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**Perceptions of North Carolina school superintendents and their
roles with board members in the policy process**

Merrill, James Gordon, Ed.D.

The University of North Carolina at Greensboro, 1991

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PERCEPTIONS OF NORTH CAROLINA SCHOOL SUPERINTENDENTS
AND THEIR ROLES WITH BOARD MEMBERS
IN THE POLICY PROCESS

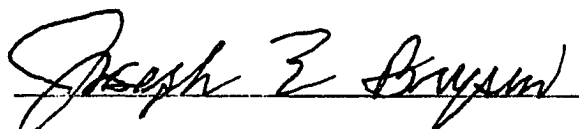
by

James Gordon Merrill

A dissertation Submitted to
the Faculty of the Graduate School at
The University of North Carolina at Greensboro
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Doctor of Education

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Dissertation Advisor

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This study examined the relationship, as perceived by superintendents, between superintendents in North Carolina and their boards of education as they interact within the policy process. Since policy formation and implementation often lead to overlap, and therefore conflict, between school boards and superintendents, each actor's role and level of involvement in the policy process were examined.

The research design was pre-experimental and employed a one-shot survey approach. The survey was based heavily upon the designs previously used by Ronald O. Loveridge and James Svara in their separate studies examining the role and involvement within the policy process between city councils and city managers. The data were examined against a Dichotomy-Duality Policy Model developed by James Svara. All superintendents in North Carolina were surveyed (134) and there was a 74% response. The construct validity of the survey instrument relied heavily on the similarity of governance structures between city councils and managers and school boards and superintendents. (The survey and cover letter are included in appendixes.) While the survey instrument examined multiple areas within the policy process and the relationship between the superintendents and the board members, the study examined the data for answers to

five questions: 1) Do superintendent responses reveal that superintendents and board members understand their roles in the policy process? 2) Do superintendent responses reveal that superintendents and board members are satisfied with their degree of involvement in the policy process? 3) Do superintendent responses reveal that certain areas of policy have greater potential for conflict between board members and the superintendent? 4) Does application of James Svara's Dichotomy-Duality Model show differences among small, medium, and large school districts? and 5) Does the superintendent's tenure affect his or her perception of role definition, degree of conflict, and level of policy involvement?

Numerous tables and graphs are provided to illustrate the data. The use of the Svara Dichotomy-Duality Model served as a practical basis for analysis. Twenty-seven conclusions are presented based on demographic patterns, conflict, roles, and levels of involvement. Seven recommendations are made specifically for the North Carolina School Boards Association, as well as eight for the superintendents of North Carolina. Recommendations for further study are also presented.

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CHAPTER I

INTRODUCTION

The roles and actions of elected officials and appointed executive officers within the policy process continue to warrant examination and study. Woodrow Wilson was one of the earliest American political scientists to acknowledge and write about the "political science" of administration. In tracing the global stages through which government has evolved he states:

The first of these periods is that of absolute rulers, and of an administrative system adapted to absolute rule; the second is that in which constitutions are framed to do away with absolute rulers and substitute popular control, and in which administration is neglected for these higher concerns; and the third is that in which the sovereign people undertake to develop administration under this new constitution which has brought them into power.¹

The third period referred to by President Wilson is the style of constitutional government under which the United States operates.

1. Woodrow Wilson, "The Study of Administration," Political Science Quarterly, II, No. 1 (1887), p. 208.

But what have a former president and governmental self-determination to do with contemporary school boards and superintendents in North Carolina?

The power of and relationship between boards of education and school superintendents have undergone significant change over the past one hundred years. As the American population began to grow rapidly after the Civil War, state general assemblies responded by increasing the size of the school boards, which in turn began to hire full-time superintendents.² But in spite of hiring full-time superintendents, the boards still did not empower them.³ A study chaired by Cleveland, Ohio, Superintendent Andrew S. Draper, in 1895, for the Department of Superintendence of the National Education Association, heavily criticized school boards for their incompetence in educational matters and self-serving practices.⁴ In spite of this report the elected officials maintained control of the public schools. As the political, ward-dominated city systems were being challenged by middle and upper class groups, so too were the make-up of the ward-based school board, and by the early 1900's urban school boards were

2. Raymond Callahan, "The American School Board," in Understanding School Boards: Problems and Prospects, ed. Peter Cistone (Lexington: National School Boards Association, 1975), p. 34.

3. Joseph Scimecca, Education and Society (New York: Holt, 1980), p. 116.

4. Callahan, op. cit., p. 30.

composed of middle class and business interests.⁵

In June of 1938, George Strayer, head of the Department of Educational Administration at Teachers College, Columbia University, issued a document entitled The Structure and Administration of Education in American Democracy.⁶ This study was jointly sponsored by the National Educational Association and the American Association of School Administrators and concluded that the final authority over public education must remain with a lay board. Many of Strayer's endorsements--that boards should be removed from partisan politics and serve without pay, and that they should be legislative bodies and leave the executive functions to the superintendent--remain as basic operating principles today.

Too often school boards today, however, have lost even more of their power and generally serve to legitimate the policy recommendations of the school superintendent rather than represent the communities which elect them.⁷

5. Scimecca, op. cit., p. 118. For historical studies on school board composition, see George Counts, The Social Composition of School Boards, 1927, and Zeigler and Jennings, Governing American Schools: Political Interaction in Local School Districts, 1974.

6. George Strayer, The Structure and Administration of Education in American Democracy, (Washington, D.C.: NEA, 1938), and Callahan, op. cit., p. 42.

7. Norman Kerr, "The School Board as an Agency of Legitimization," Sociology of Education, 38, No. 1 (1964), p. 35.

Indeed, William Boyd states that school boards defer to the expertise of the superintendent. Boyd summarizes the democratic, education dilemma by asking, "For how can the 'best' decision on public policy (in educational or other realms) be made. By the people, by the 'experts', or by some delicate combination thereof?"⁸

During those developmental years of educational structuring, the role of superintendent evolved through four stages--from a clerical person, to chief educator, to business manager, and finally to chief executive and professional advisor.⁹ It can be argued that today the superintendent has decision-making control of the school system, perhaps as David Minar argues, because of his inherent technical authority.¹⁰ And board members, to this day, arguably remain confused over their roles. As James Koerner states:

The role of school board members is perhaps the most ill-defined in local government. The individual board member has no legal power, though the board itself is considered a corporation. The board's rights and responsibilities are rarely spelled out by the state except in the most general terms, and the

8. William L. Boyd, "School Board-Administrative Staff Relationships," in Understanding School Boards: Problems and Prospects, ed. Peter Cistone, (Lexington: National School Boards Association, 1975), p. 104.

9. Scimecca, op. cit., p. 124.

10. David Minar, "The Community Basis of Conflict in School System Politics," American Sociological Review, 31, No. 6 (1966), p. 132-33.

board rarely undertakes to define them itself. The board's entire role and that of its individual members is simply an accretion of customs, attitudes, and legal precedents without much specificity. Many school board members,....move in a sea of confusion about their powers.¹¹

School boards and superintendents operate in a political arena. The structure is, by design, one of checks and balances. School boards consist of elected officials--lay people who represent the community; superintendents are professionals, almost exclusively raised in the field of education, generally trained and licensed in administration, and in most states hired by a lay board of education.

There is a clear difference, however, in the way school board members and superintendents think and act. As Woodrow Wilson said, "Administration lies outside the proper sphere of politics. Administrative questions are not political questions. Although politics sets the tasks for administration, it should not be suffered to manipulate its offices."¹² His differentiation can be applied to the structure of local school systems in North Carolina.

This study of school systems is a study of politics and education; the two are inextricably interwoven. How do elected lay boards of education

11. James Koerner, Who Controls American Education? A Guide for Laymen, (Boston: Beacon Press, 1968), p. 122.

12. Woodrow Wilson, op. cit. p. 213.

interact with professional, appointed chief administrators - the superintendents - within the context of the policy process? This study will examine this issue through the eyes of superintendents in the public school systems of North Carolina.

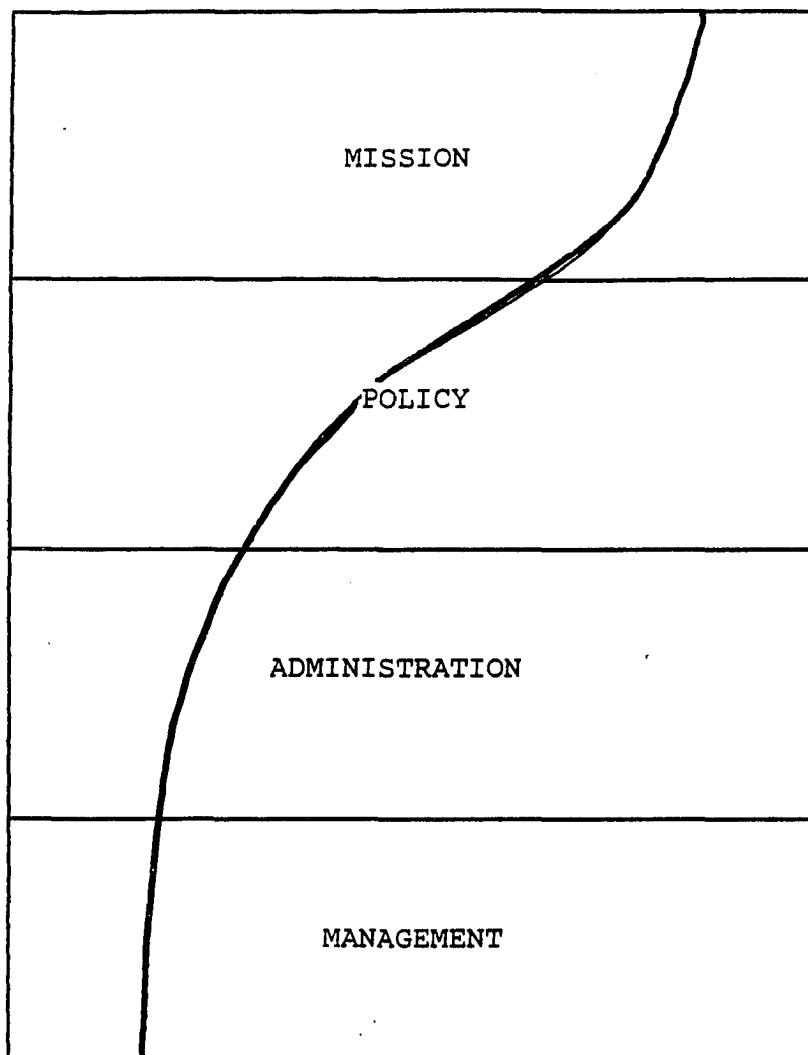
Rationale for the Study: The Svara Model

The "dichotomy-duality model" as developed by Dr. James Svara was best explained in his article entitled, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities."¹³ In the development of the reconceptualized model, Svara states that there is logical basis for the Woodrow Wilson formulation which separated policy and administration, but that the dichotomy has been under attack by theorists and practitioners since the end of World War II. Svara's study examined the relationship between policy and administration in council-manager cities in the five largest cities in North Carolina--Charlotte, Durham, Greensboro, Raleigh, and Winston-Salem. He further defined the model by expanding the areas of policy and administration. Svara argues that policy also includes the determination of mission, and that administration also includes management. His stratified model appears as Figure 1.1.

13. James Svara. "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities," Public Administration Review, 45, No. 1 (1985), pp. 221-231.

DICHOTOMY-DUALITY MODEL
Mission-Management Separation with Shared
Responsibility for Policy and Administration

Board's Sphere



Superintendent's Sphere

FIGURE 1.1

Reproduced from James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities", Public Administration Review, 45, No. 1, (1985).

He further argues that, whereas mission and management are clearly dichotomized, policy and administration share significant overlap in the roles of the city manager and the council members.

This study of school superintendents assumes a strong parallelism between the governance structures of city manager and council-run cities, and school systems run by superintendents and school boards. In fact, a comprehensive study by Zeigler, Kehoe and Reisman in 1983 argued the many similarities between these two governance structures.¹⁴

14. Harmon Zeigler, Ellen Kehoe, and Jane Reisman. City Managers and School Superintendents: Response to Community Conflict, (New York: Praeger, 1985).

Statement of the Problem

Some researchers have shown that the role of the school board member has become increasingly politicized and that the role of the superintendent has failed to keep pace.¹⁵ The superintendent generally has not been academically prepared for involvement in the policy process; he or she is professionally trained instead to provide the best education for the students of the school system.

The German philosopher Biuntschli may have summarized the board-superintendent relationship best when he said that administration must be separate from politics and law.

Politics is state activity in things great and universal, while administration, on the other hand, is the activity of the state in individual and small things. Politics is thus the special province of the statesman, administration of the technical official. Policy does nothing without the aid of administration.¹⁶

Many school boards and superintendents polarize into adversarial roles over such problematic issues as personnel, budgetary items, or the professional teacher organizations. It can be argued that this often occurs

15. Dante Lupini, Educational Leadership and the Political Fact, (Paper presented at the annual joint conference of Alberta school superintendents and Alberta Education Management Society, Edmonton, Alberta, 1983), p. 1.

16. Cited in Woodrow Wilson, "The Study of Administration," Political Science Quarterly, II, No. 1 (1887), p. 213.

when the school board veers into the perceived administrative domain of the superintendent, or when the superintendent enters into the perceived policy-making arena of the school board. Policy formation and policy implementation is an area which often seems to polarize board members and superintendents. The problem will be to ascertain what relationship exists between boards and superintendents relative to the policy process.

Purpose of the Study

The purpose of the study will be to examine how North Carolina superintendents perceive their roles with respect to the "policy process." The superintendents' perception of their roles will be in relation to members of the superintendents' boards of education. The questionnaire instrument results will be examined within the context of the "dichotomy-duality" model as developed and studied by James Svara. Application of James Svara's "dichotomy-duality" model will help to clarify some of the overlap and confusion over the roles of members of boards of education and the superintendent. This study will attempt to show that some overlap into each other's domain is acceptable and appropriate, and will attempt to graphically chart that degree of overlap. Further, the study may have application for various superintendents entering new school systems as a barometer of expectation about how the "policy process" may play out. And finally, all board members and superintendents might benefit from a self examination of their respective roles in this process. It always is insightful to have a backdrop against which one may project his or her actions.

Questions to be Answered

This study, through use of the overlay of James Svara's dichotomy-duality model onto North Carolina superintendent responses, will answer the following questions:

- 1) Do superintendent responses reveal that superintendents and board members understand their roles in the policy process?
- 2) Do superintendent responses reveal that superintendents and board members are satisfied with their degree of involvement in the policy process?
- 3) Do superintendent responses reveal that certain areas of policy have greater potential for conflict between board members and the superintendent?
- 4) Does application of the Svara dichotomy-duality model show differences among small, medium, and large school districts?
- 5) Does the superintendent's tenure affect his or her perception of role definition, degree of conflict, and level of policy involvement?

Significance of the Study

There are very few people who can honestly say they enjoy conflict. When board members and superintendents become embroiled over substantive policy issues, it not only strains the working relationship, but often costs each of them in terms of stress and political indebtedness. In the extreme it can lead to the dismissal of the superintendent or the failure of a board member to be re-elected. All too often there can develop a quid-pro-quo mode of operation at the leadership level of school systems. Policy disputes are costly, both in monetary resources and human energies.

This study will shed light on the relationship of board members and superintendents and their respective roles in the policy process. It will attempt to chart what is in practice in North Carolina, and project these practices against assumed "correct models."

Background of the Study

School boards set policies and administrators implement them; at least that is what the traditional models describe. But is it that simple? The cleanliness of this delineation has never been fully agreed upon.

Public policy, to put it flatly, is a continuous process, the formation of which is inseparable from its execution. Public policy is being formed as it is being executed, and it is being executed as it is being formed. Politics and administration play a continuous role in both formation and execution, though there is probably more politics in the formation of policy, more administration in the execution of it.

It is characteristic of our age that most legislation is looked upon as policy deciding. Hence policy making in the broad sense is not supposed to be a part of administration. While these propositions are true in a general way, they tend to obscure two important facts, namely, 1, that many policies are not ordained with a stroke of legislative or dictatorial pen but evolve slowly over long periods of time, and 2, that administrative officials participate continuously and significantly in this process of evolving policy.¹⁷

A humorous definition of policy and administration is provided by Stephen Bailey in "Coping with the Crisis of Funding, Standards, and Purpose: An Expanded Role for Trustees" in Change Magazine. When he was a member of the New York State Board of Regents he "finally discovered the true meaning of the terms policy and administration:

17. Carl Friedrich, "Public Policy and the Nature of Administrative Responsibility," in Public Policy, eds. Carl Friedrich and Edward Mason, (Cambridge: Harvard University Press, 1940), p. 6-7.

administration was anything the commissioners did that the regents agreed with; policy was anything the commissioners did that the regents disagreed with."¹⁸

Other studies have previously examined the board-administrator relationship in policy. Gross, as early as 1958, studied and found differences between boards and superintendents on rights and responsibilities.¹⁹ Norman D. Kerr in 1964 examined this relationship and the legitimizing role of the school board in policies recommended by the superintendent.²⁰ Hodges in 1966 also found areas of disagreement.²¹ Zeigler and Jennings in 1974 found that school boards have traditional areas of influence over superintendents,²² and Sakal in 1977 found that board members share policy decision making with the superintendent.²³

18. Stephen Bailey, "Coping with the Crisis of Funding, Standards, and Purpose: An Expanded Role for Trustees," Change Magazine, 14, No. 3 (1982), p. 24.

19. Neal Gross, Who Runs Our Schools?, (New York: John Wiley and Sons, 1958).

20. Norman Kerr, "The School Board as an Agency of Legitimization," Sociology of Education, 38, No. 1 (1964).

21. Carl Hodges, "A Study of Concepts of the Role of the Board of Education," Dissertation Abstracts International, 27 (1966), 3258-A (University of Georgia).

22. L. H. Zeigler and M. Kent Jennings, Governing American Schools: Political Interactions in Local School Districts, (North Scituate: Duxbury Press, 1974).

23. Edward Sakal, "A Study of School Board Member Involvement in Policy Determination," Dissertation Abstracts International, 38 (1977), 594 (Syracuse University).

Wright, also in 1977, tested for 100 role perceptions and found significant difference in 91 of those perceptions.²⁴

Since 1980 the research examining the superintendent and school board relationship has grown. Tucker and Zeigler examined the evolution of the policy-making process as a political process and the interaction between the "expert" superintendents and the laymen (school boards). They concluded that school boards deferred to the educational experts.²⁵ A paper presented by Luvern Cunningham to develop 12 proposals for helping school boards make policy about policy, examined such areas as their proper functions, their focus when making decisions, and the political factors affecting their policy making.²⁶ And also in 1980, a Joint Commission of the North Carolina School Boards Association and the North Carolina Association of School Administrators surveyed board

24. James Wright, "A Study of School Board Members' and Superintendents' Perceptions of Relationships, Roles and Responsibilities in Selected School Districts of New Jersey," Dissertation Abstracts International, 38 (1977), 6463 (Rutgers University).

25. Harvey Tucker and L. Harmon Zeigler, The Politics of Educational Governance: An Overview. State-of-the-Knowledge-Series, Number Thirty-Six, ERIC ED 182 779, p. 232.

26. Luvern Cunningham, Policy About Policy: Some Thoughts and Projections, (Paper presented at the National Conference of Professors of Educational Administration, Norfolk, Va, August 10, 1980) ERIC ED 195 042.

chairmen, board members, and superintendents in North Carolina in an effort to examine their working relationships. All three groups "agreed that establishing policies for the operation of the school system is and should be the major responsibility of the school board" and that "proposing policies is an equal responsibility of boards and superintendents."²⁷ In 1982 a national survey conducted by the American Association of School Administrators indicated that "serious tensions exist between boards and superintendents in many communities."²⁸ Leslie Wolfe developed a manual for workshop leaders when working with school boards to help instruct them on the roles of the board and superintendent in the cycle of policy management.²⁹ And Ronald McIntire in an article in the American School Board Journal talked about the natural overlap of the board's policy-making functions and the staff's administration of that policy and suggested seven steps for working together.³⁰ Lupini talked about the

27. Joint Commission on School Board/Superintendent Relations: Survey 1980, Jointly sponsored by NCASA, NCSBA, and NCAE, December 1980, p. 3.

28. Luvern Cunningham and Joseph Hentges, The American School Superintendency 1982: A Summary Report, (Arlington: AASA 1982), p. 59.

29. Leslie Wolfe, Policy is Power. Leader's Manual. Keys to School Boardmanship. A Program of Continuing Education for School Board Members, ERIC ED 224 122.

30. Ronald McIntire, "Develop Policies Through Teamwork," The American School Board Journal, 169, No. 8 (1982), p.33-34.

heavy influence that politics has on policy-making³¹ and a 1982 survey of 4,210 school board members in Virginia generally showed that boards see "policy decisions and allocating financial resources to support those policies"³² as their responsibilities. William Boyd's 1983 article "Rethinking Educational Policy and Management: Political Science and Educational Administration in the 1980's", connects the study of political science to the field of educational administration,³³ a significant connective assumption in this study.

A 1984 dissertation study by LaRocque examined policy implementation in one school district from the perspectives of the school board members, the central administrative staff, and the local school staffs.³⁴ A 1985 study by Godfrey and Swanchak of school boards and superintendents in New Jersey found that board members and superintendents

31. Dante Lupini, Educational Leadership and the Political Fact, (Paper presented at the annual joint conference of Alberta school superintendents and Alberta Education Management Society, Edmonton, Alberta, 1983), ERIC ED 231 080.

32. K. E. Underwood, et al., "Readout: You Alone Would Clutch the Purse Strings," The American School Board Journal, 170, No. 1 (1983), p. 26.

33. William Boyd, "Rethinking Educational Policy and Management: Political Science and Educational Administration in the 1980's," American Journal of Education, 92 (November 1983), p. 1-29.

34. Linda LaRocque, "Policy Implementation in a School District: A Matter of Chance?" Dissertation Abstracts International, 46 (1984), 1145 (Simon Fraser University, Canada).

were "disagreeing more then they were agreeing on their perceptions of who controls in the policy making process."³⁵ And another dissertation study by Serafin examined the board or superintendent's influence in policy making decisions as well as board members' perceptions of control and constraint on policy making decisions.³⁶ A study by J. B. Johnson in 1986 revealed that school superintendents perceive that they should exercise stronger political and policy leadership than board presidents indicate they should and that board presidents are comfortable with superintendents playing a stronger leadership role in initiation and development of policy.³⁷ Ray's study of South Carolina school boards and superintendents showed that both groups perceived that many policy decisions are and should be jointly made.³⁸

35. Margaret Godfrey and John Swanchak, How Compatible? Board of Education's Power and Politics of Education, (Paper presented at the annual meeting of the Eastern Educational Research Association, Virginia Beach, Virginia, 1985), ERIC ED 256 056, p. 1.

36. Lois Serafin, "West Virginia Boards of Education: Policy Makers or Policy Legitimizers?" Dissertation Abstracts International, 46 (1985), 2157 (West Virginia University).

37. Jon B. Johnson, "A Study of the Attitudes of Michigan School Board Presidents Toward Superintendents' Political and Policy Leadership in Third and Fourth Class School Districts," Dissertation Abstracts International, 47 (1986), 2397 (Western Michigan University).

38. Sharon Ray, "A Study of School Board and Superintendent Perceptions Related to Decision-Making in South Carolina," Dissertation Abstracts International, 47 (1986), 2835 (University of South Carolina).

A major national survey was conducted by the National School Boards Association and the American Association of School Administrators in 1985 and 1986. The results showed that both groups listed a "lack of understanding or acceptance of role and relationships -- turf" as the leading cause of problems, and when asked if present board members were more involved in school administration than their predecessors, 54% of the administrative responses said "yes".³⁹

A study by Harris in 1987 supports the position that the superintendent's sphere of decision making has changed toward a more political methodology.⁴⁰ A dissertation by Bers which surveyed board members, community leaders, and other citizens examined school board's role and function. Board members and community leaders ranked policy development as the number one task.⁴¹

39. Ted Davidson, School Board/Superintendent Relations Survey (Jointly sponsored by the National School Boards Association, the American Association of School Administrators, and the Educational Research Service, 1986), p. 6.

40. Susan Harris, "The School Superintendent and Decision-Making: Survival and Moral," Dissertation Abstracts International, 49 (1987), 0018 (Columbia University Teachers College).

41. L. Mitchell Bers, "Perceptions of Board of Education Members, Community Leaders and Other Citizens Relative to School Board Role and Function, School Reform Proposals and Current Issues in Education," Dissertation Abstracts International, 49 (1987), 0016 (Northern Illinois University).

Another survey gathered by Louis Wildman examined the ambiguity between administration and policy-making, necessitating a clarification of the role of the school board.

If superintendents are going to help board members be successful, agreement must be reached on the role of the board. This role is most frequently described in contrast to the role of the superintendent: the board makes policy and the superintendent administers.⁴²

And an article by McGonagill in Phi Delta Kappan also talked about board and administrative roles.

Boards and administrative staff vie for control of policy-making and implementation, only to discover that the resulting tensions undermine their mutual ability to formulate initiatives and put them into action. There are three related barriers to board/staff partnership: confused board/staff roles; board fragmentation; and board/staff competition.⁴³

A 1988 dissertation study from Kentucky examined board members' perceived involvement in policy-formulation and policy implementation relative to selected tasks. The general findings revealed that the board members' perceptions were influenced by district size, board member tenure, district type, and district test scores. Board member gender, superintendent tenure, and school district

42. Louis Wildman, What Can Superintendents and Board Members Do to Help Each Other Be Successful? (Paper presented at the annual meeting on the National Council of States on Inservice Education, San Diego, California, November 20-24, 1987), ERIC ED 294 312, p. 3.

43. Grady McGonagill, "Board/Staff Partnership: The Key to Effectiveness of State and Local Boards," Phi Delta Kappan, 69, (September 1987), p. 65.

wealth seems not to have influenced board members' perceptions of their involvement.⁴⁴ Also, in a 1988 study by Green in Alberta, Canada, which examined the tasks, skills, and characteristics of the role of superintendents, policy development was ranked as the most important task required in the role of the superintendent.⁴⁵

Selected studies of political science also have contributed to much of the groundwork for this study. This researcher will couch the policy issue within the framework of the policy formation process as outlined by Ripley and Franklin in Congress, the Bureaucracy, and Public Policy.⁴⁶ Additionally, James H. Svara, professor of political science formerly at the University of North Carolina at Greensboro, has developed a "dichotomy-duality" model of relationship between elected boards and appointed officials in his article, "Dichotomy and Duality: Reconceptualizing the Relationship between Policy and

44. William Lacefield, "Kentucky School Board Members' Perceived Involvement in Policy-Formulation Relative to Selected Tasks," Dissertation Abstracts International, 49 (1988), 1646 (University of Kentucky).

45. Wilfred Green, "An Analysis of the Tasks, Skills, and Personal Characteristics Associated with the Role of the Superintendent," Dissertation Abstracts International, 49 (1988), 2873 (University of Alberta, Canada).

46. Randall Ripley and Grace Franklin, Congress, the Bureaucracy, and Public Policy, (Homewood, Ill.: The Dorsey Press, 1984), pp. 1-8.

Administration in Council-Manager Cities" in Public Administration Review.⁴⁷ Dr. Svara's research has dealt most specifically with town council, mayor, and city manager relationships. The Svara model has great parallelism and application to the school board/superintendent relationship, and to date no one has overlaid the "dichotomy-duality" model onto the organizational structure of public education.

Finally, Harmon Zeigler in his 1983 book entitled The Political Power of Professionalism: A Study of School Superintendents and City Managers, also examines the parallels.⁴⁸ By using a research model and instrument used with city managers and, after tailoring for education, applying it to superintendents, this research will ground superintendents' responses against Zeigler's and Svara's work.

47. James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities," Public Administration Review, 45, No. 1 (1985), pp. 221-231. See also all Svara works.

48. Harmon Zeigler, et al. The Political Power of Professionalism: A Study of School Superintendents and City Managers. Eugene: Center for Educational Policy and Management, 1983.

A review of the literature of political science reveals a great quantity of study concerning policy formation and the roles that "actors" play in that process.⁴⁹ This research will add to the educational body of knowledge regarding the policy process.

49. Ripley and Franklin, op. cit., p. 5.

Assumptions and Delimitations

The greatest assumption of this study must rest on the basis of a policy model which has evolved in the field of political science, and the appropriateness of its application to the educational arena. This research accepts the strong, parallel relational structure between a town council and its manager and a school board and its superintendent, as has Harmon Zeigler.⁵⁰ A questionnaire which has been used in city governments in North Carolina and Ohio will be tailored for use in school systems in North Carolina. It must further be assumed that the responses by superintendents will be candid and not pointed toward the "correct answer" for either personal or political reasons.

The study will be delimited in its range; only the superintendents of North Carolina will be chosen for examination. An initial mailing to every superintendent will be made. A follow-up post card will be sent two weeks later, and a second mailing will be sent two weeks after that. From an original pool of 134 superintendents, a final N=67 will be considered acceptable -- a 50% response rate.

50. Harmon Zeigler, Ellen Kehoe, and Jane Reisman. City Managers and School Superintendents: Response to Community Conflict, (New York: Praeger, 1985), p. 1.

This study will also be limited in how well the results can be generalized to superintendent/board relations in other states or other North Carolina school systems in the future. Since there have been recent surveys of this relationship in North Carolina, however, each time further study occurs the results are more significant.

Finally, the criteria chosen for the survey instrument as representative statements of action under mission, policy, administration, and management may not be exhaustive. These statements are indicative and representative only.

Definition of Terms

For the purpose of this study the following terms were defined as follows:

actor - any individual who is involved in the policy process; some are, but not limited to, the superintendent, board member, concerned citizen, administrative staff member, or teacher.

agenda-setting - the perception of a problem in education which it is determined needs addressing by the educational actors.

administration - a. the superintendent and his appointed staff. b. the ongoing attention to the business of running a school system.

board - those elected lay people who, as a body, have authority as a regulatory group of actors, one of whose jobs it is to hire or dismiss a superintendent.

boards' sphere - the areas in education within which the board, as a group or as individuals, exert influence or have direct authority.

cabinet members - those upper level staff administrators chosen by the superintendent of a local school district or state department of education.

Dichotomy-Duality Model - a model developed by James H. Svara which graphs the relationships between councils and managers during the governmental process with respect to mission, policy, administration, and management.⁵¹

formulation - "government and non-government actors propose alternative methods of problem solution, and (then) choose a course of planned action."⁵²

51. James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities," Public Administration Review, 45, No. 1 (1985), pp. 221-231.

52. Randall Ripley and Grace Franklin, Congress, the Bureaucracy, and Public Policy, (Homewood, Ill.: The Dorsey Press, 1984), p. 3.

governance - "the exercise of authority over an organization, institution, state, district."⁵³

implementation - "after a plan of action has been selected...agencies must acquire resources, interpret the legislation (or policy), write regulations, train staff, and deliver services to carry out the purposes of the legislation (or policy)." (parentheses added by author)⁵⁴

legitimation - see formulation above.

management - "actions taken to support the policy and administrative functions".⁵⁵

mission - "the organization's philosophy, its thrust, the broad goals it sets for itself, and the things it chooses not to do... ; and may be explicit or implicit."⁵⁶

oversight - generally construed as a counterbalance to grants of policy-making authority.⁵⁷

policy - a guide for discretionary action.⁵⁸

policy formation - the setting up of the purposes of an organization, making choices between conflicting purposes, and modifying established purposes.⁵⁹

policy process - "the chain of activities in the making and implementation of policy."⁶⁰

program - a philosophical and enactable construct designed to bring about desired results within an educational environment.

53. Ripley and Franklin, op. cit., p. 3.

54. Ibid.

55. James Svara, op. cit., p. 227.

56. Ibid., pp 224-225.

57. Ripley and Franklin, op. cit., p.19.

58. Ibid., p. 2.

59. John Walton, Administration and Policy-Making in Education, (Baltimore: Johns Hopkins Press, 1969), p. 53.

60. Ripley and Franklin, op. cit., p. 2.

school district (also school systems) - a geo-political subdivision of schooling in a state which, within federal and state statutes, manages its own educational environment.

staff - professional educators hired or appointed by the superintendent who perform the business of running the school district.

superintendent - chief executive officer of the school district who is contracted at the pleasure to the board.

superintendents' sphere - the areas in education and the school district within which the superintendent exerts influence or has direct authority.

Design of the Study

This research is a pre-experimental design which employs a one-shot survey approach. The results will answer specific questions posed by the researcher and could form the baseline for further experimental studies. Since review of the literature has not revealed any experimental or quasi-experimental research design studies conducted on the board/superintendent relationship in North Carolina, this study can serve as an initial qualitative effort in this state. Since a specific measurement instrument will be used, it will be possible to replicate this study by future researchers after a period of time. For instance, one could examine the board/superintendent relationship after three years of operation under the impact of the School Improvement and Accountability Act (Senate Bill 2). Since much of the direction of that new law deals with flexibility from existing laws, policies, and regulations, it would be an interesting study related to the change in the policy process.

A one shot case study has inherent weaknesses in internal validity by design, according to Campbell and Stanley.⁶¹ Those limitations would be history, maturation, selection and mortality. In this research, a one shot

61. Donald T. Campbell, and Julian C. Stanley, "Experimental and Quasi-Experimental Designs for Research". In Handbook of Research on Teaching. Ed. N. L. Gage. (Chicago, IL: Rand McNally and Co., 1963), p. 8.

survey, only selection is a factor. An attempt will be made to control for selection bias by sampling the entire population of superintendents in North Carolina. A less than 100% return rate would affect the validity of this study, however.

The most significant factor affecting external validity is the interaction effects of selection biases and the experimental variable, in this case the survey instrument. Regardless of the number of efforts employed to have all surveys returned, each intervention requesting a return of the survey may initiate a response from a different group of superintendents. For this reason this research will examine for differences between those superintendents who responded without prompting and those who responded only after being reminded.

Since the survey instrument will assess the board member's role as well as the superintendent's, the results will be generalizable to North Carolina boards of education in the near future. However, the farther into the future we move without accounting for variables of new board member training or other impactful programs, the less generalizable the results of this research will be.

There is one other factor which could impact external validity, and that is what Cohen and Manion refer to as

"sensitization to experimental conditions."⁶² Superintendents could be very sensitive about being surveyed about their relations with their employers. Some might not respond because of this, others might be "guardedly honest" when responding. To control for this, the researcher will guarantee anonymity and will not ask for the name of the system or superintendent. There will also be a cover letter of endorsement for the survey by the two major professional organizations of high interest for superintendents in North Carolina (seen as Appendix item C). This will add to the authenticity of the research effort and the integrity of the reporting methods.

Although this design is not an experimentally based, quantitative study, it should not be dismissed as a less than credible design. To cite Best and Kahn:

Respectable research may be the simple descriptive fact-finding variety that leads to useful generalizations. Actually, many of the early studies in the behavioral sciences were useful in providing needed generalizations about the behavior or characteristics of individuals and groups.⁶³

62. Louis Cohen, and Lawrence Manion, Research Methods in Education: Second Edition. (Dover, NH: Croom Helm, 1985), p. 196.

63. John W. Best, and James V. Kahn, Research in Education (Sixth Edition), (Englewood Cliffs, N.J.: Prentice Hall, 1989), p. 22.

The examination of relationships between superintendents and school board members in North Carolina relative to the policy process is in its early stages. Early stages often best call for descriptive studies which attempt to draw general conclusions and form a basis for further research.

Sources of Information

In addition to the original data gained from the completion and collection of the survey instruments, numerous other sources will be examined and studied. The computer on-line, subject-author-title search capability offered by the libraries in the University of North Carolina network system will be employed. This resource will be used primarily for books on the policy process in general and in education specifically. The use of the researcher's school district's two-volume policy manual will be referenced, as well as the 1988 edition of the Public School Law for North Carolina.

The most effective researching tool will be the author's subscription to the large, on-line computer database Knowledge-Index based in Palo Alto, California. Through the use of a personal computer, a modem, and a local telephone link through TELENET in the Research Triangle Park in North Carolina, numerous computer searches will be run. Knowledge-Index is a subsidiary of DIALOG Information Services, the parent company to which many

libraries and universities subscribe. Knowledge-Index will allow for direct search by subject or catalog descriptor in the following databases: ERIC (Educational Resources Information Center); NIE (National Institute of Education); BIP (Books in Print), which contains over 896,400 citations as of March 1983; the Harvard Business Review, which includes the complete text of all articles since 1976, as well as abstracts prior to that time; Government Printing Office publications; a magazine database which includes 370 of the most popular magazines in America; Dissertation Abstracts On-Line which contains approximately 99% of all American dissertations; and Sociological Abstracts which corresponds to the same printed index and Social Planning/Policy and Development Abstracts (SOPODA) since 1973. The oft repeated searches through these databases will allow the researcher to stay abreast of recent publications related to the selected field of study.

Methodology

Subjects

The original studies upon which this design is based (Loveridge and Svara) examined the city manager and the members of the councils in a selected number of areas. In Loveridge's study 59 city managers in the San Francisco Bay Area were examined, and in Svara's study six matched metropolitan areas in four states were examined. The initial thinking for this research was to collect data from superintendents and board members in North Carolina, which at that time would have presented 134 sets of school system data. After discussion with Dr. James Svara and administrative personnel with the North Carolina School Boards Association, it was determined that it would be cleaner and more manageable to collect data from just one side of the relationship -- the superintendents. Since we did not wish to make determinations about sample selection and the sample was small enough to be a workable size, all superintendents in North Carolina were chosen for the survey.

A policy process opinionnaire will be sent to all superintendents in North Carolina. A return rate of slightly over 40% on descriptive, opinionnaire type surveys would be considered likely. Therefore, a follow-up post card and a second mailing will be done in an effort to ensure a response of at least N=67, or a 50% return rate.

Procedures

An opinion survey instrument, portions of which were previously used by two researchers on other studies, will be the data collection instrument, seen as Appendix A. Ronald O. Loveridge, in his study of city managers, and James Svara, in his study of city managers and council members both used portions of this instrument. The instrument in their studies was used in conjunction with personal interviews. Since all 134 superintendents in North Carolina will be surveyed, no effort will be made to interview them. The instrument is most accurately considered an opinionnaire since it attempts to assess the attitudes or beliefs of individual superintendents. It does, however, use Likert scaling to measure degree of agreement or disagreement with specific statements or conditions. This instrument combines a measure of attitude with a scale of differentiation, thus allowing for some quantifiable measurement of results.

The instrument itself has construct validity for city manager-council studies. James Svara's opinionnaire was based in part on a previous instrument used by Ronald O. Loveridge and through advice from an advisory committee of the North Carolina City and County Management Association chaired by Wendell White, city manager of Charlotte, North Carolina.⁶⁴ This research will take the instrument used

64. James Svara, Policy and Administration: City Managers as Comprehensive Professional Leaders. Conference on the Study of City Management and the Council Manager Plan, University of Kansas, November, 1988, p. 15.

for city managers and apply it to school superintendents on the basis of similarity. In support of this Stillman has stated,

.... public school superintendents have a great deal in common with city managers. Both are administrators of important community enterprises; both are at the beck and call of local boards; both face similar problems of general public apathy and wrath over local issues (frequently at budget time); and both enjoy comparable remunerations for their services.⁶⁵

And Roscoe Martin stated,

Observers of the municipal and school scene have commented on the similarity of roles of city managers and school superintendents and have suggested that specimens of each be dissected and compared. School administrators and city managers themselves have commented on these similarities and have even compared salaries as a guide to standards of compensation. ...(A)ll school districts and a large and growing number of cities operate under systems which are comparable in many important respects...that the students of public education and city government might learn much from cross analysis would seem so obvious as to require no documentation.⁶⁶

The instrument has validity with respect to education as well. By examination of job descriptions of superintendents and board members, as well as the researcher's knowledge of activities performed by the different actors, the opinionnaire had to be only slightly modified to fit the educational environment. A conscious effort was made to leave the instrument items as identical

65. Peter Blau, and Richard Scott, Formal Organizations, (San Francisco, CA: Chandler, 1962), p. 51, in Stillman.

66. Roscoe Martin, Government and the Suburban School, (Syracuse: Syracuse University Press, 1967), p. 41.

as possible to the form in which they were used in previous studies.

In summary, the functions and activities listed in Appendix B are generally comprehensive and representative of superintendents and board members. Appendix B shows the selected statements which are representative of the four areas of mission, policy, administration and management in the Svara model. As Svara stated in his studies, these functions and activities represent both actors in the policy process since the research will examine the degree to which each is involved in each function or activity.

And finally, the survey instrument will be measured for reliability by calculating a coefficient of internal validity, or split half reliability. This will be examined within subsections of the total instrument. A coefficient nearing 1.00 will indicate high reliability for each subsection of the survey.

The first round of mailings will be sent to all North Carolina superintendents with a cover letter co-signed by Dr. Gene Causby of the North Carolina School Boards Association, and Mr. Raymond Sarbaugh, Executive Director for the North Carolina Association of School Administrators. The cover letter sent over the survey instrument is included as Appendix C. It is hoped that endorsement of this study by the directors of these two professional organizations will help the survey survive

that first scrutiny by the superintendent when he or she is deciding whether to complete the survey or dispose of it. The survey will be coded and identifiable by school system for return tabulation purposes only; anonymity will be assured to each superintendent.

Each school system's responses will be charted according to the design of the dichotomy-duality model and, based on these responses, the specific questions asked in this study will be examined. Numerous tables and charts by total and sub-group will be used to illustrate the findings.

Organization of the Study

The remainder of the study will be organized into four more chapters. Chapter II will be a review of the literature. It will examine educational studies in the areas of policy formation and implementation at the board-superintendent level from the mid Twentieth Century to the present.

Chapter III will cover the methodology of the study. It will expand on the policy process by Ripley and Franklin and will include an elaboration and evolution of the dichotomy-duality model. It will also show the construction of and basis for the instrument to be used for the survey, as well as examination of the survey population.

Chapter IV will be an analysis of the results of the survey. This chapter will contain substantial tables and graphs of the various patterns and responses.

The final chapter will be a summary of the process and the conclusions the researcher may draw from the survey. It will answer the five questions posed in this chapter and make recommendations for further study.

CHAPTER TWO

REVIEW OF THE LITERATURE

Studies in the field of educational administration which focused on the roles of superintendents and school board members were relatively scarce prior to the decade of the 1960's. There were some major, landmark works such as the Andrew Draper study in 1895,⁵⁸ the George Counts book, The Social Composition of School Boards, in 1927,⁵⁹ and the George Strayer study in 1938.⁶⁰ These studies, however, examined the specific roles of the superintendent or board member, or profiled the make-up of either member. None truly looked at these roles within the context of the policy process.

This chapter will chronologically review the research literature related to boards, superintendents, and the policy process from the 1960's to the present.

58. National Education Association Proceedings, 1895, Cited in Raymond Callahan, "The American School Board," in Understanding School Boards: The Problems and Prospects, ed. Peter Cistone (Lexington: National School Boards Association, 1975), p.34.

59. George Counts, The Social Composition of School Boards, (New York: Arno Press, 1927).

60. George Strayer, The Structure and Administration of Education in American Democracy, (Washington, D.C.: NEA, 1938), and Callahan, op. cit., p.42.

A 1958 study on schools in Massachusetts by Gross found that the only factor related to a board member's "progressivism" was that person's amount of education.⁶¹ Other factors such as income, religion, motivation for seeking election to the board, activity in politics, age, length of residence in community, number of children, or type of school attended by their children showed no clear relationship to Gross' scale of progressivism. This would suggest that the roles of the board members form independent of the traditional social and economic factors exhibited by the individuals.

Kerr's 1962-63 study of two large northern suburban school districts examined a "number of factors in the social structure of American education which constrain school boards to legitimate the school system to the local

61. Neal Gross, Who Runs Our Schools? (New York: Wiley and Sons, 1958), Ch. 11 and pp. 179-181.

community."⁶² He graphically charted how five influences convert school boards into legitimating agencies. Those five factors were 1) the community's demand for representation, 2) the community's ignorance of the school system, 3) the effect of the school board's decisions on the community, 4) the relative absence of constituencies, and 5) the professional self-image of the superintendent. He argued that these factors deflected board member behaviors from formal goals to that of legitimating school policies.⁶³

A collection of speeches by McCarty and Brickell examined school board--administrative relationships and written school board policies in the Catskill area of New York.⁶⁴ Both authors emphasized the importance of board members and superintendents working together in the policy area. Brickell argued that the board should cover policy areas in broad strokes and the superintendent match the board with his or her own specifications or requirements. (This is often seen as board policy and administrative

62. Norman Kerr, "The School Board as an Agency of Legitimation," Sociology of Education, 38, No. 1 (1964), p.57.

63. Ibid., p.58.

64. Donald McCarty and Henry Brickell, School Board--Administrative Relationships: Catskill Area School Boards Institute 1965-1966, ERIC ED 011 464.

regulation.) He has a prescription, albeit facetiously stated, for board members if they wish to lose control of the school system.

You board members can lose control of the school by keeping your hand in very close to every decision and examining every decision before it is made. You can back the superintendent up so securely that very little can get done. You can have board members specialize in each aspect of school work--you can get a man to worry about finance, someone else on buildings, get a man for personnel, and someone else for transportation, let's say. Then groups can very quickly build up a set of vested interests and special empires keeping out of each other's territory well enough so that the total board will find control slipping away.

There's another technique that works. If you stick to your own point of view in all discussions, figure that the people who elected you liked your way of thinking. They want you to be dogmatic about it, never compromise.⁶⁵

Clearly Brickell was issuing a warning to board members: stay broad, stay general, and leave room for discretion.

A study by David Minor at Northwestern University examined aggregate voting data on referenda and elections in suburban school districts. He concluded that:

...conflict is differently and more easily handled in communities with larger resources of skills in conflict management, and that these resources are associated with indicators of what is commonly called social status.... As far as school affairs are concerned, some communities are more susceptible to leadership than others, probably because their people are more accustomed to the division of responsibility that leadership entails.⁶⁶

65. Ibid., p.25.

66. David Minor, "The Community Basis of Conflict in School System Politics," American Sociological Review, 31, No. 6 (1966), p.833.

He found, in general, that communities with higher aggregate status levels tend to show lower participation and lower levels of dissent, and that in districts where electoral conflict is low, superintendents have a greater latitude in decision making.⁶⁷

Robert Salisbury proposed an interesting idea in his speech at Harvard University in November, 1965.⁶⁸ He elaborated on the insulation from the political or administrative leaders of the city that urban school systems both suffer and enjoy. He said this in part was a result of an historical ideology that stated that schools should be free from politics, i.e., the influence of non-school officials; schools are largely autonomous.⁶⁹ He argued that this autonomy and insulation kept the schools fragmented and unresponsive to important community groups. Salisbury suggested that an urban school system under the control of the mayor would be more beneficial.

If the schools were integrated with the urban governmental system, the educators would continue to make most of the technical and administrative decisions but the mayor and his coalition of community support would play a major role in giving over-all program and fiscal direction.⁷⁰

67. Ibid., p.822.

68. Robert Salisbury, "Schools and Politics in the Big City," Harvard Education Review, 37, No. 3 (1967).

69. Ibid, p.409.

70. Ibid., p.422.

He felt that this would better protect the schools from community pressures. He further stated that for all practical purposes school systems were already (in 1967) moving this way. Were schools not already "in direct competition for money; subordination of educators to other public officials with other interests and programs; the self-conscious use of the schools to fight poverty, improve housing conditions, or fight city-suburb separation"?⁷¹ His concept greatly supports this researcher's assumption that there is a close relationship between political-administrative structures in cities and in school systems.

A study by Edward Hickcox examined administrative styles and how they relate to particular school board and community power structures in twenty-five Eastern school districts.⁷² This study was based on a previous work by McCarty and Ramsey.⁷³ His research revealed two types of relationships between community environment, school boards and superintendent styles.

71. Ibid., p. 424.

72. Edward Hickcox, Power Structures: School Boards and Administrative Style, ERIC ED 012 510, (1967).

73. Donald McCarty and Charles Ramsey, "Study of Community Factors Related to the Turnover of Superintendents," U.S. Office of Education Proposal No. 5-0325-2-12-1, January, 1965.

In eleven instances, administrative style was found to be related both to the board makeup and to the community power structure. In seven instances, administrative style was found to be related only to board makeup.

John Walton, in his book Administration and Policy-Making in Education, discussed the distinction between policy-making and the execution of policy.⁷⁴ He agreed with earlier studies of educational administration that "a clear separation between policy formation and administrative action is essential to an effective organization."⁷⁵ He argued against those in the field of public administration who would argue that it is impossible to distinguish between policy-making decisions and decisions effecting those policies.

In a book by Campbell and Layton, they discuss some of the variables in policy making for education and how they impact on the process.⁷⁶ They state that the process often appears irrational, structureless and elusive. They attribute this to four factors: 1) the increasing number and varying classes of individuals who are actors in the process; 2) the different local, state, and national

74. John Walton, Administration and Policy-Making in Education, (Baltimore: Johns Hopkins Press, 1969), p.53.

75. Ibid, p. 52.

76. Roald Campbell and Donald Layton, Policy Making for American Education (Danville: Interstate Printers and Publishers, 1969), p. 17.

organizational structures at work; 3) the linkages between the actors and the structures; and 4) the values given to the means and the ends of education.

Sidney Marland's upbeat article on the changing nature of the superintendency explored some of the factors which influence and force change on superintendents.⁷⁷ He stated that the rapid changes of the 1960's caused a greater impact on the superintendency than at any other time in history. Concerning the superintendent role and public policy, he stated:

Public policy in cities is largely formulated by executives and their staffs for ratification (often with modifications) by elected or appointed public boards or councils. The role of the superintendent has many similarities with counterparts in government who serve as appointed or elected chief executives. One of the subtle, but clearly evident changes affecting the school superintendent over the decade has been his increased direct relationships with, and dependence upon his counterpart chief executives in virtually every other public and quasi-public institution in the community, from the mayor's office to the humblest ghetto church.⁷⁸

And he further stated concerning the role of the superintendent:

While only a few years ago superintendents were satisfied with the representational model of the central board of education as the source of governance, they are now searching for new and

77. Sidney Marland, "The Changing Nature of the School Superintendency," Public Administration Review, (30, July/August, 1970).

78. Ibid, p. 366.

rational methods for decentralizing policy formulation and deploying control to subsystems within the community. This is a marked role change.⁷⁹

Overall, it is an article which recognizes the tremendous factors influencing change in the role of the superintendent, but is positive in the abilities of the nations' superintendents to adapt and lead.

McCarty and Ramsey examined fifty-one communities in the northeastern and midwestern United States. They found there was a generally consistent association between the type of power structure present in the community and the structure of the power on the school board. These power structures, in turn, determined the kind of role the superintendent played.⁸⁰

Richard Carlson drew a striking conclusion about the length of a superintendent's tenure and the development of the school system.⁸¹ His statistical studies of place-bound superintendents and career-bound superintendents showed that the place-bound superintendents remained in office much longer.

79. Ibid., p. 368.

80. Donald McCarty and Charles Ramsey, The School Managers, (Wesport, Conn.: Greenwood Publishing Co., 1971).

81. Richard Carlson, School Superintendents: Careers and Performance, (Columbus: Charles E. Merrill, 1972).

Carlson stated:

Aside from these expressions of the feeling that a long stay in office by the superintendent is detrimental to the development of the school system, there exists striking evidence. As shown in the preceding chapter, the evidence indicates that the innovativeness of the school systems decline progressively the longer the superintendent stays in office....Superintendents...see a dilemma, they realize that a school superintendent cannot act in a manner that assures re-election over and over while systematically developing the quality of the educational service rendered by the school district.⁸²

Carlson suggests that "those promoted from within give more attention to being re-elected and less to developing the school system."⁸³

The power of superintendents was addressed in an article by Chester Nolte in the American School Board Journal.⁸⁴ In spite of all the complaining from superintendents, he believed it was meaningless to try to determine across-the-board impacts. He did indicate an awareness of and movement away from what he called the "Greyhound Bus theory of school policymaking and administration."⁸⁵

82. Ibid., p. 144.

83. Ibid., p. 144.

84. Chester Nolte, "How Fast is the Power of Superintendents Slipping Away?" American School Board Journal, 161, No. 9, (1974).

85. Ibid., p. 42.

According to Nolte, the superintendent "smiles knowingly and tells his or her wide-eyed school board: 'sit back, relax, and leave the driving to us pros'."⁸⁶ He chastises those school boards which allow this to happen.

Supportive of this "Greyhound Bus" theory were the findings of Zeigler and Jennings in their 1974 study.⁸⁷ They found that in many districts it was the superintendent who controlled the board agenda. The superintendent has more ready access to information than the board, and therefore perpetuates the belief that educational decisions are primarily technical ones which should not be made by laymen and laywomen.

A survey of superintendents by Carolyn Mullins which examined board member roles revealed that board members were often unable to separate their own policymaking function from the administrative function of the superintendent.⁸⁸

A paper presented by William Dickenson at the 1975 Annual Convention of the National School Boards Association

86. Ibid., p. 42.

87. L. H. Zeigler and Kent Jennings, Governing American Schools: Political Interactions in Local School Districts, (North Scituate, MA: Duxbury Press, 1974).

88. Carolyn Mullins, "The Ways that School Boards Drive their Superintendents up the Wall," American School Board Journal, 161, No. 8 (1975), p. 15.

dealt heavily with the process of developing written school board policies.⁸⁹ In that speech Dickenson said:

I suggest that new horizons can be reached if school boards and their administrators can master and implement the arts and skills of responsible and responsive policymaking. For it is in their role as policymakers that lay board members can make significant and signal contributions to the advancement of public education.⁹⁰

He defined policy as "an idea designed to bring action"⁹¹ and stated that board members, then, are idea people and administrators are action people.

Written policies are the chief means by which the accountable school board governs the schools; administrative rules (or "procedures" or "regulations") are one of the means by which the board's executive agent--the superintendent--sees to it that policies are carried out.⁹²

Additionally, he outlined his seven steps to the creation and development of a written policy.

In William Boyd's article he revisits the issue that:

...school boards have largely ceased to exercise their representative and policymaking functions; for the most part they do not govern, but merely

89. William Dickenson, The Process of Developing Written School Board Policies, (a paper presented at the Annual Convention of the 35th National School Boards Association, Miami Beach, Florida, April 20, 1975) ERIC ED 105 623.

90. Ibid., p. 7.

91. Ibid., p. 10.

92. Ibid., p. 10.

legitimate the policy recommendations of school superintendents. Thus, according to this view, the public, democratic control of education has been reduced to little more than a sham.⁹³

He discussed the dilemma of the struggle between the rank authority of the school board versus the technical authority of the administrative staff, which runs parallel with the tensions between democracy and efficiency.

Boyd concluded that studies of board-staff relations should include consideration of a minimum of six variables: community characteristics, personal characteristics of school authorities, school government characteristics, school system characteristics, type of issue, and relevant resources. He summarized by stating:

...while educators tend to dominate policy-making, they usually operate within significant --and generally underestimated-- constraints imposed by the local community. These constraints are likely to vary primarily with the type of school district and the type of policy issue that is faced. The local citizenry, and their school board, will tend to have more influence in strategic policy decisions and in smaller and more homogeneous communities, where the administrative staff will tend to anticipate or reflect community demands. The staff, on the other hand, will tend to have more influence in routine policy decisions and in larger and more heterogeneous communities.⁹⁴

93. William Boyd, "School Board-Administrative Staff Relationships," in Understanding School Boards: Problems and Prospects, ed. Peter Cistone (Lexington: National School Boards Association, 1975), p. 103.

94. Ibid., p. 123.

L. Harmon Zeigler authored an interesting chapter about the nature of school board research in Cistone's book.⁹⁵ He admonished political scientists for having ignored the politics of education for so long and warned of the phallacy of outright comparisons. This in part is due to the rather unique autonomy that educational policy-making experiences as well as the board's deference to the "technical experts."

A book by Paul Orr was specifically written for superintendents and board members of American sponsored overseas schools, but it has general application to all boards and superintendents. He stated:

In practice, however, boards tend to become increasingly involved with functions other than traditional policy determination and trusteeship. The role of the board itself is an excellent example of the need for clearly stated and understood policy by the board and by the superintendent.⁹⁶

Schmidt and Voss explored the harmony model of educational governance.⁹⁷

95. L. Harmon Zeigler, "School Board Research: The Problems and the Prospects," in Understanding School Boards: Problems and Prospects, ed. Peter Cistone, (Lexington: National School Boards Association, 1975).

96. Paul Orr, A Guide to School Board Policy: The American Sponsored Overseas School, (1976), ERIC ED 126 597, p. 2.

97. Paul Schmidt and Fred Voss, "Schoolboards and Superintendents: Modernizing the Model," Teachers College Record, 77, No. 4. (1976).

The harmony model recognized that although "policy-setting is a prerogative of school boards,...it is always recommended that policy origination and preparation rest with the professional staff."⁹⁸ They examined the manuals provided to new California school board members, manuals which foster this harmony model. They felt that the writers of educational administration didn't fully understand the relationships among board members, superintendents, and the public. Nor did they feel that political scientists understood educational policymaking. And although they indicated that recent (prior to 1976) studies made reference to a move away from the harmony model, they in fact felt that the myth of the harmony model retains merit.

In his 1976 article William Boyd reviewed the literature to date and drew some conclusions from that research.⁹⁹ He reviewed the differing positions, some of which present the superintendent as the controlling, political and technical expert and others which show him as beleaguered and tempest-tossed by political and community interests. He stated that the schools are neither

98. Ibid., p. 518.

99. William Boyd, "The Public, The Professionals, and Educational Policy Making: Who Governs?" Teachers College Record, 77, No. 4 (1976).

mirror images of their communities nor insulated, autonomous institutions. He suggested that educators operate within "constraints imposed by the local community and school board--not to mention those imposed by state and national forces."¹⁰⁰ He further summarized:

These constraints (or, put another way, the influence of the community and the board) are likely to vary primarily with the type of school district and the type of policy issue that is faced. The local citizenry and the board will tend to have more influence in external, redistributive, and strategic policy decisions, and in smaller and more homogeneous communities where the professionals tend to anticipate or reflect (especially in middle and upper middle class communities) community demands. The professionals, on the other hand, will tend to have more influence in internal and routine policy decisions, and in larger and more heterogeneous communities. Because of the nature of the distribution in this country of the population and of school districts, this analysis suggests that in the vast majority of school districts, which serve a large majority of Americans, majority interests usually will be served.¹⁰¹

A dissertation study by Stanton compared the leadership roles of the city manager and the superintendent in a case study design.¹⁰² Emphasis was placed on

100. Ibid., p. 572.

101. Ibid., pp. 572, 573.

102. Marguerite K. Stanton, "The City Manager and the School Superintendent: A Comparative Analysis of Their Leadership Roles," Dissertation Abstracts International, 37 (1976), 3161 (Claremont Graduate School).

perceptions of the leadership aspect of the administrators' roles with respect to their publics. Her review of the literature seemed to confirm that perceptions of the two roles were similar. Her study did reveal several differences:

1. The superintendency has not been so reluctant about assuming a public leadership role as has the managership;
2. ...because of the absence of strong ideological concepts about assuming a public leadership role, the school executive is more positive about what his influence in the community should be;
3. ...the community's residents are more likely to look to him for leadership than the manager in his jurisdiction;
4. ...the requirement of the superintendent to go frequently to the electorate for financial support has placed him in a more overtly political role than the manager; and
5. ...the schoolman may not have been so well prepared through either his academic training or prior experience to cope with the recent role changes as has the manager.¹⁰²

Her study concluded that "the role confusion of the city manager, and his generally low profile, has permitted him to adapt more easily to the changes and challenges of the chief administrator's position than have the higher visibility and more fixed role perception of the school superintendent."¹⁰³

102. Ibid., Abstract.

103. Ibid.

In a study by Lieberman, it was found that:

...in small districts, board members attempted to do the total job and the distinction between policy and administration was relatively small. In medium sized districts the distinction was a good working guide and in larger districts boards struggled to keep up and often delegated policy development to the administration.¹⁰²

Zeigler and Boss examined an exchange of power and influence between superintendents and boards of education.¹⁰³ They stated:

Administration is not often a politically neutral activity, even if performed in an ostensibly neutral fashion. Superintendents routinely set agendas for board meetings and routinely prepare and support a budget. Both activities are overtly political. The first, agenda setting, defines what is to be discussed. The second allocates scarce resources.¹⁰⁴

They discussed the exchange between superintendents and board members which focused on utilization of resources. They defined it as "an interaction involving the effort of at least two people to

102. Myron Lieberman, "Where Boards Control Schools, Where They Don't and Why," American School Board Journal, 164, No. 4 (1977), p. 36,37.

103. Harmon Zeigler and Michael Boss, "Exchange and Power in American Education," American Politics Quarterly, No. 2 (1977).

104. Ibid., p. 202.

transform values into policy."¹⁰⁵ Their study of superintendents and board members in 82 school districts led them to conclude that each party had a political resource necessary to the other in policy-making.

...the school board, formal policy-making and legitimacy; the superintendent, administrative and educational expertise. Expertise has greatest value when issues are internal, routine, and episodic. Formal authority has greatest value when issues are public, episodic, and conflictual.¹⁰⁶

An historical perspective of educational governance was presented by Zeigler, Tucker and Wilson.¹⁰⁷ They charted four phases in education: maximum feasible participation (c. 1835 to c. 1900); reform and efficiency (1900 to c. 1968); school viewed as an agent of social and economic change (1954-1975); and phase 4, (1975 --) -- the period which shows that phase 3 will be unachievable.¹⁰⁸ They did discuss, during phase 2, the role of the board members.

105. Ibid, p. 203.

106. Ibid., p. 216.

107. Harman Zeigler, Harvey Tucker, and L. A. Wilson, "How School Control Was Wrested from the People," Phi Delta Kappan, 58, No. 7 (1977).

108. Ibid., p. 534.

Most board members do not view their role as representing, or speaking for, "the public"; rather, they view it as speaking for the administration to "the public". (underline added by author)¹⁰⁹

Further abdication of their formal authority, and standard suggestions by generally accepted models, for the job of setting agendas is also spoken to by the authors; "school boards enact policies suggested by the professional staff in about 85% of the recorded votes."¹¹⁰ This statistic defies what traditional models of the board's role would have us believe.

A dissertation study by Sakal examined the role perceptions of school board members in policy-making decisions.¹¹¹ The results showed that the board members perceived themselves far more involved in policy-making than literature suggested.

Ben Brodinsky in an overview of the responsibilities of a school board member, discussed their role in

109. Ibid., p. 536.

110. Ibid., p. 536.

111. Edward Sakal, "A Study of School Board Member Involvement in Policy Determination," Dissertation Abstracts International, 38 (1977), 594 (Syracuse University).

policy-making.¹¹² He argued that when the average board member is placed suddenly in the role of needing to formulate policy, he or she is frustrated and confused. That, he says, is why many board members all too often adopt and approve policy proposed to them by the administration.¹¹³ This also contributes to why board members are often confused between board policy and narrow regulation.

An article by Peter Cistone examined educational policy making at the local level with respect to three areas: the societal environment, the selection and composition of the board, and the school board/administrator relationship.¹¹⁴ In the area of policy, he stated:

Indeed the predominant fact of educational policy making today seems to be the inordinate influence of the chief school administrator, who, typically, enjoys a much greater latitude of discretionary authority than any other professional public administrator in the community.¹¹⁵

112. Ben Brodinsky, How a School Board Operates. Fastback 88, (Bloomington: Phi Delta Kappa, 1977).

113. Ibid., p. 29.

114. Peter Cistone, "Educational Policy Making," Educational Forum, 42, No. 1 (1977).

115. Ibid., p. 97.

He finally concluded that the isolation and autonomy previously experienced by the educational environment was being eroded by more and more volatile social, economic, cultural and political pressures.¹¹⁶

In a book by Tucker and Zeigler on educational governance, they reviewed the existing tensions between educational experts and laypeople.¹¹⁷ In fact, they opened their book with the acknowledgment that only "within the past decade has educational policy-making come to be widely recognized as a political process."¹¹⁸ They briefly summarized the proposal development phase of the policy-making process:

...(1) proposal development is clearly dominated by the superintendents; (2) the active role of school boards and members of the public is substantially below that indicated by traditional democratic theory; (3) though superintendents receive a sufficient volume of private communications to make a model of administrative representation plausible, the quality of those communications does not support a democratic model of administrative representation.
119

116. Ibid., p. 99.

117. Harvey Tucker and L. Harmon Zeigler, The Politics of Educational Governance: An Overview. State-of-the Knowledge-Series, Number Thirty-Six. (1980) ERIC ED 182 799.

118. Ibid., p. 1.

119. Ibid., p. 12.

In general, the authors concluded that "all governments (not just educational ones) drift toward bureaucratic dominance."¹²⁰ They believed that the tension between the professional and the public was normal and that in all likelihood educational governance will come down on the side of the professionals.

Luvern Cunningham presented a paper at the 34th Annual Meeting of the National Conference of Professors of Educational Administration in 1980.¹²¹ He proposed twelve statements for local boards to consider in the examination of policy about policy. They are as follows:

- (1) That local boards of education develop discrete and definitive policy about policy, some of which are implied by the subsequent proposals for change in the governance and management of local school districts;
- (2) That educational policy become the primary and continuing policy focus of local school officials as distinct from personnel, business, and physical facilities for example;

120. Ibid., p. 61.

121. Luvern Cunningham, Policy About Policy: Some Thoughts and Projections, (Paper presented at the Annual Meeting of the National Conference of Professors of Educational Administration, Norfolk, Va., August 10-15, 1980). ERIC ED 195 042.

- (3) That school boards meet four times per year for extended periods of time (two or three days) in order to gain full command of policy related data and knowledge, have time to reflect, and consider the views of citizens in regard to policies under consideration;
- (4) That policymaking agenda be prepared, two to three years in advance, to frame the work of the Board, administrative staff, professional organization leaders, student leaders and citizen groups;
- (5) That superintendents be given long term contracts (three to five years) with clear cut guidelines to surround their performance as well as the freedom to administer schools within those boundaries;
- (6) That the form and substance of the superintendent's evaluation be clearly defined and understood at the outset of the contractual period and that data be accumulated and organized to allow the board as the employing agency to pass adequate judgment about the superintendent's performance;
- (7) That the employee salary and wage determination prerogative now retained by boards of education of local school districts be moved to the state level;
- (8) That representatives of professional groups (teachers' and administrators' organizations) for local school districts become members of the local boards of education and assume policy and accountability responsibilities equivalent to that office;
- (9) That boards of education utilize a disciplined framework for policy enunciation and employ that framework within a facility especially designed for that activity, one which emphasizes the efficient use of data retrieval and display technology;

- (10) That school board members and the executive staffs of school districts be trained to handle policy development activity for their enterprises;
- (11) That one or more states pass special legislation allowing school districts to suspend (for a period of time) current statutes, rules, and regulations for the governance and management of school districts in order to test alternative approaches to governance and managements; and
- (12) That processes of policy development and their enunciation as well as the processes of management be designed to include genuine, sustained student, parent, citizen and professional educator involvement.¹²²

These are substantive and significant proposals which warrant close examination. He concluded his elaboration of the twelve proposals with the following summary:

It is not the intent of these proposals to depoliticize education. It is the intent to make the policy process more open and accessible to larger numbers of stakeholders, less vulnerable to the machinations of policy elites, and more yielding to the best policy science intelligence that man has been able to devise. Implementation of the proposals would compartmentalize a bit more clearly the work of board members and executive staffs. But it would also lead to the integration of these two functions in order to produce an improved quality of institutional performance. In terms of power, more power would exist in the situation. The power and influence of neither the governors nor the managers would be reduced. Both would be enhanced.¹²³

122. Ibid., p. 7,8.

123. Ibid., p. 24.

A dissertation study by Wall examined the effectiveness of school board members, as perceived by board members and superintendents.¹²⁴ Through the use of a questionnaire she was able to conclude that there is very little difference between the perceptions of board members and superintendents about the effectiveness of board members and findings from the literature and research about the effectiveness of board members.¹²⁵ When describing the traits of the most effective board member they have ever known, in priority order they listed honesty, regular attendance at board meetings, realizing the importance of hiring well-qualified professionals, improving education, and possessing high educational standards.¹²⁶

One of the most significant studies of 1980 and 1981 was the Joint Commission on School Board/Superintendent Relationships. It was sponsored by the North Carolina Association of School Administrators, the North Carolina School Boards Association, and the North Carolina Association of Educators.¹²⁷

124. Donna Wall, "Effectiveness of School Board Members, As Perceived by Board Members and Superintendents," Dissertation Abstracts International, 41, (1980), 2400 (University of Pittsburgh).

125. Ibid.

126. Ibid.

127. Joint Commission on School Board/Superintendent Relations: Survey 1980. Jointly sponsored by N.C. Association of School Administrators, N.C. School Boards Association, and the N.C. Association of Educators, December, 1980.

Based on a 65% superintendent response, a 29% board chairperson response, and a 23% board member response, the interim report concluded the following concerning policy:

Policy: The three groups of respondents agreed that establishing policies for the operation of the school system is and should be the major responsibility of the school board. They also agreed that proposing policies is an equal responsibility of boards and superintendents and that it should be more the responsibility of the board than is the current practice. As to the dissemination of policy statements, the establishment of regulations for implementation of policies and the implementation of these regulations, the three groups felt that these activities are and should be the major responsibility of superintendents. The review and evaluation of policy is shared about equally between the board and superintendent; however, the group felt that the board should exert a somewhat stronger role in the review and evaluation of policy than has been the practice.¹²⁸

A statistical dissertation study by Mukensnoble at the University of Washington examined how board members believed their superintendents should respond to fifty-seven selected incidents and how the superintendents would respond in those incidents.¹²⁹

128. Ibid., Interim Report, p. 3.

129. Allan Mukensnoble, "The Relationship Between Board Members and Superintendent Expectations for Decision-Making Behavior," Dissertation Abstracts International, 42 (1981), 1414 (University of Washington).

In general, the research concluded that the education of the board members, as well as the district enrollment were important factors when comparing the board members' expectations of superintendents decision-making independence.¹³⁰.

A national survey conducted by the American Association of School Administrators in 1982 had, among other things, the following conclusions to draw from the results. In response to the question about who takes the lead in the development of policy, slightly more than three fourths of the superintendents reported that they did; one fourth said it was shared. Very few indicated that the board took the lead; few, if any, said it rested with the board chairperson.¹³¹

A 1982 manual was prepared by Leslie Wolfe which was designed to help leaders present a workshop for school board members on the roles of the board and the superintendent in the policy management cycle.¹³²

130. Ibid., Abstract.

131. American Association of School Administrators, The American School Superintendency 1982, (Arlington, Va.: American Association of School Administrators, 1982), p.61.

132. Leslie Wolfe, Policy is Power. Leader's Manual. Keys to School Boardmanship. A Program of Continuing Education for School Board Members, (1982), ERIC ED 224 122.

Section five talked about policy-making as a social process.

...(It) is not a logical, intellectual, problem-solving or decision making process... The decision making-model is appropriate for subproblems in policy formation--the allocation of resources once the policy decision has been made. Probably the more appropriate model for the policy process is one of bargaining and negotiation among the parties whose beliefs, needs and lifestyles are not identical... Policy making is the communication of policies in such a way as to articulate the interest of a sufficient number of involved parties so as to form a coalition. Policy making is a social process with intellectual elements.¹³³

McIntire acknowledged that it was unclear who develops policy and who implements; he said there was too much overlap to tell.¹³⁴ He espoused cooperation of board members and superintendents when developing and implementing policies and procedures.

Dante Lupini argued that there had been a heavy increase in the politicization of school board policy making.¹³⁵ He attributed this change primarily to

133. Ibid., p. 44.

134. Ronald McIntire, "Develop Policies through Teamwork," The American School Board Journal, 169, No. 8 (1982), p. 34.

135. Dante Lupini, Educational Leadership and the Political Fact, (Paper presented at the Annual Joint Conference of Alberta School Superintendents and Alberta Education Management Society, Edmonton, Alberta, 1983), ERIC ED 231 080.

the activism of the 1970's, the emergence of interest groups, and the increased activities of the teachers' organizations.¹³⁶

In a survey of school board members through the American School Board Journal and Virginia Technical Institute, 4,210 board members responded.¹³⁷ They were asked who they thought should have the largest share of responsibility in 20 areas of school governance. Board members wished for the majority of the responsibility in expenditures (73.4%), education objectives (64.2%), local tax rates (85.9%), building and closing schools (86.3%), collective bargaining (72.2%), evaluating administrators (52.6%), hiring administrators (65.6%), and personnel promotions (64.6%). Additionally, these results hold regardless of the size of the school system.¹³⁸

136. Ibid., p. 4-6.

137. K. E. Underwood, et. al., "Readout: You Alone Would Clutch the Purse Strings," The American School Board Journal, 170, No. 1 (1983), p. 26.

138. Ibid., p. 26.

William Boyd wrote a highly significant article linking educational administration and the study of political science.¹³⁹ Boyd contended that educators have been faced with four kinds of decline: declining enrollments, declining economic-budgetary circumstances, declining public confidence in schooling, and declining legitimacy of administrative authority. He believed that these four factors combined had highly politicized the educational environment.¹⁴⁰ He believed that the application of political science would help with the examination of educational governance.

In a 1984 book, Rebore discussed the dynamics of school board operations.¹⁴¹ Although the chapter is a general discussion about the board meeting process, he does make two salient comments concerning the policy process.

139. William Boyd, "Rethinking Educational Policy and Management: Political Science and Educational Administration in the 1980's," American Journal of Education, 92 (November, 1983).

140. Ibid., p. 2.

141. Ronald Rebore, A Handbook for School Board Members, (Englewood Cliffs: Prentice Hall, 1984).

The first concerns the role and function of the school board:

The role and function of the school board in governing the school district center around two major areas: first, creating policies that will give the district's administrative staff the guidance necessary to carry out the mission of the school district; second, evaluating, through administrative staff, the programs of the school district and the personnel charged with implementing the programs. Both areas are complimentary; that is, it will be impossible for a school board to create effective policies if the members of the school board are not informed about the progress of the district's programs and about the performance of school district personnel.¹⁴²

And later, he differentiated between policy and administration.

School board policies should not be confused with administrative rules and regulations, which constitute the detailed manner whereby policies are implemented. Rules and regulations explain who does what, when, and where. In other words, they apply policy to practice. In fact, many rules and regulations may be required to implement one policy.¹⁴³

142. Ibid., p.23.

143. Ibid., p. 34.

In her article in Urban Education, Ruth Danis summarized a study which looked at the relations among the elections of school board members, the predominant educational goals in a community, and the responsiveness of schools to public demands.¹⁴⁴ These were considered to be measures of the democratic process relative to school district governance. She examined data on a comparative and longitudinal basis over a 50 year period in a single municipality. She concluded:

The data indicate that extensive policymaker turnover is required before shifts in organizational priorities can take place. All officials supportive of the old regime who are in opposition to new priorities have to be replaced. The new superintendent, after an incumbent defeat, must not only understand the new mandate, but must be capable of articulating and implementing policies and programs that are in keeping with redirection.¹⁴⁵

She also concluded that the public interest and emphasis did influence the implementation of educational programs.

144. Ruth Danis, "Policy Changes in Local Schools: The Dissatisfaction Theory of Democracy," Urban Education, 19, No. 4, (1984), pp. 125-144.

145. Ibid., p. 142.

In a short article by Robert Heller in The American School Board Journal, he suggested that, "working together on goals can turn the board and the superintendent into mutual supporters."¹⁴⁶ Heller's article, then, advocated for shared responsibility in the determination of the agenda setting for the school district.

A dissertation by LaRocque was a case study which investigated the process of policy implementation in a school district.¹⁴⁷ Her findings showed the presence of three models, each based on the actors involved. The technological model corresponded to the board member perspective, the political model corresponded to the senior administrators and the district employee groups, and the cultural model applied to the perspective of the school itself. This last model was used by LaRocque to develop a data-based model of policy implementation.

146. Robert Heller, "For Smoother Operations and Stronger Ties to the Superintendent, Place Goal Setting at the Top of Your Board's Agenda--Here's How to Do It," The American School Board Journal, 171, No. 4, (1984), pp. 50-51.

147. Linda J. LaRocque, "Policy Implementation in a School District: A Matter of Chance?" Dissertation Abstracts International, 46 (1984), 1145 (Simon Fraser University (Canada)).

In a different kind of study by Arthur and Phyllis Blumberg, they examined the role of the superintendent through metaphorical terms.¹⁴⁸ The results are anecdotal comments from superintendents. Many responses revealed the highly politicized arena in which superintendents labor today.¹⁴⁹ In fact, they state:

Boards appear to be conceived of as political bodies, not as collaborative problem-solving groups. It is the politics of the individual voting that counts.¹⁵⁰

The real rub of the conflict between superintendents and board members over the policy process is neatly summarized in the following comments:

School boards are lay groups that exercise policymaking power over an institution the workings of which have, at least, a quasi-technological base. But then, everybody has been to school and "knows" how things should be done. Superintendents are hired for their expertise as educators and managers. They are assumed to really "know" how things should be done. However, leaders or not, they are employees, and, as has been suggested earlier, in a very real way their welfare depends on keeping the board happy or minimally unhappy.

The bind, then, goes something like this: We have an expert -- by definition, if nothing else -- who cannot exercise his expertise on matters of any real substance without getting the support and confirming decision of a number of non-experts (the school board) who are influenced by a host of other non-experts (the community).

148. Arthur and Phyllis Blumberg, The School Superintendent: Living with Conflict, (New York: Teachers College Press, 1985).

149. Ibid., p. 45.

150. Ibid., p. 76.

This latter group, for many intents and purposes, are the same kind of people who are on the board and therefore also "know" how things should be done. Further, this global situation is not a stable one, since in many systems there is frequent turnover in board membership, presenting the superintendents with the likelihood of having to deal with a group of non-experts every other year or so, and sometimes more often.¹⁵¹

In a study of 62 school boards and superintendents in New Jersey, certain significant differences were found with respect to the perceptions of their roles in policymaking.¹⁵² Their findings were as follows:

1. There was significant difference in the perception of superintendents in districts with elected and appointed school boards as to who decided policy in pupil personnel and public relations.¹⁵³
2. There was significant difference in the perception of school board members in districts with elected and appointed school boards as to who decided policy in pupil personnel and public relations.¹⁵⁴
3. There was significant difference in the perceptions of superintendents and school board members in districts with elected school boards as to who decided policy in instructional program, staff personnel, pupil personnel, transportation, and administration.¹⁵⁵

151. Ibid., p. 77.

152. Margaret Godfrey, and John Swanchak, How Compatible? Board of Education's Power and Politics of Education, (Paper presented at the Annual Meeting of the Eastern Educational Research Association, Virginia Beach, Va., 1985). ERIC ED 256 056.

153. Ibid., p. 7.

154. Ibid., p. 8.

155. Ibid., p. 9.

4. There was significant difference in the perception of superintendents and board members in districts with appointed school boards as to who decided policy in instructional program, staff personnel, pupil personnel, public relations, transportation, and administration.¹⁵⁶

This study concluded that, "there are few areas of agreement between boards of education and chief school officers on their responsibilities."¹⁵⁷ It also agreed with Sakal's study (previously cited) that elected school board members are involved in policy making. Godfrey and Swanchak's final comment, due to the apparent politicization of the superintendent's role, supports the foundation for this researcher's study:

Perhaps the field of educational administration should include more theory in the dynamics of local politics. The Mayor-City Manager form of government may offer some clues as a parallel, especially where the elected city council members appoint the city manager.¹⁵⁸

Lois Serrafin, in a dissertation study in 1985, examined the policy making procedures of local boards of education in West Virginia.¹⁵⁹

156. Ibid., p. 10.

157. Ibid., p. 12.

158. Ibid., p. 13.

159. Lois Serrafin, "West Virginia Boards of Education: Policy Makers or Policy Legitimizers?" Dissertation Abstracts International, 46 (1985), 2157 (West Virginia University).

She used structured interviews of board members and superintendents in the eight geographic regions of the state. She found significant difference on a hypothetical policy issue for geographic area, occupation, educational level, experience on the board, and tenure of the superintendent. She determined that board members perceived a great loss of board control of policy making. Further, her study concluded that:

...superintendents dominated local boards of education in policy making.

...board members acted as legitimizers rather than initiating legislative action.

...board members were more frequent identifiers of policy needs in personnel policy making.¹⁶⁰

A dissertation study by Carpenter examined Minnesota superintendents' perceptions of their role and influence in board agenda setting.¹⁶¹ This dissertation was a qualitative study of school board agenda setting and was for the purpose of determining superintendents' roles and influence in deciding whose issues become agenda items.

160. Op Cit.

161. DeeDee C. Carpenter, "Minnesota Superintendents' Perceptions of Their Role and Influence in School Board Agenda Setting," Dissertation Abstracts International, 47 (1985), 30 (University of Minnesota).

It examined the relationship of district enrollment size and the superintendent's role and influence on agenda setting. Certain themes emerged in her study of thirty superintendents. Some of these themes were that agenda setting fostered governance in a political system; the agenda setting process revealed a school district's locus of power; agenda setting was the framework for structuring a district's ideology; the superintendent's influence in agenda setting resulted from his or her expertise; and, the perceived relationships between the superintendent's agenda setting role and influence varied per district enrollment size.

In a survey study conducted by Michael Awender in Canada, the power of board members was examined.¹⁶² He sent questionnaires to school board trustees throughout Canada--questionnaires which focused on finance, personnel and communications. His results showed that the senior members of the board held the power and dominated the educational environment.

162. Michael Awender, "The Superintendent-School Board Relationship," Canadian Journal of Education, 10, No. 2 (1985), pp. 176-198.

Probably the most influential publication for school board members is The American School Board Journal. In an article by R. Winfield Smith he cautioned board members to not hand over their authority to the superintendent.¹⁶³ He stated that superintendents have usurped many of the policy making functions of the school boards.

They've been able to do that because they have access to the tools by which decisions are made and organizations are controlled: administrative staff, data-processing equipment, communication facilities, an administrative budget, and so on. The superintendent who has control of the information process also controls board meeting agendas and can see to it that the board is presented only with those matters he wants the board to consider. The result: Board members feel inadequate in the face of complex issues and take refuge in humdrum matters.¹⁶⁴

He believed that the educational process had changed drastically in the last 30 years, but that the governance structure had not. He simplified it all by saying that the board is responsible for the what, the superintendent for the how. He had four suggestions to reduce the conflict between superintendents and boards of education.

- Develop and monitor written school board policies.
- Dispel the myths about school administration that boards make policy and superintendents administer it.
- Involve teachers in policy making.
- Become representatives, not salesmen.¹⁶⁵

163. R. Winfield Smith, "Don't Be Snookered Into Handing Your Board's Authority to the Superintendent," American School Board Journal, 173, No. 9, (1986), pp. 23-24.

164. Ibid., p. 23.

165. Ibid., p. 24.

His conclusion was very strong: "School boards should govern or be abolished."¹⁶⁶

An article in the same issue presented the viewpoint of the superintendent. Peter Relic, then superintendent in West Hartford, Connecticut, supported the traditional model that said school boards determine policy and the administration carries it out.¹⁶⁷ His article elaborated four main reasons why this dichotomy should be maintained. If boards didn't keep policy and administration separate, he believed the results would be disastrous.

1. Board members don't have time to administer policy.

2. There is no fairness when board members decide when they will or will not become involved in administration.

3. Board members who try to administer are too often prey to special interest groups.

4. Finally, nepotism can run rampant when board members become involved in selecting personnel.¹⁶⁸

166. Ibid., p. 24.

167. Peter Relic, "Boards That Try to Administer School Policy Are Courting Complete Chaos," American School Board Journal, 173, No. 9, (1986), pp. 25-26.

168. Ibid., p. 26.

In summary, Relic stated that without the dichotomy of policy and administration, the "shared responsibility means no one really knows what anyone is supposed to do."¹⁶⁹

A study by David Johnson examined financial policy and management role expectations for superintendents as perceived by five reference groups from Colorado school districts with enrollments under 1000 students.¹⁷⁰ His questionnaire was mailed to superintendents, principals, teachers, board presidents, and bank presidents; there was a 76% return rate. Among his conclusions he stated that the area of superintendent role expectations in financial policy and management was an area of importance and concern. He also concluded that there were conflicting role expectations for the superintendent.

Another study conducted by Billy Bacchus examined perceptions of school board presidents about the decision-making process used by their board members.¹⁷¹ The area selected for study was sixteen closely located school districts in Missouri.

169. Ibid., p. 26.

170. David Johnson, "The Superintendent and His Role in Policy and Management in Small Colorado School Districts," Dissertation Abstracts International, 47 (1986), 3261 (University of Colorado at Boulder).

171. Billy Bacchus, "Perceptions of Selected School Board Presidents Concerning the Decision-Making Process of Members of Local School Boards", Dissertation Abstracts International, 47 (1986), 2380 (Southern Illinois University at Carbondale).

He examined the decision-making process in establishment of board policy, long-term goals of the school district, personnel, school curriculum, outside pressures from the community, board president's influence on other board members, and the role of the superintendent in helping board members make decisions.

A study by Knapke attempted to define the political role of superintendents in state education policy making.¹⁷² The findings concluded: there was more agreement among superintendents on their role than among board members; there were significant differences in the manner in which superintendents and board members defined their role on the state level; both superintendents and board members define their role in a non-partisan way; superintendents view this state level activity as more essential than board members; and, the superintendents' definition of political role was significantly related to the geographic location of the district.

172. Jerry Knapke, "The Political Role of Selected School Superintendents in State-Level Educational Policy Making in Ohio," Dissertation Abstracts International, 47 (1986), 2829 (University of Cincinnati).

A 1986 dissertation by Johnson studied the current amount of political and policy leadership exercised by school superintendents.¹⁷³ A questionnaire was sent to 513 3rd and 4th class school districts in Michigan; there was a 77.2% response rate. The major conclusions of the study were:

The largest percentage of school boards (48%) display consensual intraboard cohesion, followed by factional (32.2%) and pluralistic (19.8%).

School superintendents perceive that they should exercise stronger political and policy leadership than board presidents indicate they should.

School board presidents' attitudes differ greatly in regard to the amount of policy leadership and political leadership a superintendent should exercise. Political leadership expectations were low and policy leadership expectations were high.

The study supported that board presidents were comfortable with superintendents playing a strong leadership role in initiation and development of policy.

Sharon Ray studied twelve school boards in South Carolina, three each from the four types of boards--congruent, factional, dominated, and sanctioning.¹⁷⁴ She asked two basic questions:

173. Jon Johnson, "A Study of the Attitudes of Michigan School Board Presidents Toward Superintendents' Political and Policy Leadership in Third and Fourth Class School Districts," Dissertation Abstracts International, 47 (1986), 2397 (Western Michigan University).

174. Sharon Ray, "A Study of School Board and Superintendent Perceptions Related to Decision-Making in South Carolina," Dissertation Abstracts International, 47 (1986), 2835 (University on South Carolina).

What are the perceptions of superintendents and board members as to who does actually make policy development and administrative decisions, and who should? ; and, Do superintendents and boards differ in their perceptions of who does and should make these decisions? Her findings were:

Both board members and superintendents perceived that many decisions are and should be jointly made, not falling neatly into the policy making role or the administrative realm.

There was general level of agreement among superintendents and board members.

Decisions representing overall control of the superintendent/board member relationship showed the most evidence of internal conflict.

Finally, there was a slight but consistent trend in board member responses that they should be more involved in decision-making than they actually were.

A highly significant study was conducted by the National School Boards Association and the American Association of School Administrators.¹⁷⁵ Statistics for North Carolina rated the relationship between the superintendents and school board members. Eighty-three percent (83%) of the responses from the School Boards Association rated the relationship as good or very good, and ninety-five percent (95%) of the responses from the Association of School Administrators rated the relationship as good or very good.

175. Ted Davidson, School Board/Superintendent Relations Survey, Jointly sponsored by the National School Boards Association and the American Association of School Administrators: Educational Research Service, 1986.

One question asked respondents, if problems occurred in a school district, to describe what the major cause was. Both groups listed a lack of understanding or acceptance of the role and relationships -- "turf" was the leading cause of problems. They were also asked how they felt the school board members now serving in their state compared with their predecessors. Forty percent (40%) of the school board association respondents said they were more directly involved in school administration, and fifty-four percent (54%) of the administrators responded that they were more involved in administration.

A dissertation study by Weninger was a longitudinal study of one district's responsiveness to political change.¹⁷⁶ His study of the dissatisfaction theory was based on episodic change through the following progressions: a period of political quiescence, political and administrative realignments, final test election, and a return to quiescence. He argued that each stage was characterized by a different style of policy development. In a period of political quiescence policy development was incremental. During political and administrative realignment policy was inconsistent and characterized by strong debate. The result of all this was a certain responsiveness.

176. Terence Weninger, "Dissatisfaction Theory of Democracy: Policy Change as a Function of School Board Member - Superintendent Turnover," Dissertation Abstracts International, 48 (1987), 2220 (Arizona State University).

Weninger stated:

The measure of democracy is the degree to which school district policies were modified following school board member defeat -- superintendent turnover. The test for democratic governance was the degree of responsiveness between school board policy direction and the wishes of the community. ¹⁷⁷

In a study by Susan Harris, she interviewed 25 superintendents in New York.¹⁷⁸ They selected and described important or critical issues with which they had had to deal and examined their decision-making. Findings were that even though a superintendents sphere of decision-making had expanded to include interest groups, taxpayers, and other governmental agencies, his power and control had not diminished. Instead, there had been a change toward a more political methodology.

Mitchell's dissertation study examined perceptions of board members, community leaders, and other citizens relative to board role and function.¹⁷⁹ Eight communities were chosen as representative of demographics and size.

177. Ibid., Abstract.

178. Susan Harris, "The School Superintendent and Decision-Making: Survival and Moral," Dissertation Abstracts International, 49 (1987), 0018 (Columbia University Teachers College).

179. Mitchell Bers, "Perceptions of Board of Education Members, Community Leaders and Other Citizens Relative to School Board Role and Function, School Reform Proposals and Current Issues in Education", Dissertation Abstracts International, 49 (1987), 0016 (Northern Illinois University).

The three respondent groups perceived role and function of the board similarly. The citizens ranked curriculum number one along with policy development. However, board members and community leaders ranked policy development as the number one function of the school board.

At a conference in San Diego Louis Wildman talked about how superintendents and board members could help each other to be successful.¹⁷⁹ He argued that the ambiguity between administration and policy-making necessitated a clarification of the role of the school board. A survey was sent to 750 board members in the state of Washington to assess their most successful experiences as school board members and to find out how they thought superintendents could make board members more successful. He got only a 36% response. Some successful experiences included board cooperation, involvement in building programs, instigating new curricula, and increasing community input.

In responses to how superintendents could make board members better, items listed were keeping the board informed, working openly with the board, conducting orientation sessions for the board, demonstrating appreciation for the board's efforts, and involving the board in the establishment of goals.

179. Louis Wildman, What Can Superintendents and Board Members Do to Help Each Other Be Successful?, Paper presented at the Annual Meeting of the National Council of States on Inservice Education (San Diego, CA, March 20-24, 1987), ERIC ED 294 312.

In a summary statement by Wildman he said:

If superintendents are going to help board members be successful, agreement must be reached on the role of the board. This role is most frequently described in contrast to the role of the superintendent: the board makes policy and the superintendent administers.¹⁸⁰

Grady McGonagill in an article in Phi Delta Kappan discussed the board and administrative partnership.¹⁸¹ His thoughts are best summarized with the following quotation:

Boards and administrative staff vie for control of policy making and implementation, only to discover that the resulting tensions undermine their mutual ability to formulate initiatives and put them into action. There are three related barriers to board/staff partnership: confused board/staff roles, board fragmentation, and board/staff competition.¹⁸²

Wilfred Green in a dissertation study in Canada examined the role of the superintendent with respect to the importance of and relationship among selected tasks, skills, and personal characteristics.¹⁸³

180. Ibid., p. 3.

181. Grady McGonagill, "Board/Staff Partnership: The Key to the Effectiveness of State and Local Boards," Phi Delta Kappan, 69, (September, 1987), pp. 65-68.

182. Ibid., p. 65.

183. Wilfred Green, "An Analysis of the Tasks, Skills, and Personal Characteristics Associated with the Role of the Superintendent," Dissertation Abstracts International, 49 (1988), 2873 (University of Alberta, Canada).

He sent questionnaires to superintendents, department supervisors, board chairs, principals, and educational managers; he had a response rate of 82.4%. According to the results, the three most important tasks were holding meetings with the board of education, establishing communication with the board members, and identifying priorities for policy development. Policy development was ranked as the number one most important task.

The three most important skills for the superintendent were making decisions, delegating responsibilities, and being sensitive to the feelings of others. And the three most important characteristics for a superintendent to possess were trustworthiness, consistency, and intelligence. Overall, the skills were found to be most important, followed by characteristics and then tasks.

A study by McCormack examined superintendent and school board relations in small rural districts in New Hampshire.¹⁸⁴ He examined districts with enrollments of less than 2500 students. The study was a descriptive research design and contained questionnaires and interviews. Two of the significant questions asked were,

184. Phillip McCormack, "School Governance in New Hampshire: A Study of Superintendent-School Board Relations in Small Rural School Districts", Dissertation Abstracts International, 49 (1988), 2477 (Boston University).

"What role do school board members and superintendents play in the decision-making and policy development process?" and, "What factors impact upon the board's and superintendent's respective control of the decision-making and policy process?"¹⁸⁵ His conclusions were that 1) school governance is a shared responsibility between the board and the superintendent, 2) board members and superintendents attempt to be responsive to their constituents, 3) the nature of the board-superintendent relations have changed over the last 10 years in the direction of greater board participation, especially in areas related to budget and construction, and 4) there are unique situational variables present in many New Hampshire communities that influence board-superintendent relations.

A paper presented by Hansen and Hathaway at the American Educational Research Association discussed a case study of the Portland, Oregon, public schools during 1987-1988.¹⁸⁶ This study examined evaluation policy and how it was determined, and attempted to develop a theory on the way evaluation and policy interact in a large school district. The findings showed that the superintendent

185. Ibid., Abstract.

186. Joe Hansen, and Walter Hathaway, Setting the Evaluation Agenda: The Policy-Practice Cycle, Paper presented at the annual meeting of the American Educational Research Association in New Orleans, Louisiana, April 5-9, 1988).

clearly delineated between policy and "the pragmatics of the situation."¹⁸⁷ The superintendent felt that a good superintendent knew the values and mores of his community, and stressed the need for a good relationship with the board of education. He felt that even though policy does not vest power in an individual board member, pragmatically that was not true. He also implied that mutual trust and confidence in working with individual board members were key to total good board relations.¹⁸⁸ He and the board members both viewed policy and practice as being separated by pragmatic considerations.¹⁸⁹

In a study by Beiler the purpose was to examine whether specifically identified effective school board behaviors were present significantly more often in effective school boards than in randomly selected school boards.¹⁹⁰ Ten of each of the two types of board were chosen and all board members and superintendents were asked to respond to questionnaires. The questionnaire was field tested in two pilot systems and then divided into three sub-sections -- demographics, policy and behaviors. A T-test was used to show significance at the .05 level.

187. Ibid., p. 12.

188. Ibid., p. 13.

189. Ibid., p. 16.

190. Anita Beiler, "Effectiveness of Pennsylvania School Boards, As Perceived by Board Members and Superintendents", Dissertation Abstracts International, 49 (1988), 1628 (Lehigh University).

This study, among other things, found no significant difference in the perceptions of performance between effective board members and randomly selected board members with respect to their policy-making function. There was a significant difference, among other things, between effective boards and randomly selected boards with respect to their relationships with their superintendent.

A dissertation study by Lacefield examined the relationship between perceptions of board members' involvement in policy-formulation and policy-implementation relative to selected tasks and seven independent variables.¹⁹¹ The independent variables were district size, board member tenure, superintendent tenure, board member gender, school district type, district wealth, and district test scores. All school board members in Kentucky were polled with an inventory; there was a 63% return rate.

The general findings were that board members' perceptions of their involvement in policy-formulation and policy-implementation were influenced by district size, board member tenure, district type, and district test scores. Board member gender, superintendent tenure,

191. William Lacefield, "Kentucky School Board Members' Perceived Involvement in Policy-Formulation and Policy-Implementation Relative to Selected Tasks," Dissertation Abstracts International 49 (1988), 1646 (University of Kentucky).

and school district wealth seem not to have influenced board members' perceptions of their involvement.

Suggestions from the study were:

Superintendents should realize that board members occasionally perceive their policy roles differently.

Writers of educational administration theory and practice should address these factors concerning superintendent/board relationships.¹⁹²

A dissertation study by Tallerico proposed that there was actually very little known about the superintendent/board relationship.¹⁹³ Her purpose was to examine and describe how superintendents and boards function within and/or around the tension of the relationship and to uncover what shapes behavior. It was an exploratory field study using qualitative methodology and naturalistic inquiry procedures. Interviews were conducted in six public school districts in the greater Phoenix metropolitan area.

Patterns of behavior emerged among both groups. Board member behavior ranged from "passive acquiescence" to "proactive supportiveness" to "restive vigilance."¹⁹⁴ Superintendent behavior ranged from less to more controlling. Acquiescent and supportive board member behaviors were more often associated with less controlling

192. Ibid., Abstract.

193. Marilyn Tallerico, "The Dynamics of Superintendent-School Board Relationships," Dissertation Abstracts International, 49 (1988), 1029 (Arizona State University).

194. Ibid., Abstract.

superintendent behaviors; restive vigilance was more likely to be found with more controlling superintendents. Also, female board members more often showed restive vigilant behaviors than did the male board members. The dynamics affecting behavioral choices seemed related to 1) individuals' conceptualization of school governance, 2) interpretation of their and the superintendent's role, and 3) personal values.

In an article by Trotter and Downey, they contended that superintendents felt that board members "meddled" too much.¹⁹⁵ Their article supported the premise that board members refuse to honor the separation between governance and management, policy and administration.

A dissertation study by Fairbairn examined the variable of the gender of the superintendent in his or her relations with school board members.¹⁹⁶ A national survey was conducted of superintendents and board presidents with six questions being asked. Three of those questions dealt with the perceptions of who was responsible for administrative and policy functions in their district.

195. Andrew Trotter, and Gregg Downey, "Many Superintendents Privately Contend School Board 'Meddling' Is More Like It," American School Board Journal, 176, No. 6 (1989), pp. 21-25.

196. Laile Fairbairn, "A Survey of Board of Education/Superintendent Relationships: Does Sex of the Superintendent Make a Difference?," Dissertation Abstracts International, 50 (1989), 1864 (Hofstra University).

Among the findings, she stated:

While the sex of the superintendent had little bearing on the perceptions of whether the board or superintendent was more responsible for administration and policy, there were significant differences in the perceptions of board presidents and superintendents in general concerning the division of these responsibilities.¹⁹⁷

We can see certain trends in the review of the literature. Debate continues over the appropriateness of the traditional model which absolutely separates policy from administration and those who would say that it is a shared process. We see that the increase in dissertation research over the last 10 years has been significant, and that many of the studies are survey and/or interview type, qualitative designs.

The position of this researcher, and that of James Svara, from whom the model of dichotomy is based, is that the policy process is one shared by administrators and ruling board members. Chapter three will elaborate on the Svara model, the policy process cycle as explained by Ripley and Franklin, and the methodology for this study.

197. Ibid., Abstract.

CHAPTER THREE

METHODOLOGY

The Policy Process

The ideal policy process is a continuous cycle. During that cycle there are opportunities for examination and modification. To provide a framework for examination of this study, this section will outline the policy process as defined by Ripley and Franklin in their book, Congress, the Bureaucracy, and Public Policy.¹ The three main stages of the policy process are agenda-setting, policy and program formulation and legitimation, and program implementation. Each of these stages leads, respectively, to policy products which are agenda of the government, policy statements, and policy actions. A graphic depiction of this process is seen in Figure 3-1.

In the first stage--agenda setting--"a problem exists...and through various means it comes to the attention of the government actors, who perceive it to be an issue that should be addressed."² In the educational

1. Randall Ripley and Grace Franklin, Congress, the Bureaucracy, and Public Policy, (Homewood, IL: The Dorsey Press, 1984).

2. Ibid., p. 2.

THE POLICY PROCESS

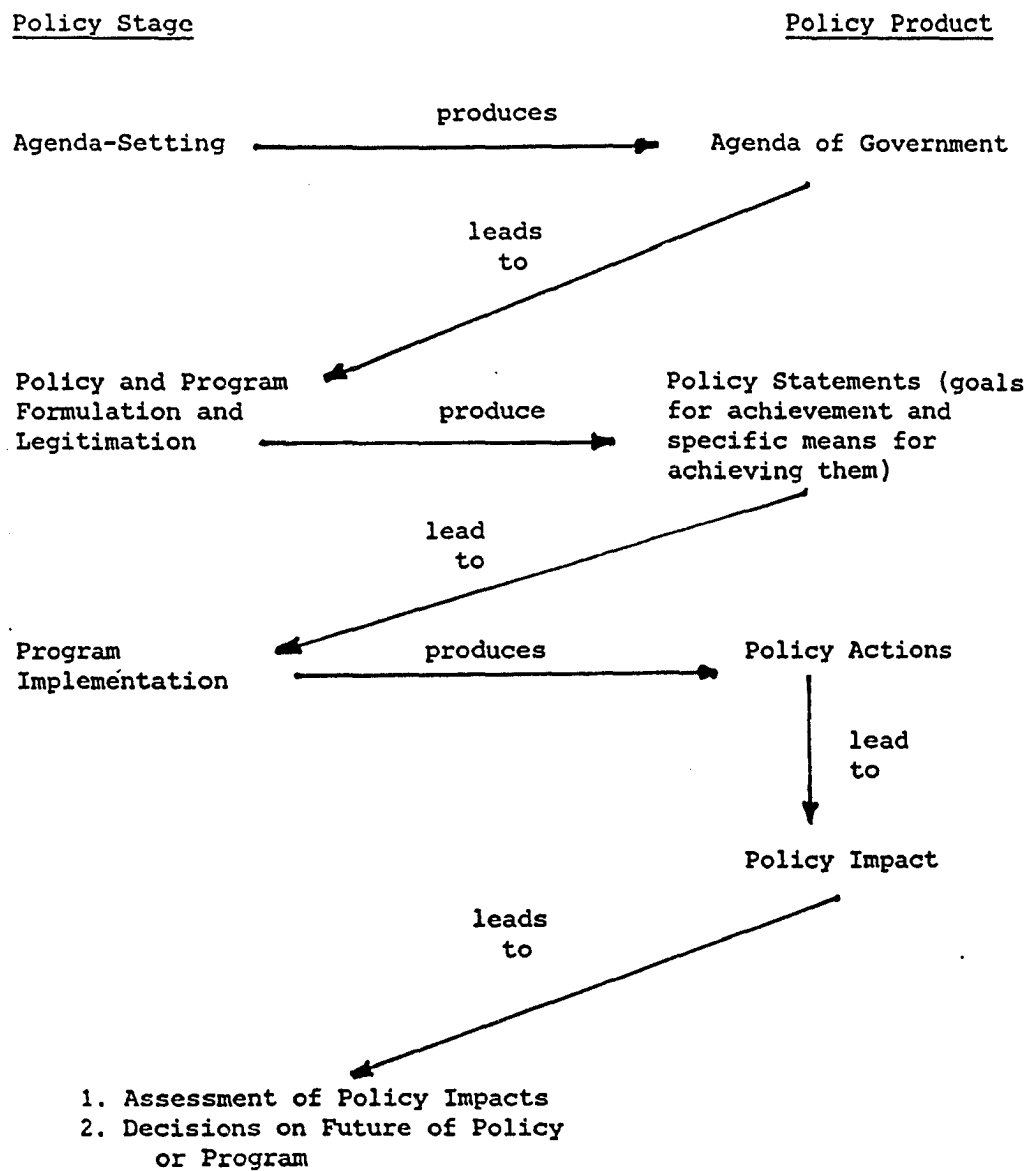


FIGURE 3.1

Reproduced from Randall E. Ripley, and Grace A. Franklin, Congress, the Bureaucracy, and Public Policy, (Homewood, IL: The Dorsey Press, 1984), p. 2.

setting, those actors could be the superintendent, a board member, concerned citizens, administrative staff, teachers, or even school bus drivers. All problems which need attention represent the agenda for the school system.

The acknowledgement and acceptance of an agenda item leads to the process of formulation and legitimation. At this stage actors examine alternatives and plan a course of action. In education this is most often carried out between members of the board of education and the superintendent. There is often considerable negotiation and compromise at this stage. Once agreed upon, the process then moves toward the drafting of policy statements. The statements are often written and adopted as school board policies. In many policy cases, additional detail is written, most often by the administrative staff, which includes the goals and means for achieving the policy. These are generally referred to as administrative regulation or code. The policy and regulations together now provide a framework for the implementation of the program. This implementation is carried out by responsible individuals and departments in the school system. These people or departments must "acquire resources, interpret the policy and regulations, ... train staff, and deliver services to carry out the purposes..."³

3. Ibid., p. 3.

Implementation leads to an impact of policy in the school system. This impact can be felt directly by the consumers--the students, or perhaps more indirectly by the community. The impact can be positive, negative, or completely unexpected or unintended. The results of the impact lead to assessment by the public, the school board members, and the superintendent and staff. These assessments result in decisions about the future of the policy or program, which can in turn lead to new agenda setting.⁴

Ripley and Franklin are quick to point out, however, that this is a simplified explanation of the policy process. For the purposes of this study, however, their model will serve to provide the necessary framework.

Actors and Influential Factors in the Policy Process

An examination of the primary actors in the policy process would direct us to the members of the board of education and the superintendent. Considerable forces are exerted on these actors. The school board members are generally seen as providing the link to the community and the educational consumers. But, because they are elected

4. Please note that Ripley and Franklin refer to Charles Jones for a much more elaborate explanation of the policy process.

officials, they are often responsive to many interest groups. Some of these forces are represented by municipal or county government leadership, county commissioners or city aldermen, the county or city budget managers, the constituency which elected them, business and industry, the superintendent, teachers, principals, parents, and concerned citizens. Although a board of education is empowered only when acting as a full board of education, these forces are generally and most effectively brought to bear on individual board members.

The same forces, including the members of the school board, exert pressure and influence on the superintendent. This relationship is seen as Figure 3.2.

ACTORS AND INFLUENTIAL FORCES WHICH EXERT
PRESSURE ON BOARD MEMBERS AND SUPERINTENDENTS

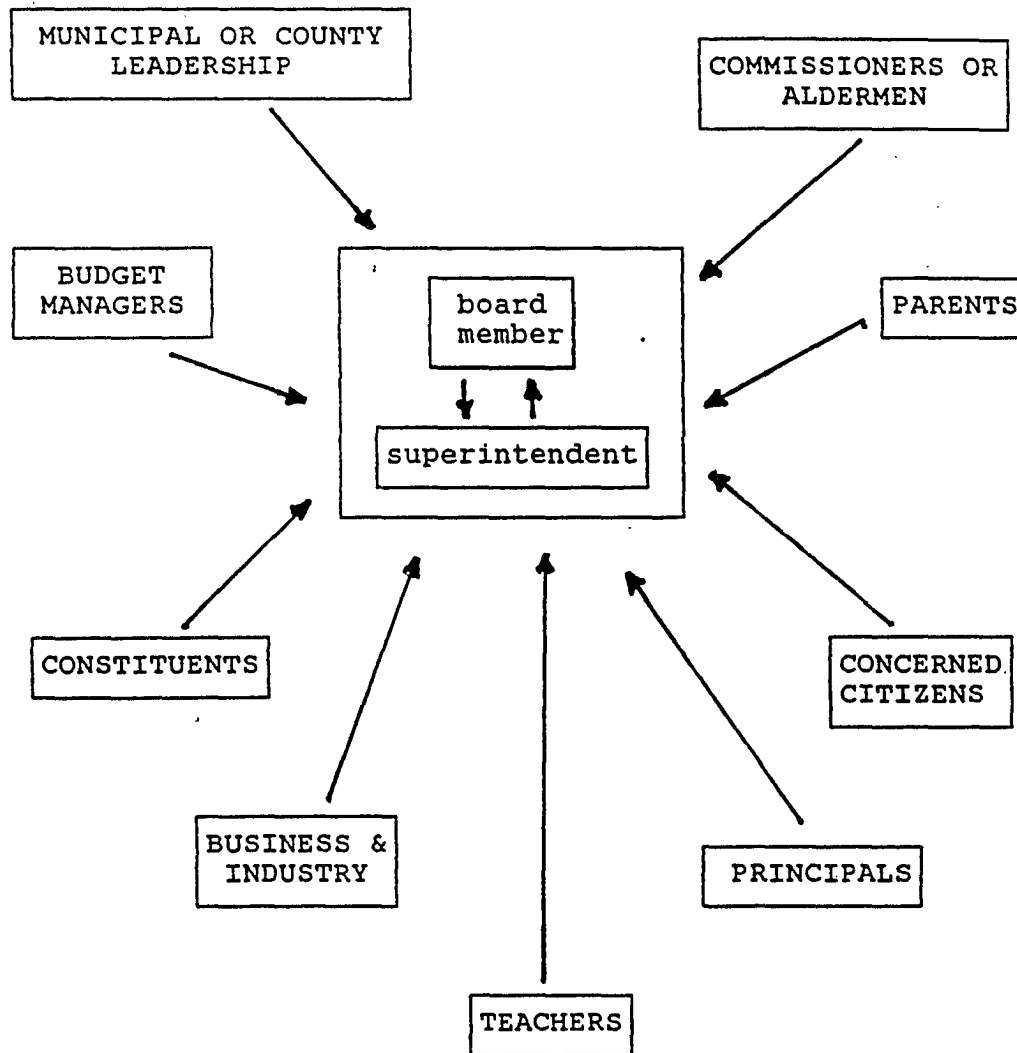


FIGURE 3.2

The Dichotomy Model

Current school board manuals, descriptions of board member tasks, and job descriptions of superintendents repeatedly list the board as the developer and writer of policy and the superintendent as the administrator who carries out that policy. One large North Carolina school system's policy on school board powers and duties cites its first itemized duty as enacting policy.⁵ The job description of the superintendent lists a responsibility to "advise the Board on the need for new and/or revised policies and see that policies of the board are implemented."⁶ A policy on board-superintendent relations reads as follows:

The Board believes that the legislation of policies is the most important function of a school board, and that the execution of the policies is the function of the Superintendent.

Delegation by the Board of its executive powers to the Superintendent provides freedom for the superintendent to manage the schools within the Board's policies, and frees the Board to devote its time to policy making and appraisal functions.

The Board holds the Superintendent responsible for carrying out its policies within the established policy framework and for keeping the board informed about school operations.⁷

5. Wake County Public School System Policy #1100, Adopted May 24, 1976.

6. Wake County Public School System Policy #2150, Adopted October 11, 1976.

7. Wake County Public School System Policy #1040, Adopted May 24, 1976.

Another policy states "an important function of the Board is to adopt written policies or general principles to govern the discretionary action of those to whom it delegates authority",⁸ and "adopting new policies and amending existing policies is the function of the board."⁹

A dichotomous model based on the separation of policy and administration would be seen as Figure 3.3. This figure represents the pure, ideal and seldom practiced separation of policy and administration. The area above the dark line represents the area of responsibility of the school board, and the area below the dark line depicts the area of responsibility of the superintendent and his or her administration.

However, in the real world of school system administration it is hardly ever this clean a delineation. Let's reexamine the language of the policies. Note that in the job description of the superintendent it states, "advise the board on the need for new and/or revised policies."¹⁰ This would suggest that the superintendent

8. Wake County Public School System Policy #1510, Adopted May 24, 1976.

9. Wake County Public School System Policy #1511, Adopted May 24, 1976.

10. Op Cit., Policy 2150.

POLICY-ADMINISTRATION DICHOTOMY

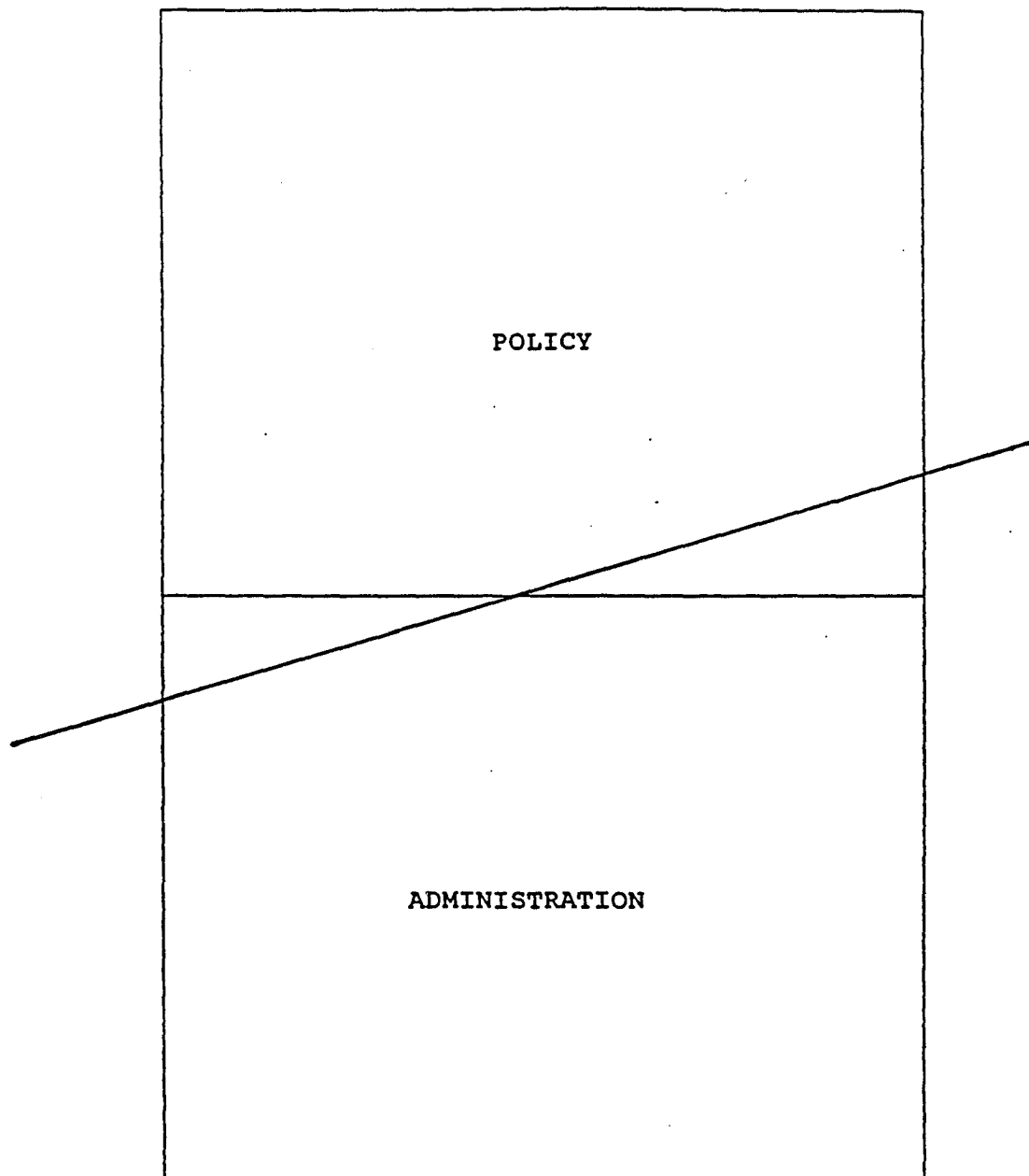


FIGURE 3.3

Reproduced from James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities", Public Administration Review, 45, No. 1, (1985).

is to be involved in the policy agenda-setting process of the board of education--a mix of the administration becoming involved in the policy area of the school board. Policy 1512 supports this mix also when it states, "the Superintendent shall report to the Board from time to time on the policies in operation and shall propose such changes as s/he deems necessary."¹¹ Yet another policy states that "the board shall periodically review its policies system."¹²

The mixture suggested by these policies would portray a superintendent who moves up into the policy area of the board, yet shows little movement of the board down into the administrative area of the superintendent. This could best be represented by Figure 3.4. Because administrators hold so much of the information and resources, it is understandable how they can more easily mix into the policy area. In fact the language of the board policies cited as examples recognizes this mix and calls for it.¹³

11. Wake County Public School System Policy #1512, Adopted May 24, 1976.

12. Wake County Public School System Policy #1516, Adopted May 4, 1981.

13. Since policy examples for this study were simply for illustrative purposes, no other system policies were examined. One interesting examination of the mixture could be considered for further study if one were to examine relevant policies from many systems in a given state or of like size and characteristics.

SUPERINTENDENT MIXTURE IN POLICY

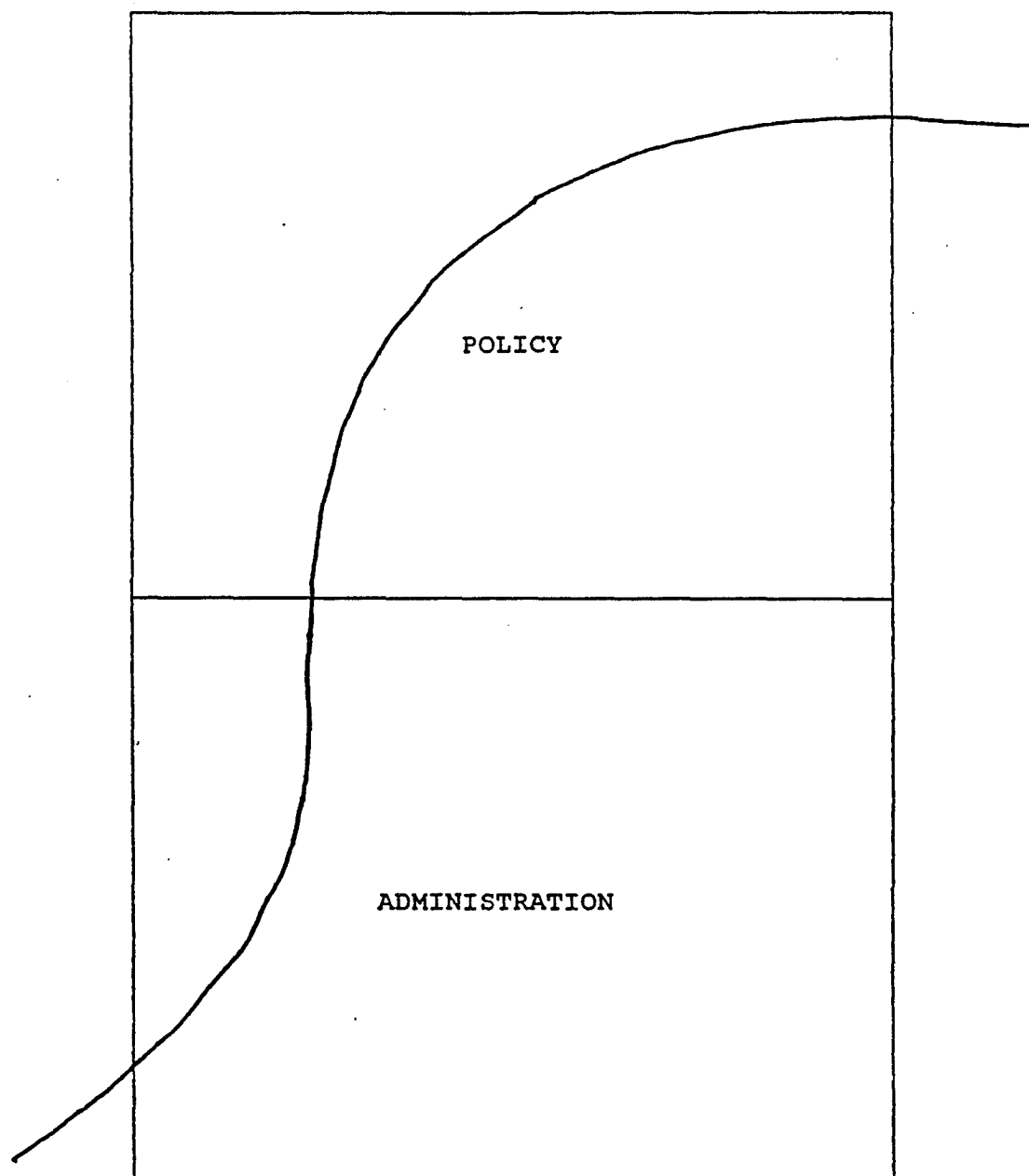


FIGURE 3.4

Reproduced from James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities", Public Administration Review, 45, No. 1, (1985).

The converse of the policy mixture model would be the administration mixture model, where board incursion into administration would be high. Although the language of the sample policies does not describe or allow for this, we can all recognize situations where this might occur. Board members may become involved in hiring decisions or become overly involved in facility and construction matters. This board member involvement into administration would be depicted as Figure 3.5. The location of the line in the administration domain represents a board which generally operates in the administration area. The varying dips of the line would suggest specific policy areas where the board probes much deeper into administrative matters. This representation contrasts the smoother line of the policy-mixture model of Figure 3.4. In Figure 3.4 the superintendent is more regularly and steadily involved in the policy area of the school board.

A fourth dichotomous model would be one which portrays the board and superintendent as co-equals in the policy area. This was suggested in the literature by Schmidt and Voss and referred to as the harmony model of educational governance.¹⁴ The harmony model recognized

14. Paul Schmidt and Fred Voss, "Schoolboards and Superintendents: Modernizing the Model," Teachers College Record, 77, No. 4. (1976).

BOARD MIXTURE IN ADMINISTRATION

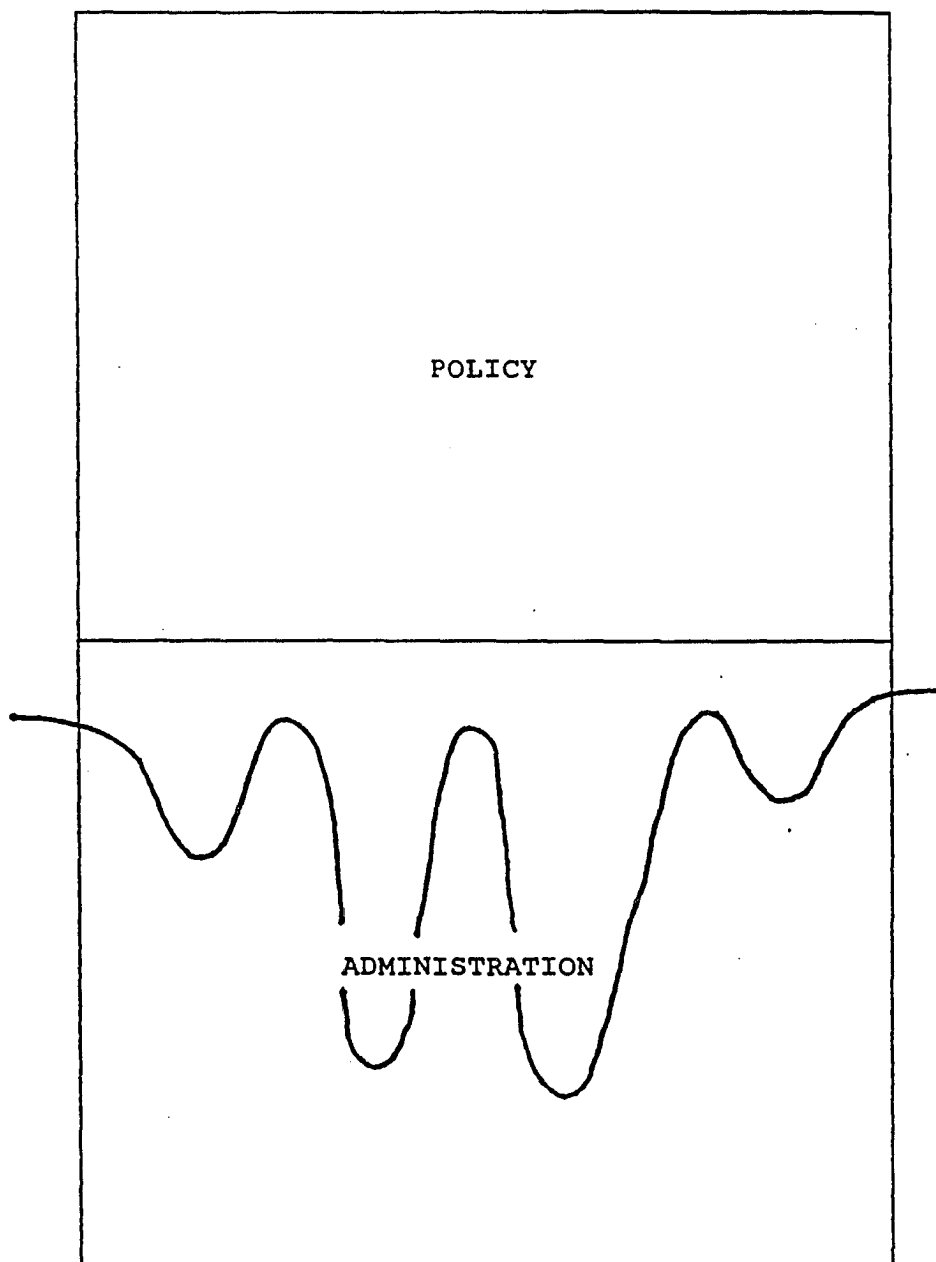


FIGURE 3.5

Reproduced from James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities", Public Administration Review, 45, No. 1, (1985).

that "policy-setting is a prerogative of school boards,...it is always recommended that policy origination and preparation rest with the professional staff."¹⁵ This harmonic, co-equal model is depicted as Figure 3.6. The administrative action is consistently in the policy arena, yet the dips and rises in the line represent the give and take of the superintendent and board members over specific policy areas.

None of these models can singularly represent the dichotomous relationship between boards of education and the superintendent in a school district. It is evident that the variables such as board member tenure, superintendent tenure, community demographics and socio-economic patterns are just some of the factors which impact on where the line of separation falls. It is also conceivable that graphic representation could vary greatly within one system over different policy issues. A personnel issue might show a heavy administration-mixture model, whereas a policy on the evaluation instrument for teachers might show a strong policy-mixture model. Not coincidentally, this dichotomous relationship also depicts the administrator acting in a much more political manner. This is a result of the changing role of the superintendent and the increasing politicization of that role.¹⁶

15. Ibid., p. 518.

16. For more on the political nature of the role of the superintendent, see articles by Boyd (1974), Hentges, Marland, and dissertations by Jon Johnson and Knapke.

BOARD AND SUPERINTENDENT AS CO-EQUALS

11

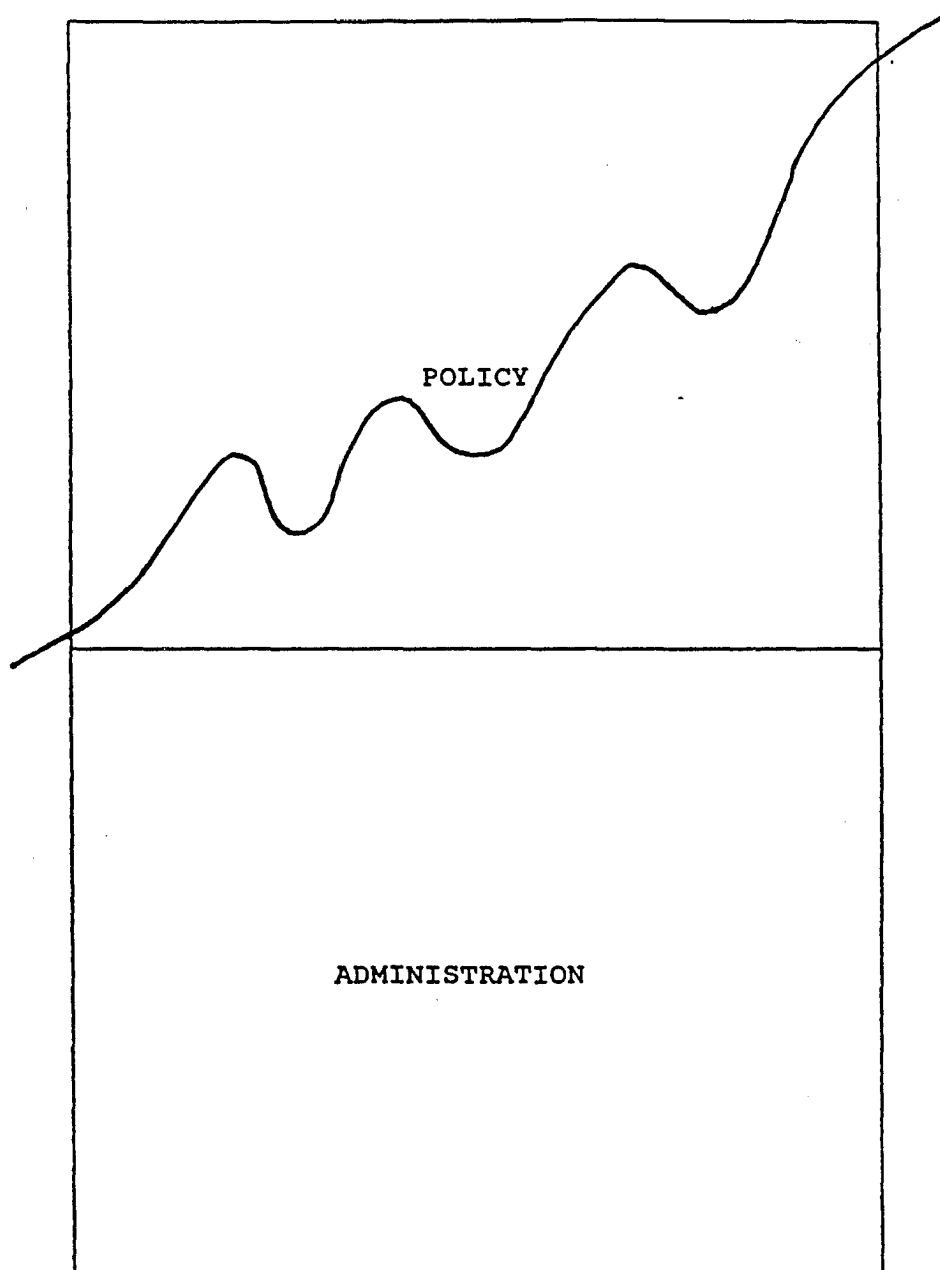


FIGURE 3.6

Reproduced from James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities", Public Administration Review, 45, No. 1, (1985).

All four of these models can be understood in isolation or when applied, perhaps, to singular policy issues. In fact, the graphic representation of the interaction between board and administrators is constantly changing. At any time variations of any of these four models could represent the state of relationship.

Dichotomy-Duality Model

Can a model be conceived which attempts to take into account these constant variations? The Dichotomy-Duality model developed by James Svara does.¹⁷ As Svara describes:

The first task in elaborating the new model is to consider the nature of policy and administration. They are intertwined yet can also be viewed as linked to more general elements in the governmental process which are distinct. Deciding what to do entails mission and detailed policy, on the one hand, and getting the work done involves administration and management, on the other. Whereas the responsibility for the "extreme" functions of mission and management is largely dichotomized, responsibility for policy and administration is shared and the activities themselves are difficult to separate.

The four components of this model, then, are mission, policy, administration, and management.

17. James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities," Public Administration Review, 45, No. 1, (1985).

18. Ibid., p. 224.

Mission

"Mission refers to the organization's philosophy, its thrust, the broad goals it sets for itself, and the things it chooses not to do."¹⁹ Mission is the broadest perspective from which board members operate and a school system is driven. In school systems, examples could be identifying problems and analyzing future trends, deciding to undertake new programs or eliminate old ones, developing strategies for the future development of the school system, changing educational programs, revising long range goals and directions, or determining the purpose and scope of the school system.

The normative pattern is that elected officials have the responsibility for determining the mission of the school system. Superintendents and administrators are often involved in determining the mission of the school system, but it can vary significantly within a given system based on issue, or between school systems based on board-superintendent philosophy and relations.

Policy

"Policy refers to middle-range policy decisions, e.g., how to spend government revenues, whether to initiate new programs or create new positions, and how to distribute

19. Ibid., p. 224.

20. Ibid., p. 225.

services at what levels within the existing range of services provided. Interaction is common in policy, as administrators give advice and make recommendations to elected officials."²¹ Examples of policy might be developing annual program goals and objectives; determining formula for allocating resources; formulating the proposed budget, its review and approval; deciding to participate in federal grant programs; or initiating or cancelling programs.

As cited earlier through examples of one school system's policies, this is often a shared domain. For example, perhaps a local teacher's organization brought attention to the members of the board of education that there was no policy governing teacher transfers from one school to another. The board of education then directs the administration to draft a policy for its review and ratification. The board, then, has been dominant in the creation of this policy.

But perhaps four years later the administration believes that the transfer policy needs modification and brings its revisions back to the board of education. Here the administration has initiated policy action which is concluded by the board's acceptance or rejection of the proposed revisions. This example serves to illustrate what is involved in policy and how the roles of the board and administration can overlap when dealing with policy.

21. Ibid., p. 225.

Administration

"Administration refers to the specific decisions, regulations, and practices employed to achieve policy objectives...Administration is largely the domain of the bureaucracy."²² Examples of administration could be specific decisions concerning planning and construction; delivering services to educational consumers; specific decisions about allocating services; investigating citizen complaints; developing operating procedures for specific programs; or making specific decisions that are part of the larger projects, e.g., site selection for a facility or curriculum decisions.

There can also be overlap here between the actors in the policy process. For example, during the administration of student transfers in the spring of a school year the board of education may be heavily involved through individual appeal hearings. The policy may have this appeal process written into it. Depending on the nature of the appeals, the board may become more directive in the administration of the student transfer decisions.. It may, in fact, change the administration of the policy by modifying rules and regulations for the policy, or by making changes in who administers the policy.

Some legislation and some policies do require board involvement and action. When a board member becomes

22. Ibid., p. 226.

involved in a citizen complaint, he or she is becoming involved in administration. And in an example such as class size compliance, where certain classes in schools are over the state's legal class size limit, the board in its oversight role becomes involved in the resolution of this problem. Again, board involvement in administration can be issue specific, or systemic.

Management

"Management refers to the action taken to support the policy and administrative functions. It includes controlling and utilizing the human, material, and informational resources of the organization to best advantage."²³ Examples of management areas would be hiring decisions about staff; routine contracting and purchasing; assessing organizational performance; proposing changes in management practices or organization; determining wages and benefits for employees; or handling complaints from employees.

While the board of education may assess management style or suggest management changes, it rarely should be involved in the day to day management decisions of the superintendent or staff. It can pass on its concerns in this area through its evaluation of the superintendent.

23. Ibid., p. 227.

James Svara proposed the Dichotomy-Duality model as seen in Figure 3.7.²⁴ Whereas the models previously shown in Figures 3.3 through 3.6 showed a division between policy and administration, Svara includes mission in the board half of the model and management in the superintendent half of the model. The addition of mission provides a domain which can be most exclusively the area within which the board of education operates. Likewise, the addition of management can become the domain within which the superintendent and his or her staff predominantly operate. The model, then, would suggest downward flow in the policy process--from mission, through policy and administration, to management.

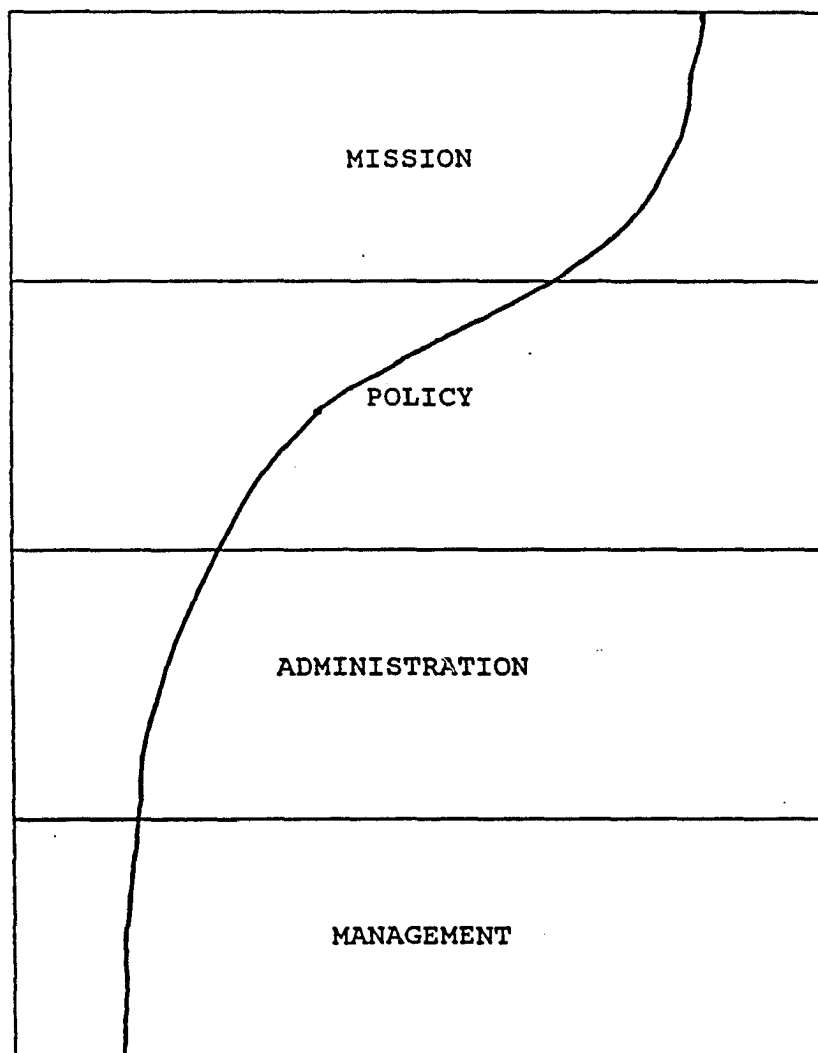
The curved line through the four domains represents the boundary between the board of education's sphere of influence and the superintendent's sphere of influence. The drawing of this line proposes what the "proper degree of separation and sharing" would be.²⁵ The board's greatest activity would be in mission, a mix in policy, a reduction in administration, and practically no activity in management. The superintendent, on the other hand, would

24. While James Svara's original model was based on data gathered from cities and represented the spheres of city councils and city managers, the researcher has substituted boards of education for city councils and superintendents for city managers. This is not a new comparison, as cited in the research by Zeigler (1983), and Zeigler, Kehoe, and Reisman (1985).

25. Op. Cit., p. 228.

DICHOTOMY-DUALITY MODEL
 Mission-Management Separation with Shared
 Responsibility for Policy and Administration

Board's Sphere



Superintendent's Sphere

FIGURE 3.7

Reproduced from James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities", Public Administration Review, 45, No. 1, (1985).

show little activity in mission, the same mix in policy as the board, greater activity in administration, and most involvement in management. It is understood that the superintendent's sphere of influence is represented by the superintendent and his or her staff.

James Svara was able to abstract four variations from the standard model. These four variations are seen as Figure 3.8. In Figure 3.8.a the strong superintendent's entire sphere of influence moves to the left of the "proper" line of division. The board of education becomes more of a legitimizing body and the superintendent has much greater latitude in mission, policy, administration, and management.

Figure 3.8.b depicts a board-dominant pattern, where the board of education's sphere of influence moves to the right of the "proper" line of division. Here the superintendent has less influence in all areas and the board of education has greater influence and involvement.

Figure 3.8.c represents board incursion. In this pattern the board often probes on selected issues but is not consistent in its involvement. The actions of the board are often unpredictable and could vary greatly from board member to board member or issue to issue. For example, they might be heavily involved in the administration of student assignments as a result of redistricting, but show little interest in the management of teacher transfers.

VARIATIONS TO THE DICHOTOMY-DUALITY MODEL

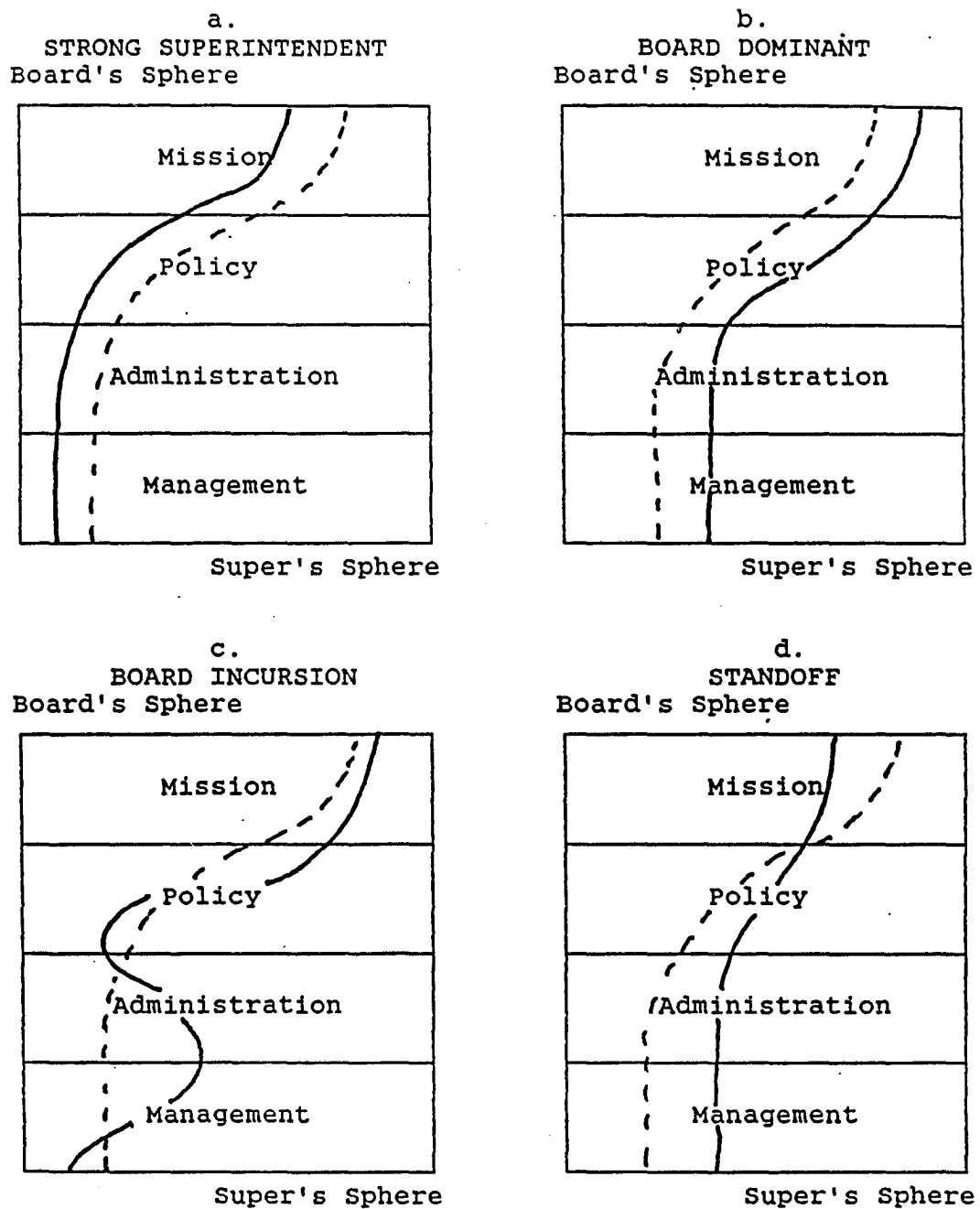


FIGURE 3.8

Reproduced from James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities", Public Administration Review, 45, No. 1, (1985).

And finally, Figure 3.8.d represents a stand-off. In this scenario, both superintendent and board of education are assertive and often unyielding. (In the extreme, since school boards employ and dismiss superintendents, this pattern usually will not last.)

The dichotomy-duality model of James Svara does suggest some conclusions with which the researcher concurs. First, the model can provide a framework for behavior for all actors in the policy process. It roughly charts the degree of involvement based on who is involved and at what stage they are operating in the policy process.

Second, the model suggests that shared involvement in policy and administration is reasonable, and in fact likely.²⁶ To expect a clear division between policy and administration is unrealistic and too rigid an expectation; practice suggests that this will not occur. And finally, further research across any one domain, across multiple issues in one city or school system, or on the same issue across different school systems would be enlightening and provide additional evidence for the model.

Svara summarizes best by stating:

The dichotomy of mission and management with shared responsibility for policy and administration provides, therefore, not only for the division of responsibility that makes best use of the distinctive talents and resources of councilors and administrators but also ensures that the conditions

26. This is in direct contrast to the view expressed by Peter Relic in his "Boards That Try to Administer School Policy Are Courting Complete Chaos." in the American School Board Journal.

for democratic government are preserved.²⁷

Study Design

Readings by the researcher in the area of political science led to a comparison question between data collected on the council/city manager relationship and the school board/superintendent relationship. In particular, research by James Svara examined data collected from city managers, staff, and council members in six matched metropolitan areas in four states. A preliminary review of the literature showed little study of the board/superintendent relationship relative to the policy process cycle. Since some data had been collected in the research by Loveridge and by Svara, rather than start from ground zero on the board superintendent relationship, it was decided to build upon some of the methodology and instrument already used by the previous researchers.

The study design used a one-shot survey approach and answered specific questions posed by the researcher. The greatest limitation to a one-shot survey design, according to Campbell and Stanley²⁸, is selection as a threat to internal validity. Since selection concerns

27. James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities," Public Administration Review, 45, No. 1, (1985), p. 231.

28. Donald T. Campbell, and Julian C. Stanley, "Experimental and Quasi-Experimental Designs for Research". In Handbook of Research on Teaching. Ed. N. L. Gage. (Chicago, Ill.: Rand McNally and Co., 1963), p. 8.

the nature and size of the sample, this bias was controlled for by selecting all superintendents in North Carolina to receive the survey. There were originally 134 superintendents in North Carolina who were mailed the survey. The first mailing was sent in the middle of May. This time was chosen in order to come after the budget development process, before summer vacation, and during the end-of-year, winding down period. After a second reminder was mailed two weeks after the first mail-out, a total of 99 usable surveys were returned, or 74%.

The two factors affecting design validity were the interaction effects of selection biases and the experimental variable--the survey instrument. An initial mailing to 134 superintendents on May 12 produced a return of 77 surveys, or 57%. A post card reminder was mailed on June 5 and prompted an additional 22 responses, the last of which arrived on July 29. Was there a difference between the 77 first time respondents and the 22 superintendents who needed to be reminded. In visually comparing the means of the demographic variables of years employed in the system, years as a superintendent in the system, time remaining on the superintendent's contract, total years as a superintendent, age, and number of board members, as seen in Tables 3.1 and 3.2, there appears not to be a noteworthy difference.

FIRST RESPONSE SURVEYS
AVERAGES

125

YRS WORKED IN SYS -----	YRS SUP IN SYS -----	TIME ON CONTRACT -----	TOTAL YRS AS SUP -----	AGE -----	# ON BOARD -----
3.00	3.00	1.00	3.00	47.00	6.00
					5.00
2.00	2.00	2.00	11.00	58.00	11.00
8.00	8.00	2.00	8.00	52.00	5.00
23.00	1.00	3.00	1.00	50.00	5.00
20.00	10.00	2.00	10.00	60.00	9.00
1.00	1.00	3.00	1.00	42.00	7.00
5.00	5.00	3.00	10.00	42.00	7.00
2.00	2.00	4.00	2.00	42.00	5.00
2.00	2.00	2.00	7 1/2	39.00	5.00
7.00	7.00	1.00	12.00	44.00	7.00
15.00	4.00	4.00	4.00	40.00	7.00
2.00	2.00	4.00	2.00	53.00	5.00
14.00	14.00	4.00	14.00	52.00	7.00
14.00	8.00	4.00	8.00	35.00	5.00
35.00	2.50	2.00	2.50	59.00	5.00
4.50	2.00	2.00	2.00	59.00	5.00
14.00	11.00	2.00	11.00	47.00	5.00
1.00	1.00	3.00	13.00	49.00	5.00
1.00	1.00	3.00	1.00	44.00	6.00
28.00	8.00	4.00	8.00	50.00	6.00
0.12	0.12	3.80	1.25	65.00	5.00
23.00	0.08	0.00	0.00	50.00	5.00
34.00	6.00	4.00	6.00	57.00	7.00
21.00	21.00	4.00	21.00	59.00	7.00
28.00	26.00	0.12	26.00	60.00	7.00
8.50	3.00	3.00	3.00	44.00	5.00
34.00	12.00	0.12	12.00	58.00	5.00
8.00	8.00	2.00	20.00	53.00	9.00
4.00	4.00	4.00	4.00	38.00	7.00
4.00	4.00	2.00	6.00	48.00	5.00
3.00	3.00	1.00	3.00	53.00	7.00
0.12	0.12	4.00	0.12	42.00	7.00
25.00	5.00	4.00	5.00	52.00	7.00
3.00	3.00	1.00	3.00	39.00	5.00
7.00	7.00	1.00	7.00	53.00	7.00
20.00	18.00	4.00	18.00	50.00	5.00
8.00	8.00	4.00	8.00	51.00	7.00
9.00	9.00	3.00	9.00	55.00	5.00
18.00	18.00	2.00	19.00	64.00	5.00
7.00	3.00	1.00	3.00	41.00	5.00
12.00	12.00	2.00	25.00	63.00	7.00
18.00	3.00	1.00	3.00	40.00	7.00
30.00	10.00	4.00	10.00	54.00	5.00
26.00	26.00	0.00	26.00	69.00	5.00
4.00	4.00	2.00	4.00	54.00	7.00
23.00	2.00	2.00	2.00	46.00	9.00

TABLE 3.1

FIRST RESPONSE SURVEYS
AVERAGES

126

	YRS WORKED IN SYS	YRS SUP IN SYS	TIME ON CONTRACT	TOTAL YRS AS SUP	AGE	# ON BOARD
	-----	-----	-----	-----	-----	-----
	18.00	18.00	4.00	18.00	53.00	7.00
	22.00	14.00	2.00	14.00	63.00	7.00
	21.00	3.00	3.00	3.00	42.00	6.00
	35.00	17.00	2.00	17.00	60.00	7.00
	18.00	6.00	2.00	6.00	41.00	7.00
	30.00	20.00	2.00	20.00	58.00	7.00
	1.00	1.00	3.00	10.00	42.00	7.00
	5.00	5.00	3.00	20.00	55.00	5.00
	1.00	1.00	1.00	1.00	50.00	5.00
	7.00	7.00	3.00	7.00	44.00	5.00
	7.00	7.00	1.40	17.00	48.00	12.00
	6.00	6.00	2.00	6.00	46.00	7.00
	27.00	8.00	2.00	8.00	49.00	5.00
	6.00	6.00	2.00	16.00	52.00	5.00
	1.00	1.00	3.00	1.00	39.00	5.00
	1.00	1.00	3.00	7.00	43.00	9.00
	5.50	5.50	0.50	5.50	54.00	6.00
	--	--	--	--	--	--
	8.00	8.00	2.00	18.00	55.00	8.00
	8.00	8.00	2.00	11.00	52.00	5.00
	14.00	14.00	4.00	14.00	57.00	5.00
	12.00	12.00	0.00	14.00	59.00	5.00
	4.00	4.00	4.00	4.00	41.00	5.00
	11.00	11.00	1.00	11.00	42.00	5.00
	13.00	13.00	0.00	18.00	53.00	7.00
	30.00	20.00	0.00	20.00	53.00	5.00
	28.00	5.00	0.00	5.00	55.00	9.00
	4.00	4.00	4.00	8.00	43.00	9.00
	12.00	12.00	2.00	12.00	54.00	5.00
	4.00	4.00	1.00	11.00	51.00	5.00
	2.00	2.00	2.00	2.00	42.00	7.00
	7.00	7.00	1.00	7.00	44.00	7.00
	10.00	8.00	4.00	21.00	51.00	9.00
	=====	=====	=====	=====	=====	=====
Average:	12.12	7.19	2.28	9.12	49.53	6.23
Count:	79					

TABLE 3.1

POST CARD RESPONSE SURVEYS
DEMOGRAPHIC AVERAGES

127

	YRS WORKED IN SYS	YRS SUP IN SYS	TIME ON CONTRACT	TOTAL YRS AS SUP	AGE	# ON BOARD
	-----	-----	-----	-----	-----	-----
	35.00	1.00	3.00	1.00	60.00	5.00
	19.00	3.00	1.00	3.00	44.00	5.00
	10.00	2.00	4.00	8.00	50.00	7.00
	17.00	1.00	3.00	1.00	42.00	7.00
	24.00	22.00	2.00	22.00	57.00	5.00
	3.00	3.00	1.00	3.00	42.00	5.00
	15.00	7.00	2.00	8.00	59.00	9.00
	39.00	19.00	4.00	19.00	62.00	7.00
	17.00	17.00	4.00	17.00	49.00	7.00
	2.00	2.00	2.00	8.00	45.00	9.00
	20.00	2.00	4.00	2.00	48.00	8.00
	12.00	12.00	2.00	12.00	52.00	5.00
	0.33	0.33	4.00	11.00	43.00	9.00
	22.00	2.00	2.00	2.00	46.00	6.00
	12.00	12.00	4.00	12.00	58.00	6.00
	21.00	20.00	0.00	20.00	63.00	7.00
	2.00	2.00	2.00	2.00	54.00	5.00
	=====	=====	=====	=====	=====	=====
Average:	15.90	7.49	2.59	8.88	51.41	6.59
Count:	17					

TABLE 3.2

A logical interpretation of the two groups would also lead one to conclude that there were no real differences--some superintendents simply responded sooner than others.

When sampling a finite population, responses from less than 100% of the sample population do affect the validity of the results. However, once 74% of the surveys were returned, it was decided that a third mailing would yield few additional responses due to the time of year, as well as the realization that a large number of surveys are sent to superintendents every month. It was felt that if they had not responded with two mailings and a cover letter from the leaders of their two most significant organizations in the state, the researcher did not believe that they would respond to a third request.

The process of providing data for a survey could also have affected external validity. Completing information about their employers could cause some superintendents not to complete the survey at all, or to do so in a very guarded or positive way. In an effort to control for the possibility, the instructions on the survey guaranteed anonymity, and the instrument did not specifically ask for the name of the system or the superintendent. The survey instrument was coded in an obvious way on the top page, but it was explained that this was only for tabulation and reminder purposes.

An additional incentive was provided which promised to provide an executive summary to all respondents upon completion of the dissertation.

The Survey Instrument

The opinionnaire survey, seen as Appendix A, was based heavily on the survey instrument used by James Svara in his study of city managers and council members.²⁹ Svara had likewise modified an instrument used previously by Ronald O. Loveridge in his study of city managers in the San Francisco Bay area.³⁰ Both Loveridge and Svara coupled their survey with personal interviews, a luxury Loveridge had since he had grant-funded staff at his service and Svara was able to do since he chose a limited number of city units. Since the population for this study was determined to be all 134 superintendents in North Carolina, the interview was not possible.

After consulting with James Svara, the survey instrument was defined even more tightly than the one that he had used. Only a very few words were changed from the arena of city governance to that of educational governance.

29. James Svara, Policy and Administration: City Managers as Comprehensive Professional Leaders. Conference on the Study of City Management and the Council Manager Plan, University of Kansas, November, 1988.

30. Ronald O. Loveridge, City Managers in Legislative Politics, (Indianapolis, IN: Bobbs-Merrill, 1971).

For example, an involvement scale item on Svara's survey read, "Resolving Citizen Complaints"; it was changed on the educational survey to "Investigating Citizen Complaints." Similarly, another on the Svara survey stated "Hiring Decisions About Department Heads"; it was subsequently changed to "Hiring Decisions About Central Office Administrators." All changes in wording were made at the suggestion or approval of James Svara.

Part I of the survey was built upon a division of the Educational Governance Functions and Activities into four sub-groups--one each representing mission, policy, administration and management. This portion of the opinionnaire dealt with board and staff involvement. Each of the four sub-groups represents the groups from the Svara Dichotomy-Duality model. Twenty-seven descriptors of involvement and the category within which they fall can be seen as Appendix B. In order to shorten the survey, only seventeen of the twenty-seven listed descriptors were chosen. The responses allowed for Likert scale differentiation. Although only seventeen descriptors were chosen, four answer sets were obtained for each descriptor. The superintendent was asked to indicate on a scale of one to five, five being very high and one being very low, what the board's actual level of involvement was, and then what the superintendent perceived to be the board's preferred

level of involvement. Then, for the same descriptor, what was the superintendent's actual involvement and the superintendent's preferred level of involvement.

The conflict section of Part I used the same seventeen descriptors as in the first section, but examined for the measure of conflict as perceived by the superintendent. This measure asked if there was no conflict, a little, or a lot.

Part II of the survey instrument examined the board and superintendent roles. Section A asked for the superintendent's perceptions about the nature of his or her board of education's activity. Again using a Likert type scale, the responses range from agree completely, agree more than disagree, disagree more than agree, and disagree completely. There were seventeen activities examined for board members and twelve examined for superintendents.

The third and last part of the survey sought to gather basic demographic data concerning employment, age, and number of board members.

Instrument Validity

The instrument has both face validity and construct validity. The efforts by the researcher to compare sample job descriptions of superintendents and board of education members with the various descriptors in the survey match

closely. Also based on this researcher's fifteen years in public education and his roles in school-based and central office administration, the survey appears to be representative of activities undertaken by superintendents and board members.

This instrument does have a high degree of construct validity as well. It is measuring the hypothetical construct of the dichotomy-duality model. Because previous data have been collected using a closely similar instrument and that data applied to the Svara policy construct model, this researcher is confident with this survey's ability to measure for that construct again--this time in the educational domain. The bridge to the educational domain is a philosophically short one to make, as cited previously in Chapter One, page 38, by Blau and Scott, and Martin.

Instrument Reliability

The measure of the survey's internal consistency is its measure of reliability. Since this instrument was administered only once to the sample population of North Carolina superintendents, the best measure for reliability was to determine the coefficient of internal consistency, sometimes called split-half or sub-divided test reliability. Data measuring that split half reliability for sub-sections I and II and the Kuder-Richardson Formula

Split Half Reliability Data
Parts I and II

	PART I EVEN ITEMS	PART I ODD ITEMS	PART II EVEN ITEMS	PART II ODD ITEMS
VARIANCE	748.0600	688.6220	5.1340	8.3910
ST DEVIATION	27.3500	26.2400	2.2650	2.8960
KUDER-RICHARDSON 21 FORMULA	1.4399	1.4393	0.7498	0.8737

TABLE 3.3

Correlation Coefficients
Parts I and II

	PART I	PART II
CORRELATION COEFFICIENT FOR BOTH HALVES	0.9520	0.8399
CORRELATION COEFFICIENT FOR FULL TEST	0.9750	0.9129

TABLE 3.4

21 are seen in Table 3.3. Correlation coefficient data for both parts of the test and the Spearman-Brown coefficient for the full test are seen in Table 3.4.

Subjects

The only demographic data collected on the 99 superintendents were the number of years worked in the school system, the number of years they had been a superintendent in the school system, time remaining on their contract, total number of years they had been a superintendent, their age, and the number of members on their board of education. For comparison purposes, the researcher was also able to match the superintendent with the student enrollment for the school system. The enrollment data was taken from the State of North Carolina's Education Directory for 1988-1989.

Table 3.5 shows summary data for the superintendents in North Carolina who responded to the survey. We can see that the average years each superintendent worked in his or her system was 12.79, and the average years as a superintendent in his or her system was 7.25. The average time remaining on the contract was 2.33 years, and the average total years they had been a superintendent anywhere was 9.06 years. The average age was 49.34 and the average number of board members was 6.29. Additionally, the average enrollment was 7,104 students per district.

SUMMARY DEMOGRAPHIC DATA FOR SURVEY RESPONDENTS

	SYSTEM ENROLLMENT	YEARS IN SYSTEM	YEARS SUPER IN SYSTEM	TIME LEFT ON CONTRACT	TOTAL YEARS AS SUPER	AGE	NUMBER ON BOARD
MINIMUM	180.00	0.12	0.12	0.00	0.12	38.00	5.00
MAXIMUM	60,474.00	39.00	26.00	4.00	26.00	69.00	12.00
AVERAGE	7,104.66	12.79	7.25	2.33	9.06	49.34	6.29

Table 3.5

SUMMARY DEMOGRAPHIC DATA FOR SURVEY RESPONDENTS BY SYSTEM SIZE

	SYSTEM ENROLLMENT	YEARS IN SYSTEM	YEARS SUPER IN SYSTEM	TIME LEFT ON CONTRACT	TOTAL YEARS AS SUPER	AGE	NUMBER ON BOARD
SMALL							
MINIMUM	780.00	1.00	0.33	0.12	1.00	42.00	5.00
MAXIMUM	3,180.00	34.00	26.00	4.00	26.00	69.00	9.00
AVERAGE	2,206.39	13.85	9.43	1.93	10.77	49.63	5.69
MEDIUM							
MINIMUM	3,236.00	1.00	1.00	1.00	1.00	39.00	5.00
MAXIMUM	6,651.00	34.00	22.00	4.00	25.00	64.00	11.00
AVERAGE	4,690.97	10.36	6.78	2.63	9.59	48.16	6.52
LARGE							
MINIMUM	6,052.00	0.12	0.12	0.00	0.12	38.00	5.00
MAXIMUM	60,474.00	39.00	19.00	4.00	19.00	65.00	12.00
AVERAGE	14,416.61	14.15	5.53	2.44	6.81	50.25	6.66

Table 3.6

SUMMARY DEMOGRAPHIC AVERAGES FOR SURVEY RESPONDENTS
BY TOTAL AND SYSTEM SIZE

	SYSTEM ENROLLMENT	YEARS IN SYSTEM	YEARS SUPER IN SYSTEM	TIME LEFT ON CONTRACT	TOTAL YEARS AS SUPER	AGE	NUMBER ON BOARD
AVERAGE	7,104.66	12.79	7.25	2.33	9.06	49.34	6.29
SMALL							
AVERAGE	2,206.39	13.85	9.43	1.93	10.77	49.63	5.69
MEDIUM							
AVERAGE	4,690.97	10.36	6.78	2.63	9.59	48.16	6.52
LARGE							
AVERAGE	14,416.61	14.16	5.53	2.44	6.81	50.25	6.66

Table 3.7

In looking at this data we can conclude that many were employees in the same system prior to assuming the role of superintendent for that system. We can also see that the superintendent's total time in the role is barely 1.75 years more than their time in the same system. We may conclude from this that the pool of superintendents in North Carolina is fairly stable, and that the influx of individuals from outside of North Carolina into superintendencies is relatively low.

A second table, Table 3.6, shows summary demographic data by system size. The 99 respondents were divided into top, middle, and bottom thirds by student enrollment. Minimums, maximums, and averages were tabulated for each of the three size sub-groups.

A table of averages alone is easier to compare; this is seen as Table 3.7. One can see that the data for Years as a Superintendent in the System and Total Years as a Superintendent there appears to be a pattern--the smaller the size the longer the service. Both columns compare similarly in this way. One additional observation from this table might be the average board size. The smaller systems average almost one less board member than the medium and large sized systems.

Hardware and Software

All surveys, tables, graphs and documents were produced on an IBM Personal Computer. Various software

packages were used in order to produce the various items in the research. Software called PFS by Software Publishing Company was used for some of the tables and graphs. Software called Q&A by Symantec was used for survey production, data analysis, and report generation. Software called Superwriter by Sorcim/IUS Micro Software was used for the word processing.

CHAPTER FOUR

ANALYSIS OF THE DATA

This chapter will examine the data from the 99 school system surveys returned by North Carolina superintendents. It will answer the questions asked on page 13 in Chapter One. Since it is often easier to understand and interpret data from graphical depictions, numerous tables and graphs will be provided. Discussion of the data will be based on the results depicted in the graphs and tables.

Question: Do superintendent responses reveal that superintendents and board members understand their roles in the policy process?

Part II of the opinionnaire instrument dealt with board and superintendent roles. Part II is seen in Appendix A. Part A of Part II in the survey contained 17 descriptors involving activities of members of the board of education. Superintendents were asked to respond based on how they perceived things to be in their district at the time of the survey. They were to respond by indicating that they either completely agreed, agreed, disagreed, or completely disagreed with the statement about board member activities.

There were 99 superintendents who returned the surveys, but two did not complete this section. Table 4.1 shows the total responses for each indicator for board activities. Items A through Q correspond to the activities listed in the Appendix A of the survey as items 1 through 17. This section will analyze each of the 17 criterion from the survey, and will then compare the aggregate responses by agree-disagree categories. When examining the bar graphs one should recognize that graphs which cluster toward the middle would indicate disparity among North Carolina superintendents concerning role activities. On the other hand, graphs that cluster near the "agree" side of the graph or near the "disagree" side of the graph would tend to show agreement among most superintendents.

Board Activity A. Board members devote too much time to providing citizen services. Graph 4.1 indicates that superintendents were not in agreement on the role of their board members in devoting time to providing citizen services. Although they were fairly evenly split between agreeing and disagreeing, 21 superintendents completely disagreed with the statement. Slightly over half of the respondents disagreed that their board members spent too much time providing citizen services, while 40 respondents agreed or completely agreed that their board members spent too much time providing citizen services.

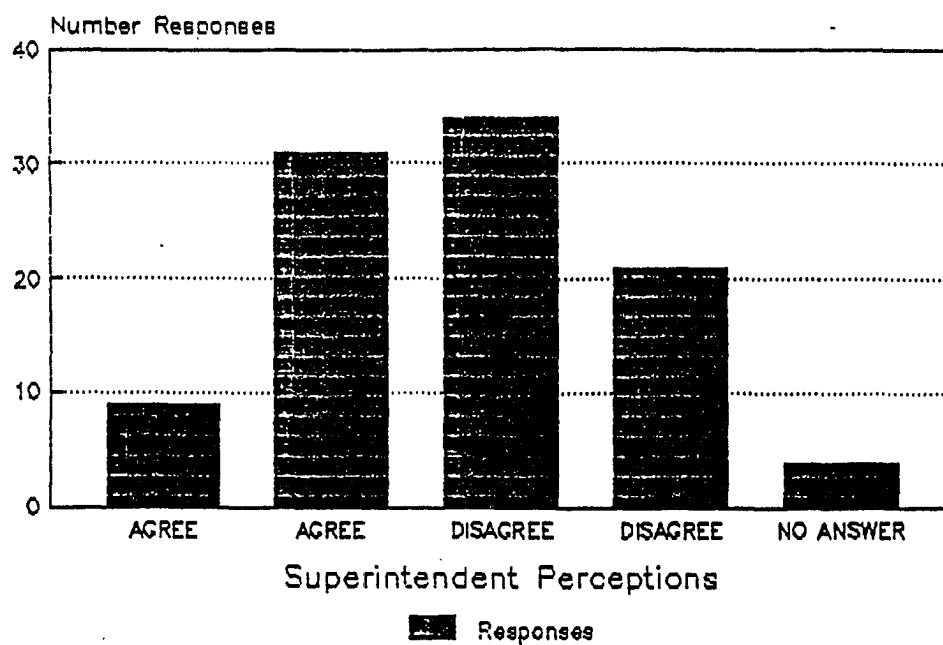
SUPERINTENDENT PERCEPTIONS OF BOARD ACTIVITIES
Total Responses for Each Role Activity

BOARD ROLES	COMPLETELY AGREE	AGREE	DISAGREE	COMPLETELY DISAGREE	ALL AGREES	ALL DISAGREES
	-----	-----	-----	-----	-----	-----
A	9	31	34	21	40	55
B	21	42	20	14	63	34
C	0	1	19	77	1	96
D	4	3	36	54	7	90
E	15	30	32	20	45	52
F	16	33	32	16	49	48
G	18	43	26	10	61	36
H	21	62	11	3	83	14
I	56	36	2	3	92	5
J	10	45	28	14	55	42
K	12	32	36	17	44	53
L	21	45	23	7	66	30
M	7	25	38	27	32	65
N	17	53	22	5	70	27
O	6	27	40	24	33	64
P	12	35	34	15	47	49
Q	3	12	49	33	15	82

TABLE 4.1

ROLE OF BOARD MEMBERS

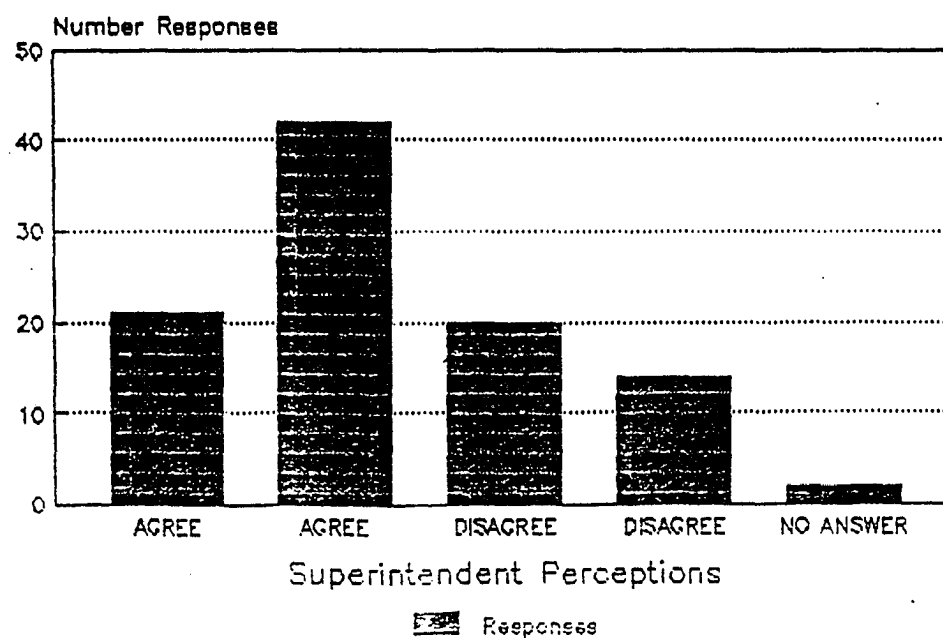
Devote Too Much Time Providing Services



Graph 4.1

ROLE OF BOARD MEMBERS

Encourage Citizens to Refer Complaints



Graph 4.2

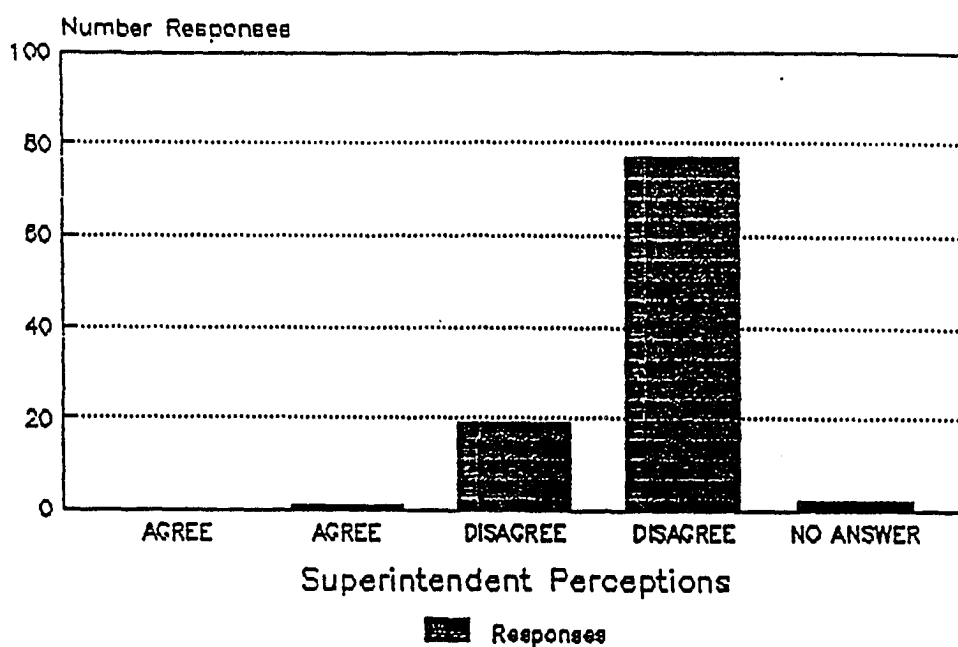
Board Activity B. Board members encourage citizens to refer complaints directly to staff rather than going through board members. Graph 4.2 shows general agreement among superintendents over the degree to which board members encourage citizens to work directly with staff. A total of 63 superintendents completely agreed or agreed with the statement. Thirty-four, or about one-third of the respondents disagreed with the statement.

Board Activity C. Intervention by a board member is necessary to get adequate response to citizen complaints. It is understandable that superintendents would cluster almost entirely toward disagreeing or completely disagreeing with this statement. It is not only a measure of their own responsiveness, but also reflects their belief in how responsive they and their staffs are. Only 1 superintendent agreed with the statement; 96 disagreed or completely disagreed. Graph 4.3 depicts the responses.

Board Activity D. Citizens get better treatment from staff if their complaint is referred through a board member. Again most superintendents responded similarly in their disagreement with the statement. Ninety superintendents disagreed in some form with this statement, while only 7 agreed or completely agreed. Graph 4.4 shows a comparison of the responses.

ROLE OF BOARD MEMBERS

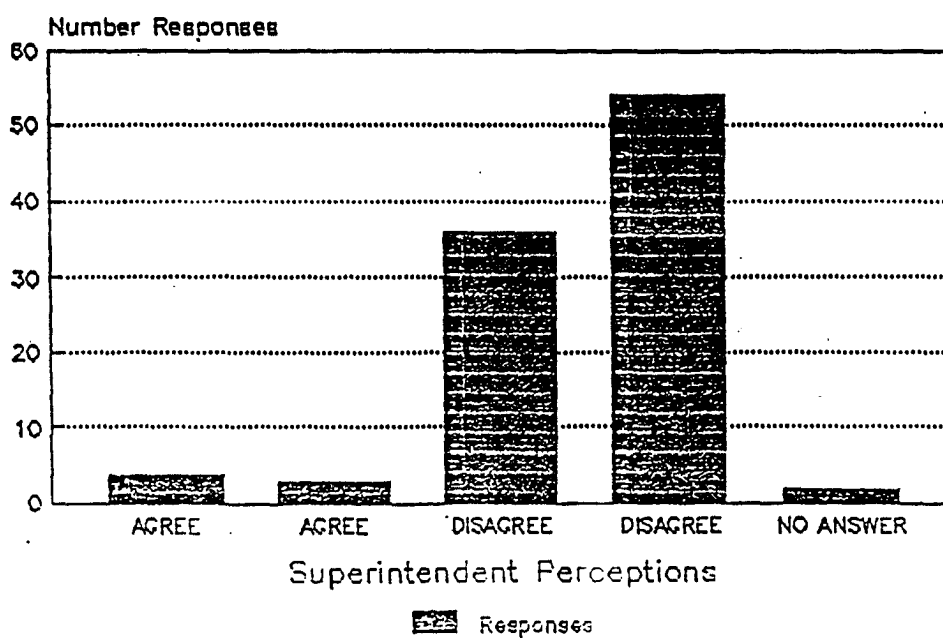
Intervention Necessary for Response



Graph 4.3

ROLE OF BOARD MEMBERS

Citizens Get Better Treatment from Staff



Graph 4.4

Board Activity E. Board members try to get special services and benefits for their constituents.

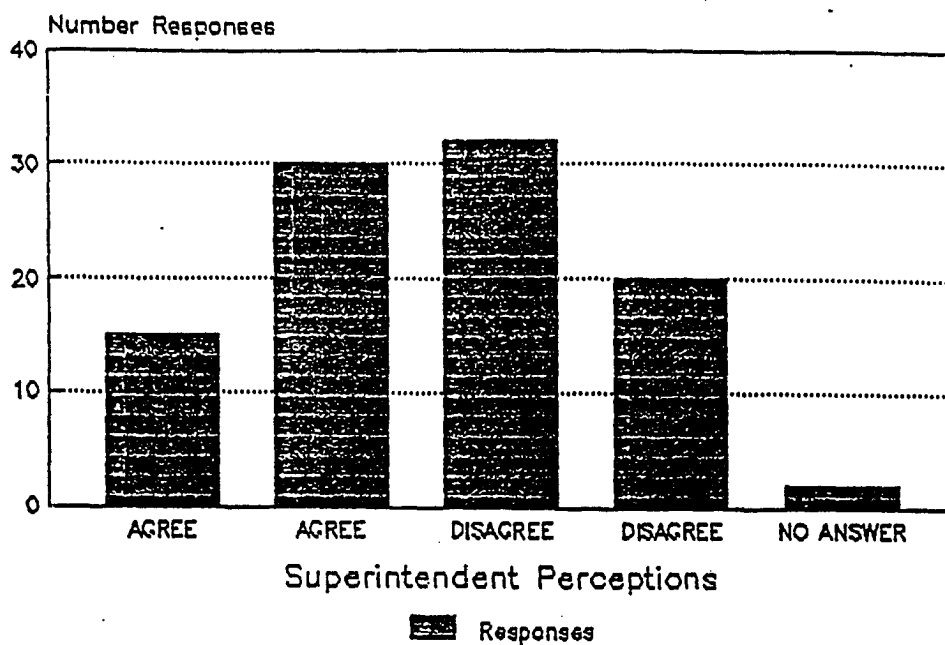
Superintendent responses were divided on this activity as Graph 4.5 shows. They were almost evenly split with 45 superintendents agreeing in some form and 52 disagreeing in some form. These responses might indicate variations among systems based on variables such as size, number of board members, or experience of superintendent.

Board Activity F. The board deals with too many administrative matters and not enough policy issues.

Responses here were almost exactly divided between the agrees and the disagrees. While the statement is clear concerning the incursive role of board members into administration, 49% of the superintendents agreed. This activity by board members clearly deals with their appropriate role in the policy process, yet half of the superintendents in North Carolina believe that the board members are acting inappropriately. The relatively equal distribution of responses is seen in Graph 4.6.

ROLE OF BOARD MEMBERS

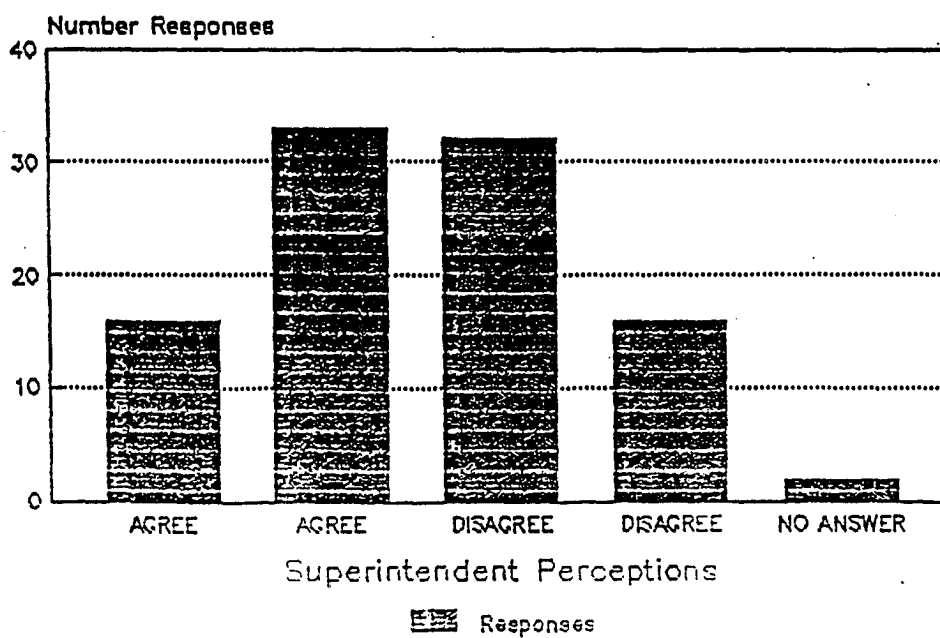
Members Try To Get Special Services



Graph 4.5

ROLE OF BOARD MEMBERS

Deal In Too Many Administrative Matters



Graph 4.6

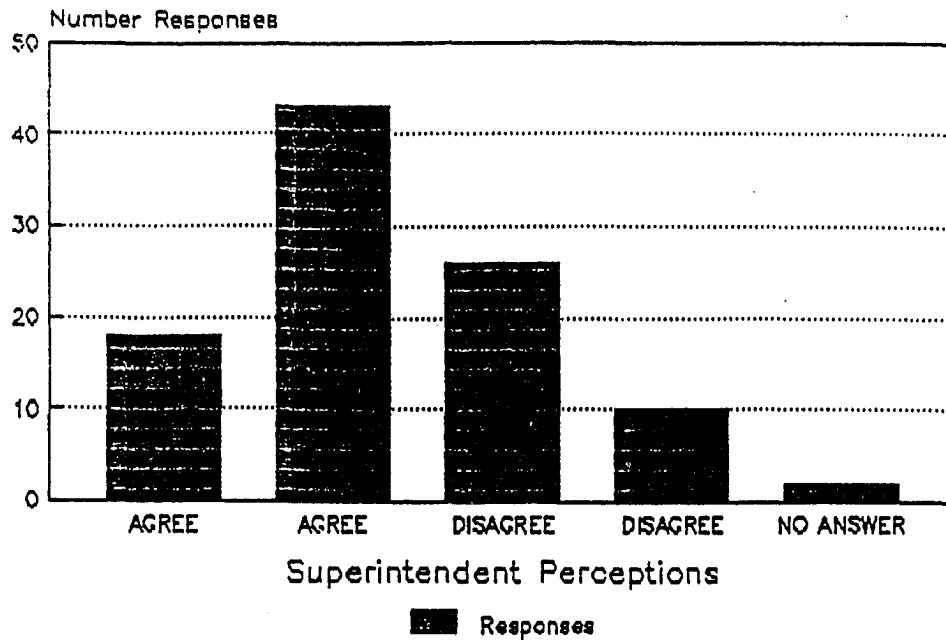
Board Activity G. The board understands its role in administration. Table 4.1 shows that 61, or almost two-thirds, of the North Carolina superintendents believe that board members understand their role in administration. These responses tend to belie, however, the responses in the previous activity, where board members are dealing with too many administrative matters. It can be interpreted then that superintendents believe board members know what their role should be in administration, as depicted in Graph 4.7, yet choose to deal in administrative matters anyway (Graph 4.6).

Board Activity H. The board effectively draws on the expertise of professional staff. Graph 4.8 shows a high agreement among superintendents in the perception that board members do draw on staff expertise. Eighty-three superintendents agreed or completely agreed with the activity statement. Only 3 completely disagreed, while 11 disagreed.

Board Activity I. The board and superintendent have a good working relationship. Not surprisingly almost all superintendents perceive that they have a good working relationship with their board. Graph 4.9 shows a total of 92 superintendents either agreeing or completely agreeing with the statement. In fact slightly over half, or 56 superintendents completely agree. It is interesting to

ROLE OF BOARD MEMBERS

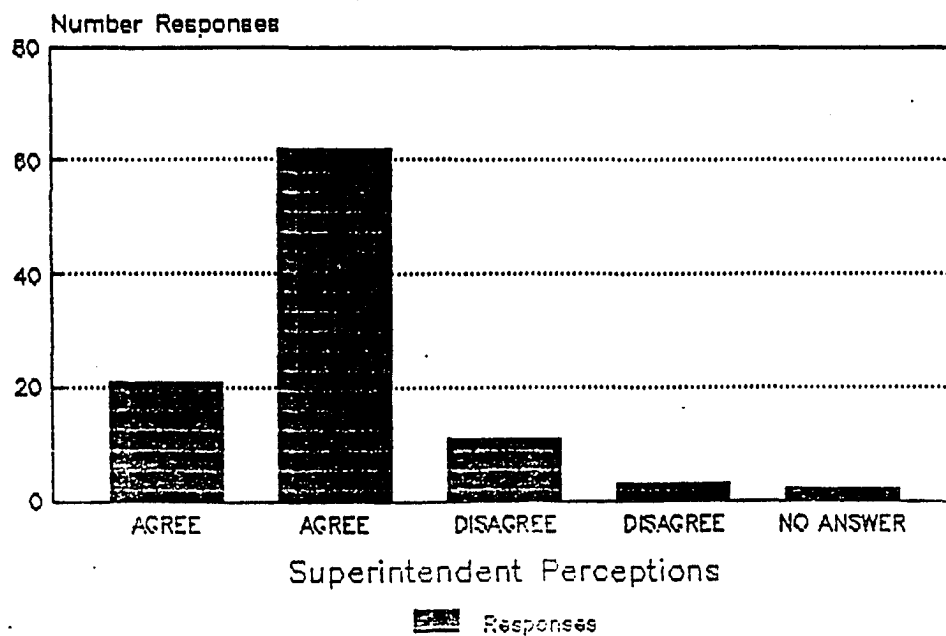
Understands Its Role In Administration



Graph 4.7

ROLE OF BOARD MEMBERS

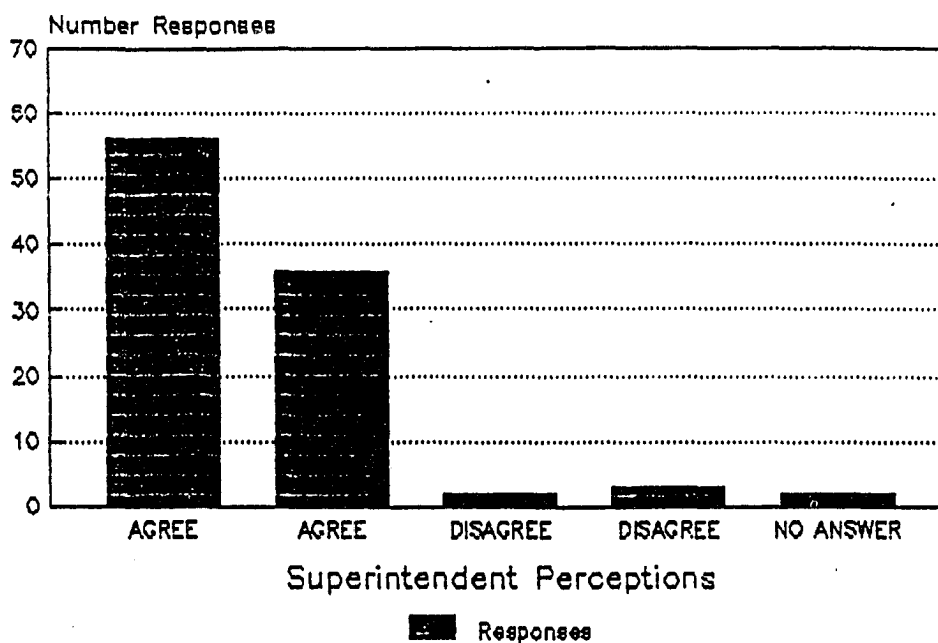
Effectively Draws on Staff Expertise



Graph 4.8

ROLE OF BOARD MEMBERS

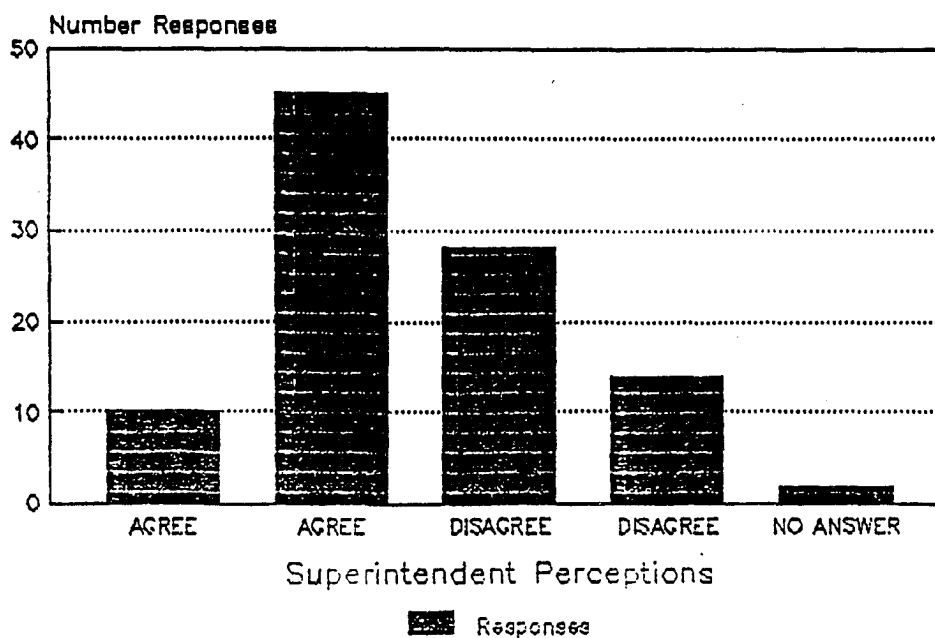
Good Working Relations w/ Superintendent



Graph 4.8

ROLE OF BOARD MEMBERS

Reviews & Vetoes More Than Makes Policy



Graph 4.10

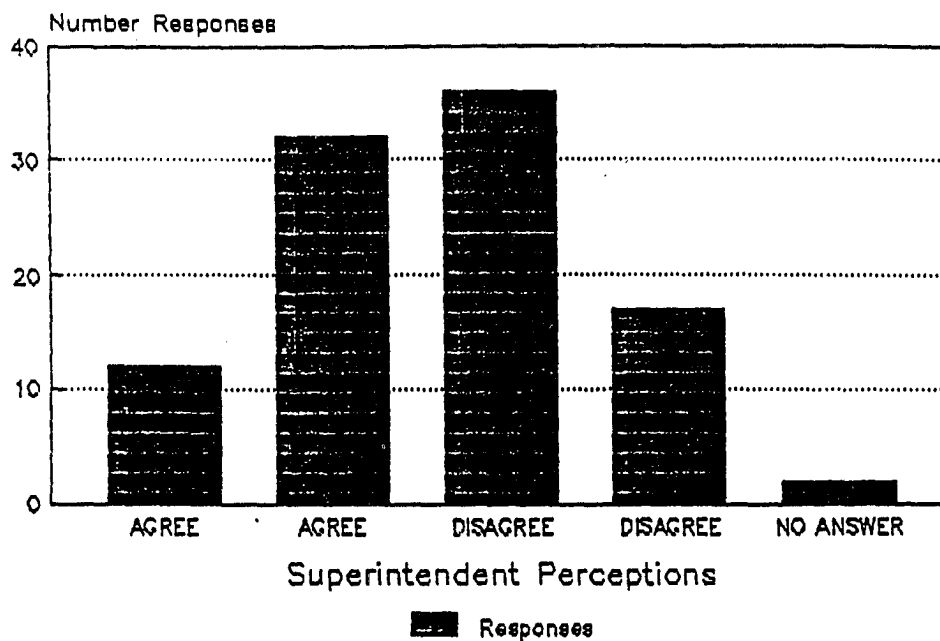
note that 41 superintendents in North Carolina have either 3 or 4 years remaining on their contracts.

Board Activity J. The board is more a reviewing and vetoing agency than a leader in policy making. Graph 4.10 shows some division among superintendents over this statement. Although 45 agree and 10 completely agree, a total of 42 either disagree or completely disagree. This would indicate that the majority of superintendents in North Carolina perceive that the board does not lead in policy making. This contradicts the traditional dichotomous and Svara models which say that the board makes policy.

Board Activity K. The board does not have enough time to deal effectively with important policy issues. Superintendent responses were fairly evenly divided again, as shown by Graph 4.11. Forty-four superintendents completely agreed or agreed with the statement, while 53 disagreed or completely disagreed. One concludes from the disagreeing responses of the 53 superintendents that board members do have the time to deal with policy issues. This follows the previous activity data where 55 superintendents felt that board members did not take the lead in making policy. Over half the superintendents feel, then, that board members have the time for making policy, but are not choosing to do so.

ROLE OF BOARD MEMBERS

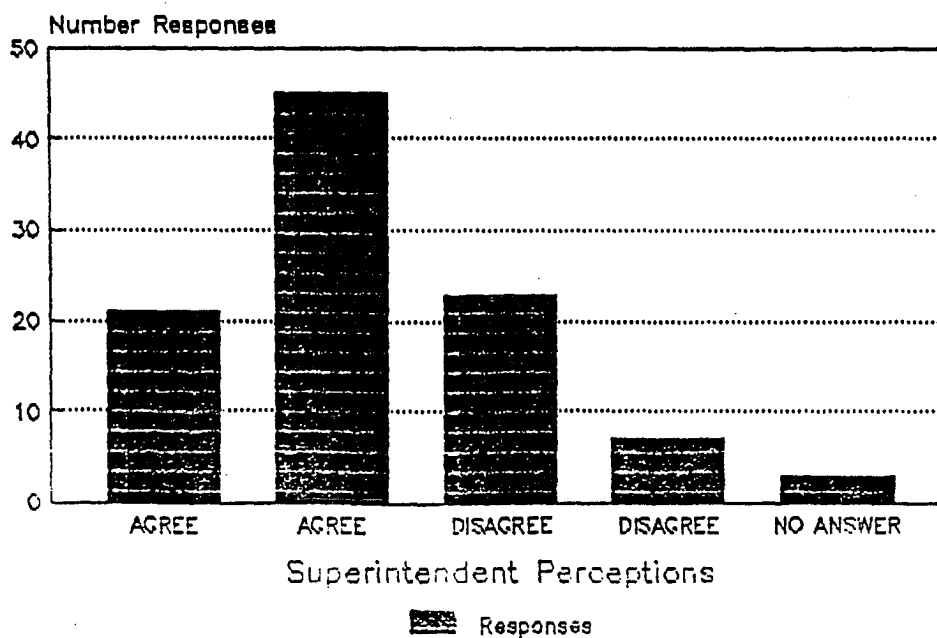
Not Enough Time For Policy Issues



Graph 4.11

ROLE OF BOARD MEMBERS

Adequately Assess Super's Performance



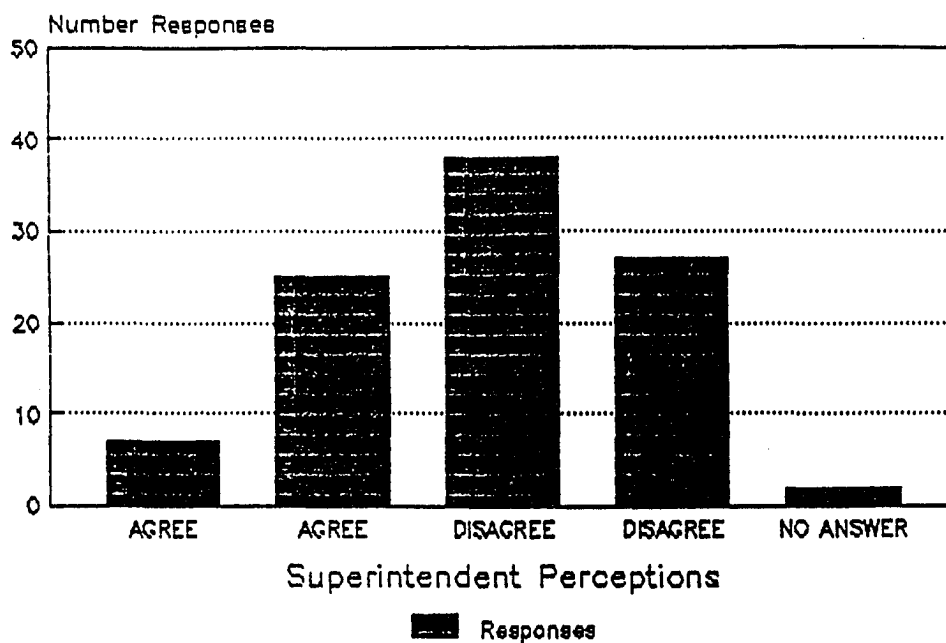
Graph 4.12

Board Activity L. The board's appraisal of the superintendent's performance is satisfactory in depth and frequency. Graph 4.12 depicts the responses for this activity. Two-thirds, or 66, superintendents agree or completely agree with this activity by their board members. Only 7 completely disagree. It is interesting to note that of the seven who completely disagreed five were from small school systems. (This comparison was determined beyond the data thus shown, but in order to protect identities of the superintendents the specific data can not be shown.)

Board Activity M. The board is too involved in administrative activities. While Graph 4.13 would show some disparity among responses, two-thirds of the superintendents disagree with this statement. These responses are particularly interesting when compared with the responses for Board Activity F--the board deals with too many administrative matters and not enough policy issues. In that activity the superintendents were fairly evenly split at 49 and 48 agreeing or disagreeing. This difference can be seen with the inclusion of the phrase "not enough policy issues" in activity F. Responses to activity M might indicate that in the absence of board member activity in policy issues, 65 superintendents feel that they otherwise do not inappropriately involve themselves in administrative activities.

ROLE OF BOARD MEMBERS

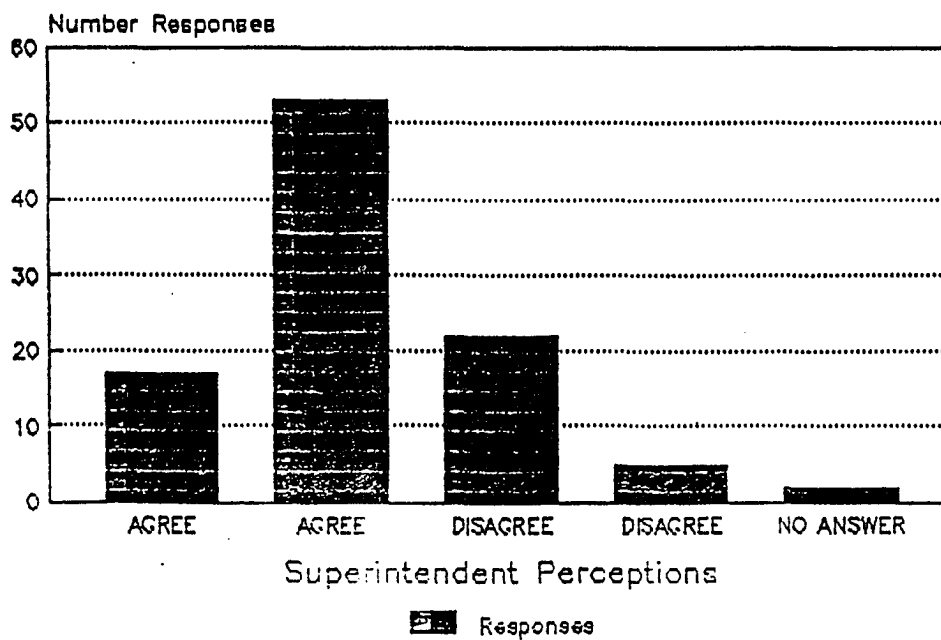
Too Involved In Administrative Matters



Graph 4.13

ROLE OF BOARD MEMBERS

Provide Sufficient Direction/Leadership



Graph 4.14

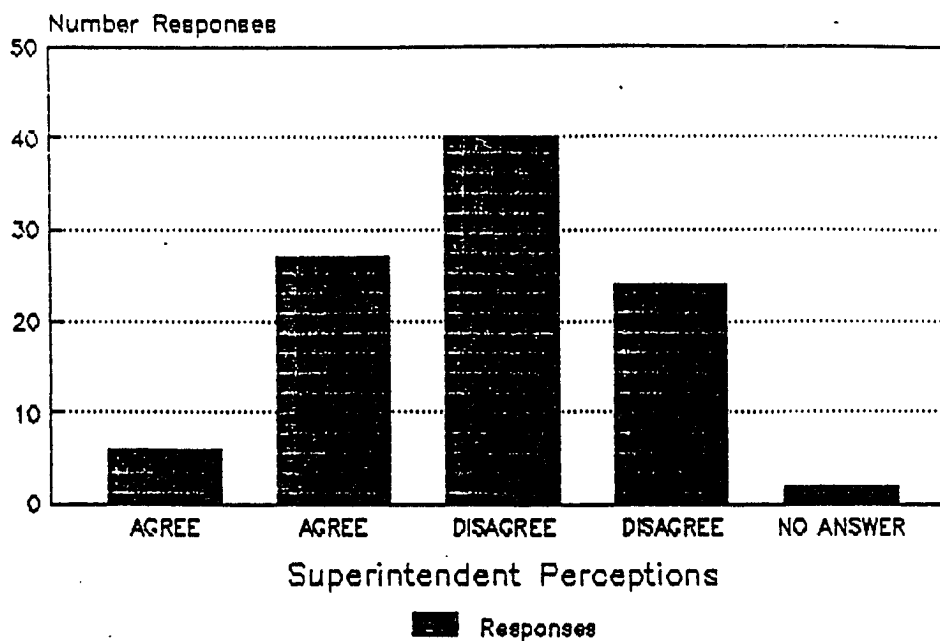
Board Activity N. The board provides sufficient direction and overall leadership. Over two-thirds of the superintendents agreed or completely agreed with this statement, as can be seen in Table 4.1 and Graph 4.14. Most superintendents perceive that the board members are operating in the mission area for their school systems.

Board Activity O. The board has difficulty making clear decisions. Almost two-thirds of the superintendents disagreed in some form with this statement; they felt that the board did not have difficulty making clear decisions. Superintendents may feel that it is part of their responsibility to help their board members make clear decisions, and might therefore be evaluating their effectiveness in this response as well. This can be seen in Graph 4.15.

Board Activity P. The board focuses too much on short-term problems and gives too little attention to long-term concerns. Superintendents were almost evenly split in their responses on this activity, with 47 agreeing in some form and 49 disagreeing in some form. This even split can be seen in Graph 4.16. This is significant since this activity is addressing the board role in mission and agenda-setting for the system or its more tightly focused daily operation in management and administration. There is not agreement on this activity in North Carolina.

ROLE OF BOARD MEMBERS

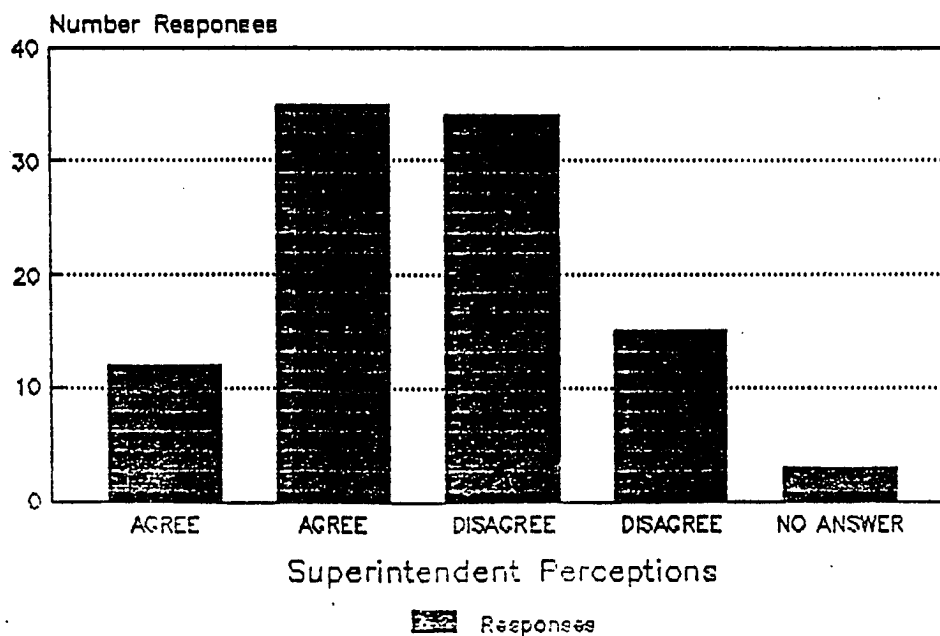
Difficulty Making Clear Decisions



Graph 4.15

ROLE OF BOARD MEMBERS

Focuses Too Much On Short Term



Graph 4.16

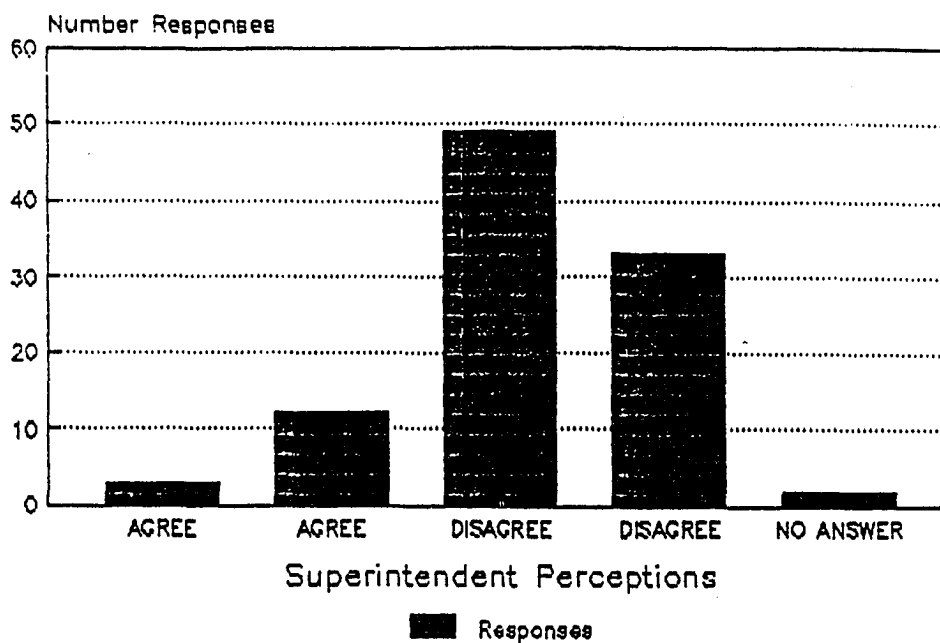
Board Activity Q. The board makes excessive demands on staff for reports, studies, and information.

Graph 4.17 shows that almost all superintendents disagreed in some form with this statement. Only 12 agreed and 3 completely agreed.

One can examine the responses for all items combined under each response of completely agree, agree, disagree, and completely disagree. It is interesting to compare those that appear to be either very high or very low compared to the rest of the responses. Graphs 4.18 through 4.21 show all of the board activities for each response category with the left axis representing the number of responses. One can see that Activity C -- intervention by a board member is necessary to get adequate response to citizen complaints -- had no completely agree responses. Therefore, not one superintendent perceives his or her response is inappropriate enough to require board member intervention. Examination of Activity I -- the board and superintendent have a good working relationship -- drew 56 completely agree responses. Analysis of those superintendents responding thus is seen in Table 4.2. This table breaks the responses by system size and calculates averages for the respondents. The averages show considerable longevity by the superintendent in his or her current system. This would support their response to this activity.

ROLE OF BOARD MEMBERS

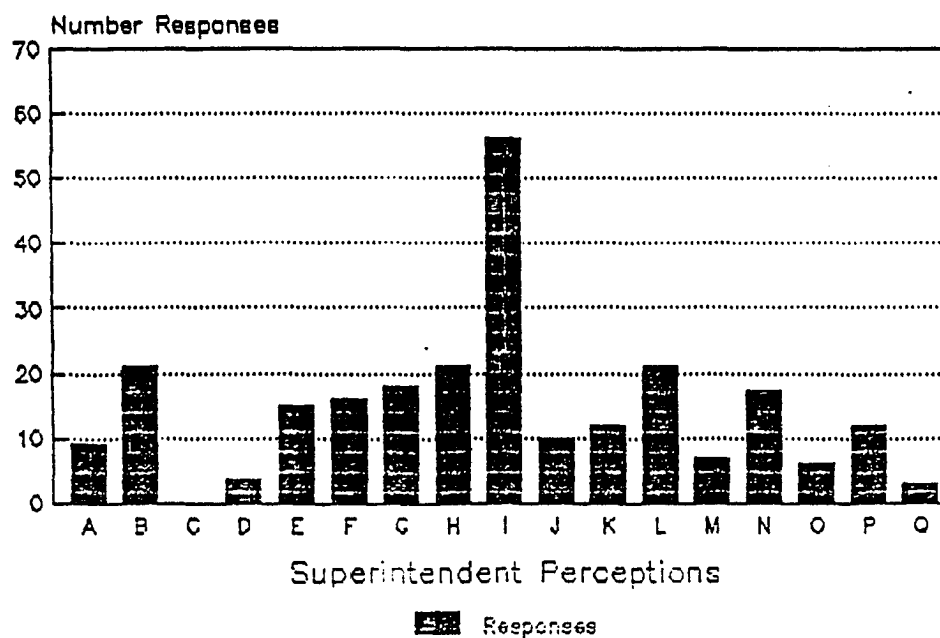
Makes Excessive Demands On Staff



Graph 4.17

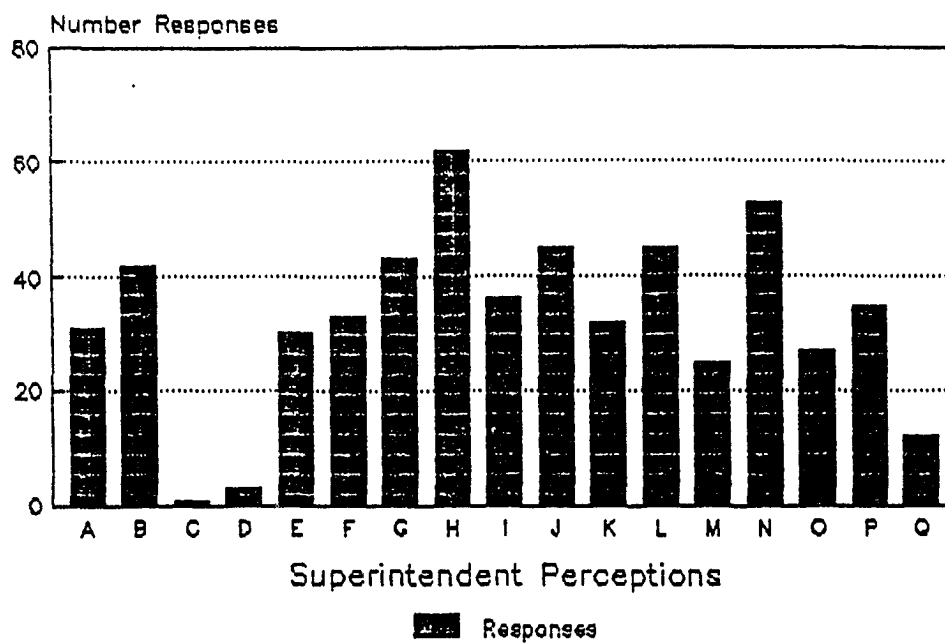
ROLE OF BOARD MEMBERS

Responses for "Completely Agree"



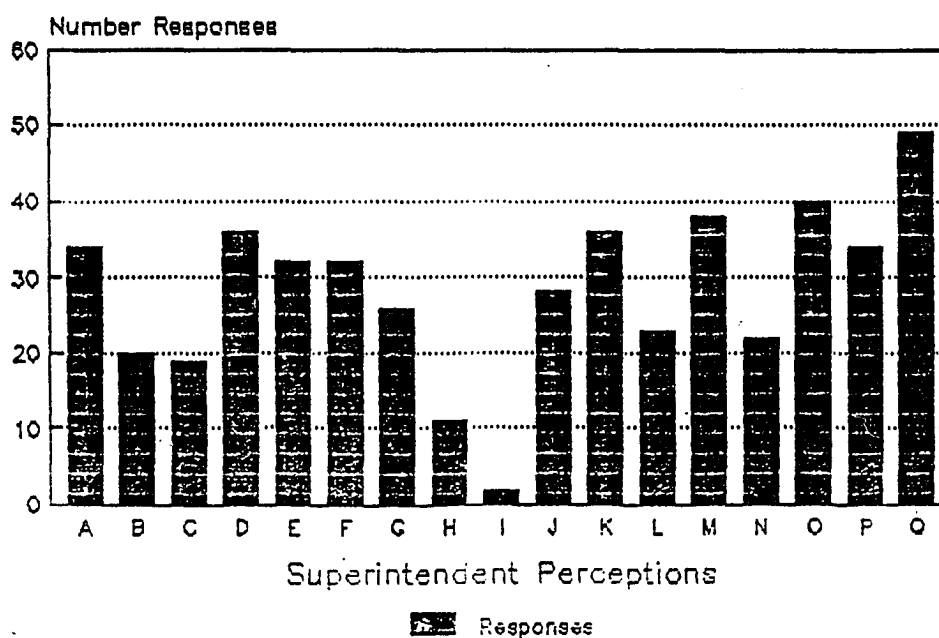
Graph 4.18

ROLE OF BOARD MEMBERS Responses for "Agree"



Graph 4.19

ROLE OF BOARD MEMBERS Responses for "Disagree"



Graph 4.20

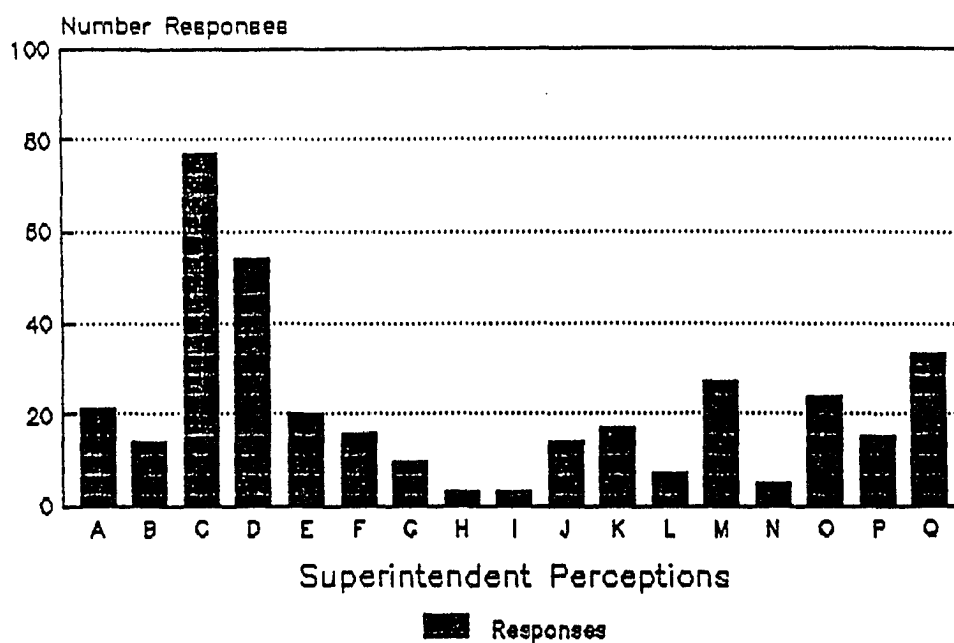
ANALYSIS BY SYSTEM SIZE OF RESPONSES TO ACTIVITY "I"

SIZ	YRS WORKED IN SYS	YRS SUP IN SYS	TIME ON CONTRACT	TOTAL YRS AS SUP	AGE	# ON BOARD
L						
Average:	16.91	5.64	2.64	6.64	51.25	6.45
Count:	20					
M						
Average:	10.30	6.95	2.85	8.50	48.90	6.60
Count:	20					
S						
Average:	12.58	8.49	2.53	9.16	49.44	5.94
Count:	16					
=====	=====	=====	=====	=====	=====	=====
Average:	13.31	6.92	2.68	8.02	49.89	6.36
Count:	56					

TABLE 4.2

ROLE OF BOARD MEMBERS

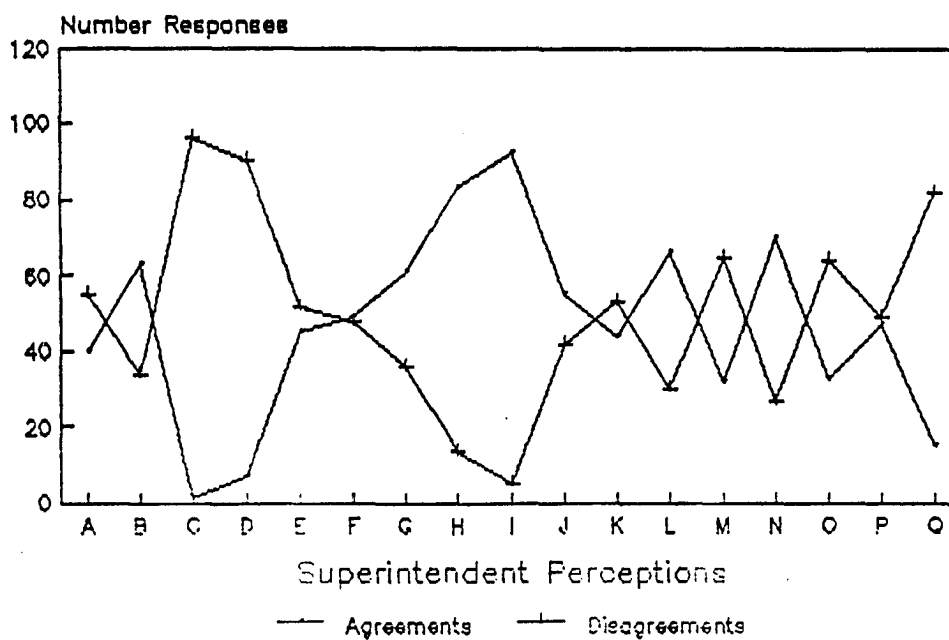
Responses for "Completely Disagree"



Graph 4.21

ROLE OF BOARD MEMBERS

Comparison Combined Agrees and Disagrees



Graph 4.22

A final comparison of the responses for board activities might be shown as Graph 4.22. This graph is different from the bar graphs, but the converging and diverging lines show the relative agreement of perception or disagreement of perception of the 99 superintendents on the 17 activities. It is logical to see that for a high number of responses in agreement or complete agreement, there should be a correspondingly low number of responses in disagreement and complete disagreement on each item. By combining all agreement responses in one line and all disagreement responses in another line, one can visualize the pattern of responses. When the lines diverge greatly, as in C and I, we realize that most of the 99 superintendent responses were similar.

When the lines converge near the 45 axis, we see that there were about an equal number of agreements as there were disagreements on the activity. We can interpret that on items A, B, E, F, G, J, K, L, M, N, O, and P superintendents were not in agreement in their perceptions of the role of board members. Since these represent 12 of the 17 activities, one can answer the opening question about understanding of role in the policy process. Superintendents understand the role of the board member quite differently on 12 of 17 activities of board members.

Examination of superintendent perceptions of their own role activities reveals a series of 12 additional graphs, one for each superintendent activity. As with board member activity, clustering in the middle indicates differing perceptions across superintendents in North Carolina. Table 4.3 shows the responses by superintendents concerning their perceptions of role activity on 12 items. The activities listed in Table 4.3 as AA through LL correspond to items 1 through 12 in section B of part II in Appendix A--The Governance Process Questionnaire. All agrees represent the addition of "agrees" and "completely agrees", and all disagrees represent addition of all "disagrees" and "completely disagrees".

Superintendent Activity AA. A superintendent should advocate major changes in school district policies. Graph 4.23 shows that superintendents across North Carolina were in general agreement with the statement that they should advocate major policy changes. A total of 89 of the 97 respondents agreed or completely agreed. This response supports the literature that the superintendent has a role in policy changes.

Superintendent Activity BB. A superintendent should maintain a neutral stand on any issues on which the community is divided. Superintendents fairly consistently disagreed with this statement of activity. Eighty-three

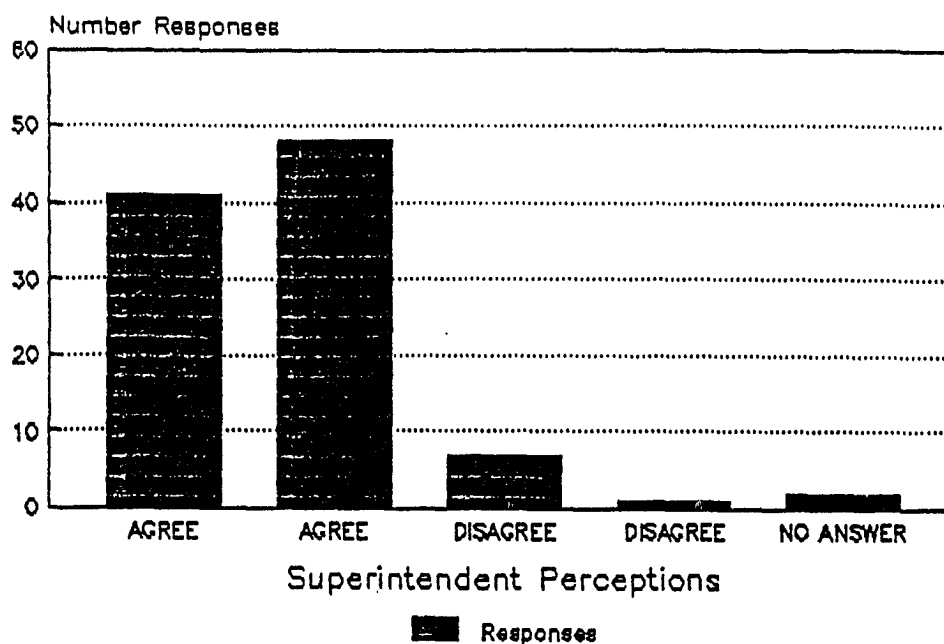
SUPERINTENDENT PERCEPTIONS OF THEIR OWN ACTIVITIES
Total Responses for Each Role Activity

SUPER ROLES	COMPLETELY	AGREE	DISAGREE	COMPLETELY	ALL	ALL
	AGREE			DISAGREE	AGREES	DISAGREES
AA	41	48	7	1	89	8
BB	3	11	50	33	14	83
CC	22	42	20	12	64	32
DD	60	36	1	0	96	1
EE	12	25	49	11	37	60
FF	8	42	35	6	50	41
GG	23	68	5	1	91	6
HH	1	13	49	34	14	83
II	80	17	0	0	97	0
JJ	64	31	2	0	95	2
KK	27	60	8	2	87	10
LL	49	39	8	1	88	9

TABLE 4.3

ROLE OF SUPERINTENDENTS

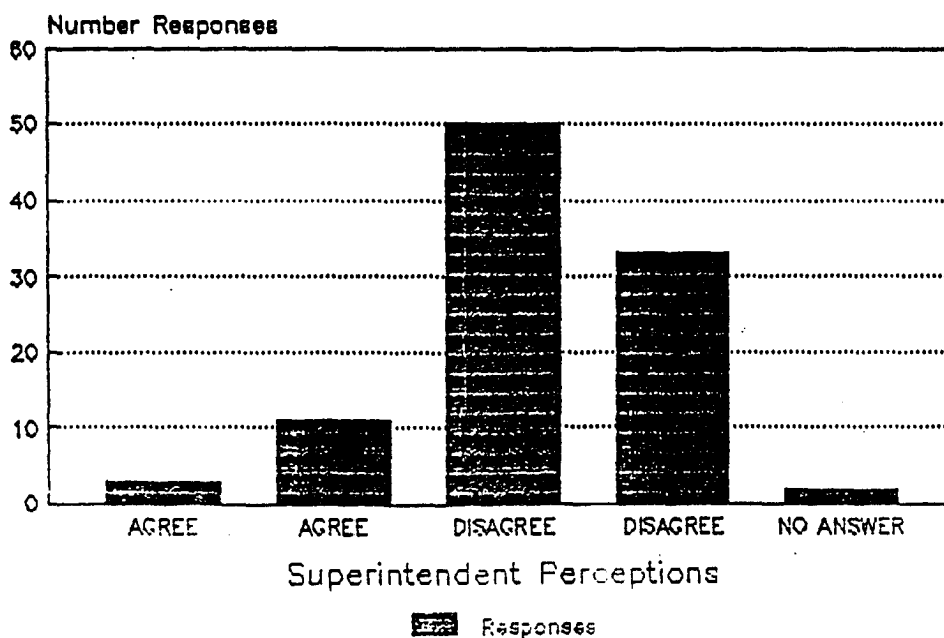
Should Advocate Major Policy Changes



Graph 4.23

ROLE OF SUPERINTENDENTS

Should Maintain Neutrality on Issues



Graph 4.24

either disagreed or completely disagreed. Graph 4.24 shows the distribution of responses in the "disagreeing" side of the graph.

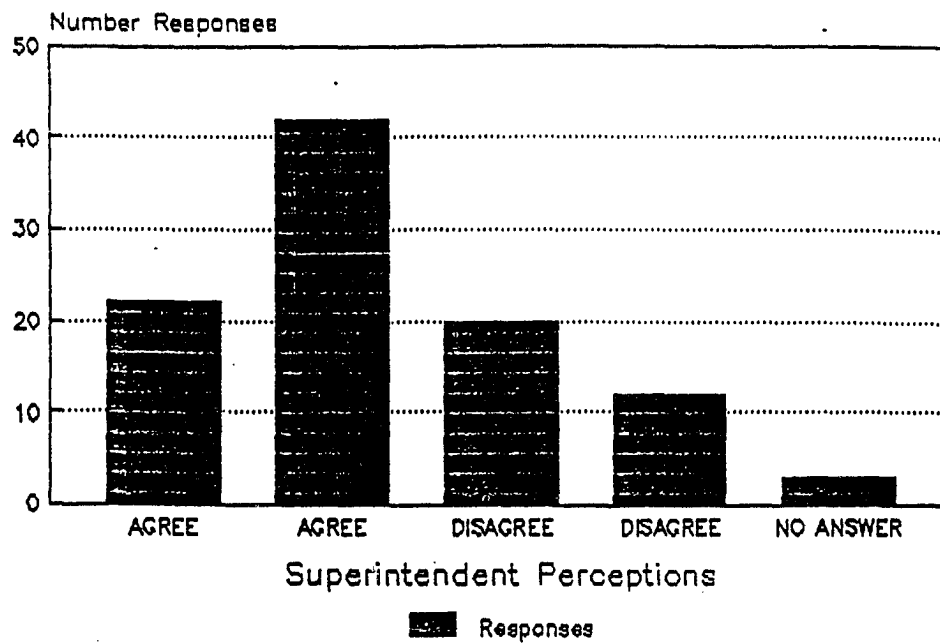
Superintendent Activity CC. A superintendent should consult with the board before drafting his own budget. Responses here were a little more distributed, with about two-thirds of the superintendents agreeing in some form with the activity as stated and about one-third disagreeing with the statement. Graph 4.25 shows the distribution of responses.

Superintendent Activity DD. A superintendent should assume leadership in shaping educational policies. All but one superintendent agreed or completely agreed with this statement. Interestingly almost two-thirds completely agreed. This is consistent with the responses for Activity AA, but both areas could indicate a potential area for conflict if board members perceive policy to be their domain. Graph 4.26 shows the almost unanimous responses on this activity.

Superintendent Activity EE. A superintendent should act as an administrator and leave policy matters to the board. Graph 4.27 shows the distribution of responses to this activity. It is interesting that slightly over one-third of the superintendents agreed with this statement in spite of their responses concerning policy in activities AA and DD.

ROLE OF SUPERINTENDENTS

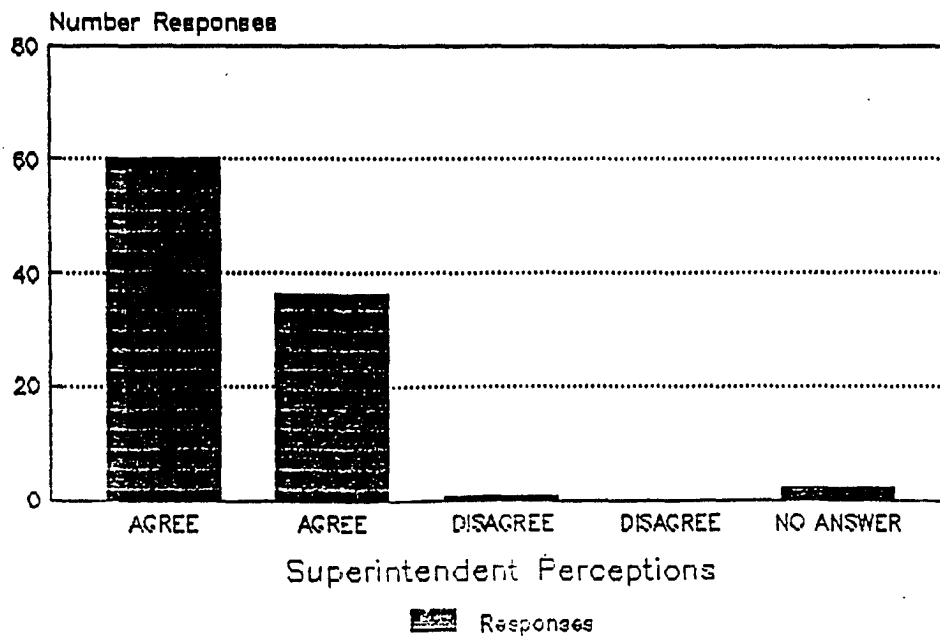
Consult w/ Board Before Draft Budget



Graph 4.25

ROLE OF SUPERINTENDENTS

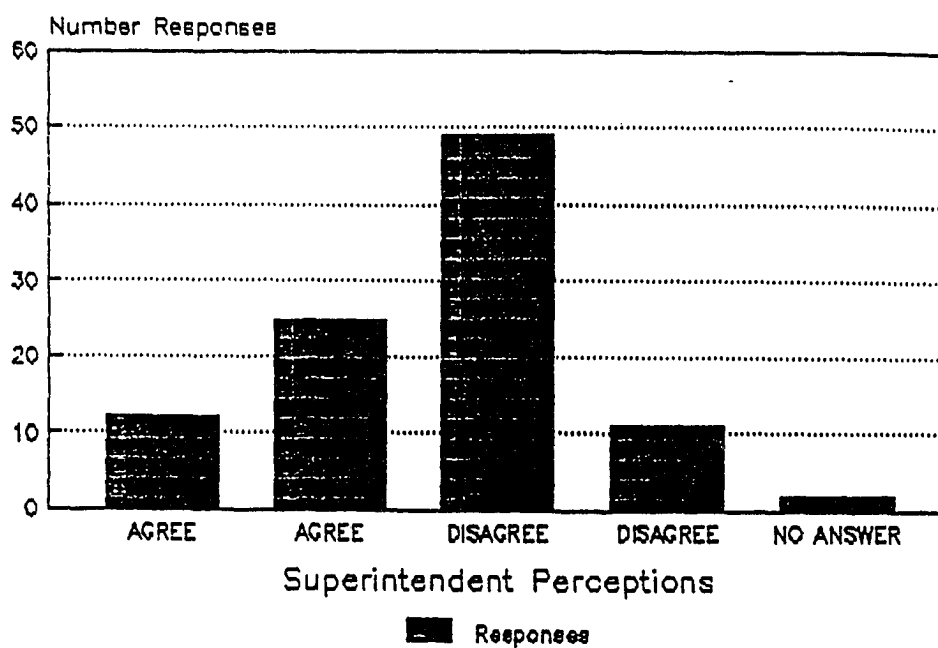
Assume Leadership Shaping Policies



Graph 4.26

ROLE OF SUPERINTENDENTS

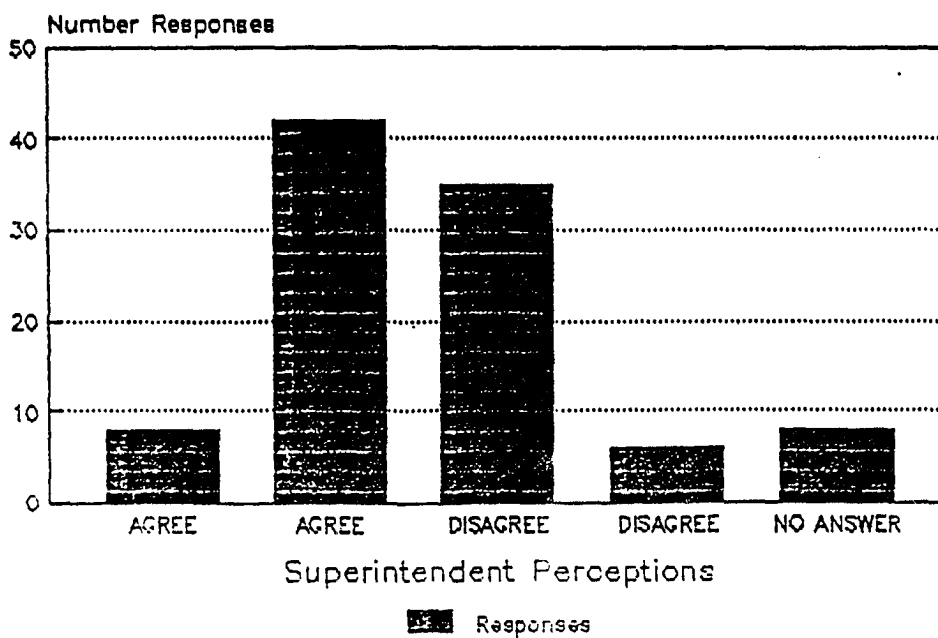
Administer and Leave Policy Alone



Graph 4.27

ROLE OF SUPERINTENDENTS

Advocate Policies to Hostile Community



Graph 4.28

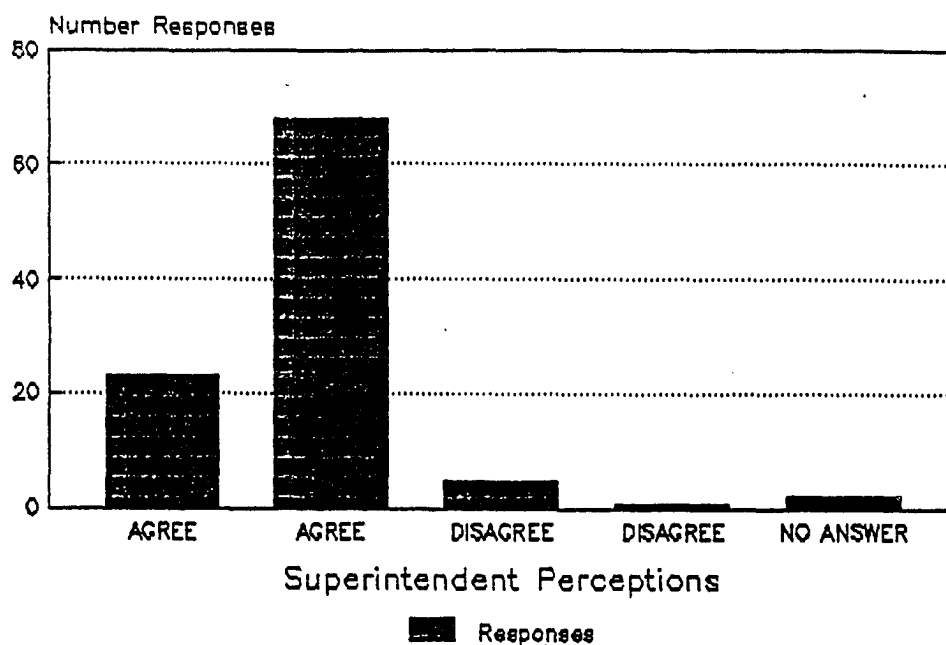
Superintendent Activity FF. A superintendent should advocate policies to which important parts of the community may be hostile. Superintendent responses were somewhat divided on this activity as seen in Graph 4.28. Fifty superintendents agreed in some form and 41 disagreed in some form with the activity statement.

Superintendent Activity GG. A superintendent should make it clear to the board when they are intruding in administrative areas. The responses were very consistent on this activity, with 91 superintendents agreeing in some form with the statement. Graph 4.29 shows the heavy responses on the agreement side. It is interesting to note here that while the superintendents feel they should inform board members when they are intruding into administration, they feel equally free to move up into the policy area themselves.

Superintendent Activity HH. A superintendent should provide only the information requested by the board to appraise the organization's performance. Most superintendents in North Carolina disagreed with this statement, with 83 doing so in some form. One can conclude that superintendents perceive that they should provide more information than only that which is asked for. These responses are seen in Graph 4.30.

ROLE OF SUPERINTENDENTS

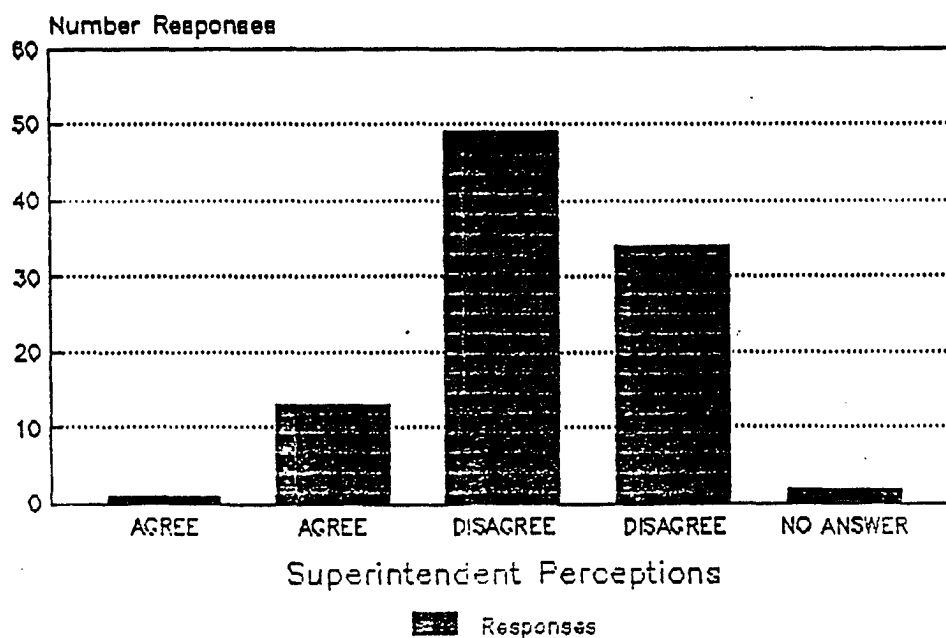
Make Clear to Board When Intruding



Graph 4.28

ROLE OF SUPERINTENDENTS

Provide Only Information Requested



Graph 4.30

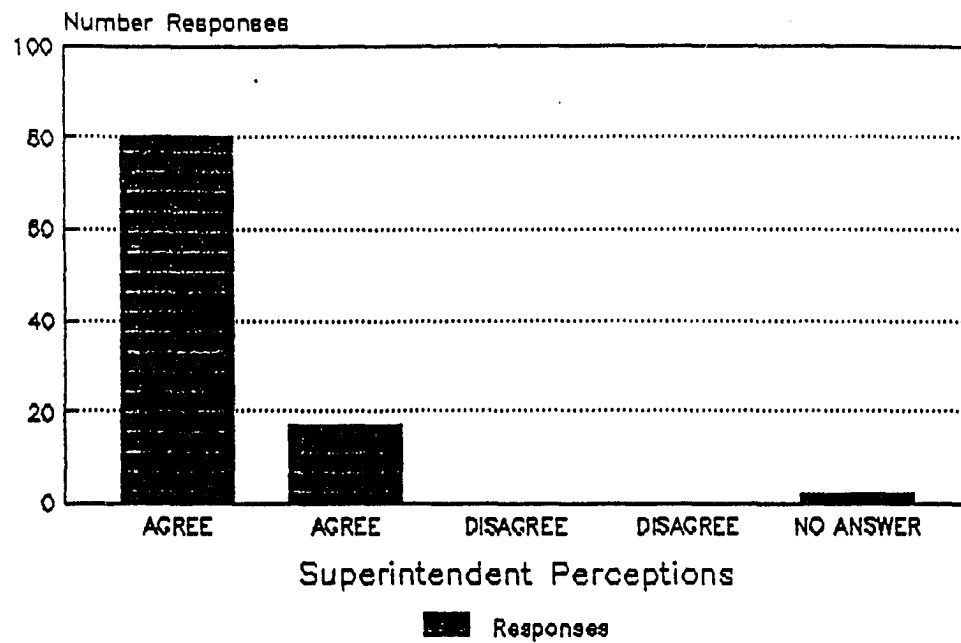
Superintendent Activity II. A superintendent should actively promote equity and fairness in the distribution of existing educational programs. The responses here were unanimous; no superintendent disagreed in any form with this statement. This is not surprising if one believes that it is the responsibility of every board member and superintendent to promote equity and fairness. Graph 4.31 depicts these responses.

Superintendent Activity JJ. A superintendent should advocate new programs in order to promote equity and fairness for low income or minority groups. Once again, all but two superintendents agreed with this statement. Graph 4.32 shows the responses.

Superintendent Activity KK. A superintendent should facilitate the expression of citizen opinions even if they counter board views. Superintendents overwhelmingly agreed with this statement also, with 87 agreeing in some form. Eight disagreed and 2 completely disagreed. Graph 4.33 shows the responses. The two who completely disagreed both worked in large school systems and had been employed in the system at least fifteen years. These two responses might indicate a knowledge and experience of the community which caused them to conclude that it was best not to facilitate the open expression of opinions.

ROLE OF SUPERINTENDENTS

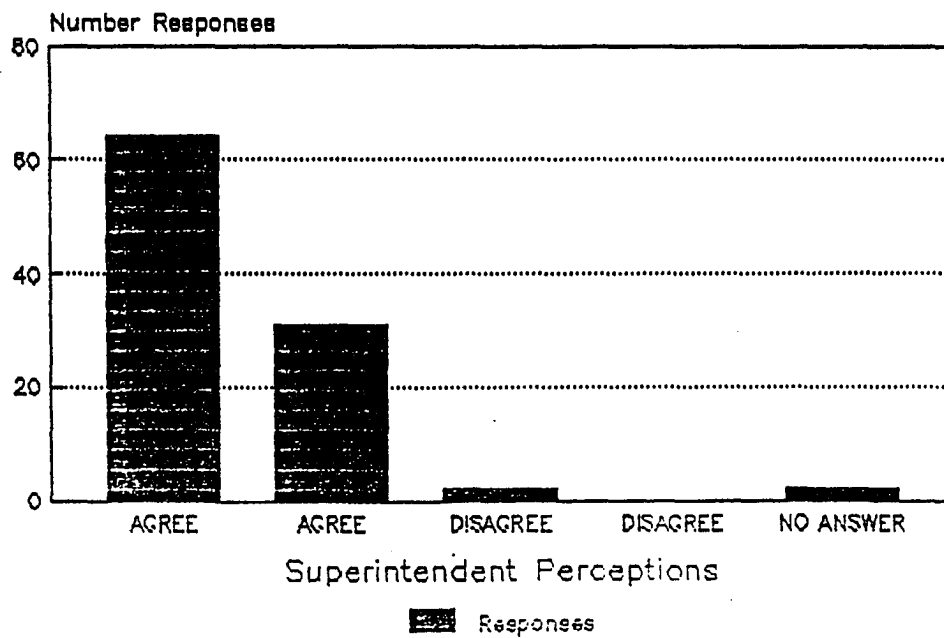
Promote Program Equity & Fairness



Graph 4.31

ROLE OF SUPERINTENDENTS

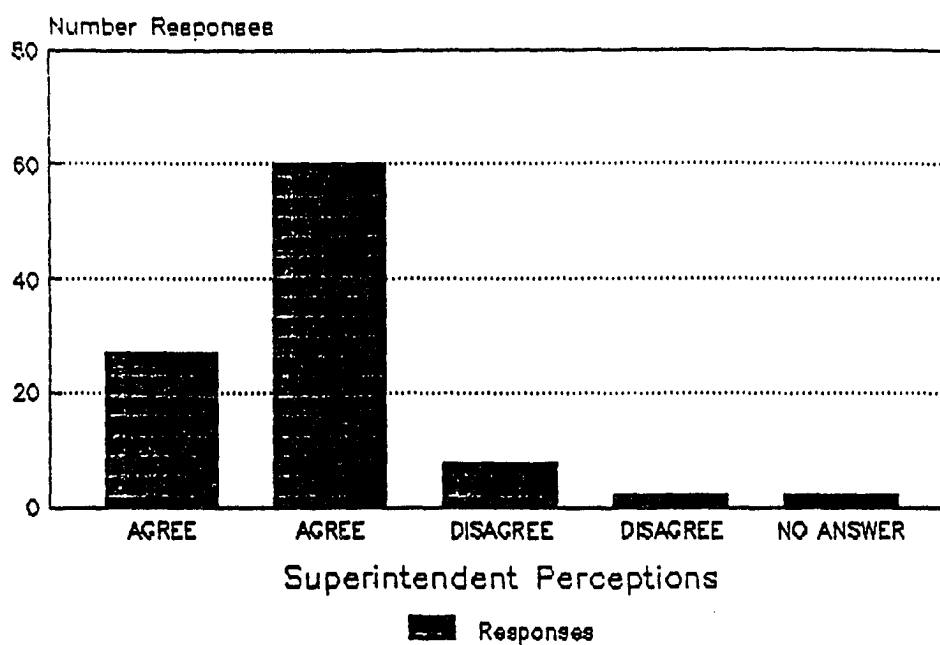
Advocate Low Income/Minority Programs



Graph 4.32

ROLE OF SUPERINTENDENTS

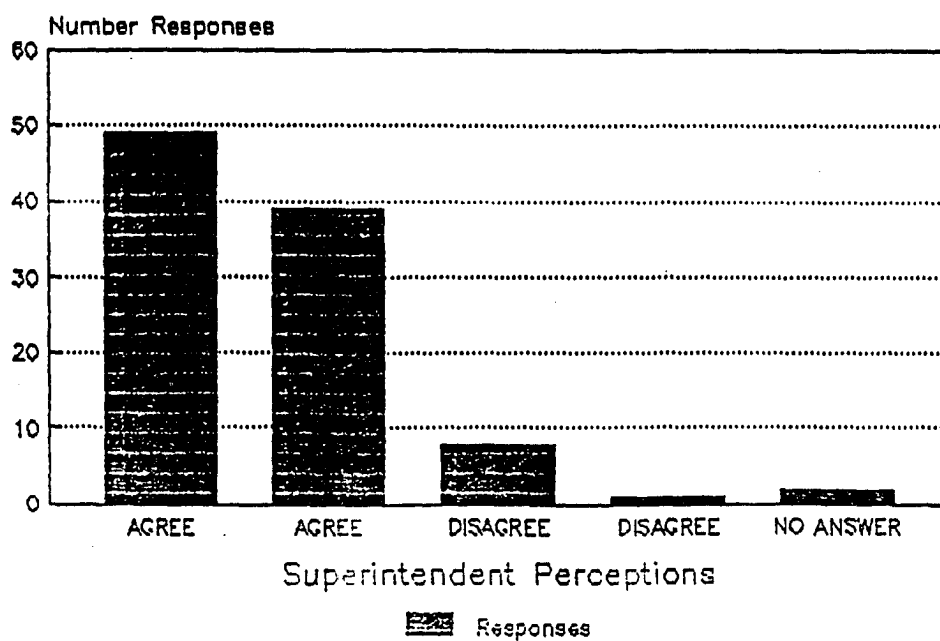
Facilitate Citizen Opinions Expression



Graph 4.33

ROLE OF SUPERINTENDENTS

Insist on Having Free Hand



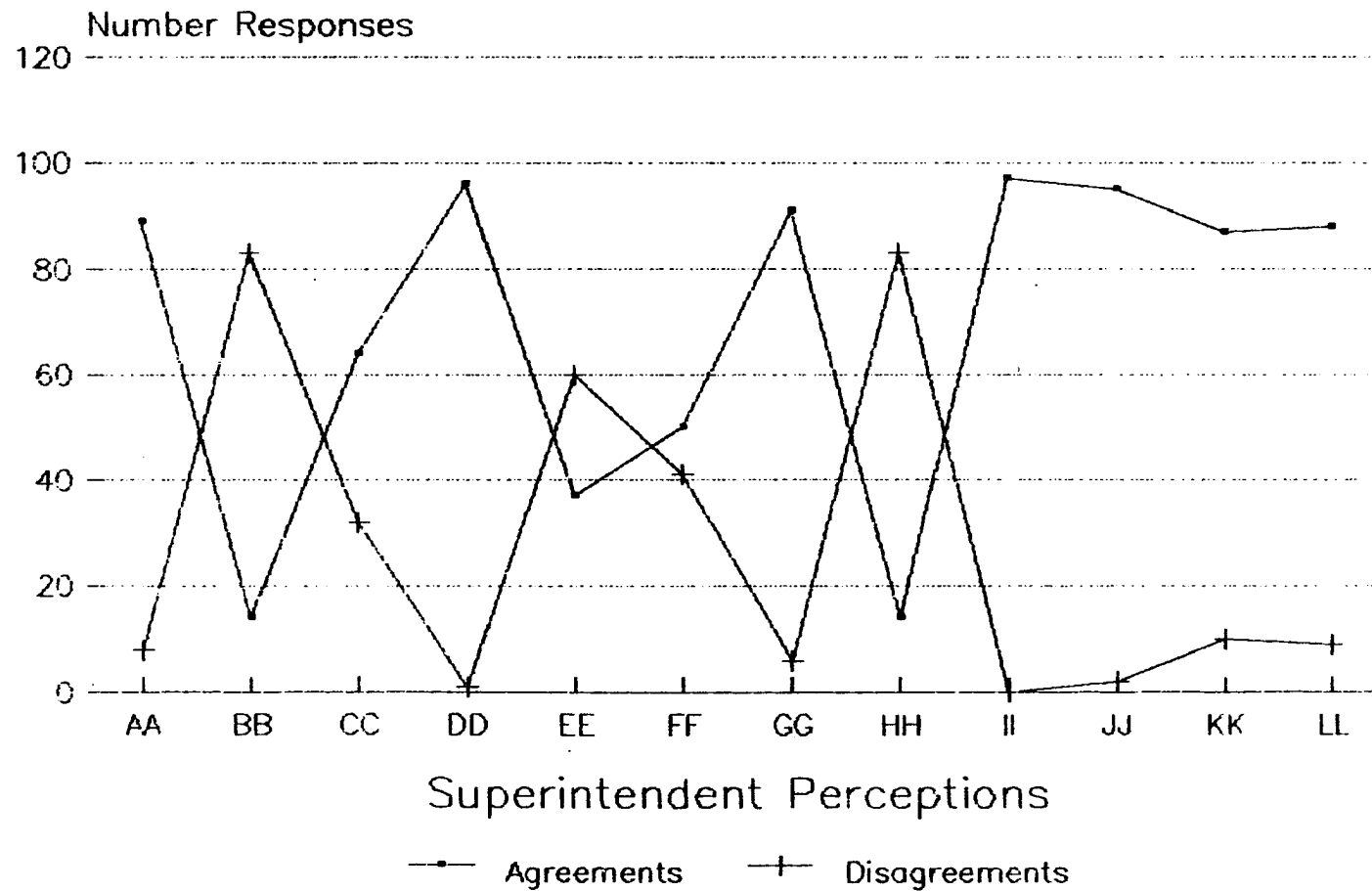
Graph 4.34

Superintendent Activity LL. A superintendent should insist on having a free hand in directing the internal operations of the school district. Eighty-eight superintendents agreed in some form with this statement. Those who disagreed may have done so because of the word "insist". Graph 4.34 demonstrates the responses.

As was done when comparing the agreements and disagreements on the 17 board member activities, it is valuable to compare responses for superintendent activities. A line chart as seen in Graph 4.35 depicts one line for the agreements and another for disagreements. A high number of responses for agreements should have a low number of disagreement responses. When the lines are divergent, responses indicate that superintendents in North Carolina are perceiving their own activity in a similar way. Only items EE and FF appear to have a comparable number of agree and disagree responses.

In revisiting the opening question of understanding roles in the policy process, it appears that superintendents are in consistent agreement about their understanding of what their own roles are in the policy process. They are clearer in their understanding about their own roles than they are the roles of their board members.

ROLES OF SUPERINTENDENTS Combined "Agrees" and "Disagrees"



Graph 4.35

Question 2: Do superintendent responses reveal that superintendents and board members are satisfied with their degree of involvement in the policy process?

Part I of the survey instrument, which is seen as Appendix A, solicited perceptions from superintendents concerning the level of involvement for board members and superintendents in the policy process. It sought responses based on the actual level of involvement as perceived by superintendents and the preferred level of involvement by both the board and the superintendent. The seventeen involvement descriptors were taken from the identifying items for Mission, Policy, Administration, and Management as seen in Appendix B -- Educational Governance: Functions and Activities. In looking at the survey instrument, descriptors 1, 5, 11, and 15 were representative of Mission. Descriptors 2, 7, 13, and 16 were indicative of Policy. Descriptors 6, 8, 9, and 14 were indicative of Administration, and items 3, 4, 10, 12, and 17 were representative of Management.

Superintendents were asked to circle a number from 1 to 5 for each item; 1 indicated very low involvement, 2 low involvement, 3 medium involvement, 4 high involvement, and 5 indicated very high involvement. Since numbers were used it was possible to compare values and calculate averages for the various items and groups. Table 4.4 shows the total average scores for all responses. The headings

down the left side show the superintendent perceptions for the board's actual involvement in the areas of mission, policy, administration, and management, then the board's preferred level of involvement for mission, policy, administration, and management. The table then shows the superintendent's actual involvement and preferred involvement in the same four areas of mission, policy, administration, and management.

When comparing scores it is important to remember what the maximums could be for each area of mission, policy, administration, and management. The first three governance process areas of mission, policy, and administration each had only four indicators, so the maximum score could have been as high as 20--the very highest involvement. Management had five indicators so the maximum score there could have been as high as 25--the very highest involvement. The next three columns in the chart--Sigma X, Sigma X², and (Sigma X)²--are the values used in calculating the standard deviations for each area average score.

AVERAGE INVOLVEMENT SCORES FOR ALL REPORTING SYSTEMS
Raw Score Average, Standardized by Indicator, and Graphable

-----TOTAL SYSTEM RESPONSES-----							
	RAW	SIGMA X	SIGMA X2	(SIGMA X)2	STD DEV	STANDARD	GRAPH

BOARD ACTUAL							
MISSION	11.330	1,122	14,130	1,258,884	3.798	2.833	2.833
POLICY	11.130	1,102	13,440	1,214,404	3.460	2.783	5.565
ADMIN	11.110	1,100	13,356	1,210,000	3.401	2.778	8.333
MANAGE	12.310	1,219	16,675	1,485,961	4.122	2.462	9.848
BOARD PREFERRED							
MISSION	13.200	1,307	18,593	1,708,249	3.695	3.300	3.300
POLICY	12.790	1,266	17,356	1,602,756	3.450	3.198	6.395
ADMIN	10.740	1,063	12,465	1,129,969	3.275	2.685	8.055
MANAGE	11.850	1,173	15,459	1,375,929	3.991	2.370	9.480
SUPER ACTUAL							
MISSION	16.380	1,622	28,176	2,630,884	4.042	4.095	4.095
POLICY	16.590	1,642	28,782	2,696,164	3.974	4.148	8.295
ADMIN	16.060	1,590	27,058	2,528,100	3.940	4.015	12.045
MANAGE	20.080	1,988	42,392	3,952,144	5.022	4.016	16.064
SUPER PREFERRED							
MISSION	16.770	1,660	29,338	2,755,600	3.917	4.193	4.193
POLICY	16.820	1,665	29,595	2,772,225	4.031	4.205	8.410
ADMIN	16.220	1,606	27,700	2,579,236	4.100	4.055	12.165
MANAGE	20.520	2,031	44,139	4,124,961	5.023	4.104	16.416

TABLE 4.4

Before any effort is made to chart the involvement scores and compare them to the Svara Dichotomy-Duality Model, they must be standardized. This standardization is not to be confused with the statistical process of computing the "z score". It is simply a way to allow the researcher an easier way to compare scores in the four areas of mission, policy, administration, and management. Since the raw score for the management function was based on five indicators and the other three areas were based on four indicators, the raw scores were divided by the number of indicators from each governance area, thus obtaining a standardized average for each area of mission, policy, administration, and management. These standardized average involvement scores are seen in Table 4.4 under the heading standard.

At this point it is valuable to reexamine the Svara model as seen on page 119 in Chapter Three. We can recognize that the higher the involvement score the farther to the right would be the line of division between the board's sphere of involvement and the superintendent's sphere of involvement. If the ideal model, as portrayed by James Svara, shows decreasing involvement by the board from mission to management, then we could expect to see decreasing scores from mission to management. If we interpreted the ideal Svara model we would expect mission to show very high involvement by the board, policy would show medium to high involvement, administration would show

very low to low involvement, and management would show very low involvement scores by the board of education. By superimposing maximum standardized involvement scores onto the Svara graph, we would estimate that the ideal average mission score would be 4.5, the ideal average policy score would be 3.0, the ideal average administration score would be 1.5, and the ideal average management score would be 1.0. This depiction is seen as Figure 4.1

Reexamination of the standard scores in Table 4.4 bear out the Svara Model, that scores should decrease from mission to management. As perceived by North Carolina superintendents, the board actual scores(standard) show a slight but steady decline from mission to management. Likewise, the scores for board preferred involvement show a more pronounced decline from mission to management. This score direction supports the Svara model of dichotomous-dual involvement. This could also be interpreted, however, to show how the superintendents see board members' actual and preferred involvement according to their unstated concept of what the model of involvement should look like. Remember, however, that the survey did not have the seventeen activities identified or in order by mission, policy, administration, or management.

DICHOTOMY-DUALITY MODEL
Estimation of Standardized Involvement Scores
for Ideal Model of Involvement

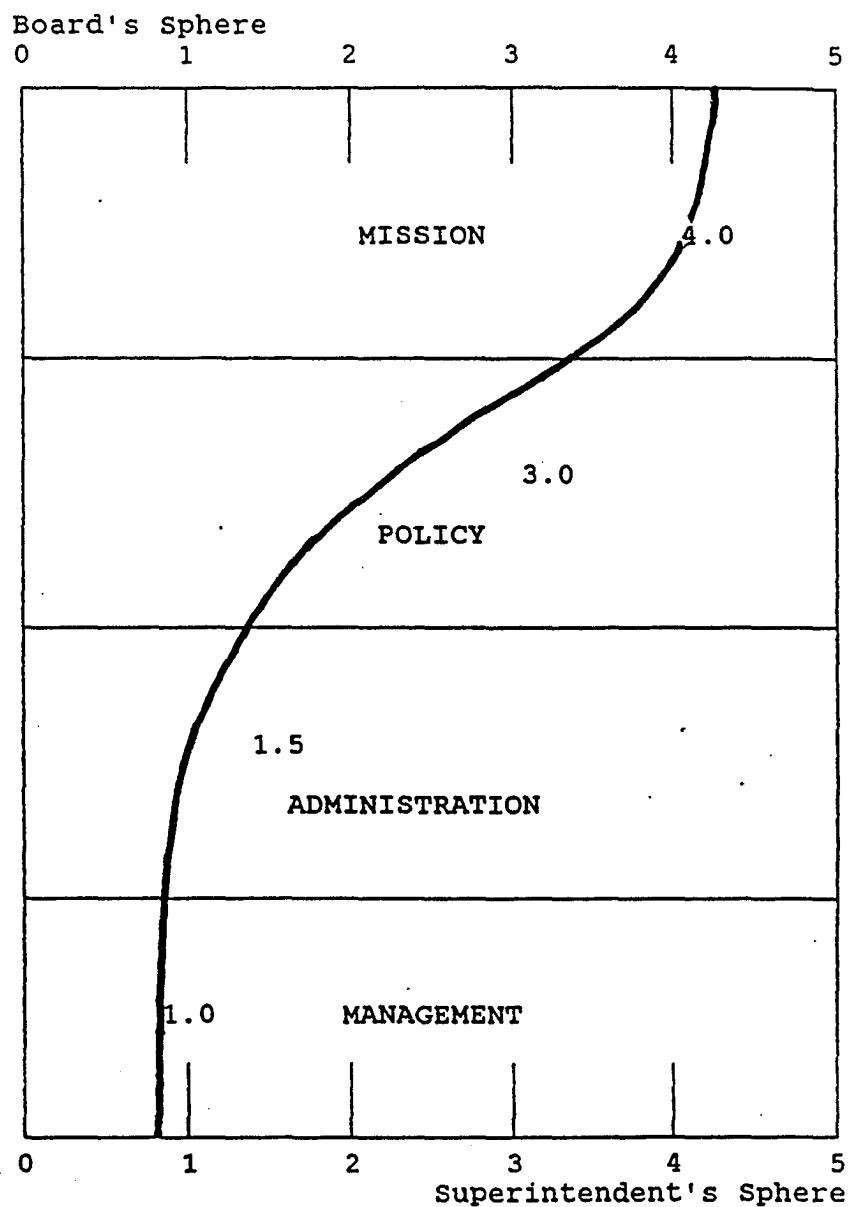


FIGURE 4.1

Modification by author of James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities", Public Administration Review, 45, No. 1, (1985).

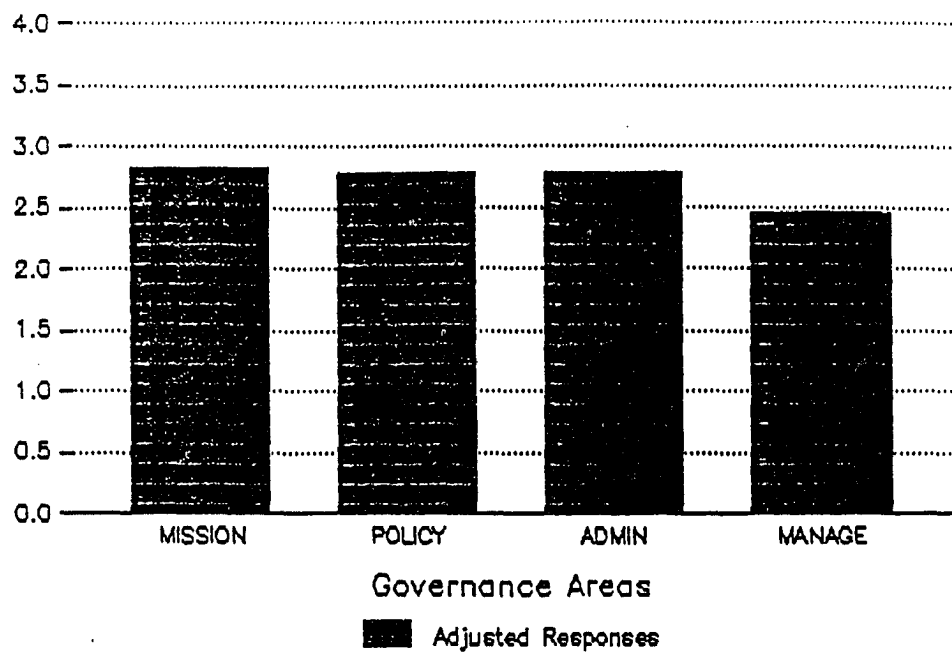
One could also conclude that superintendents accurately understand the activities for board member involvement and, as a group, differentiated those activities consistent with the Svara model.

The superintendents' actual and preferred levels of involvement did not track as clearly as their perceptions for the board's involvement. First we see that the scores are generally higher than they were for board involvement, with scores consistently being in the "4's". Examination also shows that superintendents' actual and preferred scores in policy are higher than in any of the other three areas.

The following series of bar graphs show standardized averages within each actual and preferred set of measurements. Graph 4.36 shows adjusted responses for all school systems for board actual involvement as perceived by superintendents. There is a noticeable, slight decline in scores from involvement in mission to involvement in management. This graph is consistent with the traditional policy model which portrays board members having the highest level of involvement in mission and policy and least involvement in administration and management.

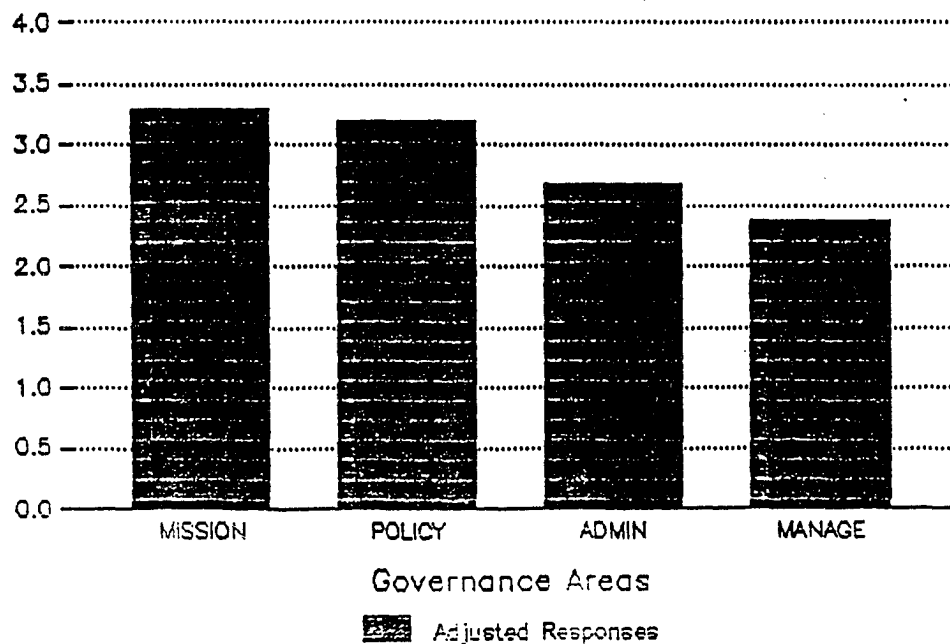
Graph 4.37 shows the perceptions of superintendents concerning the board's preferred level of involvement. One

AVERAGE BOARD ACTUAL INVOLVEMENT SCORES
As Perceived by Superintendents



Graph 4.36

AVERAGE BOARD PREFERRED INVOLVEMENT
As Perceived by Superintendents



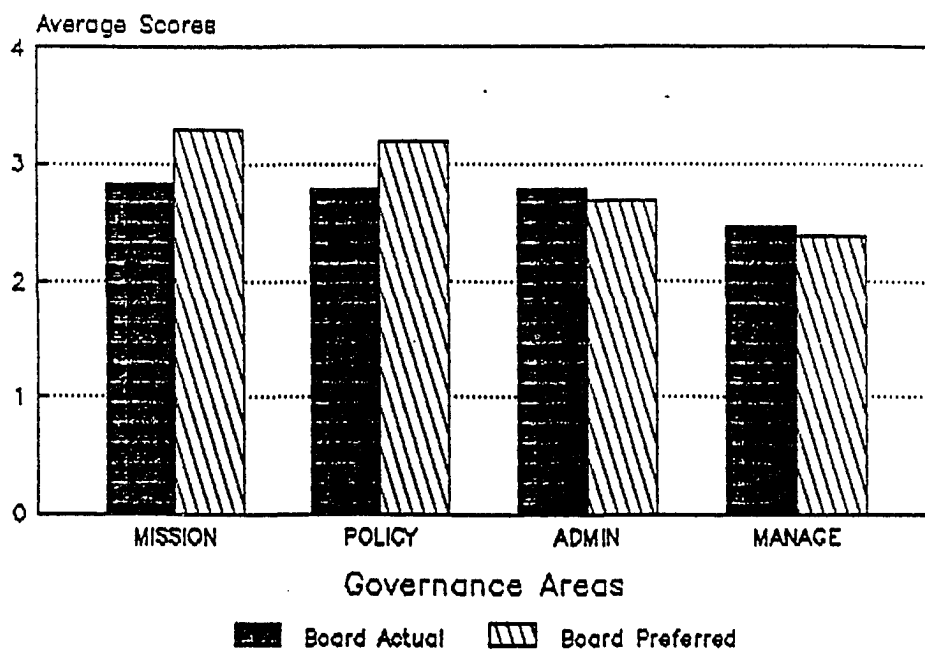
Graph 4.37

can see a more obvious decline in involvement from mission to management--a decline consistent with the Svava model.

It is also interesting to compare the levels of actual and preferred board involvement side by side. One can draw conclusions about the superintendents' perceptions from this comparison, as seen in Graph 4.38. Superintendents believe that board members would prefer more involvement in mission and policy than they currently are, and would prefer to be slightly less involved in administration and management than they actually are. The original question asked whether board members were satisfied with their degree of involvement in the policy process. The greater the distance between actual involvement and preferred involvement, the greater the dissatisfaction. This graph would indicate that superintendents believe that board members are more dissatisfied with their degree of involvement in mission and policy than they are with their degree of involvement in administration and management.

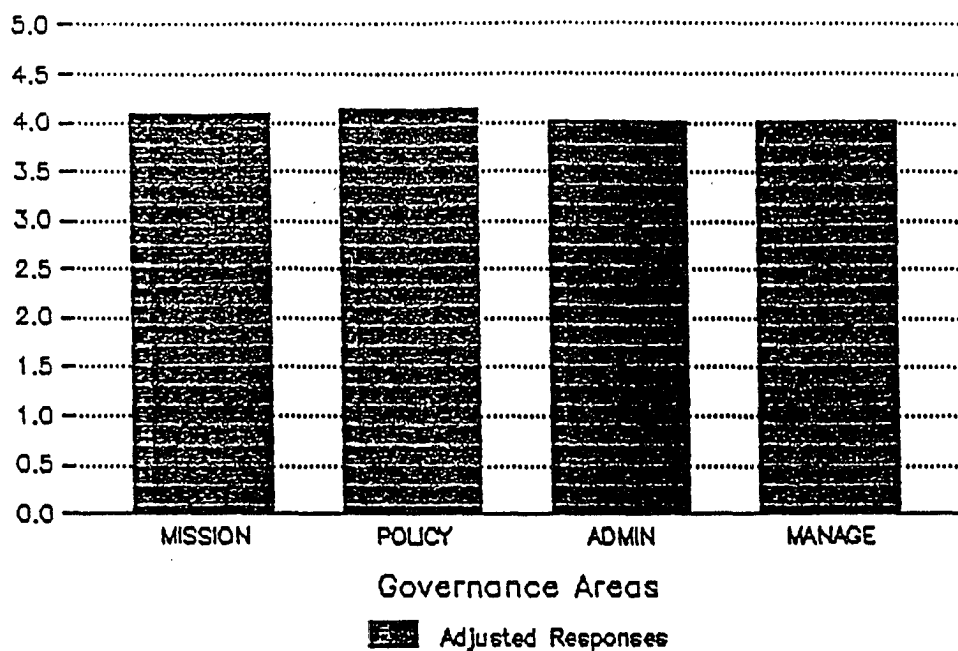
What do the charted scores for superintendent involvement look like. Graphs 4.39 and 4.40 show almost identical responses for actual and preferred levels of involvement. There is also a slight down-trend from mission to management. These graphs are not consistent with what one would expect from the dichotomy-duality model of involvement. One would expect much higher involvement

BOARD ACTUAL AND PREFERRED INVOLVEMENT As Perceived by Superintendents



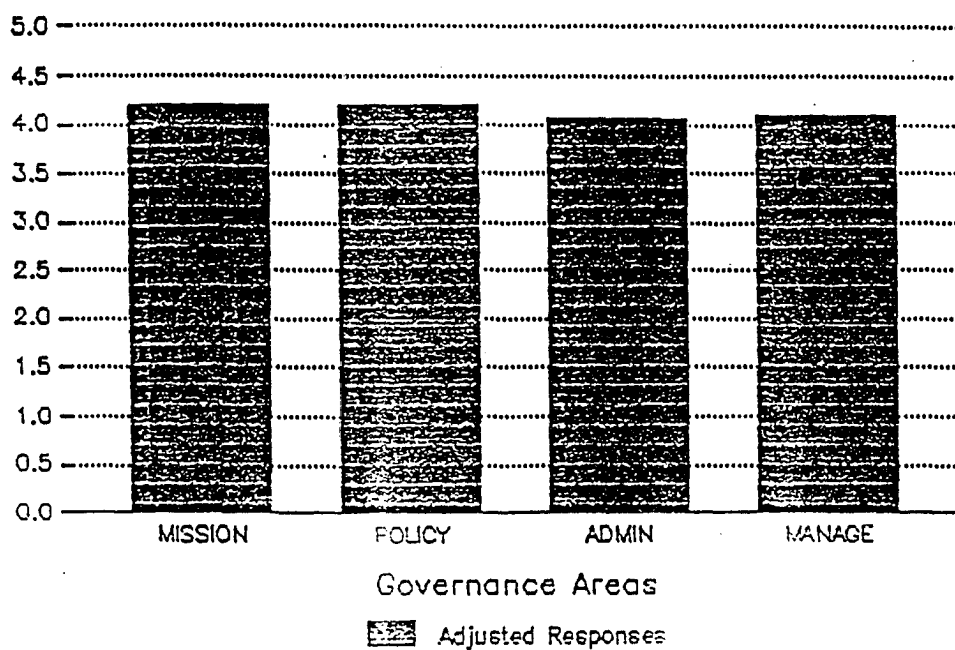
Graph 4.38

SUPERINTENDENT ACTUAL INVOLVEMENT As Perceived by Superintendents



Graph 4.39

SUPERINTENDENT PREFERRED INVOLVEMENT As Perceived by Superintendents

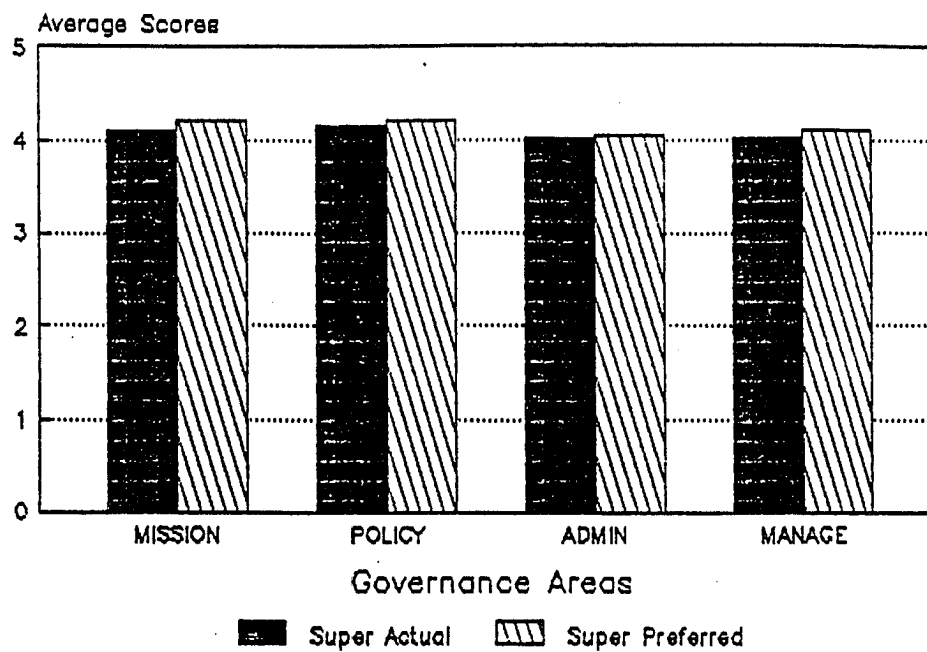


Graph 4.40

scores in the areas of administration and management than shown in these graphs. The scores from Table 4.4 for the superintendents' involvement were higher in all areas than the board involvement. So when superintendent involvement in administration and management are compared with board involvement they are higher. This is to be expected. However, it is interesting to note that the scores for superintendent involvement in mission and policy are also higher than board scores for mission and policy.

There might be two reasons for this. First one might conclude that superintendents see themselves more involved in the areas of mission and policy than the dichotomy-duality model would suggest. And secondly, because superintendents are perceiving for both themselves and their board members, the responses are not fully comparable. When the two are examined side by side, we see little difference between superintendent actual involvement and superintendent preferred involvement. Remembering that the distance between actual and preferred involvement shows degree of dissatisfaction, one can conclude that North Carolina superintendents are relatively satisfied with their degree of involvement in the policy process. Examination of Graph 4.41 shows only a slight desire on the part of superintendents to be more involved in mission, policy, administration and management.

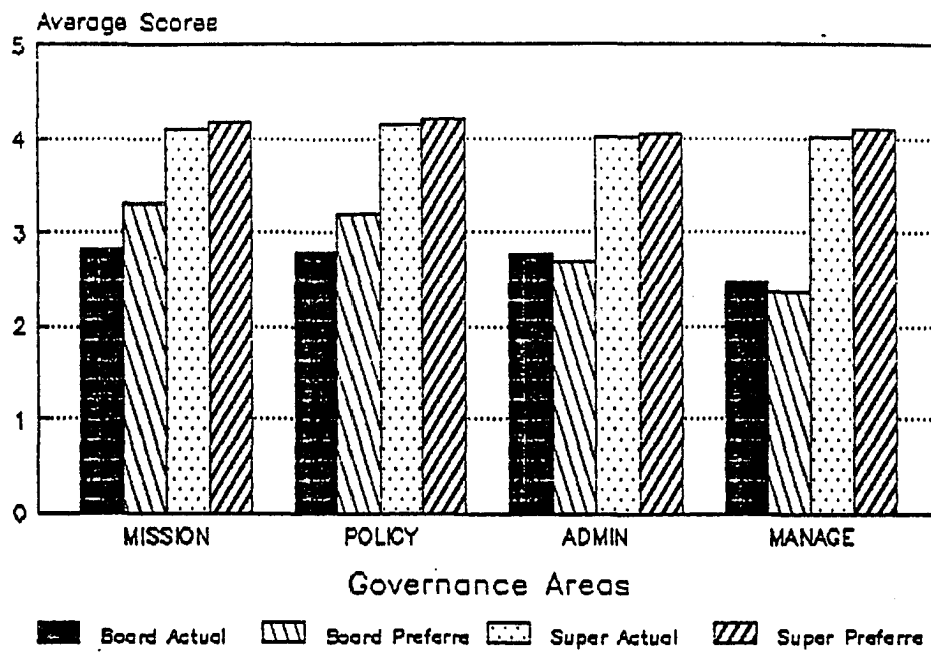
SUPER ACTUAL AND PREFERRED INVOLVEMENT As Perceived by Superintendents



Graph 4.41

When it is all put together, what do the results look like? Often it is easier to compare data when combined, as Graph 4.42 depicts. It is not surprising to see that superintendents are consistently scoring higher than board members in involvement in the policy process cycle. The higher involvement, both actual and preferred, connotes greater control on the part of the North Carolina superintendents over the policy process cycle. When compared with the dichotomy-duality model, the superintendents have not relinquished mission and policy, and in fact remain slightly more involved in those areas than they do the expected areas of administration and management.

COMPARED INVOLVEMENT FOR ALL SYSTEMS
As Perceived by Superintendents



Graph 4.42

Can one take the scores derived from the survey and, with conversions, place them onto a graph similar to the Svara Dichotomy-Duality model? One can project scores for what the Svara ideal model would look like. Table 4.5 shows raw, standardized, and graphable scores for all system responses and for the "ideal" dichotomy-duality model. The graphable scores for total system responses were derived by examining the dichotomy-duality model. If one understands that the maximum average value for management is 5, then this is the same as the current standard average maximum. But administration is placed on top of management in the dichotomy-duality model, so for the sake of charting the model, the maximum average could be 10. Policy added on top of administration adds up to a maximum average score of 15, and mission added to policy reaches a maximum of 20. Adjusting the minimum and maximum borders of the ideal graph allows the software to draw a four layer model that represents the dichotomy-duality model. The angular line approximates the line separating involvement by board and superintendent, as depicted by James Svara. The graphic representation, with cumulative maximum on the Y axis, is seen as Figure 4.2. This computer-drawn figure will be used as a comparative backdrop for involvement scores and approximates the hand-drawn Figure 4.3, the Svara Dichotomy-Duality model.

AVERAGE INVOLVEMENT SCORES FOR ALL AND IDEAL
Raw Score Average, Standardized by Indicator, and Graphable

	---TOTAL RAW	SYSTEM STANDARD	RESPONSES-- GRAPH	-IDEAL- GRAPH

BOARD ACTUAL				
MISSION	11.330	2.833	2.833	2.000
POLICY	11.130	2.783	5.565	6.800
ADMIN	11.110	2.778	8.333	9.000
MANAGE	12.310	2.462	9.848	12.000
BOARD PREFERRED				
MISSION	13.200	3.300	3.300	2.000
POLICY	12.790	3.198	6.395	6.800
ADMIN	10.740	2.685	8.055	9.000
MANAGE	11.850	2.370	9.480	12.000
SUPER ACTUAL				
MISSION	16.380	4.095	4.095	2.000
POLICY	16.590	4.148	8.295	10.000
ADMIN	16.060	4.015	12.045	14.000
MANAGE	20.080	4.016	16.064	20.000
SUPER PREFERRED				
MISSION	16.770	4.193	4.193	2.000
POLICY	16.820	4.205	8.410	10.000
ADMIN	16.220	4.055	12.165	14.000
MANAGE	20.520	4.104	16.416	20.000

TABLE 4.5

DICHOTOMY-DUALITY IDEAL GRAPH

Arbitrary Scores Used for Fit

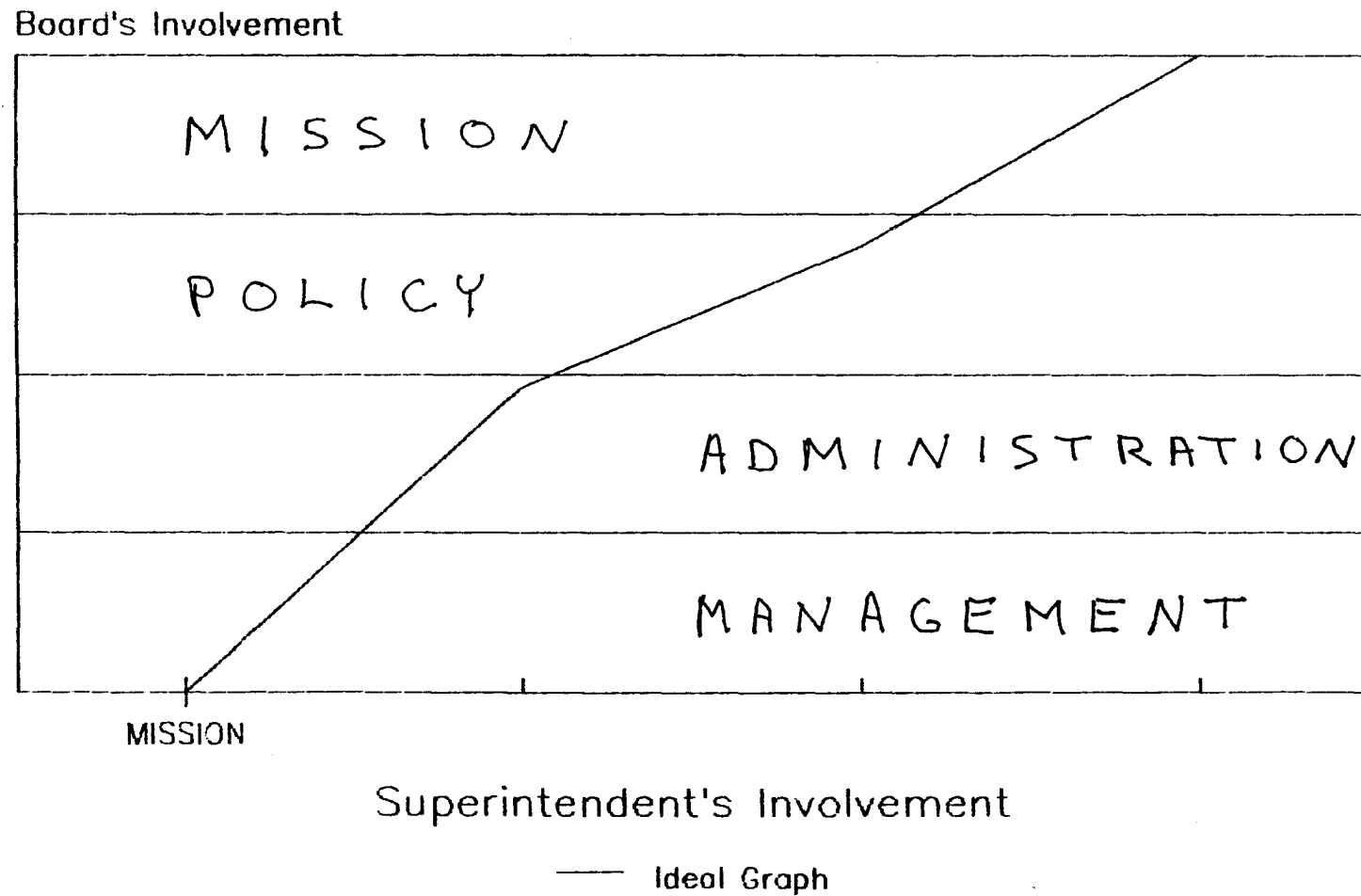
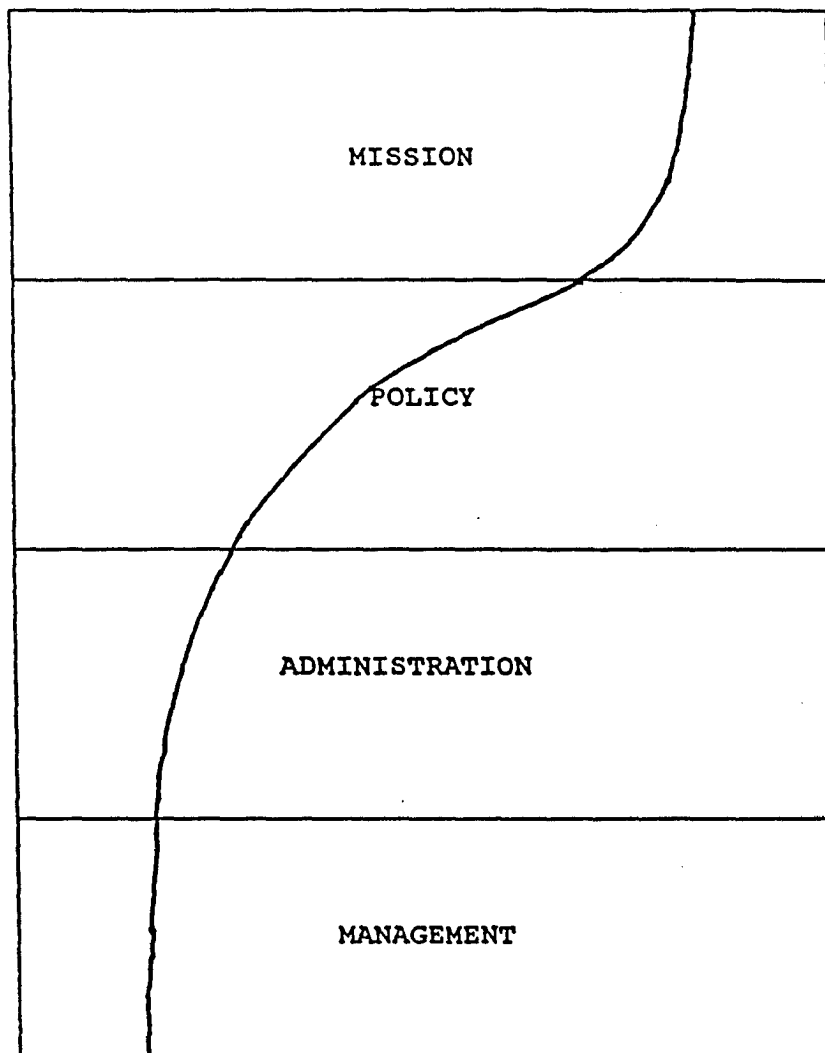


FIGURE 4.2

DICHOTOMY-DUALITY MODEL
 Mission-Management Separation with Shared
 Responsibility for Policy and Administration

Board's Sphere



Superintendent's Sphere

FIGURE 4.3

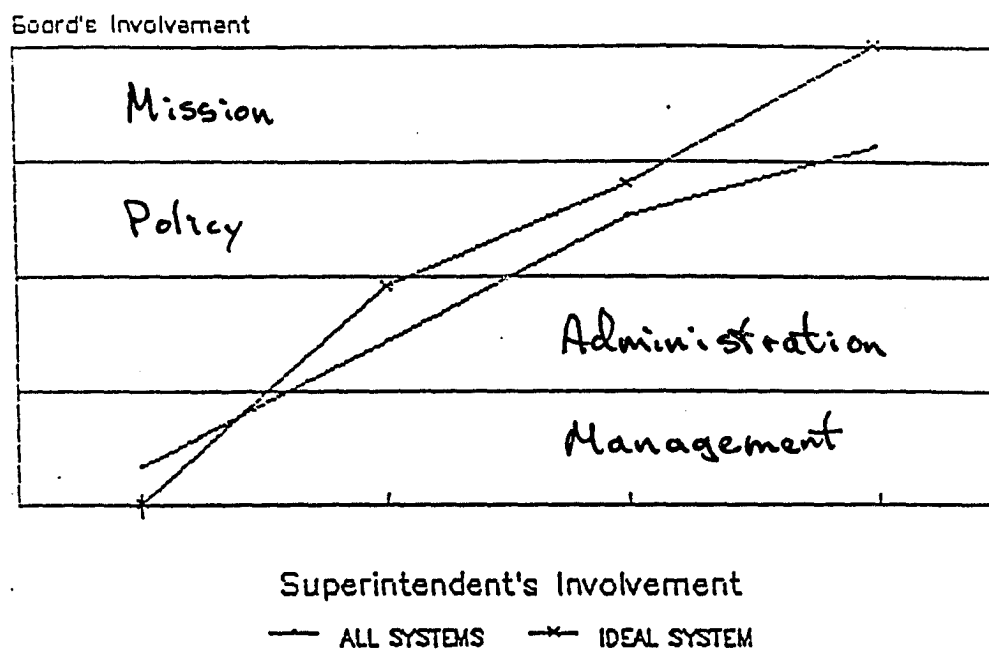
Reproduced from James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities", Public Administration Review, 45, No. 1, (1985).

When the graphable scores are taken from Table 4.5 and used to draw a line on the Svara graphs, they are seen in comparison with the ideal line. The representation of board actual and preferred involvement and superintendent actual and preferred involvement for all system averages is seen in the graph series 4.43 through 4.46. Examination of the board's actual involvement as perceived by superintendents shows involvement to be to the right of the ideal line in the areas of mission, policy, and administration. The lines cross in management, suggesting that the board is actually less involved than the model would portray. The board preferred involvement in Graph 4.44 shows even more involvement in mission and policy than actual, but a lessening of involvement in administration and management. Superintendents perceive that board members would like to be less involved in administration and management than even the Svara model would suggest.

Examination of the superintendent actual and preferred involvement shows almost identical graph patterns in Graphs 4.45 and 4.46. Remembering that the data showed little difference between the actual and preferred, suggesting relative satisfaction with their involvement in the policy process, these graphs are to be expected. The lines do indicate, however, that superintendents perceive themselves to be operating with less involvement in mission, policy and administration than the Svara model would project, and with more involvement in management.

BOARD ACTUAL INVOLVEMENT ALL SYSTEMS

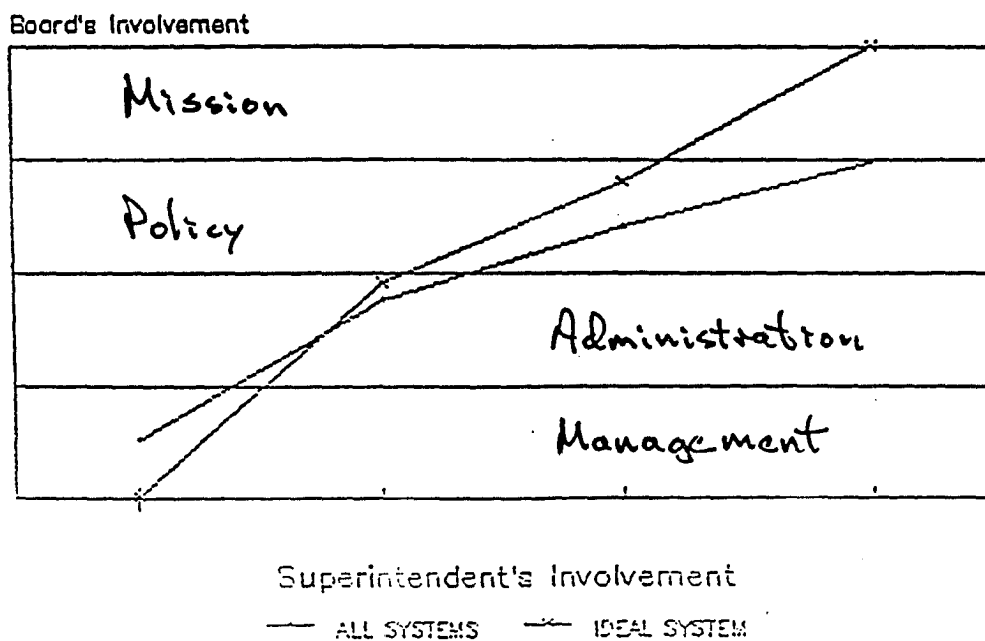
Next to Ideal Dichotomy-Duality Model



Graph 4.43

BOARD PREFERRED INVOLVEMENT ALL SYSTEMS

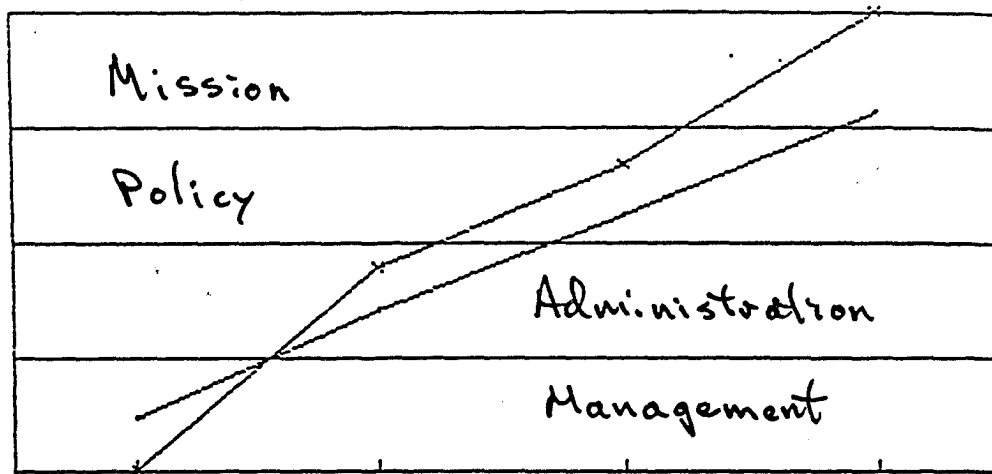
Next to Ideal Dichotomy-Duality Model



Graph 4.44

SUPER ACTUAL INVOLVEMENT ALL SYSTEMS Next to Ideal Dichotomy—Duality Model

Board's Involvement

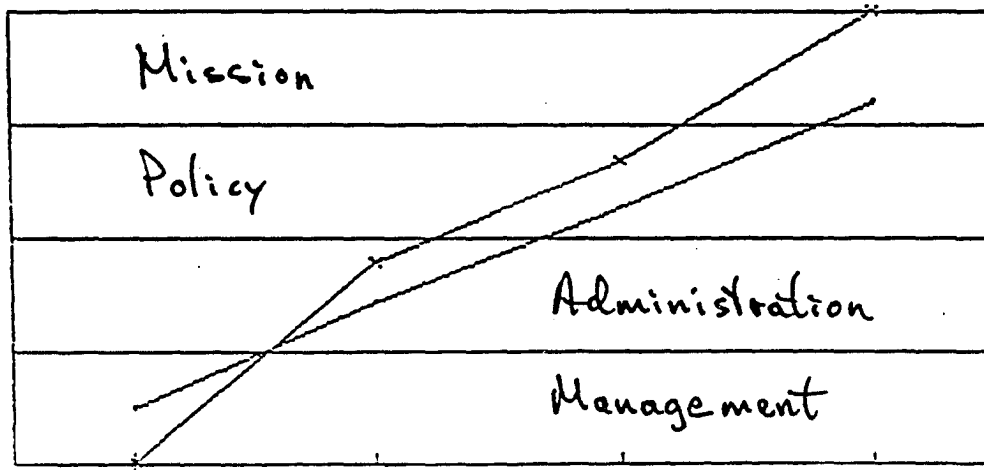


Superintendent's Involvement
— ALL SYSTEMS —x— IDEAL SYSTEM

Graph 4.45

SUPER PREFERRED INVOLVEMENT Next to Ideal Dichotomy—Duality Model

Board's Involvement



Superintendent's Involvement
— ALL SYSTEMS —x— IDEAL SYSTEM

Graph 4.46

Question: Do superintendent responses reveal that certain areas of policy have greater potential for conflict between board members and superintendents?

The second section of Part I of the survey instrument sought to measure the degree of conflict between superintendents and board members in the policy process cycle. Superintendents were asked to respond to the same seventeen activities that were examined for actual and preferred involvement and to assess the degree of conflict by indicating that there was "no conflict", "a little conflict", or a "lot of conflict". In order to tabulate the data, numbers were assigned to the categorical responses with a value of "0" being assigned to "no conflict", "3" being assigned to "a little conflict", and "6" being assigned to "a lot of conflict". Table 4.6 shows system responses for each item on the survey, with totals for each system as well as for each item across all systems. The letters "A" through "Q" correspond to the seventeen items measuring conflict on the survey instrument, seen in Appendix A. Table 4.7 is a summary of the total scores , averages, and standard deviations.

TOTAL CONFLICT SCORES BY SYSTEM AND ITEM
 0=NO CONFLICT;3=A LITTLE CONFLICT;6=A LOT OF CONFLICT

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	TOTAL SCORE
--	--	---	---	--	---	--	---	---	--	--	--	--	---	--	--	---	-----
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
0	0	0	3	0	0	0	0	0	0	0	0	0	0	0	0	3	0.00
3	0	3	3	3	3	3	6	3	0	0	0	0	3	6	3	3	6.00
0	0	0	3	0	0	0	0	0	0	0	0	0	0	0	0	0	42.00
0	0	3	3	0	3	0	0	3	0	0	0	0	0	0	0	0	3.00
0	0	3	3	0	3	0	0	3	0	0	0	0	0	0	0	0	12.00
0	0	3	3	0	3	0	0	3	0	0	0	0	0	0	0	0	12.00
3	0	0	3	0	0	3	3	0	0	3	0	0	0	3	3	0	21.00
3	0	3	0	0	0	0	3	3	0	6	0	3	3	0	0	0	24.00
3	0	6	3	0	3	3	6	3	0	0	3	3	3	3	6	3	48.00
0	0	3	3	0	0	0	0	0	0	0	0	0	0	0	0	0	6.00
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
0	0	0	0	0	0	0	3	3	0	0	0	0	0	0	0	0	6.00
3	3	0	3	0	3	3	0	0	0	0	0	0	0	3	3	3	24.00
3	0	0	0	0	0	0	0	0	0	0	0	0	0	3	0	0	6.00
0	0	3	3	0	0	0	0	0	0	0	0	0	0	3	0	0	9.00
0	0	3	6	0	3	0	3	3	0	0	0	0	0	0	3	0	21.00
3	0	3	0	3	3	3	3	0	0	0	3	3	3	3	0	3	33.00
3	3	0	3	0	0	0	3	3	0	0	0	0	0	0	3	0	18.00
0	0	3	3	0	0	0	3	0	0	0	0	0	0	0	0	3	12.00
0	0	6	6	0	3	0	3	3	0	0	0	0	0	0	0	0	21.00
0	0	0	3	0	0	3	3	0	0	0	0	3	0	0	0	0	12.00
3	0	6	6	3	3	3	3	6	3	3	3	3	3	3	3	3	57.00
0	0	0	3	0	0	0	6	0	0	0	0	0	0	0	0	0	9.00
0	0	0	3	0	0	0	0	0	0	0	0	0	3	0	0	0	6.00
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
3	0	3	0	0	3	0	0	3	0	0	0	0	0	0	3	0	15.00
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
0	0	6	6	0	0	3	3	6	0	0	3	0	0	3	6	6	42.00
3	0	6	6	3	3	0	3	6	6	0	3	3	3	0	0	6	51.00
0	0	0	3	0	0	0	0	0	0	0	3	0	0	0	0	0	6.00
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
3	0	3	3	3	0	0	3	0	0	6	0	0	3	0	0	3	27.00
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
0	0	0	0	0	3	0	3	0	0	0	0	0	0	0	0	0	6.00
0	0	0	0	0	0	0	3	0	0	0	0	0	0	0	0	3	9.00
0	0	3	3	0	0	0	3	0	0	0	3	0	0	0	0	3	15.00
3	6	3	6	3	6	3	6	0	0	3	0	3	0	0	3	3	48.00
0	0	0	0	0	0	0	3	0	0	3	0	0	0	0	3	0	9.00
0	0	3	3	0	0	0	3	0	0	0	0	0	0	0	0	0	9.00
3	0	0	3	3	0	0	3	3	0	3	0	0	0	0	3	0	21.00
0	0	3	3	0	0	0	3	0	0	0	0	0	0	0	0	0	9.00
0	0	3	6	0	0	0	3	0	0	0	0	0	0	0	0	0	12.00
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
0	0	3	3	0	0	0	3	3	3	0	3	0	0	0	0	0	18.00
0	0	0	3	0	0	0	3	0	0	0	0	0	0	0	0	0	6.00
0	0	6	6	3	0	0	3	3	0	0	0	0	0	0	0	0	21.00
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00
3	0	0	3	0	0	0	0	0	0	0	0	0	0	0	0	0	6.00
0	3	0	3	3	3	0	6	3	0	6	0	0	0	0	0	3	30.00
0	0	0	0	0	0	0	3	0	3	0	0	0	0	0	0	0	6.00

TABLE 4.1.

TOTAL CONFLICT SCORES BY SYSTEM AND ITEM
 0=NO CONFLICT;3=A LITTLE CONFLICT;6=A LOT OF CONFLICT

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	TOTAL SCORE	
3	0	3	3	3	3	0	0	3	0	0	0	0	0	0	0	3	21.00	
3	0	0	0	3	3	0	0	3	0	3	0	0	0	3	0	0	13.00	
3	0	0	0	3	3	0	3	0	0	3	3	3	0	3	3	0	27.00	
0	0	0	0	3	0	0	3	0	0	0	0	3	0	0	0	0	9.00	
0	0	3	3	0	3	3	3	0	0	0	0	0	0	0	3	3	21.00	
0	0	3	3	0	3	0	3	0	0	0	0	3	0	0	3	0	18.00	
0	0	3	0	0	0	0	0	0	0	3	0	0	0	0	0	0	6.00	
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	
3	3	3	3	6	3	3	6	6	0	3	3	3	3	3	3	3	57.00	
0	0	0	0	0	0	0	3	0	0	0	0	0	0	0	0	0	3.00	
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	
3	3	3	3	0	3	3	6	3	0	3	3	0	0	3	3	6	45.00	
0	0	3	6	0	0	0	6	0	0	0	0	0	0	0	0	0	15.00	
0	0	0	3	0	0	0	3	3	0	0	0	0	0	0	0	3	12.00	
0	0	3	3	0	3	3	3	3	0	0	3	3	3	0	3	3	33.00	
0	0	3	3	0	0	3	0	0	0	0	3	0	3	0	0	0	15.00	
3	0	3	3	3	0	0	3	3	0	0	3	3	3	3	3	3	36.00	
0	0	3	3	0	3	0	0	0	0	0	0	0	0	0	0	0	9.00	
0	0	6	3	0	0	0	6	3	3	0	0	3	0	0	0	0	24.00	
0	0	3	3	0	3	0	0	3	0	0	0	0	3	0	0	3	18.00	
0	0	3	3	0	0	0	3	0	0	0	0	0	0	0	0	0	9.00	
0	0	3	3	0	0	0	0	0	0	0	0	0	0	0	0	0	6.00	
0	0	0	0	0	0	0	3	0	0	0	0	0	0	0	0	0	3.00	
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	
3	0	0	0	3	0	0	0	0	0	0	3	0	0	0	0	0	9.00	
0	0	3	0	0	3	3	3	3	3	0	0	0	3	0	0	3	24.00	
0	3	3	0	3	0	0	3	3	0	0	0	3	0	0	0	0	18.00	
0	0	0	3	0	3	0	0	3	0	0	0	0	0	3	0	0	12.00	
0	0	0	0	0	0	0	3	0	0	0	0	0	0	0	0	0	3.00	
0	0	3	3	0	0	0	0	0	0	0	3	3	0	3	0	3	18.00	
3	0	3	0	0	3	0	0	3	0	3	3	0	3	3	3	3	30.00	
0	0	0	3	0	3	3	0	0	0	3	0	0	0	0	3	0	15.00	
3	0	0	3	0	0	3	3	0	0	0	0	3	0	0	3	3	21.00	
0	0	3	3	0	0	0	0	0	0	0	0	0	0	0	0	0	6.00	
0	3	3	3	0	0	3	3	0	0	0	0	0	0	0	0	3	18.00	
0	3	3	3	0	3	0	3	0	0	0	3	0	0	0	0	0	18.00	
3	0	3	3	3	0	0	6	3	0	0	3	0	3	0	0	3	30.00	
0	0	0	3	0	3	0	0	3	0	3	0	0	0	0	0	0	12.00	
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	
0	3	0	0	3	3	3	3	3	0	3	3	3	3	3	3	3	39.00	
0	0	0	3	0	0	0	3	6	0	0	0	0	0	0	0	0	12.00	
0	0	0	0	0	0	0	3	0	0	0	3	0	0	0	0	0	6.00	
0	0	3	0	0	3	0	0	0	0	0	0	0	0	0	0	3	9.00	
3	3	6	6	3	6	6	3	6	0	3	3	3	3	6	6	6	72.00	
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.00	
0	0	3	3	0	0	3	3	0	0	0	0	0	3	0	3	0	18.00	
==	==	==	==	==	==	==	==	==	==	==	==	==	==	==	==	==	=====	
Total:	78	36	171	210	63	108	66	198	123	21	63	66	57	57	63	84	105	1569.00

TABLE 4.C

CONFLICT SCORES FOR ALL SYSTEMS BY ITEM
Item Totals, Averages, and Standard Deviations

	TOTAL	AVERAGE	STD DEV
	-----	-----	-----
A ID PROB	78.00	19.50	1.33
B DEV AN PRO	36.00	9.00	1.07
C HIRE CO	171.00	34.20	1.92
D HIRE OTH	210.00	42.00	1.93
E DEV STRAT	63.00	15.75	1.31
F SPEC DECIS	108.00	27.00	1.57
G FORM BUDG	66.00	16.50	1.32
H INVES COMP	198.00	49.50	1.96
I MAKE SPEC DECIS	123.00	30.75	1.82
J CONTRACT	21.00	4.20	0.88
K CHANGE ED PRO	63.00	15.75	1.44
L ASSES ORG PERF	66.00	13.20	1.25
M INIT PRO	57.00	14.25	1.19
N EVAL PRO	57.00	14.25	1.19
O PURP AND SCOPE	63.00	15.75	1.37
P BUDGET REV	84.00	21.00	1.55
Q CHNGE MANAGE	105.00	21.00	1.68
TOTAL SCORE	1,569.00	392.25	14.86

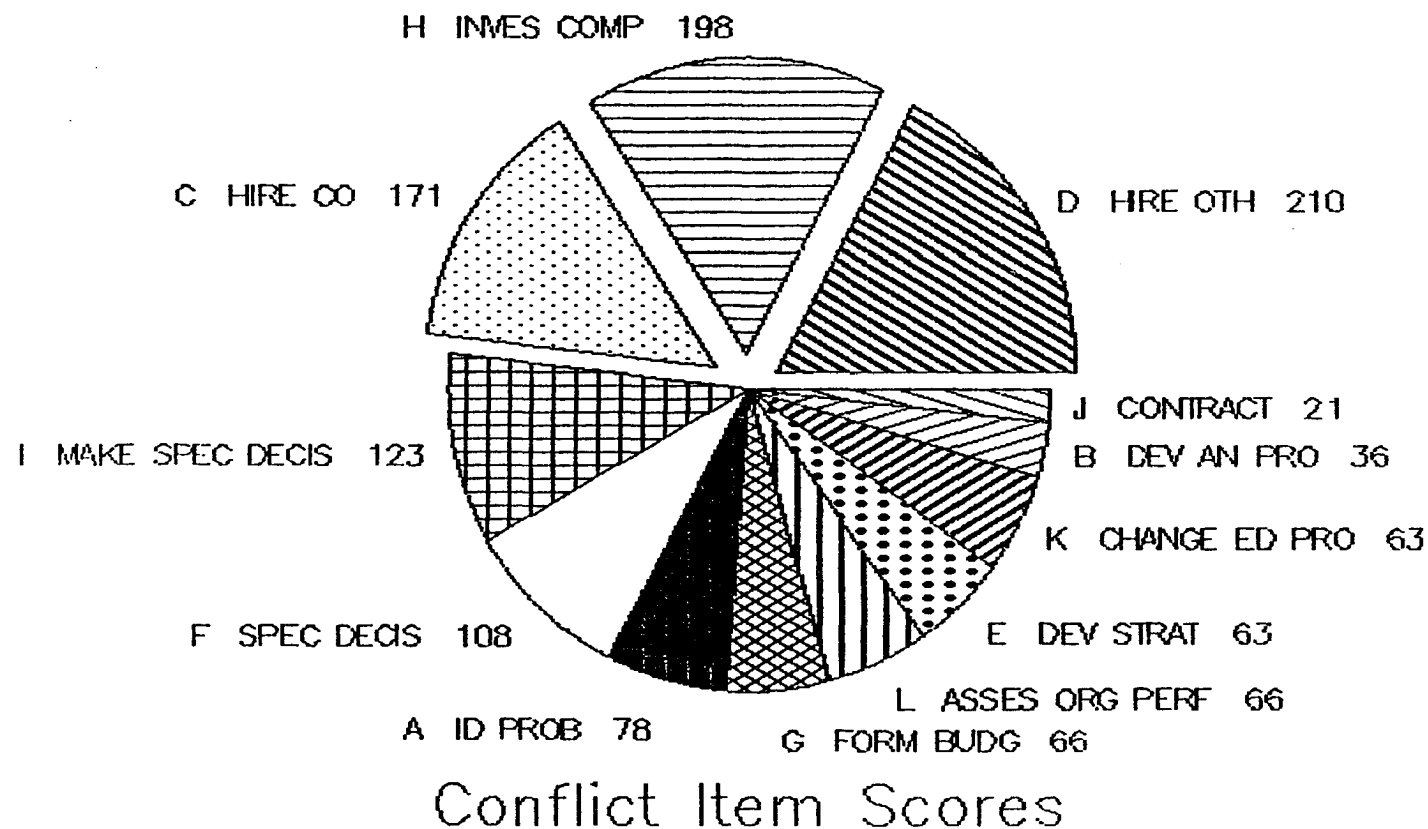
TABLE 4.7

By looking at the total scores for each item in Table 4.7, examination of each of the 17 items can give us an idea of the areas of greatest conflict between board members and superintendents, as perceived by superintendents. The areas of, "Hiring Decisions About Staff Other Than Central Office Administrators--210", "Investigating Citizen Complaints--198", "Hiring Decisions About Central Office Administrators--171", "Making Specific Decisions That Are Part of Larger Projects--123", "Specific Decisions About Allocating Resources--108", and "Proposing Changes in Management Practices or Organization--105" seem to present the greatest areas for conflict.

Conversely, the areas which seem to hold the least potential for conflict are "Routine Contracting and Purchasing--21", and "Developing Annual Program Goals and Objectives--36". Routine contracting and purchasing is a management function and, since it is at the bottom of the dichotomy-duality model, should not be an area in which the board spends much time. Developing annual program goals and objectives is a policy area, but is not likely to be an area of conflict since policy is often shared by board members and superintendents.

Graph 4.47 shows the ranked spread of scores by item area. Hiring decisions and investigating citizen complaints account for almost one half of all conflict areas.

AREAS OF CONFLICT IN POLICY MANAGEMENT As Perceived by Superintendents



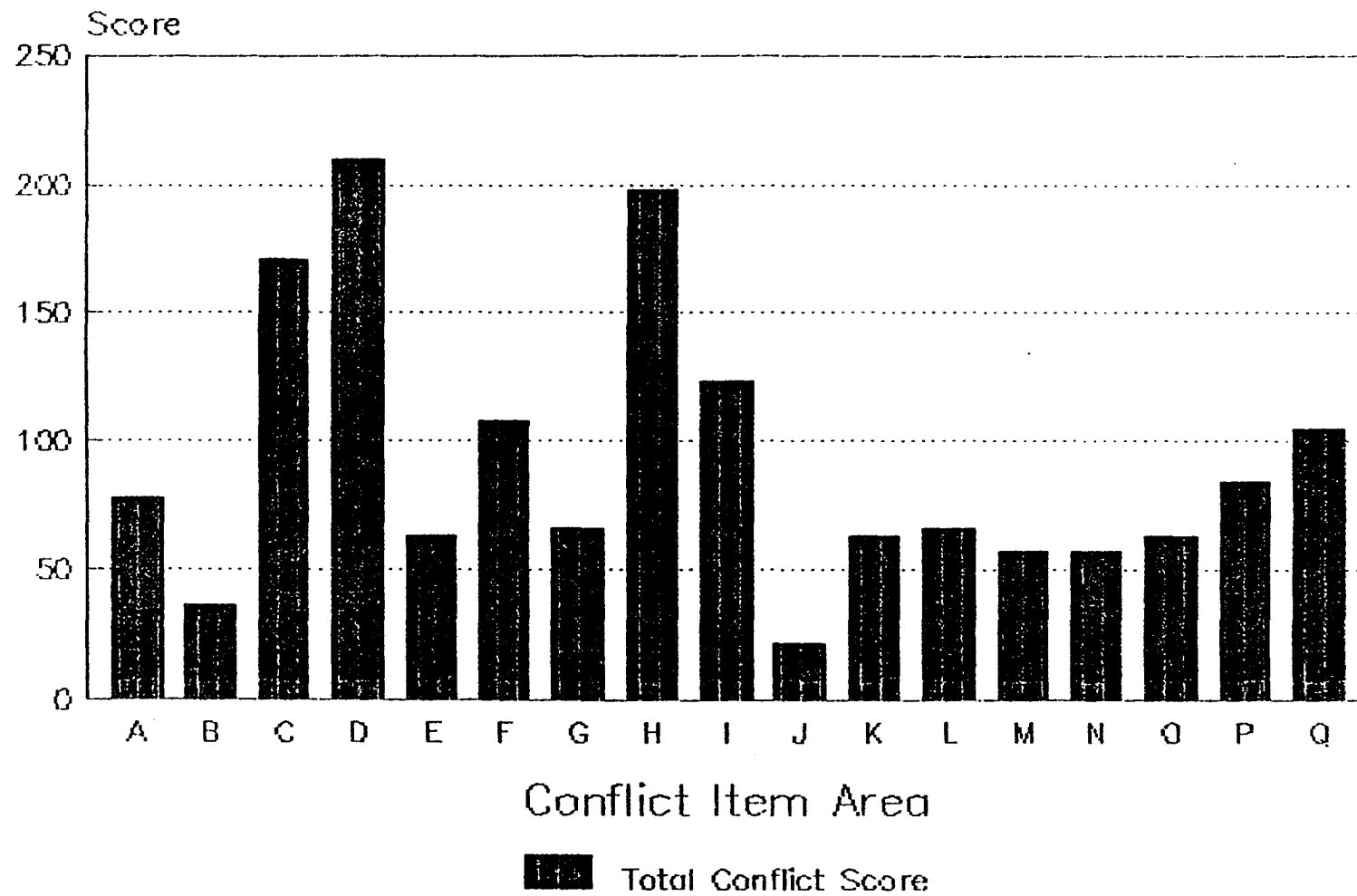
Graph 4.47

The graph 4.48 shown as conflict in policy management represents the comparative scores for each of the conflict item areas. As already mentioned, areas C, D, and H are hiring decisions about central office administrators, hiring decisions about staff other than central office administrators, and investigating citizen complaints, respectively. B and J are the two lowest areas for conflict--developing annual program goals and objectives, and routine contracting and purchasing.

It is even more revealing to examine conflict scores by item when they are grouped according to mission, policy, administration, and management. Items A, E, K, and O represented mission; items B, G, M, and P represented policy; items F, H, I, and N were indicative of administration, and items C, D, J, L, and Q represented management. Graph 4.49 shows very little conflict occurring in the mission and policy areas. However, there is a great deal of conflict appearing in the areas of administration and management. In fact six of the nine items have conflict scores higher than the highest area of conflict in either mission or policy. One might conclude that this is a result of the board's incursion into the areas of administration and management. In the previous graph 4.43 on page 195 which showed the Board Actual Involvement for All Systems compared to the Ideal Dichotomy-Duality model, one recognized that the board was more involved in the administration area than the ideal

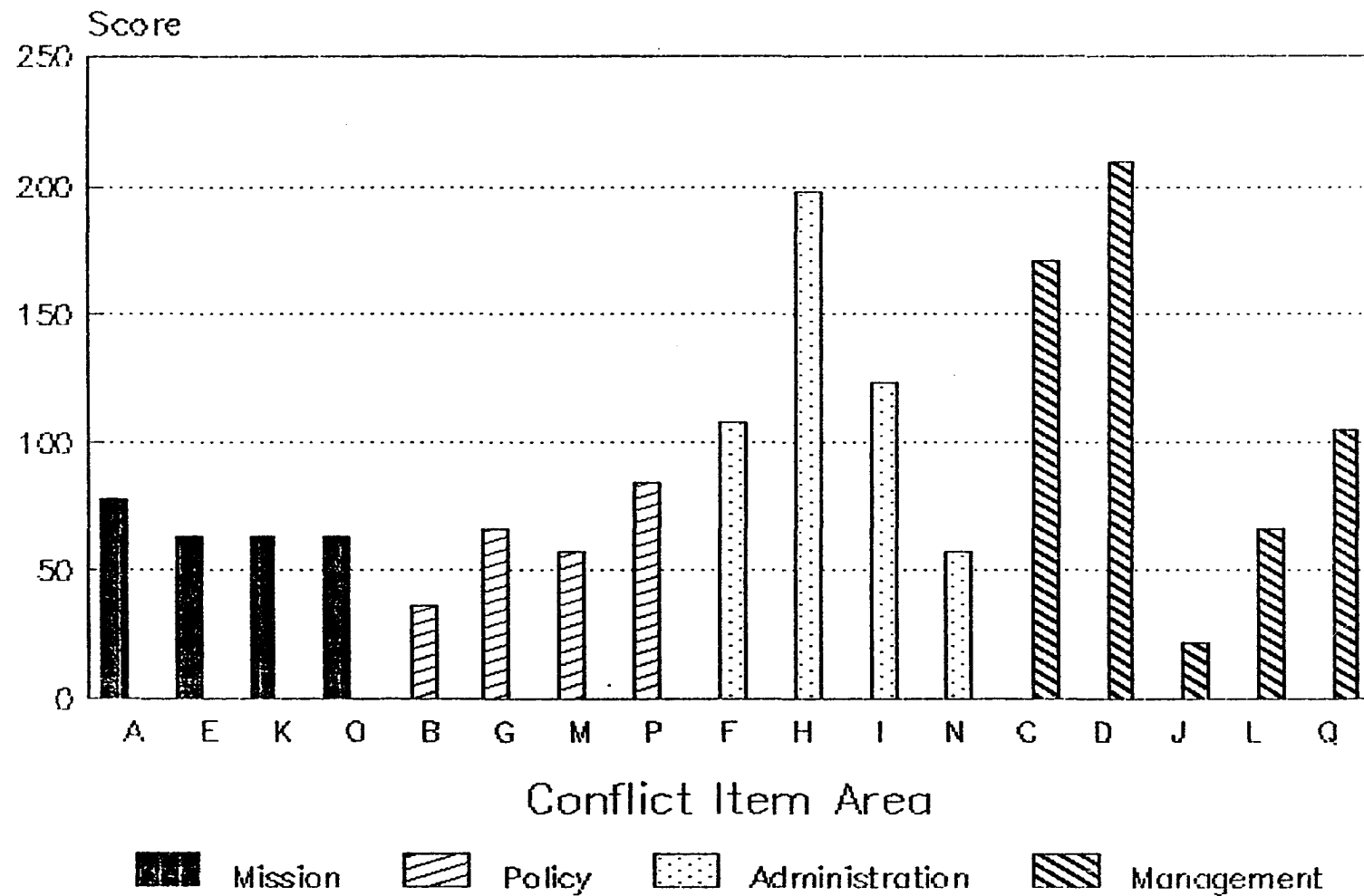
would suggest. Since this was determined by superintendents' perceptions, it is reasonable to understand that this is an area for conflict.

CONFLICT IN POLICY MANAGEMENT As Perceived by Superintendents



Graph 4.48

POLICY CONFLICT BY PROCESS AREA As Perceived by Superintendents



Graph 4.49

An interesting sub-question of the conflict study is to examine conflict based on system size--size being each of the 33 systems divided into the smallest third, middle third, and largest third. If we examine the scores for each item, total for group, and mean for group, we would see the data depicted in Table 4.8. We see that both the total score and mean for the medium sized systems are lower than the other two size systems. Graphic depiction of this table is seen as Graphs 4.50 and 4.51 on the following pages. Each graph is standardized to a maximum Y-axis score of 90; this allows better comparison of the two graphs. As was shown previously, there is greater conflict on items C, D, and H. However, the medium sized systems in Item C--hiring central office administrators-- show the least conflict, while the smallest systems in Item D--hiring staff other than central office administrators--show the greatest conflict. The medium size systems on Item H--investigating citizen complaints--show the greatest conflict score.

In examining the other item areas, there is quite a range between small and large systems on Item A--identifying problems. There is also quite a distance between medium and large systems on Item G--formulating the budget. We can also see quite a distance between medium and large systems on item N--evaluating programs.

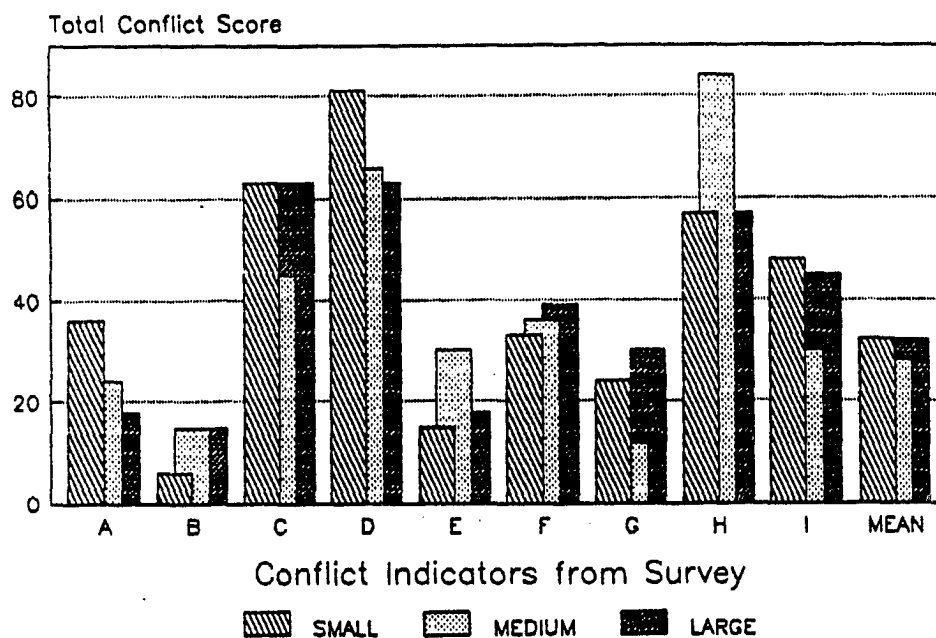
CONFLICT SCORES BY SIZE AND TOTAL
Item Scores, Totals, and Means

	TOTAL	SMALL	MEDIUM	LARGE
A ID PROB	78.00	36.00	24.00	18.00
B DEV AN PRO	36.00	6.00	15.00	15.00
C HIRE CO	171.00	63.00	45.00	63.00
D HIRE OTH	210.00	81.00	66.00	63.00
E DEV STRAT	63.00	15.00	30.00	18.00
F SPEC DECIS	108.00	33.00	36.00	39.00
G FORM BUDG	66.00	24.00	12.00	30.00
H INVES COMP	198.00	57.00	84.00	57.00
I MAKE SPEC DECIS	123.00	48.00	30.00	45.00
J CONTRACT	21.00	9.00	6.00	6.00
K CHANGE ED PRO	63.00	18.00	30.00	15.00
L ASSES ORG PERF	66.00	18.00	15.00	33.00
M INIT PRO	57.00	18.00	15.00	24.00
N EVAL PRO	57.00	24.00	3.00	30.00
O PURP AND SCOPE	63.00	30.00	12.00	21.00
P BUDGET REV	84.00	33.00	24.00	27.00
Q CHNGE MANAGE	105.00	36.00	30.00	39.00
TOTAL SCORE	1,569.00	549.00	477.00	543.00
MEAN	92.29	32.29	28.06	31.94

TABLE 4.8

CONFLICT SCORES BY SYSTEM SIZE

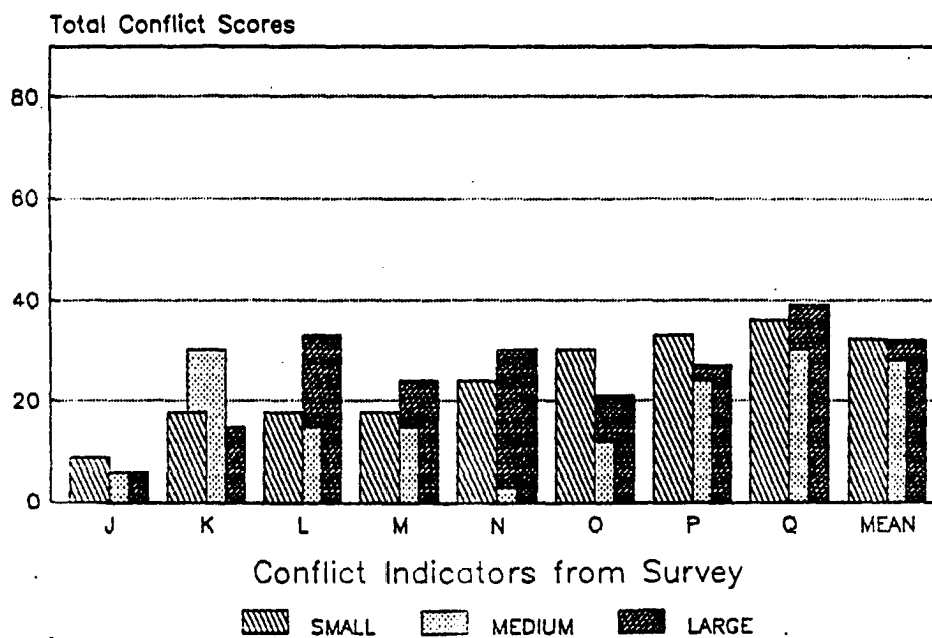
First 9 of 17 Items and Mean



Graph 4.50

CONFLICT SCORES BY SYSTEM SIZE

Last 8 of 17 Items and Mean



Graph 4.51

Question: Does application of the Svara Dichotomy-Duality model show differences among small, medium, and large school systems?

When examining involvement scores relative to a system's size, it is important to remember that size, for grouping and comparison purposes, was established by breaking the 99 responding systems into three even groups of 33. The 33 with the lowest student average daily membership were ranked in the smallest group, the next 33 ranked into the medium sized group, and the largest 33 the final group. The ranges and means for those three size groups are included in Table 4.9 below, along with the ranges and means for the other system variables. Since it is often valuable to compare tabular data in graphic form, Graph 4.52 represents the means of all the system variables except enrollment and age by size.

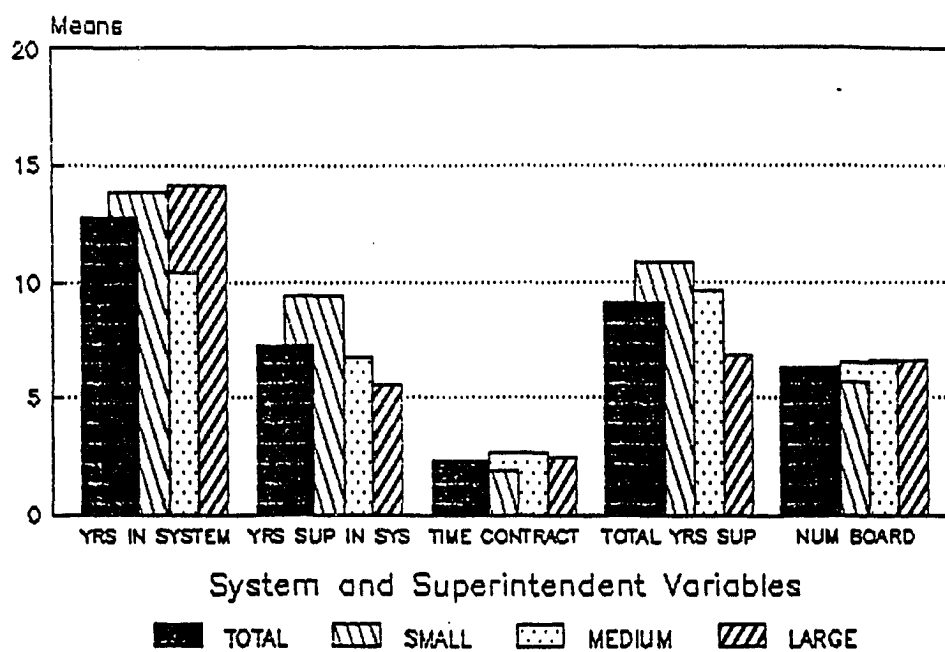
Examination of the means for Years in the System shows that medium size systems are approximately 2.5 years less than the other two sizes and the total. Interestingly, Years as a Superintendent in the Same System shows the highest mean for the small systems. Time on Contract and Number on Board are relatively even, but Total

DEMOGRAPHICS BY TOTAL AND SIZE
Min, Max, and Mean

	TOTAL	SMALL	MEDIUM	LARGE
	-----	-----	-----	-----
ENROLLMENT				
MIN	780.00	780.00	3,236.00	6,652.00
MAX	60,474.00	3,180.00	6,651.00	60,474.00
MEAN	7,104.00	2,206.00	4,691.00	14,416.00
YRS IN SYSTEM				
MIN	0.12	0.33	1.00	0.12
MAX	39.00	34.00	34.00	39.00
MEAN	12.79	13.85	10.36	14.16
YRS SUP IN SYS				
MIN	0.12	0.33	1.00	0.08
MAX	26.00	26.00	22.00	19.00
MEAN	7.25	9.43	6.78	5.53
TIME CONTRACT				
MIN	0.00	0.00	1.00	0.00
MAX	4.00	4.00	4.00	4.00
MEAN	2.33	1.93	2.63	2.44
TOTAL YRS SUP				
MIN	0.12	1.00	1.00	0.00
MAX	26.00	26.00	25.00	19.00
MEAN	9.06	10.77	9.59	6.81
AGE				
MIN	38.00	35.00	39.00	38.00
MAX	69.00	69.00	64.00	65.00
MEAN	49.34	49.63	48.16	50.25
NUM BOARD				
MIN	5.00	5.00	5.00	5.00
MAX	12.00	9.00	11.00	12.00
MEAN	6.29	5.69	6.52	6.66

TABLE 4.9

MEAN SCORES FOR SYSTEM VARIABLES BY SIZE Excludes Age and Enrollment



Graph 4.52

Years as a Superintendent is interesting. The mean for the largest systems is 6.81, over two years less than the medium, small, or total system means, yet the mean age for superintendents in the large systems is the highest.

Though it would not be accurate to assume causation with any of these variables, it is valuable to calculate correlation coefficients for each variable by size. With enrollment used as the set variable compared to all others, the following table, Table 4.10, shows the calculated coefficients. One can see that there is no practical correlation between size of system and the other variables.

CORRELATION COEFFICIENTS FOR SIZE OF SYSTEM

Variable	Correlation Coefficient
Yrs in System	0.067
Super in System	-0.072
Time on Contract	-0.151
Total Yrs as Super	-0.164
Age	-0.048
Num on Board	0.129

TABLE 4.10

When considering the Svara Dichotomy-Duality model it is once again valuable to examine involvement scores for mission, policy, administration, and management with respect to the three groups of systems by size. By running data for each subset of systems it was possible to compare the separate scores for mission, policy, administration, and management. Table 4.11 shows the raw score means for each area of the policy process cycle for board actual involvement, board preferred involvement, superintendent actual involvement, and superintendent preferred involvement by system total and size. The heading "RAW" indicates the mean score for either the 99 systems as total, or each of the 33 systems as a size group. Standard deviations are included.

It is very difficult to tell if there is any significance in the difference of the scores by logical examination. Since we were comparing more than two groups of equal size, it was possible to calculate a one-way analysis of variance. By testing the null hypothesis that the means for each size group are equal, we can accept or reject the null hypothesis.

$$H_0: u_1 = u_2 = \dots u_k$$

MEAN INVOLVEMENT SCORES FOR TOTAL AND BY SIZE
Raw Score Mean and Standard Deviations

	--TOTAL SYSTEM RESPONSES--		-----SMALL-----		-----MEDIUM-----		-----LARGE-----	
	RAW	STD DEV	RAW	STD DEV	RAW	STD DEV	RAW	STD DEV
BOARD ACTUAL								
MISSION	11.330	3.798	9.850	1.709	12.300	1.898	11.850	1.862
POLICY	11.130	3.460	9.610	1.692	11.910	1.874	11.880	1.867
ADMIN	11.110	3.401	10.180	1.736	12.060	1.885	11.090	1.811
MANAGE	12.310	4.122	11.670	1.838	12.640	1.918	12.640	1.911
BOARD PREFERRED								
MISSION	13.200	3.695	12.820	1.919	13.700	1.988	13.090	1.946
POLICY	12.790	3.450	12.090	1.873	13.390	1.970	12.880	1.934
ADMIN	10.740	3.275	10.180	1.736	11.270	1.829	10.760	1.790
MANAGE	11.850	3.991	11.550	1.831	12.270	1.895	11.730	1.854
SUPER ACTUAL								
MISSION	16.380	4.042	15.420	2.071	17.150	2.183	16.580	2.144
POLICY	16.590	3.974	15.580	2.079	17.580	2.205	16.610	2.146
ADMIN	16.060	3.940	15.210	2.060	16.910	2.171	16.060	2.116
MANAGE	20.080	5.022	18.940	2.239	21.520	2.379	19.790	2.290
SUPER PREFERRED								
MISSION	16.770	3.917	15.730	2.088	17.880	2.219	16.700	2.151
POLICY	16.820	4.031	15.730	2.087	18.030	2.227	16.700	2.150
ADMIN	16.220	4.100	15.580	2.080	17.300	2.189	15.790	2.101
MANAGE	20.520	5.023	19.700	2.273	22.090	2.401	19.760	2.290

TABLE 4.11

By using an F-distribution we were able to examine the null hypothesis. We established a significance level of .05, with 2 and 96 degrees of freedom -- $F_{.05}(2,96)$. The corresponding value for an F ratio with 2 and 96 degrees of freedom is 3.11. Therefore, if a ratio is calculated that is greater than 3.11, then we can reject the null hypothesis that the means are equal for the various size groups. Table 4.13 shows the Raw mean scores for each of the areas of mission, policy, administration, and management for both actual and preferred involvement by the board and the superintendent. (It is important to remember that all these scores are based on superintendent perceptions of the board involvement.) The final column shows the F ratio for each area of the policy process cycle. Each area was calculated against three equally numbered groups of 33 school systems--small, medium, and large. The analysis of variance table for each of the two areas which show statistical significance are as follows:

Analysis of Variance Table
for Board Actual Mission

Source	d.f.	Sum Squares	Mean Square
Among Columns	2	111	55.5
Error	96	1303	13.57
Total	98	1414	
F ratio = $55.5/13.57$ = 4.090			

TABLE 4.12

Since this is greater than 3.11, we reject the null hypothesis of equal means by system size.

F-TEST FOR SIZE VARIABLE
Raw Score Mean, Standard Deviations, and F Ratios

	--TOTAL SYSTEM RESPONSES--		F.05 RATIO
	RAW	STD DEV	FOR SIZE

BOARD ACTUAL			
MISSION	11.330	3.798	* 4.090
POLICY	11.130	3.460	* 5.210
ADMIN	11.110	3.401	2.590
MANAGE	12.310	4.122	0.550
BOARD PREFERRED			
MISSION	13.200	3.695	0.470
POLICY	12.790	3.450	1.180
ADMIN	10.740	3.275	0.880
MANAGE	11.850	3.991	0.280
SUPER ACTUAL			
MISSION	16.380	4.042	1.610
POLICY	16.590	3.974	2.140
ADMIN	16.060	3.940	1.530
MANAGE	20.080	5.022	2.300
SUPER PREFERRED			
MISSION	16.770	3.917	2.550
POLICY	16.820	4.031	2.810
ADMIN	16.220	4.100	1.750
MANAGE	20.520	5.023	2.510

TABLE 4.13
* Significant at .05 level

The other policy process cycle area which showed statistical significance was policy under Board Actual Involvement. The analysis of variance table for policy is shown below.

Analysis of Variance Table
for Board Actual Policy

Source	d.f.	Sum Squares	Mean Square
Among Columns	2	115	57.50
Error	96	1059	11.03
Total	98	1174	

$$F \text{ ratio} = 57.50/11.03 = 5.21$$

TABLE 4.14

Since this is greater than 3.11, we reject the null hypothesis of equal means by system size. No other areas for involvement showed statistical significance by system size.

Graphically it is valuable to examine involvement scores on a comparative basis by size. Table 4.15 has taken the raw means and standardized them by number of indicators for each of the areas. Remember that mission, policy and administration each had 4 indicators, while management had 5. The standardized score represents the raw mean taken from Table 4.11 and divided by either 4 or 5. (It does not represent a standard Z score.)

STANDARDIZED AVERAGE INVOLVEMENT SCORES
By Size and with Ideal

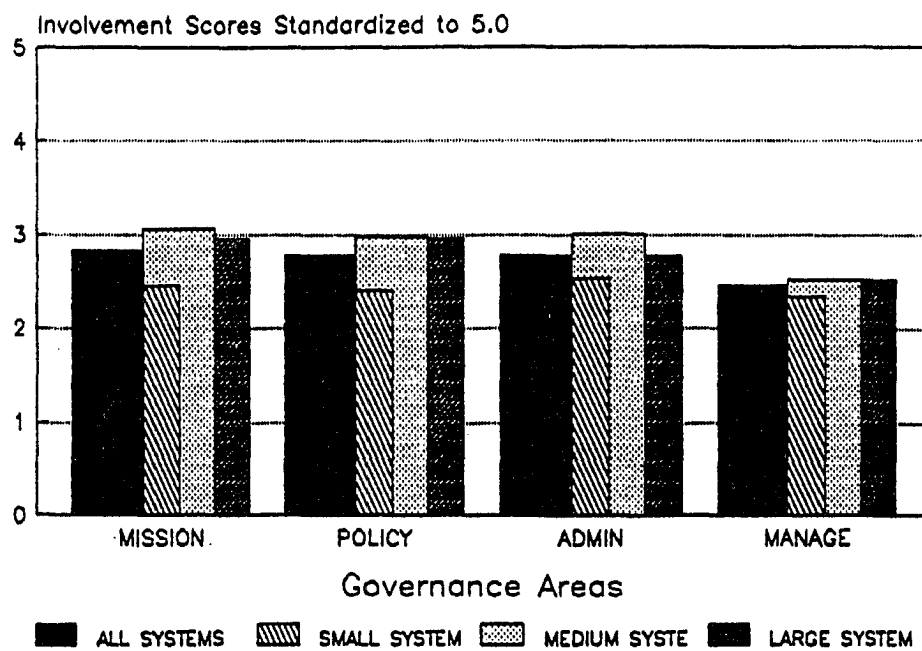
	-TOTAL SYSTEM RESPONSES- STANDARD	--SMALL-- STANDARD	--MEDIUM-- STANDARD	--LARGE-- STANDARD
BOARD ACTUAL				
MISSION	2.833	2.463	3.075	2.963
POLICY	2.783	2.403	2.978	2.970
ADMIN	2.778	2.545	3.015	2.773
MANAGE	2.462	2.334	2.528	2.528
BOARD PREFERRED				
MISSION	3.300	3.205	3.425	3.273
POLICY	3.198	3.023	3.348	3.220
ADMIN	2.685	2.545	2.818	2.690
MANAGE	2.370	2.310	2.454	2.346
SUPER ACTUAL				
MISSION	4.095	3.855	4.288	4.145
POLICY	4.148	3.895	4.395	4.153
ADMIN	4.015	3.803	4.228	4.015
MANAGE	4.016	3.788	4.304	3.958
SUPER PREFERRED				
MISSION	4.193	3.933	4.470	4.175
POLICY	4.205	3.933	4.508	4.175
ADMIN	4.055	3.895	4.325	3.948
MANAGE	4.104	3.940	4.418	3.952

TABLE 4.15

Graphs 4.53 through 4.56 compare the involvement scores for each area of mission, policy, administration, and management by total and system size. It is interesting to note that in Graph 4.53--Board Actual Involvement--the small systems show the least involvement in every area. Graph 4.54, while showing comparable involvement by system size, does show a decreasing trend in involvement preferred from mission down through management. Each size group shows consistent decline across the four areas of mission, policy, administration, and management. Again, the smallest systems have the lowest scores.

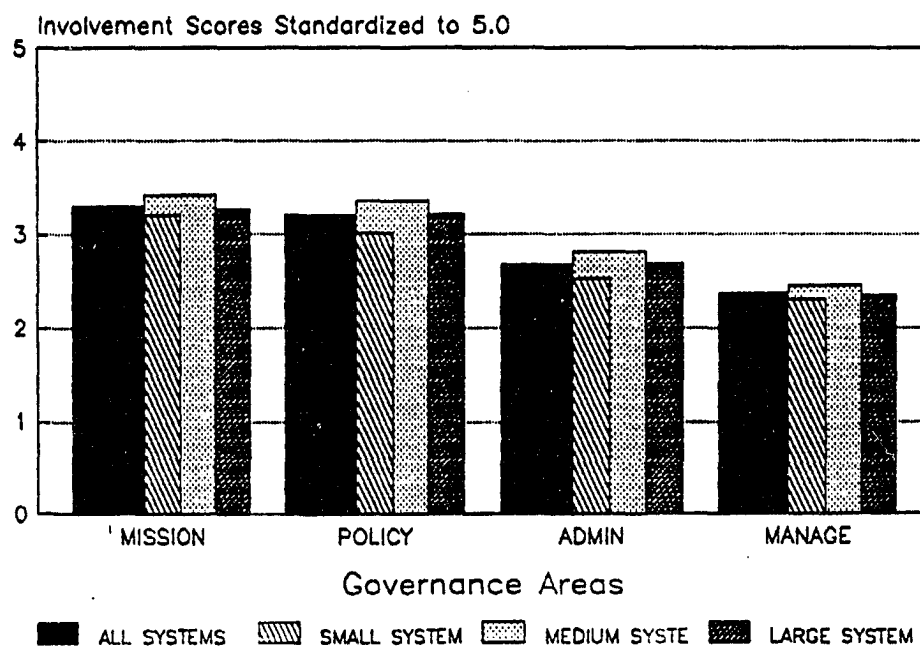
Graphs 4.55 and 4.56 show Superintendent actual and preferred involvement by area and size system. As was shown earlier in the chapter, actual and preferred involvement by superintendents are very close. Small systems still score lowest, while medium systems score higher than the total group mean. Examination across areas of mission through management shows rather consistent involvement by superintendents. Note also that the large system means are almost identical to the total group mean.

BOARD ACTUAL INVOLVEMENT BY TOTAL & SIZE As Perceived by Superintendents



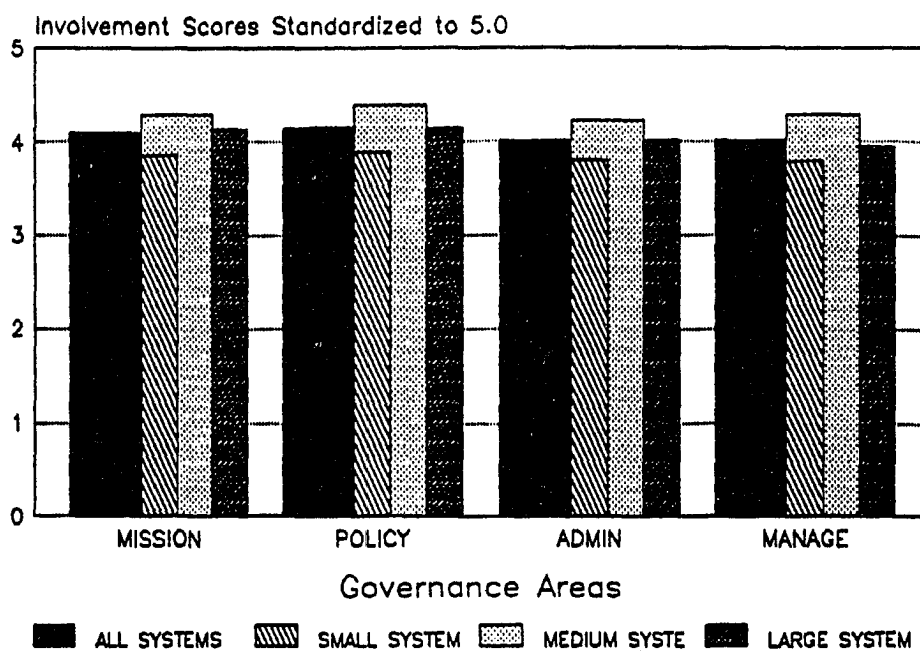
Graph 4.53

BOARD PREFERRED INVOLVEMENT/TOTAL & SIZE As Perceived by Superintendents



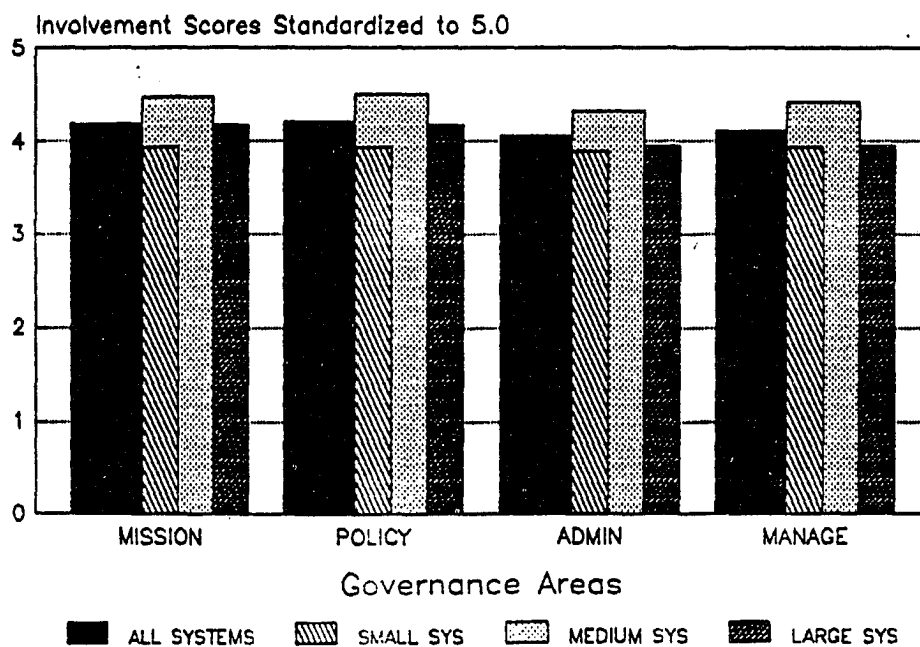
Graph 4.54

SUPER ACTUAL INVOLVEMENT BY TOTAL & SIZE As Perceived by Superintendents



Graph 4.55

SUPER PREFERRED INVOLVEMENT/TOTAL & SIZE As Perceived by Superintendents

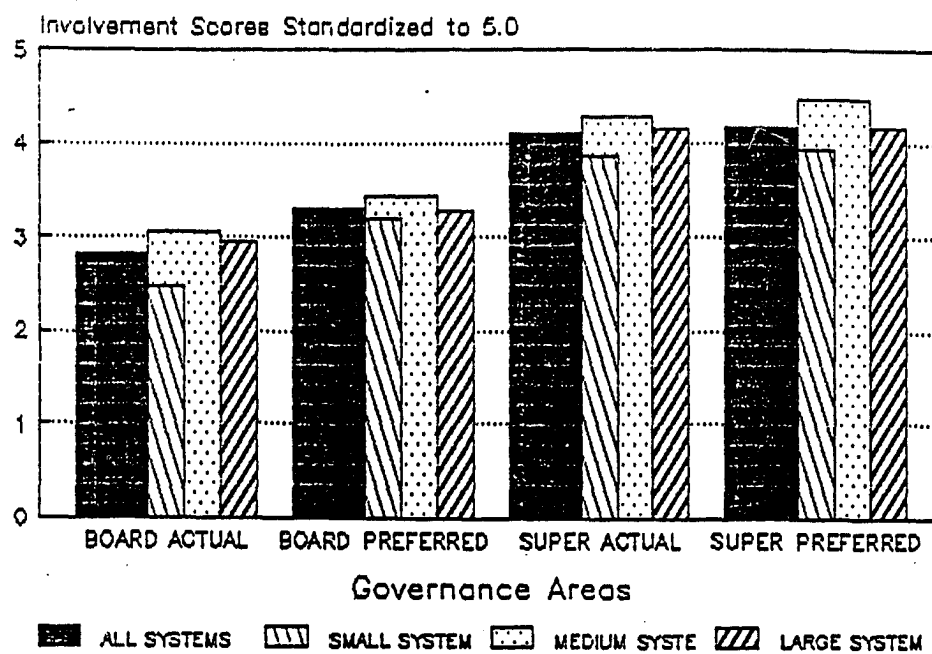


Graph 4.56

Involvement scores by individual area of mission, policy, administration, and management can also be graphically depicted. Graphs 4.57 through 4.60 show this measure of relationship by size. Graph 4.57 shows the relationship by system size for mission. The differences between board actual involvement for mission were shown to have statistical significance as shown in Table 4.13. The distance shown, then, represents significance. Likewise, board actual involvement for policy in Graph 4.58 showed statistical significance by system size. Comparison of these two graphs also shows rising involvement scores across board and superintendent actual and preferred measures.

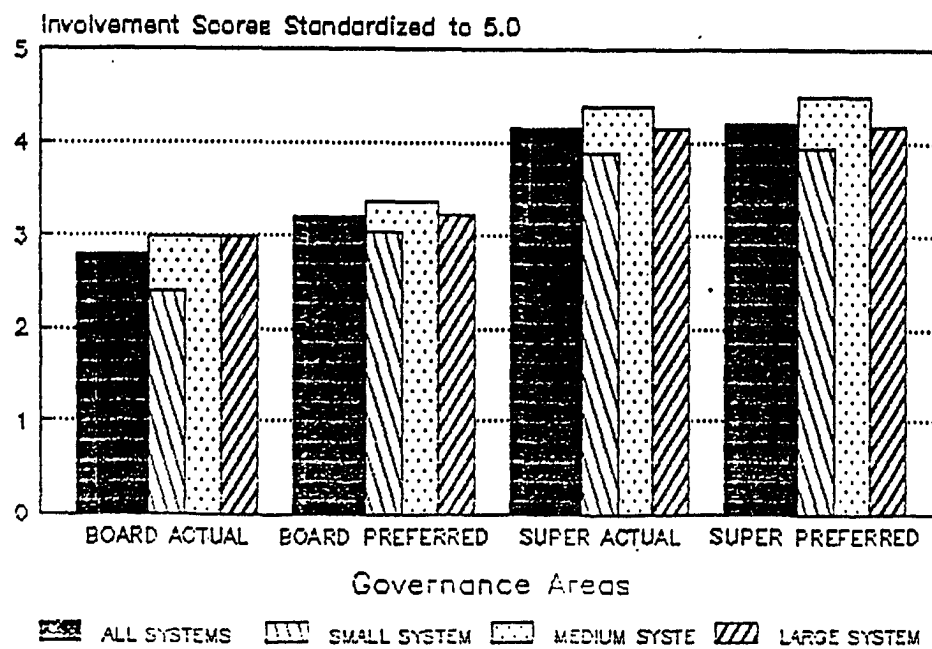
When these two graphs are compared with 4.59 and 4.60, one can see a greater score difference between board involvement and superintendent involvement. Mission and policy show a steady, upward trend in scores from board actual to superintendent preferred. Administration and management show a more pronounced, abrupt difference between board and superintendent involvement. Again, we see in every case but one that the smallest systems score the lowest involvement. In management, superintendents in all size systems except the smallest perceive that boards would prefer to be even less involved than they are.

MISSION INVOLVEMENT BY TOTAL & SIZE As Perceived by Superintendents



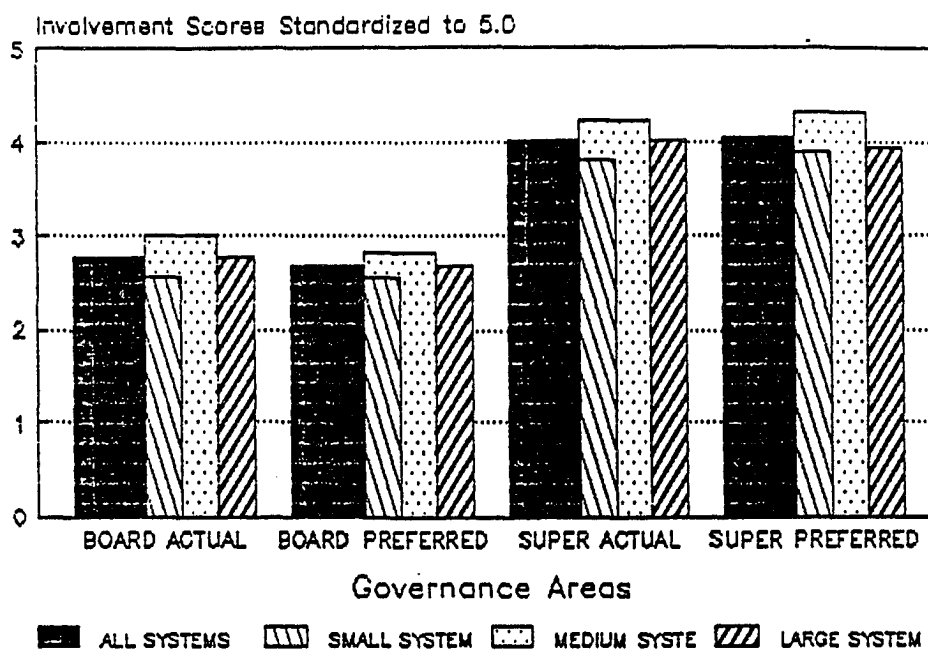
Graph 4.57

POLICY INVOLVEMENT BY TOTAL & SIZE As Perceived by Superintendents



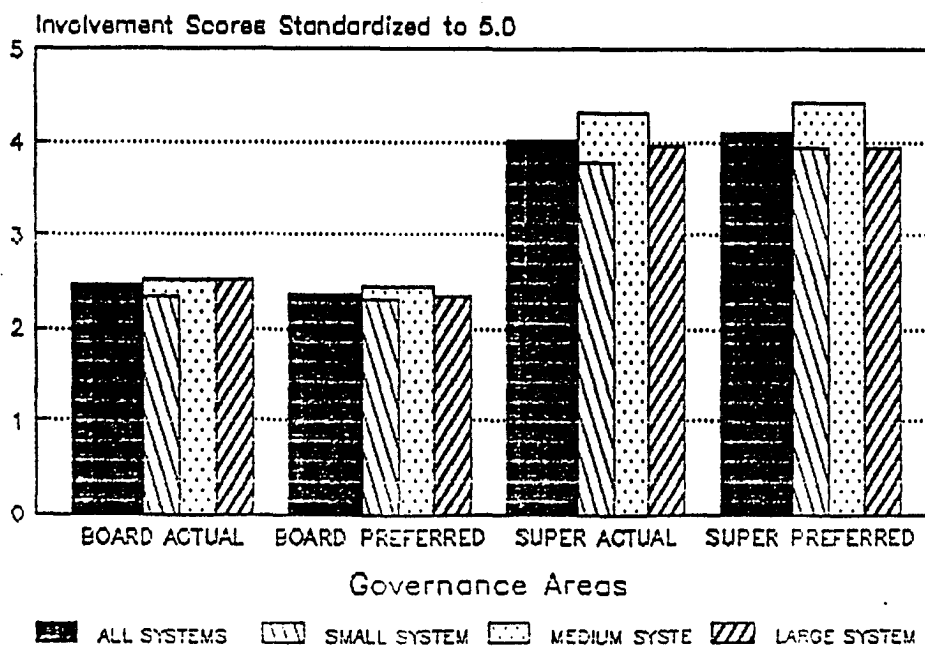
Graph 4.58

ADMINISTRATION INVOLVEMENT/TOTAL & SIZE As Perceived by Superintendents



Graph 4.5B

MANAGEMENT INVOLVEMENT BY TOTAL & SIZE As Perceived by Superintendents



Graph 4.6D

A summary examination of the mean involvement scores in Table 4.15 show that in every area of mission, policy, administration, and management through board actual, board preferred, superintendent actual, and superintendent preferred the smallest systems showed the lowest involvement scores. These involvement scores were lower than the other two groups and the mean of all 99 systems. It is the perception of superintendents that the smallest systems show the lowest involvement.

Question: Does the superintendent's tenure affect his or her perception of role definition, degree of conflict, or level of policy involvement?

For the sake of establishing tenure groupings, the 99 superintendent responses were grouped into three categories according to their length of time as a superintendent in that school system. The distribution of these superintendents is seen in the following table:

SUPERINTENDENT GROUPING BY TENURE

Time as Superintendent in this System	Number
0.0 to 2.5 Yrs	31
3.0 to 7.5 Yrs	31
8.0 to 26 Yrs	37

TABLE 4.16

With these three sub-groups established, the data were then examined for means in the 7 demographic variables, as well as for the conflict score and the scores of involvement for board actual and preferred and superintendent actual and preferred. These means are shown in Table 4.17. The mean years that the superintendent has been a superintendent in that system is 7.25 years for the 99 total respondents. The conflict mean scores show that the highest conflict score is the shortest tenured group

MEANS FOR VARIABLES BY TENURE LENGTH IN SYSTEM
 0 to 2.5 Yrs; 3 to 7.5 Yrs; 8 to 26 Yrs

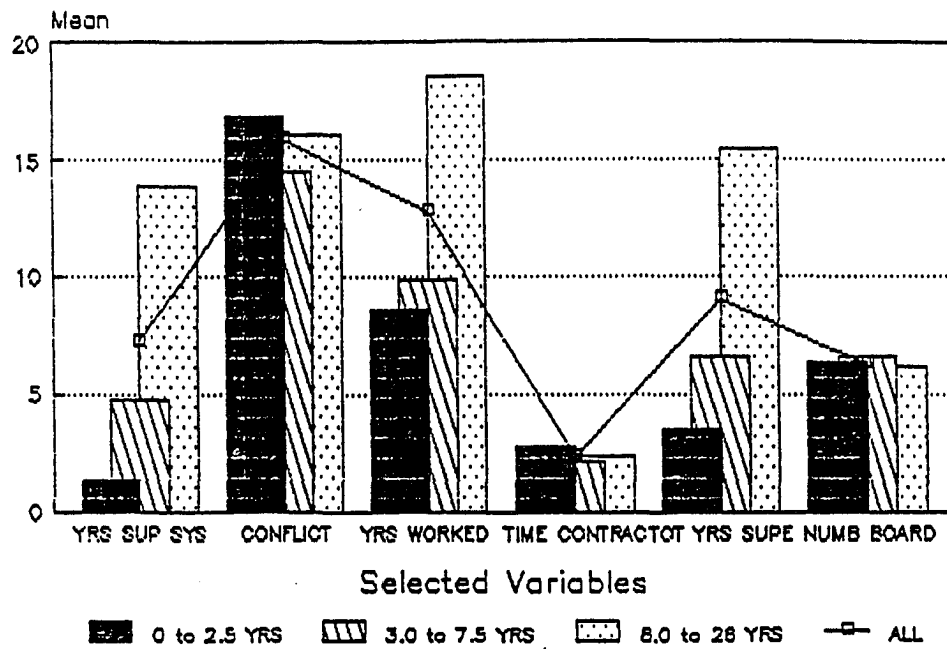
	TOTAL	SHORT	MEDIUM	LONG
	-----	-----	-----	-----
YRS SUP SYS	7.25	1.38	4.73	13.84
CONFLICT	15.85	16.80	14.52	16.14
ENROLL	7,105.00	8,191.00	8,804.00	4,922.00
YRS WORKED SYS	12.79	8.67	9.90	18.57
TIME CONTRACT	2.33	2.73	2.06	2.33
TOT YRS SUPER	9.08	3.51	6.63	15.43
AGE	49.86	48.22	46.87	54.92
NUMB BOARD	6.29	6.39	6.55	6.16
BRD ACTUAL	45.89	44.43	44.35	48.05
BRD PREFER	48.58	46.53	47.55	50.59
SUP ACTUAL	69.11	67.40	70.00	69.57
SUP PREFER	70.32	68.37	71.35	71.08

TABLE 4.17

at 16.8, as compared to the lowest for the medium tenure group of 14.52 and the total group of 15.85. Further, it is interesting to note that the group with the longest tenure mean--13.84 years--averaged the lowest enrollment by approximately 3200 students. This would suggest that the smallest school systems in North Carolina have the lowest turnover rate. This same group with longest tenure in the system as superintendent also has almost twice as many years employment in the system as the other two groups. This pattern would suggest that boards of small systems promote their superintendents from within their system. Graphs 4.61 and 4.62 depict the means shown in Table 4.17. The different colored bars represent the three tenure groups, and the line with points along it represents the mean scores for each variable for the entire group of respondents. If we compare the conflict scores we see that the group with the shortest tenure had the highest conflict--a statistic which is not surprising.

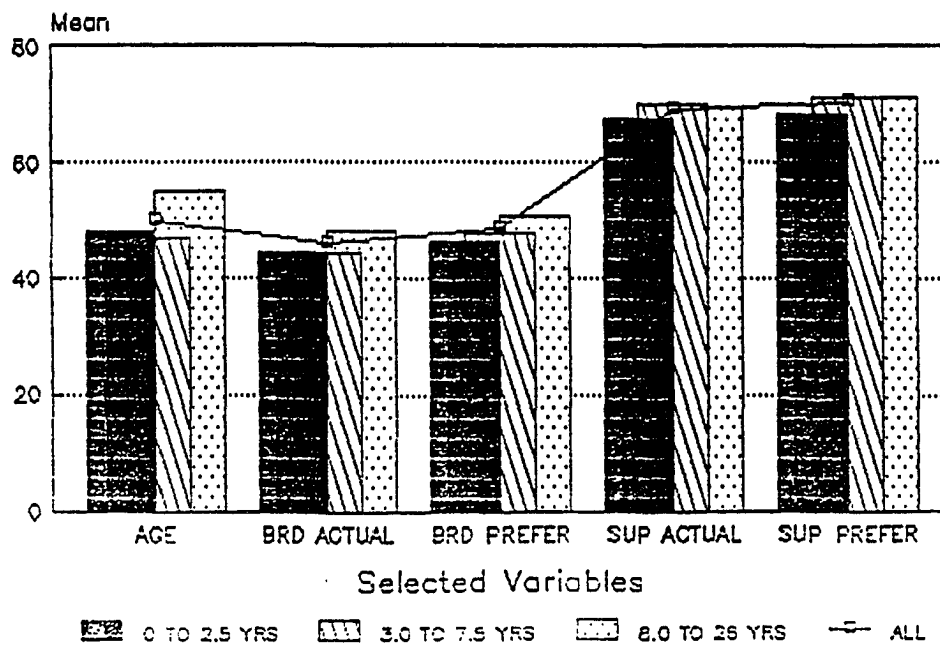
In order to examine the involvement scores for board members and superintendents we need to look at the lower portion of Table 4.17 and Graph 4.62. It is interesting to note that the systems with the longest tenured superintendent show the greatest involvement for board members. This might indicate a superintendent who is comfortable in his or her role and actively involves the

SELECTED VARIABLES COMPARED BY TENURE As Perceived by Superintendents



Graph 4.61

SELECTED VARIABLES COMPARED BY TENURE As Perceived by Superintendents



Graph 4.62

board members. Conversely, one might conclude that the key to longevity is board member involvement. The shortest tenured superintendents showed the lowest level of involvement by their board and themselves.

How did superintendents understand roles based on their longevity in the system? The same sub-groups of superintendents were used for examination of their responses to the activities listed under board member roles and superintendent roles. The survey asked for agreement or disagreement responses to a list of activities for board members and for superintendents. The responses were tallied for each sub-group and were tabulated into Tables 4.18 and 4.19. Table 4.18 shows the tallied responses for the 17 board activities from the survey. Each letter A through Q corresponds with the sequential item from the survey. The totals are calculated at the bottom as well as the means for the frequency for each sub-group. The only meaningful comparison across the three tenure groups would be by means. Therefore, when comparative graphs were run the means of each group were used.

Graphs 4.63 and 4.64 depict comparative mean scores for complete agreement responses, agreement responses, disagreement responses, and complete disagreement responses for both board member activities and superintendent

AGREEMENT/DISAGREEMENT MEANS BY SUPERINTENDENT TENURE
Mean Scores for Board Member Activities

	-----SHORT TENURE f = 29-----					-----MEDIUM TENURE f = 31-----					-----LONG TENURE f = 37-----				
	C A	A	D	C D	diff	C A	A	D	C D	diff	C A	A	D	C D	diff
BOARD ROLES															
A	4.00	7.00	10.00	5.00	-4.00	3.00	12.00	6.00	10.00	-1.00	1.00	12.00	16.00	6.00	-9.00
B	6.00	13.00	4.00	4.00	11.00	5.00	13.00	9.00	4.00	5.00	8.00	16.00	7.00	6.00	11.00
C	0.00	0.00	6.00	21.00	-27.00	0.00	0.00	5.00	26.00	-31.00	0.00	1.00	7.00	29.00	-35.00
D	0.00	1.00	9.00	17.00	-25.00	1.00	1.00	14.00	15.00	-27.00	3.00	1.00	13.00	20.00	-29.00
E	5.00	8.00	10.00	4.00	-1.00	2.00	10.00	11.00	8.00	-7.00	8.00	11.00	10.00	8.00	1.00
F	6.00	8.00	10.00	3.00	1.00	2.00	9.00	14.00	6.00	-9.00	8.00	14.00	8.00	7.00	7.00
G	5.00	12.00	7.00	3.00	7.00	6.00	16.00	8.00	1.00	13.00	7.00	15.00	9.00	6.00	7.00
H	7.00	16.00	4.00	0.00	19.00	9.00	19.00	3.00	0.00	25.00	5.00	25.00	4.00	3.00	23.00
I	20.00	7.00	0.00	0.00	27.00	16.00	13.00	1.00	1.00	27.00	20.00	14.00	1.00	2.00	31.00
J	4.00	9.00	7.00	7.00	-1.00	1.00	16.00	11.00	3.00	3.00	5.00	19.00	9.00	4.00	11.00
K	1.00	9.00	10.00	7.00	-7.00	2.00	8.00	15.00	6.00	-11.00	9.00	14.00	10.00	4.00	9.00
L	9.00	15.00	2.00	0.00	22.00	6.00	12.00	12.00	1.00	5.00	5.00	17.00	9.00	6.00	7.00
M	3.00	6.00	10.00	8.00	-9.00	2.00	8.00	13.00	10.00	-13.00	4.00	9.00	15.00	9.00	-11.00
N	6.00	12.00	7.00	2.00	9.00	4.00	20.00	6.00	1.00	17.00	7.00	19.00	9.00	2.00	15.00
O	2.00	7.00	8.00	10.00	-9.00	1.00	7.00	17.00	6.00	-15.00	3.00	11.00	15.00	8.00	-9.00
P	3.00	8.00	11.00	5.00	-5.00	3.00	10.00	14.00	4.00	-5.00	5.00	17.00	9.00	6.00	7.00
Q	1.00	3.00	13.00	10.00	-19.00	0.00	5.00	17.00	9.00	-21.00	2.00	4.00	17.00	14.00	-25.00
TOTAL	82.00	141.00	128.00	106.00	-11.00	63.00	179.00	176.00	111.00	-45.00	100.00	219.00	168.00	140.00	11.00
f MEAN	2.83	4.86	4.41	3.66	-0.38	2.03	5.77	5.68	3.58	-1.55	2.70	5.92	4.54	3.78	0.38

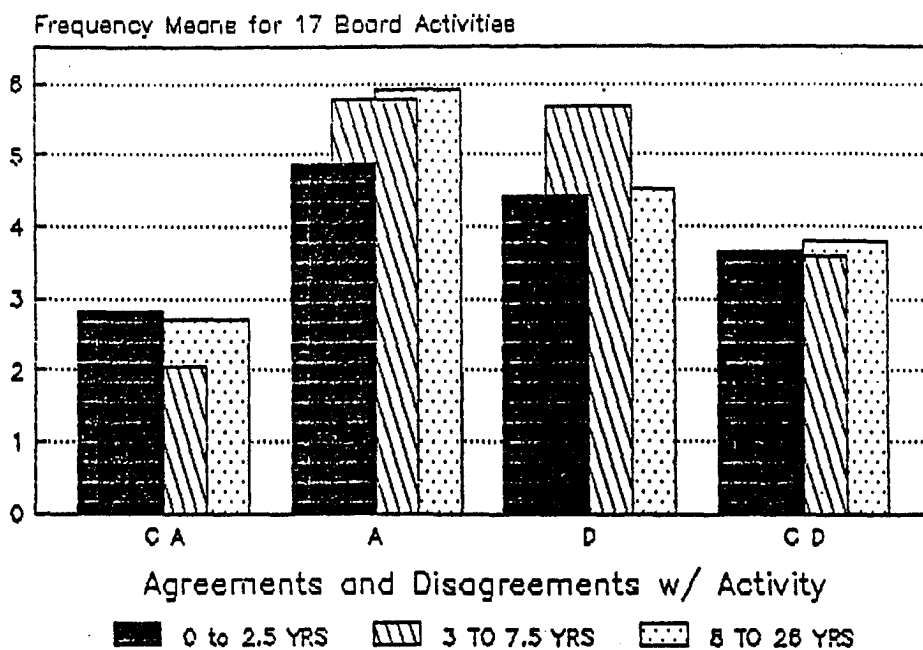
TABLE 4.18
0 to 2.5 Yrs; 3.0 to 7.5 Yrs; 8 to 26 Yrs

AGREEMENT/DISAGREEMENT MEANS BY SUPERINTENDENT TENURE
Mean Scores for Superintendent Activities

	-----SHORT TENURE f = 29-----					-----MEDIUM TENURE f = 31-----					-----LONG TENURE f = 37-----				
	C A	A	D	C D	diff	C A	A	D	C D	diff	C A	A	D	C D	diff
SUPER ROLES															
AA	14.00	9.00	4.00	0.00	19.00	12.00	16.00	2.00	1.00	25.00	23.00	13.00	1.00	0.00	35.00
BB	1.00	2.00	12.00	12.00	-21.00	1.00	3.00	19.00	8.00	-23.00	6.00	1.00	18.00	12.00	-23.00
CC	7.00	11.00	7.00	2.00	9.00	10.00	12.00	6.00	3.00	13.00	5.00	18.00	6.00	7.00	10.00
DD	20.00	7.00	0.00	0.00	27.00	20.00	11.00	0.00	0.00	31.00	18.00	18.00	1.00	0.00	35.00
EE	3.00	3.00	15.00	6.00	-15.00	5.00	11.00	14.00	1.00	1.00	4.00	10.00	19.00	4.00	-9.00
FF	1.00	11.00	11.00	1.00	0.00	3.00	8.00	15.00	3.00	-7.00	4.00	21.00	9.00	2.00	14.00
GG	6.00	19.00	2.00	0.00	23.00	7.00	22.00	2.00	0.00	27.00	9.00	26.00	1.00	1.00	33.00
HH	0.00	4.00	14.00	9.00	-19.00	0.00	7.00	13.00	11.00	-17.00	1.00	1.00	22.00	13.00	-33.00
II	20.00	7.00	0.00	0.00	27.00	28.00	3.00	0.00	0.00	31.00	30.00	7.00	0.00	0.00	37.00
JJ	18.00	9.00	0.00	0.00	27.00	20.00	11.00	0.00	0.00	31.00	24.00	11.00	2.00	0.00	33.00
KK	6.00	17.00	3.00	1.00	19.00	9.00	19.00	2.00	1.00	25.00	11.00	23.00	3.00	0.00	31.00
LL	16.00	10.00	1.00	0.00	25.00	14.00	14.00	3.00	0.00	25.00	18.00	15.00	3.00	1.00	29.00
TOTAL	112.00	109.00	69.00	31.00	121.00	129.00	137.00	76.00	28.00	162.00	153.00	164.00	85.00	40.00	192.00
f MEAN	3.86	3.76	2.38	1.07	4.17	4.16	4.42	2.45	0.90	5.59	4.14	4.43	2.30	1.08	6.62

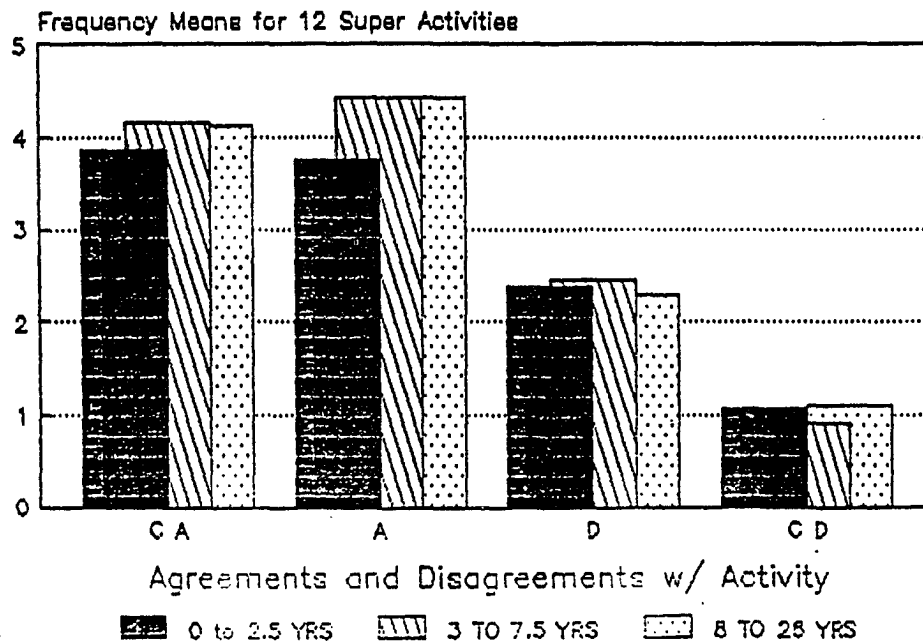
TABLE 4.19
0 to 2.5 Yrs; 3.0 to 7.5 Yrs; 8 to 26 Yrs

ROLE AGREEMENT SCORES BY TENURE LENGTH As Perceived by Superintendents



Graph 4.63

ROLE AGREEMENT SCORES BY TENURE LENGTH As Perceived by Superintendents



Graph 4.64

activities. If the superintendents were in agreement on their perceptions of role activities, then we would expect the three sub-group columns to equal each other in the four "CA", "A", "D", and "CD" areas.

It is more illustrative, however, to consider the degree to which the responses differ. What is the numerical difference between the agreement totals and the disagreement totals for each activity? Those scores when compared for each group would show a dispersion across the three groups. The greater the distance between any set of points on the line would be the greater difference in role agreement among the three tenure groups. Table 4.20 shows the difference score when the total disagreements are subtracted from the total agreements for each activity in each tenure group.

Graph 4.65 compares these scores for the three tenure groups for board member activities. We see dispersion at items "E" and "F", again at "J", "K" and "L", and lastly at "P". Though the differences are not great, it does show differing role perceptions among the three groups in those particular activities. They are "Board Members Trying to Get Special Services", "Board Members Dealing with Too Many Administrative Matters", "The Board is More Reviewing and Vetoing than Policy Making",

AGREEMENT/DISAGREEMENT DIFFERENCES BY TENURE GROUP

Total Agreements Less Total Disagreements

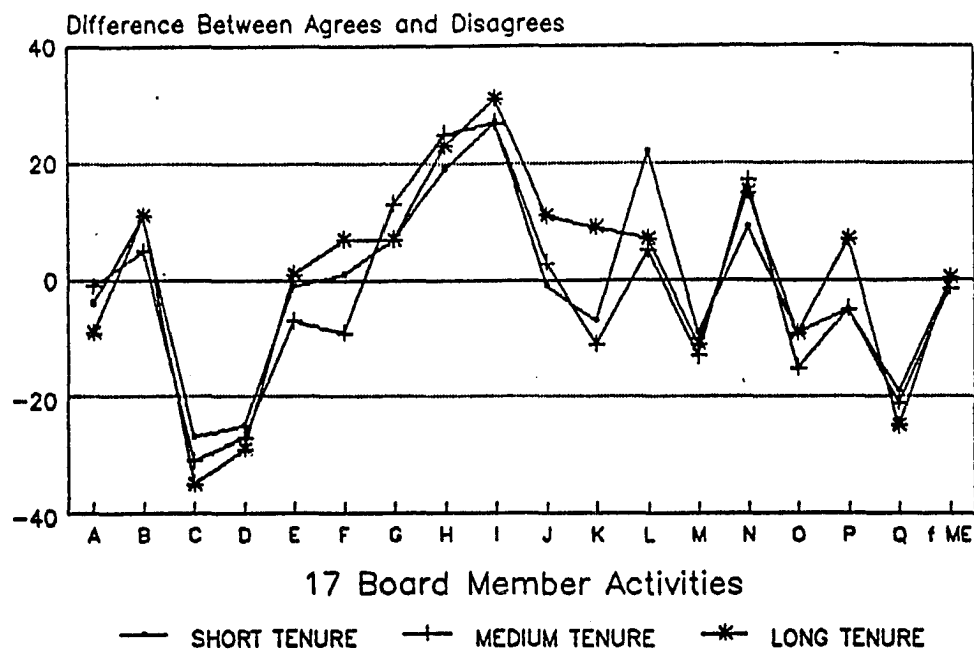
	-SHORT TENURE diff	f = 29- -MEDIUM TENURE diff	f = 31- -LONG TENURE diff	f = 37-

BOARD ROLES				
A	-4.00	-1.00	-9.00	
B	11.00	5.00	11.00	
C	-27.00	-31.00	-35.00	
D	-25.00	-27.00	-29.00	
E	-1.00	-7.00	1.00	
F	1.00	-9.00	7.00	
G	7.00	13.00	7.00	
H	19.00	25.00	23.00	
I	27.00	27.00	31.00	
J	-1.00	3.00	11.00	
K	-7.00	-11.00	9.00	
L	22.00	5.00	7.00	
M	-9.00	-13.00	-11.00	
N	9.00	17.00	15.00	
O	-9.00	-15.00	-9.00	
P	-5.00	-5.00	7.00	
Q	-19.00	-21.00	-25.00	
TOTAL	-11.00	-45.00	11.00	
f MEAN	-0.38	-1.55	0.38	
SUPER ROLES				
AA	19.00	25.00	35.00	
BB	-21.00	-23.00	-23.00	
CC	9.00	13.00	10.00	
DD	27.00	31.00	35.00	
EE	-15.00	1.00	-9.00	
FF	0.00	-7.00	14.00	
GG	23.00	27.00	33.00	
HH	-19.00	-17.00	-33.00	
II	27.00	31.00	37.00	
JJ	27.00	31.00	33.00	
KK	19.00	25.00	31.00	
LL	25.00	25.00	29.00	
TOTAL	121.00	162.00	192.00	
f MEAN	4.17	5.59	6.62	

TABLE 4.20

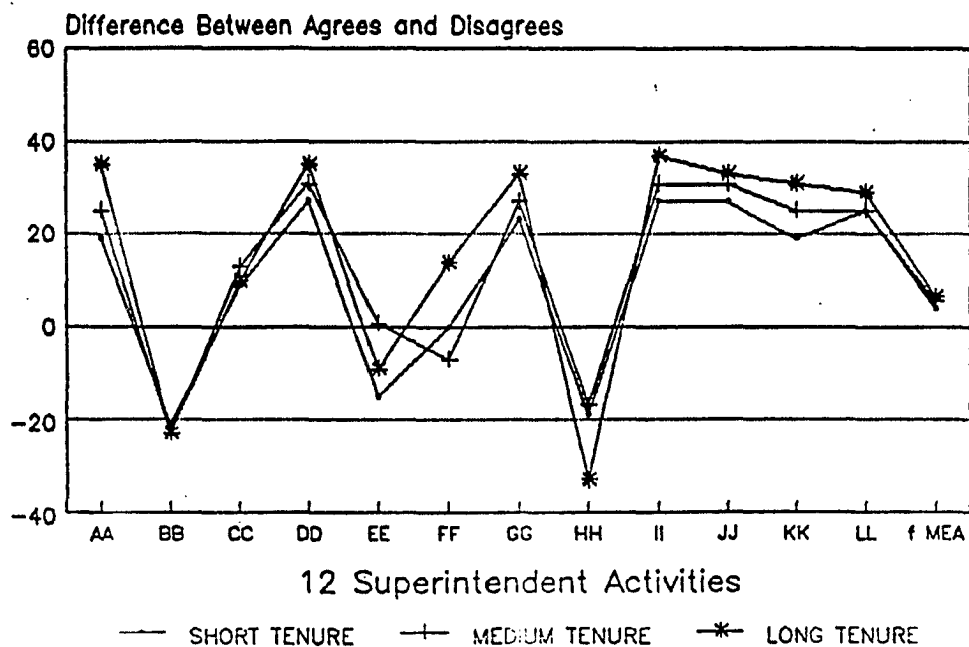
0 to 2.5 Yrs; 3.0 to 7.5 Yrs; 8 to 26 Yrs

DISPERSION OF BOARD ROLE PERCEPTION Across Three Tenure Groups



Graph 4.65

DISPERSION OF SUPER ROLE PERCEPTION Across Three Tenure Groups



Graph 4.66

"The Board Does Not Have Enough Time to Deal with Policy Issues", "The Board's Appraisal of the Superintendent's Performance is Satisfactory", and "The Board Focuses Too Much on Short-Term Issues".

Graph 4.66 shows superintendent perceptions of their own roles across the three tenure groups. Responses are fairly consistent; except for items "FF" and "KK", the lines almost overlap. Those two activities are "Superintendents Should Advocate Policies to Hostile Community Groups", and "The Superintendent Should Facilitate Expression of Citizen Opinions."

Data for this last question shows some difference among demographic variables by different tenure groups. Except for the shortest-tenured superintendents perceiving that their systems have the least involvement, there appears to be little other difference. There is, however, some difference of role perception among the three groups, as depicted in Graph 4.65.

CHAPTER FIVE

SUMMARY, FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

Summary

The roles and actions of elected school board members and appointed superintendents are interesting areas for study. Specifically, the power of school boards and superintendents, and their relationships, provide excellent material for analysis. But this power and relationship are fraught with confusion and conflict over policy matters. Superintendents often charge ahead, leading the school system and the school board down their pre-charted course. School boards, for their part, often do little more than legitimate the policy recommendations of the superintendent. As was so clearly summarized by James Koerner:

The role of school board members is perhaps the most ill-defined in local government. The individual board member has no legal power, though the board itself is considered a corporation. The board's rights and responsibilities are rarely spelled out by the state except in the most general terms, and the board rarely undertakes to define them itself. The board's entire role and that of its individual members is simply an accretion of customs, attitudes, and legal precedents without much specificity. Many school board members....move in a sea of confusion about their powers.¹

1. James Koerner, Who Controls American Education? A Guide for Laymen, (Boston: Beacon Press, 1968), p. 122.

School board members and superintendents operate in a political arena and within a structure of checks and balances. All actions in the policy process by one party require reactions and affirmations by the other party. But how do elected lay boards of education interact with professional, appointed chief administrators--the superintendents--within the context of the policy process? This study examined that relationship as perceived by superintendents' responses to an opinionnaire. The opinionnaire was modeled after the ones used by Ronald O. Loveridge and James Svara in their two studies.²

The James Svara Dichotomy-Duality Model clearly recognized the dichotomy between mission and management, but it also pointed out that between mission and management were the overlapping areas of policy and administration. Some researchers have shown that the role of the school board member has become increasingly politicized and that the role of the superintendent has failed to keep pace. Because of the gap between school boards and superintendents, and because of the confusion over roles in the policy process, many school boards and superintendents polarize into adversarial roles over issues such as personnel and budget.

2. See the previously cited works of Loveridge and Svara in Chapter One, page 37.

This conflict often occurs when it is perceived that one party is veering into the policy domain of the other.

The purpose of this study was to examine how North Carolina superintendents perceived their roles in the policy process. Their perspectives were examined in relation to their boards of education. The Svava model was used to assess and clarify the perceptions of the superintendents with respect to roles, preferred involvement, and conflict.

Findings

In Chapter One there were five questions asked. The following findings are presented in answer to those questions.

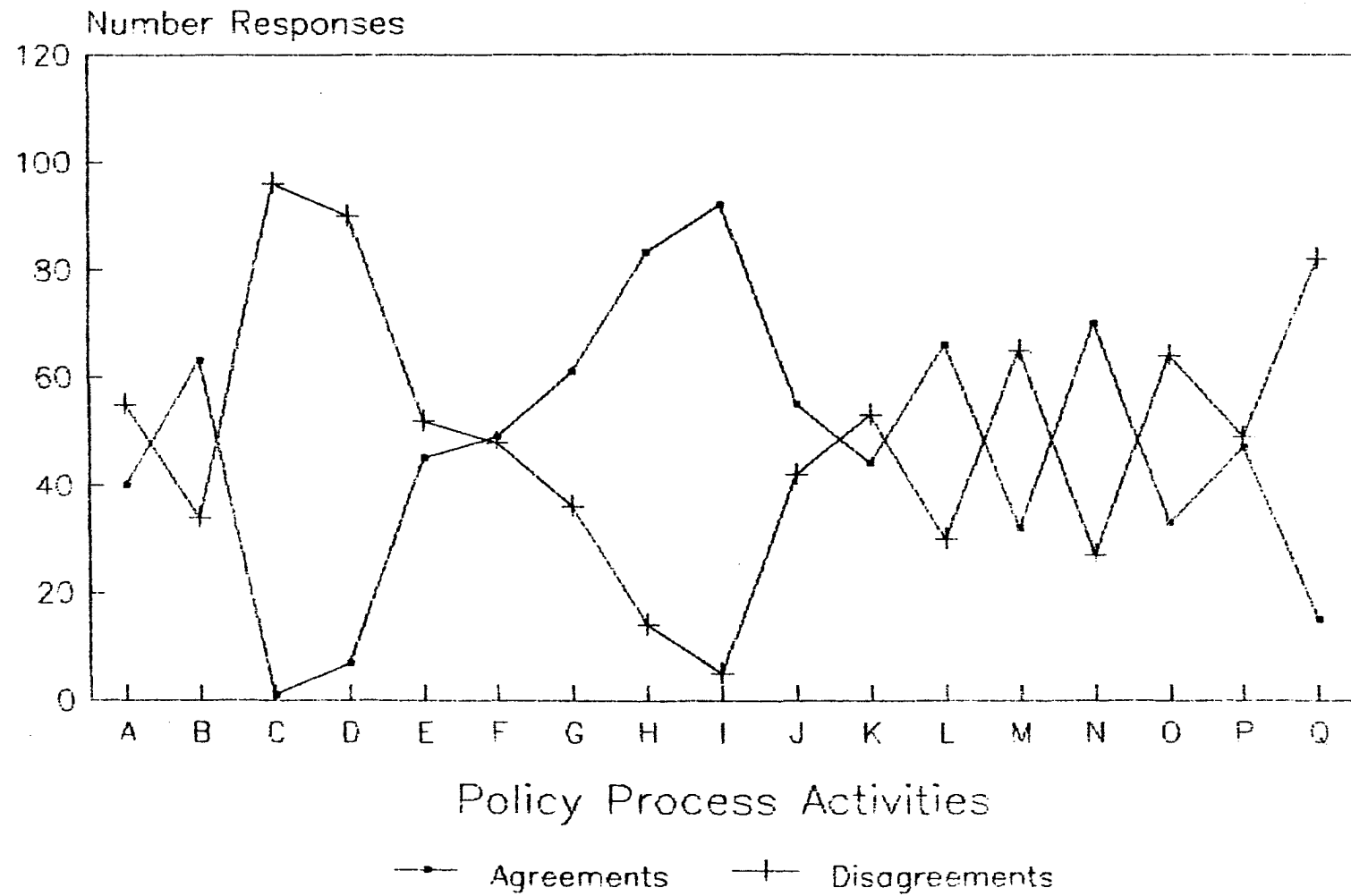
Question 1: Do superintendent responses reveal that superintendents and board members understand their roles in the policy process?

The surveys returned by the 99 superintendents in North Carolina sought their perceptions on role definition, conflict, and degree of involvement in the policy process. The first portion of the data in Chapter Four examined understanding of roles. The opinionnaire was designed based on the functions and activities for educational governance as seen in Appendix B. Each function or activity represented one of the four areas of mission, policy, administration, or management in the policy process, as elaborated by James Svara in the dichotomy-duality model. By disaggregating the functions and activities by mission, policy, administration, and management it was possible to compare similarity in perception for roles of board members and roles of superintendents.

If one assumes that an agreement in perception on the activities indicates an agreement of understanding of the roles, then we need only compare closeness or distance

ROLE OF BOARD MEMBERS

Comparison Combined Agrees and Disagrees



Graph 5.1

between perceptions. The data which examined the role of the board members in the policy process showed considerable discrepancy across the 99 superintendents. The most revealing singular graph for this assessment was Graph 4.22 in Chapter Four, reproduced again as Graph 5.1. When a similar number of responses agreed as disagreed, then the indication was a difference in understanding about the activity. Activities such as "Board Members Devote Too Much Time to Providing Services", "Board Members Encourage Citizens to Refer Complaints Directly to Staff Rather than Going Through Board Members", "The Board is More a Reviewing and Vetoing Agency than a Leader in Policy Making", "The Board Does Not Have Enough Time to Deal Effectively with Policy Issues", and "The Board Focuses Too Much on Short-Term Problems and Gives Too Little Attention to Long-Term Concerns" showed great difference of responses over agreeing or disagreeing with the activity statement. Only five of the seventeen activities revealed responses in which superintendents were in general agreement about the activity of the board member. On a percentage basis, then, perceptions of superintendents concerning the role of board members in relation to the policy process appear in Table 5.1 below.

Superintendent Perceptions of
Board Member Activities

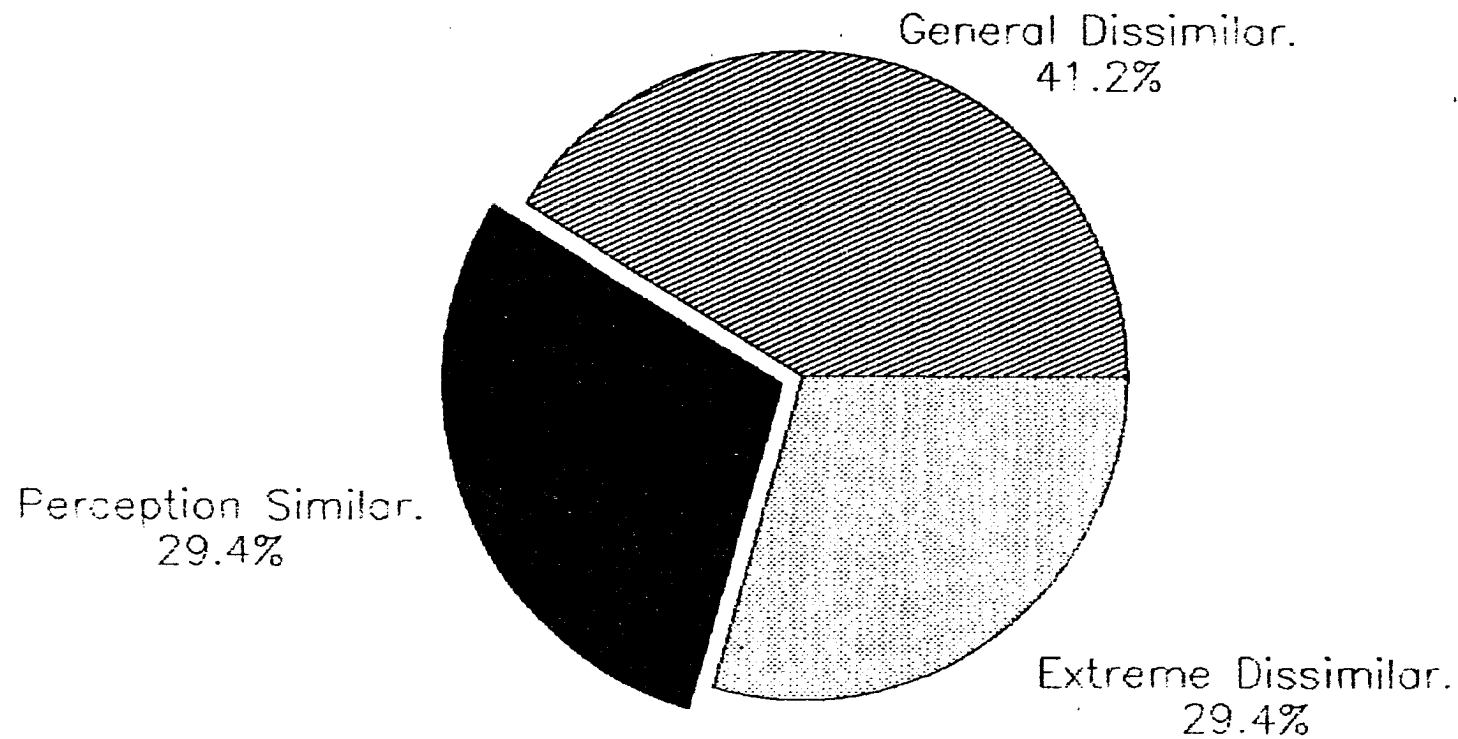
	Number Activities	Percentage
Similarity of Perception	5	29%
General Dissimilarity of Perception	7	41%
Extreme Dissimilarity of Perception	5	29%
	<hr/>	<hr/>
TOTAL	17	99%

TABLE 5.1

A graphic review of this dispersion can be seen in the accompanying pie chart, Graph 5.2. Since only 29% of the activities returned agreement in understanding, approximately 70% showed a dissimilarity of understanding. In general, then, one can conclude that North Carolina superintendents are not in agreement in understanding the role of their board members as based on the policy areas of mission, policy, administration, and management.

Examination of the superintendents' responses to their own role activities did not show the discrepancy that the board role responses did. Graph 4.35 in Chapter Four, reproduced as Graph 5.3, showed that on almost every activity for superintendent roles the responses for the group were in extreme agreement. The only two activities on which there were almost an equal number of

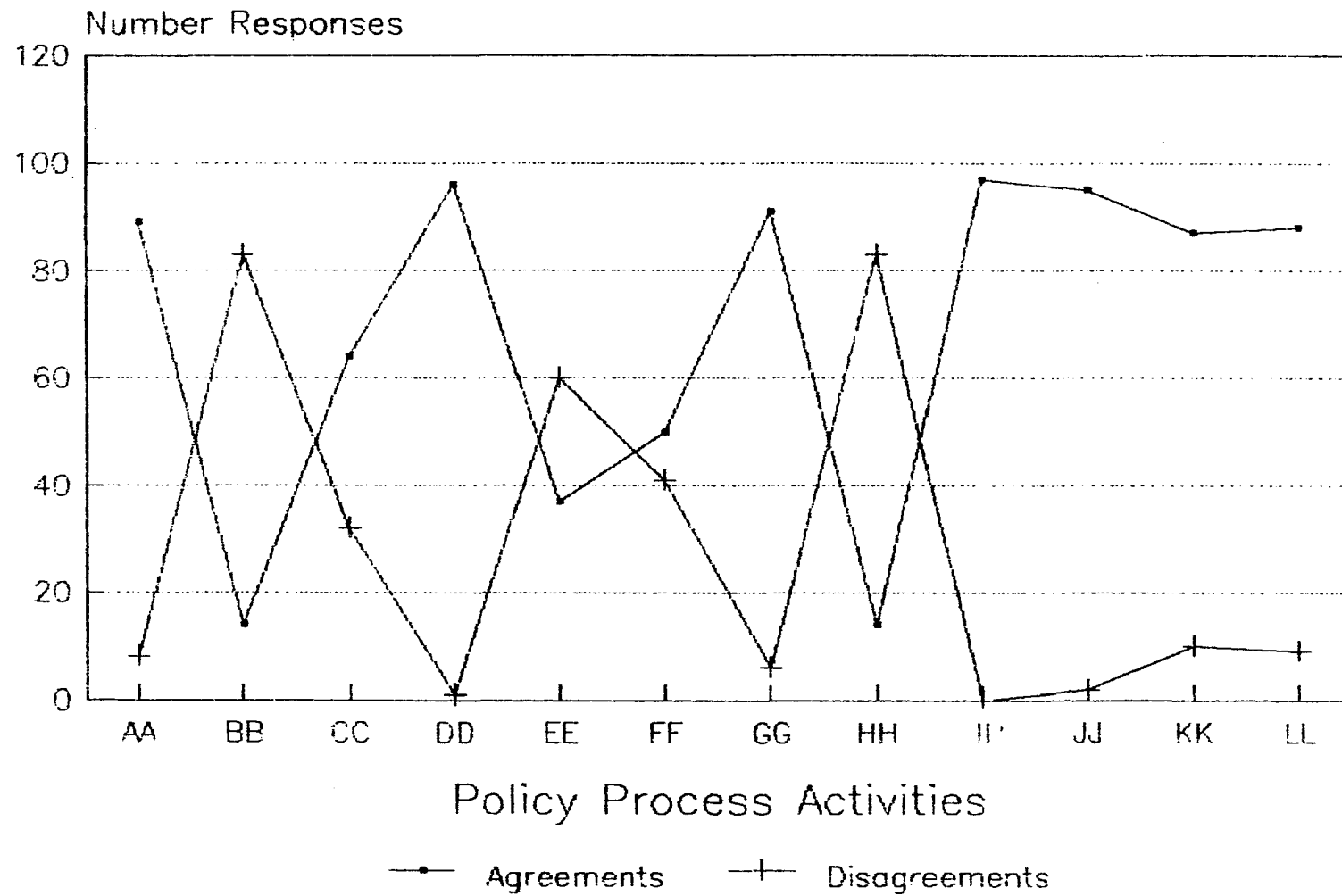
UNDERSTANDING OF BOARD MEMBER ROLES By Role Activities



Graph 5.2

ROLES OF SUPERINTENDENTS

Comparison Combined Agrees and Disagrees



Graph 5.3

agreements as disagreements were "EE--A Superintendent Should Act as an Administrator and Leave Policy Matters to the Board", and "FF--A Superintendent Should Advocate Policies to Which Important Parts of the Community May be Hostile." A table similar to the one above shows the responses for the 12 activities for role of the superintendent.

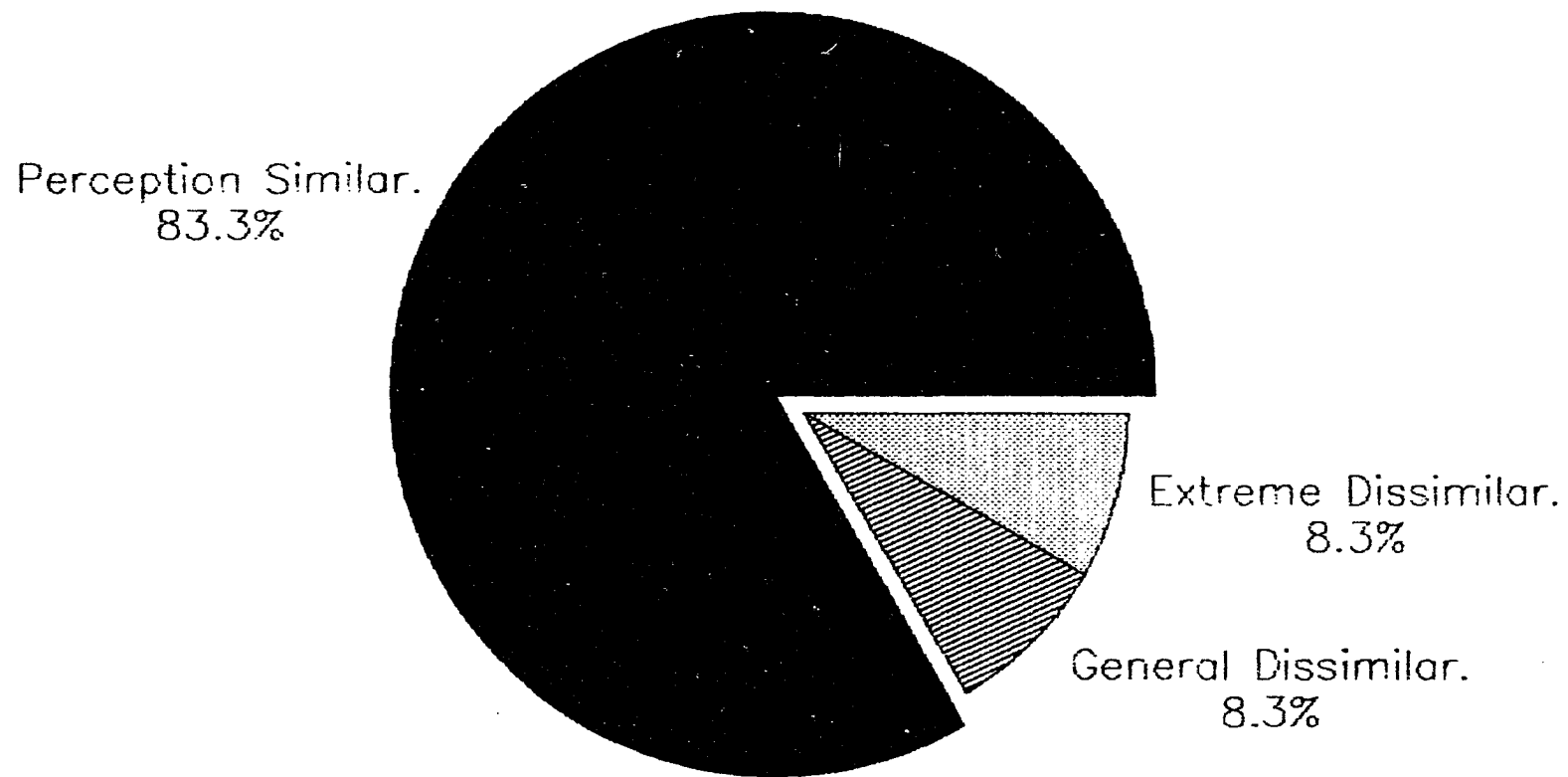
Superintendent Perceptions of
Superintendent Activities

	Number Activities	Percentage
Similarity of Perception	10	83%
General Dissimilarity of Perception	1	8%
Extreme Dissimilarity of Perception	1	8%
	<hr/>	<hr/>
TOTAL	12	99%

TABLE 5.2

Graph 5.4 depicts the general understanding by the North Carolina superintendents about their role activities. One can conclude, then, that North Carolina superintendents are in agreement in understanding their own roles as based on the policy areas of mission, policy, administration, and management.

UNDERSTANDING OF SUPERINTENDENT ROLES By Role Activities



Graph 5.4

This is not surprising if one considers that in the first set of data dealing with the role of board members, the opinionnaire sought the superintendents' perceptions of what others' roles were; the results showed disagreement. However, when asked about their own roles the superintendents of North Carolina were consistent in the understanding, as a perception, of their own roles.

If we examine the 17 activities which were used to define the role of board members, we note that 12 of the 17 were activities over which there was disagreement about appropriateness of role. Item analysis of activities over which there was disagreement is seen as Table 5.3

Item Analysis of Activities Over
Which There Was Disagreement

Policy Process Area	# Activities Lacking Role Agreement	% of Process Area Activities
Mission	4	100%
Policy	4	100%
Administration	2	50%
Management	2	40%

TABLE 5.3

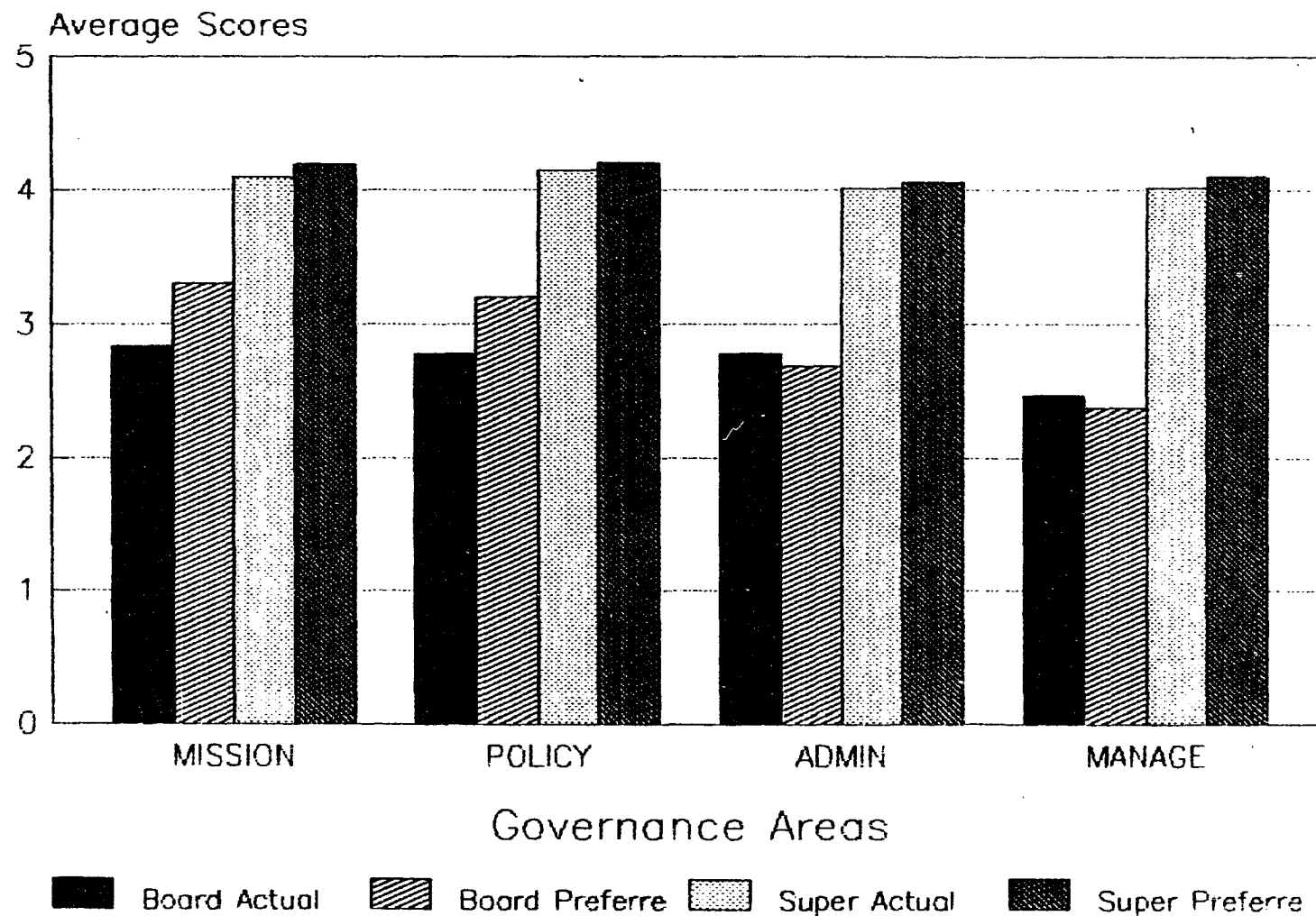
With this much confusion over role activity, it is impossible to graph a dichotomy-duality profile for the policy process in North Carolina.

Question 2: Do superintendent responses reveal that superintendents and board members are satisfied with their degree of involvement in the policy process?

The second question asked in this study dealt with satisfaction with degree of involvement in the policy process. The opinionnaire numerically measured degree of involvement by superintendents and board members. All involvement was based on the perceptions of the superintendents. Responses were sought for both actual level of involvement and preferred level of involvement. The similarity or difference between scores for actual and preferred levels of involvement provided a measure of satisfaction. The closer the scores were between actual and preferred the greater the satisfaction with involvement; the greater apart were the scores for actual and preferred involvement, the greater the dissatisfaction. The most telling graph from Chapter Four was Graph 4.42--Compared Involvement for All Systems. It is reproduced again as Graph 5.5.

The involvement mean scores for actual and preferred involvement by board members and superintendents were disaggregated by the policy process areas of mission, policy, administration, and management.

COMPARED INVOLVEMENT FOR ALL SYSTEMS As Perceived by Superintendents



Graph 5.5

Examination first of the board's actual and preferred involvement shows an interesting result. Board members would clearly prefer to be more involved in the areas of mission and policy, and slightly less involved in the areas of administration and management. Our first conclusion, then, is that board members are somewhat dissatisfied with their level of involvement in the mission and policy areas of the policy process; they would prefer to be more involved. They are relatively satisfied with their level of involvement in administration and management, and would actually prefer slightly less involvement in these two areas. Remembering that these mean scores represent the perceptions of superintendents about board members in the policy process, one concludes that superintendents believe that their board members are somewhat dissatisfied with and would prefer more involvement in the mission and policy levels of the policy cycle.

Examination of the same graph for involvement satisfaction by superintendents shows general satisfaction by superintendents. In each area of mission, policy, administration, and management superintendents would prefer slightly more involvement. However, the closeness of scores leads one to conclude that superintendents are satisfied with their levels of involvement.

A holistic view of the same graph with respect to the board and superintendent involvement by policy area leads

to some rather interesting interpretations. First, in all areas of mission, policy, administration, and management the superintendent is much more highly involved (actual and preferred) than the board members. When we compare these findings with the Svara Dichotomy-Duality model which theorized that town councils were much more involved in mission and policy than was the manager, we see that the comparison fails for superintendents and boards of education in North Carolina.

In the Svara model we would have expected boards to be most highly involved in mission, slightly less so in policy, then administration, and least involved in management. While their actual and preferred levels of involvement do slowly decline, in comparison to superintendents the findings diverge greatly from the expected model. We should have seen the highest involvement by the board and the least by the superintendents in the area of mission. However, we see that superintendents are much more involved in mission and policy than are the board members. As the Svara model does accurately project, the superintendents are more involved in administration and management than the board members. This perspective leads one to conclude that superintendents believe they are more involved in all areas of the policy process cycle than are their board members. If one chooses

to equate involvement with control, then the North Carolina superintendents are more in control over each area of mission, policy, administration, and management than the members of their boards of education.

If we once again look at an estimation of standardized involvement scores as seen in Figure 5.1, then we can graphically compare the model against the actual results. Graph 5.6 compares the Svara ideal scores of involvement with the actual and preferred involvement of boards and superintendents. Board Ideal represents what would be the ideal involvement by school board members, and Super Ideal represents what, according also to the Svara model, would be the ideal involvement by the superintendents. It is easy to see how divergent the results are from the ideal model. Only in the policy area does the board's involvement approach the ideal and in management does the superintendent's involvement approach the ideal. If we continue to accept the Svara model as ideal, then we see that both board members and superintendents must change their involvement in almost all aspects of the policy process.

DICHOTOMY-DUALITY MODEL
 Estimation of Standardized Involvement Scores
 for Ideal Model of Involvement

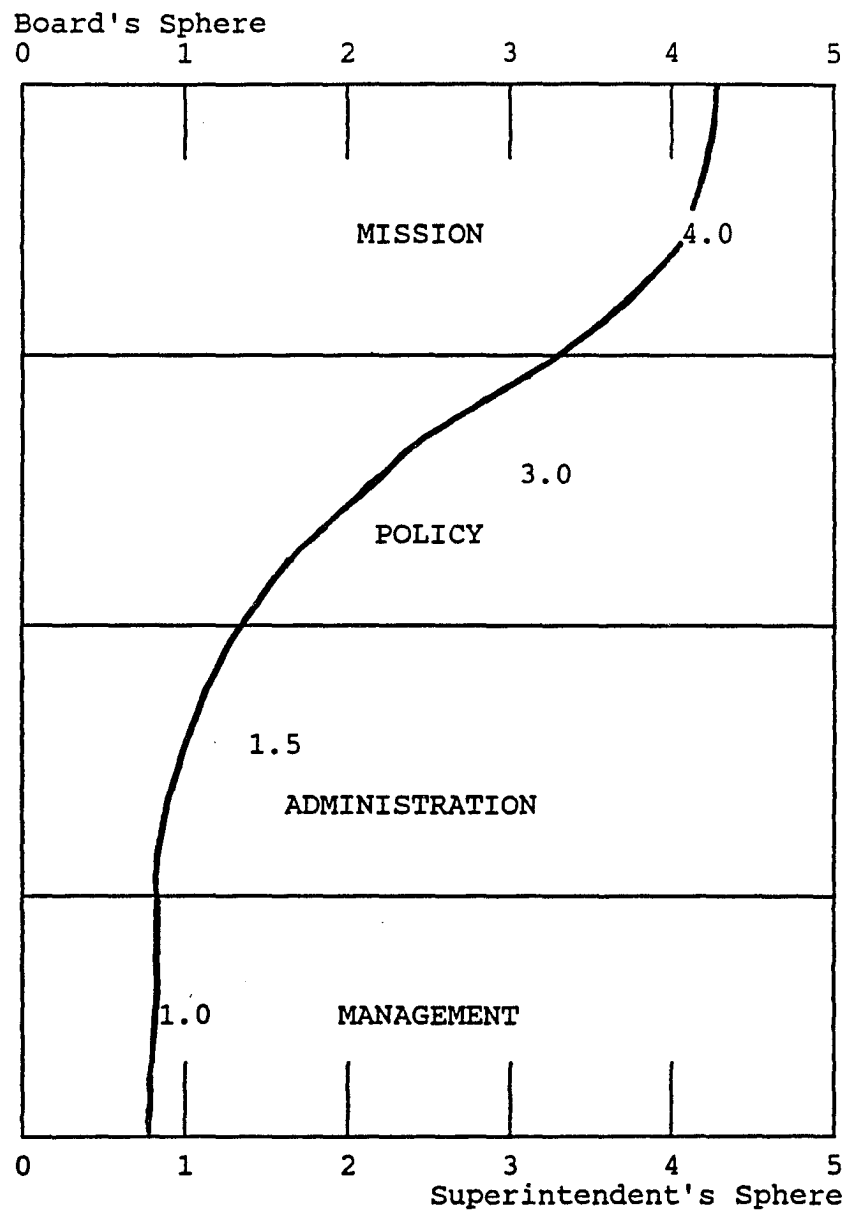
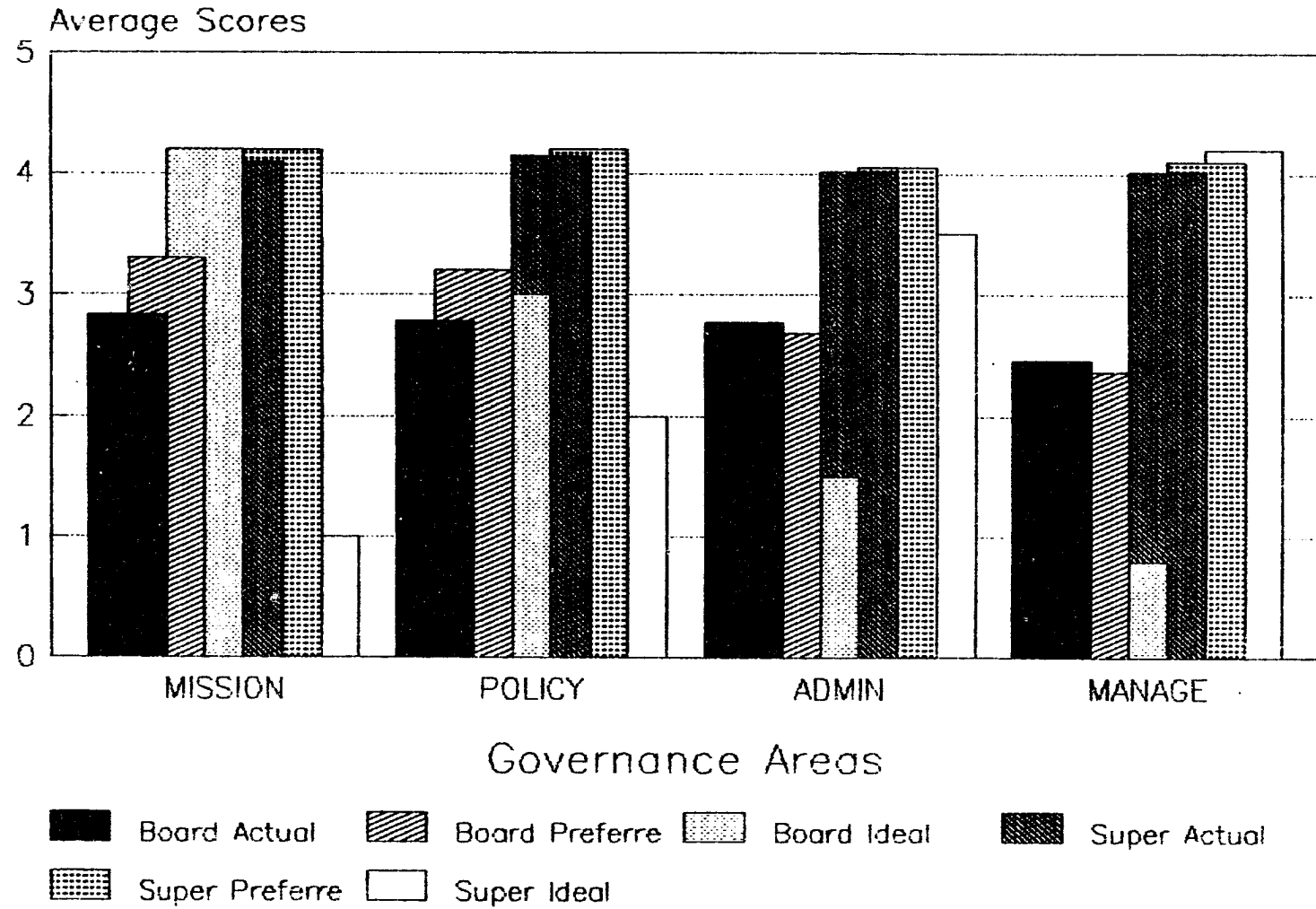


FIGURE 5.1

Modification by author of James Svara, "Dichotomy and Duality: Reconceptualizing the Relationship Between Policy and Administration in Council-Manager Cities", Public Administration Review, 45, No. 1, (1985).

COMPARED & IDEAL INVOLVEMENT As Perceived by Superintendents



Graph 5.6

Question 3: Do superintendent responses reveal that certain areas of policy have greater potential for conflict between board members and the superintendent?

The same activities which were used to measure degree of involvement were also used to measure conflict. The greatest areas for conflict clearly centered around hiring decisions--hiring decisions about central office administrators and hiring decisions about staff other than central office administrators. The other very high area for conflict was about who should handle investigation of citizen complaints. Both the hiring decision activities are considered management functions according to the Dichotomy-duality model, and are clearly not the domain of the board of education. Investigation of citizen complaints is an administrative process and again should have limited board member involvement.

If one believes that conflict and dissatisfaction are related, then it is helpful to look at the involvement scores for these same three items. Table 5.4 shows the actual and preferred involvement scores for each of the three items--item "C" is hiring decisions about central office staff, item "D" is hiring decisions about staff other than central office, and item "H" is investigating citizen complaints. The scores reported are the mean scores for the 99 school systems.

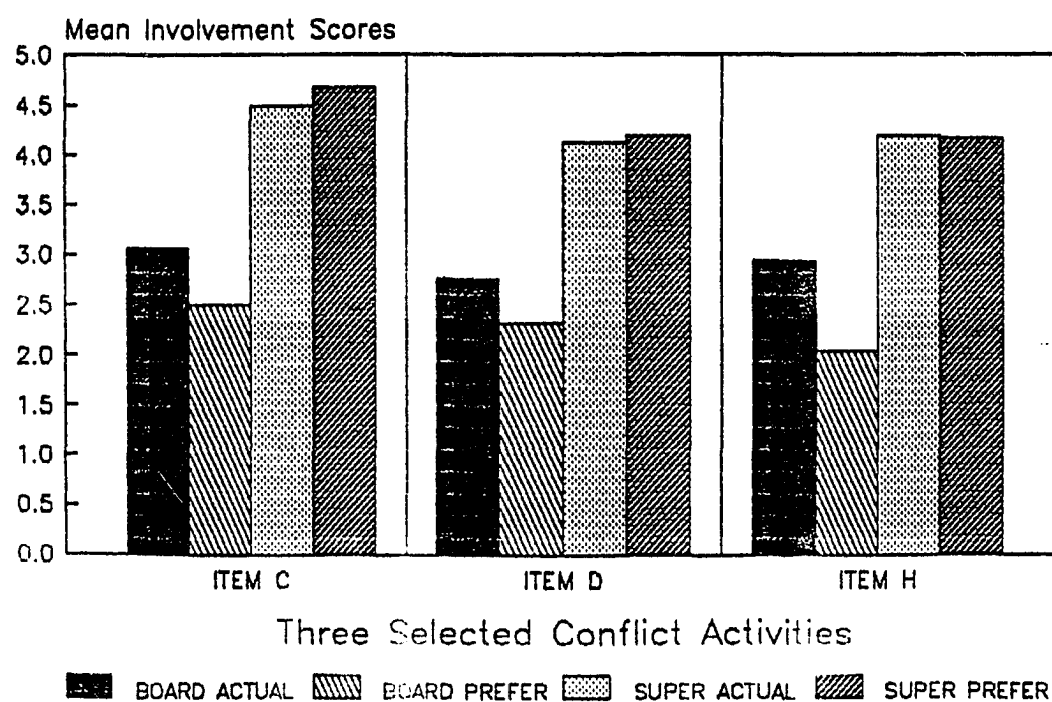
CONFLICT DIFFERENCE FOR ITEMS C,D, AND H
Comparison of Means

	BOARD ACTUAL	BOARD PREFERRED	BOARD ACT. LESS PREFER	SUPER ACTUAL	SUPER PREFERRED	SUPER ACT. LESS PREFER	BRD ACT LESS SUPER ACT	BRD PREFER LESS SUPER PREFER
ITEM C	3.07	2.51	0.56	4.48	4.68	-0.20	-1.41	-2.17
ITEM D	2.77	2.32	0.45	4.12	4.20	-0.08	-1.35	-1.88
ITEM H	2.94	2.05	0.89	4.20	4.16	0.04	-1.26	-2.11

TABLE 5.3

SPECIFIC ITEM INVOLVEMENT ANALYSIS

Board and Super Actual and Preferred



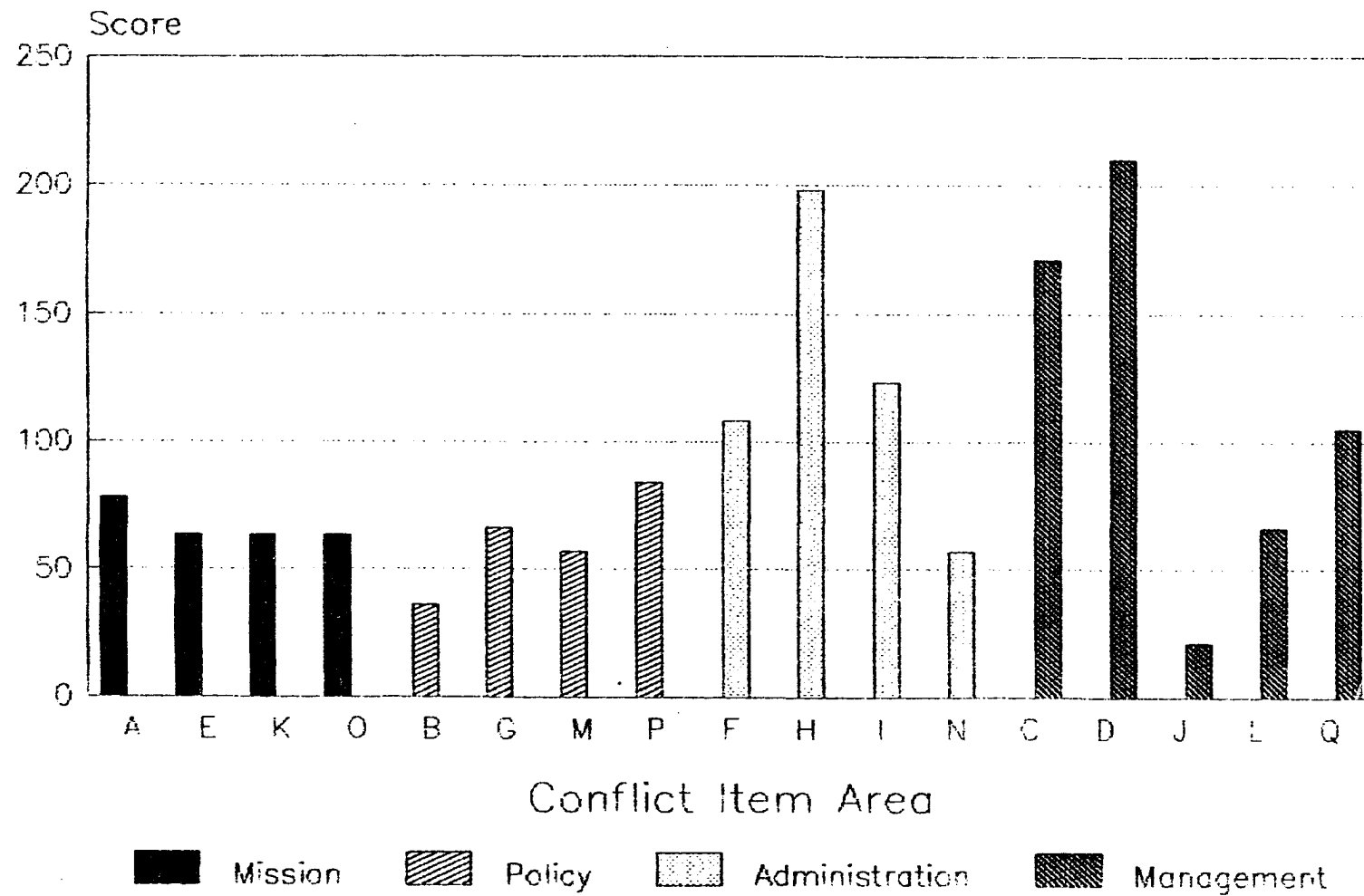
Graph 5.7

Remembering that the greater the distance between actual and preferred scores the greater the dissatisfaction, one can see that the differences between board actual and preferred are rather large. If one further considers the differences between board and superintendent actual scores the potential for conflict becomes quite clear, as it does when looking at board and superintendent preferred involvement differences. This distance of difference for these three high conflict areas is seen as Graph 5.7.

One other very interesting examination of areas of conflict is revealed in Graph 4.49 in Chapter Four, reproduced here as Graph 5.8. By sorting the conflict item areas by mission, policy, administration, and management one can see where the greatest areas for conflict have been reported. Six of the nine items for administration and management have a conflict score over 100. These 6 items represent 66% of all items for administration and management, and 35% of all items for the entire policy process cycle. Systems reported very low conflict in the areas of mission and policy, but administration and management presented problems. Activities related to administration and management of a school system hold the greatest potential for conflict. Further, since superintendents in North Carolina are not in agreement on role activities of board members, then board members are

understandably "wandering" into areas of administration and management, which according to James Svara's model for city management should have limited and little board member involvement respectively.

POLICY CONFLICT BY PROCESS AREA As Perceived by Superintendents



Graph 5.8

Question 4: Does application of the Svara dichotomy-duality model show differences among small, medium, and large school districts?

One of the questions examined for this study was the variable of size of system as it relates to the Svara model of involvement for mission, policy, administration, and management. Analysis of the demographic data by system size was interesting, as was shown in Table 4.9. We saw that the mean number of years that the superintendent had been a superintendent in the same system was 9.43 years, as compared to 6.78 for medium sized systems and 5.53 for large systems. We also saw that the superintendent's total years as a superintendent had a mean of 10.77 for the small systems and 6.81 for the large systems. And finally, not surprisingly, the larger the system the greater the number of members there were on the board of education. One can first conclude that the smallest systems--those between enrollment of 780 and 3,180 students--have the lowest turnover rate. In fact, the largest systems--those with 6,652 to 60,474 students--replace their superintendents almost twice as often as the smallest systems. One also notes that the largest systems report a mean for experience that indicates the superintendents they employ have the least prior experience as a superintendent.

No significant correlations were found when system

size was compared with the variables of years in the system, years as superintendent in the system, time remaining on the contract, total years as a superintendent, age, or number of board members.

When involvement scores were examined for size of system, statistical significance was found in two of the sixteen areas of involvement. Table 4.13 in Chapter Four showed F-Ratio calculations for mission, policy, administration, and management for Board Actual involvement, Board Preferred involvement, Superintendent Actual involvement, and Superintendent Preferred involvement. Board Actual involvement for mission and Board Actual involvement for policy were the only two areas for which size of the system was statistically significant. The smallest systems had the lowest involvement scores for these two areas of policy. One can conclude that board member involvement in the areas of mission and policy is related to the size of the system. The data suggest that the smaller the system, the less the involvement. Further, though not statistically significant, it is practically significant to note that North Carolina superintendents perceive that in all areas of mission, policy, administration, and management the smallest systems have the lowest involvement by their board members and their superintendents.

Question 5: Does the superintendent's tenure affect his or her perception of role definition, degree of conflict, and level of policy involvement?

The final question dealt with the tenure of the superintendent and its effect on perceptions of role definition, degree of conflict, and level of involvement. Tenure was divided into three groups-0 to 2.5 years, 3 to 7.5 years, and greater than 8 years. This definition of tenure dealt only with time the superintendent had served in the system he or she was working in at the time of completing the survey.

In general, there was similar understanding of roles of board members by superintendents across the three tenure groups. Graphs 4.65 and 4.66 in Chapter Four charted the comparison of role perceptions. There was practically no dispersion about the superintendent's own role in the policy process across the three tenure groups.

For conflict, an analysis of variance for unequal size groups showed no statistical significance about the means across the three tenure groups. The F-ratio was as follows:

$$F_{.05}(2,92)=3.111$$

$$F_{.05} = .359$$

We therefore accepted the null hypothesis that the means were equal and reported no statistical significance for conflict by tenure group.

Data showed that systems with the longest-tenured superintendent showed the greatest involvement on the part of the board members. One might conclude that this is a result of a long-standing superintendent's comfort with involvement on the part of his or her board members. One might even go further and suggest that the key to longevity is board member involvement; data did show that the shortest tenured superintendents showed the lowest level of involvement by their board members.

A final examination of relationship for demographic variables and involvement and conflict scores is reported in Table 5.4. This table shows the correlation coefficients for each variable across all other variables. These coefficients do not show causation, but are merely an analysis of relationship, negative coefficients indicating an inverse relationship and positive coefficients a positive relationship. Examination of the table shows a slightly moderate relationship between years worked in the system and years as a superintendent in the system. There is also a slightly moderate relationship between age and years as a superintendent in the system.

There is a moderate relationship between the superintendent's combined actual involvement score and the board's combined actual involvement score, as well as the superintendent's combined preferred involvement score and the board's combined actual involvement score. There is a moderately high relationship between the board's combined preferred involvement score and the superintendent's combined actual and preferred involvement scores.

There is a very high relationship between total years as a superintendent and years as a superintendent in the system. There is also a very high relationship between the board's combined actual involvement score and the board's combined preferred involvement score. And finally, there is an extremely high relationship between the superintendent's actual involvement score in the policy process and his or her preferred involvement score.

CORRELATION COEFFICIENTS FOR ALL VARIABLES

	ENROLL- MENT	YRS IN SYS	SUPER IN SYS	TIME ON CONTRACT	TOT YRS SUPER	AGE	NO BRD MEMBERS	BRD ACT SCORE	BRD PREF SCORE	SUP ACT SCORE	SUP PREF SCORE	CONFLICT SCORE
ENROLLMENT	1.000											
YRS IN SYS	0.067	1.000										
SUPER IN SYS	-0.072	0.553	1.000									
TIME CONTRACT	-0.151	0.013	-0.066	1.000								
TOTAL YRS SUPER	-0.164	0.343	0.848	-0.021	1.000							
AGE	-0.048	0.386	0.505	0.143	0.523	1.000						
NO BRD MEMBERS	0.129	0.094	0.077	0.239	0.262	0.431	1.000					
BRD ACTUAL SCORE	-0.049	-0.015	0.082	0.117	0.132	0.403	0.280	1.000				
BRD PREF SCORE	-0.172	-0.048	0.054	0.181	0.099	0.391	0.238	0.830	1.000			
SUPER ACT SCORE	-0.110	-0.089	-0.024	0.152	0.017	0.418	0.355	0.617	0.701	1.000		
SUPER PREF SCORE	-0.125	-0.121	0.003	0.152	0.079	0.449	0.398	0.619	0.713	0.959	1.000	
CONFLICT SCORE	0.007	-0.001	0.037	-0.084	0.142	0.173	0.064	0.360	0.159	0.063	0.094	1.000

TABLE 5.4

It is important to remember, however, that these coefficients for involvement are based on data completed by the superintendents for themselves and as perceived for their board members. This no doubt greatly increases the relationship between some of the variables.

Conclusions

Based upon an analysis of the data, the following conclusions are presented:

Demographics

- The smallest school systems--those between enrollment of 780 and 3,180--have the lowest superintendent turnover rate.
- The largest school systems--those with 6,652 to 60,474 students--replace their superintendents almost twice as often as the smallest school systems.
- The largest school systems show a mean for experience that indicates the superintendents they employ have the least prior experience as a superintendent.
- There was a slightly moderate relationship between years worked in the system and years as a superintendent in the system.
- There was a slightly moderate relationship between age and years as a superintendent in the system.
- There was a very high relationship between total years as a superintendent and years as a superintendent in their current system.

Conflict

- Superintendents believe that activities related to administration and management of a school system hold the greatest potential for conflict.
- There was no statistical significance concerning the conflict score means across the three tenure groups.

Role

- North Carolina superintendents are not in agreement in understanding the role of their board members as based on the policy process areas of mission, policy, administration, and management.
- North Carolina superintendents are in agreement in understanding their own roles as based on the policy process areas of mission, policy, administration, and management.
- Since superintendents in North Carolina are not in agreement in understanding the role activities of board members, the board members are, on some activities, operating in the areas of administration and management.
- There was similar understanding of roles of board members by superintendents across the three tenure groups.
- There was practically no disagreement by superintendents about their own role in the policy process across the three tenure groups.

Involvement

- Superintendents believe that their board members are somewhat dissatisfied with and would prefer more involvement in the mission and policy areas of the policy cycle.
- Superintendents are satisfied with their levels of involvement in the policy cycle.
- Superintendents believe they are more involved in all areas of the policy process cycle than are their board members.
- If one equates involvement with control, then the North Carolina superintendents are more "in control" over each area of mission, policy, administration, and management than the members of their board of education.
- Superintendents believe that board members should be less involved in hiring decisions.

- Board member involvement, as perceived by superintendents, in the areas of mission and policy is related to the size of the system.
- As perceived by superintendents, in all areas of mission, policy, administration, and management the smallest systems have the lowest involvement by their board members and superintendents.
- School systems with the longest-tenured superintendent had the greatest involvement by board members, as perceived by superintendents.
- The shortest-tenured superintendents showed the lowest level of involvement by their board members, as perceived by superintendents.
- There was a moderate relationship between the superintendent's combined actual involvement score and the board's combined actual involvement score.
- There was a moderate relationship between the superintendent's combined preferred involvement score and the board's combined actual involvement score.
- There was a moderately high relationship between the board's combined preferred involvement score and the superintendent's combined actual and preferred involvement scores.
- There was a very high relationship between the board's combined actual involvement score and the board's combined preferred involvement score.
- There was an extremely high relationship between the superintendent's combined actual involvement score and the superintendent's combined preferred involvement score.

Recommendations

For The North Carolina School Boards Association

Rework the model which defines the relationship between school board members and superintendents. This new dichotomy-duality model should allow for shared governance.

Define the new role for the board member and the superintendent under this shared governance, Dichotomy-duality model.

Communicate the new Dichotomy-duality model and the new roles to boards and superintendents.

Seek understanding of the new roles by both board members and superintendents.

Assist board members in learning what their appropriate role is in the hiring process.

Assist board members and superintendents in changing their involvement in almost all aspects of the policy process through intensive training for new board members as well as extensive ongoing training for all board members.

Assist board members in becoming more involved in the areas of mission and policy formation. Help superintendents to assist their board members in becoming more involved in mission and policy formation.

For North Carolina Superintendents

Involve your board members more in mission and policy formation, since superintendents are currently more involved in all areas of the policy process.

Ensure that your board controls the mission and vision of the school system while you oversee the management of the system; share with your board members in the decision-making for policy formation and administration.

Remember that board members would prefer less involvement in administration and management of the school system; until you and your board members understand and agree on each others roles, you can expect board member involvement in administration and management.

Know that the greatest areas for conflict between you and your board are activities related to administration and management of the school system.

Know that board members wish to be involved in hiring decisions, which are management functions of the policy process. Plan for this involvement.

Know that longevity in the largest school systems in North Carolina is much shorter than in the smallest school systems in this state.

Know that the longer you are a superintendent in your system the more comfortable you will become with involving your board members; yet, an apparent key to longevity is board member involvement.

Know that as a group, the smallest school systems had the least board member involvement in the policy process, yet the small school systems with the longest-tenured superintendent showed the greatest board member involvement of all school systems in North Carolina.

It is important to remember that the Svara Dichotomy-duality model clearly dichotomizes mission and management, but blends policy and administration. Once and for all we must jettison the traditional conflict model which says simply that boards make policy and superintendents carry it out. We must recognize that educational governance is a shared process, with primary responsibility for the mission and vision of the school

system belonging to the board of education and the management of the system belonging to the superintendent and his staff. We must further recognize and expect a blending of involvement and responsibility in policy and administration as defined by the Svara model. Then we must redefine the roles of board members and superintendents according to this shared involvement in governance. We must recognize that the "policy line" between the board and the superintendent is not clear and the efforts to clearly define it often lead to conflict. We must accept and understand that there is, instead, a "wide band" rather than a "slim line" between boards and superintendents. Within this band, boards and superintendents will interact, form policy, and share administrative decisions. Simply, it is a process of shared governance of policy and administration operating between the dichotomous areas of mission and management.

For Further Study

When the original study was begun, it was decided not to attempt to collect data from the board members, but instead to restrict the data collection to just the superintendents in North Carolina. It was felt that with over 700 board members and 134 superintendents the first pass at this study of policy according to the Dichotomy-duality model would best be limited to superintendents. Previous studies by Svara and Loveridge examined responses from both sides of the relationship--town managers and city councils, as well as other staff. An extremely valuable study would examine, using the same instrument, the perceptions from board members about their roles in the policy process and their degree of conflict with the superintendent.

An alternative approach to surveying all board members in North Carolina might be to select a limited number of school systems on matched variables and resurvey the superintendents, only this time survey the board members and staff as well. Not only would one be able to assess superintendent responses over time on the same instrument, but one could also more tightly control for demographic variables.

Yet another approach for study could examine the relationship, using the same survey instrument, between

superintendents and board members in North Carolina on a single policy issue--sex education or student reassignment, for instance.

Future study would be valuable if the variables were expanded to include examination of racial composition of school boards, particularly in light of current redistricting. It would also be valuable to compare systems on the basis of socio-economic status of the communities. Additional comparative studies might also examine the relationship of managers and councils as studied by Svara and the superintendents and boards of education in the same cities.

For future use, a slight modification of the Svara survey instrument would involve a reduction of indicators by one. There were 17 activities which were used for involvement determination, as well as conflict. In determining averages, a calculation had to be added to accommodate for groups of 4, 4, 4 and 5 activities. For comparative purposes, it would be better to limit management activities to four indicators rather than five.

The area of board/superintendent relations has always been an interesting one for study. Results of this study suggest that the roles of the board members are not clear to superintendents across North Carolina, and that conflict arises as a result of overlap in certain areas of those roles. Workshops, training, and seminars for both board members and superintendents in North Carolina are needed to help demystify the policy process, clarify roles, and reduce potential areas for conflict. The Svara Dichotomy-Duality model is a tool that will facilitate that instruction.

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APPENDIX A

University of North Carolina at Greensboro
Department of Educational Administration

GOVERNANCE PROCESS QUESTIONNAIRE

The purpose of this questionnaire is to clarify the activities and roles of school district board members and superintendents. All superintendents in North Carolina are being surveyed.

You may be assured of complete confidentiality both for yourself and your school system. The questionnaire has an identification number only so that we may mark your name off our list and not have to write you again. Neither your name nor the name of your school system will ever be placed on the questionnaire, nor will the results be associated with any specific individual or community.

We will provide you with an executive summary of the findings when the research is complete. Thank you for your assistance.

I.D.# _____

PART I. BOARD AND STAFF INVOLVEMENT

For the activities listed on the following pages, please indicate the actual and preferred level of board involvement, either as a whole, in committees, or as individual members, and the actual and preferred level of superintendent/staff involvement. It is possible that the board and superintendent will be very involved or have little involvement in the same activity. The categories for these items are explained here.

Level of Involvement

1--VERY LOW: NOT INVOLVED

Handled entirely by someone else who may report on what has been done.

2--LOW: MINIMUM REVIEW OR REACTION APPROPRIATE TO SITUATION

Examples would be giving a routine OK to someone else's recommendations, providing the opportunity to react as courtesy, or making comments.

3--MODERATE: ADVISING OR REVIEWING

Examples include making suggestions, reviewing recommendations, seeking information or clarification, ratifying proposals.

4--HIGH: LEADING, GUIDING, OR PRESSURING

Examples are initiating; making proposals; advocating, promoting, or opposing; intensely reviewing and revising a proposal.

5--VERY HIGH: HANDLE ENTIRELY

No one else directly involved but others may be informed of actions taken.

Preferred Level of Involvement

Whatever the level of involvement, there may be a differing degree of satisfaction with that level. For example, one person may be pleased not to be involved in an activity and another person displeased. Choose the appropriate number for the actual level of involvement, and then mark the same or a different number on the scale that reflects the level of involvement you prefer for either the board or superintendent, as appropriate.

Example: In the activity NAMING SCHOOLS, the board's involvement is high and the superintendent's is low, merely checking possible names to avoid duplication. You prefer that the board spend less time and simply accept or reject the superintendent's proposals. In this case, the scales would be marked as follows--

1=VERY LOW/ 2=LOW/ 3=MEDIUM/ 4=HIGH/ 5=VERY HIGH

<u>ACTIVITIES</u>	<u>INVOLVEMENT:</u>	<u>BOARD</u>					<u>SUPERINTENDENT</u>				
		1	2	3	4	5	1	2	3	4	5
NAMING SCHOOLS	Actual:					5	1				
	Prefer	1	2	3	4	5	1	2	3	4	5

For each activity listed below, MARK THROUGH the number for ACTUAL involvement and MARK THROUGH the number of PREFERRED level of involvement for both the board and the superintendent.

		1=VERY LOW/ 2=LOW/ 3=MEDIUM/ 4=HIGH/ 5=VERY HIGH									
		INVOLVEMENT					BOARD				
							SUPERINTENDENT				
IDENTIFYING PROBLEMS, ANALYZING FUTURE TRENDS FOR THE SCHOOL DISTRICT	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
DEVELOPING ANNUAL PROGRAM GOALS AND OBJECTIVES	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
HIRING DECISIONS ABOUT CENTRAL OFFICE ADMINISTRATORS	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
HIRING DECISIONS ABOUT STAFF OTHER THAN CENTRAL OFFICE ADMINISTRATORS	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
DEVELOPING STRATEGIES FOR FUTURE DEVELOPMENT OF THE SCHOOL DISTRICT	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
SPECIFIC DECISIONS ABOUT ALLOCATING RESOURCES	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
FORMULATING THE PROPOSED BUDGET	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
INVESTIGATING CITIZEN COMPLAINTS	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
MAKING SPECIFIC DECISIONS THAT ARE PART OF LARGER PROJECTS, E.G., SITE SELECTION, FACILITY DESIGN	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
ROUTINE CONTRACTING AND PURCHASING	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
CHANGING SYSTEM-WIDE EDUCATIONAL PROGRAMS OR REVISING LONG RANGE GOALS AND DIRECTION	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
ASSESSING ORGANIZATIONAL PERFORMANCE	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
INITIATING OR CANCELLING PROGRAMS	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
EVALUATING PROGRAMS	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
DETERMINING THE PURPOSE AND SCOPE OF SERVICES PROVIDED THE SCHOOL DISTRICT	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
BUDGET REVIEW AND APPROVAL	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5
PROPOSING CHANGES IN MANAGEMENT PRACTICES OR ORGANIZATION	Actual:	1	2	3	4	5	1	2	3	4	5
	Prefer:	1	2	3	4	5	1	2	3	4	5

Considering these same activities, please indicate whether there has been any disagreement or conflict between the board of education and the superintendent about who should handle this activity. For each, answer "NO", "YES, A LITTLE" or "YES, A LOT".

ACTIVITY	IS THERE CONFLICT?		
	NO	LITTLE	LOT
IDENTIFYING PROBLEMS, ANALYZING FUTURE TRENDS FOR THE SCHOOL DISTRICT	()	()	()
DEVELOPING ANNUAL PROGRAM GOALS AND OBJECTIVES	()	()	()
HIRING DECISIONS ABOUT CENTRAL OFFICE ADMINISTRATORS	()	()	()
HIRING DECISIONS ABOUT STAFF OTHER THAN CENTRAL OFFICE ADMINISTRATORS	()	()	()
DEVELOPING STRATEGIES FOR FUTURE DEVELOPMENT OF THE SCHOOL DISTRICT	()	()	()
SPECIFIC DECISIONS ABOUT ALLOCATING RESOURCES	()	()	()
FORMULATING THE PROPOSED BUDGET	()	()	()
INVESTIGATING CITIZEN COMPLAINTS	()	()	()
MAKING SPECIFIC DECISIONS THAT ARE PART OF LARGER PROJECTS, E.G., SITE SELECTION, FACILITY DESIGN	()	()	()
ROUTINE CONTRACTING AND PURCHASING	()	()	()
CHANGING SYSTEM-WIDE EDUCATIONAL PROGRAMS OR REVISING LONG RANGE GOALS AND DIRECTION	()	()	()
ASSESSING ORGANIZATIONAL PERFORMANCE	()	()	()
INITIATING OR CANCELLING PROGRAMS	()	()	()
EVALUATING PROGRAMS	()	()	()
DETERMINING THE PURPOSE AND SCOPE OF SERVICES PROVIDED THE SCHOOL DISTRICT	()	()	()
BUDGET REVIEW AND APPROVAL	()	()	()
PROPOSING CHANGES IN MANAGEMENT PRACTICES OR ORGANIZATION	()	()	()

PART II. BOARD AND SUPERINTENDENT ROLES

A. NATURE OF BOARD OF EDUCATION ACTIVITY

For the following statements, indicate whether you agree completely (++), agree more than you disagree (+), disagree more than you agree (-), or disagree completely (--), based on how things are in your School District at the present time.

- | | | | | | |
|-----|---|----|---|---|----|
| 1) | Board members devote too much time to providing citizen services. | ++ | + | - | -- |
| 2) | Board members encourage citizens to refer complaints directly to staff rather than going through board members. | ++ | + | - | -- |
| 3) | Intervention by a board member is necessary to get adequate response to citizen complaints. | ++ | + | - | -- |
| 4) | Citizens get better treatment from staff if their complaint is referred through a board member. | ++ | + | - | -- |
| 5) | Board members try to get special services and benefits for their constituents. | ++ | + | - | -- |
| 6) | The board deals with too many administrative matters and not enough policy issues. | ++ | + | - | -- |
| 7) | The board understands its role in administration. | ++ | + | - | -- |
| 8) | The board effectively draws on the expertise of professional staff. | ++ | + | - | -- |
| 9) | The board and superintendent have a good working relationship. | ++ | + | - | -- |
| 10) | The board is more a reviewing and vetoing agency than a leader in policy making. | ++ | + | - | -- |
| 11) | The board does not have enough time to deal effectively with important policy issues. | ++ | + | - | -- |
| 12) | The board's appraisal of the superintendent's performance is satisfactory in depth and frequency. | ++ | + | - | -- |
| 13) | The board is too involved in administrative activities. | ++ | + | - | -- |
| 14) | The board provides sufficient direction and overall leadership. | ++ | + | - | -- |
| 15) | The board has difficulty making clear decisions. | ++ | + | - | -- |
| 16) | The board focuses too much on short-term problems and gives too little attention to long-term concerns. | ++ | + | - | -- |
| 17) | The board makes excessive demands on staff for reports, studies, and information. | ++ | + | - | -- |

B. NATURE OF SUPERINTENDENT ACTIVITY

Here are some statements concerning what a superintendent should or should not do. Indicate whether you agree completely (++), agree more than you disagree (+), disagree more than you agree (-), or disagree completely (--), based on how things are in your School District at the present time.

- | | | | | | |
|-----|--|----|---|---|----|
| 1) | A superintendent should advocate major changes in School District policies. | ++ | + | - | -- |
| 2) | A superintendent should maintain a neutral stand on any issues on which the community is divided. | ++ | + | - | -- |
| 3) | A superintendent should consult with the board before drafting his own budget. | ++ | + | - | -- |
| 4) | A superintendent should assume leadership in shaping educational policies. | ++ | + | - | -- |
| 5) | A superintendent should act as an administrator and leave policy matters to the board. | ++ | + | - | -- |
| 6) | A superintendent should advocate policies to which important parts of the community may be hostile. | ++ | + | - | -- |
| 7) | A superintendent should make it clear to the board when they are intruding in administrative areas. | ++ | + | - | -- |
| 8) | A superintendent should provide only the information requested by the board to appraise the organization's performance. | ++ | + | - | -- |
| 9) | A superintendent should actively promote equity and fairness in the distribution of existing educational programs. | ++ | + | - | -- |
| 10) | A superintendent should advocate new programs in order to promote equity and fairness for low income or minority groups. | ++ | + | - | -- |
| 11) | A superintendent should facilitate the expression of citizen opinions even if they counter board views. | ++ | + | - | -- |
| 12) | A superintendent should insist on having a free hand in directing the internal operations of the school district. | ++ | + | - | -- |

III. INFORMATION ABOUT YOU AND YOUR SCHOOL SYSTEM

A. Employment

How long have you worked in this school system? _____ years

How long have you been superintendent in this school system? _____ years

How much time remains in your contract? _____ years

Total years as a superintendent? _____ years

B. Age: _____

C. Number of Board Members: _____

D. Thank you. Please provide any comments you have about the questionnaire.

APPENDIX B

MEASURING THE LEVEL OF INVOLVEMENT BY OFFICIALS
IN EDUCATIONAL ACTIVITIESLEVEL OF INVOLVEMENT INDEX:

- 1--VERY LOW: NOT INVOLVED
Handled entirely by someone else, who may report on what has been done.
- 2--LOW: MINIMUM REVIEW OR REACTION APPROPRIATE TO SITUATION
Examples would be giving a routine OK to someone else's recommendations, providing the opportunity to react as courtesy, or making comments.
- 3--MODERATE: ADVISING OR REVIEWING
Examples include making suggestions, reviewing recommendations, seeking information or clarification, ratifying proposals.
- 4--HIGH: LEADING, GUIDING, OR PRESSURING
Examples are initiating; making proposals; advocating, promoting, or opposing; intensely reviewing and revising a proposal.
- 5--VERY HIGH: HANDLE ENTIRELY
No one else directly involved but others may be informed of actions taken.

EDUCATIONAL GOVERNANCE: FUNCTIONS AND ACTIVITIES

MISSION

- 1.* IDENTIFYING PROBLEMS, ANALYZING FUTURE TRENDS FOR THE SCHOOL SYSTEM

DECIDING TO UNDERTAKE NEW OR ELIMINATE OLD PROGRAMS
- 5. DEVELOPING STRATEGIES FOR FUTURE DEVELOPMENT OF THE SCHOOL SYSTEM
- 11. CHANGING SYSTEMWIDE EDUCATIONAL PROGRAMS OR REVISING LONG RANGE GOALS AND DIRECTION
- 15. DETERMINING THE PURPOSE AND SCOPE OF SERVICES PROVIDED THE SCHOOL DISTRICT

POLICY

- 2. DEVELOPING ANNUAL PROGRAM GOALS AND OBJECTIVES
DETERMINING FORMULA FOR ALLOCATING PROGRAMS
- 7. FORMULATING THE PROPOSED BUDGET
- 16. BUDGET REVIEW AND APPROVAL
DECIDING TO PARTICIPATE IN FEDERAL AID PROGRAMS
DEVELOPING APPLICATIONS FOR FEDERAL FUNDS
- 13. INITIATING OR CANCELLING PROGRAMS

ADMINISTRATION

- SPECIFIC DECISIONS CONCERNING PLANNING AND CONSTRUCTION
DELIVERING SERVICES TO CITIZENS
- 6. SPECIFIC DECISIONS ABOUT ALLOCATING SERVICES
- 8. INVESTIGATING CITIZEN COMPLAINTS
- 9. MAKING SPECIFIC DECISIONS THAT ARE PART OF LARGER PROJECTS,
E.G., SITE SELECTION, FACILITY DESIGN, CURRICULAR ADDITIONS
DEVELOPING OPERATING PROCEDURES FOR PROGRAMS: DEFINITION
OF ELIGIBILITY, APPLICATION METHODS, AWARD CRITERIA, ETC.
- 14. EVALUATING PROGRAMS

MANAGEMENT

- 3. HIRING DECISIONS ABOUT CENTRAL OFFICE ADMINISTRATORS
- 4. HIRING DECISIONS ABOUT STAFF OTHER THAN CENTRAL OFFICE
ADMINISTRATORS
AWARDING LARGE CONTRACTS (SUSPECT)
- 10. ROUTINE CONTRACTING AND PURCHASING
- 12. ASSESSING ORGANIZATIONAL PERFORMANCE
- 17. PROPOSING CHANGES IN MANAGEMENT PRACTICES OR ORGANIZATION
DETERMINING WAGES AND BENEFITS FOR EMPLOYEES
HANDLING COMPLAINTS FROM EMPLOYEES

*Number indicates inclusion of and order in which activity
appears on the survey.



APPENDIX C

"PUBLIC EDUCATION: NORTH CAROLINA'S BEST INVESTMENT"

Dr. Gene Causby
Executive Director

OFFICERS**PRESIDENT**

Bob Cabaniss
Cleveland

1ST VICE PRESIDENT

James Mebane
Guilford

2ND VICE PRESIDENT

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Montgomery

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Davidson

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Haywood

Barbara Harrell
Elkin

Robby Rex Komegay
Re

... Mingo
Kannapolis

Lorraine Moore
Sampson

Donovan Phillips, Jr.
Pitt

Katie Powell
Whiteville

James R. Raper
Beaufort

Betsy Sloan
Harnett

Nehemiah Smith
Rocky Mount

Virginia Tillet
Dare

Bonnie Tuttle
Stokes

Pershing Wall
Greensboro

Robert Young
Mitchell

PAST PRESIDENT'S COUNCIL

Pennie Bazle
Terrell Duncan

Oliver Smith
Janet Wilson

Clifford Winslow
LIAISON

Jeanne Meiggs,
N.C. Assoc. of

School Administrators
LEGAL COUNSEL
George Rogister

May 1, 1989

TO: Superintendents

FROM: Gene Causby, Executive Director
N C School Boards Association

Ray Sarbaugh, Executive Director
N C Association of School Administrators

RE: Research Study on Roles of School Board Members

Jim Merrill, a doctoral student in administration at the University of North Carolina at Greensboro, is conducting a research study concerning the role of school board members in North Carolina. Since there is very little information on this subject, we encourage you to assist Jim by completing the enclosed questionnaire. His findings will likely be of interest to you and to us.

Thank you for your assistance.

GC:RS:lc
Enclosure