1992

School district improvement through strategic planning: A case study

Troy Jude Vincent

Iowa State University

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School district improvement through strategic planning: A case study

Vincent, Troy Jude, Ph.D.

Iowa State University, 1992
School district improvement through strategic planning:
A case study

by

Troy Jude Vincent

A Dissertation Submitted to the
Graduate Faculty in Partial Fulfillment of the
Requirements for the Degree of
DOCTOR OF PHILOSOPHY

Department:  Professional Studies in Education
Major:  Education (Educational Administration)

Approved:

Signature was redacted for privacy.

In charge of Major Work:

Signature was redacted for privacy.

For the Department

Signature was redacted for privacy.

For the Education Major

Signature was redacted for privacy.

For the Graduate College

Iowa State University
Ames, Iowa

1992
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ACKNOWLEDGMENTS

"If a task is once begun, 
ever leave it till it's done. 
Be the labor great or small, 
do it well or not at all."
---Unknown

First, my obedience and gratitude to God the Father for sustaining my mental and physical health throughout my career. I owe personal recognition and gratitude to my family, friends, and colleagues as well as the faculty and staff of Professional Studies at Iowa State University. I am thankful to Dr. Jerry Herman for making it possible to intern with the Des Moines Public Schools. I am equally grateful to the administration and staff of the Des Moines Public Schools for their open communication and willingness to assist me in this project.

Many thanks to Dr. Richard Manatt for agreeing to supervise this study near the midpoint of completion. I am also thankful to the following committee members for their support and analysis: Dr. Norman Boyles, Dr. Charles Railsback, Dr. Daniel Robinson, and Dr. Chuck Mulford.

I am indebted to many people who contributed to my present level of intellectual growth: My mother, Mrs. Rose Washington, for her support and patience; my brothers, Elmo and Peanut; my cousins Lynette, Zelda, and Brother; Aunt Baby Doll, Uncles Julius and Paul and their families; my nephews Elmo, Jr., Terrance, and Marvin; and my niece Dwaynetta. A special thanks to Carol, my sister-in-law, for the New Orleans cuisine.

Many thanks to my special teacher and friend of more than 25 years, Mrs. Margery A. Sartor. It was under her tutelage that I was able to set
goals. Thanks to her children, Keith and Jann, for sharing their mother with me.

I am grateful to my very good friends, Dorothy, Kenneth, Veronica, Ron, and Vera, for their encouragement and inspiration. Thanks to Dr. Everett Williams of the New Orleans Public Schools, whose influence led me to attend Iowa State University.

Finally, I would like to give a very special thanks to my three children, Troy, Jr., Ryan, and Tiffany. This study was done primarily as an inspiration for them to be successful and work towards their desired goals. I hope the same for Garland, my extended son.

Finally, I would like to dedicate this study to my deceased grandmother, who worked long and tirelessly to see that I get an education. Her memory is eternal.
CHAPTER I. INTRODUCTION

The Des Moines Independent Community School District, like many other educational and corporate institutions, has been involved in school improvement through a strategic planning process. This study, using appropriate qualitative methods, examines several elements of the planning process of the Des Moines Public Schools which impacts cultural, structural, and/or programmatic changes during the span of the study. It traces the planning structure used by Dr. Gary Wegenke, the current superintendent with three years tenure. The study also examines his role in the planning process.

This introductory chapter includes ideas generated from the literature to help present and support key concepts relative to the planning content and the implementation of the naturalistic inquiry methodology which will be discussed in Chapter III.

Description of the Case

It is considered appropriate, in qualitative research, to describe in detail the case under study. In addition to information on student demographics, resource allocations, and programs offered, excerpts from two State of the Schools Addresses have been included as a narrative of life in the Des Moines Public Schools as perceived by two superintendents, Wegenke and Dr. William Anderson, who served as superintendent for eight years.
The Des Moines School District, the largest of the state's 400-plus school districts, is located in central Iowa in a city with 200,000 inhabitants. The district has approximately 84 square miles with an assessed valuation recorded at nearly 4 billion dollars. Insurance is the city's major enterprise.

Student enrollment peaked at 46,000 in 1967. Since then, it has dropped and stabilized around 31,000. Students are enrolled in six high schools, ten middle/transitional schools, forty-two elementary schools, and five special/alternative schools.

The school district is supervised by seven school board members elected at large. The Personnel Department reported that the 1991-92 figures indicated the district is currently being staffed by approximately 168 administrators including principals and vice principals, 2300 classroom teachers and professional support staff (nurses, psychologists, social workers, counselors, etc.), 458 paraprofessional staff, 228 clerical, and approximately 900 classified staff (food service technicians, maintenance, etc.).

Programs offered

The elementary program (pre-kindergarten through fifth grade) includes English-language arts, social studies, mathematics, reading, science, health, physical education, traffic safety, music, and visual arts. The district also has an elementary school which specializes in the fine arts. The middle/transitional schools (sixth through eighth grades) offer expanded versions of the courses provided at the elementary level.
Most middle schools also offer introductory vocational courses in home economics and industrial arts. Des Moines high school students, grades nine through twelve, are required to earn 18½ units for graduation with the following as required courses: 3 units English; 2 units mathematics; 3 units social sciences; 1 unit each of science, fine arts, and physical education. High school students have the opportunity to enroll in many high technical/vocational and academic classes at a central campus for part of the school day. Most secondary schools (9-12) have at least 19 varsity athletic teams. Students also have a wide range of school clubs/organizations for extracurricular activities.

Special education services are available for all exceptional students at regular school sites. In addition, there are two special education schools for students who need a more restrictive environment.

The school district has several independent programs to serve at-risk youth K-12. One of them is the New Horizons Program which serves approximately 1500 students throughout the school year and summer. A list of support services available for students is included in Appendix A.

Operating budget

The school district had an operating budget of approximately $150,000,000 for the 1990-91 school year. Of that amount, 68% was spent on instruction; 11% on plant operations and maintenance; 8.8% on student services; 5.5% for school administration; 3.5% on instructional support service; and 2.4% for other support services.
On January 15, 1988, Dr. William Anderson delivered the State of the Schools Address to business and community leaders. He described the successes of, as well as the problems faced by the district during the 1980s. The following is excerpted from the talk:

In 1980, we had neither the resources or time to waste—we had to know exactly where we wanted to go and have a plan to make it happen, knowing full well how difficult reform is to accomplish. The road we have followed required us to address many critical and emotional issues during the '80s—I won't try to list them all, but clearly we have taken many steps toward excellence even for those who may not have always agreed with each step taken.

We have made tremendous progress in spite of the traumas of four state budget cuts, eight school closings, complete restructuring of our educational program, reorganization and realignment of our staff to better reflect our priorities, and initiation of an unbelievable amount of curriculum change in what we teach, how we teach, and how much students learn.

Choosing the right road required a great deal of planning and development of a long-range vision or design, while getting there required annual goals and objectives. But the real vehicle for travel down this road has been the unusual commitment and hard work by the staff and school board and support from our PTA's and business community.

How to do more with less has been our way of life since 1980. Our priorities are clear when it is understood that our average teacher salary increases each year have been closer to 44 percent while the average budget increases for all expenditures has been only 3 percent.

Many of our patrons and some staff members viewed our closing of schools, reorganization, and cost-cutting efforts as reducing the available number of instructional personnel but the reverse was actually the case.

Now what has happened to us in the eighties? So I'm not misunderstood, I want to quote a particular philosopher who used to pitch for the St. Louis Cardinals a half century ago. Dizzy Dean was once asked by a reporter if he didn't think that he was guilty of bragging too much about his team, his brother Daffy, and his own baseball exploits. Dizzy's response was, "If you done it, it ain't braggin" and what I am going to tick off are not wishful hopes or future plans but what the board and staff have done. Since 1980, they have:

- completely revised our curriculum programs, kindergarten through grade 12, and established clear instructional objectives for each subject at each grade level,
• completed objective based tests for all courses to more accurately measure student growth,
• developed evaluation systems for both teachers and vocational/technical and accelerated academic courses,
• extended a pilot pre-school project into a major effort with 40 classes at 20 centers enrolling more than 1100 children and made it completely self-supporting,
• initiated a before-and-after school child care program in 31 centers...making it completely self-supporting,...
• added a half-day kindergarten enrichment program,...
• started a Writing to Read program,...
• established a central academy for 8th, 9th, and 10th graders for more rigorous academic challenge,...
• achieved substantial gains over previous years in our district objective based tests which were also reflected in improved national achievement score comparisons in spite of two test renormings,
• expanded our Gifted and Talented services more than seven times,
• doubled the services for our non-English speaking students,
• developed a home instruction program for about 100 students,...
• adopted a long-range Plan for Excellence covering 33 concepts,...
• installed a satellite-based computer instruction laboratory at Central Campus and a two-way interactive video and sound transmission system between all of our secondary schools and the Des Moines Area Community College,
• established a Fund for Excellence which has three programs supported with outside funding: a teacher mini-grant program, a resident scholar program, and teaching fellowships for staff,
• added 60 new business/school partnerships so that all schools are now paired with at least one community enterprise,
• created a Wellness Program for staff,...
• formed an urban network with the seven largest school districts to work jointly on solutions to common problems,
• started an annual Education Forum,...
• added more than 1200 computers to provide computer assisted instruction and a computer network between buildings....

But I feel the single most important accomplishment of all in terms of long-range improvements and addressing the most difficult issues facing this district is our implementation this year of the Des Moines Plan, the most critical of the 33 concepts incorporated in our Plan for Excellence adopted in 1984....The Des Moines Plan is a comprehensive remediation program for all 64 attendance centers to assure equity, early intervention, and continuous support for all pupils in the so-called basic skills....
So far I have only talked about some of our major instructional changes, but there have been equally significant changes in the way we provide our services as well. We:

- were one of the first to devise and arbitrate borrowing agreement to improve cash flow because of a limited fund balance back in 1980,
- successfully passed a referendum to authorize book rentals so that additional expenditures could be made for badly needed textbook replacements,
- developed a six-year capital improvements program that was sorely needed to repair and renovate our deteriorating buildings and secured a favorable public vote after it had failed three times since 1973.
- initiated student participation fees so that certain activities could continue.

Some of our cost-saving measures were propane fuel for buses, improved bus routing, engine rebuilding program, radio repair shop, switching to satellite kitchens in smaller schools, accelerated investment of available funds, noninstructional staff reductions through reorganization, closing of schools, and phasing out of a comprehensive high school at Tech....

These changes, and other energy saving efforts plus the income from new fees have provided this district approximately 4½ million additional dollars each year for a better educational program than would have been possible otherwise. We:

- built a new food and transportation center on a new and larger site which is a model of efficiency for both services,
- developed an asbestos abatement program including EPA interest-free loan of $100,000,
- completed the long-range plan for upgrading the telephone system...
- renovated the first floor administrative area of Central Campus which had been untouched for 25 years....

These are just a fraction of the many changes which have taken place in the first eight years of this decade, but they tell a story of a district's efforts to improve, of renewed vitality and pride in what is being done as well as confidence in the future....

But all of this did not occur without pain or controversy--the angry petitions and hearings on school closings, sadness in sending out more than 300 termination notices to staff on Black Friday in 1981, misunderstandings following the Iowa District's Court decision on commencement prayers, differences in philosophy regarding the place of creationism and evolution in our curriculum, student protests and march across town to the Capitol following the decision to convert Tech High into Central Campus, objections to moving 6th graders out of the elementary schools, acrimonious objections to adding two more JROTC units, parental concerns about the numerous boundary changes to adjust enrollments each year, sparks generated by negotiations with our
five employee unions, objections raised as to appropriateness of certain textbooks or library books, even antagonism to parking lot improvements at a high school, and the list goes on and on...

The eighties have been good years for us because we started many things and have finished most of them although we will never be static.

On January 11, 1991, Dr. Wegenke, the current superintendent, delivered the eleventh annual State of the Schools Address. He discussed many of the student outcomes for the year, the state’s response to the national charge, and program initiatives developed by the district. He indicated that the beginning of the new year was a good time to discuss the vision and plans of the district vis-à-vis national forecasts and the district’s responses to them. Dr. Wegenke listed the following forecasts for schools:

- Overhaul of schools
- Gradual improvement in test scores
- Common school choice
- Classroom computers and technology
- Increased business involvement

Some of the district’s responses to the forecasts were:
- The implementation of school-based management through shared decision-making
- Expansion of pre-school and programs for at-risk students
- The district’s emphasis on market driven attendance centers
- The implementation of the Technology Plan
- Increased involvement of the Business Alliance

Commitment

The current school superintendent has stimulated a renewed commitment to strategic planning, which has taken into account that not all decisions affecting education are made in school buildings and board rooms. The administration of the Des Moines system acknowledged that there are forces and trends on the national, state, and local levels, which meant that the school district needed to be flexible and adaptable to change.
In order for any strategic plan to be successful, there must be commitment and involvement from various levels within the organization. Planning is considered the only tool that management has to help the organization adapt to change (Ivancevich, Donnelly, & Gibson, 1980). This position was supported by Nadler (1981) who asserted that organizational policies are critical in developing an environment conducive to searching for opportunities and arranging for continual change and improvement. Having recognized that adaptation to change is crucial to the success of the system, the Des Moines Board of Directors in October 1988 requested that the superintendent "review, revise and recommend a goal and objective setting process for 1989-90" to set the stage for the change process deemed appropriate by the board.

Additionally, the Board of Directors was concerned about the effects of future student enrollment on district programs, facilities, school attendance, and boundaries. Their review of a document entitled Student Enrollment: Effects upon Instructional and Support Programs, Facilities and Boundaries (agenda item 88-319) provided a base for information for the administration to use in developing action plans and a call to initiate the current strategic planning process for the school district. The plan, as envisioned by the board, was to be comprehensive and address the complex issues involved in providing quality educational services to over 30,000 students.
Current planning--conceptual framework

In an effort to continue and direct strategic thinking, Wegenke expanded the focus of the Leadership Academy planning group and established an "administrative cadre" for strategic planning with representation from both central and site-based personnel. Their primary role was to facilitate the pre-planning phase of the strategic planning process with special attention to the following components: 1) the development of a clear and concise statement of the district's mission; 2) the development of an information data base created for school sites to assist in generating annual goals and objectives; and 3) the focus on effective and efficient use of district resources.

The administrative cadre, which initially consisted of 14 persons, met at a standard time each week for approximately five months during the 1988-89 school year to accomplish their tasks. An action plan was developed and disseminated among members which specified the activity, person(s) responsible for completion, and completion dates. The action plan incorporated many of the elements referenced in the literature (Appendix B).

The development of a district-wide mission statement, internal scanning, and the establishment of goals were all documented during the pre-planning phase of the process. There was extensive support by the superintendent and cadre for inclusion of these elements in the strategic planning process. Several scholars have developed models which include pre-planning, the use of planning groups, and the use of decision-making models (Herman, 1989; Kratz, 1971; McGune, 1986). Pre-planning was
frequently listed as the first of a multiple step planning process. According to Herman (1989), decision rules should be identified prior to generating alternative strategies to implement the objectives.

There were three planning factors used in the current process that were different from earlier planning efforts. Comprehensive training on the planning process for district employees was included with the current plan. The administrative cadre designed and implemented several appropriate staff development activities to assist site-based managers in the strategic planning process. Staff development furthered the goals of the strategic plan and, according to McCune (1986), is considered a necessary element for building understanding and shaping the district's culture.

A second factor in the strategic planning process adopted by the district was that it included a site-based management approach commonly referred to as "bottom-up strategic planning." "Bottom-up strategic planning" means that the school site's plan adhered closely to the district's goals which simultaneously was supportive and reflective of the best thinking of the entire school staff (Echman, 1986).

The third factor was the inclusion of the Human Action Model of the Reflective Leadership Center in the strategic planning process of the district by Superintendent Wegenke. The Human Action Model embraces four organizational constructs to represent dimensions of human action in decision making. They include:

1) A mission to characterize the values, vision, purpose and future direction; 2) power which related to stakeholder commitment, interest, motivations or driving behavior;
3) structure to represent the organizational patterns, laws, policies and processes; and 4) resources to include people, ideas, money, equipment, time and facilities. (Terry, 1986)

The manner in which these organizational constructs were related helped to determine the quality and quantity of their impact. Terry's model linked human action and the technical aspects of the planning process. According to Terry's model, the enabling institution, one which has the appropriate climate for productive change, develops a clear mission statement to direct the power which ultimately serves as the energy of the organization. The structure or form of the organizational unit is a result of the mission. Resources are then equitably distributed within and across the unit to accomplish the mission. If the direction of the institution was determined by the resources rather than the mission, the institution would be limited in its ability to meet the challenges of implementing change. In addition, the energy or power may be dictated more by existing structure or the interests of individuals within the organization.

In an interview with Newman Walker, who has been cited as making exemplary contributions in the practical application of research in the administration of public schools, Strother (1987) quoted Walker as stating that:

interaction takes on a whole new meaning when people deal with information and personal motivation. Information is absolutely essential to good decision making, and it is equally as important to know why people want to do a particular thing. The two go together. You can't have one without the other and still arrive at a wise decision that holds up over time. (p. 472)
Historical note

This was not the first attempt by the Des Moines Public Schools to plan via the development of goals and objectives. Records indicated that one of Superintendent Anderson's goals of 1975-76 was to provide an evaluation of educational programs based upon the stated program objectives. There were members of the administration and teaching force who had had both positive and negative experiences with previous planning efforts. Such experiences were taken into consideration by the administration to determine current relevancy and as a possible aid in the current process.

Justification of the Study

Most of the research in educational planning has included issues regarding prevalence, the number of planning participants, problems, and perceptions of planning by the superintendent or the chief planner.

This study supports the proposition that a single correct way to plan does not exist, even within the same district. In addition, boards of education, representing the community, frequently ask for tangible evidence or results of objectives and expenditures with long-range implications. Therefore, in order to facilitate planning and reporting, this study will investigate how planning enhances the communication process and collegiality among district employees. This study will examine if the long-range planning process can be implemented effectively in school organizations, and if planning could provide a framework for developing a blueprint for the organization's future, or a structure in
which important decisions are made. Although the literature provides information about planning insights and processes, this study asked if the most useful, relevant, and specific information could best be obtained from data generated by the organization under study.

Cook (1983) stated that strategic planning is not a prescription which can be copied from other plans. He noted that "No comprehensive planning format has proven acceptable or adequate for the enormous variety of activity within our system of American education." The American Association of School Administrators (1983) further stated that such variation would reduce the need for standardization.

School administrators were frequently reminded by critics that no amount of planning could substitute for leadership. Therefore, an examination of the superintendent's planning role is essential in understanding the planning process.

Although no one knows the precise amount of time an organization may have spent in performing tasks related to planning, the assumption is that it was sufficiently significant to warrant effective implementation. The study is intended to provide useful insights to assist district administrators in accomplishing the never-ending task of planning.

Problem Formulation

In a study of approximately 225 companies, intra-company coordination of long-range planning was one of the five most frequently reported difficulties and limitations of planning (Cleland, 1976). Similarly, Goldman and Moynihan (1975) discovered that superintendents had difficulty
creating a generalized desire and commitment by personnel for planning and change. The study further indicated that most of the problems were not with the technical aspects of planning, but with people, i.e., communication and coordination among planning groups and their constituencies, territoriality, and the socio-political differences which exist in large organizations. Naylor (1979) found inadequate human engineering was one cause of planning failure.

Research Questions

Although qualitative research does not always lend itself to the rigorous testing of hypotheses, the present investigation used research questions which were susceptible to change as the study progressed. According to Schatzman and Strauss (1973), "the researcher using qualitative methods is developing new hypothesis as he identifies properties of the scene and developing propositions about which is seen or heard."

The inability to specifically replicate an organization's strategic plan and the impact of the problems cited by previous researchers formed the basis of this study which can be framed by the following research questions:

1. What was the role of the superintendent in the planning process?
2. Who participated in the planning process? Knowing who participated according to roles gives a better view of the formal and informal communication process within the organization and within the community.
3. What was the planning model or theoretical base of planning?

4. What sociological factors, i.e., community morale, climate, etc., impacted planning? A description of some of the critical events may provide clues to employee morale and community development. Critical events include those activities which comprise the bulk of the community's attention as well as educational personnel.

5. What were the desired results of planning as agreed to by the planning participants?

6. Did the planning require the use of decision-making activities in determining goals, objectives, and strategies among the employee groups?

7. Did site-based managers conduct a needs assessment or use the site data banks in connection with the planning process?

8. Did employees increase their knowledge of strategic planning as a result of participating in the process?

9. What was the role of staff development in the planning process?

Objectives of the Study

This study describes a form of strategic planning used in education by the Des Moines Public Schools which recognizes the impact of the human dimension in planning. It also describes how the planning process was coordinated throughout the district under the supervision of the superintendent and his administrative team. Specific objectives were:

1. To discuss the role of the superintendents, principals, teachers, and parents in the strategic planning process.
2. To describe how Terry's Human Action Model was incorporated into the planning process of the Des Moines school system.

3. To examine the role of staff development in the strategic planning and site-based management process.

Basic Assumptions

It is recognized that there were certain elements or circumstances affecting the study which could not be controlled or manipulated by the research design. The following assumptions were present at the onset of the investigation.

1. That interviewees were candid and honest in responses to questions posed by the investigator.

2. That employees with at least one or more years of service were aware of the district's involvement in the school improvement process through strategic planning and site-based management.

3. That principals and central office personnel received training relative to the strategic planning process and elements and their role in site-based management.

4. That the use of selected schools was an appropriate representation of the strategic planning process in the Des Moines Public Schools.

5. That planning did not just involve the generation of facts and projected outcomes, but also precipitated feelings and meanings associated with the process and work environment.
6. That conflicts and disagreements existed which ultimately proved useful to the change process.

7. That effective implementation of the change required time and opportunities for stakeholders to react and form their own positions regarding the process.

8. That not all employees or employee groups internalized changes during the span of the study.

9. That not all of the strategic decisions could be totally clear or identified due to the interrelatedness of knowledge, politics, timing, and intuition.

Limitations of the Study

The following are acknowledged as limitations of the study:

1. The population of the study was confined to the Des Moines Independent Community School District which limited the inferences made beyond the study.

2. The accuracy of information depended upon each respondent's knowledge and awareness of situations and circumstances in the district with respect to the planning process.

3. The study did not attempt to compare the importance of planning with other administrative functions.
CHAPTER II. REVIEW OF THE LITERATURE

The literature discussed many theories and concepts associated with planning, and these were used interchangeably by researchers and practitioners. Terms such as "educational philosophy," "vision," "goals," "planning strategies," and so on have been part of the planning vernacular but frequently have different meanings.

Definition of Planning

Planning definitions have been categorized according to several different perspectives, i.e., time, organization, and direction. Terms such as "Five Year Plan," "long-range plan," "intermediate plan," were based on a time dimension; "executive plan," "operational plan," and "tactical plan" were based on an organizational perspective; and "bottom-up" or "top-down" emphasized directional planning. In addition, the range of planning definitions formed a continuum between broad multiple dimensions and a single observable act.

Strategic planning has not been well defined (Cook, 1988). Cook maintains that the planning discipline must have a vocabulary that manifests and demands sharp thinking that can be transformed into precise purposeful action. The following discussion of strategic planning has been included as a sample of those in the literature.

Strategic planning is viewed as an effective combination of both a process and discipline which, if faithfully adhered to, produces a plan characterized by originality, vision, and realism (Cook, 1988). It is
perceived as the total concentration of the organization's resources on mutually predetermined measurable outcomes. Strategic planning has been characterized as a systematic process that school agencies could use to envision a desired future educational program, and to design procedures to achieve that future (Cawalti, 1986). Similarly, Valentine (1991) wrote that strategic planning was the activity by which top level administration prepared for the future of an organization. He viewed it as a continuous, analytical, and comprehensive process which involved both the formulation and implementation of strategy.

Strategic planning is also viewed as a process for organizational renewal and transformation (McCune, 1986). This process provides a means of matching services and activities with changed and changing conditions. Educational planning, on the other hand, is defined as an intellectual system involving the development of a well-defined design that may include any combination of activities of system analysis, operational research, and technology (Tanner, 1971). Planning types have been organized according to time dimension and purpose (Lewis, 1983). Lewis defines problem-solving planning as a one- or two-month planning process to restore performance of an organization back to a routine level. Operational, tactical, or short-range planning is intended to improve existing routine performance and this can last up to one year. The strategic planning process operates during a period of three to ten years in order to achieve the mission and educational goals of the school district.
Although the terms "strategic" and "long-term" planning have been used interchangeably in both the literature and in practice, there is a difference between the two. Cope (1981) compared the two as used by several authors. His comparisons, as adopted by McCune (1986, p. 35) are as follows:

<table>
<thead>
<tr>
<th><strong>Strategic Planning</strong></th>
<th><strong>Long-range Planning</strong></th>
</tr>
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<tbody>
<tr>
<td>An open system whereby organization must change as the needs of the larger society change.</td>
<td>A closed system in which short-range plans or blueprints are developed.</td>
</tr>
<tr>
<td>Focuses on the process of planning, building a vision, external environment, organizational capacity, and staff and community education.</td>
<td>Focuses on the final blueprint of a plan based on internal analysis.</td>
</tr>
<tr>
<td>Is done by a small group of planners with widespread involvement of stakeholders.</td>
<td>Is done by a planning department or professionals.</td>
</tr>
<tr>
<td>Uses current and projected trends to make current decisions.</td>
<td>Uses existing data on which to project future plans.</td>
</tr>
<tr>
<td>Emphasizes changes outside the organization, organizational values, and proactive action.</td>
<td>Emphasizes internal changes, planning methods, and inside-out planning.</td>
</tr>
<tr>
<td>Focuses on what decision is appropriate today based on an understanding of the situation five years from now.</td>
<td>Focuses on organizational goals and objectives five years from now.</td>
</tr>
<tr>
<td>Depends upon intuitive and creative decision making to guide the organization over time in an ever-changing environment, and an organization-wide process that anticipates the future, and makes decisions in light of an agreed upon vision.</td>
<td>Depends on detailed and interrelated data sets, agency plans, and extrapolations of current budgets.</td>
</tr>
</tbody>
</table>

Strategic planning adds the following strengths to long-range planning. It recognizes that the organization should be concerned with
achieving social acceptance within the community by influencing policies which ensure that teachers as well as administrators are committed to the school district and its policies. It recognizes that the process must consider stakeholders as well as students and parents, and that in addition to student learning, other key phases of the school organization must be analyzed and considered in planning. It also recognizes that the environment can have an effect on the progress of the district as well as on teachers, programs, and services (Lewis, 1983, p. 11).

Several definitions from the corporate world have striking similarities with educational planning. For example, planning is defined as a continuous process of making entrepreneurial decisions systematically and with the best possible knowledge of their futurity, organizing the effort needed to carry out these decisions against expectations through organized systematic feedback (Drucker, 1970, p. 132).

Drucker's definition compared with Warren's (1966), who viewed corporate planning as a process of preparing for the commitment of resources in the most economic fashion by allowing this commitment to be made faster and with less disruption.

Business researcher Steiner (1979) defined strategic planning from four points of view. He argued that planning looked at the chain of cause and effect consequences over time of an actual or intended decision that a manager planned to make. He saw planning as systematic in the sense that it is organized and conducted on the basis of an understood regularity. His premise is that planning was more of a thought process than a prescribed set of processes, procedures, structures, or techniques. He
also viewed planning as a linkage of the three types of planning, i.e., strategic, medium range, and short-term/operational plans (pp. 13-15).

Many planning definitions reported in the literature described the evolutionary aspect of the planning process and maintained that planning, in general, focuses on the future. For example, Tregoe's definition views strategic planning as a vision of what the organization should be. It provides the framework which guides choices that identifies the nature and direction of the organization. Pfeiffer, Goodstein, and Nolan define strategic planning as the process by which guiding members of an organization envision its future and develop the necessary procedures and operations to achieve that future (McCune, 1986). D'Amico (1988) lists several themes underlying planning. He reports that the future could be influenced and current trends could help anticipate the future. According to Patterson, Purkey, and Parker (1986), planning should build in flexibility for adaptation to changing conditions in and out of the organization. Louis and Miles (1990) suggest that no specific plan has significant longevity because of changes and/or external pressures or because of disagreement over priorities within the organization. They explain that although the mission and image of the organization's future may be based on a top level analysis of the environment and its demands, strategies for achieving the mission were frequently reviewed and refined based on internal scanning for opportunities and success (p. 193). In brief, according to McCune (1986), strategic planning provides the framework to guide other planning.
Theoretical Planning Approaches

It is generally agreed that successful strategic planning accommodates, in various degrees, the politics, economics, values, and so on of the organization. The relationship between the cultural styles of certain institutions and a particular approach to planning have been described through planning theories. Several models or theories are included in this review in recognition that none of them have been identified as the best or most effective and that they have not been implemented in pure form. In addition, the nature of schools as complex organizations is included as a brief prelude to the discussion of the models.

Discussions of planning in the literature include information regarding the systems approach to understanding the nature of school organizations. This literature review incorporates elements of the systems approach and a brief identification of several models consistent with the systems theory. A system is the sum total of parts working independently and together to achieve specified required results or outcomes based on needs (Kaufman, 1988). Kaufman suggests that a systems approach is a process by which needs were identified, documented problems were selected, requirements for problem solutions were identified, solutions were chosen from alternatives, methods and means were obtained and implemented, results were evaluated, and required revisions to all or part of the system were made so that the needs were reduced or eliminated. (p. 15)

An organization's function and structure may be studied, analyzed, and described through basic subsystems (Tanner & Williams, 1981). Tanner
and Williams integrated the work of several researchers and presented the following subsystems of an organization:

1. Production or technical—concerned with converting inputs into outputs. (Service organizations provide outputs.)
2. Supportive—concerned with procuring inputs and disposing of outputs, promoting and maintaining good relationships between the organization and its environment.
3. Maintenance—concerned with all facets of the organization's personnel.
4. Adaptive—designed to ensure that the organization can meet the changing needs of the environment.
5. Managerial—designed to coordinate the other subsystems and settle conflicts between subsystems and hierarchical levels.

Similarly, Snyder and Anderson (1986) combined the work of several researchers who had expanded and translated systems theory. For example, they identified Bertlansky who studied various ecological systems and subsequently made a distinction between open and closed systems. In addition, they argue that systems literature stimulated a way of thinking about schools. They also indicated that the concept allows schools to correct themselves through various adaptive devices developed to respond to feedback.

In a report of organizational behavior, Snyder and Alexander (1986) indicate that schools have two separate styles of organization and management. The maintenance view focused on fixed roles and parameters. Managers basically emphasized school operations and student placement. The production view focused on goals and outcomes where managers focused on teaching and learning.

Katz and Kahn (1966) considered the school as an open system. They identified the following factors as characteristics of an open system:
1. Importance of energy.
2. Inputs transformed into new forms.
3. Exportations of matter, energy and information into the environment.
4. Cyclic pattern of activities.
5. Acquired new inputs equal to or greater than its exports of output.
6. Information input—coding process, selected bits of information served as signals to open systems concerning the functioning and nature of its environment.
7. Maintained a steady state, i.e., balance in the exchange of matter and energy with information.
8. Differentiation—highly specialized subsystems to perform special functions.
9. Equifinality—a final state could be reached in many ways. (Katz & Kahn, 1966, p. 23)

Snyder and Alexander (1986) also provided a comprehensive ecological system of school organization and management. They identified six subsystems with accompanying variables for each. These subsystems, each with a specialized function for school productivity, are identified in Appendix U.

Peterson (1980) identified at least six different theoretical models of planning which could accommodate both the rational and non-rational view of organizations. The Formal/Rational Model is considered to be the most frequently used. This model embraces the use of a sequential set of planning elements based on a goal-centered problem-solving process. The model assumes that the mission and objectives could serve as the guiding point for other planning activities. It is assumed that the emphasis on the "formal" aspect of an organization could reduce internal conflicts which may have emerged during the planning process.

The Organizational Development Model depicts the human factors which have influenced or impacted an organization. It stresses the overt behaviors of members, and is used to promote a change in organizational
culture, management style, and the roles and responsibilities of members. This model views the organization as a human system with a planning emphasis to improve the individuals and groups for the well-being of the organization. The model focuses on change and is identified as having the potential to generate higher motivational levels within individuals to produce a desired or higher outcome level.

The Technocratic/Empirical Model is designed on the premise that the basic units of an organization had quantifiable characteristics and measurable resources that could be analyzed and linked through a set of activities, programs, and so on. The model viewed the use and selection of planning tools and technology, such as scanning, forecasting, scenario development, etc., as the focal point of the planning process. Although the model is considered very precise, it does not accommodate many of the internal conflicts and differing values existing within the organization.

The Philosophical Synthesis Model focuses primarily on the future nature of society and how the organization would operate within that environment. The mission, under this model, would have been developed after an in-depth external scan of the political, social, ethical, economic, and educational environments had been completed. Some researchers had not considered this approach as a theory because the value and outcomes of scanning had not been clearly linked to operational planning. Although the model generated a lot of involvement, it was not clearly understood how it could yield fundamental change.

The Political Advocacy Model views various departments and/or groups as special interest groups with issues to be confronted by the central
administration. The model accentuated policy development and implementation based on analysis of social contexts and the articulation of needs and interests of the different groups. The model tends to diminish the influence of the mission and goals in favor of the policies generated as a result of the planning process. The pluralistic nature allows the planning process to accommodate several missions and objectives.

The Coordinated Anarchy Model recognizes the autonomous nature of departments and units within the organization. Although closely related to the philosophical model, it does not emphasize sufficient coordination among the various groups. Planning under this model attempts to accommodate diverse goals established by the autonomous departments. Coordination exists when there are similar interdependent relationships among two or more groups. The model provides a strong incentive for departments to do their own planning since they respond differently to the same environmental stimuli. Colleges within a university system were cited as an example of institutions which might apply the model.

The technical and political models are two extremes of a continuum mode of educational planning (Snyder & Alexander, 1986). The technical model implies a clear distinction between the policy making group and the planning team. The policy maker establishes a series of broad strategic objectives while the planner's role is to express these strategic objectives in operational terms. The political model, however, denies the existence of a recognizable group of policy makers which set strategic objectives. Policies are made on the basis of tactical decisions that
emerged from pressure groups of which no one group was powerful enough to impose its views on others. The role of the planner is to mediate between different interest groups. Neither of these two extremes has been followed in its pure form (p. 15).

According to the Resource Dependency Theory, an organization is controlled by and dependent on its environment for securing resources. Organizations of this type require and tend to exhibit a more flexible and adaptive structure. They maintain that the environment is a powerful factor affecting organizational behavior. The dependence on external elements for resources can lead to interorganizational relationships (Hoy & Miskell, 1987).

Steiner (1979) identifies four approaches to planning designs. In a top-down planning arrangement, planning is done by top management and department heads. The division heads are given guidelines for planning by the CEO. The bottom-up approach allows the division heads to submit plans without directions or guidelines from top management. The combination of top-down and bottom-up exists when the central office and divisions continually engage in dialogue during the planning process. Team planning is present when the CEO uses line managers as staff to develop formal plans.

Change Approaches

Almost all of the research on planning literature sees planning as a process of change, i.e., a shift from a maintenance paradigm to a productive view. There are several innovations in change theory which
were considered appropriate for this literature review. W. Edward Deming’s Total Quality Management, Robert Terry’s Human Action Model, and Fullan’s discussion of change theory are included.

It is generally agreed that planning, in most instances, is intended to produce change. Fullan (1991) highlights the problems and possibilities of producing change through deliberate actions which he calls planned change. Innovations are categorized in terms of those which improve the efficiency and effectiveness of what is currently in process, and those that alter the way the institution is organized by including new structures, goals, and roles. The challenges of the 1990s demand changes that affect the culture and structure of schools, and the roles and responsibilities of students and parents. Fullan observed that those responsible for implementing change should understand the importance of meaning in change. Meaning was described as understanding the orientation and working conditions of main actors, i.e., knowing what others think about ideas, visions, process, etc. Real change, regardless of the source, involves some loss, anxiety, and struggle due to the element of uncertainty. Fullan also maintains that a new experience is always initially reacted to in the context of a familiar construction of reality to which the attachment of personal meaning to the experience was evidenced. Planned change is defined as an intervention whereby the planners and the client system work mutually together in a cyclical fashion (Tanner & Williams, 1981). It is considered important for the planner to understand the nature of planned change, the phases of change, and its implications for the organization.
Fullan (1991) describes a simplistic view of the change process. He identifies three broad phases to change, i.e., initiation, implementation, and continuation. Phase I has been termed as initiation, mobilization, and adoption. It is defined as the process that leads up to the decision to change. Fullan reports eight factors associated with the initiation of school change which were derived from the literature. They included: 1) knowledge of existing and quality innovations; 2) access to innovations; 3) advocacy from central administration; 4) teacher advocacy; 5) external change agents; 6) community pressure/apathy; 7) new policy or funds from local, state, and federal levels; and 8) problem solving/bureaucratic organizations (p. 50).

The implementation phase is described as the process of putting into practice an idea, program, or set of activities and structures which are new to the people attempting change or expected to change. Fullan (1991) asserts that the process of implementation is more intricate because it involves more people and real change as distinct from verbal or "on paper" decisions. He described two methods to study the implementation phase of change. One method involves the identification of factors such as the nature of the innovation, the roles of the key participants, the need, etc. The second method identifies main themes such as vision building, empowerment, staff development, restructuring, evolutionary planning, and monitoring/problem coping. These six themes provide an image of the complexity and excitement of the implementation process (p. 88).

The research on the continuation phase was comparatively limited. What was found, however, was that: institutionalization of change is
dependent upon whether the change is placed into the structure of the organization, and also if sufficient number of stakeholders existed who were skilled in and committed to the change (Huberman & Miles, 1984). They also presented outcomes as part of the change process. Outcomes referred to a degree of school improvement in relation to established criteria.

A 1980 NBC television program entitled "If Japan Can...Why Can't We?" was considered the turning point for many Americans, causing them to embrace Deming's Total Quality Management (TQM) process (Michaelson, 1990). According to Deming, the NBC program made three basic points: 1) 85% of the problems in quality were not caused by the workers but by the systems in which they worked; 2) it was important for workers to be involved in implementing quality programs; and 3) quality must be measured in order to improve a manufacturing process. Total Quality Management is defined as a philosophy and a practice of how people work together in organizational settings (Deming, 1986). Also TQM is considered to be a transformation process based on the tools of the Shewart/Deming Cycle and Deming's 14 points of management.

The Shewart/Deming Cycle is based on the premise that work activity can be divided into four phases--PDCA (plan, do, check, and act). For example, members of the organization can plan the design and development phase, do the delivery phase, check the field test phase, and act the launch phase. Deming explained that an effective use of the statistical process control (SPC) could eliminate the production of defective parts (Deming, 1986). He also described how the theory of variation combined
with SPC helped managers recognize, interpret, and react appropriately to variation in the data figures, performances, and outputs they dealt with on a daily basis.

Deming described in detail the 14 points which were used as the basis for the transformation of several American companies such as Florida Power and Light, LTV Steel Inc., and Campbell Soup. The company must first create constancy of purpose for the improvement of product and services. Then the company should adopt a new philosophy. Deming asserted that obstacles to the competitive position of American industry should be revised to support the well-being of American economy, and commonly accepted levels of incompetency and mistakes could not be tolerated in organizations trying to improve. Companies should also cease dependence on mass inspection to improve the quality of work. Such practices caused managers to plan for defects and acknowledged that the process has not the capability required for the specification. Also, business should not be rewarded on the single basis of a price tag. Price has no meaning without a measure of the quality being purchased. Companies should thus improve constantly and forever the system of production and service. Quality must be built in at the design stage. The quality desired starts with intent which is fixed by management. Companies must also institute totally reconstructed training. Some of the problems in training and leadership in the United States are because of a flexible standard of what is acceptable work and what is not. Therefore, companies must adopt and institute leadership. Management must work on improvement, the intent of
quality, and on the translation of the intent into design and actual production.

And management should drive out fear. No one can put forth his best performance unless he feels secure. This requires breaking down barriers between staff areas and eliminating numerical quotas for the work force and management. The rates for production were often set to accommodate the average worker. The unintended outcome was that the peer pressure held the upper half to the rate while the bottom half felt loss of job satisfaction. In addition, management by minimum goals was an attempt to manage without knowledge of what to do. Improvement requires removing barriers that rob people of pride and workmanship, eliminating slogans and targets for the work force, encouraging education and self-improvement for everyone, and taking action to accomplish the transformation. In order to accomplish this, a sufficient number of people must understand the points for transformation to take place.

The Human Action Model was rooted in six major views of leadership (Terry, 1986). Terry's Diamond Action Model was intended to serve as a map which would indicate the current status of the organization and the criteria which acted as a compass to determine if the institution was on course. He described six features of human action:

1. Mission--a direction toward which human action moved.
2. Power--the energy by which human action moved.
3. Structure--the form in process through which human action moved.
4. Resources--the material with which human action moved.
5. Existence--the limit from which human action moved.
6. Meaning--the significance given for which human action moved.
Terry notes that the enabling institution should have a clear mission statement that directs the power (energy). The structure (form) of the unit was the result of the mission. Resources were then equitably distributed within and across the unit to accomplish the mission. If the direction of the unit is determined by resources and/or structure and not the mission, the organization would be limited in its ability to achieve the mission. In addition, the power (energy) may be dictated by structure and interests of individuals within the organization.

The Evolution of Planning

Much of the literature suggested that planning has its roots in the private or business sector. It was reported that General Electric Company in the 1960s was one of the first corporations to use strategic planning (McCune, 1986). Shortly thereafter other companies began to realize the effects that changes in the external environment had on their survival. It was suggested that strategic thinkers needed an understanding of the disciplinary origins of certain key concepts in order to effectively design and implement a strategic planning system (Cope, 1981, p. 26). Cope indicated that the intellectual roots of strategic planning emanated from the basic theories of geopolitical science, field theory, general systems, and the application theories of policy study, marketing, and effectiveness developed in business management schools. Each theory had its own major concepts and special emphasis. The key focus from the Geopolitical Theory was the positioning of resources and the impact of positioning on the organization. As the name indicated, the theory was
derived from political science and geography. Field Theory was extracted from sociology which used concepts such as vectors and forces. The General Systems and Contingency Theories were rooted in biology, psychology, and mathematics. Their concepts included open systems, environmental interaction, and adaptation. The remaining theories, Policy Study and Marketing/Effectiveness, were rooted in business management. Policy Study was concerned with definitions and processes while Marketing Strategies emphasized images and competitive advantage, effectiveness, and outcomes.

It was reported that up to about 1950, the analyses of corporate functions were largely concerned with operational subactivities such as sales or production. The budgeting process was not part of integrated policies, but stood apart from planning. After 1950, strategic planning began in response to a problem of mismatch between market demands and production lines. About 1960, Programming Planning and Budgeting System (PPBS) offered planners a new approach that integrated long-term planning. The new method required a view of the environmental situation, particularly since the United States was changing from a seller's market to a buyer's market. During the 1970s, planning approaches shifted from goal setting to a consideration of consequences (Woods & Woods, 1981). Woods and Woods reported on a survey of 500 large United States corporations and found that 94% had some form of strategic planning by 1979. Over half of the companies reported the use of a centralized planning staff.
Woods and Woods (1981) noted the following factors associated with corporate planning:

1. Corporations were ten to fifteen years ahead of education in the strategic planning process.
2. Most corporations indicated an involvement with sophisticated planning techniques.
3. Most anecdotal literature described bottom-up planning with a review and summarization by top management.
4. The CEO's involvement was the key to planning.
5. Small planning staffs provided consultant services to line managers.
6. The planning system was flexible enough to include all units.
7. Strategic planning was part of the management process.
8. A reward system was tied to the planning process.
9. Planning was often antagonistic to the bureaucratic structures and procedures. (p. 19)

Planning in the Public Sector

Many researchers noted that planning in the public institutions would have to modify the planning systems developed in corporate organizations. The profit driven motive of business was generally foreign in education where productivity measures of excellence were not well defined (D'Amico, 1988). D'Amico stated that there were many contextual constraints operating in the educational arena. Restrictions in staff, budget, and various laws were identified as major constraints of educational institutions. Steiner (1979), for example, wrote that strategic planning in the private sector was top-down, produced by the CEO who answered to no one other than the stockholders. He asserted that school administrators had similar responsibilities but did not have the same kind of authority. These views were corroborated by Cope (1981) who added that politics was much more of an influence in planning for the public organizations than
for the private. He also identified the other constraints affecting educational policy and decision-making activities, such as policies that may be dominated by politics, decision making characterized by incremental process, narrowed latitude in policy, more involved and broader policy constituency, and poorly defined lines of authority. Given the contextual constraints in public institutions, educators should choose a model that takes into account the forces and positioning of resources (D'Amico, 1988).

D'Amico also found that corporations and educational institutions have similar characteristics. Both groups were affected by demographic changes and shared common concerns about the external environment including a concern about government and politics. They both have separate units and function differently from other units within the organization. Public educational institutions are funded based on enrollments, which is similar to the pressures of sales and profits felt by the corporate structure. These similarities supported the use of planning elements by educational organizations which were generated from business and industry. However, three structural differences between corporations and public educational institutions were noted: criteria for hiring personnel; sources of revenue; and the amount of accountability and the time framework in which funds must be spent (Valentine, 1991).

The literature presented discussion and research relative to the planning process used in higher education and post-secondary programs. The post-World War II era was the most significant for university planning (Peterson, 1986). Peterson observed that planning in the '50s and '60s
was characterized by the need to cope with increased enrollments, expanding campuses, and complex curriculum offerings. Institutional self-studies were popular, but with little emphasis on resource planning.

During the 1970s, planning in colleges and universities was considered both disconnected and formalized. Peterson noted that during this period, planning focused on academic and resource planning which attempted to link budgets to the planning process. These experimentations led to strategies such as zero-based budgeting, PPBS, and other formulas. The planning activities of the '70s expanded significantly to meet the need for increased organizational efficiency and retrenchment. Peterson also observed a critical shift in planning from the 1970s to the first half of the '80s which had led to more centralized academic planning through concepts such as enrollment planning and management. The marketing efforts gave attention to demographics, enrollment forecasting, need and demand studies, and studies related to applicants and student recruitment. Financial planning shifted from complex modeling and simulated approaches to the use of software for microcomputers. Similarly, much of the planning content in the business world has emphasized capital spending, expansion, sales of forecasting, cash requirements, policy formulations, and investment planning.

Benefits of Strategic Planning

The literature discussed various organizational benefits derived from strategic planning. Those that were mentioned repeatedly in the literature have been included in this review. Strategic planning provided
a framework for decision making, allowed the organization to apply the systems approach, provided a sense of direction through the establishment of goals, enabled people to influence the future, focused on change, helped the system focus on and improve student learning and growth, and provided standards to measure performance. The shift from representative decision making to participatory style of management was one of the ten main trends surfacing in education. According to Steiner (1979), an integrated planning framework helped to guide managers throughout the organization in making decisions consistent with the aims of top management.

According to Patterson et al. (1986), the rational/traditional view of decision making focused on issues deemed most important after all feasible options were considered. The non-rational perspective focused attention on issues which needed immediate resolution with a limited number of options due to the impact of politics, economics, etc.

Lewis (1983) argued that the decision-making quality of the planning system was the driving force that gave substance to the process. He maintained that upon completion of a cycle, the planning process should have reduced the probability of costly mistakes, explored weaknesses in assumptions, reduced the number of crises in planning units, increased interaction among planners, and produced a framework. Lewis also noted that it was difficult to build coordination among units and to develop a strong sense of teamwork in large districts. He suggested that the purpose of applying the systems approach to the organization helped
management provide a common sense of direction among employees through the establishment of clear goals.

Steiner (1979) said that strategic planning provided a mechanism so that the interrelated parts of an organization could be coordinated without losing quality within its subareas. Effective school districts have technical subsystems which support the district's primary responsibility to improve teaching and learning.

An obvious outcome of educational planning has been increased performance in the area of student learning and growth. The planning process enables planners to make improved decisions and to function more effectively so that goals, strategies, and objectives can bring about the desired results, i.e., increased student achievement (Lewis, 1983). However, a weak relationship exists between strategic planning and the school district's student performance on a standardized test (Basham & Lunenburg, 1989). Basham offers, as an explanation, that the strategic planning did not filter down to the classroom level sufficiently to affect student achievement.

The study by Basham and Lunenburg also supported the need for increased attention to site-based management—a type of restructuring or school reform. Site-based management places education planning and accountability at the individual school site. It is considered a decentralized form of organization in that power is shared throughout the institution (Marburger, 1989). It has been suggested that school districts decentralized to provide more flexibility in decision making,
enhanced accountability to the public, and increased school productivity. These reasons were similar to the benefits of strategic planning.

Limitations of Planning

There were several problems or negative factors associated with planning. Sometimes the process was not interwoven throughout the organization. Many school administrators were not comfortable with planning and complained about the increased paperwork. In addition, superintendents were not satisfied with the results in situations where the process did not permeate the organizations. As Lewis (1983) notes, the results of planning were not as positive when the process failed to deal with key issues.

It was noted that planning frequently failed because managers introduced changes without identifying situational constraints, that is, an understanding of the values, ideas, and experiences of those critical to the implementation. Planning was sometimes so comprehensive that managers became overloaded and subsequently used that fact to abort the planning process (Fullan, 1991). Fullan recognized that overly committed planners often became impatient with the attitudes and behaviors of others and the slowness of the process. In addition, forecasts on which planning were based sometimes did not occur, internal resistance sometimes thwarted effectiveness, and planning proved difficult and expensive for some organizations. Planning to get a company out of a crisis requires a certain type of talent which may not exist within the organization. Planning in such instances does not necessarily get a company out of a current crisis (Steiner, 1979).
Lewis (1983) identifies several pitfalls applicable to educational planning. He notes problems in getting started such as an assumption that planning could be delegated to others, or that there was sufficient knowledge to plan effectively, etc. He also noted a misunderstanding of the nature of strategic planning, how to do strategic planning, and of the use of the plans once they were developed. Herman (1989) listed ten pitfalls to avoid in conducting the strategic planning process which included: Don’t allow sufficient time; don’t involve all important stakeholders; don’t use knowledgeable planners and process consultants; don’t allocate sufficient resources to support the planning effort; don’t develop a vision or strategic goal; forget that planning is a continuous process; forget to modify or amend the plan as new data emerges; forget to have the community, employees, and important others buy into the plan; and forget the keys to strategic planning success are involvement and ownership by many (p. 23). A detailed list of planning pitfalls developed by Steiner (1979) is included in Appendix Y.

Having recognized that planning does not guarantee success, it was, however, concluded that companies were better off with strategic planning than without it. The goal or object was to design a planning system unique to the characteristics of the organization introducing it (Steiner, 1979).

The Planning Process

The planning process is how the plan is developed, that is, means, methods, and sequences of planning activities which could take
approximately nine months (Cook, 1988). Valentine (1991) recognized that the process could not be completed by one person which necessitated the need for a planning team defined as an interdependent group of people with specific talents and skills brought together for the purpose of assisting administrators in the planning process. Cook (1988) considered the planning team the most important factor in the planning process.

It was also suggested that the process be adopted to local conditions and requirements in order to achieve a material effect. For example, the superintendent should set the climate for planning by having large scale involvement and assurances that the process contained safeguards against special interest domination and political manipulation (Cook, 1988). It was also maintained that the selection of an external or internal planning facilitator may be considered one of the most difficult decisions in strategic planning. Cook identifies four characteristics of the planning team. He suggests that it be composed of both top management and operational levels of employees; that the team represent every component of the organization; that it should be a manageable size of about 20 to 25 individuals; that it should have a good mix of criteria. Peterson (1989) points out that the use of a broad base on the planning team provides a good mixture and a reservoir of new supporters. It was reported that some districts insisted on more community representatives on the committee than educators in an effort to keep educators from dominating the process. It was, however, contended that educators should have the responsibility to lead the community toward desirable educational goals rather than just catering completely to community desires (American Association of School
Administrators, 1983). Ideally, the planning team should consist of one-third to one-half administrators with its remaining members from a broad section of the community (Cook, 1988). Cook suggests that occupation not be the only criterion for the selection of members. They should be selected based on their ability to articulate and their ability to represent the good of the entire organization rather than special interests of a few.

The planning team should have prepared a climate for planning and change and have collected the necessary supporting data, i.e., environmental scanning to assist with the planning process (McCune, 1986). The primary tasks would be to orient the board, superintendent, and key leaders to the purpose, strengths, weaknesses, and outcomes of strategic planning through study groups, seminars, and meetings with the community and businesses. The functions of the school board would be to create policies to give the administrative staff guidance to carry out the mission and evaluate the programs. For these reasons, the school board must be committed to strategic planning discipline and the provision of support to the superintendent and the planning process (Valentine, 1991).

D'Amico (1988) designed a model of strategic planning for a project entitled "Strategic Planning for Educational Reform and Improvement" (SPERI). The first component of the model was "Plan to Plan." He considered it as a bottom-up part of the strategic planning. The objectives of "Plan to Plan" were to develop a team of committed planners who understood the strategic planning process and to arrive at a negotiated contract with specified team roles and responsibilities as well
as support systems necessary to accomplish the SPERI effort. He also suggested that the planning to plan phase be initiated by top management. They should define the strategic planning activities, outline the scope of the planning effort, set its schedule and budget, and create a strategic planning team.

It was suggested the central planning unit develop guidelines for two reasons: 1) it is assumed that members were selected for their ability and willingness to perform the task, and 2) it provided opportunities for its members to become knowledgeable about and committed to the strategic planning model (Lewis, 1983). Lewis suggested the use of a planning guide which would include subjects or elements, a time schedule, supporting data, forms to be completed, and so on. The manual should be used by the staff to carry out strategic plans. During training activities, actual problems or situations should be used to help make the learning process more meaningful.

Steiner (1979) feels that the planning manual represents the end of a sequence of steps in the "Plan to Plan." The planning manual should contain a strong statement of commitment from the CEO, a glossary of terms, specification of data required from the planning system, who is to supply what data, a schedule of data flow, and any special rules. The manual should include the way top management views the strategic planning process and the fit with managerial tasks. It should also include company missions and philosophies, major issues of concern to top management, and an evaluation of the environment to be used as a premise in planning (D'Amico, 1988).
The following checklist is presented as a guide before starting the planning effort:

1. What are the principal tasks to be completed?
2. What outcomes or products are expected for each task?
3. When will specific tasks be initiated and completed?
4. Who is responsible for each task?
5. How will school staff and community be involved?
6. What communication procedures will be needed?
7. What staff time and district resources are required?
8. What outside assistance will be needed? (Cook, 1988)

The Planning Elements

There was considerable agreement by planning researchers with regard to the elements or steps involved in the strategic planning process (Cook, Herman, & McCune, 1986). Those elements outlined in this review include:

1. Establishment of belief statements.
2. External and internal scanning.
4. Development of goals and objectives.
5. Identification of critical issues, factors.
7. Cost analysis/resource allocation.
8. Evaluation and monitoring.

Belief statement

A statement of beliefs is considered as the initial public statement of the values and moral character of those participating in the leadership of the planning process. The statement of beliefs provided the value systems upon which the other sections of the plan were evaluated (Cook, 1988). Before a statement could be developed, it was suggested that several questions be answered by the superintendent and central office personnel. They included: What are the school system's underlying
philosophies? What is the school system's purpose for existence? How is the system different now from what it was three years ago? How do we want it to be different five years from now? (Valentine, 1991).

**External scanning**

It was speculated that educational organizations were beginning to recognize the need to keep abreast of the rapid demographic, economic, educational, political, and social changes in our society and the need to include this information in the planning process (Brown & Marshall, 1987). Brown and Marshall suggest that school systems could not pretend that changing family structures, increased immigration, technological advances, or the job market were unrelated to the educational enterprise. Each category should be analyzed in terms of assumptions made about the category and its impact on the organization (Cook, 1988).

Environmental scanning is viewed as a generic term used to describe three ways to obtain data. Trend analysis is defined as a list of economic, demographic, social, political, or educational developments that could be traced over time. Since it could be difficult to complete an analysis in all five areas, it is suggested that the planning team decide on the scope, time, and effort toward its completion. Pattern analysis is viewed as an assessment of those trend relationships and the probable implications for school districts. The information is then used to develop scenario decision points which are projections of possible future events and their likelihood of impacting the school (McCune, 1986). Cook
(1983) presented a list of the kinds of trends useful to education. They included:

1. Increase/decrease in financial support.
2. Inflation rate.
3. Energy and transportation costs.
4. Changing levels of support for public and non-public schools.
5. Condition of buildings and equipment.
6. New curriculum demands, i.e., technology.
7. Public demand for greater emphasis in science, mathematics, and foreign languages.
8. Alternative methods of providing service.
9. Changes in adult and student composition of community.
10. Number of single parents impacting the school.
11. Age and influence of school teachers.
12. Restructuring of school calendars.
13. Increasing costs of public education.
14. Societal changes toward the job market.

Competition was considered part of the external scanning process (Cook, 1988). Cook suggests that public schools could not be guaranteed by law, but rather by performance as evidenced by the increased programs of school choice. He explained that knowledge about the competition was necessary for the survival, or at least viability, for school districts.

Internal scanning

Internal scanning served as a description of the current state of the organization and of its potential (McCune, 1986). McCune recommends the preparation of an executive summary to provide people with a balanced view of the status of the organization. There are two main phases of scanning or critical analysis; the essential information phase and the critical data phase. The essential information phase includes facts about the district to help planners make decisions. The critical data phase
involves the selection and organization of appropriate data from the essential information phase (Lewis, 1983).

Lewis also promotes the use of critical analysis in developing an information base for a district. Critical analysis, needs assessment, situational critique, and environmental assessment have been used in the planning literature. Some researchers have suggested that the scanning process be completed prior to the development of a vision for the district. The data base generally included a description of the school district's scope, organizational structure, and activities; and a community demographic profile which described the population, race, occupation, and family income. The information data presented an organized view of student learning and growth and those programs and services offered to students. Lewis also proposed that a summary of problems be included in the data base. This summary should contain information about faculty and staff turnover, accident rates, absentee analysis, number of assaults on both staff and students, the types and frequency of vandalism, etc.

Several researchers (Herman, 1987; Lewis, 1983) identified several steps to analyze the internal data collected. SWOP/SWOT Analysis were the acronyms used in the literature to represent strengths, weaknesses, opportunities, and problems/threats. Strengths were those internal qualities, circumstances, or conditions that contributed to the organization's ability to achieve its mission (Cook, 1988). Instead of the mission as the criterion to measure effectiveness, Lewis (1983) uses the term "expected standard of measurement" which could, in fact, be the
mission, goals, or objectives. Perhaps this justified, in part, the reason some researchers suggested the sequence of developing the mission prior to internal analysis. "Strengths" should be recognized as part of planning because it signaled areas for greater success and served as a testimony of achievement. Weaknesses usually indicated a lack of performance or the inability to perform. Although all organizations have weaknesses, the goal of managers was to distinguish between those considered tolerable and those considered critical (Cook, 1988). The identification of opportunities served as recognition of those circumstances and programs which have a potential benefit to the organization. Opportunities were activities that the district could or should be performing. They have the benefit of converting an internal weakness into a strength (Lewis, 1983). A problem or threat was any activity or circumstance outside of the organization which could prevent it from achieving its mission and goals.

Cook (1988) proposed the use of an organizational critique as part of the internal analysis. This critique analyzed the district from several different perspectives: span of control; verticality or managerial layers; gaps and redundancies; and formality vs. informality.

According to Herman (1989), the review of trend data, critical success factors, etc. were prerequisites before constructing a vision and mission. Valentine (1991) supported Herman's position by recommending that the organization assess both the internal and external environments before the mission statement was developed. He further suggested that the history of the system be conducted as one method to assess its internal
environment. It was suggested that opportunities and threats could be identified through monitoring a variety of economic, demographic, social, political, and technological forces and trends by the superintendent and the leadership team.

As mentioned previously, the strategic planning process generally causes an influx of issues which come to the attention of management. Several researchers considered it helpful to identify those issues that were critical to the success of the organization (Cook, 1988; Herman, 1989). These were issues which must be dealt with by the management group. Issues presented could be discussed according to scope, size, variety, and turnover. The failure to be honest and open regarding internal issues could negatively impact the validity of the final plan (Cook, 1988).

**Mission statement**

The mission statement is often viewed as an expression of the district's purpose and function. The mission statement was the vital piece of the planning upon which the entire plan depended (Cook, 1988). Cook suggests that the mission statement address the local situation and that the planning team develop a set of boundaries, limitations, or principles by which the organization would operate, particularly during the planning process. He called the practice "strategic policies."

There are two styles of writing a mission statement, either results oriented or activity oriented. The use of the results-oriented style proposed by Peter Drucker is evidenced when the written outcome rests
outside the organization. For example, "The mission of Alpha School District is improved student learning and growth." The activity-oriented style of writing a mission statement promoted on-going action by the organization. The activity-oriented mission statement could read, "The mission of Alpha School District is to improve student learning and growth." Although both are considered acceptable, results-oriented statements establish greater accountability (Lewis, 1983).

In a report of the Texas State Technical Institute planning process, the mission statement was generated in a form of a vision. It promoted a dynamic image and required growth on the part of those working to achieve the mission. For example, the visionary mission statement said, "Texas State Technical Institute will be a world class collegiate leader in technical education offering Texas and all Texans unique learning opportunities designed to maximize student acquisition of knowledge, values, attitudes, and skills needed for the development of a quality work force" (Texas State Technical Institute, 1991).

Goals and objectives

"Goals" and "objectives" were used interchangeably throughout the literature. Both were always discussed in terms of their importance in the planning process. For this literature review, the terms were divided to represent different, but closely related functions.

A goal is broadly defined as an achievement to be attained within the school system at a future date (Valentine, 1991). Valentine observed several characteristics of goals. Goals help build consensus and provide
focal points for implementing the mission. They should be timely, developed, and sufficiently broad in scope to allow options.

There were different roles for organizational goals in both rational and non-rational systems. Goals in the rational system were determined by management after conducting a logical problem-solving process. They were clearly stated, uniform, and stabilized over a long period. The goals in the non-rational system were developed by a cross section of stakeholders through bargaining and compromise. Because the goals changed commensurate with conditions, they were somewhat ambiguously written and general in nature (Patterson et al., 1986). School administrators frequently experienced difficulty in establishing goals that were not in response to a crisis mode (Erlandson, 1977). In an effort to reduce the impact of poorly constructed goals, Erlandson offered a three-step process for setting and ranking them. The steps included: 1) select a term; 2) generate goal alternatives; and 3) rank goals using the Delphi Technique or another method. Erlandson suggested that goal indicators be constructed for those goals that were not reasonably precise enough to track measurement via conventional means.

There are several possible behavior responses in goal setting. Although there are a number of studies to support a positive relation between goal setting participation and motivation to achieve that goal, there were instances where participation did not reduce resistance. For example, goals that were not clearly written or were constructed too high or too low were resisted in various ways, ignored, or produced hostility (Steiner, 1979).
An objective was viewed as a specifically defined achievement to be attained by the school system with the result achieved by a specified date and recognized upon completion (Valentine, 1991). Short-range objectives were statements of results that described a specific plan to be achieved by either an individual or group usually within a one-year period. The short-range objective is generally designed to achieve a long-range goal for the organization (Lewis, 1983). Lewis identified several functions of short-range objectives. He maintained that their development promoted ownership of the plan, and served as a motivator to achieve a higher level of performance. Staff relations improved as a result of goal preparation. In addition, they were considered useful in measuring plans. There were two approaches to writing short-range objectives: the improvement action approach and the prediction of performance approach. An example of the improvement action approach would be "to increase the number of primary students reading on grade level from 19 to 29 percent by June 30, 19xx." An objective for a prediction of performance approach would be, "By June 30, 19xx, the number of intermediate students achieving on grade level in mathematics will increase from 35 to 49 percent" (Lewis, 1983). A common practice in schools has been the use of performance objectives answering the following questions: Who is the person to perform the task? What is the behavior desired? How will it be measured? What is the time limit or prerequisite? What is the expected proficiency? (Mager, 1970).

Although many objective statements contained the term "to improve," it is considered as intangible because it had different meanings for different people (Lewis, 1983). Lewis recommended the use of performance
indicators or performance standards to help measure objectives that were so stated. He also cited the use of a process objective (description of a task, activity, or strategy) as unnecessary and maintained that it should be avoided because its content was generally included in the action plan, job description, etc. Both goals and objectives to which group or individuals committed energy must be clearly stated, results centered, measurable, attainable, and time bound (Snyder & Anderson, 1986).

An important element of the strategic plan includes the development of alternative strategies. A number of strategies may be used to determine the direction of a school district. Valentine (1991) suggests that superintendent and central office personnel use a combination of both analytical and logical thinking as well as creative and intuitive processes in decision making. According to Herman (1989), there are four criteria or decision rules to select strategies or objectives. Herman proposed the following questions: Were they achievable? affordable? meaningful? and did they have a 75 percent chance of success? Cook (1988) notes that strategies are the most important element of planning. He stated that good strategies made the plan "strategic" and indicated how organizations could accomplish objectives thereby accomplishing their missions.

**Action plan**

Lewis (1983) describes an action plan as a process of generating activities to achieve an objective. The procedures for the development of an action plan are considered rather easy, but the degree of complexity is
associated with the difficulty of the objective. Lewis disagrees with the use of action plans in the strategic planning process because he considers them redundant if performance standards are correctly done. After studying hundreds of action plans, he found that they caused unnecessary frustration through increased paperwork. He found that very few people referred to them after they had been completed. Although the strategic plan stated the destination, the action plan, also known as implementation plan, indicated the way the destination was to be reached (McCune, 1986). McCune maintains that the implementation plan should be developed by the persons responsible for implementation. The action plan was the final component of the planning discipline, the point at which the strategies become operationalized. Each action plan generally has its own specific objective which is judged by the results it produces. The action plan is not considered as a plan to plan but is evidence that detailed planning has occurred. Development of an action plan does not guarantee implementation. The plan should have demonstrated a direct cause and effect relationship which would immediately be viewed as workable (Cook, 1988).

The literature review indicated that the format of the action plan varied among agencies. Several authors, Cook, McCune, and Herman, identified the following content of an action or implementation plan: a statement of the goal and objectives to which the plan supported; a detailed description of the activity; a time line; the persons or departments responsible for completion; and an outcome to match the activity.
Cook (1988) suggested that a cost benefit analysis be included with each action plan in order to determine the best use of resources. Those responsible for developing the action plan should analyze the tangible and intangible benefits expected and the expected costs, i.e., direct dollars, use of time, additional personnel, etc.

Monitoring

Most of the planning models in the literature included some form of monitoring or evaluation of a plan. Little has been done to develop tested measures of planning system performance (Steiner, 1979). Steiner suggests the use of a questionnaire developed for executives and staff to generate responses to indicate effectiveness of a plan. He also suggests that the plan could be tested against the list of pitfalls presented earlier. McCune (1986) agrees that checking the progress of the plan is essential and could be done through simple reports and computerized systems. McCune also indicates that presenting regular reports to board and staff maintains enthusiasm and commitment, identifies early problems for correction, and prepares the staff for renewal of the planning process.

Terms and Concepts Related to the Naturalistic Inquiry Research Method

According to Guba (1978), the use of naturalistic inquiry differed from the conventional modes of inquiry in two respects: the degree of manipulation of conditions prior to the inquiry and the degree of constraint imposed on the outputs by subjects involved in the inquiry.
Naturalistic inquiry

Wolf and Tymitz (1977) referred to naturalistic inquiry as a process geared to the uncovering of many idiosyncratic, but nonetheless important, stories told by real people about real events in real and natural ways.

The most systematic attempt to formulate a definition of naturalistic inquiry was performed by Wilhem and Raush in 1969. They summarized the work of six authors and listed the following characteristics of naturalistic inquiry:

1. Naturalistic inquiry is always a matter of degree. It cannot be pure in the sense of being absolutely free of constraints placed on either antecedents or responses.
2. The degree to which a study is naturalistic is a function of what the investigator does.
3. What the investigator does in relation to stimuli, independent variables, or antecedent conditions is a crucial dimension.
4. Naturalistic inquiry does not require the investigator to have formed certain conceptions or theories about the study, but they emerge based on the influence of real events.
5. If any prior manipulation of output was conducted by the investigator, the study does not qualify as naturalistic.

Sampling

Patton (1980) described various types of sampling appropriate in the qualitative paradigm which includes the sampling of extreme or deviant cases to obtain information that may be useful, and the sampling of politically important or sensitive events that may attract attention to the study. Guba and Lincoln (1985) supported the use of sampling which most often should include as much information as possible.
General observation

This is considered a basic unobtrusive research method. Denzin (1978) defined unobtrusive measures as the removal of the observer from the set of interactions or events being studied. There were several settings during the inquiry which necessitated only the observations of the physical locations, expressive movements, and language of those participants involved in the planning activity. Those situations generally involved discussions when key participants expressed opposing views on planning matters, and the need was sensed to refrain from taking a position. General observations also focused on the dimension of posturing conducted by certain participants. Denzin (1978) contended that posturing is a form of confrontation in which expressive body movements validate and support spoken words.

Interview

Denzin (1978) stated

that the interview is a peculiar type of human interaction because it represents the coming together of two strangers. This gives the interviewer the large task of taking control of the situation and defining it so that the questions will be answered by the time the interview ends. (p. 119)

Interviewers were reminded to exercise appropriate care in the ordering of questions (Sudman & Bradburn, 1986). Sudman and Bradburn suggested using a funneling procedure to minimize the ordering effects. Funneling procedures refer to ordering of questions so that the most general questions in an area are asked first and followed by more restricted questions. The purpose of the funneling sequence is to prevent earlier
stated questions from influencing the response of subsequent questions. For example, in order to obtain specific information regarding the utility of the data base documents generated for each school, two of the questions asked were:

Question 1. Did you find the data base document useful to assist in planning? Please explain.

Question 2. The data base document consisted of five major areas. Which of the five areas did you find most useful? Please explain.

If the second question preceded the first during an interview, the respondent would be forced to rank or evaluate the document by sections rather than speak to the general issue of usefulness. In addition, all other responses regarding the data bases would probably be framed to substantiate the choice which may, in fact, be a tentative selection.

The use of ethnographic interviews were used to get stakeholders and interviewees to talk about the culture of the school district or the school. Ethnographic interviews involved developing rapport and obtaining information about the culture (Spradley, 1979). It was necessary to attend to rapport because it could change over time. It was suggested by Spradley that the interviewer restate certain portions of responses given by informants to demonstrate an interest in learning about the culture of the district and to show a nonjudgmental attitude about responses.

Participant observation

A good interview, by necessity, was also a participant observation (Denzin, 1978). Upon completion of the process, the interviewer has participated in the experiences of the respondent and observed the report
of oneself during the interview. Participant observation, as a prominent technique used in qualitative research, was selected to obtain information that could not be obtained through other measures. Although this technique can be traced through early anthropological field studies, it is still evolving as a social research technique. Kluckhohn, in her classic 1940 description of the work with the Navaho Indians, says participant observation is "the conscious and systematic sharing, insofar as circumstances permit, in the life activities, and on occasions in the interests and effects of a group of persons" (Bruyn, 1966).

Bruyn (1966) reports a typology of the roles associated with participant observation. The four roles included:

1. Complete participant--where the members are unaware of the researcher as an observer. There were obvious disadvantages because of certain restrictions and limitations such as the inability to observe the outside effects of the study.
2. Participant as observer--the researcher's observation techniques are not completely concealed but restricted in that the research techniques used are only from the participant's perspective.
3. Observer as participant--the researcher's activities are publicly known from the onset. The researcher has maximum freedom to gather appropriate data pending an approved manner of reporting the data.
4. Complete observer--may function on a continuum from isolation, i.e., little or no communication to the point that everything is open and free flowing.

Instrument

Guba and Lincoln (1985) noted the following characteristics that qualified the human as the instrument in qualitative research:

Responsiveness--Humans can sense and respond to all personal and environmental cues that exist.
Adaptability--As a multipurpose instrument, the human can collect information about multiple factors, at multiple levels, simultaneously.

Holistic emphasis--The human is the only instrument available capable of grasping the world of any phenomenon and its surrounding context in one view.

Processual immediacy--The ability of the human to process data as soon as they become available.

Opportunities to explore a typical response--The instrument can explore such responses not only to test their validity, but to achieve a higher level of understanding than otherwise possible.

Opportunities for clarification and summarization--This instrument can summarize data on the spot and feed them back to a respondent for clarification, correction, and amplification.

Issues of validity and reliability

Addressing credibility issues in ethnography and qualitative research requires different techniques than those used in experimental studies since the two approaches differ in the nature of their approaches to research. McLaughlin (1986), in a commentary for the Journal of School Health, suggested that reliability be interwoven throughout the investigation process. This study incorporated strategies using different or multiple methods of data collection, a process termed in the literature as triangulation.

Smith and Denzin (1978) noted that theoretical triangulation is essential in many qualitative studies. They defined it as the identification of multiple perspectives in relation to the same set of objects.

Guba and Lincoln (1985) cited four criteria that qualitative researchers could use in establishing the trustworthiness of the naturalistic inquiry:
Credibility of the data collected is treated through a series of methods. The use of persistent observations and triangulation are examples. Occasional discussions about the study with professors and colleagues may be considered a jury of peers whose function serves to monitor insights and provide additional ideas. Information from documents and interviews were checked and verified with several different informants.

Transferability is the notion of determining the relevance of the data in relation to the study. The development of working hypotheses and alternative propositions were used to establish relevancy. The quality of the questions used during interview helps the researcher better understand and describe the case.

Dependability is the term used to describe the stability of the data. It is designed to reduce the negative effects of instrumental changes. The authors recommend the use of multiple methods simultaneously with the intent of using the strength of one method to offset the weaknesses of the other. There were instances in which two techniques were used simultaneously. For example, during the field study with the administrative cadre (participant observation), the researcher also conducted several pertinent interviews to determine the same information.

Confirmability is designed to minimize the effect of the investigator's bias.
CHAPTER III. METHODOLOGY

The use of qualitative research methods such as case studies and ethnographies has become increasingly useful in school research efforts. This inquiry traced the planning process used by the Des Moines Public Schools during the past decade. Obviously, there were numerous variables associated with planning. A characteristic of qualitative research permitted the case to be viewed from a variety of dimensions, many of which were unknown at the onset of the investigation. The naturalistic inquiry paradigm, an approach within the qualitative domain, took into account the multiple realities within the study.

Overview of the Process

The following model served as an overview of the form, order, and logic of the naturalistic inquiry research design (Figure 1). Although naturalistic inquiry has free and open-ended characteristics, this study was bounded by specific research questions.

Since the study was conducted in a natural setting—people, places, and planning activities of the Des Moines School District—design mandated the use of human abilities to serve as the primary research instrument. The human instrument operationalized the inquiry through the manipulation of situational familiarity (tacit knowledge, i.e., determining real meanings behind spoken words) and various qualitative methods such as interview, document analysis, participant observations, etc.
Carried out within problem, evaluand, or policy option determined boundaries.

All tested for:
- Credibility
- Transferability
- Dependability
- Confirmability

Figure 1. The flow of naturalistic inquiry (from Lincoln & Guba, 1985, p. 188)
Through the administration of these research methods, many significant events related to planning were identified and selected for additional probing (purposive sampling).

The data which emanated from the inquiry were analyzed continuously via different sources and techniques until the results were somewhat redundant (grounded theory). The process was replicated until the deadlines, time constraints, or the resources were exhausted.

Throughout the procedure, interpretations placed on the data were verified with appropriate persons and those interviewed for corroboration or minority opinions (negotiated outcomes).

Validity and reliability of information gathered were tested against four naturalistic criteria:

• credibility--data treatment through a series method (triangulation),
• transferability--determining relevance of the data in relation to the study,
• dependability--stability of the data; reduction of the negative effects of methodological changes, and
• confirmability--to reduce the investigator bias.

The findings were organized into descriptive narratives which correlated to research questions and the methodology of naturalistic inquiry.

Purposive Sampling

Part of the study sampled on-going interactions of individuals regarding the planning process. In an effort to conceptualize the who,
what, when, where, why, and how of the planning processes used by the Des Moines Public School System, a mapping strategy was incorporated based on the work of Schatzman and Strauss (1973). The model assisted in framing the social, spatial, and temporal features of the study which served as boundaries and assisted in generating information to answer the research questions.

The social map identified the number of persons, roles, channels of communications, status, etc. which affected or impacted the planning process. Information from the current and former superintendents was vital to the study due to their significant roles during planning. There were several other department heads and central office personnel whose roles were also significant in the planning process, and who had served both superintendents over the last decade.

The social map started with the administrative cadre, appointed by the current superintendent in 1988, which played a key role in developing and implementing specific activities for the plan. The cadre consisted of the superintendent, two assistant superintendents, two executive directors, two supervisors, two principals, and five other central administrators. Essentially, the cadre was the committee which planned the planning process.

The seven-member Board of Directors established policies and directions for the staff to engage in strategic planning. The board represented a cross section of community members with the inclusion of attorneys, medical doctors, and business professionals.
Approximately 64 principals were given the responsibility to lead the strategic planning process at their respective sites. They were also given support through staff development to help them with the various tasks associated with planning.

Outside consultants proved useful to the superintendent and staff who adopted the work of colleagues active in theory development and other aspects of planning. Parents and business community representatives shared in the planning process at the individual school sites primarily through the Building Advisory Committee. The superintendent and board met with a "blue ribbon" committee to obtain input from the general community.

During the first year of the current process, four subcommittees were established to perform specific planning functions. They included:

- a subcommittee to establish and recommend a district mission statement,
- a subcommittee to review and analyze the first draft of the site data base,
- a subcommittee to review building level objectives, and
- a subcommittee to review and establish guidelines for the site-based management transition.

Several of these committees were further divided by functions. Several unexpected informants furnished information for the study without recognizing they were, in fact, doing so. Names of specific informants who were active in the planning events and activities were obtained from both school board records and recommendations from various staff members.
The spatial map sketched the physical location of persons, significant events, organizational segments, and channels which persons and resources must pass. A physical map of the city with the location of the various district facilities (Appendix C) proved helpful in scheduling interviews and determining if different patterns existed among the various communities.

Attempts have been made to determine any noticeable differences in planning activities in "home territories," i.e., offices, school buildings, etc., where there is intimacy and freedom of conduct and "interactional territories" such as inservice meetings, lectures, etc., where the participants were engaged in focused and direct interaction. In addition, several general observations included sessions where participants used the round table format, which did not allow the observer to draw any conclusions about the impact of physical locations of participants in the planning process.

A review of the organizational chart identified the channels of communication and the formal power structure within the organization. School board minutes and other documents provided information on historical planning events which impacted the structure and culture of the district. Although these documents existed prior to the onset of the research, their use was determined to be reliable and valid in that most of them are considered official records which are generally free of selective recording and personal biases of the authors.

Several publications were examined to assist in determining leads for the study. These included the Des Moines Schools Management and Operation
Study by Booz, Allen, and Hamilton (1986), the Building Utilization Committee (1976), the Peat, Marwick, and Mitchell Report (1979), and the Long Range Plans for Instruction and Curriculum (1980). The Des Moines Register, serving the entire state of Iowa, served as an indispensable source.

Financial concerns seemed always to be objects of board/superintendent goals and special reports. The annual goals for the superintendents included some aspect of finance. Financing the secondary co-curriculum programs, schoolhouse tax propositions, and school facility needs were specific examples of fiscal issues addressed by Des Moines school administrators.

The temporal map described what specific activities and events identified in the spatial map actually occurred as well as those current planning events for the district. The temporal map also included the appropriate dates of current planning activities. The primary source for locating key planning events was derived from a document which identified the time line to implement strategic planning activities for the district (Appendix B). The inservice sessions and activities regarding the development of mission statements, objectives, and building action plans were included in the study. The administrative cadre determined when these activities took place.

In addition to the use of a mapping strategy, several other major qualitative techniques were used to conduct the purposive sampling process. These will be discussed in the following section.
General Observations

The use of general observations in this study was simply a complementary technique used in conjunction with others. Findings which emanated from general observations alone were not considered equally with findings from other methods.

Archival Data (Document Analysis)

Three volumes of the Strategic Planning Report, Des Moines Public Schools served as archival data used to supplement other techniques. Although the documents were not produced for comparison and research purposes, their use helped to identify certain outcomes and themes associated with the planning process.

Interviews

Many of the details collected for the analysis of planning during the length of the study were obtained through interviews. A pre-interview letter was sent to approximately 35 persons describing the purpose of the interview and to solicit their support. A self-addressed envelope was provided with an opportunity for the respondent to indicate his/her willingness to participate and a suggested interview time. Twenty persons initially agreed to be interviewed. The number of actual interviews expanded to verify the data.

Interviews varied according to structure and, therefore, the study incorporated both a focused and unstructured interview in which specific information was obtained from each informant. The focused interview
ascertained desired information which required a particular phrasing or reordering of questions to match the characteristics or role of the respondent. The unstructured interview had no pre-specified set of questions, although appropriate information was obtained through a natural discourse. The interview conditions were also taken into account.

An interview guidebook was developed to outline the information required from the respondents with suggested phrases. The manual also identified "probes," which are used to obtain information when the original question fails to elicit the desired information. Researchers have suggested that the questions asked during the interview must perform two functions: 1) translate research objectives into specific questions to provide data for describing the working hypotheses, and 2) to assist the interviewer in motivating the respondent to give appropriate information. Questions were constructed to conform to the principle of specification, which clarified the function of each question. Specification of the question targeted a specific domain or the research to produce responses to the research questions. Questions also conformed to division which referred to the pattern of a questioning sequence to match the experiences of the interviewee and tacit assumption involved determining the actual meaning implied in a response. The meaning, not the wording, of the question was fixed.

A sample of events which affected planning in the Des Moines Public Schools was identified and used as leads in locating persons needed to assist with the research. The two superintendents were contacted and agreed to be interviewed.
Participant observation

The analyst served as "observer as participant" due to the brief and formalized contacts. There were no attempts to establish long-term relations with the respondents, although the researcher shared in the life activities and sentiments of the planning participants in a face-to-face relationship through meetings with the administrative cadre and the provision of technical assistance to principals and others.

The participant's observation technique was paradoxical in that it required both detachment and personal involvement. There were several instances in which the planning vernacular was confusing because it differed among the participants. Attempts were not made to alter or influence the terminology because of the need to be perceived both as neutral and a learner. Furthermore, correct implementation of qualitative research allowed for the acceptance and understanding of the institution's norms rather than attempts to change them. In addition, attempts to modify behavior probably would have met resistance and caused possible exclusion from participation in future group activities.

There were several additional activities employed using the participant-observation technique. Site selection, establishing entree, and rapport were important steps for the study.

The selection of a district for this investigation was a natural outgrowth of a field study related to the strategic planning course offered at the university. The professor, Dr. Jerry Herman, arranged a meeting with the Des Moines school superintendent to secure support and interest in allowing an intern to work with the strategic planning
process. Although the superintendent agreed to the position, he did not specify how the position would function. The intern was subsequently assigned to a member of the administrative cadre for strategic planning for coordination and supervision.

A meeting was conducted with the Des Moines school representative, the professor, and the intern to delineate roles and responsibilities of each (Appendix D). It was this step that proved crucial in determining the level of acceptance. The intern was given autonomy to develop work plans that produced benefits for the district and provided personal experiences in planning. Observation was implemented through meetings and interactions with significant personnel and planning participants.

Quantification

Although this was a qualitative study, several elements of quantification were used. For example, individual schools and departments developed objectives to support district goals. The researcher established the frequency of objectives written to support the district goals as well as those objectives attained.

Instruments and tools

The following activities are delineated to indicate the ability of the analyst to actively participate in the planning process, make sense of what is observed, and appropriately use the tools of qualitative research. The researcher spent approximately 12 months reviewing the literature and current readings of educational and corporate strategies for planning. In
addition, a strategic planning bibliography with over 300 entries was developed as well as a mock strategic plan for a mid-sized school district. The researcher has implemented many elements of strategic planning as a school principal for 17 years. The successful completion of a course in strategic planning and attendance at workshops provided additional insights into the planning process.

Ethical issues were considered while conducting the research. Persons in the investigation consented to participation and were given limited information about the study. Personal identification and the names of school sites were not used in the study. Data gathering procedures were limited to information that was essential to the research project. The nature of the leader-subordinate relationship in obtaining and reporting information was considered as well as the necessary precaution of not placing informants at risk with their superiors.

As the primary instrument in this study, the researcher was more concerned with the specific planning operations and interactions rather than whether the research techniques were considered "scientific." The researcher recognized the need to utilize methods which provided a balance of precision, relevance, and feasibility. Flexibility was maintained throughout the study.

The tape recorder was used during some interviews in an effort to free the researcher to record gestures and concentrate on the use of probes to achieve the desired quality of information. Permission to tape was secured from each interviewee at the onset of the interview. Interviews were transcribed and shared with the informant for
corroboration. Interviews were transcribed professionally for accuracy. The computer was used to store data obtained from the interviews for easy retrieval. The two superintendents were administered the leadership profile to assess leadership style in relation to planning.

Data Analysis

The data varied in the level of abstraction, in frequency of occurrence, and in relevance to central questions in research. Discovering classes and properties of data were fundamental in the analysis process. As the data became sufficient in scope, a story line was formulated which helped to narrow the investigation.

The identification and review of significant issues which permeated the school district during the time frame under study assisted in the development of classes and properties associated with data analysis. The research questions served as the initial organizational scheme for classifying data. The data will be further organized into informational units which may reveal attitudes and beliefs about the planning process or people participating in the process. An informational unit is operationally defined as a sentence or paragraph that can stand alone and make sense, but if removed from the context could alter the meaning and/or interpretation of a particular situation.

The following steps were conducted in the completion of data analysis:

Step I: Data were separated into informational units and placed in the following appropriate computerized folders:
Folder 1: Information about the values and beliefs toward the planning process or people participating in the process.

Folder 2: Included references to specific names, positions, and roles within the institution under the title "planning participants."

Folder 3: Contained informational units which imply that future action or outcomes are expected.

Folder 4: Included information which provides evidence of consensus building, decision making, etc.

Folder 5: Contained data which linked individual school mission statements with the district's mission statement.

Folder 6: Included information regarding internal scanning and needs assessment.

Folder 7: Stored information which demonstrates planning knowledge by the planning participants.

Step II: The researcher reviewed the data within each folder according to the following appropriate criteria:

Social environments: Some data were outlined in terms of the location of the different setting, i.e., school buildings and central office or top management versus school site management. Noted differences in planning terminology by participants were identified.
Consensus: Outlined instances which required consensus building among the planners. Distortions and/or misinterpretations noted during the validation process were recorded.

Step III: After each folder was analyzed according to the above criteria, the researcher formulated comparative linkages among the data contained in the various envelopes.

Step IV: Summarized the data in writings as an initial attempt to understand the data and to sort through that which could/could not be used. Naturalistic inquiry respects the tacit knowledge (intuition or feelings) of the researcher.

Step V: The researcher told a story of a particular folder or group of folders to an interested listener and or colleague. This step helped the researcher become closer to the data. The outsider's view proved helpful in identifying new perspectives on them.

Step VI: The researcher developed a draft of the case report which was reviewed by key participants of the Des Moines Public Schools as a means of validating the information. The intent was to develop a déjà vu experience for those members of the institution reading the draft. An attempt to reduce threats resulting from the presence of the researcher was addressed by the fact that the researcher spent nine months attending meetings and interacting with
various members of the community with the intent of building a low profile.

Although no single technique was superior to another, participant observation during the field study and the interviews were primary research techniques utilized because of their appropriateness to the study.
CHAPTER IV. FINDINGS

The discussion of findings is presented in three phases to represent time, major events, and outcomes. Phase I discusses the initial planning activities, particularly during the first year. Phase II incorporates those results which reflect the planning discipline, processes, and outcomes. Phase III discusses many of the initiatives implemented by the district as a result of strategic planning.

Phase I: In the Beginning...A Plan to Plan

- Who participated in the strategic planning process?
- How did the leadership style of the superintendent impact planning?
- What was the role of staff development in planning?

Answers to these and other research questions are rooted in many activities which were hard to track in a narrative format. To help guide the discussion, Table 1 identifies major strategic planning activities conducted by the district.

Records indicate that within a month of his appointment as superintendent of the Des Moines Public Schools, Dr. Gary Wegenke began to prepare the school district for strategic planning through a process he referred to as a "plan to plan." Within the first several months of the 1988-89 school year, three inservice sessions were held for key central administrators and principals. Resource persons for these sessions were Dr. Robert Terry, of the Hubert H. Humphrey Institute, whose work was used by the superintendent to relate human action to strategic planning;
Table 1. Events presented in findings

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establishment of Planning Committee</td>
<td>Fall 1988</td>
</tr>
<tr>
<td>Orientation Meeting</td>
<td>Fall 1988</td>
</tr>
<tr>
<td>Distribution Position Paper #1</td>
<td>October 1988</td>
</tr>
<tr>
<td>Inservice on Mission Statement</td>
<td>October 1988</td>
</tr>
<tr>
<td>Distribution of Position Paper #2</td>
<td>November 1988</td>
</tr>
<tr>
<td>Distribution of Position Paper #3</td>
<td>January 1989</td>
</tr>
<tr>
<td>Distribution of Data Base</td>
<td>January 1989</td>
</tr>
<tr>
<td>District/Mission Statement Development</td>
<td>March 1989</td>
</tr>
<tr>
<td>Discussion of Site-Based Management</td>
<td>Summer 1989</td>
</tr>
<tr>
<td>District Position Paper #4</td>
<td>April 1989</td>
</tr>
<tr>
<td>District/Building Goals and Objectives</td>
<td>1988-1991</td>
</tr>
<tr>
<td>District Reorganization (Position Paper #6)</td>
<td>October 1989</td>
</tr>
<tr>
<td>Planning Outcome</td>
<td>1989-1991</td>
</tr>
<tr>
<td>Position Paper #5 Program Evaluation</td>
<td>October 1989</td>
</tr>
<tr>
<td>Position Paper #7 Site-Based Management Through Shared Decision Making</td>
<td>September 1990</td>
</tr>
</tbody>
</table>

Dr. Jerry Herman of Iowa State University, who presented an overview of planning and several planning components; and Dr. William Cook, whose definition of strategic planning was adapted by the district.

Paraphrasing Cook's definition, strategic planning is a process and a discipline for facilitating the distribution of limited resources to
satisfy competing needs in the context of a complex and changing school environment. Several preliminary steps were completed to put strategic planning, as defined by Cook and the district, into operation. A list of specific actions (Appendix E) was given to the administrators who attended the orientation sessions. A major, preliminary task included the selection of a planning team initially referred to as the Administrative Cadre for Strategic Planning. The 14-member cadre consisted of division/department heads, executive directors, and principals. The Administrative Cadre was originated to provide leadership training to Des Moines administrators. They quickly realized the task was much larger!

The field experience by the researcher began after several meetings were held by the cadre. During the researcher's first meeting, one gentleman spoke significantly more than the others who were present. He appeared knowledgeable as he emphasized such topics as defining and clarifying strategic issues and the directions and roles of various stakeholder groups. When he spoke, others appeared to listen more attentively and a member of the group would almost always expand on or support his ideas. He asked questions to stimulate thought as part of his discourse. At the end of the meeting, he was introduced as the superintendent. A total of 12 meetings with the Administrative Cadre were attended by the investigator before the group dispensed with weekly meetings and the individual schools submitted their improvement objectives.

The cadre's agenda began with providing training for central administrators and principals in key areas such as mission statement
development, construction of building improvement objectives, and internal scanning through the use of the school data base. The meetings were informal and conducted without a designated leader. The staff development supervisor served as the primary organizer, developing and distributing agendas and minutes to committee members.

During the fall of 1988, an orientation meeting was conducted for principals which included a review of the leadership styles needed for responsible and accountable site-based management. The speakers addressed areas such as visionary leadership, risk-taking, participatory management, accountability, planning integration of goals, information management, interpersonal skills, diversity, and renewal. The major difference between the current strategic planning process and the "Plan for Excellence" implemented by the previous administration was explained and presented in print. For example, in the Plan for Excellence developed by the previous administration, the goals, objectives, and activities were prescribed at the district level through a top-down process. By contrast, the strategic planning process gave greater freedom and responsibility to the building principal and staff in decision making. It included both bottom-up and top-down approaches.

The principals also received a copy of the position paper presented by Superintendent Wegenke entitled Relating Human Action to Strategic Planning: A Focus on Mission. The introductory position paper defined strategic planning and identified the need to develop a clear and concise mission, and goals and objectives from information generated at the building and central office levels. It also emphasized the efficient and
effective use of the district's resources. Wegenke presented a model of how human action operated within an organization, which subsequently became known as the "Terry Model" (Appendix F). As part of the discussion of strategic planning, participants were given copies of notes from a seminar with Bill Cook.

In keeping with the steps outlined in Appendix E, the Staff Development Department researched areas deemed appropriate for the implementation of strategic planning and site-based management. After reviewing nearly two dozen publications and articles, the following selections from the literature were abstracted and distributed along with the complete article to the principals during the orientation meeting as part of the research base to support the planning process and the change envisioned for the district.


   The seven steps included: management audit, values clarification, mission statement, goals and objectives, action plan, reality test, and the feedback system. The author identifies ten issues which must be considered to successfully implement the strategic planning process, some of which included the need for support, organization readiness, a committee to guide the process, flexibility, etc.


   The authors discuss the changing role of the school administrator. The educational leaders must serve as change
agents in the school system which requires a unique set of skills. As such, leaders must ask for, consider, and take action on feedback from teachers, parents, business leaders, lay persons, and others affected by the system. The author discusses the phases of change based on the work of Lippitt, Lewin, Watson, and Westley.


Lemley notes that leaders who are successful in achieving the mission of the organization are those individuals who have the skills and abilities to mobilize an organization and its members in a manner that will lead to the accomplishment of a set of goals. The article identifies ten sample behaviors that achieve positive results which require practice to gain mastery. Lemley maintains that effective leadership occurs best at ground level because that is where the action really takes place.

4. Up the Pyramid: New Leadership Opportunities for Principals by Helen Regan.

The author notes that the empowerment of teachers means teachers and principals are "naturally accountable." The lowest level of the pyramid consists of managerial tasks followed by instructional leadership, symbolic leadership, and cultural leadership. Credibility must be established at each level to establish credibility at the next level.
5. **Supervision and the Rhetoric of Empowerment: Silence to Collision** by Carl Glickman.

The author urges supervisors to assist teachers in challenging the conventional practices of teaching and the wisdom about education and learning. Glickman suggests that supervisors begin to shift several premises of supervision such as being the all-knowledgeable supervisor to that of co-explorer in the search for the best teaching practice and a shift from a prescriptive, generic definition of effective teaching to situational knowledge base that inform rather than control decisions about what is appropriate.

6. **Challenges for School Leaders** by the American Association of School Administrators.

This nine-chapter book presents major concepts relating to effective leadership. The writer suggests that the future change in education must deal with the at-risk students, make decisions closest to the source, recognize teacher empowerment, and include the community.

7. **Room at the Top: Conditions for Effective School Leadership** by Sharon Rallis.

Ms. Rallis proposes that the alternative support team is an example of blended leadership where management is provided by the principal and instructional leadership is provided by lead teachers. For this to occur, policy makers and administrators must provide structure that will enable teacher leadership to
grow. The article discusses the principal's role and problems encountered during implementation of the approach.

The orientation meeting concluded with a discussion of outcomes of the strategic planning process. It was stated that each school ultimately would have a mission statement, specific objectives, strategies, and action plans. Principals were told that strategic planning is an orderly way to think about themselves and simultaneously indicated if they were doing the right thing at the right time.

In January 1989, the cadre conducted a Mission Statement Development Inservice designed to prepare administrators to create and build mission statements. The meeting was also intended to increase the participants' knowledge of strategic planning and to enhance their leadership skills. Directions were that the mission statement as presented "will be a clear, concise statement of the basic purpose of the district and sets the direction in which the school district is moving."

The specifications for a mission statement were discussed and placed on transparencies. These were: The mission statement should be 25 words or less; based on beliefs and values; clearly understood and believed by stakeholders to be the real mission of the school district; accepted as being attainable; and persistence over time. Upon completion of the presentations relative to the background information, participants were divided into small groups of five or six members.

Three of the members were assigned roles as facilitator, recorder, or reporter to assist the group in functioning as an efficient and productive
unit. Each group was instructed to complete the forms, "Building a Mission Statement" (Forms A and B, Appendix G). The contents of Form B were shared with the larger group. The discussions among the various groups were so intense that the participants were reminded that the meeting was a practice session in preparation for use at the individual site. Further details and follow-up discussions were held during the principals’ meeting with the executive directors. During this period, principals also received a copy of the second position paper, Relating Human Action to Strategic Planning: Focus on Structure, from the superintendent. The paper focused on key terms, such as "internal analysis," "external scanning," and "action plans," associated with planning. Wegenke maintained that school-based management gives each building the freedom to set educational objectives consistent with the school district's mission and goals and to act towards the attainment of those objectives. He also acknowledged that stakeholders have the opportunity to incorporate school-based management as a fundamental concept in the district's strategic planning process.

Several weeks later, another staff development activity was conducted with the principals to assist them in developing improvement objectives for their school in collaboration with the staff. The performance objective for the session included the following:

Everyone in attendance, by the end of the session, will be able to:

- Identify the main components of a process objective.
- Determine whether an objective is worthy of consideration.
- Describe the origin of objectives.
List two reasons and two barriers to using objectives as documented by an evaluation that will be made at the conclusion of the meeting.

Wegenke discussed the relationship of objectives to the mission and to the contents of his position papers. Participants were also given a review of objective writing and guided practice. A discussion of the contents and use of the data base for schools was conducted to help principals use the information to develop building level objectives. Principals were reminded that the data base was to be used with the school's planning team and/or Building Advisory Council, a name subsequently changed to School-Based Council. They were advised that the data bases would be improved and expanded in the future. Each principal received a copy of his/her school's data base, which included the following information:

1. **Background information:** History and projection of student enrollment for years 1978-79, 1986-87, 1988-89; day care and transfer information.

2. **Student characteristics (structure):** Race, gender, socioeconomic status; enrollment by grades/subjects; and special programs such as New Horizons, Des Moines Plan, Gifted and Talented, etc.

3. **Outcome information:** Results of nationally normed and criterion-referenced tests disaggregated according to gender and race; average daily attendance; and the number of suspensions by type and race.
4. **Resource information:** The number of classroom teachers and support staff including the salary for each category was included in the report. In addition, a list of building projects under current levy and those requested for the future, as well as the value of movable equipment and textbooks, were included in the document.

Each year the Department of Information Management conducted an orientation lasting approximately 90 minutes to review with principals information regarding techniques for examining data bases, processing the information with school-based councils, and a few housekeeping chores such as a reminder of due dates of information needed for planning. In addition, an information update sheet was given to summarize changes in the document. Some of the new information had different page numbers in the data bases due to the difference in the length of data generated by the schools. In such cases, the word "Front" identified the location. The school level was indicated for information that was not generic for all levels. For example, the following information was distributed in August 1991:

**New information:**

- "Building Data Bases: A First Step Toward District Improvement" (Front)
- School-Based Management Through Shared Decision-Making Process (Front)
- District Improvement Plan
- 1991-92 Open Enrollment Approved Applications (pages 3-4 of "Structure")
Principals also received master copies of approximately 20 handouts/ transparencies to duplicate and use with their respective staffs. They were directed to develop building improvement objectives for the 1989-90 school year and to submit them to the Department of Information Management for review. The committee used the forms, "Performance and Process Objective Planning Sheets" (Appendix H), to ensure conformity to specifications discussed during the training.

In January 1989, Superintendent Wegenke presented the third position paper which discussed how strategic planning in the Des Moines school
environment focused on people through human action. He also discussed Candoli's definition of responsible autonomy as the need to achieve a balance between accountability and freedom in all parts of the educational system. The paper outlined pertinent information useful for the resolution of school-based management issues.

In March 1989, a retreat was held to develop the school district's mission statement with a 21-member task force representing central administration, school site personnel, board members, and parents. Most of the representatives were from the central office ranks. The retreat started at 1:00 p.m. and lasted until approximately 9:30 p.m. with a short dinner break. The task force operated under the direction of the two executive directors of Elementary/Early Childhood and Middle/High School Programs. The group was charged with the responsibility to develop a single statement which would reflect the 58 mission statements developed by individual schools. The superintendent addressed the importance of developing a statement sufficient in scope to guide the district and to simultaneously allow the various internal and external forces to fulfill their roles. In addition, he briefly described the strategic planning process from its inception to the current state. The task force was organized into groups representing the five school feeder systems. A feeder system is the continuous assignment of students through the elementary, middle, and senior high schools based on the proximity of the schools to one another. Each group was given a copy of the mission statements from all schools within that feeder system. The small groups were instructed to review each of the mission statements and complete the
form, "Building Mission Statements" (Appendix G). Upon completion of the task, group members were instructed to develop a composite mission statement which best reflected the statements of the schools within the feeder system. The five composite mission statements (Appendix I) were projected using a Liquid Crystal Diode (LCD) unit and duplicated for each group with similar instructions to complete the form, "Building Mission Statements - Composite." Members were also instructed to develop a single statement to represent all composite statements (Appendix I). The results again were projected via LCD as the reports were being given. The large group discussed specific terms and phrases from each group (Appendix J) until consensus was reached on a single statement (Appendix K). The last phase of the process consumed more than two and one-half hours of the retreat.

Members of the Administrative Cadre agreed to review the mission statement and develop an interpretation of phrases within the statement. As a result, several members subsequently developed interpretations and submitted them to the cadre for review. The final interpretations are listed in Appendix L.

The mission statement and related terms were submitted to the Board of Directors by the superintendent. The board received the statement and made a slight modification before it was officially adopted. The term "age" was added to interpret the phrase "diverse community of students." Copies of the mission statement were reproduced in poster size, framed in oak wood, and distributed to each attendance center in the district.
During the summer of 1989, the Administrative Cadre for Strategic Planning conducted a site-based management retreat where members of the planning committee discussed several reports and position papers about site-based management topics. Wegenke presented a position paper on the principal's role in school-based budgeting. The document offered guidelines to help principals and other educators to appreciate and understand building level fiscal approaches associated with decision making and problem resolution within the education system. Wegenke suggested that the implementation of a building budget was dependent on the principal's capacity and skill to coordinate the various planning and operational components of a total educational program. The committee discussed budget components such as budget composition, allocation, and control procedures.

Two members of the team presented a discussion document which focused on personnel functions in relation to site-based management. A key point made was that the extent to which staffing activities may be decentralized was dependent on factors such as the district's Affirmative Action Plan, constraints of law, board policy, and negotiated labor agreements. The committee discussed those personnel functions which could appropriately remain in the central office and those which could be decentralized to the schools.

Another subcommittee presented a draft copy of a document entitled Stakeholders' Involvement in Site-Based Management. The committee made several modifications of the document after a lengthy discussion about the role of the Building Advisory Committee (BAC). Some members viewed the
BAC as advisory rather than part of a decision-making body. Although members agreed that guidelines for the BAC needed revisions, the nature and extent were not resolved during the retreat. New guidelines were subsequently developed which resulted in a name change to "School-Based Council" to reflect the goals of site-based management. Some of the revised guidelines included:

**Membership:**

1. Members should be representative of the school's attendance area and of its ethnic population.

2. There should be a balance of representation from staff, parents, community, business alliance, and students (at the secondary level).

3. Members should serve staggered two- or three-year terms and should not serve two consecutive terms.

4. Staff, parent, and student groups should select their representative members. The building principal should consult with these groups in the selection process to encourage membership that will be representative of the school population.

5. Membership lists will be sent to the executive directors of elementary and early childhood programs, and middle and high school programs.

**Meetings:**

Meetings should be:

1. Regularly scheduled.

2. Publicly announced.

3. Open to all.

4. Scheduled by October 1.

**Governance:**

1. A member elected by the SBC will co-chair the SBC with the building principal.
2. A recorder should be appointed.

3. Minutes will be submitted to the executive directors of elementary and early childhood programs or middle and high school programs.

4. The SBC should always attempt to reach consensus.

5. The SBC should not organize or direct fund-raising activities.

Central office responsibilities:

The central office will:

1. Provide requested data and information.

2. Assist in the development of survey and/or assessment instruments.

3. Provide annual and continuing orientation to SBC members.

4. Compile building objectives and results.

5. Facilitate networking of buildings having similar objectives.

Communication:

1. Each SBC has the responsibility to formally communicate with its school community on a regular basis.

2. The co-chairs should set and make public the meeting agendas and the annual school improvement plan.

Functions:

Specific functions should include assisting the building to:

1. Study the data base and its implications for setting building directions.

2. Identify needs.

3. Interpret community expectations.

4. Develop a school improvement plan consisting of a building responsibility statement, objectives, priorities, and action plans.
5. Relate the school improvement plans to personnel and budget.

6. Monitor progress of the SBC activities and the school improvement plans.

The value of several members attending a site-based management symposium and making visits to one or more school districts was discussed and affirmed as beneficial. Lewis Rhodes from the American Association of School Administrators suggested that visitations should occur after participation in the strategic planning conference. It was also recommended that those members participating in the visits build high trust relationships with presenting districts at the conference so that the visits would move beyond the "show and tell" mode. The criteria for selecting a district for site visitation were discussed, and these included the identification of interest areas, comparable size, and similarities. Among the districts recommended were Hammond, Indiana; North Glen, Colorado; Tulsa, Oklahoma; and Cincinnati, Ohio. However, the visits did not occur as planned because the superintendent wanted the staff to work through the process without being influenced by other districts. He wanted the players to work it out themselves.

The final stage of the "plan to plan" phase of strategic planning included the distribution of the fourth position paper by Superintendent Wegenke entitled Relating Human Action to Strategic Planning: Focus on Roles and Responsibilities. He primarily focused attention on central office administrators by attempting to prepare them for their changing roles under site-based management. According to Wegenke, central office personnel would be responsible for supporting building level objectives
regarding student achievement as well as other areas of student growth and development. The purpose and format for the development of responsibility statements were included in the paper as an example of how they should be developed.

Phase II: The Implementation

The second phase of the disclosure of findings will include a discussion of the monitoring process, the central reorganization, initiatives addressed by the Strategic Planning Committee and Superintendent Wegenke, and district-wide goals established annually by the Board of Directors. It was decided that the Strategic Planning Cadre be expanded to include teacher representatives, the presidents of the employee group unions, and additional central office personnel. The committee increased to 24 members representing all stakeholder groups affecting educational service delivery.

A strategic planning accountability task force was organized to develop a calendar for tasks associated with accountability functions. This group served as a local adaptation to address the monitoring functions depicted in Cook's model. During one of the initial meetings, approximately two hours was spent discussing issues regarding the implementation of the calendar. One person, for example, wanted certain tasks to be extended longer into the year. The calendar was developed on the belief that planning should be done in conjunction with budgeting, testing, staff contract calendar, availability of staff, and community members. The task force discussed the focus of principal/staff
evaluation. Many persons believed that the evaluation should be based on the process (action plans) designed to achieve target objectives and not on the success or failure of attaining the desired results. One member observed that "If the action plan is faulty, you can’t meet the objectives." As a result, the principal's evaluation was not specifically tied to the outcome of the objectives established, but the process used to address the objectives and the progress made toward attainment.

**District/building goals and objectives**

The goals of 1988-89 consisted of three broad categories. Each category had a subset of objectives/strategies to accomplish broad goals, which included excellence in education, instruction, and curriculum; strategic fiscal planning; and community understanding and involvement. The superintendent was also directed through the 1988-89 goals to establish a process for writing objectives for the 1989-90 session of strategic planning.

The objectives developed by both the central office and the schools matched in varying degrees the goals/objectives established for the district. The schools were encouraged to use their school-based councils to assist in the development of the individual school improvement plans. There were, however, variations in the development of school plans. One school took a group of 15 experienced and respected teachers away from the building for three days to draft the plan, which was shared and discussed with the entire faculty. Another school involved their council more
through large and long meetings with parents and community representatives.

In 1988-89, the school board adopted approximately 20 goals/objectives (Appendix N). Table 2 identifies the number of objectives written to address those goals established by the district. Several departments and schools developed objectives to support the district goals. Table 2 indicates the number of objectives for each goal.

A review of Table 2 indicates that the following goals were not supported by documentation developed by individual department heads or schools: the role of religion, abolish smoking, use of audio-visuals to identify district needs, salary schedules, and televising board meeting. This does not mean that the goals were not achieved but that they were not identified as a written target by an individual. For example, the Board of Directors' meetings are televised, but the documentation of outcomes which resulted from district goals by the staff does not indicate that the objective was addressed.

Table 3 identifies the responses reported by the various schools relative to the outcomes of objectives for a three-year period. "Fully attained" indicates the completion of the objective as reported. "Partially attained" indicates that although progress was made, the intended outcome did not materialize. "Not attained" are those objectives listed for which the objective was not accomplished or the response did not relate to the results for the established objective. "In process" are multi-year objectives.
Table 2. Number of objectives to address district goals, 1988-89

<table>
<thead>
<tr>
<th>Descriptors</th>
<th>Central office</th>
<th>Elem. schools</th>
<th>Sec. schools</th>
<th>Total schools</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Des Moines plan</td>
<td>0</td>
<td>7</td>
<td>4</td>
<td>11</td>
<td>11</td>
</tr>
<tr>
<td>1.2 Teacher selection</td>
<td>10</td>
<td>33</td>
<td>0</td>
<td>41</td>
<td>51</td>
</tr>
<tr>
<td>1.3 Boundary changes</td>
<td>2</td>
<td>0</td>
<td>12</td>
<td>12</td>
<td>14</td>
</tr>
<tr>
<td>1.4 Reporting and testing</td>
<td>2</td>
<td>18</td>
<td>0</td>
<td>20</td>
<td>22</td>
</tr>
<tr>
<td>1.5 Written exp. via technology</td>
<td>0</td>
<td>8</td>
<td>0</td>
<td>8</td>
<td>8</td>
</tr>
<tr>
<td>1.6 Delivery systems</td>
<td>6</td>
<td>0</td>
<td>8</td>
<td>8</td>
<td>14</td>
</tr>
<tr>
<td>1.7 Thinking skills</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>1.8 Conflict resolution/global education</td>
<td>7</td>
<td>12</td>
<td>18</td>
<td>30</td>
<td>37</td>
</tr>
<tr>
<td>1.9 Role of religion</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>1.10 School/department objectives</td>
<td>52</td>
<td>66</td>
<td>6</td>
<td>72</td>
<td>124</td>
</tr>
<tr>
<td>1.11 Objective setting process</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>2.1 Schoolhouse levy</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>2.2 Space needs</td>
<td>4</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>4</td>
</tr>
<tr>
<td>2.3 Use of technology</td>
<td>11</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>11</td>
</tr>
<tr>
<td>2.4 Abolish smoking</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>2.5 Salary schedules</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>3.1 Parent awareness/involvement</td>
<td>10</td>
<td>23</td>
<td>3</td>
<td>26</td>
<td>36</td>
</tr>
<tr>
<td>3.2 Survey graduates</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>3.3 Video district needs</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>3.4 Inter-district activities</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>3.5 Media-board meetings</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Objectives written by central office staff members were reported in a different format than that used by the schools. In addition, some of the objectives were not explicitly related to one of the district goals. For example, it was a common practice to use suspensions as one method of conflict resolution. It was thus necessary to study rates of suspensions.
Table 3. Number of objectives attained, partially attained, or not attained

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Fully attained</td>
<td>46</td>
<td>123</td>
<td>169</td>
<td>31</td>
<td>52</td>
<td>40</td>
<td>67</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Partially attained</td>
<td>5</td>
<td>12</td>
<td>17</td>
<td>9</td>
<td>13</td>
<td>12</td>
<td>14</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Not attained</td>
<td>3</td>
<td>17</td>
<td>20</td>
<td>17</td>
<td>52</td>
<td>5</td>
<td>11</td>
<td></td>
<td></td>
</tr>
<tr>
<td>In process</td>
<td>10</td>
<td>13</td>
<td>23</td>
<td>5</td>
<td>13</td>
<td>5</td>
<td>11</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dropped</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

After discovering that the reporting system for suspensions did not provide uniform data, one administrator established the following objective:

This administrator, with the assistance of two others, will conduct a K-12 study of the suspensions to implement the school district's policy during the 1988-89 school year as documented by the report on file in each department.

This objective related to the district's objective number 1.8, "Complete the integration and cross references and global education within the Des Moines Public Schools Learning Chart." Although work towards the attainment of the objective did not explicitly result in the revision or expansion of the learning chart, knowing the suspension rate gave decision makers pertinent information that could impact what goes on in the learning chart in the area of conflict resolution. The learning chart identified specific skills for student mastery in various subject areas.

While the schools developed improvement plans for the 1989-90 school session, each central office division/department head, supervisor, or coordinator developed a similar document referred to as a responsibility
statement, which included organizational tasks and relationships, human resources, and the development of job specific weighted objectives. An example of the responsibility statement for the superintendent is included in Appendix 0.

Stated outcomes for central office personnel were used to form responses to the district objectives. In addition, many objectives shifted from the overall district emphasis to specific role functions. For example, the objectives written in priority form were contained in a responsibility statement for each supervisor or director. The statement contained the weighted time factor to represent the amount of time the individual would devote to that objective. Table 4 represents the number of objectives developed in that format for the years 1989-90 and 1990-91.

Three goals for the 1989-90 session were a revision of the previous year's goal statements. They included: 1) Improve the quality of educational programs in each building; 2) plan and allocate resources to district programs and evaluate outcomes; and 3) communicate by involving the community in building and district programs. It was significant to

Table 4. Number of objectives in relation to time/priority

<table>
<thead>
<tr>
<th>Percent of time by employee</th>
<th>1989-90</th>
<th>1990-91</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Number of employees</td>
<td>Number of objectives</td>
</tr>
<tr>
<td>50% or better</td>
<td>28</td>
<td>28</td>
</tr>
<tr>
<td>25% to 49%</td>
<td>22</td>
<td>35</td>
</tr>
<tr>
<td>Less than 25%</td>
<td>41</td>
<td>124</td>
</tr>
</tbody>
</table>
note that the 1989-90 goals were derived from either school building objectives or district-wide management/operational concerns. Several of the goals generated from school building objectives included the improvement of general levels of student achievement in the schools, the improvement of student attitudes toward school and learning, and the improvement of student behavior.

In addition to the goals derived from the individual schools, 13 additional goals were established to address district needs by various central office areas for the 1989-90 school year. Some of those areas included:

1. The development of conflict management and health practices curricula for students.
2. Extend the use of technology throughout the district.
3. Study and recommend changes in the district's testing program.
4. Modify the administrative classification and compensation structure.
5. Study and recommend an enhanced administrative professional growth structure.
6. Improve services for at-risk students.
7. Determine the organizational structure for middle and high schools including the length of the school day and alternating classes.
8. Gain public approval and plan the implementation of a ten-year levy.
9. Realign elementary and middle school boundaries.
10. Continue legislation and intergovernmental activities through the Urban Education Network.

The district goals for the 1990-91 school year represented in some cases a modification in semantics from the previous year's statements. For example, in 1989-90 the goal was to develop a conflict management curriculum; in 1990-91 the word "develop" was changed to "expand." Two additional goals were added to the 1990-91 goals. They included partnership with higher education and expansion of early childhood education programs.

The District Improvement Plan for the 1991-92 school session had a different format from that for the previous years. The three broad categories were expanded to eight. Several of the goals were related and identified with the six national goals of education (Appendix P). The names of the persons responsible for the implementation and monitoring of the goal were also listed in parentheses.

Phase III: Outcomes/New Initiatives

What were the results of planning established by the planning participants? Results of the goals from individual schools and the district were organized and published in a Strategic Planning Report. This study reports the results of goals established for the 1989, 1990, and 1991 school years using the latest format developed for 1991. Goals were identified through the use of broad categories in which specific goals were listed. During the 1990-91 session, there were eight goal categories developed for the district. They included:
1. Focus on teaching and learning processes and outcomes.
2. Assessment of curriculum and instruction via program evaluation.
3. Improvement of human resources through staff development.
4. Leadership and management through strategic planning.
5. Effective, efficient, and equal distribution of resources.
6. Maintaining and upgrading facilities.
7. Initiatives and planned change with stakeholder involvement.
8. Public and staff awareness and support of programs.

Category I. The district focus is on teaching and learning processes and outcomes

Several initiatives have been completed or are currently in process to address this focus. Among them include areas of student achievement, health programs, instructional delivery systems, and vocational education.

Many of the building objectives for senior high school emphasized the development of strategies to improve instructional delivery systems, particularly in the areas of mathematics, science, English, and social studies. Many of the middle school objectives emphasized the need to increase student performance in basic skills, particularly mathematics. Most of the objectives to improve student achievement in the elementary schools focused on specific grades to correlate with the district-wide testing program. The district tested second and fourth grades using the Iowa Tests of Basic Skills in 1989-90. (As of Fall 1991, grades 3, 4, 6, and 7 are tested using the ITBS.) Several of the elementary schools developed objectives that were grade specific. For example, fifteen of the elementary schools wrote specific objectives emphasizing fourth grade
only; five addressed second grade; and four focused on both second and fourth grades. Fifteen of the elementary schools addressed instruction in all of the grades.

In order to improve student attitudes toward school and learning, many of the middle and high schools developed strategies to increase student participation in co-curricular activities or to establish programs/incentives to increase student attendance. Several of the secondary schools had specific objectives ranging from the reduction of hallway incidents to the implementation of programs to increase self-esteem.

The most prevalent objective to improve student attitudes toward school chosen by the elementary schools included the implementation of programs to reduce the number of referrals or placements in various forms of detention or suspension. Several schools planned for the use of incentives to increase the number of students completing homework assignments.

The time for staff to work on both the school initiatives and the daily operations continue to be of concern to both practitioners and researchers. (One administrator during an interview applauded the amount of time during the regular work hours that principals work on school initiatives. Principals are expected to balance their time between daily or unexpected issues and school improvement. As stated by one administrator, "Principals must focus on teaching and learning, yet they don't let the irate parent go on for days without working with them."
The K-12 Instructional Day Design Committee met to examine the structure of middle and high school programs and to deal with the need to restructure and offer more courses and program opportunities for high school students, particularly since the contract physical education service, which is an independent study in physical education, would be discontinued. The committee reached consensus after nearly two years of meetings to implement an eight-period day through a phase in process using seven periods. The committee discussed student outcomes, costs associated with the change, allocation of time, and alternating classes.

Category II. The district assessment of curriculum and instruction through program evaluation

There were several outcomes related to the assessment of curriculum and instruction through program evaluation. Changes in the district's testing program, the implementation of a school climate survey, and program evaluation for all curriculum areas are a few of the initiatives addressed by the administration.

One of these was the district testing program. The need to monitor student achievement raised interest and some concern with the district's testing program. A 21-member committee of parents, business representatives, teachers, principals, curriculum supervisors, and directors met on a monthly basis to evaluate the current testing program which included the performance-based assessment of student compositions. Modifications of the testing program enabled assessment activities to become more instructionally useful. Other issues addressed by the committee included staff inservice, reporting of results, accountability,
"authentic assessment," integration of technology, and assessment. In an effort to make testing information useful, test results were disaggregated according to race, gender, and socio-economic status. Other information regarding suspension and transfer data and the senior exit survey were subsequently included.

A School Climate Survey, based on effective schools correlates, was administered to secondary students, staff, and parents attending conferences in the spring of 1991. The results were returned to the schools. Several changes in the instrument have occurred. The number of items on the staff survey has been reduced from 57 to 29, and the parent and student surveys have one item for measuring each effective school correlate. District officials have planned to administer the climate survey to teachers, parents, and students every other year.

A second initiative was the implementation of program evaluation. In the fall of 1989, Dr. Wegenke developed and distributed the fifth position paper, Relating Human Action to Strategic Planning: Focus on Program Evaluation, which focused on program evaluation of the district's curriculum areas and support services. He noted that in order to successfully monitor the effectiveness, equity, and efficiency of programs, an evaluation model needed to be in place. The district adopted a program evaluation model developed by Dr. Daniel Stufflebeam of Western Michigan State University. The model's acronym is CIPP, which represents the four areas of evaluation: context evaluation, input evaluation, process evaluation, and product evaluation. The program evaluation model (Appendix Q) identifies specific information about each component.
The district adopted the following definition of program evaluation:

Program evaluation is the process (developmental and continuous) of delineating (focusing), obtaining (gathering), and providing (communicating) useful information for judging (determining the worth of) decision alternatives (options).

The Department of Information Management developed prototypes of the planning evaluation reports for both academic and service areas. (Optional items were suggested through a listing of items for context, input, process, and product sections to standardize reporting.)

Twenty-six program evaluations have been conducted at this time and presented to the board. Each department participates in a six-step process which concludes with a board work session. Fifteen additional programs will be completed by March 1993 to end the first cycle of the program evaluations. The information is authored by the department head or supervisor of the program, which is critiqued by several departments.

Approximately three months before the board's presentation, the supervisor should contact the media and graphic arts department for the purpose of discussing needs in this area. Five weeks before the presentation, a draft report will be reviewed by a representative of the Department of Information Management who will edit the report to assure clarity and adherence to the model. Approximately four weeks prior to the due date, the Division Cabinet will review the report and may suggest changes. The revised report should be distributed to the Administrative Council. Two weeks before the board presentation, an information item number should be received and used as a reference in future discussions. The text for the board agenda included a statement of the issue, background information, and the superintendent's recommendation. An example of the abstract from
the Staff Development Department program evaluation is included in Appendix V.

The process of program evaluations changed during the implementation phase which altered the role of the Department of Information Management from co-developer to that of supporter by reviewing data and helping staff prepare board presentations. Part of the reason for the change was described by one administrator as "simply due to staff and budgetary constraints. The Information Management staff wasn't able to cover a great deal of the district...." Another staff member perceived the program evaluations as "helping the district do a much better job of evaluating outcomes through the evaluation reports, which are very time consuming, but they have been very, very good for us internally."

A third initiative was to improve vocational services. The Board of Directors requested an evaluation of the vocational services conducted primarily at the Central Campus. The Central Campus is the center which operates many of the vocational programs including business courses to prepare students for careers and high technology courses which were not feasible to conduct in all senior high schools. In addition to vocational offerings, the central office operates a central academy for Des Moines' academically gifted students as an extension of the programs, facilities, and staff of all Des Moines schools. The curriculum offers acceleration and enrichment beyond the traditional high school program and prepares students to take advanced placement courses as early as the ninth grade. In response to the evaluation, several subcommittees were formed in specific areas. A major change in the schedule allowed students to attend
for two or three periods. Some students were also attending the Des Moines Area Community College or other post secondary enrollment options.

Category III. The district continues to improve human resources through staff development.

Staff development services were provided throughout the strategic planning process. The department established a coordinating council to monitor specific activities such as consultant fees, the use of facilities, etc.

One goal was to provide technology for instruction and management. The district is piloting the National Computer System's IMS Plus, a software package to function as an instructional management system database. The program supports the reading and mathematics basal series. The business departments in the high schools use the computer labs to teach computer literacy and word processing. English instructors and Chapter I teachers, referred to locally as Des Moines Plan teachers, use the labs with appropriate software to teach written expression. Eight additional objectives were added to the English-Language Arts K-12 curriculum to address the use of computers in written composition. The Staff Development Department offers a total of 22 courses/training services in the area of computer technology. Some of the classes include introduction to Macintosh, beginning word processing, use of spreadsheets, and film maker programs. Records indicate that within two and one-half years, these sessions had a cumulative enrollment of 1507 participants including clerical staff, administrators, teachers, and support personnel.
A draft copy of the district's technology plan has been distributed and discussed among the stakeholders including board members. Each secondary school has developed a technology plan which is being reviewed by the technology committee. The district also piloted the use of a two-way video system which allowed the students and teachers to see and talk to each other. Students at one high school studied Japanese, Latin, and French with teachers and students located in a neighboring school district. The Nova Net Program, designed to assist those students enrolled in ESL classes, has been established along with other programs through external funding sources.

The Staff Development Department conducted several on-going training sessions to support district initiatives. Training in the school-based management process for the district included:

1. A three-day workshop on tools for leadership for administrators.
2. Scheduling and conducting inservice training sessions for school-based councils, which included information on team building, consensus building, change process, visioning, and the School-Based Council (SBC) guidelines.
3. A stakeholders forum, which included all SBCs. Participants listened to resource speakers in a large group and then divided into individual council groups where they practiced some of their functions such as the review of district and building mission statements, objectives and action plans from the previous or current years, examined data bases, and assessed needs for the
future. The department also provided follow-up sessions for those councils requesting the service.

Category IV. The district encourages leadership and management development through strategic planning.

This goal continued the emphasis on strategic planning. During the initial year of strategic planning, the Strategic Planning Task Force on Accountability established a building objective setting process which coincided with the budgeting cycle and the distribution of school data bases. Building objectives provided input for development of the District Improvement Plan.

In September 1990, Dr. Wegenke presented the seventh of the strategic planning position papers, Focus on School-Based Management Through Shared Decision Making. He identified school-based management (SBM) as one method or tool designed to improve a school district's effectiveness by increasing the authority and responsibility of individuals at the school site. The adopted definition of school-based management was "a process and a discipline for empowering school-site stakeholders to participate in school improvement planning and implementation activities." The reason given for the movement toward school-based management included the relationship of SBM to school improvement research and development, and the belief that it enhanced educational accountability and provided stakeholders with a feeling of ownership and autonomy. An example of how the Human Action Model was linked to the decentralization process is given in the following excerpt:
In the case of school-based management, power and authority in agreed upon form is decentralized to stakeholders at the school site. Power, when delegated through predetermined agreements (e.g., policies and procedures), signifies that collaboration is encouraged in the district's decision making, and can responsibly review and address structures (e.g., policies, procedures, and practices) in light of their effectiveness in meeting the vast and unique needs of all students. As structures are reviewed and addressed through collaborative authority of school-based stakeholders, the direction must always be toward educational improvement for all students attending the school. (Wegenke, 1990)

In August 1991, the Des Moines Board of Directors officially endorsed School-Based Management Through Shared Decision Making with a policy statement. The revised policy is included in Appendix R.

In March 1991, the Strategic Planning Committee authorized the establishment of a School-Based Management Coordinating Council to deal with specific issues regarding the process. A 32-member developmental team was the subsequent outcome of a Phase III project which considered the inclusion of site-based management. Phase III is the state-operated staff development pay-for-performance programs. The team was created to refine the terms of school-based management, and develop guidelines and training for shared decision making. The team has recommended the following guidelines for school-based management through shared decision making (SBM/SDM):

1. SBM/SDM is a process for school improvement that is consistent with the district's mission and focus on the instructional program.

2. The basic philosophy and principles of SBM/SDM will be consistent and will permeate the district.
3. The school-based management body shall be aware that actions taken should be consistent with school board policies, procedures, school standards, and/or comprehensive agreements.

4. The structure and process of shared decision making may differ from school to school.

5. The school-based management council is not the only vehicle of SBM/SDM.

6. Comprehensive joint training of all stakeholders is imperative to establish a common knowledge base, common vision, and the skills needed to make SBM/SDM successful.

7. The participation of non-administrative persons in decision-making bodies should be voluntary. The members of SBM bodies should communicate the views of their constituent groups.

8. Time is a critical factor in the successful implementation of shared decision making. Provisions must be made to provide adequate time for school stakeholders to develop and implement school improvement plans.

9. Stakeholders are accountable for their school improvement activities.

10. Phase III will support the SBM/SDM demonstration project in schools.

To provide direction and focus for the project, a task force created the framework for effective schools based on research, theory, and expert opinion. The document is intended to serve as the district's identification of the characteristics of an effective school. The team
constructed the following statement of their vision of SBM/SDM for schools implementing the process:

School-Based Management Through Shared Decision Making reflects a shared mission for school improvement. This is achieved through a collaborative process supported by open and honest communication. Decisions are made in a climate of trust and mutual respect. Members of this student centered community hold high expectations that all students will learn. Stakeholders participate in and are held accountable for the planning, implementation, and evaluation of programs that support effective, equitable, and efficient education for all students. (Phase III Developmental Team, SBM/SDM)

In an effort to have a common understanding of terms associated with SBM/SDM, the following definitions were recommended by the committee:

- Joint/shared - Participation by all interested groups.
- Planning - Proactive and/or problem solving.
- Problem solving - Resolving problems that are important; meeting immediate and unique needs.
- Process - On-going, open ended; not a one-time project.
- Improve - Raise to a better quality or condition.
- Effectiveness - Producing a definite or desired result.

The Staff Development Department planned and conducted a 30-hour retreat for the principal and two staff members from each of the five demonstration schools. The content and time approximation include:

- Getting Started and Characteristics of Effective Groups/Facilitating: 3.0 hours
- Framework for Effective Schools: 3.0 hours
- Creating a Shared Vision of a School of Greatness for the Future: 3.0 hours
- Critical Attributes of Change: 3.5 hours
- Channeling Resistance to Change: 5.5 hours
- School Improvement Plan: 4.0 hours
- Planning for Change: 2.0 hours
- Facilitating for Change: 2.0 hours
- Celebrating Past and Future Success: 1.0 hour

Each of the participants was requested to complete an evaluation of the retreat each day through a feedback survey. When asked to describe their
feelings regarding the day's activities, some of the participants gave the following responses:

- "I feel lucky to be part of this. I feel like I have been empowered to make a difference."

- "I feel very good about all the training--but scared, concerned, and anxious to take the giant step to train my improvement team."

- "Tired, but have a sense of accomplishment. I feel good about what we learned, but I am concerned about what we must do. You did so well; I hope we can do as well with our building program."

When asked to describe any insights, skills, or information which increased meaning, participants answered:

- "The importance of process and time for group members to work an idea through."

- "The various ways groups analyzed the data. I needed to work with teachers outside my building to see how they responded to new information such as data bases."

- "How true that knowledge is power. When only a few people have certain knowledge (e.g., demographic data, test scores, etc.), layers are created among members which true communication does not take place. Everyone needs to see the big picture."

Participants were also asked to reflect on the day and consider which activity was most useful and why. They responded thus:

- "Working from the data base with the correlates and the mission statement to develop the goals and objectives. Starting to get a fix on how student services can integrate with us."

- "Process of change. Working with our group."

- "Even though I grumbled and groaned--thought maybe we should be working with our own data base--you were right. Found the activity of working on Mock Middle School Improvement Plan helpful."
Finally, participants were asked to reflect on the day and consider which activity was least useful and why. They answered:

- "Development of the school improvement plan. I was the only teacher and the other people were speaking on a different level.... Two people monopolized the process; no matter how hard I tried, I couldn't break through...."

- "Nothing came to mind."

- "Feedback reports least important."

An administrative steering committee was formed to discuss the professional growth opportunities for administrators in an effort to enhance leadership skills and provide experiences similar to those that teachers receive under the Phase III program. The committee in February 1991 planned a leadership development program for practicing and aspiring administrators. The first draft of a mission, goals, rationale and beliefs, and a model of a professional growth program was developed. The four components of the leadership development plan included recruitment, evaluation, aspiring administrators, and leadership training. The district responded to the needs of administrators by contracting the consultants from Lee Anderson Associates of Minneapolis, Minnesota to review the current salary schedule, job classifications for compensation, job titles, and internal/external comparisons of salaries for approximately 155 administrative positions. The report provided the basis for an administrative proposal for board approval.

One member of the Strategic Planning Committee requested a summary of all existing programs that were being addressed by the committee. At the time of the request, there were 18 different issues at varying stages of development. Included among them were:
1. Administrative leadership development
2. Budget decentralization
3. Budget data bases
4. Business education alliance committees
5. Calendar for strategic planning activities
6. Communicating emergency notices
7. Framework for effective schools
8. Goals and objectives
9. Health care management
10. Historical timelines
11. Program evaluations
12. Restructured school calendar
13. School-based councils
14. School-based management through shared decision making
15. School climate survey
16. Staff development coordination, substitute monitoring
17. Stakeholders annual meeting
18. Summer use of school facilities.

Many of these programs had planning sub-committees to identify specific concerns and areas for problem solving and collaboration. For example, a committee of stakeholder representatives was established to address the issue of health care and insurance. The committee met regularly until a contract was awarded to the Health Policy Corporation of Iowa to complete a health benefit analysis and several other related services such as absenteeism analysis, dental programs, etc.
Category V. The district distributes resources effectively, efficiently, and equitably

In June 1989, during a retreat on site-based management, drafts of the principal's role in school-based budgeting and personnel issues were presented and discussed by participants. The committee believes it is possible to decentralize budgeting when principals and their staffs and communities have the necessary expertise to match student needs with available resources. The position draft discussed elements of the budgeting system and focused on the limited nature of the district's budget. One administrator predicted that approximately 60 percent of the district's operating budget could be managed by schools if they controlled personnel funds which include fringe benefits and supplies. Dr. Wegenke believes that a school should have more control and, for example, should be able to opt to replace a teacher with an associate if that would help the school achieve its objectives. Some district administrators believe that many of the personnel staffing activities could be performed by either central office or school-site personnel. The central office must, however, remain knowledgeable of both district and building needs. Principals must coordinate the contributions of various stakeholders, synthesize programs and personnel needs, and establish accountability for site-based staffing patterns that best meet educational needs within allocated site resources.

During a meeting with school principals in the fall of 1989, a discussion of how school-based management functions impacted the budget took place. For example, when asked what decisions should be made at the building level, principals cited personnel selection; use of consultants;
use of substitute days; staff development funds; budgets for maintenance, repairs, and capital outlay; conference scheduling; pay for noon associates; etc. Principals also indicated those functions which were best suited for the district administration. Among them were included curriculum objectives, scope and sequencing, testing, general policies regarding discipline and attendance, textbooks, plant maintenance, school calendar, subsidizing buildings in less affluent areas where fee collections were difficult, and general transportation. The supervisors agreed with many of the items noted by the principals. They added that central office could assist buildings with material selection to supplement textbooks, compliance with state requirements, instructional support services, and equity issues.

Category VI. The district supports a positive school environment by maintaining and upgrading facilities

In 1989, a long-range plan to maintain and upgrade the district's facilities was developed by a committee of administrators and presented to the public. In September 1990, a 55 million dollar facilities program was approved by the voters. Contracts were awarded for completion of the work proposed in a prioritized list of projects. An instructional support levy was also approved at ten million dollars a year for ten years.

One administrator cited the results of a national poll which indicated that students wanted more attention given to the learning environment. This poll supported the need for the district's attention to buildings. A case study was conducted in December 1991 by an architecture firm to transform a current building into a model school. The study
provided information on the various systems of the building such as the masonry, walls, roof, windows, finishes, doors and hardware, counters/cabinets/storage, lighting, electrical distribution, telephone/intercom, fire alarm/detection, computer network, clock and program, and television.

Input was received from the principal, head custodian, central office representatives, and staff from the firm. There were many discussions concerning the project. For instance, the head custodian preferred the existing floor tile because the change to carpet would require more workers. The principal, on the other hand, preferred carpet because of the "quiet effect" and the fact that students could use the floor for sitting. She also preferred to have the entrance with some type of flower or rock garden. She, however, expressed concern that team teaching could not take place. The principal expressed concerns on approximately 30 issues. The total cost per square foot for the transformation of the building was $26.63. This figure included both the building improvements and furnishings. The study gave the administration some idea of what it would cost per building to make overall changes.

Category VII. District encourages initiatives and planned change through the involvement of stakeholders

In the area of conflict resolution, a committee was formed during the 1988-89 school year to address the district goal to complete the integration of cross referencing of conflict resolution and global education. The Board of Directors was also concerned about the number of student suspensions and expulsions, and expressed a desire to provide a
curriculum alternative to the recently abandoned junior ROTC program. The committee completed a comprehensive review of recognized conflict resolution programs for K-12, and selected the following as their recommendation for approval and implementation: Peaceworks by Grace Catrino Foundation K-8, Conflict Management Curriculum by Community Boards K-12, and Creative Conflict by Johnson and Johnson. Nine elementary schools are using the work by Community Boards to address conflicts in the halls, lunchrooms, and with the guidance programs. In addition to the use of the Community Board's program, several of the middle schools also use conflict management curriculum. Three of the high schools have piloted the program in several classrooms and trained students as conflict managers, who are considered peer helpers in resolving student conflicts. To ensure the success of these programs, the committee established six recommendations which included a parent component, staff development, use with suspended students, appropriate financing, and program evaluation. Several of the specific learnings in the conflict management curriculum have been included in the Des Moines Public Schools Learning Chart.

In the area of health education, the board and administration were concerned that many of the high school students did not receive instruction in important health topics although health education was provided through the collaborative efforts of health services, home economics, and health and physical education departments. A committee comprised of teachers from each of the high schools and supervisors from the above departments met and developed a health curriculum which included topics such as exercise, nutrition, disease prevention, sexually
transmitted diseases, HIV/AIDS, personal hygiene, human sexuality, decision making, and substance abuse. Additional outcomes included the distribution of a billfold size emergency health card to each middle and senior high school student, a middle school revaccination clinic, a "cocaine baby" task force to evaluate district needs, Project DARE (substance abuse) in two elementary schools, a speakers bureau by the county medical society, and staff development courses through the Phase III program.

There was also the need to improve services to "at-risk" students. Services to at-risk students in the Des Moines schools have been in existence prior to 1972 and are provided through several programs including the Des Moines Plan, In-School Suspension Program, Schools Within a School, New Horizons Program, and the Alternative High Schools. Representatives of these groups met regularly to review the programs and make recommendations to better meet the increasing number and needs of students and their families. Members participated in a one-and-a-half day retreat to perform strategic planning activities specifically for at-risk students in the district. From that retreat evolved the definition of an at-risk student of the Des Moines Public Schools:

Children and youth at risk are those whose success in school requires adoption and modification of educational programs to provide the foundation for personally rewarding lives and to become self-sufficient, contributing, and productive citizens.

A Youth At-Risk Task Force (later changed to Youth At-Risk Coalition) was involved in approximately 30 initiatives such as securing funds for in-school suspension programs and several supplemental programs such as Project SUCCESS, which is a school-based youth services program for
students and their families with participation from several human service agencies.

Category VIII. The district strengthens public and staff awareness and support of district programs

Parental and community representatives were very active in several program initiatives and services. In June 1988, the Human Growth and Development Steering Committee was established to meet Iowa State Department of Education standards and Senate File 2094, which require school districts in Iowa to focus on the area. The committee has evaluated the Human Growth and Development Curriculum and has submitted a letter of support for a required health education course to the State Department of Education. Stakeholders also served on the mandated School Board Advisory Committee, which reviewed the Des Moines Public Schools educational philosophy, mission statement, and district goals. They received an explanation of data bases and examined approved curriculum and textbooks for the 1989-90 school year. The committee discussed its function and future and submitted a report to the State Department of Education. Several parents were selected by the school board to participate on the Student Responsibility and Discipline Committee. The committee discussed issues of attendance, discipline, weapons, eligibility policies, and due process. Several recommendations have become policy and were disseminated via student handbooks, teacher policies and procedures book, and daily announcements by the administration on the school's intercom system.
The Business Education Alliance was an outgrowth of a study by business leaders to determine the employment needs of the city and the school's role in providing these needs. Eight sub-groups functioned under the coordination of two staff persons. They included groups dealing with curriculum, competence, public relations, collaboration, professionalism, restructuring, governmental/finance relations, and choice. Reports with recommendations were developed and processed through the Strategic Planning Council and the executive directors of elementary and secondary programs.

The Des Moines school administration and the Board of Directors continued to recognize the need to participate in state and local legislative bodies by conducting meetings with Polk County delegations, city council, and congressional representatives. Several members from the school district have what is known as "hill duty," which is a slang term to represent lobbying efforts on behalf of the school district. Lobbying efforts were frequently coordinated through the Urban Education Network, a group representing the eight largest school districts in Iowa. They have established legislative priorities and lobbied for their passage. The superintendents and 56 board members met at least four times annually to deal with mutual priorities and concerns. The school district also has several publications issued by the Department of Public and Governmental Relations. The department produced an individualized information approach by producing publications for specific audiences. Examples are Chalk Talk, a monthly publication for parents; Bulletin, produced in alternate weeks for current and retired staff; Partners, which is published
quarterly and distributed to the Partnership Steering Committees and the CEOs of the Business Partnership Program; and The Insider, a tabloid published three times a year to highlight staff achievements.

Central reorganization

Dr. Wegenke developed the sixth position paper, *Relating Human Action to Strategic Planning: Focus on Central Office Reorganization*. The superintendent presented a plan for central office reorganization within the context of strategic planning activities. For example, the reorganization supported the district's mission to "provide a quality educational program to a diverse community of students where all are expected to learn." Thus, the organization created a pattern with a focus on teaching and learning. This focus encouraged quality teaching programs with staff responsibilities for program development in curriculum, instruction, and learning to reflect staff responsibility for student performance and outcomes. This point was emphasized by the superintendent who said, "We firmly believe that no teaching takes place until the learner learns. No matter how hard you work as a teacher, it has nothing to do with it in terms of outcomes unless a student learns." Serving a diverse community of students was reflected through staff role models with vertical and horizontal organizational alignments designed to be responsive to teaching and learning issues.

The central reorganization plan also embraced a commitment to effective district-wide management. The management operations consisted of those functions which were key to the operations of the system. For
example, personnel must be paid, buildings must be cleaned, budgets developed, employees evaluated, etc. These functions were considered vital supports to the teaching and learning act as depicted on the Table of Organization, which indicated a working relationship between teaching and learning and management services.

The district's management, as addressed in the reorganization plan, considered effectiveness, equity, and efficiency issues through the linkage of the strategic plan with a defined mission, staff roles, and responsibilities, many of which were currently being assessed to avoid overlap and fragmentation in the delivery of support services and programs. (The Table of Organization showed that both the teaching/learning and management services were interwoven through an executive function performed by the Administrative Council, which included the finance, legal, governmental, and public relation activities. The board reviewed, accepted, and staffed the reorganization plan according to an established timeline. A graphic display of the structure is identified in Appendix M.

There were many values held by various employee groups which permeated the planning process. One of the more prominent features was the degree of respect and professionalism among the employees. During the interviews for this study, most respondents took extra care to make certain that a negative image was not given, not because of fear, but rather that positive relations are real and exist. In response to a question regarding acceptance of roles, one respondent said, "There are a few instances where there is a little bit of unwillingness, not much, to
accept responsibility for items which have been transferred as a result of school-based management. I haven't heard of much negatives at all. I have heard some positives though. For example, with school-based councils, parents feel like they are more involved." The professionalism among staff was echoed by the superintendent who feels "the collaborative process that we have gone through to bring about school improvement is the most significant aspect of strategic planning." In meetings it was rare to find an item voted upon. Participants tended to use discussions and clarifications to make points and counterpoints until an acceptable level of acceptance was achieved.

Acceptance of change did not occur quickly. In a discussion of site-based management, one staff member recalled:

There was a great deal of trepidation among teachers wanting to be more a part of decision making and wondering if parents had the capabilities of making decisions. Through working together we are able to break down barriers or preconceived ideas about parents not knowing enough and parents feeling like teachers are just in it to line their pockets. We are now saying we can work together, listen to one another, barriers become human barriers rather than preconceived social or status barriers. We are getting there, it's going to take some time.

A similar response was given by a principal who said, "Principals rarely get together and moan about issues without expressing them to significant others. We are more apt to spend time looking for solutions than complaining about the problems." Another respondent said, "We have gotten over our defensiveness quite a lot, to the point where the initial focus of trying to pick me and the staff apart has changed to becoming a team."

The employees exhibited a high regard for current research. The superintendent developed seven position papers on strategic planning. One
department head ordered a dozen books on topics related to strategic planning, site-based management, and restructuring. During conversations, administrators frequently quoted authors of books/articles read. Administrators also frequently shared articles with each other regarding a pertinent topic. For example, one administrator shared an article on external and internal scanning with the following quote:

I invite you to read the attached article.... You will note the author writes there are four major sources of internal scanning: student, school climate, finance, and human resource related information. The one that is missing is the school climate data. I recommend we discuss requiring all schools to conduct an annual school climate study to be included in the building data base as one more important variable.

It is evident that administrators and staff increased their knowledge of the strategic planning process not only as a direct result of professional readings and interactions, but also through incidental learnings and focus such as the inclusion of the district's mission on all major documents relating to planning as well as the program evaluation logo on all evaluation reports. In spite of several attempts to show the relationship between the Terry Model and strategic planning, some administrators and staff had not achieved a clear understanding of the relationship, perhaps due to the abstractness of concepts related to the model. There was some confusion about the role of program evaluation and planning. With experience, time, and informal discussions, however, many central office staff were able to understand that program evaluations were used for both scanning and evaluating outcomes.
Patience was modeled by many administrators, in particular, the superintendent who has implemented a program for transformation through collaboration rather than through an authoritarian approach.

There were two additional documents developed by the district which supported the concept that planning is a process and a discipline. The Historical Timeline for Implementing Strategic Planning (Appendix S) outlined all of the steps taken to incorporate planning from the initial step which introduced the Terry Model to the adoption of the District Improvement Plan for 1992-93. In December 1991, the district developed an instrument entitled Expectations Checklist for School-Based Management/Shared Decision Making (Appendix T) to provide information on a school's implementation of strategic planning. The instrument focused on collaboration, effective schooling, and current goals of the district. These were concepts consistently fostered through the strategic planning process.

Summary

This chapter included a brief summary of major events and activities related to the strategic planning process implemented by the school district. Information presented confirmed many of the ideas presented by researchers on strategic planning, such as the fact that strategic planning was a continuous process which involved a wide range of stakeholders who attended to a variety of issues.
CHAPTER V. SUMMARY, CONCLUSIONS, DISCUSSION, AND RECOMMENDATIONS

The purpose of this investigation was to examine the strategic planning process in a mid-sized urban school district. This chapter presents a summary of the study and a discussion of conclusions, limitations of the study, and recommendations for research and practitioners.

Summary

This study identified the roles of various constituent groups in the strategic planning process as well as some of the outcomes. The related literature review was conducted to ascertain information about the elements and process of strategic planning. Data were gathered through techniques related to naturalistic inquiry such as participant observation, document analysis, and interviews with the staff.

The following research questions formed the basis of this study:

1. What was the role of the superintendent in planning?

The superintendent provided leadership by sharing his knowledge of strategic planning through the distribution of a series of position papers and active participation in strategic planning meetings. He also attended many of the planning events conducted by the schools and departments. Much of what is currently happening in the district with respect to planning was discussed, at least in part, by the superintendent during the initial year of planning. He shared his vision for the district, which perhaps was not fully understood by most stakeholders at the onset of the planning process.
2. Who participated in the planning process?

Just about every employee group associated with the district was involved in some aspect of strategic planning. Board members developed policies and approved the district's mission. School-based personnel, both teachers and support staff, developed a mission, objectives, and strategies to implement those objectives. Central office supervisors and directors developed documents needed by the administration to determine the relationship of roles and responsibilities. Parents and business representatives were involved through participation on the School-Based Council, a group designed to assist the school in developing its improvement plan. Some groups were represented in larger numbers than others. For example, there were more central administrators on the district's planning team than principals or teachers. However, widespread staff involvement in planning occurred through an undetermined number of sub-committee groups.

3. What was the planning model or theoretical base of planning?

A combination of Cook's Strategic Planning Model and Terry's Human Action Model was used by the district as problem-solving tools. Cook's model was used to produce the tangible results such as the mission statement, planning committee, research activities, etc. The Human Action Model (Terry's Model) was used in this setting to address some of the more abstract, multifaceted qualities of human action such as energy, commitment, meaning, and power to accomplish the mission. The Human Action Model helped to provide directional flow of certain human action qualities; for example, the decisions to allocate resources or to
Implement an initiative flow from the mission rather than being dictated by the current resources and structure. The results of the Human Action Model were manifested through a reduction in attitudes such as, "We can't afford to do that in our district," or "That's not part of my job, I would be stepping on someone else's turf," etc.

4. How did morale and climate impact planning?

The culture or organizational norms for the Des Moines schools apparently had a positive impact on the planning process. For example, during the study there were many instances where employees exhibited effective group or work behaviors to support planning. The central planning team and other staff members were responsive to the research, asked for clarification when points were unclear, respected the opinion of others, and exhibited commitment through the use of collaboration, high energy levels, and outputs. There was less of an inclination to complain or focus on the negatives of a particular situation. Members of management and labor groups remained cordial and focused during strategic planning meetings even though the members were involved in contract negotiations.

5. What were the desired results of planning?

A major outcome of the strategic planning process was the implementation of site-based management in five schools as a demonstration project. Those schools underwent a rigorous selection process to participate in the pilot project. Although all schools function to a degree under site-based management, the pilot schools have additional
expectations and requirements. In addition to site-based management, the planning process resulted in a central reorganization, changes in the testing program, increased staff development activities, the development of a technology plan, the implementation of program evaluation, as well as a large number of objectives to address the annual district improvement plans.

6. Did site-based managers conduct a needs assessment or use data banks in connection with planning?

District and school-based needs were assessed through a variety of sources and methods. The development of the school's data base provided necessary information for schools to focus and develop their school improvement plans. Program evaluations were used by central office staff members to focus and determine how their department could support the schools' efforts. The Business Education Alliance, through one of the sub-committees, determined some of the community's needs and how the schools could assist in meeting those needs. All of these activities were considered to be the scanning element of strategic planning because the information generated was used to support the mission of the district.

7. Did employees increase their knowledge as a result of participating in the process?

It was evidenced that many employees increased their use of certain planning terminology. Many employees could describe a mission statement, even if they were unclear as to its intended function. Through the development of the school's data base and program evaluation reports, many
employees were able to associate data generated from trend analysis with strategic planning.

8. What was the role of staff development in the planning process?

Staff development activities to support strategic planning were provided for all levels of employees on a continuous basis. Sessions were held for various groups to address their specific roles. For example, special sessions were conducted for the assistant principals, central office consultants, and supervisors. The department also provided frequent follow-up sessions to provide coaching and support to employees.

Conclusions

The following conclusions are drawn from the findings contained in Chapter IV.

1. The superintendent's active role in strategic planning was essential for successful implementation.

2. Frequent staff development activities existed to support strategic planning from its inception.

3. Strategic planning as a decision-making tool operated as an ongoing process which required the involvement of a wide range of stakeholders.

4. William Cook's Model of Strategic Planning served as a useful tool in defining the steps of the planning process.

5. Robert Terry's Model of Human Action, although initially less understood by many stakeholders, was selected by the superintendent to support the strategic planning process. It
provided a framework to understand how human action operates in an organization.

6. The pace of strategic planning implementation should be appropriate for the employee groups to process activities and to collaborate with others to achieve the goals of planning.

7. The central planning team was carefully selected, small in number, and was able to meet at least weekly during the beginning phase of the planning process.

8. The Board of Directors gave the superintendent the authority to implement strategic planning and thus was involved in many of its activities.

9. The shift to site-based management emerged as a major outcome of the strategic planning.

10. Schools varied in the composition and functions of the school-based councils in relation to their planning roles.

11. Planning responsibilities varied among the administrators in the Des Moines public schools.

Limitations of the Study

There were several limitations experienced by the researcher after the investigation was initiated. Among them included:

1. The participant observation experiences were limited to the first and last years of the study.
2. The investigator did not attend, or was not aware of, many of the sub-committee meetings established to address specific components.

3. It was difficult to follow chronologically the process due to the multitude of meetings and special groups operating on different timelines.

4. Many of the specific activities associated with planning were not bound to a prescribed timeline for completion, which affected the ability to track certain outcomes.

5. The study did not address the quality of action plans or process of establishing them.

6. It was very difficult to get interviewees to talk about the culture or organizational norms that may be perceived as negative.

Discussion

This study affirmed that strategic planning could be used as a decision-making tool for the superintendent to establish direction and focus for the organization. A major direction of the Des Moines public schools was the shift to site-based management through shared decision making. Site-based management as described by Hill and Bonan (1991) is a form of decentralization which represents a shift in the locus of initiatives from individuals who have responsibility for the entire organization to individuals who have responsibility only for particular areas or functions. In addition to the shift in management, the
vernacular used by many employees suggested that they were moving in the same direction. For example, the term "education" was frequently replaced in conversations with "teaching and learning," a focus resulting from the strategic planning process. In addition, several of the established committees developed structures which were patterned after the strategic planning model. Many of the interim and final reports developed by committees included a specific mission, goals and objectives, and strategies used to accomplish the tasks. Frequently the district's mission was repeated on documents developed by employees. Recently the agenda items for the strategic planning central team have been structured to represent the national goals as well as the local goals and objectives.

Open communication is prized in the district as evidenced by the large number of reports and documents generated by employees or departments. The communication level reached a point where a discussion ensued regarding the length of written and oral presentations to the planning council. The recommendation to limit written reports to one page and oral presentations to three minutes may have a paradoxical effect on the communication process. Whereas the goals of the recommendations were perhaps to encourage conciseness, reduction of large paper consumption, and to conserve valuable management time, its extensive use could signal a message to presenters, who are usually staff, that paying attention to details is not encouraged by management. It should be considered that even some "dog and pony shows" are good ego boosters with a potential gain for the organization.
It should be noted that the current superintendent inherited a set of variables which apparently impacted the implementation of planning. For instance, many of the central office personnel and principals were already cognizant of research related to effective schools and effective teaching practices which have been tied to the district's mission. They were also accustomed to working on a large number of projects or attending to a wide range of issues simultaneously as suggested in the excerpt of Superintendent Anderson's State of the Schools Address in Chapter 1. Although the excerpt was a capitulation of some of the activities which occurred during an eight-year span, some staff members were quick to remind me during interviews that they were accustomed to working on a large number of projects at one time. It is perceived as a way of life in public educational administration.

A primary principle underlying strategic planning encouraged the analysis of data before making decisions about organizational missions and goals (McCune, 1986). A great deal of time and energy was used to conduct internal analysis for the school district. The data bases and program evaluation reports were considered part of the internal scanning process. Although the data bases and program evaluation reports were generated for specific schools and departments, there were district-wide special programs implemented to address some of the concerns raised after reviewing the documents and discussing the issues among the staff.

Annual goals and objectives for both the district and individual schools were developed and reviewed according to an established timeline. The responses to the objectives were reported annually in a Strategic
Planning Report. There was an inconsistency in the method of reporting the results or progress made toward objectives. Some schools reported results achieved toward specific objectives. Others reported results of activities without referencing the objective. Several of the goal statements or district objectives addressed multiple issues within the same statement. For example, goal 1.8 in 1988-89 encouraged the inclusion of concepts and skills associated with global education and conflict resolution on the Des Moines Schools Learning Chart. Several schools addressed the issues without the inclusion of the concepts on the learning chart as an outcome. It was difficult to discuss outcomes related to goal 1.8 because the two concepts were not related. It was suggested that they were combined to reflect the single outcome of placement on the learning chart. There were also several objectives written for a two-year period. These objectives usually related to the improvement of student scores on the Iowa Test of Basic Skills or the Iowa Test of Educational Development, which are not given each year.

The Strategic Planning Committee recently discussed the term "planned abandonment," a process used to terminate activities or issues addressed by the team. The process is to be part of the planning monitoring system (Cook's model) designed to help direct the energies, power, and resources (Terry's model).

Recommendations for Practitioners

Based on findings of the study, the following suggestions are offered for school districts in general:
1. Superintendents, along with their cabinet and/or central planning team, should research and select a model to guide the planning process which includes a focus on the human dimensions.

2. Superintendents should be actively involved with the planning process, and provide the leadership through participation in staff development and a series of written documents outlining the vision, concepts, and expectations.

3. A central planning team should establish deadlines which allow time for clients to accomplish tasks and simultaneously keep the process moving.

4. The superintendents in mid-sized school districts should consider the appointment of a strategic planning chairperson who is responsible for keeping the process moving.

5. Consultants should be used, particularly in the early stages, to assist school personnel in the development of the plan and in seeing the "big picture." Employees should be encouraged and trained to help others in the district to implement strategies and programs.

6. School districts should consider the development of a planning manual to assist personnel in the planning process.

Based on findings of the study, the following suggestions are offered for the Des Moines public schools:

1. A locally developed dictionary of terms associated with planning and its outcomes should be used by employees for clarification, communication, and reference.
2. There should be a clearly articulated accountability process established to determine the effectiveness of both the planning process and the outcomes which resulted from planning.

3. When there is more than one parent/community group operating within the same school, the roles and responsibilities of each should be identified and articulated throughout the school and with the appropriate central office department.

4. The administrator who directly supervises staff development should be actively involved in the central planning functions to ensure support and clarity in structuring the inservice sessions.

5. The date, time, and place of all committee meetings conducted as part of the strategic planning process should be posted in a conspicuous manner.

6. Consider developing a data base for the system to include the economic and political demands and/or climate. Contents of the data base may include informal data generated from parents, students, etc.

Recommendations for Research

Based on the findings of the research and the review of related literature, the following recommendations are identified as areas for future research:

1. Given the purpose of planning as the improvement of student performance, an examination of the possible relationship between planning processes and student outcomes should be conducted.
2. Since there are so many planning models with similar components, an examination of the extent to which different models are applied in various sized districts could prove useful in the selection of a model. Selection of a model provides structure to the planning process.

3. Strategic planning generally produces a wide range of data. It is recommended that researchers study particular aspects of the human elements of data-based decision making which could enhance the significance of documented outcomes. For example, when reviewing a document which has been produced as a result of strategic planning, it would be helpful to know who participated by role functions, why it was developed, and how it related to the planning process and/or outcomes.

4. The composition of the central planning team is considered by some researchers to be critical to the planning process. An examination of the match between the experiences, roles, and job responsibilities of central planning teams and the planning process and steps used could prove useful to superintendents.

5. Given the different elements of planning, an examination of how the elements are implemented in similar sized districts could prove helpful to those implementing strategic planning.

6. In order to gain a greater perspective of the process, the researcher using naturalistic inquiry ideally should be a member of the district being studied.
7. How did individual schools develop their specific mission statements?

8. Management must deal with a number of different issues simultaneously. If strategic planning is used as a decision-making tool, an examination of the number of issues attended to by management and the success rates of outcomes could prove useful to practitioners.

9. It is generally known that moving a process too fast produces confusion and misunderstanding. Is there an appropriate pace to plan and implement initiatives and does the pace impact outcomes?
BIBLIOGRAPHY


Wisenee, M. G. (1979). *Factors perceived to hinder or facilitate long range planning in professional education*. University of Minnesota, October. (ERIC Document Reproduction Service No. ED 181 829)


APPENDIX A.

SERVICES OF THE DES MOINES PUBLIC SCHOOLS
SERVICES OF THE DES MOINES PUBLIC SCHOOLS

Adult Driver Education
Alcohol and Drug Education/Prevention
ALPS (Alternative Program for Sophomores to Be)
Alternative High Schools
Americanization Program
Before/After School Child Care
Bilingual Education
Central Academy for 8th-12th grade gifted students
Central Campus: Specialized Academics and Career Education
Des Moines Plan for Student Success - Reading/Writing and Math
Community and Adult Education
Continuing Education Units (CEUs)
Early Childhood Special Education
English as a Second Language
Extended-Day Kindergarten
Foreign Exchange programs
Gifted and Talented
Head Start
Health Services
Hearing Impaired
Home Instruction Assistance Program
Guidance and Counseling
Magnet Schools:
  - Edmunds Academy of Fine Arts
  - King-Perkins Elementary School
  - Phillips Traditional
  - Jefferson Traditional
New Horizons
Occupational and Physical Therapy
Preschool
Psychological Services
School-Age Mother classes
School Within A School
Smouse & Van Meter schools for Severe/Profound Mental/Physical Disabilities
Social Work
Speech/Language Therapy
Summer School (regular and remedial)
Travel Adventure Film series
Voluntary Transfer Program
Volunteer Program
APPENDIX B.

ACTION PLAN/REVISED ACTION PLAN
<table>
<thead>
<tr>
<th>Step</th>
<th>Specific Activity</th>
<th>Responsible</th>
<th>Assigned to</th>
<th>Start Date</th>
<th>Date Due</th>
<th>Date Comp.</th>
</tr>
</thead>
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<tr>
<td>1</td>
<td>Introduce Dr. Robert Terry's Human Action Model</td>
<td>Wegenke</td>
<td>Wegenke</td>
<td>7-1-88</td>
<td>12-21-88</td>
<td></td>
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<tr>
<td>2</td>
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<td>Wegenke</td>
<td>Peterson</td>
<td>11-17-88</td>
<td></td>
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</tr>
<tr>
<td>3</td>
<td>Seminar w Dr. Bill Cook, Cambridge Management Group</td>
<td>Wegenke</td>
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<td>12-1-88</td>
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<td>1-13-89</td>
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<td>3-24-89</td>
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<td>3-29-89</td>
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<td>4-3-89</td>
<td>4-21-89</td>
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<td>5-2-89</td>
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<td>Bowman/Bwater</td>
<td>Directors</td>
<td>4-24-89</td>
<td>5-12-89</td>
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<td>5-15-89</td>
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<td></td>
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<td>Conduct First Planning Session</td>
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<td>Responsible</td>
<td>Assigned to</td>
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APPENDIX C.

DES MOINES PUBLIC SCHOOLS MAP
APPENDIX D.

ROLES AND RESPONSIBILITIES OF INTERNSHIP
REPORT OF ORIENTATION MEETING

PURPOSE: To develop plans for Supervised Field Experience in Strategic Planning for Des Moines Public Schools

Dr. Georgianne Peterson:
- Determine areas of need and activities performed by Graduate Assistant.
- Periodically review activities performed by Graduate Assistant.
- Provide written evaluation of Graduate Assistant's work to Dr. Herman.
- Initiate and monitor involvement of Graduate Assistant with the Mid Iowa Computer Center regarding staff development registration activities.
- Provide assistance in seeking approval for Graduate Assistant to perform appropriate research of the Strategic Planning process.
- Approve sites selected for service.
- Interact with outside agencies relative to their strategic planning process and report any significant information useful to the school district.
- Provide the staff with an updated strategic planning bibliography.

Dr. Jerry Herman:
- Serve as a resource to Dr. Peterson and Troy Vincent.
- Review log of activities developed by Graduate Assistant.
- Review and approve research topics selected for study.
- Determine the evaluation status after review of the report from Dr. Peterson.

Mr. Troy Vincent:
- Participate on the Strategic Planning Team.
- Provide technical assistance to assigned units/departments.
- Coordinate assistance to schools by other resource students from Iowa State Univ.
- Contact and determine, with input from Dr. Maurice Wilson, specific areas of formal research to be performed relative to strategic planning.
- Spend at least one day per week in the Staff Development Office or field sites. Although Thursday is the official day, alternative days may be requested/used as needed. Official time 8:30 am - 4:30 pm

- Participate in staff development as needed.
- Develop a log of activities to include performance behaviors/learning outcomes.
- Interact with outside agencies relative to their strategic planning process and report any significant information useful to the school district.
- Provide the staff with an updated strategic planning bibliography.
APPENDIX E.

STEPS TO OPERATIONALIZE DEFINITION
**STEPS TO OPERATIONALIZE COOK'S STRATEGIC PLANNING DEFINITION**

**Process** | **Discipline**
---|---
1. Research/Information | 1. Statement of Beliefs
2. Establish Planning Team | 2. Mission Statements
3. 1st Planning Session | 3. Policies
4. Review the Plan with All Constituents | 4. Internal Analysis
5. Action Team for Every Strategy to Develop Action Plan | 5. External Analysis
6. Review by Appropriate Staff | 6. Analyze Competition
7. 2nd Planning Session | 7. Critical Issues
8. Draft Form with Cost Program | 8. Specific Objectives/Goals
10. Implementation (District) | 10. Action Plans
11. Annual Updates | 11. Review by Appropriate Staff (Monitoring)
APPENDIX F.

THE TERRY MODEL.
Human Action to Strategic Planning

Organizational Constructs: Four Dimensions of Human Action*

- MISSION (future, values, vision, purpose, direction)
- POWER (commitment, interest, energy, driving behavior)
- STRUCTURE (form, laws, policies, goals and objectives, programs, processes, organizational patterns)
- RESOURCES (equipment, materials, time, facilities, people, ideas, money)

*Adapted from Dr. Robert Terry's Human Action Model Reflective Leadership Program Humphrey Institute of Public Affairs Minneapolis, Minnesota

The enabling institution or organization has a clear mission statement that directs the power (energy). The structure (form) of the unit is a result of the mission. Resources are then equitably distributed within and across the unit to accomplish the mission.

If the direction of the unit is determined by the resources and/or structure, and not mission, the institution or organization will subsequently be limited. Likewise, power (energy) may be dictated more by structure and compelling interests of individuals within the organization.

*Adapted from Dr. Robert Terry's Human Action Model Reflective Leadership Program Humphrey Institute of Public Affairs Minneapolis, Minnesota
APPENDIX G.

BUILDING MISSION STATEMENTS
## Building Mission Statements Form A

### High School Feeder System

**Directions:** Please review all mission statements for the schools in this high school feeder system and determine the following:

1. Who is responsible
2. Methodology
3. Purpose
4. Related Statements (Personalized/Uniqueness)

<table>
<thead>
<tr>
<th>Who is Accountable?</th>
<th>Methodology: Strategies to fulfill mission.</th>
<th>Purpose: What is to be achieved?</th>
<th>Related Statements:</th>
</tr>
</thead>
</table>

## Building Mission Statements Form B

### Composite Mission Statements

**Directions:** Please review all mission statements for the five schools in this high school feeder system and determine the following:

1. Who is responsible
2. Methodology
3. Purpose
4. Related Statements (Personalized/Uniqueness)

<table>
<thead>
<tr>
<th>Who is Accountable?</th>
<th>Methodology: Strategies to fulfill mission.</th>
<th>Purpose: What is to be achieved?</th>
<th>Related Statements:</th>
</tr>
</thead>
</table>
APPENDIX H.

PERFORMANCE/PROCESS OBJECTIVES PLANNING SHEETS
### Performance Objectives Planning Sheet

**PROJECT**

**AUTHOR**

**GOAL OBJECTIVE**

**COMMENT**

**TIME AND/OR PREREQUISITE:** Specify the time or necessary prerequisites for bringing about the desired behavior?

**WHO:** Who is the person or persons of which the behavior is expected? Use titles, not names (6th grade students, teachers taking “X” inservice, etc.)

**WHAT INSTRUCTION:** What instructional variable will the person’s behavior be related to? What is being taught? (reading comprehension, mathematics fractions, classroom management)

**PROFICIENCY:** What is the expected proficiency or criterion level? (grade level, percentile gain, etc.)

**MEASUREMENT METHOD:** How will the behavior being measured be specifically measured? (specific test or subtest, observation, questionnaire, evidence of learning, etc.)

**COMPONENT FORM:**

1. **TIME AND/OR PREREQUISITE:**

2. **WHO:**

3. **WHAT INSTRUCTION:**

4. **PROFICIENCY LEVEL:**

5. **METHOD OF MEASUREMENT:**

**NARRATIVE FORM:** (In the space below write out in narrative the components you have developed above)

---

### Process Objectives Planning Sheet

**PROJECT**

**AUTHOR**

**GOAL OBJECTIVE**

**COMMENT**

**PERSON(S) RESPONSIBLE:** Specify individual who is assigned responsibility for accomplishing the objective. Do not specify groups, committees, departments, etc. Use titles, not names.

**ACTIVITY:** What is to be done? Be specific.

**TIME FACTORS:** Delate, periodic, check points, frequency

**DOCUMENTATION:** What evidence will be created to prove that the activity has been completed and/or the learning objective is met?

**COMPONENT FORM:**

1. **PERSON(S) RESPONSIBLE:**

2. **ACTIVITY:**

3. **TIME FACTOR:**

4. **DOCUMENTATION:**

**NARRATIVE FORM:** (In the space below write out in narrative the components you have developed above)

---

Dept. of Evaluation, Research and Testing
Des Moines Public Schools
Des Moines, IA 50307

(Duplication for educational purposes is permitted)
APPENDIX I.

MISSION STATEMENT RESULTS
HIGH SCHOOL FEEDER SYSTEMS MISSION STATEMENTS

THE EAST HIGH FEEDER SYSTEM and related communities will provide an open, caring, and safe environment where all students can be successful in acquiring the essential skills necessary in a diverse society.

THE NORTH HIGH SCHOOL FEEDER SYSTEM will provide a safe environment and quality program to meet the academic, physical, and social needs of students.

ROOSEVELT FEEDER SYSTEM will provide a scholastic environment in a diverse cultural setting where all students will learn
- self esteem
- social conscious
- knowledge seeking
- creativeness
- health (e.g., physical).

SCHOOLS IN THE LINCOLN HIGH FEEDER AREA will provide a quality educational program for all students in a safe and positive environment.

HOOVER HIGH SCHOOL FEEDER SYSTEM will provide educational opportunities in a safe, positive environment, allowing all students to achieve lifetime skills which meet their individual needs in a multi-cultural community.

COMPOSITE MISSION STATEMENTS

The district will provide a safe and positive environment where all students will acquire the essential skills necessary for success in a diverse cultural society.

The Des Moines Public Schools will provide diverse educational opportunities in safe, positive environments, allowing all students to achieve lifetime skills which meet their individual needs in a multi-cultural community.

Des Moines Public Schools will provide a quality program where all students in our diverse society will achieve essential skills in a safe and positive environment.

The Des Moines School District will provide educational environment in a diverse cultural setting where all students can/will learn.

The Des Moines Schools will in a safe environment provide educational opportunities for all students from a diverse community to learn.
APPENDIX J.

COMPOSITE LIST
COMPOSITE LIST OF ALTERNATIVE EXPRESSIONS DISCUSSED/IDENTIFIED IN DEVELOPING THE DISTRICT'S MISSION STATEMENT

The Public Schools of Des Moines
The Des Moines Public Schools
Will provide a quality educational program
Will provide an effective educational program
Will provide an educational program
For all students
Where all students
For each student
For a diverse student population
Allowing all students
Causing all students
Enabling all students
In a diverse cultural setting
In a multi-cultural setting
In a diverse cultural environment
In a multi-cultural environment
In our multi-cultural community
In a diverse urban setting (population/environment/community)
In our culturally diverse urban community
In culturally diverse neighborhoods
In our urban setting
In our urban community
Achieve essential skills
Achieve lifetime skills
Will learn
Students can learn
To provide the opportunity

The Public Schools of Des Moines
The Des Moines Public Schools
Will provide a quality educational program
Will provide an effective educational program
Will provide an educational program
For all students
Where all students
Achieve essential skills
Achieve lifetime skills
Will learn
Students can learn
To provide the opportunity

The Des Moines Public Schools will provide a quality educational program where all students in our diverse cultural setting are expected to learn.
The Des Moines Public Schools will provide a quality educational program where all students in our diverse cultural setting are expected to learn.
The Des Moines Public Schools will provide a quality educational program in our diverse cultural community where all students are expected to learn.
The Des Moines Public Schools, a diverse cultural community, will provide a quality educational program where all students are expected to learn.
The Des Moines Public Schools, serving a diverse cultural community, will provide a quality educational program where all students are expected to learn.
APPENDIX K.

MISSION STATEMENT
MISSION STATEMENT

THE DES MOINES PUBLIC SCHOOLS, SERVING A DIVERSE CULTURAL COMMUNITY OF STUDENTS, WILL PROVIDE A QUALITY EDUCATIONAL PROGRAM WHERE ALL ARE EXPECTED TO LEARN.
APPENDIX L.

TERMS TO DEFINE THE MISSION STATEMENT
MISSION STATEMENT

"The Des Moines Independent Community School District will provide a quality educational program to a diverse community of students where all are expected to learn."

Terms:

Quality of Education Program

Teaching and learning activities which result in students developing a balance of basic skills, accomplishing intellectual growth, possessing knowledge and skills to experience the arts and physical activity, achieving emotional maturity, accepting social responsibility, and acquiring a delight for learning.

Diverse Community of Students

A metropolitan environment where the learners are characterized by a rich variety of ethnic origins, values, attitudes, heritages, abilities, ages, and personal challenges.

Expected to Learn

All students will demonstrate mastery of critical objectives at each grade level appropriate to their needs and abilities.

All students will demonstrate an understanding of the unique characteristics, worth, and contributions of individuals different from oneself.
APPENDIX M.

TABLE OF ORGANIZATION
The Des Moines Independent Community School District will provide a quality educational program to a diverse community of students where all are expected to learn.
APPENDIX N.

DISTRICT GOAL CATEGORIES AND BOARD OBJECTIVES
GOAL: EXCELLENCE IN EDUCATION, INSTRUCTION AND CURRICULUM

1.1 Continue to implement and refine the Des Moines Plan (comprehensive assistance plan) in all school buildings to raise achievement of participating students.

1.2 Obtain agreement and implement a professional compensation plan that will address the recruitment and retention of quality teachers, with emphasis on minority teachers, and the enhancement of the quality and effectiveness of present teachers.

1.3 Implement the terms and provisions of the approved 1989-90 high school boundary plan.

1.4 Continue to administer the district checkpoint standards in reading, language arts and mathematics, and notify parents of results.

1.5 Emphasize written expression through development of an instructional plan including the utilization of computers for editing and revising.

1.6 Explore alternative delivery systems for secondary curriculum offerings.

1.7 Complete the integration and cross-referencing of the thinking skills continuum into the Des Moines Public Schools learning chart.

1.8 Complete the integration and cross-referencing of conflict resolution and global education into the Des Moines Public Schools learning chart.

1.9 Determine if the curriculum in the Des Moines Public Schools adequately addresses and portrays the role religion has played in the development of American ideals, laws, customs and traditions in all appropriate subject areas and make such curriculum modifications as necessary so as to insure that the role of religion is appropriately addressed.

1.10 The Board and Central Administration shall support the 1988-89 objectives prepared by the building and central staff.

1.11 The Superintendent shall review, revise and recommend a goal and objective setting process for 1989-90.
GOAL 3: COMMUNITY UNDERSTANDING AND INVOLVEMENT

3.1 Encourage increased parental awareness and involvement in attending to student concerns such as drugs, alcohol, suicide, child abuse, family dysfunction, AIDS, pregnancy, etc., by conducting an Educational Forum and moving to begin consideration of the findings.

3.2 Survey recent graduates to determine the effectiveness of the schools.

3.3 Develop a presentation to show the relationship of quality education to economic recovery and growth and make the presentation throughout the district.

3.4 Expand the inter-district activities conducted by the Urban Network of the eight largest Iowa school districts, especially legislation.

3.5 Utilize existing staff and student resources to provide live coverage of Board meetings and explore other instructional and public information.
APPENDIX O.

RESPONSIBILITY STATEMENT
Title: Superintendent of Schools

Responsibility Statement

The responsibility of the chief executive officer or superintendent of the Des Moines Public Schools is to: (1) maintain the integrity of the school district's "mission;" and, (2) provide the necessary leadership for the district to operate as an effective and efficient organization.

The organizational tasks to be performed by the superintendent include planning, implementing, and evaluating the district programs, as well as interacting with individuals and groups interested in district services. Successful performance is expected by the Board of Education in program management of curriculum and instruction activities, personnel and fiscal resources, instructional support services and public relations. In addition, each of the organizational tasks and management functions must be interpreted in terms of established Board of Education policies and procedures. The Board of Education expects the superintendent to maintain a positive working relationship with the body as a whole.

The superintendent reports to the Board of Education. The superintendent chairs the Administrative Cabinet (large cabinet) and directly supervises the Assistant Superintendent for Curriculum and Instruction, Assistant Superintendent for Administrative Services and Personnel, Executive Director of Educational Services, Director of Communications, Controller and Treasurer, and Board Secretary--administrative support positions.
**Personnel Resources**

<table>
<thead>
<tr>
<th>Role</th>
<th>Current 1988-89</th>
<th>Projected 1989-90</th>
</tr>
</thead>
<tbody>
<tr>
<td>Superintendent of Schools Administrators (6)</td>
<td>$80,000</td>
<td>$323,000</td>
</tr>
<tr>
<td>Office Personnel</td>
<td>$21,600</td>
<td>$22,400</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$424,600</strong></td>
<td><strong>$438,400</strong></td>
</tr>
<tr>
<td>Total Personnel</td>
<td>L.M.* 8.0</td>
<td>N.L.M.** -0.0</td>
</tr>
</tbody>
</table>

*L.M. - Local Monies for support position(s).

**N.L.M. - Non-Local Monies for support position(s) (e.g. designated state, federal, and other funds).**

**1989-90 Objectives**

**Weight**

50% 1. Meet the organizational expectations of the board, staff, students, parents, and general citizenry by --
   A. being visible and accessible
   B. focusing educational direction
   C. being involved in day-to-day experiences

10% 2. Implement the Board of Education decision to change high school boundaries by --
   a. responding to transition concerns
   b. developing plans for elementary and middle school boundaries

10% 3. Prepare a plan in response to the evaluation report on Central Campus programs and administrative services located at 1800 Grand Avenue

10% 4. Implement the 10-year facilities plan by --
   a. preparing to seek voter approval on a schoolhouse tax and bond levy
   b. developing a plan to upgrade the facilities following the vote

10% 5. Review the district's current organizational staffing structure and recommend revision, if necessary, in accord with district management functions. Related to --
   a. developing the district's strategic plan
   b. initiating a school based information system
   c. clarifying administrative roles and responsibilities

10% 6. Review the district's at-risk programming and its effect upon minimizing school district dropouts.
APPENDIX P.

NATIONAL GOALS
In September 1989 at the request of President Bush, a national education summit was convened in Charlottesville, Virginia. State governors met and identified six major goals. These goals are to be attained by the year 2000. The goals are:

- All American children will start school each day ready to learn.
- The high school graduation rate will increase to at least 90 percent.
- Students will leave grades four, eight, and twelve having demonstrated competency in challenging subject matter.
- American students will be first in the world in science and mathematics.
- Every adult will be literate and will possess the knowledge and skills necessary to compete in a global economy.
- Every school will be free of drugs and violence and will offer a disciplined environment conducive to learning.
APPENDIX Q.

PROGRAM EVALUATION
Program Evaluation Definition: Program evaluation is the process of delineating, obtaining and providing useful information for judging decision alternatives.

I. Context Evaluation: Description of actual and desired conditions surrounding a program.

   A. Information-gathering
      • historical background
      • federal and state laws
      • district policies, procedures, regulations, past practices
      • research and trends
      • building data bases
      • involvement of staff, students, parents, community (stakeholders)
      • staff roles and responsibilities
      • needs identification
      • district priorities
   
   B. Establishing a mission statement
      • setting goals
   
   C. Developing specific objectives

II. Input Evaluation: Description of available resources for meeting established goals and objectives and, in turn, design action plans.

   A. Determine the best utilization of available resources
      • school district monies
      • staff time
      • equipment
      • facilities
      • materials
      • community time and energy
   
   B. Consider program options
   
   C. Design actual program action plan

III. Process Evaluation: Description of monitoring or feedback procedures related to action plan implementation

   A. Detect action plan problems as they occur
   
   B. Alter courses of action to meet the intent of the original design of an action plan
   
   C. Document or record problems and solutions as they occur

IV. Product Evaluation: Description of outcomes and judgements related to future direction

   A. Review program outcomes
      • objective data
      • subjective data
   
   B. Determine whether the program should be:
      • expanded
      • continued
      • altered
      • discontinued (e.g., through planned abandonment)

Product evaluation is useful in relation to acquiring useful information in preparation for designing by updating the context evaluation process for the following year.
APPENDIX R.

BOARD POLICY FOR SCHOOL-BASED MANAGEMENT
The Des Moines Independent Community School District consists of people and programs bonded together by a common mission.* Schools exist in changing environments and are expected to educate their diverse student populations. The Board of Directors expects continued improvement in the teaching and learning environment which will result in the improvement of the total school district.

School Improvement is a process that includes school-centered restructuring of educational delivery systems as a means for improving teaching for learning. The expected result is improved performance of all students.

Consistent with the mission statement, the Des Moines school district believes that improvement is best achieved through the process of school-based management, through shared decision-making. This process provides for most decisions concerning improvement to be made:

- at the site where each student is educated,
- through participation of a collective group of people (stakeholders) most directly concerned with the students, and
- within the context of state and district frameworks (e.g., standards, policies, and goals).

The Des Moines Independent Community School District will work collaboratively at all operational levels to create the best teaching and learning environment for the student population.

*District Mission Statement:

The Des Moines Independent Community School District will provide a quality educational program to a diverse community of students where all are expected to learn.

(Revised 8-6-91)
APPENDIX S.

HISTORICAL TIMELINE FOR IMPLEMENTING STRATEGIC PLANNING
<table>
<thead>
<tr>
<th>Step</th>
<th>Specific Activity</th>
<th>Responsible</th>
<th>Assigned Start To</th>
<th>Date</th>
<th>Date Due</th>
<th>Date Compl.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Introduce Dr. Robert Terry’s Human Action Model</td>
<td>Wegenke</td>
<td>Wegenke</td>
<td>7-1-88</td>
<td>12-21-88</td>
<td>12-21-88</td>
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<tr>
<td>3</td>
<td>Paper - Focus on Structure</td>
<td>Wegenke</td>
<td>Wegenke</td>
<td>10-10-88</td>
<td>11-15-88</td>
<td>11-15-88</td>
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<td>4</td>
<td>Consult w/Dr. Jerry Herman, ISU</td>
<td>Wegenke</td>
<td>Petersen</td>
<td>11-17-88</td>
<td>11-17-88</td>
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<td>5</td>
<td>Seminar w/Dr. Bill Cook, Cambridge Management Group</td>
<td>Wegenke</td>
<td>Staff</td>
<td>12-1-88</td>
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<td>6</td>
<td>In-service on the Relationship of the Human Action Model and Strategic Planning</td>
<td>Wegenke</td>
<td>Dr Rebi Terry</td>
<td>11-17-88</td>
<td>1-3-89</td>
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<td>7</td>
<td>State of Schools speech</td>
<td>Wegenke</td>
<td>Wegenke</td>
<td>1-13-89</td>
<td>1-13-89</td>
<td>1-13-89</td>
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<tr>
<td>8</td>
<td>In-service on How to Build Mission Statement</td>
<td>Bowman</td>
<td>Adm Academy</td>
<td>12-1-88</td>
<td>1-15-89</td>
<td>1-15-89</td>
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<tr>
<td>10</td>
<td>Initial Distribution of Building Data Base</td>
<td>Wilson</td>
<td>Scheerenberger</td>
<td>7-1-88</td>
<td>1-31-89</td>
<td>2-15-89</td>
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<tr>
<td>11</td>
<td>In-service on How to Write Objectives</td>
<td>Wegenke</td>
<td>Prior/Wilson</td>
<td>1-19-89</td>
<td>2-1</td>
<td>2-15-89</td>
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<td>In-service on How to Write Objectives</td>
<td>Wegenke</td>
<td>Brubaker/Wilson</td>
<td>1-18-89</td>
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<td>13</td>
<td>In-service on Strategic Planning</td>
<td>Bridgewater</td>
<td>Adm Academy1</td>
<td>2-1-89</td>
<td>3-2-89</td>
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<td>14</td>
<td>Develop Building Mission Statement</td>
<td>Brubaker/Prior</td>
<td>Principals</td>
<td>2-20-89</td>
<td>3-3-89</td>
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<td>15</td>
<td>District In-service</td>
<td>Petersen</td>
<td>District In-</td>
<td>9-12-88</td>
<td>3-6-89</td>
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<td>16</td>
<td>Synthesize Mission Statements into a District Mission Statement</td>
<td>Wegenke</td>
<td>Brubaker/Prior</td>
<td>3-6-89</td>
<td>3-17-89</td>
<td>3-16-89</td>
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<td>17</td>
<td>Develop School Based Objectives for 1989-90</td>
<td>Brubaker/Prior</td>
<td>Principals</td>
<td>4-10-89</td>
<td>4-27-89</td>
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<td>Paper - Focus on Roles and Responsibilities</td>
<td>Wegenke</td>
<td>Wegenke</td>
<td>1-16-89</td>
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<td>19</td>
<td>Train Supervisors on How to Develop Responsibility Statements</td>
<td>Brubaker/Prior</td>
<td>4-23-89</td>
<td>5-19-89</td>
<td>5-24-89</td>
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<td>20</td>
<td>Board Members Review Proposed Mission Statements</td>
<td>Wegenke</td>
<td>4-29-89</td>
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<td>Develop Board Objectives 1989-90</td>
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<td>4-29-89</td>
<td>6-7-89</td>
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<td>22</td>
<td>Building Action Plans Due</td>
<td>Brubaker/Prior</td>
<td>4-31-89</td>
<td>5-19-89</td>
<td>5-15-89</td>
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<td>23</td>
<td>Develop Central Office Responsibility Statements for 1989-90</td>
<td>Bowman/Waterman</td>
<td>5-1-89</td>
<td>5-19-89</td>
<td>6-1-89</td>
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<td>24</td>
<td>Select, Assign De Molina Strategic Plan Facilitator(s)</td>
<td>Wegenke</td>
<td>6-16-89</td>
<td>6-16-89</td>
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<td>25</td>
<td>Second Distribution of Building Data Base</td>
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<td>2-12-89</td>
<td>9-12-89</td>
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<td>31</td>
<td>In-service for Principals on Analyzing Data Bases, Identifying Needs</td>
<td>Wilson</td>
<td>10-4</td>
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<td>Wilson/Schemberger</td>
<td>10-23-89</td>
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<td>32</td>
<td>Representatives to Strategic Planning Training</td>
<td>Wegenke</td>
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<td>10-21-89</td>
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<td>34</td>
<td>Paper - Focus on Central Office Reorganization</td>
<td>Wegenke</td>
<td>10-31-89</td>
<td>1-1-90</td>
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<td>35</td>
<td>Develop 1990-91 Building Action Plan</td>
<td>Brubaker/Prior</td>
<td>1-1-90</td>
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<td>36</td>
<td>In-service for Principals on Developing Action Plans</td>
<td>Wilson</td>
<td>1-4 and</td>
<td>1-11-90</td>
<td>1-10-90</td>
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<tr>
<td>37</td>
<td>State of Schools speech</td>
<td>Weganne</td>
<td>1-12-90</td>
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<td>40</td>
<td>Staff In-service—Carl Candoli</td>
<td>Weganne</td>
<td>3-5-90</td>
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<td>41</td>
<td>Final Revision of 1990-91 Objectives and Action Plan</td>
<td>Brubaker/Prior</td>
<td>3-15-90</td>
<td>4-30-90</td>
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<td>42</td>
<td>Report of accomplishments of 1990-91 building objectives plans due to Elementary/Middle and High School Department</td>
<td>Bidg. Principals</td>
<td>6-6-90</td>
<td>6-6-90</td>
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<td>43</td>
<td>Paper—Focus on School-Based Management</td>
<td>Weganne</td>
<td>8-1-90</td>
<td>9-1-90</td>
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<td>44</td>
<td>Distribute databases for 1991-92 planning.</td>
<td>Wilson</td>
<td>6-1-90</td>
<td>8-3-90</td>
<td>10-1-90</td>
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<td></td>
<td>Initial meeting of expanded Strategic Planning Committee (22 members)</td>
<td>Weganne</td>
<td>8-31-90</td>
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<td>45</td>
<td>1989-91 Strategic Planning Report distributed to Board</td>
<td>Wilson</td>
<td>8-1-90</td>
<td>9-4-90</td>
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<td>46</td>
<td>Revisiting the Program Evaluation Model Workshop</td>
<td>Wilson</td>
<td>9-14-90</td>
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<td>47</td>
<td>Develop 1991-92 building objectives with criterion</td>
<td>Bidg. Principals</td>
<td>10-1-90</td>
<td>12-3-90</td>
<td>12-3-90</td>
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<td>48</td>
<td>Issue revised School-Based Management Council Guidelines</td>
<td>Brubaker/Prior</td>
<td>10-1-90</td>
<td>10-1-90</td>
<td>9-1-91</td>
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<tr>
<td>50</td>
<td>Buildings develop action plans for 1991-92</td>
<td>Bidg. Principals</td>
<td>1-2-91</td>
<td>4-30-91</td>
<td>4-30-91</td>
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<tr>
<td>51</td>
<td>Develop 1991-92 district goals</td>
<td>Weganne</td>
<td>1-2-91</td>
<td>3-12-91</td>
<td>4-15-91</td>
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<tr>
<td>52</td>
<td>State of Schools Speech</td>
<td>Weganne</td>
<td>1-11-91</td>
<td>1-11-91</td>
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<tr>
<td>53</td>
<td>Elementary &amp; Secondary Directors Review and approve building action plans for 1991-92</td>
<td>Brubaker/Prior</td>
<td>3-1-91</td>
<td>3-29-91</td>
<td>4-30-91</td>
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<tr>
<td>Step</td>
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<td>Date</td>
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<tr>
<td>55</td>
<td>Final revisions of 1991-92 building objectives and action plans approved.</td>
<td>Brubaker/Prior</td>
<td>4-2-91</td>
<td>4-30-91</td>
<td>4-30-91</td>
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<tr>
<td>56</td>
<td>Final changes in 1991-92 building objectives and Central staff responsibility statements.</td>
<td>Brubaker/Prior</td>
<td>4-30-91</td>
<td>5-17-91</td>
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<tr>
<td>58</td>
<td>Report of accomplishments of 1990-91 building action plans and objectives due to elementary and middle and high school departments.</td>
<td>Bldg. Principals</td>
<td>5-1-91</td>
<td>6-7-91</td>
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<td>59</td>
<td>Distribute databases for 1992-93 planning</td>
<td>Wilson</td>
<td>6-1-91</td>
<td>8-9-91</td>
<td>8-9-91</td>
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<tr>
<td>60</td>
<td>Tools for Leadership Workshop</td>
<td>Peterson</td>
<td>6-11-91</td>
<td>8-13-91</td>
<td>8-13-91</td>
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</tr>
<tr>
<td>61</td>
<td>Program Evaluation Workshop</td>
<td>Wilson</td>
<td>7-11-91</td>
<td>9-13-91</td>
<td></td>
<td></td>
</tr>
<tr>
<td>62</td>
<td>Strategic Planning Report distributed to Board</td>
<td>Wilson</td>
<td>8-1-91</td>
<td>9-17-91</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Minority Enrollment Report distributed to Board</td>
<td>Wilson</td>
<td>6-25-91</td>
<td>10-15-91</td>
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<td>64</td>
<td>1992-93 Enrollment Projections distributed to Board</td>
<td>Wilson</td>
<td>6-25-91</td>
<td>11-5-91</td>
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<tr>
<td>55</td>
<td>State of Schools Breakfast (District Report Card distributed)</td>
<td>Weganke</td>
<td>1-14-91</td>
<td>1-14-92</td>
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<td></td>
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<tr>
<td>68</td>
<td>1992-93 District Improvement Plan to Board for Adoption</td>
<td>Wilson</td>
<td>2-16-92</td>
<td>5-19-92</td>
<td></td>
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</tbody>
</table>
APPENDIX T.

EXPECTATIONS: SCHOOL-BASED MANAGEMENT/SHARED DECISION MAKING
EXPECTATIONS
SCHOOL-BASED MANAGEMENT/SHARED DECISION-MAKING
(Shared Leadership for School Improvement)
197

Every school in the Des Moines Independent Community School District is involved to some degree in SBM/SDM. Some have moved ahead on certain components of the concept while others followed the pursuit of different components. Nonetheless, ALL schools are moving in their own way and at their own speed toward a common, if many times widely interpreted, direction.

All schools should continue to move toward implementation of SBM/SDM in their own way and speed; however, this list of expectations should help unify the direction among the schools of the district by setting standards of expectation. Regular school expectations are shown in normal type. The five Phase III Demonstration schools should meet the regular school expectations as well as those shown in italics.

Circle your feeling about each statement as it regards your school. If you feel you do not have enough information to make a judgement, mark 0.

I. EACH SCHOOL'S FOCUS IS ON TEACHING AND LEARNING PROCESSES AND OUTCOMES

1. Our school has a school improvement plan that is directed toward improving student learning and behavior.

2. Our school improvement plan has objectives for student achievement and behavior that were developed and approved by the staff and the SBC.

3. Our student achievement and behavior objectives were identified by examining the results of tests, other assessments, and the disaggregation of student achievement data.

4. Our school is practicing the concepts of effective schooling by raising the level of achievement for all students.

5. The same percentage of students in each of the following groups are making academic gains: minority/non-minority; male/female; low family income/average or above average family income.

II. EACH SCHOOL ASSESSES CURRICULUM AND INSTRUCTION THROUGH PROGRAM EVALUATION

6. Teachers routinely assess their instruction through a variety of means and make continuous adjustments to improve when necessary.

7. Our school staff routinely evaluates the effectiveness of our school improvement efforts.

8. Our teaching staff uses the Des Moines Framework for Effective Teaching and Framework for Effective Support Services to guide its teaching and support activities.
9. The concepts contained in the Des Moines Framework for Effective Schools are observable in the learning areas and practices of our school.

III. EACH SCHOOL CONTINUES TO IMPROVE HUMAN RESOURCES THROUGH STAFF DEVELOPMENT

10. Our school has an in-service and staff development plan that was developed by the staff, approved by the SBC, and directed toward the accomplishment of our school improvement plan.

11. Our school utilizes in-service and staff development that is appropriate for our school improvement plan and is guided by the Framework for Effective Schools.

12. Our school sees professional substitute days as a building resource for school improvement; staff are involved in determining how these days are used.

IV. EACH SCHOOL ENCOURAGES LEADERSHIP AND MANAGEMENT DEVELOPMENT THROUGH STRATEGIC PLANNING

13. Our SCHOOL-BASED COUNCIL (SBC):
   - has regularly scheduled, announced and open meetings.

14. is made up of staff, students (at the middle/high school levels), parents, community, and business persons, and is co-chaired by the principal and a member elected by the SBC.

15. studies the database and its implications for setting building directions, objectives, priorities and action plans.

16. relates objectives and action plans to personnel and budget.

17. A majority of our SBC members have received SBC training.

18. Our responsibility (mission) statement expresses the shared vision of the staff and community, and is reviewed annually by the SBC.

V. EACH SCHOOL DISTRIBUTES RESOURCES EFFECTIVELY, EFFICIENTLY AND EQUITABLY

19. Our school has an allocation-of-building-activity-hours plan that was developed by a building committee and is directed toward the accomplishment of the school improvement plan.
20. Our school has applied the school staffing formula by involving the school staff and securing the approval of the SBC.

21. When our school needs additional funds to help accomplish its school improvement objectives, the staff develops a plan to carry over part of the school budget and presents it to the SBC for approval.

22. If unexpected additional funds become available, our school has a plan to use them for critical learning improvements in the school.

VI. EACH SCHOOL SUPPORTS A POSITIVE LEARNING ENVIRONMENT BY MAINTAINING AND UPGRADING FACILITIES, MATERIALS, AND EQUIPMENT

23. Our school has a long-range plan for the use of technology by improving teaching, learning and administration, which was developed by the staff and approved by the SBC.

24. Our technology plan is directed toward the accomplishment of the school improvement plan.

25. Our school has a capital improvements (facilities) plan which was developed by staff and community members and approved by the SBC.

26. Our capital improvements (facilities) plan is focused on teaching and learning.

VII. EACH SCHOOL ENCOURAGES INITIATIVES AND PLANNED CHANGE THROUGH THE INVOLVEMENT OF STAKEHOLDERS

27. Our school's school-based management/shared decision-making effort has the support of staff members (1=76-100% of staff involved; 2=51-75%; 3=25-50%; 4=less than 25% of staff involved).

28. Our SBM/SDM effort has the active involvement of parents to the following degree (1=8% or more of the parents; 2=5-7%; 3=2-4%; 4=0-1% of parents involved).

29. Our SBM/SDM effort has the active involvement of representatives of our business partner beyond membership in the school-based council.

30. The principal and teachers feel a collective responsibility for our school.

31. The students and parents feel a collective responsibility for our school.
VIII. EACH SCHOOL STRENGTHENS PUBLIC AND STAFF AWARENESS AND SUPPORT OF DISTRICT PROGRAMS

32. Our school has an established communication plan that keeps all staff, parents, and community members informed each month regarding school plans, directions, accomplishments, and needs.

33. Our School Based Council formally communicates with the staff, parents, and community members on a regularly scheduled basis.

34. Our school improvement efforts reflect the shared values of our staff, parents, and community.
APPENDIX U.

A SYSTEMS APPROACH TO SCHOOL ORGANIZATION AND MANAGEMENT
A Systems Approach to School Organization and Management

<table>
<thead>
<tr>
<th>Subsystem Dimensions</th>
<th>Maintenance Paradigm</th>
<th>Production Paradigm</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Educational Leadership Subsystem</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Leadership vision</td>
<td>Provided by central office</td>
<td>Personal mission</td>
</tr>
<tr>
<td>Knowledge base</td>
<td>Manage personnel, students, and building functions</td>
<td>Manage staff performance and student learning</td>
</tr>
<tr>
<td>Role functions</td>
<td>Organize and control school order</td>
<td>Lead, plan, and develop staff performance</td>
</tr>
<tr>
<td>Leadership goals</td>
<td>Increase efficiency</td>
<td>Increase effectiveness</td>
</tr>
<tr>
<td>Commitment</td>
<td>Perform as expected</td>
<td>Attain educational ideals</td>
</tr>
<tr>
<td><strong>2. Goal Subsystem</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pervasive values</td>
<td>Stability, efficiency, predictability, security, vagueness, tradition</td>
<td>Responsiveness, growth, problem solving, uncertainty, adaptability, risk taking</td>
</tr>
<tr>
<td>Goal sources</td>
<td>Administration/school board/state and federal agencies</td>
<td>All school community members plus external forces</td>
</tr>
<tr>
<td>Goal focus</td>
<td>Global-age ideals, traditional practices</td>
<td>Measurable, definable/priorities and objectives</td>
</tr>
<tr>
<td>Goal decisions</td>
<td>Central administration</td>
<td>The entire school community; the principal</td>
</tr>
<tr>
<td>Function of goals</td>
<td>Provide general guidelines</td>
<td>Provide specific staff performance parameters</td>
</tr>
<tr>
<td><strong>3. Organization Subsystem</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Role group relationships</td>
<td>Hierarchical</td>
<td>Collaborative and cross role groups</td>
</tr>
<tr>
<td>Design</td>
<td>Based on function and assignment</td>
<td>Based on goals and function</td>
</tr>
<tr>
<td>Work patterns</td>
<td>Individual tasks; permanent</td>
<td>Group tasks; temporary and permanent</td>
</tr>
<tr>
<td>Design duration</td>
<td>Static, permanent; Based on function</td>
<td>Fluid, evolving</td>
</tr>
<tr>
<td></td>
<td>Set pattern</td>
<td>Based on organizational needs</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Changing groups</td>
</tr>
<tr>
<td>Planning</td>
<td>Function defines individual plans</td>
<td>Group action plans guide individual plans</td>
</tr>
<tr>
<td><strong>4. Performance Management</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Role performance standards</td>
<td>Job descriptions</td>
<td>Categorical performance outcomes</td>
</tr>
<tr>
<td>Planning</td>
<td>Personal/informal</td>
<td>Organizational and individual Negotiated goals</td>
</tr>
<tr>
<td>Development</td>
<td>Personal counseling</td>
<td>Training</td>
</tr>
<tr>
<td>Motivation</td>
<td>Assignment expectations, Autonomy</td>
<td>Clinical supervision</td>
</tr>
<tr>
<td>Control</td>
<td>Evaluation</td>
<td>Job enlargement</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Goal focus</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Achievement recognition</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Development tasks</td>
</tr>
<tr>
<td>Evaluation</td>
<td>Observation assessment</td>
<td>Periodic management reviews/ positive reinforcement and/or correction</td>
</tr>
<tr>
<td><strong>5. Program Subsystem</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>For Students</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Objective</td>
<td>To complete the course outline</td>
<td>To master certain skills/concepts</td>
</tr>
<tr>
<td>Focus</td>
<td>Grade level content; program objectives vary with each teacher; course outline</td>
<td>Specific learning objectives based on district standard and diagnosed need</td>
</tr>
<tr>
<td>Evaluation</td>
<td>Students receive grades: A,B,C,D,F</td>
<td>Degree of mastery</td>
</tr>
<tr>
<td>Outcome</td>
<td>Students promoted or not promoted</td>
<td>Objectives mastered</td>
</tr>
<tr>
<td>Subsystem Dimensions</td>
<td>Maintenance Paradigm</td>
<td>Production Paradigm</td>
</tr>
<tr>
<td>----------------------</td>
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</tr>
<tr>
<td><strong>For Staff</strong></td>
<td></td>
<td>203</td>
</tr>
<tr>
<td>Objective</td>
<td>To provide information</td>
<td>To provide staff selected school goals based on growth experiences</td>
</tr>
<tr>
<td>Focus</td>
<td>Defined by central administration</td>
<td>Selected needs as dictated by school and work goals</td>
</tr>
<tr>
<td>Evaluation</td>
<td>General: like or dislike</td>
<td>Degree to which the program facilitated anticipated growth</td>
</tr>
<tr>
<td>Outcome</td>
<td>Number of required hours of staff development fulfilled</td>
<td>Increased staff knowledge and skills in relation to goals</td>
</tr>
<tr>
<td>G. Management Subsystem Planning</td>
<td>Staff/student assignments, facilities, maintenance, supply and equipment, inventory and budget</td>
<td>Goal focus for the school; task assignments to work groups; strategies for supervision and control</td>
</tr>
<tr>
<td>Supervision</td>
<td>Inspection visits by principal that provide data for teacher evaluation</td>
<td>Regular and systematic inclass coaching of teachers by peers and administrators/supervisors</td>
</tr>
<tr>
<td>Control</td>
<td>Problems are addressed as needed: crisis orientation</td>
<td>Facilitates skill development</td>
</tr>
<tr>
<td>Evaluation</td>
<td>Staff evaluation by the principal; judgment about teacher cooperation with administration and ability to control students</td>
<td>Regular assessment of progress toward goals by work groups and administration; feedback utilized</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Assessment by work groups and administration of progress toward goals; achievement gains; of program effects on performance</td>
</tr>
</tbody>
</table>
APPENDIX V.

EVALUATION ABSTRACT OF STAFF DEVELOPMENT DEPARTMENT
 CONTEXT EVALUATION
Program Description. The Department of Staff Development provides services that include elements of coordination/consultation, support service, or complete program development, implementation, supervision, and evaluation. Recent developments in district programs, newly enacted state standards, and the issues involved in educational reform have had an impact upon Staff Development's roles and responsibilities. In order to comply with the standards established by the Department of Education and meet the needs of the district in a manner that makes the most efficient use of resources by avoiding gaps and overlaps in services, the Department of Staff Development must provide a variety of services including research, delivery, coordination, facilitation, communication, and support.

INPUT EVALUATION
Staff and Budget. Staff Development personnel includes one supervisor, 2 consultant positions, 1 technology trainer, 2 secretaries, and 1 technician. The Department of Staff Development is funded by the General Fund, the Phase III Fund, and receives an allotment from Heartland Area Education Agency XI. The monies received from AEA XI varies each year. During the 1991-92 school year the district will receive $8684.00. The total 1991-92 Staff Development budget including funds from AEA XI, Phase III, and district general fund is $1,919,169.

PROCESS EVALUATION
Responsibilities. The Staff Development Department strives to meet the diverse continuing educational needs of all employee groups by coordinating a quality educational program which focuses on professional growth and the refinement of skills.

PRODUCT EVALUATION
Accomplishments and Improvements. The Staff Development Department is proud of its many major improvements. Some include the establishment of an Adult Learning Center at Samuelson Elementary School and facilitating the development and delivery of various employee training programs. Among those programs are the Effective Teaching Courses, Administrative Academy, Office Personnel Seminars, Annual Professional Educators' Conference, staff development courses, computer training, elementary and secondary administrator training, School-Based Council training, and School-Based Management through Shared Decision-Making training.

FUTURE PLANS
Needs/Recommendations. Because the Des Moines Public School District is rapidly implementing school improvement and school transformation initiatives, the role of Staff Development becomes increasingly more important and more complex. Staff Development will continue to provide technical training and professional growth opportunities to all employee groups. Additionally, to ensure the most effective and efficient use of resources, future Staff Development programs will be closely tied to strategic planning and organizational development efforts taking place within the district. This philosophy of providing staff development programs to support strategic planning and organizational development initiatives assures a sound foundation of the skills necessary for planning the district's future.

A copy of the complete report is available upon request from the Department of Information Management, Des Moines Public Schools, 1800 Grand Avenue, Des Moines, Iowa 50309-3399. Telephone 315/242-7839
APPENDIX W.

LETTER TO PARTICIPANTS
1397 Hawthorn Court
Ames, Iowa 50010
September 15, 1991

Dear ________:

Under the supervision of the Department of Educational Administration, I am conducting a doctoral study of improvement efforts through strategic planning by the Des Moines Independent School District.

Your input regarding perceptions and experiences with the process is most important to the research. I am respectfully requesting a personal interview with you, which should not last more than 90 minutes.

A stamped postcard is included for your convenience to indicate an interest in participation. I will follow up with a phone call to you or your secretary to determine the status of this request and if necessary to make appropriate arrangements for the date and time.

You will be provided a copy of the transcript from the interview for review and confirmation. Personal identification will not be made in the study.

Thank you in advance for assisting me in this study.

Sincerely,

Troy J. Vincent
Ph.D. Candidate
APPENDIX X.

HUMAN SUBJECTS RELEASE
March 3, 1992

Troy Vincent
1397 Hawthorn Ct.
Ames, IA  50010

Mr. Vincent,

We are aware that you have been acting as a participant/observer while conducting a historical case study of the strategic planning process of the Des Moines Public Schools from 1988 to present.

The strategic planning process is critical to the success of our district's mission, and having documentation of its origins and refinement over this initial time period will provide a valuable source of information for other districts interested in doing the same.

We welcome your study and look forward to sharing your findings.

Sincerely,

Thomas E. Deeter, Ph.D.
Program Evaluator, Testing & Research
Chair, District Research Committee

Raymond G. Armstrong, Ph.D.
Associate Superintendent, Teaching & Learning

cc:  Dr. Morris Wilson
      Director, Information Management
APPENDIX Y.

FIFTY COMMON PITFALLS IN FORMAL STRATEGIC PLANNING
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