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Barbara R. S. Soriano
Utah State University

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AN EVALUATION STUDY OF SITE-BASED MANAGED

BEHAVIORS IN A RURAL UTAH SCHOOL

by

Barbara R. S. Soriano

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ABSTRACT

An Evaluation Study of Site-Based Managed

Behaviors in a Rural Utah School

by

Barbara R. S. Soriano, Master of Science

Utah State University, 1998

Major Professor: Dr. Lani M. Van Dusen
Department: Psychology

Site-based management (SBM) in schools can trace its roots back to two phenomena,

citizen's movements in large cities such as New York in the late 1960s and decentralization efforts

of business in the 1970s. Both were done in the belief that achieving a better result can be done

through decisions made by the people closest to the process. Site-based management programs are

diverse. Some stress one aspect, the restructuring of the school administration and program to

affect achievement. Other schools stress a second aspect, the empowerment of teachers and

stakeholders to make administrative decisions.

Whichever emphasis chosen, several changes must occur for school management to move

from the central office to the local school. These changes are evolutionary, taking 10-15 years.

An evaluation study in a northern rural Utah school that has been involved with site-based

management since 1990 allows for a context to understand the changes that might occur, namely,

(a) the relinquishment of central school district authority; (b) the assumption of authority by the

local school; (c) the assumption of accountability for student achievement; (d) the development of

sensitivity between school and community; and (e) the development of consensus among school stakeholders.

An instrument was developed for the evaluation, the Site-Based Management Progress Check. The instrument used items covering the agents and activities that would be present as these five changes occur. Additionally, the largest portion of the progress check was based on the goals in the school. As respondents showed more agreement concerning which goals were chosen and achieved, an inference was made that greater progress had occurred toward the team activity necessary for local school management. The data were provided by 100% of the lower-elementary teachers; upper-elementary teachers, however, were poorly represented, restricting data generalizability.

The study indicated that, despite its 7-year involvement with site-based management, the school was still at an early stage of development with no change in district authority and no use of stakeholder groups to monitor goals. The school did have a wide base of teacher leadership. Slow progress seems to be related to lack of knowledge of SBM processes.

(120 pages)

ACKNOWLEDGMENTS

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INTRODUCTION

In 1983, the National Commission on Excellence in Education, a special committee instituted by the United States Department of Education, published its report, <u>A Nation at Risk: The Imperative for Educational Reform</u>. The report focused on the inability of the nation's school systems to produce students who were meeting standards of excellence, in this instance, standards that would allow the United States to compete in a global market. The publication of this report launched what reviewers have referred to as reform waves (Lieberman, 1988): (a) reform in education laws and regulations at both federal and state levels (Center for Policy Research in Education, 1989; Hanson, 1991); (b) reform of the nation's teaching profession--from preparation in the university to performance in the public school (Darling-Hammond, Lieberman, McLaughlin, & Miller, 1992), and (c) reform at the local school site--its governance and its practices (Hill & Bonan, 1991).

A large part of the activity associated with the first two waves of reform has occurred. Legislatures have mandated changes and very often tax increases to fund the changes. Prestigious universities and foundations have joined together to back teacher reform.

What is now underway is the third wave of reform, a change in the governance of the schools. During the first two reform waves, legislators and administrators found out that it was possible for them to mandate change, but they could not control change. The real change agents are at the school site. Teachers, principals, and parents affect what happens in the school building. For this reason, reform advocates recommend a strategy from business.

In the business world, restructuring has required that decisions be moved from the boardroom to the field office. Similarly, reform advocates state that if change is to occur at the school site, then the denizens of the school site need a voice in the change. How much of a voice is

not clear. Whether the local citizenry should be advisors, planners, managers, or governors has not been worked out. But, the trend towards local site involvement in school governance is so strong, being supported by both liberal and conservative advocates, that the management structures in public education will be impacted into the next century.

In other words, the business of schooling, just as other businesses have over the last decade, is most likely to become much leaner at the top, with more and more management functions being transferred to the local site. Management at the local site is commonly called site-based management and includes budget, personnel, and program decisions. Schooling, it is believed, will become customer-driven primarily because these key organizational functions will be much closer to the people the school serves.

At a time when more efficiency is sought in the use of governmental resources and when little trust is put in the managers that have had control for the past decades, site-based management has tremendous public appeal. The political and social forces supporting this trend are apt to be just as long-lasting as the previous school governance reform, consolidation of school districts.

Therein lies the balance point. If school districts have been involved in a three-to-four decade change wherein they have acquired considerable power, will they easily let loose of the reins? Or, in the end, will some synthesis result where power is customer-driven but the district still maintains its power of oversight?

The customer-driven emphasis, of course, is familiar terminology in business. Other business world terms shared by site-based management for schools are "stakeholders," "strategic planning," "total quality management," "team building," and "participatory decision making." In the school environment, the terms thus far have been ambiguously defined.

For example, driving the local site management process is what is most frequently known as the school improvement council. Because the composition and decision-making processes for

this group are not well-defined, other ambiguities result. Should the principal, who is regarded as a facilitator of the decision making, then become an enforcer of the decisions? Should councils handle certain decisions, with the district office and board maintaining authority in others? Who plans the strategic plans and participates as a team member implementing the plan?

Finally, how will success (quality) be defined and judged? At this time, case histories of local school councils are the best source of information about what councils use as operating definitions and definitions of success. Yet, they are inefficient tools for measuring change over time. By most accounts, a change in governance takes 3 to 5 years for planning and 5 years or more for implementation. During that time relationships and lines of power among the key players change. Case histories are too labor intensive to use as regular measuring devices over a 10-year period, and they are too rich in detail to isolate the key variables that shift as relationships among the stakeholders shift. Finally, case histories cannot be used in the end to correlate with quantitative variables that might be used to gauge success, whether it be student achievement or consumer satisfaction.

It therefore is necessary to develop instruments that can be used in school council environments to determine what variables are shifting over time. If schools wish to take the energy to create a different governance system, both the changes in stakeholder relationships and the changes in council management must be documented.

This study will use descriptive instruments that document the structure of a council, its decision-making processes, the breadth of decision coverage, and the climate that serves as context for the council decisions. If used at several points in the history of the council, local school stakeholders can determine what progress they have made and where to head next in the long road to achieving site-based management, and thus consumer-driven schooling.

LITERATURE REVIEW

Three Reform Waves; Changes in Governance

Site-Based Management and School Restructuring

Reformers have pointed to the declining ability of the nation's schools to produce students who can compete in the world's marketplaces. They have suggested that schools do not need new programs or new money; they need a total restructuring. In the wake of this reform emphasizing local restructuring, federal and state governments, businesses, private foundations, and universities have announced proposals regularly that would alter large parts of the school structure--the school day, year, resources, purposes, and routines (Feir, 1995).

A key facet of school structure is how schools are managed, and one of the major proposals for restructuring school management is site-based management (SBM). SBM, as it will be seen in the following discussion, is being implemented in various ways, partly because people do not quite understand how major a change it is from the centralized management structures of the past decades. More than this, however, varying implementations derive from two distinctly different perspectives of local school self-management: (a) devolution of authority from the central office to local school sites and (b) empowerment of teachers to make decisions concerning school programming.

Differences Between Centralized Management and SBM

Management at the school site differs from prevailing school management structures in at least three ways: (a) the source of decision-making authority, (b) the degree of specialization required of the decision-makers, and (c) the number of authority levels.

Source of decision-making authority. Under SBM, the stakeholders of a local school make decisions and the district administrators work to see that the decisions are implemented effectively. The school building principal may initiate decision-making activity or work to develop such initiative among stakeholders. The district school board maintains its legally required authority through school-site accountability for the results of the schooling.

Specialization required. Under SBM, district specialists as well as local specialists function to provide information before a decision is made, not to control the decision. Decision makers need to know how to use information; they do not need to be experts themselves.

Levels of authority. SBM focuses decision making authority at the local level; thus,the need for multiple layers of district administration to provide oversight is reduced. The SBM philosophy is to put more trust in the ability of the local school site to operate without centralized oversight.

The Impact of SBM on School Governance

Placing even small amounts of management function at the school-building level is likely to have lasting effect on school governance, reversing the trends of centralized management over the past 40 years. An indication of how broadly local site priority has occurred is in the number of states that have developed waiver procedures. A waiver is an allowance by the state (and/or others) whereby schools may petition to disregard school code strictures. Twenty states have some form of waiver system (Bowers, 1990) so that local schools can make curriculum selections, time schedule or calendar decisions, and even personnel and budgetary changes.

An Overview of the Reform History

Several reviewers date the current impetus for change in how schools are managed as coming from the 1983 publication of A Nation At Risk: The Imperative for Educational Reform

(Hess, 1991; Orlich, 1989; Timar & Kirp, 1989). The publication focus was on student performance. However, the school management that directs the improvement of student performance has now become the emphasis.

Three different attempts at reform have been initiated since the 1983 A Nation at Risk publication. Called waves by many reviewers, the first and third of these attempts contributed to the devolution of authority perspective of SBM. Reform leaders were convinced that increased productivity of the schools would be linked to higher standards and, later, more management control at the local site. The second wave contributed to the teacher empowerment perspective of SBM and was initiated by certain research universities to strengthen their role in shaping teacher preparation. Teacher associations required more voice in the university plans, and a balance between university and teacher initiative resulted in greater teacher involvement in decisions, even in schools not working directly with the universities (Futrell, 1988; Shanker, 1986).

The first wave in 1983-1986 was a joint federal and corporate venture. It impacted most schools due to state lawmakers' using the recommendations from commissions responding to A Nation at Risk as a blueprint for state laws and regulations. The second wave in 1986-1992 brought action to higher education in two reform proposals issued from academic consortia. From 1992 on, the emphasis has been on school-site stakeholders designing the strategies under which schools will operate. Each of these waves will be discussed in more detail below.

The arrival of local management authority. The prime example of the new power of local school governance groups is found in the federally legislated, Goals 2000: Educate America Act (1993). To receive federal funds, the local district submits a plan with the results it expects to achieve and a detailed description for reaching those results. The local school may change its plans, but the targeted results are to be maintained. In contrast to the former procedure whereby local schools had to follow state and district procedures for achieving results, local schools now

follow their own plans. The state's judgments are based on end results, not the process the school employs for producing results.

First Wave: Federal and State Policy Requirements

The major effort in the first wave of reform was a top-down initiative, a collaboration of business, higher education, and government. In fact, in a review of the early reform movement and the actions of the 275 task forces that contributed to 700 legislative actions in 43 different states, Orlich (1989) pointed out that business representatives and educators unfamiliar with education research were the main commission members on task forces that made the legislative recommendations. Orlich (1989) went on to say that "regional and state task force members uncritically accepted A Nation At Risk recommendations" (p. 513). Legislatures and state departments of education supported the commission recommendations.

Second Wave: Teacher Competence and Professionalism Requirements

The second wave of reform was started once again as a top-down effort. School district and local school representation was absent. Academics at research universities were invited by the Carnegie Forum on Education and the Economy to draw up guidelines (Carnegie Task Force, 1986) for preparing teachers for the 21st century. The people working on the task force were many of the same people who formed a second academic group to publish a report the same year (1986), the Holmes Group (Popkewitz, 1987; Zumwalt, 1992), a group of 94 research universities.

The fact that these writing groups were divorced from local school representation is reflected in Orlich's (1989) statement, "The Holmes Group is a snobbish club of research universities that have banded together (at a membership fee of $4,000 each) ostensibly to reform teacher education . . . to make teacher education more intellectual" (p. 514).

However, the top-down emphasis of reform attempts changed. Academics found they would need to invite teachers to the table. The Holmes Group thus formed partnerships with certain schools to be called Professional Development Schools. Now, for the first time, local initiative was taking its place in the debate on educational reform.

One of the greatest boosts for local initiative was the backing of the president of the national teachers union, the American Federation of Teachers (AFT). Shanker (1986) and Futrell (1988), the president of the National Education Association, accepted the idea of a national teacher certification test and of the Carnegie proposals for a 5-year bachelor's degree preparation for teachers. In return, Shanker and Futrell underscored the place teachers must have as part of the local policy-making groups in the school.

Third Wave: Local Level Initiatives
Incorporating SBM

Second wave reformers continued plans to professionalize teaching. The third wave effort started and, this time, was addressed directly to local initiative. Borman and Greenman (1994) showed the history of the relationship between business and government in the initiation of the federal legislation supporting local initiative. Federal and business leaders, at the Governor's Education Summit of 1989, agreed upon President Bush's six national education goals. Goal 3, the citizenship goal, reflected the business emphasis of restructured or reengineered corporations. In this goal, restructuring in the schools was to be achieved through the corporate strategies of shared decision making and local stakeholder accountability.

The Bush educational summit goals were transmuted by the Clinton administration into the eight goals of the Goals 2000 legislation passed in 1993. State regulatory action followed with formalized statements of decentralization as a management strategy for school governance (Council of Chief State School Officers, 1994).

Changes Necessary for SBM Schools

Schools at the local level now have the societal and legislative context for reorganizing their management systems to local self-management or decision making. For nearly 10 years, many school districts have attempted to do just that, as evidenced by the plethora of anecdotal records in educational publications.

To understand what is necessary for creating an SBM school, the reader should consider that becoming an SBM school involves at least five changes: (a) the central office must in some measure give up its authority in making decisions about how each particular school will operate; (b) the local site must develop plans and routines for assuming that authority; (c) the local school must develop a new means of assuring accountability for its actions; (d) the local school must deal with the unique needs and/or expectations of the families being served; and above all (e) the diverse stakeholders of the school must learn what consensus is and how to use it for their decision making.

Change 1: Central Office Relinquishing Authority

The school governance systems of the last 30 to 40 years have used an increasingly centralized management system. Under SBM, authority is relinquished from the central office to local schools. "While SBM definitions differ, two elements keep appearing [in definitions of SBM schools]: structural decentralization and devolution of authority that involves 'sweeping alterations in the basic authority-and accountability relationships' " (Malen, Ogawa, & Kranz, 1990; Lindquist & Muriel, as cited in Murphy, 1991, p. 37).

Briefly, under SBM the centralized management system of the past is expected to be replaced with a devolved authority system. Each part of a school system is affected, as follows: (a) hierarchies flatten, (b) members of the hierarchy take on new roles with "leaders" being

facilitators and other participants being team decision makers, and (c) authority is mutually shared among team members and is not assigned to a particular position.

SBM means that management is decentralized and that authority for management is devolved to a hierarchically lower level. Stakeholders assume responsibility for former central office functions based on the experience they have for a particular task. This flexibility of stakeholder function changes the nature of the relationships between people, principally in how power is distributed and viewed. The implications for work redesign under devolved authority can be seen in what happens to the superintendent and the district office. "The central office must come to see itself not as a regulator or initiator, but as a service provider. The primary function of the central office must be to assure that individual schools have what they need to be successful" (Carlson, as cited in Murphy, 1991, p. 23).

Change 2: Local Sites Assuming Authority

The specialists in the classroom, school office, and central office change to being generalists and assume differing responsibilities from time to time, depending on the task at hand. As Murphy pointed out, SBM requires interdependence, not isolation:

> In practical terms, for schools in the process of restructuring, this means more emphasis on interdependence and cooperative work teams that trade assignments and provide opportunities for teachers and administrators to confront a variety of problems with a variety of professional colleagues. . . . A corollary of this idea is that responsibilities in redesigned schools are less role dependent. The historically ingrained distinctions between teachers and administrators begin to blur. (Murphy, 1991, p. 23)

The teacher's new role. Thus under SBM roles are not as definite. For example, a teacher becomes part administrator, and in that role is a sometimes-leader or a sometimes-follower. As part of a team, the teacher is asked to plan, decide, implement for the whole school building, not just a classroom. Being asked to make decisions about the whole school building is a role the

teacher has not experienced before. In exchange, the teacher must open the classroom doors for examination by colleagues, and even perhaps by parents.

The principal's new role. The principal is perhaps the first person who will need to take on the role of what is called "a facilitative leader," the type of leadership slated for all members of the present administrative hierarchy. Later, teachers and parents will learn how to act in this role. The facilitative leader's responsibility is not to lead, but to develop leadership in the stakeholder groups.

Change 3: Local Sites' Assuming Accountability

Accountability of the local school district under centralized management has been chiefly assured through an increasing amount of regulation. When a local school takes on the decision making related to curricula and personnel, it takes on the accountability that was vested in the district school board by the state. Schools could replace state and district regulation with site-based regulation. For two reasons, this seems unlikely. In the first place, the state and federal government already have developed standards; in the second, discourse is the mode of SBM, not regulation.

State and federal standards through testing and data publication. States have continued the role of testing and standards promulgation that was begun with the first reform wave. Popkewitz and Brennan (1994) provided a brief glimpse of the testing and data collection that will take the place of regulation. "At the federal level, there is a new statistical and testing capacity to monitor children's achievement and teacher work. Data are also being collected to give state-by-state comparisons of school achievement" (p. 38).

Discourse among stakeholders. Yet, standards enforcement through testing, however compatible with local accountability, may be as unworkable as any other top-down initiative in the local communities of the 1990s.

Experience in other countries suggests how SBM might work to counteract state and federal-led standards enforcement. In a comparative study between the United States and the Netherlands (a country with a world-class mathematics program, second to Japan), Louis and Versloot (1996) gave their understanding of why high curricular standards can be maintained in a country where 70% of the schools are private, organized similarly to the charter schools in the United States.

> Consensual consistency is achieved not through top-down structures and mandates in which the state sets objectives and tests. . . . Neither is it a bottom-up system in which individual schools create solutions to perceived needs for higher standards. Rather, the standards-setting process occurs through "strong democracy" and constant debate over what is worth knowing. (p. 258)

The schools of the Netherlands have an infrastructure that seems to support continual discourse, namely, research consortia publishing white papers and universities debating from a multitude of platforms, both oral and written. If the United States is to develop local discourse, it will require time for stakeholders to develop similar opportunities for discussion.

Change 4: Developing Mutual Sensitivity
with Community Stakeholders

The hoped for outcome of SBM is more innovation in the approaches used to obtain results agreed upon by local stakeholders. "Greater authority at the school level tends to give rise to more diverse offerings, encourages innovation and responsiveness to community needs, and offers alternatives within the school system" (Carlson, as cited in Murphy, 1991, p. 2). Carlson seems to expect SBM to not only sharpen the ability of schools to plan better programing, but that members of the community would know the schools well enough that they would choose among

alternatives. One might then predict that if schools do not respond to local citizenry, then local stakeholders in the 1990s atmosphere of school choice may decide to choose another school or use considerable public pressure to modify the school's program.

Change 5: Coming to Consensus

The evaluation studies above refer to building consensus, a process for determining the common ground that people may share. Consensus decision making requires that dissent or conflict be aired so that more information is given to the group about their common values. Variants of consensus decision making used in some SBM programs are shared decision making (SDM) and participative decision making.

Many businesses have found that teams using consensus building produce the best planning decisions because more information is sought and evaluated, both internally and externally (Kirby & Bogotch, 1993). These business teams have often been following processes in a system called total quality management (TQM), originated by two management consultants, Deming and Juran. Among educators who work to transfer TQM processes to the educational setting, consensus building is the essential new skill that teams must acquire before they make changes. Wagner (1995), an SBM trainer-facilitator working in schools across the nation, states:

> Without clarity and consensus about goals and ways of measuring progress most reform strategies are likely to be short-lived and superficial--the educational fad of the month. For site-based teams to be effective, they must understand the views of diverse constituencies and create common ground before making changes. (p. 40)

The impact of not having consensus building shows in two, multisite evaluations. Snyder and Acker-Hocevar (1995) contrasted the high- and low-innovation schools in a four-state, 28-school evaluation study of a leadership training program, Managing for Productive Schools. They found the critical difference between high- and low-innovation schools was that high-innovation schools support participative decision making and consensus building.

Frazer and Rumbaut (1993) compared a successful phase I school improvement project in Austin with an unsuccessful phase II of the project. Continued success was prevented by participants not being willing to pursue collaborative decision making and consensus building.

In TQM applications to SBM, consensus building is critical to planning, as follows: (a) forming the vision toward which the site will be operating, (b) deciding upon strategy and the strategic implementation plans, and (c) deciding upon the results expected, the ones to be evaluated. (Murgatroyd & Morgan, 1993; Trenta, 1992).

Evolution of the Change to SBM

Since SBM practices are based on tenets advocating devolution of authority and teacher empowerment, both tenets requiring major changes in school practices and stakeholder relationships, an SBM form of school management will take years to develop. As testimony to the difficulty of only one of these changes occurring, one might consider evidence from Malen et al. (1990). They found eight projects of the 150 they reviewed that were evolved enough to have domentary evidence of the devolution or transfer of power from the central administrative offices to the school site. The paucity of sites meeting the criterion for only one set of SBM practices tends to indicate that the thousands of schools worldwide trying to adopt SBM are embarking on a long course of change.

An Overview: Becoming an SBM School

The following sections of this review describe the path of progress for schools making the changes necessary for becoming self-managed. Change is accompanied by difficulties and by assistance, barriers, and facilitators. For an overview of how the changes, barriers, and facilitators are related, see Table 1.

Table 1

Changes, Barriers, and Facilitators for Becoming an SBM School with Annotations Concerning Political

Source of Requirement and Defining Behaviors

	Political source	
SBM element	Devolution of authority	Empowered stakeholders

Changes and examples of defining behaviors		
Central office relinquishing authority		
1) flattening hierarchies in central office and school.........................	•	
2) flexible roles moving away from function specialization...............	•	•
3) changing power acting as facilitator rather than supervisor	•	
Local sites assuming authority		
1) teachers and stakeholders roles as part of team............................		•
2) teachers and stakeholders roles as decision-maker........................		•
3) teachers and stakeholders roles as facilitative leader.....................	•	•
Local sites assuming accountability		
1) deciding about the use of state and district standards/ waivers	•	•
2) use of tests to measure results..	•	•
3) developing modes of discourse		•
Developing mutual sensitivity with community stakeholders		
1) exploring innovation with community to meet diverse needs	•	•
2) providing information for community to differentiate schools.......		•
Coming to consensus		
1) forming a vision and strategy		•
2) deciding upon the results to be evaluated.....................................		•
3) creating common ground for diverse stakeholder groups		•

Barriers and examples of defining operations	Political source	
	Devolution of authority	Empowered stakeholders
Perceived loss of power or authority		
1) budgetary, curricular, personnel manipulations (covert)	•	
2) incentives to stakeholders tied to performance evaluations...........	•	•
3) lack of positive support for shared decision-making	•	•
4) maintaining de facto decision authority	•	•
Learning new roles		
1) frequent absence from and cancellation of team meetings.............		•
2) infrequent meetings with other stakeholders................................	•	•
3) no identification of outside facilitator		•
4) no specific professional development plan....................................	•	•
5) no use of knowledge from government/business sectors................	•	•
Disunity of expectation about new roles		
1) infrequent effort to evaluate results of plan.................................		•
2) little training, practice, feedback concerning consensus skills.......		•
3) no effort to define vision, strategy, strategic plan.........................		•
4) frequent reference after-the-fact to decision-making concerns	•	•
5) unsystematic review of role of communication in strategic plan....		•
Facilitators and examples of defining operations		
Use of state education agency and central district		
1) attempts and successes in establishing electronic databases		•
2) contact with facilitators upstream of final team decisions		•
3) early knowledge of state and district funding and requirements.....		•
4) planned contact with facilitators designated by task		•
5) representatives from district frequently in the school		•

The reader may see that each of the five changes mentioned deal with the transfer of authority or control and the consequent impact on relationships. With a change to SBM, the authority relationships will be different between the district and the individual school, the school and the community, between teacher and teacher, or teacher and parent. Such a complete change in authority relationships means several predictable barriers will occur. The following barriers must be overcome: (a) the perceived loss of power or authority, (b) the learning of new roles (e.g., team decision-maker); and (c) the unifying of stakeholder expectations about role responsibilities.

Barrier 1: Loss of Power

For the central office administrators, the perceived loss of power in changing from an initiator of change to a facilitator of change may be an insurmountable barrier for staff who have been raised for decades within the hierarchical systems of large school systems or, as in small communities in Kentucky (Lindle, 1995), in arrangements where the central office tenants were also prominent members of the community.

Danzberger (1992) has shown that local boards intentionally and unintentionally circumvented the intent of states to encourage SBM schools. She concluded from the results of a survey of 266 school boards from 16 states that local boards were "weakest in the areas necessary for effectiveness in changed school systems" (p. 122).

In Chicago, the central office administrators clung to their old authority roles through two mandated changes and multiple reports from panels put together by corporate foundations. Hess (1991) has recounted that for Chicago's central office administrators, there was no such thing as grace under fire. The central office fought until forced to give up its power. In 1979, the central office was mandated to balance its budget, which it did by letting local school contact personnel go or shifting them over onto local budgets. By fiscal year 1982 "there were 8,497 fewer staff.

Student contact personnel (teachers, counselors, psychologists, speech therapists, etc., and classroom aides) took the largest cuts. . . . Administrative and technical staff were most protected" (Hess, 1991, p. 24).

In response to this obvious subversion of legislative intent, the legislature in 1985 mandated the formation of local school improvement councils and gave control of remedial program funds to the councils. When the central office refused to give up funds, the legislature passed the 1988 Chicago School Reform Act, which made the local school councils "the primary decision-making bodies with power over personnel and budget" (Hess, 1991, p. 94).

Barrier 2: Learning New Roles

Hess's evaluation of the first year of the Chicago school reform showed that large amounts of time were consumed in the council members' learning to make decisions together. In the first year of operation, the Chicago local school improvement councils spent almost as much time with matters of training as they did with school program issues, 28.67% and 27.6% of the time, respectively ($\underline{N}$ = 74 meetings across 12 schools). One can see the range of new skills that the school councils had to cover and the energy devoted to simply maintaining the team:

> The second most frequent set of LSC [local school council] topics dealt with the business of running the council itself. Three-quarters [of these discussions] focused on council procedures: election of officers, establishing committees, developing by-laws, absence of members, filling vacancies. Absence of members was an important issue for several councils; one or more nonperforming members were asked to resign. On thirty-eight occasions, LSCs discussed training specifically designed for LSCs. They discussed or heard reports on several different types of training, including lump-sum budgeting, boardsmanship, principal evaluation and selection, strategic planning, and school improvement planning. (Hess & Easton, 1994, p. 243)

The comfort of diverse stakeholders in the team situation is as important a consideration as the skills they must acquire to make decisions. As Murgatroyd and Morgan (1993) pointed out:

> Effective teams . . . show a high level of mutual understanding and shared assumptions, yet can also be very argumentative and challenging (indeed, they need to

be challenging to be sustainable). What 'binds' the team is its sense of responsibility both for the process it is using and for the task and the trust the individual members have in each others skills, judgement and knowledge. (p. 144)

Barrier 3: Disunity of Expectations
About New Roles

The experience school system stakeholders have had with centralized authority means that everyone in the systems expects certain actions from certain members of the school staff. Timar (1989) referred to Raywid to describe how pervasive the expectations are, touching most aspects of the school operation:

Within most contemporary schools, this most fundamental belief system appears to include a commitment to bureaucracy as the only plausible, viable form of social organ. . . . Many of those schools have accepted that there must be differential status and authority assignments, fixed roles, clearly divided responsibilities and accountability measures, and written rules governing interactions. . . . Such understandings, and the interaction patterns they produce, yield a school's social order. (p. 266)

Principal as facilitative leader. Many of the expectations engendered in a bureaucracy center on whether the principal should initiate or respond to certain events in the school. Under SBM, the principal may or may not be a major initiator. The difference in action depends upon whether the school's SBM perspective is from a "devolved authority" philosophy or from an "empowered teacher" philosophy. Under both inheritances, the principal is to be facilitative of team skills, but under the "devolved authority" inheritance, the principal explicitly is accountable for the district responsibilities. Thus, he or she may control the strategies for team member skills development, rather than waiting for stakeholders to initiate such opportunities.

The problem is that few schools know how prominent a role the principal is to take. The reality of the district situation may make this decision even harder. In theory, stakeholder empowerment makes the principal a member of the decision-making team, with no prerogatives attached to the principal's position above that of any other team member. But, the school district

may not allow the principal to act in this way; the district may not in reality be giving up much

power and expects the principal to pass their dictates to the school staff.

Or, despite the theory of teacher empowerment, the reality may be that teachers, having

received no instruction from the district or from their own educational associations, may not know

how to be empowered. In the absence of specific direction, principals try first one definition of

facilitative leadership, then another. Murphy cited reviewers as follows:

> There is, however, palpable tension between the role envisioned for the principal by those
> who attempt to transform schools through site-based management and those who rely on a
> strategy of teacher empowerment--a tension that often leaves principals confused about
> what is expected of them and feeling "left out on a limb." (Chapman & Boyd, as cited in
> Murphy, 1991, p. 26)

Teachers expectations of each other. Teachers may have difficulty adjusting to new roles

required of the team consensus requirements used in SBM. In the previous hierarchical system,

they were used to proposing suggestions for the response of the principal, or perhaps for a vote of

the faculty if the principal allowed. In a changeover to SBM, regardless of whether SBM is from

a devolved authority heritage or a teacher empowerment heritage, teams function to support single

programs representing the vision of the school.

Other Barriers to SBM Change

Planning. Murgatroyd and Morgan (1993, pp. 127-129) have listed other barriers, "the

traditional problems with planning and organization development in schools." Among the barriers

they include are no goals, immeasurable goals, measurable goals that no one measures, and the

mentality that planning is done by senior staff and that teachers teach. They find that "steep-slope

progress" (referring to trend charts) in student achievement will not occur without planning by all

school stakeholders (Murgatroyd & Morgan, 1993, chap. 4). The planning methods described in

their book include Hoshin planning, House of Quality, and process mapping--all new skills that

stakeholders or team leaders will need to learn. Acquiring the new knowledge for planning and data collection associated with SBM may represent a barrier for many.

Training. In 1995, an entire Educational Leadership (Brandt, 1995) issue gave case descriptions of SBM at schools throughout the world. Ron Brandt, the editor of the issue, stated at the beginning that district leaders have delegated district activities to the schools, but no movement name nor documentation of their actions has been generally available. This issue consists mostly of case histories and recommendations. Conclusions often repeated the need for planning and training. For example, Woolery (as cited by Squires & Kranyik, 1995), the Dallas superintendent of schools, made recommendations after 4 years experience with the Comer, an SBM-type program in Dallas, "We see full-time facilitators for schools as essential" (p. 32). Training for consensus building among stakeholders is one of the first training objectives cited.

Allocation of sufficient resources. Woolery (Squires & Kranyik, 1995) continues with a 12-point list of other essentials such as collaboration with stakeholders and an emphasis on learning climate. Of greatest emphasis are training, planning, and resource allocation to the local school.

Aids to Achieving SBM Changes

In the foregoing sections, it has been established that, under SBM, local school stakeholders will be assuming new roles and will be engaged in new relationships. This is a lengthy and difficult process made more so because the devolved authority from the school district will come in slow measure. Fortunately, the local school has some aid for achieving the changes necessary to becoming self-managed. The aids for establishing an SBM site come presently from two sources, (a) state departments of education and (b) business corporations that have tried restructuring strategies over the last 10 years or more.

Facilitator 1: Aid from State Departments
of Education for SBM Changes

Funding and technical assistance. As of 1995, 47 of the 55 state education agencies had

submitted state plans to the federal government for the Goals 2000: Educate America Act. These

state plans provide the details for what the state will do to aid local schools in achieving local

reform under one of the eight goals from the act. Under the act, after state plans are approved, the

state can immediately provide grant competition information to local school districts. As of 1995,

$85 million was given to states for both local grant awards and for state technical assistance

offices (Chief State School Officers, 1995). In Utah, for example, 32 projects have been approved

for the 1996-97 school year (Utah State Office of Education, unpublished document).

Waivers. State education agencies provide waivers for school districts and for local

schools to exempt schools from certain school code provisions. The exemptions suspend

requirements for the schools with evidence that the school site is performing well. In some states

only top performing schools are given waivers (Flax, as cited in Bowers, 1990). In other states,

such as North Carolina and Oregon, schools with active local school councils can spend a year to

file a plan. Then they must give proof on a yearly basis that they are meeting planned

performances (Murphy, 1991).

Facilitator 2: Aid from the Business Sector
 for SBM Change

Business involvement in encouraging waivers. Business has been a proactive voice in

encouraging states to grant waivers to local schools. In 1990, the National Alliance of Business

and the Business Roundtable aimed publicity at parents, volunteers, and business leaders

concerning the need to restructure schools (Pipho, 1990); restructuring usually requires waivers.

Business funding for SBM-type schools. Corporations have backed up their advocacy by sponsoring national competitions for 3- to 5-year grants. Rather than use public money, President Bush proposed the New American Schools Development Corporation (NADC) to raise funding in support of his Goals 2000 campaign. NADC raised $105 million through business donations to develop management system models for nine schools.

Single companies offer sizable sums of money as well. In the 42 RJR Nabisco-funded schools, a $30 million, 3-year project, self-managed schools included programs to allow for school specialization (schools within schools), topic or project specialization, block scheduling, and multi-age grouping (Gerstner, Semerad, Doyle, & Johnston, 1994, pp. 85; 126-127; 260).

Learning from Business: How to Decentralize

The connection between business and education has been documented by leading educators. The National Education Association, in its publication Business and the Reshaping of Public Education: In Its Own Image (1990), shows how business has succeeded in promoting its own structural changes for educational institutions since the beginning of the century. The educational media have accepted the application of business scenarios to education. Downey, Frase, and Peters (1994) actually provide a working model for translating total quality management and continuous quality management (TQM/CQM) and called them total quality education. Others have underscored the applicability of TQM to education (Ball, 1990; National Alliance of Business, 1990; Seif, 1990). TQM strategies, terms, and means of measuring progress are at least a useful beginning for viewing how well schools have adapted to SBM.

Summary: Becoming an SBM School

SBM is a form of restructuring that decentralizes management from the school district to the local school site to the end that services are more knowledgably provided to increase the

student-customer's skills. Two views of SBM are prevalent, devolution of authority from the district office to the school site and teacher empowerment. Becoming an SBM school is an evolutionary process involving major changes from hierarchical management. Barriers and aids to change determine the pace of change. Changes include: (a) the central office relinquishing authority to the school with the resultant decrease in hierarchy and specialization, (b) the local school assuming authority, with an emphasis on flexibility of role, (c) the local site's assuming district accountability by responding to state standards and tests, (d) the local school's diverse stakeholders accommodating to each others' values, and (e) the developing of consensus skills and attitudes, most probably through modified TQM strategies.

Barriers to achieving these changes include: (a) the perceived loss of power by administrative stakeholder groups, (b) the need to learn new roles and relationships, and (c) the disunity of expectations about the new roles. The sizable needs for planning, training, and allocation of resources for both are additional barrier. Aids to change come from the state education agency, as a channel for federal funds and as a grantor of regulatory waivers. Business provides funding, as well as guidance based on its considerable experience with local site management.

<center>Evaluating SBM Change</center>

Operational Definitions of SBM

SBM has been evaluated through one of two lenses: (a) devolution of authority or (b) the empowerment of teachers/stakeholders. That said, one must not assume that these lenses are well-defined; they are more like conceptual groupings.

Decentralization and devolution of authority. Devolution of authority and decentralization go together, and the latter is used often to mean the former. A case in point, according to the

Parents Coalition for Education in New York City (1993), was the seeming devolution of authority

in the SBM/SDM projects in New York City community school boards. According to the

Coalition, however, decentralization was all that occurred; teachers and community members

serving on the SBM/SDM councils had no voice of their own because no true power had been

delegated to local schools.

    Empowerment of teachers and others. One may think that if an SBM school empowers

one stakeholder group that others are empowered. Teacher, parent, and community stakeholder

empowerments are separate issues, with each group seeming to operate in its own domain (Guskey

& Peterson, 1995). One group of stakeholders may only use another in an advisory capacity. For

example, teachers have minority representation in the Kentucky LSCs, the teachers serving to

represent faculty opinion, not to assit in making decisions. Curriculum development groups in

Kent, Washington, had no parental involvement, even though a major schools-within-a-school,

restructuring project was underway to attract disinterested students (Fouts, 1994).

    Imprecise language, imprecise evaluation. These loose clusterings of SBM concepts allow

for misnaming, misgrouping, incomplete operationalization of constructs within a project, and

continued elusiveness of the construct for both evaluator and school stakeholders.

Past Evaluation Approaches and Their Limitations

    Below is a sampling of the evaluations considered for this review. The examples that

follow are listed under section titles that show their main perspective. As such, the reader will

already understand the primary limitation of studies in that section, that the studies deal with only

one of the SBM perspectives.

    Another understanding that should emerge is that evaluators have not accounted for the

evolutionary character of SBM; they have not provided intermediate progress points for

stakeholders to understand how much progress they have made. Because an SBM school and its school district must each go through several changes before the school becomes self-managed, evaluation data-gathering should deal with intermediate progress indicators regarding the changes SBM schools will need to make, as well as the barriers and aids to those changes.

Devolved-authority evaluations. Three questions are usually addressed in devolved authority studies: (a) How much of the traditional central office decision making is under control of the local site; (b) What structure has been adopted by the local school to make decisions; and (c) When decisions are made, how are former leaders involved, as facilitators or as directors of decision making? These questions are to determine if indeed management is occurring at the local site and to what degree delegation extends beyond the principal.

Case histories using observation and document analyses (Hess, 1991; Timar & Kirp, 1989) focus on the content of decisions and their quality and scope. Observation of stakeholder activities emphasizes the decision-making relationship between leaders and teams to see whose voice dominates. Self-inventory checklists may be used to determine what sorts of decisions LSCs have made what percentage of the time. Attitudes of stakeholders are not examined; activities are.

Devolved-authority evaluations are usually limited in that they incorporate a view of stakeholder empowerment only in limited measure. Case histories that describe devolution of authority carefully, as in the Hess evaluation of Chicago reform and the Timar review of Jefferson and Dade counties, at most report stakeholder reactions for a small number to illustrate the evaluator's points concerning authority distribution. With inadequate sampling of stakeholders, devolved authority evaluations usually cannot be used to judge stakeholder empowerment. Even when devolved authority evaluations do cover a large sample of stakeholders, the evaluation may sample an inadequate number of empowered-stakeholder behaviors. Such was the case with checklist evaluation of the status of the Kentucky Education Reform Act (KERA) in Kentucky's

schools (Lindle, Gale, & Curry-White, 1994). The purpose of their evaluation was to determine if the structures and products mandated in KERA were in place. They did not describe the decision making behaviors of the stakeholders.

Empowered-stakeholder evaluations. Two sorts of instrumentation prevail in empowerment studies, attitude measures (i.e., surveys, focus groups and interviews), and case histories wherein one of the SBM participants keeps the history or reconstructs it from journals. Questions examined in both sorts of instrumentation deal with relationships between the principal and the stakeholders, or perhaps the district and the stakeholder.

The attitude data gathered provide less information about activities, "Did you consider reading, math, science?" and more concerning holistic judgments of decision impacts, "Did SBM affect curriculum?" Other broad impact questions concerned communication satisfaction, relevance to one's job, improvement in student achievement, and feelings of empowerment. For example, in the summative, 3-year evaluation of 33 Dade County schools (Collins & Hanson, 1991), SBM teachers were asked to give impact ratings on the broad factors of school climate and collegiality. They were to estimate the impact of the project on discipline and curriculum. Principals were asked to assess impact on job difficulty.

Stakeholder empowerment studies are usually limited in that they are often based on attitudes instrumentation, "Did you feel empowered?" or "Did your actions seem to have impact?" For example, while Collins and Hanson knew that decisions were being made in 33 Dade County schools by school stakeholders, they did not test to see if that participation was indeed present. Impact of decisions is a useful question if one knows how much was done to create that impact. When evaluators look for stakeholder perspectives concerning the results of their decision-making activity, and not looking at the activity itself, then devolution of authority has not been a concern. If it had been, evaluators would have examined what was done to create the impacts assessed.

Collins and Hanson noted that over the 3-year period of the Dade County evaluation, teacher assessments of how much impact they had diminished. Instrumentation for the evaluation did not provide for the barriers that may have been related to the changes in teacher perception. Had evaluators included lack of training and planning in the possible barriers, then teacher perceptions of lessened impact may have been understood in one light. If evaluators had included disunity of expectations as a possible barrier, then continued disunity or increasing consensus concerning impact of decisions may explain the change in teacher perceptions; perhaps teachers as a group were becoming more realistic about how fast change can be accomplished.

A New Approach: Applying TQM to Evaluating
SBM Constructs

Schools have attempted to bring various labels into SBM evaluation, labels that define one or the other of the SBM constructs, but not both. For example, shared decision making is associated with teacher/stakeholder empowerment, and shared governance is associated with devolution of authority. Borrowing from TQM seems to have been fruitful for both educational program design and its evaluation.

Snyder and Acker-Hocevar (1995) and Trenta (1992) have used Deming's 14 points to evaluate projects they were directing. The 14 points are principles that guide TQM practices. Other Demings-based evaluations have included Bondy (1994) and McCollum (1994). Leadership roles were examined by Boone (1992) and Bredeson (1991). Goldman and O'Shea (1990) examined different uses of power and McCollum's inspection of six school reform models considered the impact of continuous change in the SBM projects.

A TQM perspective on evaluation of SBM projects works well for three reasons: (a) TQM has been around long enough (since the American occupation of Japan) that it has accumulated a repertoire of well-defined practices; (b) TQM represents both SBM constructs:

devolution of authority through management at the local site and stakeholder empowerment through team decision making; and (c) TQM embraces the evolutionary character of SBM; it has built-in measurement and process-refining routines that will allow stakeholders to adjust practices as their vision of what should happen as the school changes.

As appropriate as modificatiions of TQM may be for educational evaluation, it is important to understand that TQM has not yet been used to evaluate SBM. Rather, it has been used to evaluate the effectiveness of certain projects. TQM's best uses are in describing the project behaviors and responsibilities. Once it is established that SBM practices are in place, then an examination can be made of the impact of those practices. For an understanding of how TQM strategies may be reflected in an SBM environment, refer to Table 2.

Summary

The school reform attempts of the past decade and a half have been aimed at producing a more highly qualified student. Three different attempts have been made at achieving this sort of reform. The most recent was to restructure schooling in such a way that local schools would manage how the standards were to be accomplished. As is often true when reform attempts come out of a sociopolitical context, boundaries for the reform labels are blurred; labels are imprecise.

Definitions of SBM in each community will differ but are probably some mixture of two inheritances of SBM: (a) devolution of authority (to manage schools to reach high standards) and (b) empowerment of teachers (and other stakeholders) to make decisions to that end. Further, as schools learn how to become self-managing, the mixture of the two inheritances will evolve.

To become an SBM school, the school stakeholders will need to assume new relationships

Table 2

TQM Strategies as an Operational Base for SBM Changes, Barriers, and Facilitators

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Change 1:   Central office relinquishing authority

TQM Strategy: The TQM leader is to activate, coach, guide, mentor, educate, assist and

support colleagues so that they focus on a shared vision, strategy and set of

intended outcomes (Murgatroyd & Morgan, 1993, p. 68).

Change 2:   Local sites assuming authority

TQM Strategy: Teams are . . . self-managing. "[They] determine their own procedures,

subgoals, objectives and ways of working. . . within the parameters . . . set by

the Hoshin goal process, teams are free to work in their own way" (p. 142).

Change 3:   Local sites assuming accountability

TQM Strategy: Teams need skills to collect basic information; convert ideas and information

and plans into measures; . . . establish standards and manage performance.

(p. 159)

Change 4:   Developing mutual sensitivity with community stakeholders

TQM Strategy: Effective teams rely upon the knowledge and competencies of each of its

members. From the TQM perspective . . . [a leader empowers teams to] meet

or exceed the expectations of stakeholders (p. 60). People are being asked to

make decisions on facts [not] anecdote, guesses, instinct or rumor (p. 77).

Change 5:   Coming to consensus

TQM Strategy: Not all team meetings are "friendly" . . . many will stretch the knowledge and

skills of those involved; some will examine issues that are difficult to resolve

. . . . The team actively seeks to learn from this conflict in terms of how it can

improve its own thinking and working (p. 144).

Note. This evaluation study focused on changes only, not the barriers and facilitators in Table 1.

Note. TQM uses strategies that capitalize on the resources brought by or developed in LSC stakeholders. The strategies do not emphasize resources that LSCs may not reasonably obtain; e.g., grant monies.

To become an SBM school, the school stakeholders will need to assume new relationships that go against the experience of the past 40 years. Stakeholders will need to learn different authority roles, new decision-making skills, and new sensitivities and support skills.

Evaluation studies of SBM schools have emphasized only one of two perspectives, one or the other of the dual inheritances of SBM. Further, these studies have not allowed for the evolutionary nature of SBM; they do not provide the stakeholders with intermediate progress indicators based on necessary changes and expected barriers and facilitators. Business has contributed to education the terminology and a set of strategies that deal with both SBM constructs and the evolutionary character of SBM. Modified TQM practices have been transferred to the design of SBM schools or leadership training programs. By following these modified TQM descriptions as models, an evaluator will be able to construct instrumentation that is descriptive of the devolution of authority and teacher empowerment inheritances of SBM and account for its evolutionary character.

THE STUDY

It was the purpose of this study to evaluate the status of an SBM adoption at a school in northern rural Utah. The instrumentation for the evaluation was based on adaptations of TQM methodology made by the educators Murgatroyd and Morgan (1993) in their book, Total Quality Management and the School. Their book provided details of the behaviors that would change in a school as it adopts SBM, resources that would ease adoption, as well as contrasting details of barriers to SBM adoption.

The preceding review of literature suggests that when a school adopts SBM, it will begin a series of changes that may last a decade or more. The order and rate of the changes at each school will vary depending upon the shared values of its stakeholders regarding the purposes of self-managed schools and the barriers and facilitators presented locally to the changes the stakeholders intend.

Evaluation Questions

The evaluation questions for the study were based on the elements of SBM change as described in the literature review in Table 1. Several evaluation questions are grouped under each change. The questions deal with one or both of the two SBM purposes, the devolving of authority to the local school site and the empowering of stakeholders to take on new actions with their new roles.

Change 1: Relinquishing Authority, Central Office (With Further Internal Devolution)

The evaluation questions considered under this change were: (a) To what degree did the central office relinquish its authority for decision making in matters concerning the school budget,

personnel actions, or curriculum? (b) To what extent was the principal's authority in these areas, if any, shared with other stakeholders?

Change 2: Assuming Authority (Routines of the Central Office)

The evaluation questions considered under this change were: (a) Did school stakeholder teams participate in decisions on a schoolwide improvement plan? (b) Was stakeholder work on the school improvement plan advisory or team-managed? (c) What were typical team activities occurred? How did the team leader and principal assist?

Change 3: Assuming Accountability

The evaluation questions considered under this change were: (a) What were the accountability arrangements for assumed areas of authority (waivers, tests, measurement of achievement gains, etc.)?

Change 4: Mutual Sensitivity With The Community

The evaluation questions considered under this change were: (a) Did community/parent stakeholders participate in school improvement planning meetings; (b) Were community/parent stakeholder concerns assessed? In what way (written, social gatherings, few or many)?

Change 5: Coming To Consensus

The evaluation questions considered under this change were: (a) In what parts of the school plan were stakeholders most active (forming a vision, etc.)?; (b) How were conflict and consensus discussions carried out (through training, by subcommittee resolution, etc.)?

Method

<u>Subjects</u>

The subjects were teachers ($\underline{n}$ = 17), teaching interns ($\underline{n}$ = 5), and the classified staff ($\underline{n}$ = 6) of a rural northern Utah elementary school; the principal did not participate in the evaluation study. The SBM effort at this school did not include parents. The school was unusual in that 25% of its teachers grades 1-5 were interns mentored by partner teachers. Each year, new internships have created a 25% minimum turnover in staff. Additionally, for the 1996-1997 academic year, two of the long-time staff left so that 7 of the 22 teaching faculty were new to the school.

Among the long-time staff, the majority of the teachers had taught five or more years and nearly half had been at the school since SBM was initiated in 1990. All staff were Caucasian, and all but 4 were female. All of the classified staff had been at the school since SBM was initiated. The principal had been at the school for 3 years, having taken over after a highly popular principal left to become principal in a nearby town. The current principal, a somewhat more formal individual than the previous one, was willing to continue support of the SBM efforts in the school.

<u>Instrumentation</u>

The Site-Based Management Progress Check (SBMPC; see Appendix A) is a 163-item survey to be completed by the stakeholders of a school using SBM. The survey is a paper-and-pencil instrument taking 30-45 minutes to complete. Four of items require short-answer responses; one requires ranking three responses; and the remaining are multiple-choice, dichotomous, and four-choice items. The test is taken anonymously and data required concerning respondent background are not sufficient to identify particular individuals.

Purpose. The purpose of the instrument is to describe how much progress respondents have made in their transition to SBM. As documented in the review of literature, the transition to SBM involves five changes. If a school environment has certain agents, activities, and goals involved in its management effort, then, according to Murgatroyd's descriptions, the school has SBM; that is, the five changes listed in the foregoing evaluation question section have occurred. The SBMPC items deal with the presence in the school of these agents, activities, and goals.

Furthermore, the survey measures perhaps the most important of the five changes, namely consensus. If data show respondent agreement that certain agents in their school are engaged in certain activities operating to reach particular goals, an indicator of consensus has been demonstrated. (Appendix B provides a cross-referenced list of the five change elements described in the review, the evaluation questions used for this study, and the SBMPC survey items.)

Background information section. The first section of the SBMPC is used to gather background information on one type of SBM agent, the school stakeholders. Stakeholders may be internal to the school, or external to it. Internal stakeholders included in the SBMPC are students, employees, volunteers, and school district personnel who are in the school frequently. External stakeholders are parents, neighborhood residents, community business, and civic organization representatives. Other items include the type and percentage of meetings attended. Background information on the respondents, on the stakeholder groups represented, and on meeting activity allows analysis to determine if different patterns of consensus develop among different stakeholder groups in the survey data.

Section 1. For Section 1 of the SBMPC, multiple-choice options under each item deal with descriptions of the school's SBM agents, namely, their leaders and their teams. Alternatives are provided for different ways leaders and teams may interact in coming to a decision. Leaders

may direct or be the source of information; or leaders may support the emerging skills of team members.

Next, respondents are to select the best descriptions of the activities involved in decision making. They are first asked whether decisions flow from a filtering committee to the general body or whether the membership directs the committee. Finally, respondents are required to state the vision that guides the school's SBM effort.

Sections 2-4: Current, future, and importance-ranked goals. Sections 2-4 of the SBMPC are repetitions of 20 statements, with different introductory phrases and verbs, specifying SBM goals derived from the Murgatroyd SBM descriptions. The repetitions allow the evaluator to gauge that changes stakeholders intend from year to year. For example, to answer the evaluation question concerning the relinquishment of central office authority, Section 2 of the SBMPC survey items concerns the present assistance of district personnel in school budget, personnel actions, and curriculum. In Sections 3 and 4, future assistance from the district office and the importance of that assistance are questioned, respectively. If a school intends to change its goals in upcoming years, the SBMPC allows for such change.

Open-ended items within the SBMPC. Open-ended statement opportunities are included in the SBMPC to capture the specific experience that may be in the evaluated school's SBM effort. In each of the SBMPC survey sections, if respondents cannot find an adequate description of their school's SBM agents, activities, or goals, open-ended response opportunities are given so they may add their own version of the behavior being examined. Experiences such as training or an intense series of discussions among stakeholders might be reflected in such statements.

A second sort of open-ended comment is required when respondents are asked to briefly state the vision the school has for their SBM effort. Consensus among SBM stakeholders in general is important, but consensus concerning vision ". . . aligns the interests of the staff so that

we are all working toward a common goal" (Murgatroyd & Morgan, 1993, p. 69). For respondents to make statements that are specific and in close agreement is an indication that the vision for the school has already been discussed in sufficient detail to call it readily to mind. A requirement for an open-ended statement is a strong indicator of consensus. The generality of multiple-choice statements might attract agreement but fail to show minor discrepancies that can be revealed in an open-ended statement.

Instructions concerning the item terminology. In any SBM school, there may not have been sufficient training concerning the terminology, processes, and purposes of SBM. Therefore, at the beginning of each SBMPC section, introductory information was provided to orient the respondent without providing instruction concerning the possible answers (see Table 3 for example introductions). The terminology information was added as a result of a pilot use of the SBMPC.

Table 3

Example of SBMPC Explanatory Material Before Major Instrument Sections

Consensus.	CONSENSUS voting is 100% voting to support the enactment of a decision. Schools should not be upset if they find they can't use that kind of voting yet. Any progress in that direction opens communication. The demand for consensus means that teams thoroughly understand the values of other team members, trust those members, and are willing to suspend their own concerns until the decision has been given a fair trial.
Vision.	S-B efforts are guided by "VISION." [which] focuses the efforts of the S-B teams on the over-riding goal that all S-B activities and strategies are intended to focus the efforts of the local school stakeholders on the things they think mean the most for their students. The term "vision" is used because focusing is sometimes best accomplished by visualizing the end result.

Validity of the questionnaire. As stated earlier, the SBMPC was constructed to assure adequate coverage of the five changes described in the review of literature as indicators of progress in SBM. Several steps were taken to begin to establish construct validity with respect to the five changes. The first step was to determine if wording was clear. In a pilot study, five teachers from another school completed the questionnaire. After they completed the questionnaire, the teachers were interviewed to identify any difficulties with the instrument. Timing of the test items was checked to determine the appropriate amount of time to allow during the actual instrument administration; respondents were able to complete the SBMPC in 20-45 minutes. The difference between those taking the shorter amount of time and those taking longer seemed to be in how familiar respondents were with SBM terminology, their own school's goals, and with the values section. As a result of the pilot, a past goals section was removed from the SBMPC, and terminology explanations were added. In addition, a first-page background information section was added to use for explaining different patterns of response among groups based on grade taught and experience in the school and the SBM program, should they occur.

In the pilot study debriefing, the main factor causing difficulty was SBM terminology. The five staff members did not know the term "stakeholder," a term that has been in school parlance before SBM. They also attributed more general meanings to words such as "team" and "leader" and tended to confuse a "mission statement" with a "vision." It was decided that it was necessary, therefore, to include the introductory material to acquaint respondents with the terminology in each section.

An educational specialist with the Utah State Office of Education who has worked with the SBM schools in Utah for 8 years, Dr. Janice Tyler, was asked to review the instrument for correspondence between the SBM definitions used in the instrument and the items themselves. She had little difficulty with the items testing team, leadership, and goals behaviors; but she did confirm

the complexity of the voting items and the difficulty of coming up with a vision statement that was focused. She indicated that no school in Utah has reached the stage that they use the vision statement to define goals, which in turn were used to measure and monitor progress. In other words, the ideal presented by Murgatroyd was not actual in Utah schools. Her comments did not result in any substantive changes. Rather, she recommended discriminative analysis based on testing the instrument in early- versus advanced-SBM schools be done before changes are made to the proposed SBM constructs.

Procedure

After the pilot test, the revised SBMPC was distributed to 17 teachers, five teaching interns, and six classified staff with teaching responsibilities. The survey was to be answered during the school day, most likely during the teachers' daily planning periods or a time arranged between the classified staff member and a teacher. Respondents were allowed 2 weeks to complete and return surveys in sealed envelopes to the school secretary. Prompts were provided for the return of the survey. Using a list kept confidential from other school staff and from the evaluator, the secretary circulated among nonrespondents three times, one time when the evaluator was at the school. The evaluator went to the school for two reasons. Due to a number of teachers' failing to return their surveys, after 2 weeks the evaluator went to the school and remained there for most the day to prompt further returns by her presence. Secondly, the evaluator remained in the media center in case nonrespondents might want to discuss aspects of the survey. Three further teacher surveys and two classified staff surveys were returned. One teacher, who did not identify himself as a respondent or nonrespondent, conversed with the evaluator. No attempt was made after the surveys were collected to determine reasons for nonresponse or the characteristics of those who did not respond beyond the indicators included in the SBMPC itself.

RESULTS AND DISCUSSION

Survey Return Rate

Figure 1 provides the return rates for each group surveyed in the SBMPC. Those surveyed did not include the principal, who chose not to complete a survey because there was no separate section for him. Nor were community and parent stakeholder groups surveyed. In the latter case, the principal noted that to date these groups had not been much involved in the school's SBM effort. As can be seen, 70.6% ($n = 12$) of the teachers, 60% ($n = 3$) of the teaching interns, and 100% ($n = 6$) of the classified staff returned questionnaires. The overall return rate was 75%. However, the return rate for teachers and interns was distributed unevenly with lower-elementary staff having much better return rates than the upper-elementary staff, 84% and 25%, respectively.
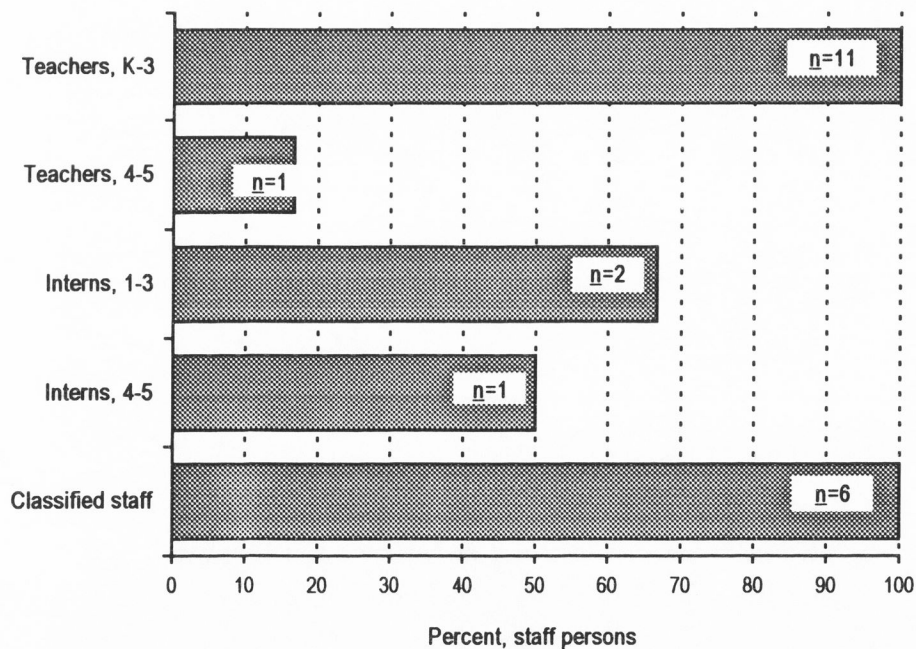

Figure 1. Percent return rate for the SBMPC of the staff groups at the SBM school.

Acceptability of the Return Rate

The overall return rate for the SBMPC at the school was 75%. The acceptability of this rate is supported by references in survey return literature. Frey (1989) discussed various factors affecting survey response rates such as the mode of survey, the manner of follow-up, sensitivity of the item content, and the educational level of the respondents. The site-based survey at the school was handled similarly to mail surveys in that respondents could use their own time to complete the survey and bring it to the school secretary. Frey (1989) stated that response rates for mail surveys generally are good if they run between 40-50%.

With follow-up, a mail-in type survey return rate can be increased. Frey (1989) referred to Siemiatycki's work, which showed that, with appropriate presurvey and postsurvey techniques, even mail surveys may be boosted up above 80%. The SBMPC survey administration involved considerable follow-up, including twice-weekly, one-on-one checks by the school secretary. Additionally, the evaluator spent a full day at the school reminding teachers before their planning periods that the surveys needed to be completed. After reviewing potential contributors to increased survey return rates, Frey stated, "Given the variability in rates, it is more feasible to operate with a range (e.g. , 65-75%) rather than a single value as a guideline for response success" (1989, p. 51). Thus, the overall SBMPC return rate of 75% for this administration was good.

Possible Interpretation for Questionnaire Return Rate

Considering the excellent return of the lower-elementary group, it is puzzling that the upper-elementary group return was low. Timing of the surveys can be ruled out as a contributor for it would have affected more than the upper-elementary teachers. The surveys were given out in April at a time when current-year and future-year goals should have been fresh in the respondents' minds. Also, April is usually a good month to avoid end-of-the-year administrative duties, which

may distract respondents from completing their surveys. In fact, timing the survey for a relatively quiet period probably assisted in the 100% lower-elementary and classified staff return rates.

Further investigation would be necessary to determine whether either level of teachers has had a different history within the school that might have affected the return rate. Upper-elementary teachers may be allowed more discretion than lower-elementary teachers in curricular adoptions or implementation, for example, while lower-elementary teachers may be expected to be assiduous in following district procedures for students starting reading and mathematics skills. Thus, both the lower- and upper-elementary teachers might have felt puzzled, frustrated, or apathetic toward SBM, but only the upper-elementary teachers might have felt independent enough that they could act on their feelings and protest through not returning a questionnaire. However, nothing in the SBMPC design deals with previous history of the respondents to allow for drawing conclusions of this type.

Since the teachers' names and grade levels were known, it is possible to note that the male teachers in the building were all in the upper level. Gender could have been associated with the nonrespondents' attitude toward SBM, for example, how much or how little they expected out of it. If SBM results were not the same as the male teachers' expectations for SBM, they may have not wanted to spend much time with answering surveys. Of course, they would have had to influence the female, upper-level teachers to react in similar fashion--i.e. , persuade them that it was unnecessary to respond to the survey. This line of speculation seems unlikely, namely, that three male teachers could have persuaded five female teachers not to return their surveys. Thus, a factor directly connected with the status or history of the two teaching levels seems more likely.

Restricted Teacher Analysis Required

While the 75% questionnaire return rate is acceptable, the low response rate of 25% of the

upper-elementary teachers and interns necessarily removes their data from consideration before any data are analyzed. With only one teacher and one intern representing the upper-elementary level, conclusions drawn from their data would be overgeneralized. Therefore, for the next section, only data from the lower-elementary teachers and interns and for classified staff were used.

The reader is referred to Appendix B for a complete listing of the SBMPC items used to determine the results pertaining to the five changes necessary for becoming an SBM school. Analysis of the SBMPC answers was based on frequency of agreement. The agreement may concern items that are multiple-choice, short-answer, or scaled. Sections 2-4 contain the scaled items, 20 items that require the respondent to choose one of four options, in most instances. Since only 11 teachers responded, to have high agreement for one particular option should indicate some discussion and formal agreement for that SBM process at that school. Therefore, in the following sections, if a particular option is not discussed, the agreement for that item was low.

Evidence of a Change to SBM--Agents and Activities

One line of evidence for determining how much a school has changed over to SBM is to determine to what degree the school stakeholders have learned the role of stakeholder groups in SBM. Stakeholders are important to SBM in two ways. First, an increasing number of stakeholder groups join a school as their effort matures; they are deliberately sought out in order to lay out the range of opinion necessary for coming to a solid decision. Secondly, stakeholders participate in every part of the decision making necessary to management of the school. That is, stakeholders do more than vote on an issue. They debate an issue, resolve conflicts in opinions about the issue, determine how an action will meet diverse needs, and monitor the implementation of a decision to see that decision criteria are satisfied (Murgatroyd & Morgan, 1993).

SBM Agents in the Subject School

  The key agents in an SBM environment are the various stakeholder groups. To gauge how much respondents know about being an SBM stakeholder, the SBMPC asked respondents the following: (a) how much time they had spent in the school, (b) how many stakeholder groups they individually represented, and (c) how many stakeholders of each group they estimated attended meetings. The questions are intended to identify how much opportunity there was for respondents to learn key SBM terms and apply the terms with some precision.

  School tenure. As seen in Figure 2, nearly 82% of the lower-elementary teachers had 5 years or more tenure at the school, with close to 55% being there since the SBM effort started in the school in 1990. Not represented in Figure 2 are the three responding interns and the classified staff. The interns, by definition, have had only one year's tenure at the school; the classified staff had all been in the school since 1990 or before. If all interns had responded, this split between the more experienced colleagues and the less experienced potentially could have been an opportunity for later analysis to determine if the amount of school tenure was associated with knowledge of the
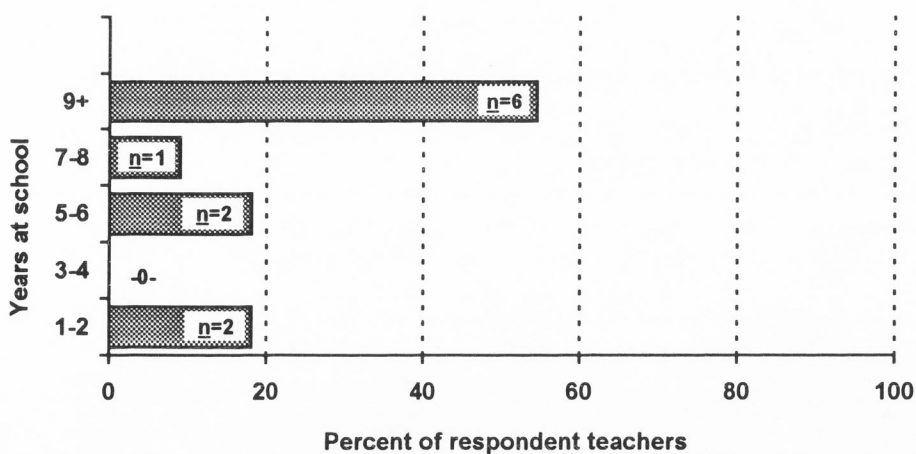

Figure 2. Tenure of respondent teachers at the evaluated school.

school's SBM effort or whether the more-experienced teachers had in some way communicated their knowledge about SBM.

Stakeholder group membership. In another measure of opportunity to learn the SBM stakeholder role, respondents were asked about their membership in other school stakeholder groups. Aside from the teacher and teaching aide positions, results show that few of the 11 teachers had school-age children themselves ($\underline{n}$ = 3). Even fewer ($\underline{n}$ = 2) belonged to some community group related to the school. Four of the classified staff had school-age children, with none of the staff belonging to a community group. Having school-age children or belonging to a community related to the school would help respondents approach school issues with more than an occupational perspective.

Stakeholder group diversity. A third measure of SBM experience is in a different vein than the two previous points, which simply addressed opportunity to learn what a stakeholder is and does. This measurement required respondents to use their knowledge to make distinctions among the stakeholders, first, to divide them into groups, and secondly, to further to distinguish them by being able to estimate the number of members in the group. Results revealed that respondents easily noted that teachers, teacher representatives, classified staff, or teaching aides, and parents attend; all respondents answered these questions. Estimation of numbers attending proved more difficult, with only 6 of the 11 teachers responding. Estimated attendance indicated that 92% of the attendees were teachers, with classified staff and parents each sending one representative.

The lower response rate for the second item may simply be that estimation may seem harder, or more risky. Or, because there was confusion in the labels chosen by those who did respond, perhaps the teachers were just not too sure of what group the attendees represented. Confusion was exhibited between labels in both the teacher and nonteacher designations.

Stakeholder group representation does not seem to be a particularly high priority. If the school depended upon the diversity of their stakeholder groups to set out the range of opinion for the issues they handled, respondents might have been more aware of who represented that group. Respondents seemed to feel little need to go beyond a teacher's perspective, to cultivate a full-fleshed viewpoint that might come from a parent on an issue or from the classified staff. These voices were not heard in any number in the school's SBM meetings.

Taken together these results concerning the teachers' understanding of stakeholder importance provide grounds for some speculations about the level of SBM-process knowledge respondents have gathered over their 7-year experience with the effort. The speculations are as follows: (a) The low-level of involvement of stakeholder groups other than teachers indicates a lack of understanding of the importance of having multiple perspectives in an SBM school; and (b) nonteacher stakeholders seem to have a low profile at meetings. Respondents were having difficulty sorting them into appropriately labeled groups and were not aware of their numbers. This could be explained in one of two ways. On the one hand, they may not attend meetings often or in large numbers, or, on the other hand, they may not speak up much when they do attend meetings.

A summary description of the school's SBM agents. The subject school has been involved with SBM for 7 years, and more than half of the respondent teachers have been at the school since the inception of the SBM effort. Yet their use of SBM procedures is elementary. They have not yet developed a foundation of multiple stakeholder involvement and seemingly do not understand its importance to making explicit the values that are held by the various groups in the subject school. On the face of it, these two results could be explained by a lack of training at the school concerning stakeholders. Through training and guided experience with stakeholder groups, teachers might even find that broader stakeholder representation is in their own self-interest

because it produces a critical mass of people, aside from the traditional leadership, who believe they have a voice in decision making.

Some further inferences are ventured that go beyond the data. Whereas teacher respondents do not readily note of the presence of a representative for the distinct stakeholder groups at their meetings, an assumption may be made that record-keeping for the meetings is not a high priority. If it were, then nonteacher stakeholder names would be included alongside the teacher names in minutes of the meetings or in proposals that might be circulated for general comment. Or, if records are made, they most probably are not used for later review.

<u>Decision-Making Activities in the Subject School</u>

Decision making in an SBM school is handled in two arenas, regularly scheduled meetings and ad hoc meetings connected with specific projects or with project teams. Figure 3 provides a comparison among teachers in the subject school for the total time per month spent in SBM activities. Only teachers are included in the figure because classified staff and one of the three respondent interns failed to answer this item and the next. The results of this item show that the average time spent by the respondent teachers was 8.2 hours monthly, or 2.05 hours per week. The heavy rectangle within the figure encloses an outlier response, a response more than 2.5 <u>SD</u> from the mean. The main reason for the response being an outlier was that the respondent included 13 hours a month for planning outside of meetings and 5 hours a month relating to the stakeholders inside the school. This is in comparison to a monthly average from the other respondents of 1.9 hours and 0.6 hours, respectively, for those two activities. Aside from this outlier response, the data from this teacher were the same as the high end of other respondents. The remaining nine
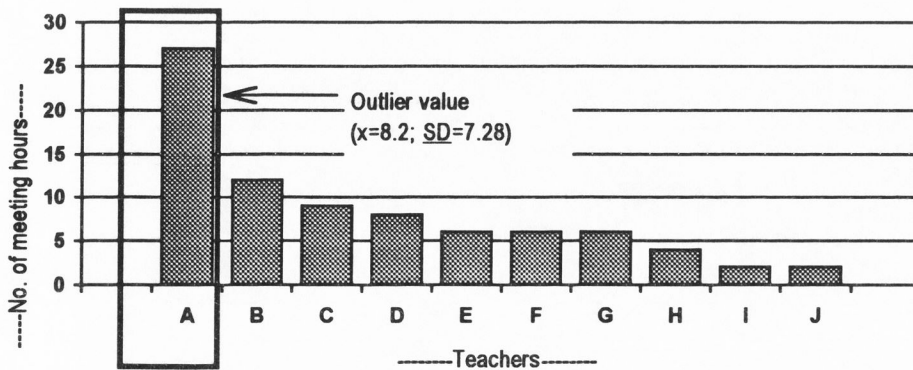
Figure 3. Total time teachers spent in SBM activities per month.

teachers responding to this item spent a combined total of 55 hours a month in their SBM

activities, or 92 minutes per week, with some teachers spending as little as 30 minutes per week.

Only one nonteacher stakeholder answered this item; no classified staff answered. The three

respondent interns indicated an average of 1 hour a month spent in SBM activities.

Figure 4 breaks the total time allotment given for the SBM effort into portions of time

reported monthly for each type of SBM activity. The outlier response of 27 hours a month
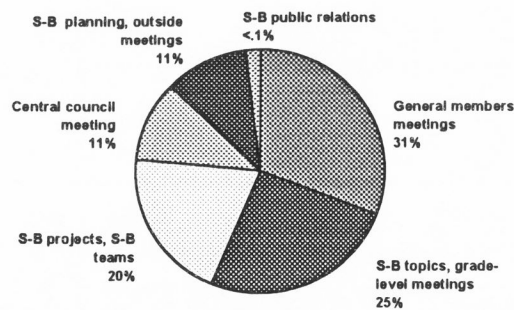
Figure 4. Proportion of SBM time teachers spent per month in specific SBM activities to the

nearest percent.

was excluded from analysis. As seen in Figure 4, 56% of the SBM time was spent in the two

activities that involved the entire membership, the general meeting itself, and the grade-level

meetings. With a little more than 50 minutes per respondent being spent in general meetings, 40

minutes were potentially left for developing the kinds of skills for focused discussion generally

done in small teams. Actually, though, the data revealed that an average of only 18 minutes a week

was given over to team and project work. The remaining time was in Central Council work and a

very small amount in public relations work, best represented by ad hoc activities like a presentation

before the PTA or the teachers' association.

Discrepancies between estimates of time and later percentages. A final item required

respondents to indicate what percentage of the scheduled meetings they attended. Teachers

indicated 100%, but, in the time breakdowns given for Figure 4, 2 of the 10 teachers indicated that

they did not attend one of the scheduled meetings, the general meeting. This discrepancy between

two items obtaining the same information could be due to differences between the SBMPC

terminology and the evaluated school's terminology for meetings. Or, it could be that the more

specific question required teachers to consider more closely how their time was spent. With only

eight respondents for this particular item, evidence is not suggestive of one or the other in

particular. Further probing would be necessary

A summary description of the school's SBM activities. The description given at the

beginning of this section concerning the role stakeholders play in the SBM effort contained two

statements: (a) The number of stakeholder groups involved in a school increases as the school's

SBM effort matures and (b) the stakeholders' decision-making activities include the authority to

initiate decisions and participate in the oversight of the decision implementation.

With respect to these premises, the results were mixed. The stakeholder groups

participating were teachers, with single representatives from the classified staff and from the

PTA--certainly not much progress toward broadening the base of people participating in decisions. However, the evidence was that teachers did participate in decision making--in planning and in general meetings and up to 1.5 hours a month in special SBM projects. It is not clear whether decisions were initiated by teacher stakeholders.

With respect to decision oversight, however, the results were not mixed. It was clear that once a decision was made, the 18 minutes that remained a week for the average respondent to spend time to oversee what happened to the decision would not be sufficient unless a previous plan for decision oversight had been carefully plotted. Rather than an oversight plan, what seemed to be the case was that a single person spent time for decision oversight, namely, the outlier case. This person spent 6.75 hours a week in planning and 1.25 hours a week in internal communication. The respondent's report may or may not be valid. This matters little because effective SBM requires widespread participation of stakeholders in decision implementation, rather than the concentrated efforts of a few. With so little time spent on average, and with the distribution of time showing so clearly that only a few do the work, it is likely that oversight of decision implementation in the school was weak or nonexistent.

Without the work done in subcommittees, the 1.5 hours a week of discussion and voting done currently by the school could be considered somewhat ritualistic, making the teacher respondents feel good that they have a voice in matters. Without time spent in subcommittee work, though, the potential for the school assuming the district office authority and accountability is minimal.

Finally, the fact that for the most part only teachers are making decisions may be due to a rather classic attitude that only professional educators can discuss educational issues. Because attitudes are not measured in the SBMPC, speculation concerning this attitude would need verification. But, such an attitude could cause difficulty for the transition to SBM. Group

participation in teams and the spread of leadership beyond the principal's office requires as an early task the ability to make use of the participants' differing knowledge and experience.

Thus, an examination of data describing the agents and activities of the school suggests that the school, despite its 7 years of engagement in an SBM effort, has not gone beyond the beginning stages of an SBM transition. Secondly, the data indicate an insufficient time being allowed for the subcommittee work essential for oversight of decisions once they have been made.

<p style="text-align:center">Evidence of a Change to SBM--Goals</p>

A second line of evidence in determining how well a school has made the transition to SBM is to look at the kinds of goals the school sets for itself and how these goals are handled. The goals are, as has been said before, derived from the stakeholders; further, the goals are central to the activities of the school.

In contrast to a hierarchical system in which stakeholders follow the directions of a leader-manager, in an SBM environment, direction is derived from stakeholder agreement on goals and their subsumed activities. The agreement percentage for any one goal should be higher than in a school that still uses leadership direction or simple majority voting. For the set of goals adopted by the school as a master plan, agreement should be near consensus. In descriptions of SBM, the "basic foundation," vision, or what the Japanese call the "kaisha hoishin," of the school's particular SBM effort should be "advocated by all stakeholders" (Murgatroyd & Morgan, 1993, p. 81). As Murgatroyd explained, Hoishin planning is a method often adopted by businesses to determine what vision they have for their companies.

Criterion of 50% Agreement

The SBMPC uses a liberal definition of agreement in voting, a simple majority of 50% or

more. Still, the survey is based on the idea that the higher the agreement on a set of goals, the more likely SBM is essential to the activities of the school, not simply tangential to goals set by leader-managers. Not only is higher agreement an indication that the goals have been discussed and incorporated into an active plan, but higher agreement means that the plan is central to the school's operation because high-level commitment to a plan (based on a shared vision) is hard to push aside.

SBM Process Goals in the Subject School

The kind of goals in an SBM school differ from the kind in a hierarchical school as well. In an SBM school, the goals are stakeholder standards, not student standards, for the processes stakeholders will incorporate into their daily practices, including curricular achievement. Since the SBM processes are the key, the most critical portions of SBMPC are the current and future goal sections. Data are gathered in this section to determine for which SBM processes there is 50% or more agreement among the respondents.

Data Only from Lower-Elementary Teachers

Data considered for the SBM process goals analysis are from the lower-elementary teachers only because the responses from other groups for the goals sections were minimal. Neither the classified staff nor the two interns answered any items dealing with current and future goals. One intern responded to the current goals section only, 50% of the time using the "Don't Know" option. In contrast, at least 73% of the lower-elementary teachers made distinctions between current goals and nongoals using "Don't Know" less than 50% of the time.

Change 1: Relinquishing Authority

The SBMPC items related to this change may be found in Appendix B, p. 108.

When a school district office has relinquished decision-making authority to the school, it should be possible to observe evidence of this change not only at the district office but also at the local school. In particular, in the school to be evaluated for this study, one should have observed that: (a) teams were the agents that carried out the decisions for the school, and the decisions were set by the teams themselves, not the central office; (b) local school activities focused on traditional district areas of authority such as curriculum, personnel, and budget; and (c) the district office staff worked in the school and school representatives worked with the district.

Team authority for making decisions. For the previous 7 years, subcommittees in the school had been making decisions. The survey posed a range of possibilities for these decisions, ones showing initiative and authority, others showing more of an advisory capacity. The two items that reached the 50% agreement standard showed relatively little exercise of authority in determining that decisions should be made. Results for these survey items were:

1. 72.7%   Our-S-B [site-based management] teams are assigned their topics;

2. 72.7%   Our S-B teams make recommendations to a council.

A goal achieving 45% agreement continues the picture of information seeking and giving with little assertiveness on the part of the respondents. The goal was: "Our S-B teams may seek outside information and report it to their teams." Teams neither decide which issues they will handle, nor do they have much control of whether their decisions will be enacted. They may, however, do as much fact finding as they want and they may state their opinions.

Some respondents thought the stakeholders had more authority than was generally recognized. Options such as "Our S-B teams have operating budgets," and "Most of the school academic decisions are handled by S-B teams" had 18% agreement. If budget possibilities were open to the teams, and if most academic decisions were given to teams, then they may have much more discretion in decision making than the group at large seemed to appreciate. Whether such

discretion was real or not, the initiative to use a budget or to make curricular decisions does not seem to have been taken. The data seem to indicate that the initiative was exercised before a decision was made, in the gathering of information. "Leader-teachers" may have been gathering information on their own that could influence team decisions. More data would be needed to substantiate whether teams have a certain amount of activism that is not yet systematically applied toward assuming more authority.

Decision topics. Results showed that goals had not been adopted in the critical management areas of the traditional central office decisions of curriculum, personnel, or budget; survey items for these goals did not receive any more than 25% of the respondent nomination. Buttressing the observation that team activity seems to be directed at predecision, information-gathering activities are the following results: (a) none of survey items in the critical management areas of budget, curriculum, and personnel reached the criterion of 50% agreement as an actual goal for this year or for next year, whatever importance these areas might have for respondents; (b) when questioned about the importance of budget, curriculum, and personnel decisions, all teachers choose curriculum and personnel as being important, but only 18% of the teachers selected budget as being important; and (c) teachers thought most of the goals were important, with 30% of the goals being chosen by all of the teachers and three fourths of the goals by 90%. Apparently, the school's teams have not discussed enough to prioritize the areas they want to nominate as future goals or to know the goals that they currently have in common. The road ahead for discussion appears lengthy if most of the goals seem acceptable.

District assistance. Two items within the goals sections deal with district interaction with the school in setting plans and policies. Whether the question was one of the school stakeholders helping the district office or the district office helping the school, respondents were consistent. The stakeholders did not choose a relationship with the district offices as a goal. Only 18% of the

respondents selected the district-related items as a goal that was accomplished; no one saw the goal as a future goal. There may be a particular historical event that keeps most teachers from seeing district office staff as colleagues. Or, perhaps there has been no particular event that they can remember when the district and the school have acted together. Either explanation would be sufficient to shy away from nominating a district-local school relationship goal as being realistic, whether important or not. In fact, 90% of the respondents believed that a relationship with the district office was important, despite their not making such a relationship a goal.

Summary: Relinquishing of central office authority. Authority has not been relinquished by the central office to any extent. The evidence for this lies in two areas: (a) S-B team activity in the evaluated school does not deal with central office type decisions; (b) respondents, for the most part, did not know if these management decisions had been goals for the current year or would be goals next year.

Constraints to the central office relinquishing authority. The teacher respondents do not have much of an idea about the kinds of decisions they should be making. They seem to discuss enough to know that the SBM processes represented in the items are important, at least for themselves, but they have not discussed enough to set goals mutually. The fact that they are not aware that they should be setting goals, simply as a means of furthering the development of their SBM effort, indicates a lack of leadership assistance. It is clear that stakeholders will need to make a specific effort to cultivate the district-school relationship. In doing this, because leaders inside the school have not yet provided assistance, stakeholders will need direction from people outside the school, such as university or state department of education resources.

Change 2: Assuming of the Central Office Authority

The SBMPC items related to this change may be found in Appendix B, p. 109.

These two changes, the relinquishing of authority and the assuming of authority, are a pair. The district office may take the lead in allowing schools to make a curriculum adoption if schools prove the adoption results in student achievement. The school assumes authority in curriculum gradually, using assessment procedures for one curriculum area at a time to demonstrate that its decisions increase student achievement. What allows progress in the school's assuming authority is how well the teams and the leaders of the school enact assessment, which, in turn, is guided by the use of a school improvement plan. In earlier stages, the teams are simply making decisions that they feel are important to handle. In later stages, the decisions are made systematically based on a school plan drawn up each year. Thus, evidence that the school is assuming authority can be found in the following activities: (a) school teams participate in decisions on an overall school plan with each professional position and stakeholder having a clear area of responsibility; (b) stakeholder activity for the school improvement plan is team-managed and derives from the overall school plan; and (c) team leaders and principals assist or facilitate, rather than direct.

Overall school plan assignments. No respondent indicated that the school had a plan for its decision making. Only 18% had an idea of who had responsibility for the various types of decisions. Such a result could derive from a more traditional setting where it is clear what principals do and what teachers do. In an SBM setting, decision responsibility is more flexible, based not so much on roles, but more on developing skills in new leadership, use of special expertise, and perhaps even on who is available. So a decision is not so clearly earmarked as a "principal's responsibility" or "district responsibility." The fact that a few respondents knew whose responsibility something was, but none knew of an overall plan, probably means that decision responsibility is mostly traditional.

Committee assignments. The people within the school who have responsibility are one part of a school plan. Another part of the plan is what course a decision follows as it is being

made. The course of the decision-making process may be puzzling to 45% of the respondents, for they did not answer the items addressed to this topic. The 54% who did agreed almost unanimously that decisions are first handled by a special committee. The special committee role seems much stronger than the other teams. The item that received 54% agreement provided the following details concerning the flow of the decision: (a) a special committee reviews all items to be presented on the agenda; (b) it prepares a brief synopsis of the purpose of the item, the pros, and the cons; and (c)after the general meeting, the matter is referred to committee(s) with specific instructions concerning the questions they are to answer.

This special committee clearly is a filter for presenting the item; it has the most freedom to define how the issue is presented to the general membership. This is in contrast to an SBM operation where the freedom belongs to the general membership to list the major decisions that are to be made. Subcommittees have the least freedom, as may be seen by the fact that both the special committee and the general membership have defined the discussion parameters. Again, this is in contrast to SBM wherein subcommittees are used (a) before a decision to gather specialized information, (b) during the decision to allow stakeholders to engage in more intense deliberation, and (c) after the decision for plan management.

If this school has made the decision to use a special committee to be more efficient, then the committee needs to handle decisions both up front, as it does, and after the subcommittee activity to assure that the decisions have been implemented and monitored for success. With the strategy they seem to be using presently, they do not have an overall school plan; they have an ad hoc decision referral system. It is difficult to tell whether what appears to be the case is actually the situation for how the special committee operates; most of the information was derived from the detailed option given in a single SBMPC item selected by 45% of the respondents.

Management of overall plan. Since there seems to be no overall plan for managing

decisions after they are made, management of the plan is a moot point. As noted earlier, 72% said

their teams make recommendations; only 27% felt that they chose their own topics. And making

recommendations is just the beginning of managing. The SBMPC description of plan management

is based on the premise that teams are managing. But, the evidence for Change 1 was that teams

are not active in management, except for the single special committee. Some respondents had said

for Change 1 that leaders were ones who seemed to be taking some initiative; perhaps that is the

case for managing the SBM efforts in the school, plan or not. The next section on leadership

results, then, may be the place to find evidence for who might have been managing the school's

SBM effort.

Leadership assistance. The results from the SBMPC items dealing with leadership

indicated 50% or more agreement for the following items:

1. 90.9%   Our principal understands and communicates, when asked,

               what is happening with each S-B activity.

2. 81.8%   Our principal develops leadership skills in others by delegation

               and by requiring accountability for the tasks undertaken.

3. 63.6%   Our leaders help us take responsibility for implementing

               our decisions

4. 54.5%   Our leaders step back so that others air the pros and cons of an issue.

Even though these items are supportive of developing skills in the stakeholders, and even

though more agreement to items occurred in this leadership section than in the team section of the

SBMPC, the data suggest that leaders were not yet as facilitative as SBM processes require.

Three lines of evidence seem to support that assumption. First, the leadership section consists of

14 items that describe facilitative traits. These include communicating with stakeholders, not taking the front line or primary role in discussions, but encouraging others do so, focusing discussions, requiring pros and cons to be aired, and providing resources to the team for training or information gathering. Respondents to the survey would have been in agreement to more items if their leaders were more facilitative. The focus of action was on what leaders did, not on teams taking a strong role in decisions.

Secondly, the leadership section attracted more agreement than the team responsibilities section, which indicates that a systematic plan for team responsibility was not in place. In other words, action was leader-centered rather than plan-centered.

Finally, the SBMPC data suggest that leaders are not strong enough to develop team operation. In a more mature SBM school, teams would have responsibilities for a decision from its inception through its life history. In this school, responsibility for a decision is mostly with a special committee. Facilitative leaders would be developing enough skill within team members to assure that the need for a special committee to expedite decisions would be diminished.

Training for leadership. An area of leadership assistance that is missing is in training for leadership. Only one respondent felt that leaders provided the resources for making the SBM changes occur, namely, training, time, and rewards. Training to instill facilitative leadership skills may be assumed not to have taken place because certain of the survey items were not chosen. The kind of leadership needed for SBM team skills probably did not exist at the time of the survey. Such survey items as the following were not selected:

1. Our leaders work to see that all team members speak up.

2. Our leaders help us review the progress we have made on our S-B plan priorities.

3. We can tell that our leaders want to develop team skills in making decisions.

These skills are ones that facilitative leaders develop, leaders who concentrate more on team members taking on SBM responsibilities than on leading team activities themselves. The goals that were selected may be read as either facilitative or directive. If leaders were in truth facilitative, however, then the other goals would have been chosen as well. Since one third of the leadership items were selected, it may be assumed that the leadership abilities in the school do extend beyond the principal's office; therefore, training in SBM leadership skills might be very useful.

The SBM effort in the school operates in a system before it has gelled. Communication, accountability, and responsibility are person-centered, not system-centered. The principal still initiates; leaders still have a role in team members learning how to discuss or how to take on various team tasks. As leaders move away from direction and toward facilitation in an SBM school, agreement with the last three items in the list above should take major leaps. Other SBMPC items, which did not receive much agreement at all, would need to increase as well; these are the items dealing with providing resources to the skill-building efforts of team members-- money, time, rewards for achievement.

Summary: Assuming authority. The school is not ready to assume authority, even if the central office were to relinquish it. This is a school where there is no overall SBM management plan, at least not one that is understood and remembered by the respondents. According to the 54% of the lower-elementary teachers who answered the SBMPC items concerning how decisions are made, the special committee is the filter for items that will come to the general meeting and then onto the subcommittees for implementation planning.

The special committee, which may have been meant as a time-saving measure to avoid long meetings, ends up being a barrier to team development and facilitative leadership. The special team deals with the substance of decisions, acting as a filter before the decisions get to the general

meeting. Thus, stakeholders are not intimately familiar with the substance of the goals because the general membership has already had the decision digested for them. Similarly, if subcommittees themselves do not have to wrestle with the decision options, a major opportunity for leadership is missed because it is not as necessary to get people to resolve their differences.

Constraints to assuming authority. Blocking stakeholders from engaging in the practices necessary to establish an overall management plan are three factors. The first is training in the special skills needed for facilitative leadership, SBM teamwork, and for decision making. The other two are (a) the lack of involvement of a broader stakeholder base and (b) the role and activities of the special committee. Additional stakeholder groups allow for a crisper focus on what is really essential to the school; debate can produce clarity if debate proceeds systematically. The role given the special council prevents others from learning and/or exercising the new skills necessary for developing and following a SBM plan.

Change 3: Assuming Accountability for
Central Office Functions

The SBMPC items related to this change may be found in Appendix B, p. 111.

For local schools to assume accountability for central office functions, the central office needs to have relinquished the authority for those functions to the school. The school also needs to have a management system that follows the course of the decision as it is being implemented. SBM shows its inheritance from business' total quality management and continuous quality improvement at this point. The school's SBM goals need to be "directly measurable on a frequent basis--usually weekly or monthly (preferably daily)" (Murgatroyd & Morgan, 1993, p. 75). "[Businesses] do iterative improvement to reach ever-higher levels of quality" (Shiba, Graham, & Walden, 1993, p. 29). It is this continuous measurement process that will allow schools to deal with the accountability issues of a public school system. It also allows the schools to obtain

waivers from the school district and from the state for not following standardized prescribed processes, such as not using the district's curriculum in mathematics. When some reporting process is in place, school districts can determine if the local school is maintaining its legal obligation. The important criteria for Change 3, therefore, are the following: (a) a management system is in place that allows for frequent or continuous monitoring of the success of decision implementation and (b) the school plan has been reviewed and appropriate waiver arrangements have been made with the district and the state.

For this school, Change 3 is irrelevant. Part of an SBM management plan is how the goals adopted by the school are evaluated to see if they have been attained. Because this school has not chosen goals, then evaluation of those goals begs the question. However, even if the school does not have SBM goals, it is possible to see if the school examines data concerning the achievement of any other of its activities and if it makes plans to improve upon its progress.

Measurement, evaluation, and review activities. It has already been determined that the school does not have an overall SBM plan, of which evaluation is a part. The data for this result are that 83% of the respondents felt that an overall plan was important, but only 18% felt that such a goal had been accomplished this year, and a different 18% felt it should be a goal next year. Stakeholders thought that evaluation systems were important (91%); however, none believed that it was a goal that had been accomplished this year, and only 18% felt that it should be a goal for next year. The school, therefore, has neither a management plan, which should include an evaluation component, nor a stand-alone evaluation component. Once again, respondents felt that one of the SBMPC goals was important, but they had not focused on it enough to make it a goal.

If the school strongly wanted to make the decisions made by an SBM school, particularly in the areas of curriculum and personnel, goals would be adopted and evaluation systems would be in place. These findings suggest that the school has not assumed accountability for central office

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functions and has not prepared itself with the systems and skills that would be necessary to deal with accountability for those functions. These functions were not in place despite the fact that the respondents indicated, at least at the 90% level, that such goals were important. To change intentions into actions, training is necessary so that people know how to make use of their decisions. But focus is needed, also. Student progress and achievement data would be overwhelming unless the stakeholders are prepared to focus continuously on the particular goals they have selected for their own school. Focus does not seem to be part of the respondents' behavior. If respondents were focused on some outcome, process, or need, they would be motivated to see to it that the goal was satisfied. An indication of their motivation would have been a higher survey return and completion rate among all teachers, upper and lower elementary.

Control over portions of central office functions. Data related to the foregoing three changes indicated that this school's SBM effort was at a very early stage of development, still much more traditional than site-based. In face of this evidence, one might suggest that the school could not advance any further than the beginning stages if the central office had not allowed the school to be site-based. The district probably has not turned over any budget decisions, any personnel decisions, or any curricular decisions. What should be the emphasis, however, is that the school stakeholders have not done what they will need to do to prepare themselves for assuming authority and accountability. They need to learn how to make a plan and how to evaluate that plan. Consequences of not preparing to be accountable are most likely that the school district will not give them the opportunity for making central office decisions.

Change 4: Mutual Sensitivity with the Community

The SBMPC items related to this change may be found in Appendix B, p. 112.

This reform change involves the school's external stakeholder relationships--parents, business representatives, civic clubs, university experts, and educators from state and district-level offices. Data show that other stakeholder groups did not meet in the regular school meetings.

Participating stakeholder groups. Figure 5 depicts the proportion of various stakeholder groups that teachers estimated were attending meetings. Possible selections included what are called external stakeholders, those persons who do not work or study within the school building. According to the teachers, no external stakeholders attended meetings, nor was it a current or future goal. Reference is made in Figure 5 to a PTA representative; only two teachers thought that a representative of the PTA or the president herself had attended SBM meetings.

Apparent confusion in stakeholder terminology. The SBMPC item that produced the foregoing data showed some minor confusion in two of the terms labeling stakeholder groups. A few respondents suggested that both teachers and teacher representatives attended the general meetings. The confusion was in whether the representatives were a separate group from the
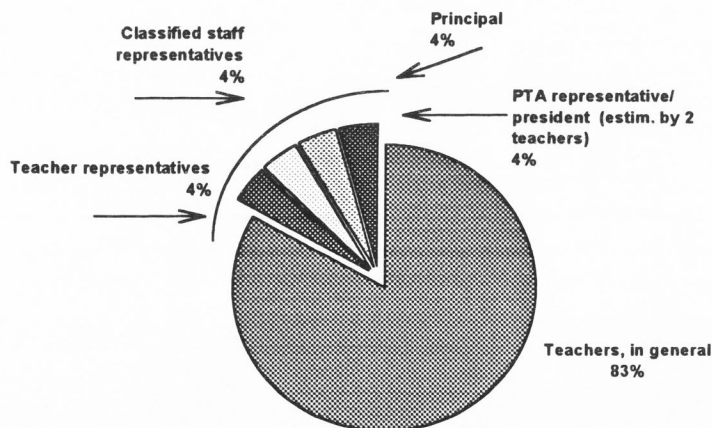

Figure 5. Estimated proportion of various stakeholder groups attending general meetings to the nearest percent.

teachers in general; that is, should their count have been added to the general teacher count. If, in fact, a separate function of being a teacher representative existed, no allusion was made to it in comments in the rest of the survey. The question is, then: Was there a separate functioning group that represents teachers? If so, did these representatives take on some leadership role with respect to the teacher-stakeholders?

Secondly, confusion seemed to exist around the sole parent participant identified by the respondents. This person was represented by some as a liaison to the group and by others as the PTA president. Confusion about who represented various stakeholder groups, how those persons functioned, and how often the representatives might have attend meetings was further evidence that the teacher respondents did not know what to expect of others who might be stakeholders of the school. For example, teachers apparently did not recognize stakeholders as having a means of addressing their own concerns in the general membership meetings. No respondent chose the following item option, which was one of several describing what takes place before a vote:

> The stakeholder groups have an open part of the agenda in a general meeting when they can bring up new issues. A discussion is held, brief or lengthy. The matter is referred to an S-B team for crafting the final recommendations (Section 1, Item 5, SBMPC).

Stakeholder diversity. Involving stakeholder groups outside of the school is an important facet of SBM, because the justification for making decisions locally is that the school is much closer to the needs of the students and families it serves than the central district office can be. Stakeholders internal to the school can observe how students interact with the learning material, but after a few adjustments may no longer see how students can be helped to improve. The continuous improvements required for a school to assume accountability for student achievement need evidence from as many observers as possible. Stakeholder diversity, or sensitivity to community stakeholder groups, is thus an important change in the transition to SBM.

Of the 20 goals in the SBMPC, 3 related to the involvement of other stakeholder groups. Teachers selected none frequently enough to reach the 50% criterion. In fact, the goal statements, whether for the current year or as a future goal, attracted only 18% agreement. The goal statements were as follows:

1. Before voting, teams reviewed research data and stakeholder priorities.

2. We instituted regular training for all stakeholder groups.

3. More than half of our stakeholders were involved in S-B decisions.

One might suggest that these goal statements deal with more than stakeholder involvement. They deal with reviewing research data, having regular training, and involving everyone, instead of the select few leaders. In this school, evidence has already been presented that the research data review, the training, and the widespread involvement of the present stakeholder groups were not evident. Perhaps it was the absence of these factors that kept these survey items from being selected, and not the stakeholder content per se. In answer to this objection, the suggestion is made that if involvement of a broad number of stakeholder groups had been a priority, perhaps some of these other activities would be in greater evidence. For example, if parents were much involved in the SBM effort at this school, the call for training might have come from both parents and teachers.

Summary: Mutual sensitivity with the community. No evidence exists to show that teachers want to incorporate parents or community members. The range of activities depicted in the goals section included training for stakeholders, assessing stakeholder needs, and making sure that stakeholders were involved in the decisions. None of these activities attracted 50% agreement among respondents for current or future goals.

It is useful to stop and remark on the overwhelming disinterest in bringing in additional stakeholder groups--including PTA parents. One classified staff member participates; one PTA parent. No outside assistance is provided from the district, from the state office of education, or

from business and university. The consequences of not using additional stakeholder groups relate to earlier comments about not being able to develop a crisply defined management plan for the school. Stakeholders not only can assist in defining the plan and monitoring its success, they can also provide more leverage to seeing that in remains it place in the face of a central district office that may not willingly wish to give up areas of traditional prerogative.

Determining the motivation for restricting other stakeholder involvement. By virtue of the fact that this subject school has been involved in an SBM effort for 7 years, and in that time has developed only the meager representation of two representatives from the PTA and classified staff, respectively, the teachers must have a certain amount of satisfaction with the situation as it is. Either that, or the thought of bringing in other stakeholder groups presents some adverse aspect so that teachers avoid broadening the representative base from other groups. From earlier evidence in the leadership section of the SBMPC, it is known that training concerning the SBM change process has not occurred. Teachers were probably not aware of why and how other stakeholder groups might have been involved. Once it is ascertained that teachers know the value of involving other stakeholders, if goals aimed at involving stakeholders still are selected infrequently, one may assume that teachers prefer SBM as a teachers-only activity.

Dealing with sharing authority with other stakeholders may not be within the teachers' conceptual understanding of SBM. They may basically want to have a voice for themselves as separate individuals in dealing with the principal and with the district. This might explain why teams have not developed to a great extent during the 7-year history of the SBM program at this school. Teams require sharing power with colleagues.

Change 5: Coming to Consensus

The SBMPC items related to this change may be found in Appendix B, p. 113.

The section of the SBMPC dealing with consensus was designed to describe how the respondents have approached identifying the goals that are important to them. In an SBM school, constant communication is required, both systematic and informal. The systematic communication is what is used in consensus building. It is not simply that a vote is taken and, if people all agree, then action can proceed. Rather, a process is followed to make sure a range of opinions is expressed, that the values underlying those opinions are aired, that common interests are found among the opinions, and that criteria are set forth that will allow for stakeholders with even divergent values to be satisfied by an action. The systematic communication allows for the development of the overall plan and, at the same time, secures commitment to the plan.

Four kinds of questions are involved in the survey's assessment of respondent consensus: (a) describing the school's consensus process; (b) ranking goals, current or future; (c) stating values behind those goals, and (d) stating a school or student vision. The first two question types are limited choice, as are most questions in the SBMPC. The other items, which require respondents to provide statements, are rare in the SBMPC, unless one considers the opportunity for additional comment at the end of every major section of the survey. However, if respondents can provide a description of the values that prompt their selection of certain goals and if they can write a focused vision statement, there is fair assurance that values and vision have been discussed at some length in the school. Additionally, while the value descriptions may vary, the goals ranked as most important should be of high agreement. The vision statements should be 100% in agreement in a mature SBM school.

School's consensus process. In the first section of the SBMPC, the one in which the agents and activities of the school's SBM process are to be described, two items deal with the consensus process. One deals with the actions that can take place before a vote is taken. Half of the respondents did not answer this question. In the item dealing with pre- vote activities, the six

remaining teachers chose two options that are quite similar in their use of expeditious action. The chosen options were worded as follows:

1. [Before the vote is taken] a special committee reviews all the items to be presented on the agenda and prepares a brief synopsis of the purpose of the item, the pros, and the cons. At the general meeting, other points are added to the synopsis. The matter is referred to committee(s) with specific instructions concerning the questions they're to answer. The matter is then brought back to the general meeting as many times as necessary to refine the decision. In each general meeting, issues are summarized. Only new points may be added.

2. The stakeholder groups are informed they have a decision to make. Team representatives explain the decision. Discussion is invited for 1-2 meetings of the general membership (see Appendix B page 102).

Both of these options follow an efficient method of decision making, but neither gains the commitment to action necessary in an SBM form of management. In both cases, committees act as filters before a decision is made. The opportunity to find the common interests that the general membership might hold is foreshortened by placing a committee in the first part of the process. In full-fledged SBM operations, the planning and goal selection done at the beginning of goal adoption serves as the means for creating decision efficiency. It was what the review of literature described as Hoishin planning. Once these goals are set, decisions still need to be made concerning the actions that will implement the goals and the criteria the various interest groups want to use to make sure that what they value is achieved.

In view of the fact that only six respondents answered this item and that they both chose options that did not employ previous discussion by the whole membership, it may be assumed that they were not using an SBM process to select the decisions that were to be made. They seemed to

have been emphasizing the principle that the full opinion of the teachers be made known in whatever decision was brought before the group.

The second question dealing with the consensus process was for respondents to choose all options that indicate why a vote came out the way it did. Only one respondent omitted answering this question. The two options chosen most frequently ($n = 7$ and $n = 6$) indicated that most of the discussion of the items takes place in subcommittees. By the time the vote is taken in the general meeting, the decision has generally been made. Once more, opportunity for the consensus necessary to SBM has not occurred. If subcommittees formulated the plans, then a vote to concur with the plan must only have meant that those not on that committee trust their colleagues to represent them, or that few wanted to be seen as an obstructionist. It is well that a subcommittee suggests a way to implement a decision, but the criteria for making sure the plan addresses the concerns of the membership must be discussed among the general membership.

Respondent comments concerning the voting process. Every subsection within the survey has a final blank item that allows respondents to make free comment. Two surveys had comments; they had to do with the consensus process. The written comments were as follows:

1. We aren't advised of what leaders discuss in meetings unless we vote on it in the teachers' meeting.

2. This [the decision-making process] doesn't fit our situation, and I really don't feel we are S-B anymore.

3. Much happens that we don't have a voice in.

4. We briefly discuss what the School Improvement Council recommends and usually vote for it.

5. [Academic decisions are] well-discussed, not always determined.

These were the comments from only two respondents. It is, therefore, not wise to treat them as indicative of general group sentiment. However, at least these two respondents felt that communication among stakeholders, and therefore the team relationships that are essential to SBM, was missing. Determining the extent to which other respondents may have agreed with those who made comments is difficult. The major evidence would come in how the other respondents ranked their goals. Did they choose the goals dealing with agreement and with reviewing stakeholder priorities to be among the top-ranked goals? As the next sections will discuss, five of the six respondents did not rank goals. Of those who did, however, three respondents placed general agreement in the top rank. Again, the evidence is not sufficient to determine how widespread this sentiment may be; however, the mention of the need for more stakeholders to know about a decision deserves some attention because it was what the two respondents choosing to write comments decided to discuss.

The most important goals. Table 4 lists what respondents chose as the top three goals from the SBM process goals in the survey. With only six respondents answering this item, the ranked position of the goal was not particularly meaningful. Thus, the listing of their responses in Table 4 provides all three ranked goals taken together as well as the SBM processes the goals represent and the number of votes the goals received. The six responding wanted to have authority over curriculum decisions and to work with the district on policy.

To some degree, the six respondents affirmed the written statements of the two teachers. In the sense that the comments and the goal rankings address the same issue, the worth of the written comments is enhanced. Both the comments and the goal selections address the fact that SBM procedures were not currently being used. According to Table 4, the goals selected most frequently were the ones requiring a formal plan and that the plan be followed.

Table 4

<u>Three SBM Process Goals Ranked As Most Important by Teacher Respondents</u> ($\underline{n}$ = 6)

Goal Number and SBM Process Goal	Topic	Frequency
To make final decisions in most curriculum matters	Devolved Authority	3
To have a formal S-B plan with a vision, goals, and strategies	SBM Plan	3
For everyone to agree with plans before we do them	Consensus	3
To institute regular training for all stakeholder groups	Technical Assistance	2
To use expert assistance from the district, university, and business	Technical. Assistance	2
For S-B to be responsible for plan implementation and evaluation	SBM Plan	2
For S-B team members to help plan district policy	Devolved Authority	1
To have district personnel help us in achieving our S-B tasks	Technical. Assistance	1
To run all school activities through the S-B process	Consensus	1

This ranking section also required teachers to indicate the values they held that had prompted them to choose the goals they did. Table 5 provides the value statements of three elementary teachers concerning their values. The values statements were more often statements of rationale. One might assume that values discussions were not frequently a part of the SBM environment for these teachers. This assumption is made on the basis of the statements seeming more a statement of logic or rationale than of belief; additionally, one would expect that a greater number of answers would have been given if values discussions were frequent.

<u>A single vision</u>. Respondents were asked to write a statement of the vision that they had for a student at the school. Vision statements are the pinnacle goal encompassing all goals within

Table 5

Value Statements Given by Teachers (n = 3) in Support of the SBM Goals Ranked

As Most Important

Teacher A: Goal 1:   Everyone will agree with plans.

Value Statement: The need to strive for a unity of purpose and this cannot be done if everyone isn't working on the same plans.

Goal 2:   All school activities run through SBM process.

Value Statement: If we are to know in what direction we are going, we need to plan our activities with more communication.

Goal 3:   District personnel will help us.

Value Statement: We need district support the to make this effort work--we aren't getting it?

Teacher B: Goal 1:   To institute regular training for all stakeholder groups.

Value Statement: . . . the time with students is limited by interruptions and nonacademic distractions which fragment the curriculum and their concentration.

Goal 2:   For local site to make final decisions in most curriculum matters.

Statement: We originally researched and chose the best materials for our students. Now we do not evaluate and cannot challenge what the district mandates.

Goal 3:   For S-B team members to help plan district policy.

Statement: We don't seem to understand S-B; it is more than a yes/no vote.

Teacher C: Goal 1:   For local site to make final decisions in most curriculum matters.

Value Statement: As a teacher, I appreciate curriculum help and support.

Goal 2:   To have a formal plan.

Statement: I want to know our present and future plans.

Goal 3:   To institute regular training for all stakeholder groups.

Statement: Be trained to make SB goals consistent among all school staff.

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the management plan developed by the school's stakeholders. After going through a considerable amount of systematic discussion, SBM stakeholders should arrive at a vision or picture of what they want their students to be. Vision statements are words that invoke that picture. For example, if the vision statement is, "Every student a reader, in school and out," a picture might be invoked of every possible stakeholder group for the school furiously planning the resources for reading, the rewards, the public relations, and the standards by which reading achievement could be judged.

A statement of a vision is described by Murgatroyd and Morgan (1993) as "the force that shapes and energizes all its members." They continue:

> The vision is the shared image of fundamental purpose. . . .If we take examples of industrial organizations we find that, in most cases, the powerful vision that shapes their future is a very simple one. For instance, Ford Motor Company uses 'Quality is job #1.'. [In an example school:] A Welsh school has as its vision, 'If you do not sow, you will not harvest,' a clear picture of the values the school wishes for its students. [In sum, Murgatroyd and Morgan say,] "The vision statement should become the basic challenge for all associated with the organization, for all of their efforts all of the time." (pp. 81-82)

The vision statement states the focus of the school's effort. In contrast, many schools have mission statements, which encompass the range of the schools' efforts. Mission statements, according to Murgatroyd and Morgan (1993), are often rather general and do not command the individuals of an organization to act in concert. They cover several items, not one. In Table 6, vision statements are provided for the seven teachers who responded to the SBMPC item asking for their idea of the vision that guided the school. To be coded as a vision statement, only one end result should have been given. It did not have to meet Murgatroyd's and Morgan's criterion of being the force that energizes action for a whole organization. With generous interpretation, two focused visions were identified. It is clear that the teachers do not have a shared vision.

Summary: Coming to consensus. Consensus voting in SBM is done during the time that school stakeholders choose the goals that will go into their overall management plan. Majority voting can be used after the plan has been set. For goals though, consensus voting is necessary so

Table 6

Descriptions of a School or Student Vision Teachers Consider Most Important

	Evaluator Coding
Description of vision	(Focus: 1 = yes; 0 = no)
1. I am new to the staff. I would like to see the community, parents, teachers, and students work together to make this the best learning environment possible.	1
2. Our students will be known for their academic progress and respect for others, property, etc.	0
3. Our students will be challenged to reach their highest academic potential. They will also learn the necessary social skills to function in this type of environment and feel proud of their accomplishments, class, and school.	0
4. Our students will be known for their ability to interact in a socially acceptable way; be able to meet the academic requirements they are mentally capable of, and be prepared for the technological future.	0
5. Our students will be known for their ability to work to their full potential and to develop proper social skills.	0
6. Our school will be known for our caring attitude toward students--their personalities, abilities, accomplishments, and their families	1
7. Our school will be known as an excellent place to educate children, both in knowledge and in social skills. A combined effort of parents, teachers, and others.	0

Note. Vision was coded as being focused if the statement required only one end result.

that commitment to a course of action and the management of that action is assured. Analyses in

previous sections have indicated how little discussion the stakeholders seem to have had about their

SBM goals, certainly not enough to decide upon the goals that would fit into an overall management plan.

Furthermore, the analyses for this school's data have shown that 56% of the discussion was held in SBM teams, in grade-level meetings, and in the special committee that acted as a filter by deciding that items would get on the agenda. Discussion in general meetings was to settle questions the general membership might have. If questions were major enough, the matter might be referred back to a subcommittee. It seems, therefore, that a good deal of discussion occurred, but it was not goal-directed, and it was isolated from the free give-and-take that is necessary for consensus to occur.

This process, working with subcommittees as filters and as agents of resolution, goes against the processes that promote consensus among the general membership. In an SBM school, subcommittee work is done after consensus in the general membership, not before. At that time, subcommittees will have as the focus of any planning discussion the purpose their planning must satisfy. Any time stakeholders start drifting away from one of the original consensus decisions, or any time evaluation shows that progress toward the agreed-upon decision is different than anticipated, the point of consensus must be reconsidered by all to determine if changing the goal or the means to the goal is appropriate.

Summary Discussion

Given the findings of this evaluation study, the most likely interpretation is that this school does not currently have an SBM form of school management. First, the school has made no progress in the changes dealing with devolution of authority. As judged by the participants' setting of goals and development of teams, the school has not systematically taken steps to assume authority or accountability from the central office. As judged by the lack of participant agreement

on goals and by the school's lack of other stakeholder groups, the school has not progressed very far in empowering stakeholder groups.

Of the two inheritances of SBM, the school values teacher empowerment more than the devolution of authority. This is evidenced by its relatively stronger development of teacher leaders. Teacher empowerment has developed along the lines of voting on issues as presented by a subcommittee, which in turn received its mandate from a special committee. The tenor of the discussion seems to be to make sure that everyone gets to express an opinion, whether the opinions are brought into resolution or not.

The relatively weak stance of the SBM effort in the evaluated school may be that, from its beginnings 7 years ago, the stakeholders do not seem to have been grounded in an understanding of the SBM process, itself. Respondents do not seem to understand that SBM is a management process, not simply a decision process.

CONCLUSION

Transition to SBM in the Subject School

The subject of this evaluation study is a rural northern Utah elementary school that has been involved with SBM since 1990. The school wanted to know what it had accomplished and what steps it should be taking to further its SBM efforts. The SBMPC is a means of providing such feedback to the school.

Early Stage of SBM Understanding and Practice

The results from the use of the SBMPC show that this school, despite its 7 years involvement in an SBM program, has a very early development of the SBM process, and then only of the teacher empowerment aspect of the process. Devolution of central office authority has not occurred, and the school has not prepared itself for the central office to relinquish authority. The school has not gone beyond allowing teachers to participate in some of the decisions that affect their students.

The school does engage in regular meetings for the purpose of decision making. It has not, however, extended these meetings to other stakeholder groups, developed leadership in its members, learned to use its teams effectively, considered what it might mean to operate by a management plan, established communication with the district school office concerning district programs or school programs, determined how it would evaluate success in its goals, or located resources to train stakeholders concerning the SBM processes. Their current activity, in which teachers are consulted about school decisions, but have no authority over which decisions will come to them nor oversight concerning the success of the decision implementation, has been labeled

by the school as an SBM program. The program is not presently an SBM program and is not likely to be until decision-making processes are extended to the general membership.

SBM is a form of school management in which the people who educate students make decisions about how that job is best accomplished and oversee the decision's implementation. To change the locus of management from a central district office to the school means more than making decisions. It means a change in authority for all concerned, an assumption of accountability, an ability to assess needs and determine if a program is meeting those needs, and an ability to reach decisions together.

The school being evaluated seems to understand few of these SBM premises. If the school being evaluated understood that decision management were the purpose of SBM, then much more evidence of teams functioning, of goals being selected, and of evaluation would have been found in the SBMPC results. If the school were in the earliest stages of SBM, but it knew the premises of SBM procedure, teachers would have been more certain about the goals that the school had accomplished. That is, the respondents may not yet have the skills to manage a decision-making process, but they would know that it should be managed, and it seems they would have been concerned if the goals for which they had voted had been achieved.

Rather than decision management, the purpose of the SBM effort at the school seems simply to allow teachers to have their voice. Once they had had their voice, once the decisions had been made, understanding of whether goals had been accomplished was weak.

A Caution Concerning Generalization

The conclusions in this section are based upon a 100% return of the data from lower-elementary teachers in the subject school. The conclusion statements are made as if they apply to the school as a whole--to the principal, to the classified staff, and to the upper-elementary teachers.

It would be hard to believe that lower-elementary teachers could have one understanding of the SBM process depicting a very early point in the school's transition and that the other stakeholders could have an understanding that might be greatly different. However, if the principal and upper-elementary teachers were engaged in a more intense decision-making process than that revealed in the lower-elementary teacher data, one would still judge that the SBM effort was at its earliest stages. The school leaders would not be meeting their obligation to extend decision-making skills to as many stakeholders as possible.

<div align="center">Recommendations to the School</div>

If the school wants to continue with SBM, then it needs to learn some skills that make SBM work. Three skills are interdependent--developing leadership, developing teams, and developing consensus. Consensus is used toward the purpose of choosing the vision for the school, but until leadership and team skills are fairly well practiced, the vision the school adopts may be temporary.

Recommendation 1: Leadership Training
in Team Processes

The first recommendation comes from a review of the lower-elementary teacher data. Respondents provided more information about the leadership in the school than for any other section. According to the data, school leaders were fairly strong, exhibiting independence, being communicative when asked, and expressing opinions when asked. They need to be moved from this teacher empowerment view of the participative stakeholder to the facilitative leader, one who assists in leading teams to developing their own SBM process skills. The strength of these leaders should be given the chance to show itself within an SBM context. With training, these strong leaders may be the very asset needed to start the team and consensus development processes.

The recommendation is to start with training leaders. Leaders should be trained to be facilitative, to understand that decision making starts with identifying the values that can contribute to a school vision, and that decision making ends with evaluation--itself the beginning of another cycle. Leaders also should be multiple, perhaps one to every five to eight stakeholders, so that the energy that is necessary for facilitation can be maintained within the general membership.

The reason for starting with leadership in this school is twofold. First, the leaders in this school seem to be strong; they have the respect of the teacher-respondents, as judged by the high percentage of agreement about their qualities. Secondly, in Utah considerable training resources exist in the area of developing facilitative leadership, many being at the University of Utah in the Institute for Educational Leadership started when Malen et al. (1990) were doing their site-based decision-making studies in Salt Lake City and many being at Utah State University in the Management Institute. These resources can be used at no cost by the public school system to a limited amount as a start. More extensive use might be cultivated through the intervention of members of the school community; businesses who themselves would benefit from such training may sponsor the costs of training for the school.

If leadership training has been developed across stakeholder groups in a sufficient number of teams, they may finish their leadership training by assisting participants in establishing their first management plan. The plan would be composed of the school vision, its implementing steps, the criteria for judging success, and, finally, the SBM processes the participants want to adopt as goals. Pursuing these processes, assessed by any instruments such as the SBMPC, promotes the changes that will be necessary for the school's transition to a mature SBM site.

Recommendation 2: Modifying Special
Committee Activities

Six respondents, out of the 22 teachers in the school, said that agenda scheduling and

program planning happened in subcommittees. The general membership meetings were used to discuss committee recommendations. One respondent who took the opportunity to make additional comments said that these discussions were held until everyone had their say; then, the vote usually approved the committee recommendation. Teams in SBM do not decide the goals of the school stakeholders. They provide a range of options; they seek out information; they summarize. None of this should be done to replace the general membership discussion. If subcommittees do the work first, then the general membership discussion is a weak, rubber stamping of previous discussions. In an SBM school, subcommittees may bring information to the table and take information from the table, but the decision is made at the table. In the subject school, the work of the special committee has had the effect of taking responsibility and/or authority for decisions from the general membership.

It is, therefore, recommended that issues be brought before the general membership first, rather than the special committees. Activities should be concentrated in encouraging open participation of more stakeholders to get a number of issues on the agenda. It then becomes the responsibility of the general membership to select which issues are of the highest priority by virtue of their relating to the overall school plan. Issues that emerge after the overall plan has been formed do not have to be handled by the SBM process, but they could be handled in a subcommittee using the discussion and resolution skills learned in the facilitative leadership training. The role of the special committee would not be as filter to decisions, but as reporter of decision progress.

Recommendation 3: Establish Clear Instructions
Concerning Responsibilities

The foundation of this thesis has been that SBM is an evolutionary process that may take 10-15 years for the full transition. This means that some activities, which clearly would be within

the scope of the SBM stakeholder responsibilities, will not be enacted for years. In effect, the management system for the school will be operated in parallel mode for a number of years. This creates an ambiguity for all partners in the relationship. Without clarity about who is responsible for what, people will not wish to take the risk of acting, or at least acting openly. Obviously, this ambiguity is antagonistic to the progress that is made in learning SBM skills. Such definition of responsibilities does not have to be a document that is ratified at the beginning of the school year never to change. In fact, discussion of responsibilities vis-à-vis the goal selected for the school vision is a useful activity that should be scheduled two or three times a year. What the division of responsibilities is at any one time, however, ought to be written, ought to be clear, and ought to be accessible by any stakeholder.

Implications of the Evaluation Study

The data used for most of the analysis were restricted to the lower-elementary teachers at the study school. Implications drawn about SBM on this small amount of evidence are probably tenuous. Still new possibilities concerning how schools make a transition to SBM, revealed during the course of the study, should be examined in future studies of this topic.

Sequential Initiation of SBM Process Skills

One of the original assumptions used to inform the design of the SBMPC was that all SBM processes move from a beginning stage through a more advanced stage in a somewhat parallel path. If leadership is at the very beginning of its development, so, too, will be the team functioning, the consensus building, the goals identification. The assumption was not based on literature. It was more a product of the fact that the list of changes laid out in the review of literature did not come from a single source. Thus, these changes were not placed in any sort of

developmental relationship to each other by any one author. Murphy (1991) seemed to place

devolution of authority changes together with no one of them needing to precede the other. He

spoke of authority devolving, of hierarchies flattening, and of principals becoming facilitative.

Shanker (1990) and Futrell (1988) provided the high-profile mandates for teacher empowerment,

but because they were mandates, the Shanker and Futrell messages did not address the means, just

the results. What the necessary conditions were for realizing teacher empowerment was not

addressed. Murgatroyd and Morgan (1993) described a process of how SBM could be managed in

the school, but they did not talk about which parts of the process would be ready to operate first

and which ones would take some time to develop. The people who have had a voice in the

emergence of SBM all spoke at different times and referred to different SBM elements. Thus, the

assumption that the components of an SBM school would mature in parallel paths was naïve,

uninformed by data.

In all likelihood, the assumption concerning how the SBM changes proceed should

recognize that some changes are necessary for others to emerge. Therefore, one must guard

against looking at the ideal descriptions of SBM operation and assuming that this ideal operation

can have all its components operating from the beginning. The data from this evaluation study

suggest that leaders precede teams, with leaders themselves going from a more directive to a more

facilitative stance before teams can begin doing more than simply discussing issues.

The evidence for leadership precedence over team development is that respondents

expressed more agreement with the leadership section of the SBMPC than any other section, which

seem to indicate that respondents have a common definition of how their leaders are acting.

Agreement concerning how teams were acting was lower and the response rate was lower for the

teams section. Another section indicates teacher teams did not guide decision making; the special

committee did. The fact that leadership skills may develop first does not mean that this is the best

course of development. The early development of strong leadership functions may prevent team operation and consensus-building opportunities from occurring. The strong leaders may develop dependent team members who are afraid to risk standing out or who feel quite comfortable allowing the leader to stand out. Whatever the interaction among the various SBM processes, one must look for the idea that certain skills occur before others.

Relinquishing Central Authority Not Immediately Important

Another assumption based on the literature was before a school could make decisions in areas of traditional central office authority, the central office would have to allow such action. Malen et al. (1990), in fact, defined SBM by stating that it exists only in those schools where the district has relinquished its authority. Again, the evidence from this study suggests that relinquishing authority may not be a necessary first step. The evidence is slim, but it does exist. The goal ranking done by six of the respondents included curriculum decisions as the prerogative of the school. If this school had decided to make curriculum decisions their priority for their SBM effort and had followed through with the necessary decision making, implementing steps, and evaluation, they could have done so without the central office relinquishing authority over curriculum. Instead of adopting one program instead of another, the teachers could have made the decision to blend the desired curriculum adoption with the district curriculum adoption. To forestall the district preempting their decision, adequate evaluation review and adequate support from parents would be enacted. In other words, schools could go through four of the changes suggested in the review of literature without the district relinquishing authority. Instead of relinquished district authority being the essential defining element for SBM, it is the ability of the school to develop and maintain accountability that is essential.

<u>Importance of Time</u>

One implication coming from this study is that major change requires a major restructuring of the time resource allowed schools during the time they make their initial changes. If Utah wishes for more schools to be managed through SBM procedures, as documented in the review of literature, then it must make provision for major portions of time to be available. The evidence for this need is within the history of the school itself as well as by comparison with business situations. This school has been involved with SBM for 7 years, yet, its progress is minimal. One of the reasons identified is that extensive training of its leadership would be necessary to maintain the SBM effort. If this school's progress is comparable to other schools, then time must be set aside for training. If this school's progress is much slower than the progress of other schools, this school needs time set aside.

If a business were to switch to a new management system, it probably would not fit the planning sessions for this change at the end of the workday once a week and on special retreat days two or three times a year. Yet, this is the mode whereby this school handled its planning sessions. Systematic restructuring of the time resource needs to be present for new knowledge and new skills to be introduced into the present operation. The state, the local school district, and the SBM stakeholders themselves need to consider the role of time in accomplishing each of the SBM processes, that is, the development of skills in consensus decision making, leadership, team-based management, and evaluation.

Affirmation of Evolutionary Character of SBM

Early evaluators of the SBM movement such as Malen et al. (1991) set a firm performance criterion for the existence of an SBM school. There had to be formal documentation that the school district had given over authority in areas of curriculum, personnel, and budget. For them, a school was either SBM or not, suggesting a rapid transition.

On the other hand, the subject school, having been involved in what they thought was SBM for 7 years, has not yet gone beyond a simple version of teacher empowerment. They still call themselves an SBM school; they still want to make decisions in curriculum; they still feel that almost all of the SBM process goals are important, except to deal with their own budget. If the school is to change from a 7-year plateau, what sort of events could promote such a change? The school board could change, or, the strong teachers in the present system could go through a facilitative leadership training course, or the state could set aside monies to provide summer training in schools whose profiles show that training is necessary.

The important condition that this study brings to consideration is that a school that has not developed beyond simple teacher empowerment requested an evaluation of its SBM effort and recommendations for improvement. Any event that could cause an improvement would occur over time. In contrast to the stance taken by Malen et al. (1990) wherein they do not recognize SBM schools in their early forms, this evaluation study shows that even weakly developed schools still may be engaged in the change process. Being in a teacher empowerment status may be sufficiently reinforcing for a school to continue in its aspirations of being an SBM school.

Limitations of Study

The sole instrument of the evaluation for this school was the SBMPC. As a matter of evaluation practice, the use of a single instrument to develop enough evidence to judge the success of a program is discouraged. Even if the single instrument is a valid description of a program type being evaluated, one based on a thorough review of current thought, a single instrument may not interact fully with the particular group being surveyed. It is well to use multiple approaches, some requiring respondent activity and some using observers. The use of observers would be important in getting a comprehensive overview of how the program operated; that is, the participant report concerning the flow of decision making, the facilitation by leaders, the use of record keeping, the types of self-evaluation, and the use of the school's vision in its everyday activities need to be corroborated.

Lack of Respondent Knowledge Concerning SBM

The use of only the SBMPC in this evaluation study resulted in some information not being developed for this particular group of respondents. While an evaluation of an elementary school will in most cases depend on the use of a small sample size if only staff are surveyed, the sample size in this case was made even smaller, in some measure due to the lack of respondent knowledge concerning SBM. Respondents unfamiliar with forming vision statements, using goals, following a structured process to make decisions may have found questions using terms related to decision making uncomfortable.

The fact that the respondents were early in their development of SBM procedures was not as much a limiting factor as was their lack of knowledge concerning those procedures. In this context, respondents may have not been as careful in their responses as one who was

knowledgeable of some of the distinctions being made. This difficulty may have shown itself early in the instrument when two participants first said they attended 100% of the scheduled meetings and later said they did not attend some of the general membership meetings, which were regularly scheduled.

A later manifestation of difficulty for the respondents was simply that at certain points they may have given up in dealing with the items, for example, in the vision statement items or the ranking goals items. It remains to be determined how much knowledge of SBM processes must be in place for respondents to interact well with the survey. This advanced knowledge of SBM processes should not cause invalid data concerning the relative maturity of the school, however. The SBMPC, itself, is designed to assess respondent use of SBM processes, not simply its understanding of them. The survey asks, "What goals did you plan, which ones were achieved, and which ones are you planning next year?"

Lack of Standard SBM Terminology

The results from this study may be hampered by the fact that SBM terminology itself is problematic. First, it is used in multiple contexts outside of an SBM environment. Secondly, many SBM words seem to exhort stakeholders to an ideal without indicating what the real application might be. Words such as "consensus" and "vision statement" are ambiguous, but in SBM they have definite meanings. Even within an SBM environment, it is not clear whether the meanings are to be viewed in their ideal sense or literally meant to be used in an SBM school. For example, if "consensus" means agreement, but stakeholders are asked to use consensus voting instead of majority voting, does that mean the vote should be unanimous--which would certainly be ideal? Finally, variation in how the words are applied within a given SBM environment may cause difficulty.

In the present study, some of the foregoing difficulties were addressed as a result of piloting the SBMPC in another school. Notes were used at the beginning of each survey section to provide a common referent for respondents. A better method might have been to use observers to tailor the instrument terminology to that used within the school context, as much as possible.

SBMPC Response and Completion Rates

The low return rate for the upper-elementary teachers meant that the finding concerning the SBM effort in the school may not be accurate for the school as a whole. Discussion of this possibility was given in the Results section, at some length.

Future Research

Administration of the SBMPC to Early-Stage Schools

The purpose of the SBMPC was to provide a means whereby a school could measure how far it had come in adopting the practices necessary to an SBM school. Schools in an early stage of SBM development had difficulty with the instrument because they did not recognize the territory. Specialized vocabulary was controlled through the pilot test administration and subsequent instrument revision. What seemed to cause difficulty is that the teacher respondents simply did not expect so many questions concerning process and procedure, ones that were unfamiliar to them. They probably expected questions concerning decisions they had made.

It is suggested, therefore, in the further development of the instrument that administration of the test be done in stages. A new section should be developed that meets teacher expectations; it should allow for a check-off of common sorts of decisions that faculty and staff are making in schools, whether an SBM school or not. Then, through the design of the sample, the SBMPC would be administered in short sections assessing leadership behaviors, team management

behaviors, consensus-voting behaviors, and evaluation behaviors. The decision check-off list is not simply a means of making the stakeholder more comfortable with the instrument. It may also provide information concerning the nature of decisions in both SBM and non-SBM schools.

Simplification and Elaboration of the SBMPC

The attempt in the SBMPC instrument was to cover a broad range of behavioral areas for any one of which a large amount of literature exists. The literature on educational leadership, for instance, and the approaches to measuring educational leadership is vast. The means of focusing the survey as it covered such a number of topics was to deal with the behaviors that represent changing the people who perform management tasks.

When more data are gathered concerning the behaviors that discriminate between early stage and more mature SBM schools, then it will be possible to develop subscales that examine these behaviors in more detail. In that manner, schools that find they are dealing with leadership issues can have a finer description of the options open to an SBM leader. Is it always necessary, for example, for the leader to be nondirective in order to be facilitative?

Until that time, however, in order for more information to be gathered concerning the success of the wide range of schools attempting SBM, the SBMPC should be set up in a branching format so that it would not be necessary for all respondents to take all parts. A shorter instrument would be more easily administered and scored for a larger number of respondents. For example, it may not be necessary to include curriculum decisions, personnel decisions, and budget decisions in the survey, or to include both current and future goals.

Discrimination Between Early Stage and Mature
SBM Efforts

The school that was the subject of this evaluation was in an early stage of SBM, more

particularly in an early stage of stakeholder empowerment. Other early-stage schools might be involved with devolution of authority; such would be the case in Kentucky or Chicago where law has required structures devolved from the central district. A third possibility is a school that is in an early stage of both stakeholder empowerment and the devolution of authority. In more advanced SBM schools, the same tripartite division might be made. However, at some point in the maturing of an SBM school, the dual inheritances of SBM should blend together and be hard to separate. Instruments that assess the status of an SBM school need to be able to discriminate between schools that are relatively early in development compared to more mature schools. Leadership should look different. The number and kind of goals chosen should be different. The agreement among stakeholders should have different patterns. The stakeholder teams should function differently, because issues flow differently. In more-developed schools, hierarchies should not be as evident, and the flattened distribution of decision makers is likely to create a different distribution of other activities, such as evaluation procedures and interactions with the central office.

Multimethod Evaluation of SBM Efforts

The enormity of the social currents behind the changes toward SBM means that the movement is not simply a 10-year whim upon the record books of educational change. Unlike earlier movements within schools, such as open-classroom schools, differentiated teaching staffs, or whole language instruction, this movement will last longer upon the scene because it is not just a phenomenon of the academic world; it has sprung from business, from government, and from a democratic philosophy. Further, funds from business and government support continued experimentation in how best to develop local site governance.

Simply by its longevity, SBM deserves to be evaluated using the multiple tools of the evaluation art. More than that, however, SBM should be evaluated, described, and refined because it takes so much of the country's resources to make a major educational change. It needs to be done with informed direction.

Future research into SBM should include standardized observer descriptions, both internal and external to the schools being evaluated. The observers would most probably need to develop coding systems for keeping records of decision flow, time periods between actions on a decision, and numbers of persons involved, that hopefully can be entered into databases that can be aggregated across schools. Finally, descriptions of the interactions among decision makers need to be recorded so that distinctions between directive and facilitative actions and their consequences may be drawn. Through such measures, it may be possible to provide a model of the sequence of change so that the resources required will be used more effectively.

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APPENDICES

Appendix A

The Site-Based Management Progress Check

THE SITE-BASED MANAGEMENT PROGRESS CHECK
(An Inventory for Schools to Use Regularly to Assist in Monitoring their Site-Based Management Efforts)

The following progress check should help schools get a picture of progress from year to year. It's results, and the comparison to previous years' results should provide a starting point for planning each year.

How to Respond to this Progress Check

Two kinds of answers will be necessary:
- Most of the Progress Check takes the form of quick checklists or rating scales.
- A few require well-worded, but not lengthy, descriptions.

Independent readers will look at these responses. They will be noting what the different stakeholder groups feel is top priority.

NO ANSWER IS RIGHT OR WRONG. It is the overall picture provided in the responses of all school stakeholders together that will tell if progress toward being site-based school is being made.

Since no answer is wrong, it is possible for you to choose answers which best reflect your site-based effort, whether it has reached its goal or not.

IT IS VERY IMPORTANT TO BE THOUGHTFUL AND GIVE ANSWERS WHICH TRULY REFLECT HOW YOU FEEL, NOT HOW YOU THINK OTHERS MIGHT WANT YOU TO ANSWER.

PLEASE.
DO NOT CONFER with each other before or during the time you fill out the checklist.
When all have turned in their papers, a separate discussion is welcomed and useful for planning future actions. If respondents wish, they may feel free to make personal copies of their Progress Check before turning them to remind themselves of points they want to discuss.

BACKGROUND INFORMATION	How long you have taught in a school and the grade you teach are just two factors that can give you a different perspective on the school's problems. If you are a parent, a district staff person, or a member of the neighborhood, you will bring different resources to the S-B effort. Therefore, it is useful to ask some questions to see if what you bring makes a difference in your responses.

(This is one of the internal stakeholder groups for the S-B effort at your school.)
Please CHECK (√) THE ONE grayed checkbox to show the faculty or staff position you hold:

• I hold no faculty or staff position.								
• Teacher	a1.		grades K-1	b1.	grades 2-3	c1.	grades 4-5	
• Intern	a2.		grades K-1	b2.	grades 2-3	c2.	grades 4-5	
• Classified staff person	d.		Most of my time is used for assisting in teaching.					
• Classified staff person	e.		Some of my time is used for assisting in teaching.					
• Classified staff person	f.		My job responsibilities do not involve teaching.					

My child (children) are in the grades I have indicated for each question below.

• I am not a part of any other stakeholder group.	X	Please CHECK (√) ALL grayed checkboxes that apply:								
• I have a child at McKinley.	a1.	Grades K-2	b1.	Grds 3-5						
• Please check for ALL children in other schools IN THIS DISTRICT:	a2.	Grades K-2	b2.	Grds 3-5	c2.	Grds 6-9	d2.	Grds 10-12	
• Please check for ALL children in other schools OUT OF THE DISTRICT:	a3.	Grades K-2	b3.	Grds 3-5	c3.	Grds 6-9	d3.	Grds 10-12	

• Resident, not parent, in the McKinley neighborhood.	e.	
• Business person	f.	
• Civic club member	g.	
• District staff person	h.	
• District board member	i.	
• Education resource outside school (e.g., librarian, state staff, consultant)	j.	

Please CHECK (√) ONE of the grayed checkboxes to show the number of years you have been teaching at McKinley, including this year.

1-2 years	3-4 years	5-6 years	7-8 years	9 or more years

Please FILL IN THE NUMBER OF HOURS you spend in the typical MONTH involved with your school's S-B effort.:

a.	I attend the general membership meeting.		Hours per month
b.	I attend a central council meeting..		Hours per month
c.	In addition to our regular business, we discuss S-B issues in grade-level meetings		Hours per month
d.	I attend subcommittee or meetings for specific S-B projects.		Hours per month
e.	I do planning activities for our S-B effort outside meeting time.		Hours per month
f.	I do public relations for our S-B effort outside of meeting time.		Hours per month
g.	I work with publications for staff and/or the community.		Hours per month
h.	I work with external stakeholders (e.g. parents, business, district staff, etc.)		Hours per month

What percent of the scheduled S-B meetings do you typically attend over the year? _____ %

SECTION 1:	So much variation exists among schools switching to a site-based effort that it is difficult to tell if the school can accurately be described as site-based. WHAT IS IN COMMON, THEN, AMONG SITE-BASED EFFORT SCHOOLS? Site-based effort schools make, manage, and evaluate the results of their decisions differently than do schools that support the traditional way of making decisions. The change will not take place in one or two years; ten to fifteen years is more realistic. Thus, it is necessary to look not at what schools are, but at their progress from year-to-year to see if their change is in a site-based direction.

STAKEHOLDERS: Those groups in the school and its community which have a stake in the operation of the school and the results produced. These separate groups make a stronger plan for change because they bring more information to any given problem, and they put on the table the likely reactions the "customers" of the school will have.

CHECK (√) ALL the grayed checkboxes that apply:

1.	Stakeholder groups that are included regularly in our school's S-B decision-making are the:				
	a. Principal	e. All classified staff		i. All parents	
	b. Teacher representatives	f. School district personnel		j. Large businesses contact	
	c. Teachers, in general	g. PTA President or other liaison		k. Community businesses contact	
	d. Classified staff representatives	h. PTA parents		l. Other community residents	
	X ADDITIONAL ?? (please specify):				

WRITE answers in the grayed checkboxes:

2.	For EACH group below, ESTIMATE THE TYPICAL NUMBER of people attending general membership meetings:				
	a. Principal	e. All classified staff		i. All parents	
	b. Teacher representatives	f. School district personnel		j. Large businesses contact	
	c. Teachers, in general	g. PTA President or other liaison		k. Community businesses contact	
	d. Classified staff representatives	h. PTA parents		l. Other community residents	
	X ADDITIONAL ?? (please specify):				

TEAMWORK: Teams are the backbone of the Site-Based school's operation. There should be a steady change over the years in how teams operate. Over time the various team members switch roles, each trying to bring out new skills in themselves and their team partners.

CHECK (√) ALL grayed checkboxes that represent the TYPICAL team behavior:.

3.	75-100% of the time, our team participates in decision-making in the following ways:
	a. Our S-B teams choose the topics they want to handle.
	b. Our S-B teams are assigned their topics
	c. Our S-B teams research a problem, but they do not make recommendations.
	d. Our S-B teams make recommendations to a council.
	e. After a plan is approved, our S-B teams are in charge of its implementation and may draft other teams or individuals.
	f. Our S-B teams may seek outside information on their own initiative and report it to their teams.
	g. Our S-B teams have operating budgets at their discretion (usually small).
	h. Most of the school academic decisions are handled by S-B teams.
	i. Most of the school professional development decisions are handled by S-B teams.
	j. We have a clear idea about which ideas should be handled by the S-B teams, by the principal, and by the central office.
	k. Our S-B teams may represent the school at district meetings.
	l. Our S-B teams take the responsibility of communicating their activities to all stakeholders.

LEADERSHIP: Leaders are the initial model and the ongoing support for how school stakeholders may take responsibility in the Site-Based school's operation. Leadership characteristics should develop over the years which concentrate on coaching and setting up the resources to develop skills in others to be flexible in the roles they take. Leaders should be found at the district level, in the principal's office, in school, and among the community served by the S-B effort.

CHECK (√) ALL grayed checkboxes that represent the TYPICAL leader behavior:.

4.	It is clear to observers that our principal and other leaders have the following characteristics:
	a. Our principal understands and communicates, when asked, what is happening with each S-B activity.
	b. We have leaders who take responsibility for communicating what is happening with each S-B activity.
	c. Our principal develops leadership skills in others by delegation and by requiring accountability for the tasks undertaken.
	d. Our leaders find ways that those who may have to be less active can still participate.
	e. We can tell that our leaders want to develop team skills in making decisions.
	f. Our leaders work to see that all team members speak up.
	g. Our leaders are among the first to focus group discussion.
	h. Our leaders step back so that others air the pros and cons of an issue.
	i. Our leaders help us take responsibility for implementing our decisions.
	j. Our leaders help us review the progress we have made on our S-B plan priorities.
	k. Our leaders work to assure us the resources we need to create change; e.g., training, time, rewards.
	l. Our leaders help those who monopolize certain issues to step back, but still feel respected.
	m. Our leaders have a good grasp of the vision we are striving for in our school.
	n. Our leaders work to make sure that team members can serve in various roles.
	X ADDITIONAL ?? (specify)

CONSENSUS: Consensus voting is 100% voting to support the enactment of a decision. Schools should not be upset if they find they can't use that kind of voting yet. Any progress in that direction opens communication. The demand for consensus means that teams thoroughly understand the values of other team members, trust those members, and are willing to suspend their own concerns until the decision has been given a fair trial.

CHECK (√) ONE grayed checkbox..

5.	Which of the following best represents what happens before a vote is taken.
	a. The stakeholder groups are informed they have a decision to make. Team representatives explain the decision. Discussion is invited for 1-2 meetings of the general membership.
	b. The stakeholder groups have an open part of the agenda in a general meeting when they can bring up new issues. A discussion is held, brief or lengthy. The matter is referred to an S-B team for crafting the final recommendation..
	c. Stakeholder groups must get support before they come to the meeting to raise a new issue.
	d. A special committee reviews all items to be presented on the agenda and prepares a brief synopsis of the purpose of the item, the pros, and the cons. At the general meeting, other points are added to the synopsis. The matter is referred to committee(s) with specific instructions concerning the questions they re to answer. The matter is then brought back to the general meeting as many times as necessary to refine the decision. In each general meeting, issues are summarized. Only new points may be added.
	e. Decisions are made as issues that fit under the S-B plan are identified by a steering committee; regular meetings are not held. Much of the routine decision-making is handled by delegation to specific committees or to the established school administrative system.
	X ADDITIONAL ?? (specify):

CHECK (√) ALL statements that describe the TYPICAL reasons people in your school vote the way they do.

6.	Which of the following best represents why S-B stakeholders in your school vote as they do:
	a. Most times it is difficult to bring other solutions up because certain "leaders" spend meeting time discussing their points of view. The various solutions have not been made equally clear. People vote for the most-discussed solution.
	b. The decision has been so complex and so lengthy, people vote to make certain people happy.
	c. Most staff members are afraid to be in the minority; they figure out what the majority position must be and vote that way.
	d. On priority decisions, we discuss in detail with opportunities to bring out opposing views. On other decisions, we let subcommittees draft plans telling them what the plans should achieve.
	e. We vote with the person who can make our lives simpler, the grade chairman or the principal, for example.
	f. We discuss things one meeting and then vote the next. This gives us time to talk informally among ourselves. We use majority voting.
	g. We tend to table issues that have not been thoroughly discussed. That way, people can spend the time they need on the really important decisions.
	h. Most issues are discussed in the assigned team and/or grade-level meetings so we can get to voting without much discussion.
	i. The reports we receive 1-3 days before the meeting help us see the issues and make up our minds about what we are willing to support.
	X ADDITIONAL ?? (specify):

VISION: S-B efforts are guided by "vision." The vision focuses the efforts of the S-B teams on the overriding goal that all S-B activities and strategies are intended to focus the efforts of the local school stakeholders on the things they think mean the most for their students. The term "vision" is used because focusing is sometimes best accomplished by visualizing the end result. The vision is the main characteristics or qualities you want the student to have—the things that stand out the most. A vision might be expressed in terms of the student or in terms of the environment the school will provide to create such a student.

PLEASE WRITE what you personally hold as the vision for your school or your students.

7.	This is a description of my vision: (Start with "Our school will be known" or "Our students will be known"

SITE-BASED MANAGEMENT PROGRESS CHECK   -6-

SECTION 2:

GOALS are decided by the vote of those involved in the S-B effort.
In contrast to current systems where goals are developed in detail for the entire school operation, S-B schools develop their goals in detail for the areas which each school thinks is most important for its student population.
Few schools would want all of the 20 items below as goals for a single year.
THEREFORE, it is not unusual to have only a few checkmarks in the first two (white) columns.

For each of the 20 items below, CHECK (√) ONE of the following:

GOAL DONE	=	GOAL has been achieved THIS YEAR.
NOT DONE	=	IS A GOAL, but it will NOT be achieved THIS YEAR.
NOT A GOAL	=	NOT A GOAL in our S-B plans THIS YEAR
DON'T KNOW	=	Not sure if this was discussed, or voted on, or put in a plan.

CURRENTLY COMPLETED GOALS S-B = site-based	GOAL DONE	NOT DONE	NOT A GOAL	DON'T KNOW
1. THIS YEAR... Several of our S-B team members helped plan district policy.				
2. THIS YEAR... Before voting, teams reviewed research data and stakeholder priorities.				
3. THIS YEAR... We instituted regular training for all stakeholder groups.				
4. THIS YEAR... We planned goals in several areas for our S-B effort this year.				
5. THIS YEAR... Our local site made the final decisions on most personnel matters.				
6. THIS YEAR... Our local site made the final decisions on most budget matters.				
7. THIS YEAR... Our local site made the final decisions on most curriculum matters.				
8. THIS YEAR... More than half of our stakeholders were involved in S-B decisions.				
9. THIS YEAR... We evaluated the progress of our S-B tasks from startup to the end.				
10. THIS YEAR... We had a written S-B plan with a vision, goals, strategies, etc.				
11. THIS YEAR... We allowed only the most committed to be in our S-B effort.				
12. THIS YEAR... Everyone agreed with plans before we did them.				
13. THIS YEAR... District personnel helped us in achieving our S-B tasks.				
14. THIS YEAR... We planned appropriately for using state/district rules				
15. THIS YEAR... We used expert assistance from district, university and business.				
16. THIS YEAR... S-B terminology was part of our everyday thinking and action.				
17. THIS YEAR... S-B teams guided our S-B plan implementation and evaluation.				
18. THIS YEAR... All school activities were run through the S-B process.				
19. THIS YEAR... We felt at ease with both positive and negative viewpoints.				
20. THIS YEAR... Full committees typically met only once a month.				
21. (Other goals achieved THIS YEAR were:)				

SITE-BASED MANAGEMENT PROGRESS CHECK

SECTION 3:	GOALS are to be fine-tuned, dropped, or enlarged based on evidence of how well last-year's goals were met. S-B goals are supposed to be "outrageous," far beyond what people usually set for goals. By there being so constructed, ample room exists to experiment to see what methods get greatest performance increases. In a review of last year's performance, whatever the evidence is simply provides a starting point for discussion.

For each of the 20 items below, CHECK (√) ONE of the following:

FORMAL VOTE	=	We have discussed this and included the goal in our plan NEXT YEAR.
NO VOTE	=	We are discussing this goal, but there has not been a formal decision.
LTL /NO DISC	=	There has been LITTLE or NO discussion.
DON'T KNOW	=	Not sure if this was discussed, or voted on, or put in our plans.

FUTURE (NEXT YEAR'S) GOALS S-B = site-based	FORMAL VOTE	NO VOTE.	LTL /NO DISC	DON'T KNOW
1. NEXT YEAR.. Several of our S-B team members will help plan district policy.				
2. NEXT YEAR.. Before voting, teams will review research data and stakeholder priorities..				
3. NEXT YEAR.. We will institute regular training for all stakeholder groups.				
4. NEXT YEAR.. We will plan many goals in our S-B effort.				
5. NEXT YEAR.. Our local site will make final decisions in most personnel matters.				
6. NEXT YEAR.. Our local site will make final decisions in most budget matters.				
7. NEXT YEAR.. Our local site will make final decisions in most curriculum matters.				
8. NEXT YEAR.. More than half of our stakeholders will be involved in S-B decisions.				
9. NEXT YEAR.. We will plan to evaluate our S-B tasks from startup to the end.				
10. NEXT YEAR.. We will have a formal S-B plan with a vision, goals, strategies, etc.				
11. NEXT YEAR.. We will allow only the most committed to be in our S-B effort.				
12. NEXT YEAR.. Everyone will agree with plans before we do them.				
13. NEXT YEAR.. District personnel will help us in achieving our S-B tasks.				
14. NEXT YEAR.. We will plan appropriately for using state/district rules waivers.				
15. NEXT YEAR.. We will use expert assistance from district, university and business.				
16. NEXT YEAR.. S-B terminology will be part of our everyday thinking and action.				
17. NEXT YEAR.. S-B will be responsible for plan implementation and evaluation.				
18. NEXT YEAR.. All school activities will be run through the S-B process.				
19. NEXT YEAR.. We will feel at ease with both positive and negative viewpoints.				
20. NEXT YEAR.. Full committees typically will meet only once a month.				

SITE-BASED MANAGEMENT PROGRESS CHECK

| SECTION 4: | GOALS are often chosen because of the underlying values they seem to represent. and the values we hold lead to the vision we have for our own particular school. So, goals, values, and vision are linked. |

CHECK(√) ALL the important goals you think should be addressed in your S-B effort:

RANKING VALUES AND GOALS S-B = site-based	IMPORTANT	NOT IMPORTANT
1. IT IS IMPORTANT.. For S-B team members to help plan district policy.		
2. IT IS IMPORTANT.. Before voting, for S-B teams to review research data and stakeholder priorities.		
3. IT IS IMPORTANT.. To institute regular training for all stakeholder groups.		
4. IT IS IMPORTANT.. To plan many goals in our S-B effort.		
5. IT IS IMPORTANT.. For our local site to make final decisions in most personnel matters.		
6. IT IS IMPORTANT.. For our local site to make final decisions in most budget matters.		
7. IT IS IMPORTANT.. For our local site to make final decisions in most curriculum matters.		
8. IT IS IMPORTANT.. For more than half of our stakeholders will be involved in S-B decisions.		
9. IT IS IMPORTANT.. To evaluate our S-B tasks from startup to the end.		
10. IT IS IMPORTANT.. To have a formal S-B plan with a vision, goals, strategies, etc.		
11. IT IS IMPORTANT.. We will allow only the most committed to be in our S-B effort.		
12. IT IS IMPORTANT.. Everyone will agree with plans before we do them.		
13. IT IS IMPORTANT.. District personnel will help us in achieving our S-B tasks.		
14. IT IS IMPORTANT.. We will plan appropriately for using state/district rules waivers.		
15. IT IS IMPORTANT.. We will use expert assistance from district, university and business.		
16. IT IS IMPORTANT.. S-B terminology will be part of our everyday thinking and action.		
17. IT IS IMPORTANT.. S-B will be responsible for plan implementation and evaluation.		
18. IT IS IMPORTANT.. All school activities will be run through the S-B process.		
19. IT IS IMPORTANT.. We will feel at ease with both positive and negative viewpoints.		
20. IT IS IMPORTANT.. Full committees typically will meet only once a month.		

SECTION 4: continued	GOALS are often chosen because of the underlying values they seem to represent. and the values we hold lead to the vision we have for our own particular school... So, goals, values, and vision are linked.

STUDY THE GOALS YOU'VE CHOSEN TO SEE WHAT VALUES THEY SEEM REPRESENT FOR YOU.
NOW, CHOOSE THREE (3) OF THE GOALS.

- **RANK THE THREE GOALS:**
  (Make sure you choose only **three (3)** so that we may compare all people responding in your school.)

Please list the three (3) goals you have chosen. Write enough down so we can be sure of the exact goal you have chosen.
ITEM # [   ]   Rank #   1. IT IS IMPORTANT..
ITEM # [   ]   Rank #   2. IT IS IMPORTANT..
ITEM # [   ]   Rank #   3. IT IS IMPORTANT..

Please write a statement telling what value you hold which makes this goal important to you.
For Rank #1.
For Rank #2.
For Rank #3.

Appendix B

SBM Change Elements Referenced to SBMPC Survey Items

The listing below provides the SBMPC items used to answer the evaluation questions addressed in this study. The items are arranged in groups according to their relevance to one of the five change elements in the Review of Literature. A brief descriptive phrase, written in capital letters, gives the purpose of the item with respect to the particular change being discussed.

EVALUATION QUESTIONS: **CHANGE 1: RELINQUISHING AUTHORITY, CENTRAL OFFICE (WITH FURTHER INTERNAL DEVOLUTION):**

- To what degree has the central office relinquished its authority for decision making in matters concerning the school budget, personnel actions, or curriculum?

- To what extent was the principal's authority in these areas, if any, shared with other stakeholders?

SBMPC survey items:

Section 1: survey items 1, 2:   DECISION-MAKING TEAMS

1.   Stakeholder groups that are included **regularly** in our school's **S-B decision-making** are the (see Item 2 below):

2.   For EACH group below, **ESTIMATE THE TYPICAL NUMBER** of people attending general membership meetings.

Principal	PTA parents
Teacher representatives	All parents
Teachers, in general	Large businesses contact
Classified staff representatives	Community businesses contact
All classified staff	Other community residents
School district personnel	X ADDITIONAL ?? (*please specify*):
PTA President or other liaison	Principal

Section 1, survey item 3:   ACADEMIC AND PROFESSIONAL DEVELOPMENT DECISIONS

I.   75-100% of the time, our team participates in decision-making in the following ways:

h.) Most of the school academic decisions are handled by S-B teams.

i.) Most of the school professional development decisions are handled by S-B teams.

Section 1, survey item 3:   DECISION INITIATION AND BUDGET CONTROL

I.   75-100% of the time, our team participates in decision-making in the following ways:

      c)   Our S-B teams research a problem, but they do not make recommendations.

      g.)   Our S-B teams have operating budgets at their discretion (usually small).

EVALUATION QUESTIONS: **CHANGE 2: ASSUMING AUTHORITY OF THE CENTRAL OFFICE**

- Do school teams participate in decisions on an overall school improvement plan? How often?

- Was there a division of decision-making authority for district, principal and teams?

- In a typical week, what team activities occur? How do the team leaders and principal assist?

SBMPC survey items:

Section 1, survey item 3:   TOPIC SELECTION; IMPLEMENTATION AUTHORITY

3.   75-100% of the time, our team participates in decision-making in the following ways:

      a)   Our S-B teams choose the topics they want to handle.

      b)   Our S-B teams are assigned their topics

      e)   After a plan is approved, our S-B teams are in charge of its implementation and may draft other teams . . .

Section 1, survey item 3:   DIVISION OF RESPONSIBILITY

3.   75-100% of the time, our team participates in decision-making in the following ways:

      j)   We have a clear idea about which ideas should be handled by the S-B teams, principal, and central office

Section 1, survey item 4:   LEADER ASSISTANCE, DIRECTIVE VS. FACILITATIVE

      a)   Our principal understands and communicates, when asked, what is happening with each S-B activity.

      c)   Our principal develops leadership skills. . . delegation and . . . accountability for the tasks undertaken.

      d)   Our leaders find ways that those who may have to be less active can still participate.

      f)   Our leaders work to see that all team members speak up.

      g)   Our leaders are among the first to focus group discussion.

      h)   Our leaders step back so that others air the pros and cons of an issue.

      i)   Our leaders help us take responsibility for implementing our decisions.

      k)   Our leaders work to assure us the resources we need to create change; e.g., training, time, rewards.

      n)   Our leaders work to make sure that team members can serve in various roles.

Section 1, survey item 5:   PRIMARY FILTERS FOR DECISION TOPICS

    a)   The stakeholder groups are informed they have a decision to make. Team representatives explain the decision. Discussion is invited for 1-2 meetings of the general membership.

    b)   The stakeholder groups have an open part of the agenda in a general meeting when they can bring up new issues. A discussion is held, brief or lengthy. The matter is referred to an S-B team for crafting the final recommendation.

    c)   Stakeholder groups must get support before they come to the meeting to raise a new issue.

    d)   A special committee reviews all items to be presented on the agenda and prepares a brief synopsis of the purpose of the item, the pros, and the cons. At the general meeting, other points are added to the synopsis. The matter is referred to committee(s) with specific instructions concerning the questions they re to answer. The matter is then brought back to the general meeting as many times as necessary to refine the decision. In each general meeting, issues are summarized. Only new points may be added.

    e)   Decisions are made as issues that fit under the S-B plan are identified by a steering committee; regular meetings are not held. Much of the routine decision-making is handled by delegation to specific committees or to the established school administrative system.

Section 1, survey item 6:   AGENTS INFLUENCING DECISIONS

6.   Which of the following best represents why S-B stakeholders in your school vote as they do:.

    a)   . . . certain "leaders" spend meeting time discussing their points of view. The various solutions have not been made equally clear. People vote for the most-discussed solution.

    d)   On priority decisions, we discuss in detail   On other decisions, we let subcommittees draft plans . . .

    e)   We vote with the person who can make our lives simpler, the grade chairman or the principal, for example.

    f)   We discuss things one meeting and then vote the next. This gives us time to talk   We use majority voting.

Section 2, 3, 4, survey items: GOAL PROGRESS: PLANNING, IMPLEMENTATION, EVALUATION
RESPONSIBILITIES

10) We will have a formal S-B plan with a vision, goals, strategies, etc.

17) S-B will be responsible for plan implementation and evaluation.

EVALUATION QUESTIONS: **CHANGE 3: ASSUMING ACCOUNTABILITY FOR
CENTRAL OFFICE FUNCTIONS**

- What were the accountability arrangements for assumed areas of authority? (waivers, tests, achievement gains, etc.)

- In a typical week, what team activities occur? How do the team leaders and principal assist?

<u>**SBMPC survey items:**</u>

Section 1, survey items: [same as the items for Assuming Authority]

Sections 2, 3, 4 survey items: GOAL PROGRESS: [same as the items for Assuming Authority]
Additional section items: GOAL PROGRESS: USING STATE AND DISTRICT
WAIVERS; EVALUATION

14) We planned appropriately for using state/district rules.

15) We evaluated the progress of our S-B tasks from startup to the end.

EVALUATION QUESTIONS:

CHANGE 4:   **MUTUAL SENSITIVITY WITH THE COMMUNITY**

- Do community/parent stakeholders participate in school improvement planning meetings.

- Have community/parent stakeholder concerns been assessed? In what way? (written, social gatherings, few or many)?

<u>SBMPC survey items:</u>

Background, survey item 2: BROADENED STAKEHOLDER PARTICIPATION

  2. For EACH group below, **ESTIMATE THE TYPICAL NUMBER** of people attending general membership meetings.

[typical attendees: principal,	PTA parents
teacher reps or teaching staff]	All parents
	Large businesses contact
Classified staff representatives	Community businesses contact
All classified staff	Other community residents
School district personnel	X ADDITIONAL ?? *(please specify)*:
PTA President or other liaison	Principal

Section 1, survey item 5:   OPEN SECTION FOR STAKEHOLDER CONCERNS

  b) The stakeholder groups have an open part of the agenda in a general meeting when they can bring up new issues. A discussion is held, brief or lengthy. The matter is referred to an S-B team for crafting the final recommendation.

Sections 2, 3, 4 survey items: GOAL PROGRESS: STAKEHOLDER PRIORITIES, TRAINING, REPRESENTATION

  2) Before voting, teams reviewed . . . stakeholder priorities.

  3) We instituted regular training for all stakeholder groups.

  8) More than half of our stakeholders were involved in S-B decisions.

EVALUATION QUESTIONS: **CHANGE 5: COMING TO CONSENSUS**

- In what parts of the school plan were stakeholders most active? (Forming a vision, etc.)

- How were conflict and consensus discussions carried out? (Through training, by subcommittee resolution, etc.)

<u>**SBMPC survey items:**</u>

Background, survey item 2:   BROADENED STAKEHOLDER PARTICIPATION

2) For EACH group below,
   ESTIMATE THE TYPICAL NUMBER of people
   attending general membership meetings.

Section 1, survey items 5,6:   PATH OF DISCUSSION BEFORE VOTING / RATIONALE
FOR VOTING RESULTS
[These various scenarios determine how consensus/ conflict
discussions take place. Respondents only choose one]

Sections 4 survey item: IMPORTANCE OF PARTICIPANT AGREEMENT

12) Everyone will agree with plans before we did them.

NOTE: The degree of consensus among participants can also be observed by noting agreement for each of the SBMPC survey items. It is assumed that activities