-five outstanding Mexican American, Puerto Rican and Native American educators, psychologists, and community leaders in San Diego to begin the identification of bilingual-bicultural program models for the U.S. Office of Education. An intra-departmental Advisory Committee, established by the Office of Education, eventually helped develop a comprehensive bilingual-bicultural plan for the San Felipe Del Rio, Texas School District under Federal Court order. The court specifically ordered that "safeguards shall include, but shall not necessarily be limited to, bilingual and bicultural programs, faculty recruitment and training, and curriculum design and content (U.S. v. Texas, August 19, 1971)." Similarly, a bilingual-bicultural education plan for the Indian population was developed by a Task Force of the U.S. Department of Health, Education and Welfare in the Natonabah v. Gallup-McKinley

County Schools, February 8, 1973.

In conclusion, the purpose of including this discussion on Lau v. Nichols and the legal issues and remedies surrounding the case is to provide the necessary background information relevant to the understanding of the responsibilities facing school districts in Southern California.

APPENDIX C

HEW NEWS RELEASE, 23 JANUARY 1975

Office for Civil Rights
MATHIS--(202) 245-8871
(Home)--(703) 243-6212

FOR RELEASE IN A.M. PAPERS
Thursday, January 23, 1975

HEW-E70

The Office for Civil Rights has asked Chief State School
Officers in 26 States to help assure that some 333 school
districts are providing equal educational opportunity to
Spanish-surnamed, American Indian, Asian American, and other
national origin minority students.

The effort is a follow-up of a policy established in
May, 1970, placing responsibility on school districts receiving
Federal funds "to rectify the language deficiency and open
instructional programs" to national origin minority students
who face language barriers.

Peter E. Holmes, Director of the Office for Civil Rights,
said in his letter to the States that the U. S. Supreme
Court decided in Lau v. Nichols that failure of a school
district to provide special assistance to students who are not
proficient in English denies them a meaningful education, and
violates Title VI of the Civil Rights Act of 1964. Title VI
prohibits use of Federal funds for programs that discriminate
as to race, color, or national origin.

Holmes asked for a coordinated State-Federal approach in
gathering information needed to determine whether the school
districts are meeting their Title VI responsibilities.

- 2 -

Districts identified meet one or the other of these criteria:

1. Districts that report more than 4,000 national origin minority students who are not receiving any type of special language instruction.

2. Districts that report an enrollment of more than 1,000 national origin minority students with less than 10 percent of them receiving special language instruction.

In all, approximately 1.1 million national origin minority students are in the districts named.

"The fact that these students may not be receiving special language instruction on the basis of reports submitted by the districts to date is not in itself proof of discrimination," Holmes said. "But we do have a strong indication that we need to look further into situations that meet these criteria, and if we find problems, we will ask for corrective action."

Holmes said the U. S. Office of Education is exploring for ways to provide technical assistance and will also contact the state education agencies.

"By enlisting the State agencies in this effort," Holmes said, "the Office for Civil Rights will gain the benefit of their special knowledge, strengthen the possibility of voluntary resolution of problems, and increase the awareness of the States as to their own Title VI responsibilities."

Basically, the States are asked to assist in determining more specifically the need for new language instruction programs in each district, and the extent to which that need is being met.

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A major compliance review is underway in New York City which encompasses the question of equal educational services for national origin minorities, and similar on-site compliance reviews are planned in Chicago, Houston, Los Angeles and Philadelphia.

States and districts identified in Holmes' letter to chief state school officers are:

Alaska

Greater Anchorage Borough
North Star Borough
Unorganized State Schools

Arizona

Cartwright Elem.
Casa Grande Elem.
Chandler Elem.
Douglas Elem.
Dysart Elem.
Flagstaff Elem.
Glendale Elem.
Glendale Union High
Isaac Elem.
Mesa Elem.
Mesa High
Murphy Elem.
Nogales Elem.
Phoenix Elem.
Phoenix Union High
Roosevelt Elem.
Sunnyside Elem.
Tuba City Elem.
Washington Elem.
Window Rock Elem.
Yuma Elem.
Yuma Union High

California

ABC Unified
Alameda City Unif.
Alhambra City Elem.-High

California cont'd

Alisal Union Elem.
Alum Rock Union Elem.
Alvord Unif.
Anaheim Elem.
Antioch Unif.
Azusa Unif.
Baldwin Park Unif.
Bassett Unif.
Bellflower Unif.
Berryessa Union Elem.
Bonita Unif.
Brawley Elem.
Burbank Unif.
Campbell Union Elem.
Campbell Union High
Centinela Valley Union High
Centralia Elem.
Chaffey Union High
Chula Vista Elem.
Clovis Unif.
Coachella Elem.
Colton Joint Unif.
Corcoran Joint Unif.
Corona-Norco Unif.
Covina-Valley Unif.
Culver City Unif.
Cupertino Union Elem.
Delano Joint Union High
Dinuba Elem.
Downey Unif.
East Side Union High
East Whittier Elem.
El Centro Elem.
El Monte Elem.

El Monte Union High
El Rancho Unif.
Elk Grove Unif.
Evergreen Elem.
Fairfield Suisun Unif.
Fontana Unif.
Fowler Unif.
Franklin-McKinley Elem.
Fremont Unif.
Fremont Union High
Fullerton Elem.
Fullerton-Joint Union High
Garden Grove Unif.
Garvey Elem.
Gilroy Unif.
Glendale Unif.
Grant Joint Union High
Grossmont Union High
Hacienda-La Puente Unif.
Hayward Unif.
Hollister Elem.
Hueneme Elem.
Inglewood Unif.
Jefferson Elem.
Jefferson Union High
Jurupa Unif.
Kern Joint Union High
Kings Canyon Unif.
La Habra City Elem.
La Mesa-Spring Valley Elem.
Laguna Salada Union Elem.
Lawndale Elem.
Lennox Elem.
Little Lake City Elem.
Lodi Unif.
Lompoc Unif.
Long Beach Unif.
Los Angeles Unif.
Lucia Mar Unif.
Lynwood Unif.
Madera Unif.
Manteca Unif.
Mendota Union Elem.
Merced City Elem.
Merced Union High
Milpitas Unif.
Modesto City Elem & High
Montebello Unif.
Monterey Peninsula Unif.
Morgan Hill Unif.
Mt. Diablo Unif.
Mt. Pleasant Elem.

Napa Valley Unif.
Newark Unif.
Newport-Mesa Unif.
North Monterey Co. Union Elem.
North Sacramento Elem.
Norwalk-La Mirada Unif.
Oak Grove Elem.
Oakland Unif
Ocean View Elem.
Oceanside Unif.
Ontario-Montclair Elem.
Orange Unif.
Oxnard Elem.
Palo Alto Unif.
Palo Verde Unif.
Paramount Unif.
Parlier Unif.
Pasadena Unif.
Patterson Joint Unif.
Pittsburg Unif.
Placentia Unif.
Porterville Elem.
Redlands Unif.
Redondo Beach Elem.
Redwood City Elem.
Rialto Unif.
Richmond Unif.
Riverside Unif.
Rowland Unif.
Sacramento Unif.
San Bernadine Univ.
San Diego Unif.
San Gabriel Elem.
San Jose Unif.
San Juan Unif.
San Leandro Unif.
San Lorenzo Unif.
San Mateo Elem.
San Mateo Union High
Sanger Unif.
Santa Ana Unif.
Santa Barbara Elem.-High
Santa Clara Unif.
Santa Maria Elem.
Santa Maria Joint Union High
Santa Monica Unif.
Santa Paula Elem.
Santa Rosa Elem. & High
Selma Unif.
Simi Valley Unif.
South Bay Union Elem.
South San Francisco Unif.

- 5 -

California cont'd

South Whittier Elem.
Stockton Unif.
Sunnyvale Elem.
Sweetwater Union High
Torrance Unif.
Tulare City Elem.
Vallejo City Unif.
Ventura Unif.
Visalia Unif.
Vista City Unif.
Washington Unif.
West Covina Unif.
Westminster Elem.
Whittier City Elem.
Whittier Union High
Woodland Joint Unif.

Colorado

Adams Co.
Aurora
Boulder Valley
Brighton
Colorado Springs
Denver
East Lake (Thornton-Northglenn)
Greeley
Harrison
Jefferson Co.
Mapleton
Mesa Valley
Pueblo Co. Rural
St. Vrain Valley
Westminster

Connecticut

Bridgeport
Hartford
Stamford
Waterbury

Florida

Broward Co.
Dade Co.
Hillsborough Co.
Monroe Co.
Orange Co.
Palm Beach Co.

Kansas

Kansas City
Topeka
Wichita

Illinois

Chicago

Louisiana

Jefferson Parish

Maryland

Prince George's Co

Michigan

Detroit

Nebraska

Omaha

Nevada

Clark Co.
Washoe Co.

New Jersey

Camden
Elizabeth
Hoboken
Jersey City
Newark
Paterson
Perth Amboy
Union City
Vineland City
West New York

New Mexico

Alamogordo
Albuquerque
Artesia

APPENDIX D

HEW/OCR TASK FORCE REMEDIES OUTLINE

LAU Remedies outlined

by Dr. Jose A. Cardenas

In 1975 the Department of HEW issued a memorandum specifying remedies available to school districts for the elimination of past educational practices ruled unlawful under Lau v Nichols.

The effect of this memorandum is that a large number of school districts are in the process of developing plans to submit to HEW on approaches the districts will take in meeting the educational needs of children of limited English-speaking ability (LESA).

Since the Lau Remedies were developed for a variety of school situations affecting some 15 million children in most of the 50 states, for ethnic groups speaking a variety of languages, and for school district enrollments ranging in size from dozens to thousands and constituting from 1 to 99 per cent of the student population, it is understandable that there exists some confusion in the interpretation and implementation of the guidelines.

The understanding of two principles is important if school districts are to develop comprehensive plans responsive to the Lau remedies in ways which both adhere to the spirit of the Lau decision and allow the school district to develop coherent educational programs for all students.

First, it should be understood that the remedies are minimal and that they have been drawn to adhere to the narrowest legal interpretation of Lau v Nichols on the basis of the most promising current knowledge and thought relating to the education of children of limited English-speaking ability. Thus while a bilingual multicultural program for all children in a particular area may be best from a pedagogical perspective and most efficient from an administrative perspective, these cannot be required from a legal perspective given the Court's most current ruling on the education of LESA children.

Second, it is important to bear in mind that comprehensive planning to remove past inequities between groups of students is a major effort that requires a realistic assessment of available resources including time, staff, money, space, and curriculum, and the systematic acquisition, redirection, adaptation and utilization of these to meet the new objectives. Thus a comprehensive educational plan may be unacceptable to HEW-OCR when it projects unrealistic time-outcome expectations which may in fact be little more than lip service to the requirements of Lau. By the same token a school district can establish realistic projections for time-outcome expectations relative to Lau giving an indication of an intent to aggressively and systematically pursue the appropriate resources. The Lau Remedies require a plan, not a magic trick.

The HEW Office of Civil Rights has scheduled an extensive number of meetings with school personnel for Lau Remedy interpretation, and Office of Education sponsored technical assistance centers (GAC-Type 3) have been established to provide assistance to school districts in the implementation of remedies which respond to the Lau decision.

In spite of efforts to facilitate the implementation of Lau Remedies, some amount of confusion still exists as to the minimum requirements of school districts.

The following diagrams present the basic requirements of the Lau Remedies. Though not an official HEW interpretation, this simplified version based on educational administrative experience is practical, readily understood, and dispels the alarm, confusion and myths surrounding Lau Remedies. Furthermore a plan which provides for meeting the basic requirements outlined should be readily acceptable to HEW as meeting the guidelines stipulated in the Lau Remedies.

The development of a compliance plan calls for four phases: student identification, student language assessment, analysis of achievement data and program offerings. Additional requirements center on secondary education, staffing, student placement, parent communication, curricular and co-curricular offerings and reporting and evaluation requirements.

Although adherence to a narrow legal interpretation of Lau v Nichols has led to the formulation of what appear to be a complex conglomerate of specific requirements, the remedies simply require:

    a) that schools systematically and validly ascertain which of their clients are linguistically different;
    b) that schools systematically and validly ascertain the language characteristics of their clients;
    c) that schools systematically ascertain the achievement characteristics of their clients; and
    d) that schools match an instructional program to the characteristics as ascertained.

Phase I — Potential Student Identification

The screening process is initiated by the identification of a potential student population. These are students who may be target students as recipients of Lau Remedies, though the vast majority may not be affected.

Lau Remedies require three criteria for potential student identification: 1) first language acquired by the student, 2) the language most often spoken in the student's home, and 3) the language most often spoken by the student.

If the answer to all three is "English," the student is not a target student and requires no further Lau treatment.

If the answer to any of these three questions is a language other than English, the student is identified as a potential target student, though whether Lau treatment is required or the type of treatment to be offered is dependent on further

LAU Remedies

analysis

School personnel have expressed concern over the method to be used for the identification of potential target students. Lau Remedy guidelines are not specific on this question other than insisting on the obviously imperative condition that the assessor have competency in the language or languages to be assessed and that judgements which are to determine placement be validated through subsequent observation.

In very large school districts with large percentages of minority children this student identification phase may require extensive resources from the district, but a need for such resources may be kept to a minimum by utilizing parental assistance.

IDRA has developed a Community Language Survey form which may be utilized. In this form, intended to be sent home with the children, parents are asked to indicate the responses to the three questions dealing with first acquired language, language most often spoken in the home and language most often spoken by the child.

Responses given by parents can be expected to be fairly valid, though as stated previously some validation should be conducted since some parents have been known to fear school reprisals for allowing their children to speak a language other than English, and project this concern in their responses.

Parental fears may be assuaged through the utilization of professional and/or paraprofessional personnel who (a) speak the predominant language of the community, (b) reside in the community and/or are known to parents in the community and (c) can effectively communicate with parents the district's objectives in securing the information.

Phase II — Student Language Assessment

It follows that regardless of a student's first acquired language, language spoken at home or in a social setting, the type of program best suited for the student is one which is compatible with his language characteristics. Though a student may have spoken Spanish before learning English, if he no longer speaks Spanish placing him in an educational program in which basic skills are taught exclusively in Spanish is obviously questionable, although placing him in a linguistically heterogenous bilingual program where the child's dominant language is used for the teaching of basic skills while a second language is developed may have highly positive affective and cognitive outcomes. Therefore, it is necessary to assess the language characteristics of potential target students.

Such an assessment must be done utilizing a measure of language competence in English and other languages spoken by the student (See "FAL Measures Language Dominance," Sylvia Gil, IDRA Newsletter, Nov 1975).

Following such an assessment the student can be classified into one of five categories:

a) Monolingual in a language other than English
b) Predominant speaker of a language other than English, though he knows some English
c) Bilingual, i.e., has equal facility in English and some other language
d) Predominant speaker of English, though he knows some other language
e) Monolingual in English, speaks no other language.

Contrary to a concern expressed by some school personnel, Lau Remedies require that only elementary school students
Page 2

who are monolingual or are predominant speakers of a language other than English be placed in a bilingual education program (see diagram).

Students who are bilingual, predominant English-speaking, or monolingual English-speaking need not be placed in a bilingual education program, though other treatment may be required if the student is underachieving.

Phase III — Achievement Data

If a potential target student is not required to be placed in a bilingual program because he is in any of the three categories, bilingual, predominant English speaker, or monolingual English speaker, further treatment is dependent on the performance in school. If the student is performing at grade level expectancy no further Lau Remedies treatment is required, and he is dropped from the Lau target student population.

If a potential target student is underachieving it is required that the school system conduct a diagnosis of the learning problem and develop an individually prescribed educational plan to remedy the existing problem and assure improved performance.

Underachievement is defined in the Lau Remedies as performing at or below one standard deviation below the mean score for non minority (Anglo) children.

This definition of underachievement implies that school districts must determine achievement norms for non-ethnic/racial minority students. The standard deviation for these scores must be determined, and scores of potential target students must be compared with this criterion.

Phase IV — Program Offering

As discussed previously, the school district must provide two educational services for students under the Lau Remedies. Students who are monolingual or predominant speakers of a language other than English must be placed in a bilingual education program, defined by OCR in three ways (see diagram).

Students who are bilingual, predominantly or monolingual English-speaking must be diagnosed and an individually prescribed compatible program must be afforded.

Secondary Level

At the intermediate and high school levels the phases for the identification of the target population are the same as at the elementary level though the fourth phase, Program Offerings, allows for a wider array of options.

Students who are monolingual in a language other than English may be placed in any of four options available to the district:

1. A bilingual education program
2. A program in which the native language is used exclusively while English is being taught as a second language
3. A program in which subject matter is taught in the native language and then bridged into English as English is acquired in the subject matter courses.
4. Total immersion in an English as a Second Language (ESL) program or High Intensity Language Training (HILT) program until sufficient mastery of the English language allows the student to be placed in regular subject matter courses.

As in the case of elementary level students, secondary students who are not monolingual in a language other than English and underachieving must be diagnosed and given an individually prescribed program which assures improved performance.

MINIMAL LAU REMEDIES
Secondary Grades
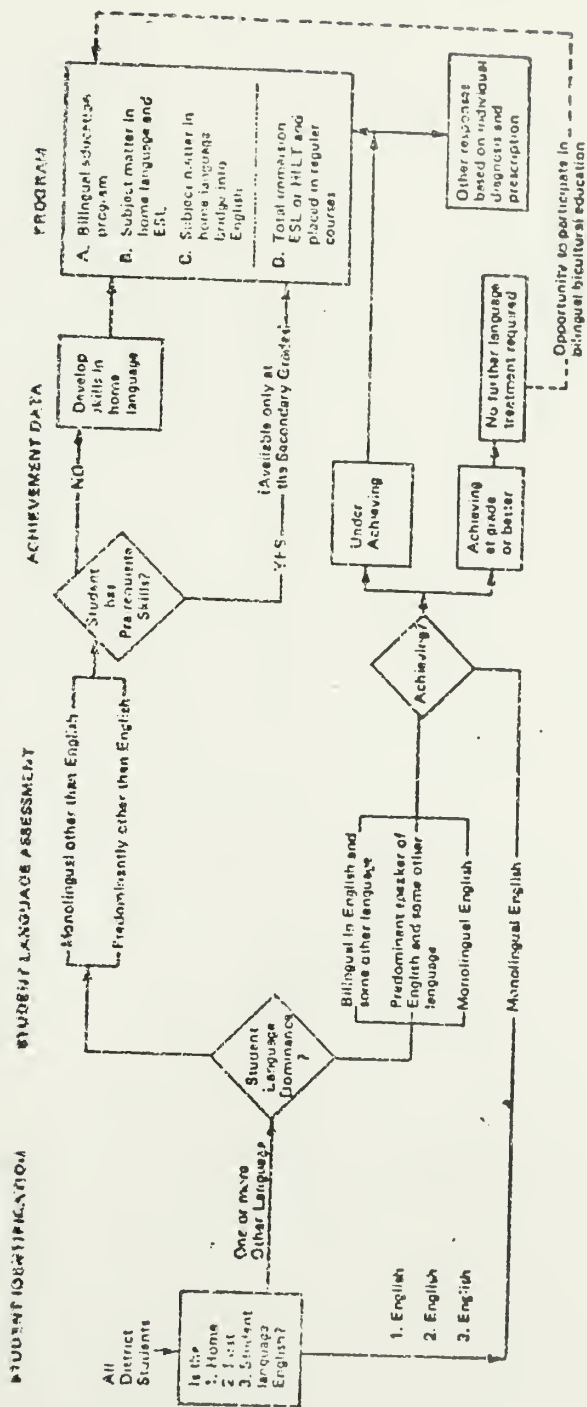
MINIMAL LAU REMEDIES*
Elementary and Intermediate Grades
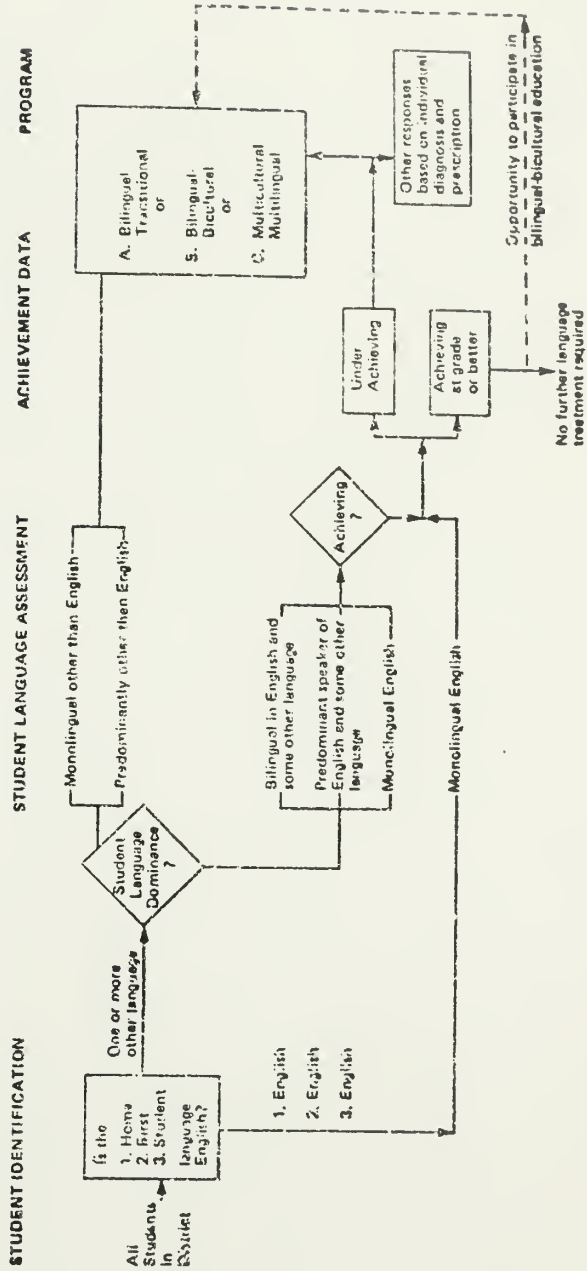
*Adapted from a diagram developed by the Area D
Lau General Assistance Center

APPENDIX E

REGION G LAU CENTER SIX-PHASE TECHNICAL
ASSISTANCE PROCESS

LAU GAC
Technical Assistance Process

```
┌─────────────────────────────────┐
│  Notification of Noncompliance  │
│   From Office of Civil Rights   │
└─────────────────────────────────┘
              ∨
┌─────────────────────────────────┐
│            PHASE I              │
│                                 │
│        Orientation to GAC       │
│      and Title VI Remedies      │
├─────────────────────────────────┤
│           GAC District          │
│         Letter of Agreement     │
├─────────────────────────────────┤
│    Community Leaders Workshop    │
└─────────────────────────────────┘
              ∨
┌─────────────────────────────────┐
│           PHASE II              │
│                                 │
│        Establishment of         │
│       Steering Committee        │
└─────────────────────────────────┘
              ∨
┌─────────────────────────────────┐
│           PHASE III             │
│                                 │
│        Needs Assessment         │
└─────────────────────────────────┘
              ∨
┌─────────────────────────────────┐
│           PHASE IV              │
│                                 │
│      Development of Master      │
│        Educational Plan         │
└─────────────────────────────────┘
              ∨
┌─────────────────────────────────┐
│            PHASE V              │
│                                 │
│     Development of Time Line    │
│        Management Plan          │
└─────────────────────────────────┘
              ∨
┌─────────────────────────────────┐
│           PHASE VI              │
│                                 │
│       Implementation of         │
│     Educational Master Plan     │
└─────────────────────────────────┘
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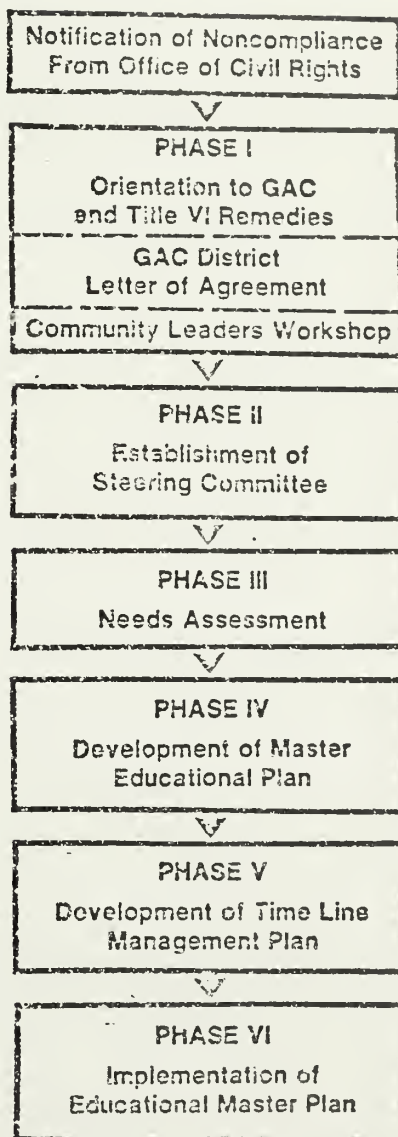
REGION G LAU CENTER SIX-PHASE TECHNICAL
ASSISTANCE PROCESS

The Region G Lau Center Six-Phase process for
delivering technical assistance to school districts is
described below.

PHASE I: Orientation to Region G Lau Center Capabilities
and to Title VI Civil Rights Act Regulations

Phase I begins with discussion of the school
district's expectations of Region G Lau Center technical
assistance, and makes school districts aware of Region G
Lau Center capabilities for assisting in the development
of an educational master plan for bilingual desegregation
to comply with Title VI and applicable state regulations.
In Phase I school districts are also made aware of the
Institute for Cultural Pluralism capabilities for assisting
in the development of an educational master plan for
bilingual desegregation. Phase I, Orientation, includes:

1. Discussion of school district and Lau Center
   expectations for delivery of technical assistance
   and training.

2. A review of Title VI and other applicable
   regulations governing bilingual desegregation.

3. A review of the functions and services of the
   Region G Lau Center.

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4. An overview of the Region G Lau Center six-phase
    plan for technical assistance and training.

5. An overview of the Institute for Cultural
    Pluralism's areas of educational service including
    an introduction to the Community, Home, Cultural
    Awareness and Language Training (CHCALT) teacher
    training model.

Phase II: Organization of a School District Lau Steering
           Committee to Develop an Educational Master
           Plan for Bilingual Desegregation

Phase II is designed to involve a representative group
of people from the school district and from the community
in the design, development, and implementation of an
educational master plan for bilingual desegregation. Phase
II, Organization of a School District Lau Steering
Committee, includes:

1. Securing a commitment from the school district to
    form and involve a representative group of people
    from the community, the staff and the student body
    in the activities of the Lau Steering Committee.

2. Establishing a process to select and guide the
    Lau Steering Committee.

3. Organizing a community relations workshop on the
    functions and development of a Lau Steering
    Committee.

4. Selecting and facilitating a Lau Steering

Committee of parents and/or community represen-
tatives, school district personnel, students,
university personnel and board members.

5. Planning activities to implement a Title VI needs
    assessment and a plan to comply with Title VI
    regulations.

6. Setting goals to achieve compliance with Title VI
    regulations and to develop an educational master
    plan for bilingual desegregation.

PHASE III: Implementation of a Title VI Needs Assessment

Phase III is carried out to identify the school
district's specific educational needs in order to comply
with Title VI regulations and to identify student
characteristics (especially oral language skills of limited
and non-English-speaking students), potential instructional
and curriculum needs, staff training needs, community
relations needs, counseling and guidance needs and
administrative needs. Phase III, Needs Assessment,
includes:

1. Identifying student language dominance and
    proficiency in first and second language, student
    achievement and sociocultural background.

2. Identifying school district characteristics.

3. Reconciling student characteristics and school
    district characteristics.

4. Reporting findings and delineating recommendations for the development of an educational master plan for bilingual desegregation.

PHASE IV: Development of An Educational Plan for Bilingual Desegregation

Phase IV develops a comprehensive educational master plan that recognizes cultural, racial, and linguistic differences as an integral and positive aspect of American society, while providing viable teaching designs, instructional programs, and multicultural curricula for teaching NES/LES students as well as English-speaking students. Phase IV, Development of an Educational Master Plan, includes:

1. Planning the framework of the educational master plan.

2. Specifying measurable educational objectives for bilingual-multicultural education.

3. Developing strategies for achieving stated objectives:

   a. Designing instructional programs to meet the needs of NES/LES students.

   b. Designing staff training programs and defining affirmative action goals.

   c. Designing the criteria for selecting, developing, field testing, and adapting curriculum materials.

d. Designing and planning community relations programs.

e. Determining the need and direction for administrative reorganization.

f. Determining the counseling, testing, and guidance needs of the NES/LES students.

g. Designing a fiscal plan and a management system to implement an educational master plan for bilingual desegregation.

PHASE V: Development of Time-Line and Management System to Implement the School District Educational Master Plan

Phase V is designed to (1) systematically provide for the unfolding of activities and implementation of educational objectives specified in the school district educational plan and (2) to designate the person(s) responsible for each activity and the resources needed to accomplish each activity. Phase V, Development of Time-Line and Management System, includes:

1. Developing management information and discrepancy analysis procedures for the implementation of the educational master plan.

2. Specifying personnel and resources to be involved in the implementation of the master plan.

3. Specifying persons responsible for implementing activities, making decisions, and monitoring the

progress of the educational master plan.

4. Specifying dates for initial and ongoing activities and for the implementation/completion of the master plan.

PHASE VI: Implementation of Educational Master Plan for Bilingual Desegregation

Phase VI is designed to provide the equal educational benefits that constitute equal educational opportunity for NES/LES students. Implementation requires:

1. Developing and implementing instructional programs to meet the needs of NES/LES students.

2. Developing and implementing staff training and inservice programs.

3. Selecting, developing, field testing, and adapting curriculum materials.

4. Implementing a community relations program.

5. Developing and implementing administrative organization to meet the needs of NES/LES students.

6. Implementing a management system.

7. Determining further technical assistance and training required to implement the educational master plan.

APPENDIX F

OPINION SURVEY ON LAU CENTER TECHNICAL
ASSISTANCE SERVICES

During the period of July 1975 through April 1977 the
Region G- Lau Center has been providing technical assistance
to school districts in Southern California for the purpose of
assisting districts develop educational plans for meeting the
Lau v. Nichols Supreme Court decision.

Presently, the Lau Center is in the process of evaluating
its delivery system approach and activities for providing tech-
nical assistance to school districts in Southern California.

In order for the Lau Center to be a more effective project
in providing assistance to districts in meeting the Lau decision
I would like to request your assistance in completing the attached
opinion survey. The input from the opinion survey will be sub-
mitted to the Lau Center staff for the purpose of planning future
activities and developing broader competencies and approaches in
providing technical assistance to districts.

Enclosed, please find a self-addressed and stamped envelope.
Your most immediate response to the attached opinion survey will
be greatly appreciated.

Should you need further information, please let me know
(714) 286-6656. Other persons to contact are Mr. Leonard Fierro,
Ms. harriett Romo and Dr. Juan Hurtado.

Sincerely,

AMO:ja

Enc.

Alberto N. Ochoa
Assistant Professor
School of Education
San Diego State University

OPINION SURVEY ON LAU CENTER TECHNICAL ASSISTANCE

SERVICES

(1975 - 1977)

The purpose of this series of questions is to survey district personnel in Southern California that directly or indirectly have been involved with the Region G-General Assistance Center (Lau) at San Diego State University in developing educational plans to meet the Lau v. Nichols Supreme Court decision. The intent of the survey is to assist the Region G-Lau Center in planning future field activities, workshops, manuals and in assessing its technical assistance delivery process and staff. Your cooperation is greatly appreciated. Your responses will be held in strict confidence. If you have any questions regarding this survey, please call Alberto Ochoa at 714 286-6656.

School District:_____

City: _____

Directions: For each of the following questions, please circle the number corresponding to the most appropriate response category and fill in the appropriate space when necessary.

Your district has requested technical assistance from the Lau Center for the purpose of:

	Yes	No	Not Applicable
1. interpreting federal guidelines	1	2	3
2. assessing the district's educational plan	1	2	3
3. providing inservice training to district staff on Lau compliance	1	2	3
4. assisting in the development of an educational master plan	1	2	3
5. participating in a Lau sponsored workshop/ conference	1	2	3
6. reviewing and selecting curriculum materials for limited English speaking students	1	2	3

	Yes	No	Not Applicable
7. assisting in community relations activities	1	2	3
8. providing assistance to the district Task Force Committee responsible for developing a district Lau plan	1	2	3
9. assisting in determining oral language assessment procedures	1	2	3
10. assisting your district to respond to an Office for Civil Rights request for a plan	1	2	3
11. other (specify_____)	1	2	3

12. Who is the person responsible for the coordination of Lau activities in your district? (please circle the appropriate responses)

	Yes	No	Not Applicable
a. Superintendent	1	2	3
b. Assistant Superintendent	1	2	3
c. Principal(s)	1	2	3
d. Bilingual Coordinator	1	2	3
e. Compensatory Education Director	1	2	3
f. Resource Teacher (bilingual education)	1	2	3

If the Lau Center were to undertake specific technical assistance functions in providing services to your school district, please indicate your degree of preference for the following service functions (please circle number corresponding to the most appropriate response category)

	Not Important		Somewhat Important		Most Important
13. As a facilitator in building a climate of motivation that involves district personnel in developing a comprehensive educational master plan for limited and non-English speaking students	1	2	3	4	5
14. As a facilitator of communication that provides district personnel with relevant and accurate information in assisting your district in developing and implementing a comprehensive educational master plan for Lau students	1	2	3	4	5

	Not Important	Somewhat Important	Most Important		

15. As a facilitator for promot-
ing positive interaction among
all role groups in the district
in the development and implement-
ation of an educational master
plan

　1　　2　　3　　4　　5

16. As a facilitator in establishing
a broad based decision making
process for the development and
implementation of an educational
master plan

　1　　2　　3　　4　　5

17. As a facilitator in assisting the
district in establishing goals for
meeting compliance with federal
regulations

　1　　2　　3　　4　　5

18. As a facilitator in assisting the
district in the development of
guidelines for determining the
effectiveness and quality of its
educational services for limited
and non-English speaking students

　1　　2　　3　　4　　5

19. As a facilitator in identifying
NES/LES students and defining a
process for student language
assessment

　1　　2　　3　　4　　5

20. As a facilitator in identifying
program models that effectively
meet the needs of LES/NES students

　1　　2　　3　　4　　5

21. As a facilitator in providing
support to the district admin-
istration in assessing school
needs and devising strategies
for attaining a climate of equal
educational benefits

　1　　2　　3　　4　　5

22. As a facilitator in assisting the
district in forecasting educat-
ional trends &needs of the
student population through
planning processes

　1　　2　　3　　4　　5

23. As a facilitator in providing
support to the district admin-
istration in resolving community
and school conflicts pertaining
to bilingual-multicultural ed-
ucation

　1　　2　　3　　4　　5

	Not Important		Somewhat Important		Most Important
24. As a facilitator in assisting the district in the development and implementation of a needs assessment process	1	2	3	4	5
25. As a facilitator in assisting the district develop a management component that monitors the implementation process and staff effectiveness	1	2	3	4	5

In developing an educational master plan for Lau students to what degree do the following role groups within your district exert the most influence in the development of that plan?

	No Influence		Some Influence		Great deal of Influence
26. School Board Members	1	2	3	4	5
27. Superintendent	1	2	3	4	5
28. District Office Administrators	1	2	3	4	5
29. Principals	1	2	3	4	5
30. Teachers	1	2	3	4	5
31. Para professionals	1	2	3	4	5
32. Teacher Unions	1	2	3	4	5
33. Student(Involvement)	1	2	3	4	5
34. Business Groups (Chamber of Commerce) etc.	1	2	3	4	5
35. Local Government Officials	1	2	3	4	5
36. Target Community	1	2	3	4	5
37. Parent Teacher Associations	1	2	3	4	5
38. Local Advocacy Agencies	1	2	3	4	5
39. Other (Specify_____)	1	2	3	4	5

In implementing an educational master plan for Lau students, to what degree should the following role groups be involved?

	Not at All		Somewhat		A Great Deal
40. School Board Members	1	2	3	4	5
41. Superintendent	1	2	3	4	5
42. Central Office Administrators	1	2	3	4	5
43. Principals	1	2	3	4	5
44. Teachers	1	2	3	4	5
45. Paraprofessionals	1	2	3	4	5
46. Teacher Unions	1	2	3	4	5
47. Student (Involvement)	1	2	3	4	5
48. Business Groups (Chamber of Commerce)etc.	1	2	3	4	5
49. Local Government Officials	1	2	3	4	5
50. Target Community	1	2	3	4	5
51. Parent Teacher Association	1	2	3	4	5
52. Local Union Advocacy Agencies	1	2	3	4	5
53. Other (Specify_____)	1	2	3	4	5

54. Your district is at what level in addressing the Lau v. Nichols Supreme Court decision? (please circle the appropriate response)

	Yes	No	Task Completed	Not Applicable
a. formulating initial plans	1	2	-3	4
b. developing a skeletal educational plan	1	2	3	4
c. developing an educational master plan	1	2	3	4
d. implementing an educational master plan	1	2	3	4
e. other (specify_____)	1	2	3	4

The impact of the <u>Lau</u> v. <u>Nichols</u> Supreme Court decision in your district has had an effect on:

	<u>Minimal</u>		<u>Somewhat</u>		<u>A Great Deal</u>
55. developing educational plans for limited and non-English speaking students	1	2	3	4	5
56. establishing staff development inservice programs	1	2	3	4	5
57. District educational policies	1	2	3	4	5
58. district allocations (budget)	1	2	3	4	5
59. instructional programs	1	2	3	4	5
60. communication with community	1	2	3	4	5
61. hiring policies	1	2	3	4	5
62. administrative responsibilities	1	2	3	4	5
63. curriculum (selection of materials)	1	2	3	4	5
64. public relations	1	2	3	4	5
65. testing procedures	1	2	3	4	5
66. student placement	1	2	3	4	5
67. short and long-range planning	1	2	3	4	5
68. other(specify _____)	1	2	3	4	5

What specific technical assistance services would you like the Region G-Lau Center to undertake in the future in assisting your district develop and implement an educational master plan:

	<u>Not Important</u>		<u>Somewhat Important</u>		<u>Most Important</u>
69. Implement workshops in the areas of oral language assessment and language determination	1	2	3	4	5
70. Implement workshops in the areas of diagnostic and prescriptive strategies and multicultural bilingual curriculum	1	2	3	4	5
71. Implement workshops in the areas of community relations	1	2	3	4	5
72. Implement workshops in the areas of administrative organization (regulations, management, affirmative action etc.)	1	2	3	4	5

-6-

		Not Important		Somewhat Important		Most Important
73.	Implement inservice work- shops to district personnel in the development of Lau educational master plans (district and school levels)	1	2	3	4	5
74.	Provide assistance in the development and implementation of process and product eval- uation procedures	1	2	3	4	5
75.	Assist your district Lau Steer- ing Committee in developing and implementing an educational master plan	1	2	3	4	5
76.	Provide on-site technical assistance to your district personnel in reference to some component of the educational master plan	1	2	3	4	5
77.	Assist your district in the implementation of the Lau Center Six-Phase Technical Assistance Process	1	2	3	4	5
78.	Provide technical assistance manuals that operationalize the Lau Center Six-Phase Technical Assistance Process	1	2	3	4	5
79.	Provide up-to-date information concerning federal and state guidelines, regulations, legislation, policies, staff development	1	2	3	4	5
80.	Provide resources and refer- ences to program models, curricu- lum, materials, process that have been implemented in other districts	1	2	3	4	5
81.	Provide informational presen- tations to school district, personnel (central office, administrators)	1	2	3	4	5
82.	Provide informational presen- tations to teacher groups and unions	1	2	3	4	5

		Not Important		Somewhat Important		Most Important
83.	Provide informational presentations to parents	1	2	3	4	5
84.	Provide informational presentations to school board members	1	2	3	4	5
85.	Facilitate a dialogue among groups that express fears and concerns regarding the implementation of the Lau decision	1	2	3	4	5
86.	Provide models, alternative approaches and examples of existing operating programs	1	2	3	4	5
87.	Provide Lau materials, documented information and defined processes to district personnel	1	2	3	4	5
88.	Provide specialized consultants to assist in the development and implementation of the plan	1	2	3	4	5
89.	Other(please specify_____)	1	2	3	4	5

90. How has the target community in your disrict been involved in developing or implementing your Lau educational master plan?

	Not at All	Some	A Great Deal	Not Applicable
a. informational	1	2	3	4
b. advisory	1	2	3	4
c. task force committees/advisory	1	2	3	4
d. decision making	1	2	3	4
e. other (specify_____)	1	2	3	4

How are the educational needs of limited and non-English speaking students determined in your district?

		Least Often Used		Somewhat Used		Most Often Used
91.	formal testing procedures	1	2	3	4	5
92.	psychological testing	1	2	3	4	5
93.	principals' evaluation of school needs	1	2	3	4	5
94.	questionnaires/surveys	1	2	3	4	5
95.	teacher judgement/opinion	1	2	3	4	5

-3-

	Least Often Used		Somewhat Used		Most Often Used
96. district data (surname, absenteeism, drop-out rates, retention, etc.)	1	2	3	4	5
97. other, (specify_____).	1	2	3	4	5

Please comment on the following questions:

98. What, in your opinion, are the <u>problems</u> your district has faced in <u>developing</u> a Lau educational master plan?

99. What, in your opinion, are the problems your district is facing in <u>implementing</u> a Lau educational master plan?

Thank you for your assistance and cooperation.

APPENDIX G

VALUE SCALE FOR PLOTTING DISTRICTS

PLANNING PROCESS SCALE

Stage I: Determination of Legal Requirements

    +2   Strong Motivation to comply
    +1   Acceptance to comply
     0   Not applicable
    -1   Nonacceptance to comply
    -2   Strong Negative Motivation not to comply

Stage II: Initiation of Compliance

    +2   Strong Positive Involvement in task
    +1   Positive Involvement in task
     0   No Involvement in task
    -1   Negative Involvement in task
    -2   Strong Negative Involvement in task

Stage III: Implementation of Compliance

1. Specification of Scope and Proposed Organizational
    Change

    +4   Strong Positive Accomplishment of task
    +2   Positive Accomplishment of task
     0   No Involvement in task
    -2   Negative Accomplishment of task
    -4   Strong Negative Accomplishment of task

2. Mutual Adaptation of Plan and Institutional Setting

    +4   Strong Mutual Adaptation
    +2   Mutual Adaptation
     0   Non-implementation
    -2   Cooptation
    -4   Strong Cooptation Effort

3. Implementation of Strategy to Operationalize Plan

    +4   Strong Positive Accomplishment of task
    +2   Positive Accomplishment of task
     0   No Involvement in task
    -2   Negative Accomplishment of task
    -4   Strong Negative Accomplishment of task

Stage IV: Incorporation of Compliance

    +6   Strong support
    +3   Support
     0   No action or Implementation
    -3   Lack of Support
    +6   Strong Lack of Support

ORGANIZATIONAL CLIMATE AND MOTIVATIONAL CHARACTERISTICS SCALE

DISTRICT VALUE POSITION	DETERMINATION OF LEGAL REQUIREMENTS	INITIATION OF COMPLIANCE				IMPLEMENTATION OF COMPLIANCE			INCORPORATION OF COMPLIANCE	
	Attitude towards Compliance	Community Pressure	Organizational Leadership and Involvement	Attitude towards Planning Process	Effort of Goal Setting and Planning	Communication Flow of Information	Administrative Support and Commitment	Participation of Key Actors	Degree of District Priority towards Educational Plan	Congruence between Priority of Plan and Actual Incorporation
Ignoring Violation: Legal and Hostile	Shock −2	Active Power Structure −2	Dormant Leadership and Dormant Involvement −2	Status Quo −2	Dormant −2	Legal and Random −4	None −4	Superintendent and Legal Counsel −4	None −6	None −6
Denial of Wrongdoing Political and Hostile	Defensive Retreat −1	Active Power Structure and Dormant Target Community −1	Autocratic Leadership and Consultive Involvement −1	Mechanistic −1	Expedient and Limited −1	Procedural and Ritualized −2	Limited Support and Limited Commitment −2	Superintendent and District Cabinet −2	Piecemeal −3	Minimal Congruence −3
Minimal Intent: Bureaucratic and Passive	Acknowledgment +1	Active Power Structure and Active Target Community +1	Participative Leadership and Consultative Involvement +1	Opportunistic +1	Synthesizing Administratively +1	Contingent Communication Dependent on Need +2	Support but Limited Commitment +2	−District Central Administration −Principals −Resource Teachers +2	Conditional upon Available Supplemental Resources +3	Some Congruence +3
Positive Affirmative Steps and Receptivity	Adaptation and Change +2	Collaborative Power Structure and Target Community +2	Collaborative Leadership and Broadbased Involvement +2	Problem Solving +2	Exhaustive and Integrative District-wide +2	Continuous Clear and Systematic +4	Support and Commitment +4	−District Central Administration −School Board −Principals −Resource Teachers −School Staff −Community leadership +4	High Level of ADA Resources and Local Effort +6	High Level of Congruence +6

APPENDIX H

GRIDS FOR ASSESSING DISTRICT
PLANNING BEHAVIOR

RATING PROCEDURES FOR ASSESSING THE PLANNING
PROCESS AND ORGANIZATIONAL CLIMATE
BEHAVIOR OF SCHOOL DISTRICTS

The criteria for rating a school district's planning
process behavior (task activity) and organizational climate
behavior (receptivity) is based on the identified
characteristics described in Chapters 3 and 4 for each
respective dimension.

In rating the planning process (task activity)
dimension, Figure 6 (p. 130) and the planning process scale
(p. 314) were used to derive at a value score for each
characteristic of the four-stage planning process of Lau
compliance.

The rating of the organizational climate (receptivity)
dimension used Figure 7 (p. 136) and its value scale
(p. 316) to derive at a score for each characteristic of
the four-stage planning process of Lau compliance.

See pages 319-320 for a sample of a district rating in
each of the two dimensions (task activity and receptivity).

ORGANIZATIONAL PLANNING PROCESS ACTIVITY

	I. Determination of Legal Requirements — Compliance	Score	II. Initiation of Compliance	Score	III. Implementation of Compliance	Score	IV. Incorporation of Compliance	Score	
1.	Non-compliance value position taker, by school district in addressing Title VI (CRA "64) regulations		1. Systematic planning approach towards organizational change	3/74 to 4/77	1. Specification of scope of proposed organizational change	4/77 to 1/78	1. District support 1/78	0	
			1.1 Defining the problem	0			2. Allocation of fiscal resources 1/78	-3	
			1.2 Defining participation	—	1.1 Centrality of goals (compatability)	2	3. Importance ascribed to the implementation of Lau Plan 1/78	3	
	1.1 Ignoring Violation 11/75	-1	1.3 Establishing a planning group	—	1.2 Nature and extent of change (for compliance)	2			
	1.2 Denial of wrong-doing		1.4 Goal setting	0	1.3 Complexity of change (short and long range)	-2	4. Organizational political force inhibiting or promoting the Lau Plan 1/78	-3	
	1.3 Bureaucratic 3/76 and Passive	+1	1.5 Specifying needs	-1	1.4 Consonance of plan (to needs of community)	2			
	1.4 Positive and Receptive		1.6 Determination of needs	—	2. Mutual adaptation of plan and institutional setting				
			1.7 Development of educational master plan	—	2.1 Mutual adaptation	—			
			1.8 Specification of enabling resources	—	2.2 Nonimplementation				
			1.9 Establishing a management system	0	2.3 Cooptation	0*			
			1.10 Procedures for implementation	0	3. Implementation of stragegy to operationalize plan	-4			
					3.1 Critical participation				
					3.2 Adaptive implementation	2			
					3.3 Resource re-allocation	-2			
					3.4 Articulation of educational services	-2			

* w/existing resources, personnel vs. Lau litigation of plan and demands

TOTAL	I	II	III	IV
+	1	6	6	3	14
-	1	0	12	6	19
	+6		-9		-3

ORGANIZATIONAL CLIMATE AND MOTIVATIONAL CHARACTERISTICS

DETERMINATION OF LEGAL REQUIREMENTS		INITIATION OF COMPLIANCE				IMPLEMENTATION OF COMPLIANCE			INCORPORATION OF COMPLIANCE	
Attitude towards Compliance	Community Pressure	Organizational Leadership & Involvement	Attitude Towards Planning Process	Effort of Goal Setting and Planning	Communication Flow of Information	Administrative Support and Commitment	Participation of Key Actors	Degree of District Priority Towards Educational Plan	Degree of Congruence between Priority of Plan and Actual Implementation	
Ignoring Violation: Legal & Hostile									None	None
Shock –2	Active Power Structure –2	Dormant Leadership & Dormant Involvement –2	Status Quo –2	Dormant –2	Legal and Random –4	None –4	Superintendent & Local Counsel –4	None –6	None –6
Denial of Wrong-Doing: Political & Hostile	Defensive Retreat –1 4/75	Active Power Structure and Dormant Community 3/76	Autocratic Leadership & Consultive Involvement –1 Fall '76	Mechanistic +1 Fall '77	Expedient and Limited –1	Procedural and Situational –2 Aug '77	Limited Support and Limited Commitment –2	Superintendent and District Counsel –2	Staff Mtg –3	Minimal Congruence –3 Jun. '78
Bureaucratic & Passive: Minimal Intent	Acknowledgement +1 3/76	Active Power Structure and Active Target Community +1 Fall '76	Participative Leadership and Consultive Involvement +1	Opportunistic +1 May '77	Synthesizing Administratively +1 Jun '77	Content Communication Dependent on Need +2	Support but Limited Commitment Fall '77 +2	District Central Administration Delegation Resource Teachers +2 Dec '77	District Conditions Usage Availability Supplies/Resource +2	Some Congruence +3
Positive Affirmative Steps & Receptivity	Adaptation & Change +2	Collaborative Power Structure and Target Community +2	Collaborative Leadership & Broad Based Involvement +2	Problem Solving +2	Exhaustive and Integrative District-Wide +2	Continuous, Clear and Systematic +4	Support and Commitment +4	District Central Administration School Board Principals Resource Teachers School Staff Community +4	High Receptivity of Effort +6	High Level of Congruence +6

Total ÷ +2
2/8(cells) = .25

Total ÷ +2
2/5(cells) = +.4

DISTRICT VALUE POSITION

	Stage					Total
	I	II	III	IV		
+		4	4	3		12
–		2	2	3		8
	3/2			÷/2	NA	
	.25			.4	.31	