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THE DEVELOPMENT OF A CONCEPTUAL MODEL FOR
ASSESSING MANAGEMENT PRACTICES IN A
MODEL STATE EDUCATION AGENCY

by

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A DISSERTATION

Submitted in partial fulfillment of the requirements for
the degree of Doctor of Education in the Department of
Administration, Supervision and Curriculum
Development in the Graduate School
of the University of Alabama

UNIVERSITY, ALABAMA

1972

ACKNOWLEDGMENTS

The writer wishes to express his sincere appreciation and indebtedness to Dr. Merlin G. Duncan, committee chairman, and Dr. James P. Curtis, Dr. H. Bascom Woodward, Jr., and Dr. James D. Powell, members of the committee. Their time, understanding and counsel were essential to the development and eventual completion of this study.

A special thanks goes to Donald Rose, United States Office of Education; Harry E. Ross, State Department of Education (Washington); Dr. Paul G. Orr, Dean, University of Alabama; Dr. Richard L. LoDestro, Tennessee Valley Authority; Krishnarai Bhagaloo, Mrs. Barbara Oswalt, University of Alabama; Dr. Robert L. Bushong, Mobile Public Schools; and Charles Nix, Texas Education Agency, for their suggestions and guidance.

And finally, it would be both inappropriate and unjust to fail to give credit to my wife and family, whose understanding and sacrifice have made this study possible. It is to them that I dedicate this work and any possible good that may come from it.

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CHAPTER I

INTRODUCTION

The need to improve the management of large scale organizations has been brought to the forefront in recent years for a variety of compelling reasons. Improvement in management has been reflected most demandingly toward accountability for every educational institution from the United States Office of Education (USOE) to Local Education Agencies (LEA's). Increasingly, they are required to appraise their own internal management effectiveness as well as their outputs. Their experience and competency in the appraisal and assessment of management, however, is limited, and no appropriate and usable conceptual devices are generally available to them.

During the past two decades, the educational enterprise has been characterized by massive expansion. The Local Education Agencies (LEA's) have taken on many new areas of development for their pupils; State Education Agencies (SEA's) and the United States Office of Education (USOE), accordingly, have taken on new and expanded

responsibilities for relationships, regulations, and resource distribution. Particularly, SEA's are assuming and increasingly are being called upon to assume a more significant role in the planning and improvement of elementary and secondary education. Additionally, the informal network of various agencies and institutions, both public and private, which is directly involved in the management and operation of the educational enterprise has expanded greatly. Education is no longer a simple resource allocation and regulatory governmental function carried on by specified governmental units in relative isolation from other public and private agencies. The complexity of designing education, a delivery system for it, and its obvious inter-relationship and linkage to other entities, no longer permits it to operate in isolation from other governmental units. Relationships and linkages thus demanded, require that education--as well as other governmental units--develop a framework for a management appraisal system. Otherwise, education cannot be improved because it cannot become internally consistent in improving its management. It cannot be responsive and accountable without some means to determine if it indeed produces what it intends to produce in a functional, efficient, and

effective manner. Education, as a whole, does not now have this capability; furthermore, the precepts and concepts necessary to generate such capability are not being generated within the profession of educational administration and planning in any formal and organized fashion.

Certain societal awareness and some developments in the educational enterprise have resulted in this demand for education to become better planned and better managed:

1. The average citizen is much better enlightened and better informed, and is competent to raise more substantial questions about the quality of all public institutions; public policy makers are demanding fuller accountability in terms of results produced for resources expended; and there are competing priorities among legislative and policy bodies for limited monies available to support public services in health, education, welfare, employment, and other related areas.
2. New programs have been initiated and installed piecemeal on the basis of programs sponsored by both state and federal agencies; they have tended not to be installed as well-integrated

parts of a total educational system; and the result has been a series of contained and often separate management streams for the various new programs distributed among various levels of governmental agencies.

3. New technologies are available to assist managers of all public and private enterprise, especially in terms of information handling and staff training techniques; they open new opportunities for better management, and their pervasive application across the state and the nation tends to raise the norms and expectations for the capability and performance of all managers.
4. In recent years it was assumed that education consisted of a relatively little-changing and stable set of operations. By contrast, current views of the educational enterprise accepted and encouraged innovation and change leading to improvement of the programs. Accordingly, the basic orientation of educational management is shifting from emphasis on administration of relatively stable and codified operations

toward creative relationships for a
continuously evolving set of operations.

Each of these conditions leads to demands for greater information than available in the past, while at the same time making the collection of this information and communications among related parties and agencies more complicated and difficult.

Statement of the Problem

The present condition does not suggest that there has been little management of education in the past, or that educational management has been totally inadequate. The significance is that which is to be managed has changed radically over the past several years, and management approaches and orientations which were appropriate in the past are no longer adequate in terms of the expanded size, scope, and complexity of the educational enterprise. Similarly, the assessment of educational management becomes more critical, and it is imperative that systematic approaches be developed and employed by educational managers to assess the adequacy of their management for the purpose of managing better. The educational manager today can easily become overwhelmed by the increasing scope and

complexity of the enterprise he manages, the types of information required to make the decisions he must make, and the variety of persons to whom he must account. A management assessment system has as its purpose equipping the manager with a tool by means of which he can bring order to his management orientation and actions, and thus more effectively direct, enhance, and control the enterprise in terms of agreed upon goals.

Presently, there is a great need to assess the effectiveness of state departments of education, with consideration given to the total efforts of SEA's and their impact upon their constituent LEA's. Additionally, the development of a framework from which to view the inter-relationship between the USOE and the various SEA's in terms of the administration of federal funds for education and of the flow of such funds from the USOE to and through the SEA's and to LEA's is needed.

Pursuant to legislation and to executive policy, a SEA is regarded as a state's principal instrument for maintaining and enhancing the scope, quality, and utility of educational opportunities within state boundaries, and for developing proposed future governmental policy toward education. Comparable expectations are held for USOE.

Thus, program improvement in the total educational system and policy development are regarded as the major mission of both SEA's and USOE.

The major problem treated in this study was primarily the lack of a modeling device which could be applied to analyze large, complex educational organizations--with a focus on SEA's--to appraise their planning and management capability; secondarily, to generate a framework depicting selected model components of a system for reviewing the management of such organizations.

Purpose

The purpose of this study was to generate a modeling device for management assessment that provides a framework for top decision-makers to use in the appraisal of the efficiency of the large public complex educational organization they manage. The device focused on SEA's for the purpose of limiting the components treated; however, as a modeling device, it has general applicability. The device developed was general so that it will permit a manager to focus on the various subsystems of the organization and to consider them as discrete components of the enterprise. One major difficulty constantly being encountered by managers centers around the lack of a framework

from which to view the overall system. The device developed in this study should provide such a framework for conceptualization.

Delimitations

Due to the infinite possibilities and the complexities of undertaking management assessment in the total sense, this model will address itself to those aspects of management as they occur in the educational enterprise (referred to as the SEA) and especially within the framework of top management, i.e., the principal decision-making process in these educational institutions, and how the effectiveness and efficiency of educational managers may be evaluated against a model planning and management process.

Although the modeling device will not deal specifically with allied institutions such as LEA's, higher education, educational foundations, private organizations, etc., it obviously refers to them and has relevance for them. It is assumed that if the model will aid the principal decision-maker in a SEA assess his organization in a systematic manner, it would prove adaptable to any other large educational enterprise.

Methodology

The study was initiated by a comprehensive review of current literature, and this review was limited to specific aspects conceptualized in the preliminary management assessment model as they related to management assessment of educational organizations. The literature generally consisted of books, periodicals, and mimeographed papers. Also utilized were unpublished documents in the public domain that were funded by the USOE during the last two years. The review of related literature also encompassed major publications related to the study of management in order to seek relevant management assessment models utilized by other large scale complex social systems.

The review of pertinent literature was followed by a series of personal interviews with educational planners for the states of Texas, Washington, Colorado, and Connecticut. In addition, interviews were conducted with the Director of Program Planning and Evaluation of the Bureau of Elementary and Secondary Education as well as with the Deputy Director of Program Planning and Evaluation of the Bureau of Elementary and Secondary Education, and with the Director of Program Planning and Evaluation of the

Bureau of Vocational and Technical Education in the USOE. The purpose of these interviews was to ferret out any additional, recent sources related to management assessment for large, complex educational organizations and to gain inputs for refinement of the preliminary conceptualized scheme.

After completion of the refinements to the Management Assessment Model, the model was presented to a panel of experts to garner their reactions.¹

The final panel of judges selected to react to the model for the second refinement represented the following institutions: USOE, Washington State Department of Education, University of Alabama, and Mobile County Schools.

Definition of Terms

1. Management.--is a term susceptible to various definitions. No single usage enjoys general acceptance, and no one view of the matter is generally regarded as authoritative. For present purposes, therefore, meanings of "management" in education must be stipulated. The following three meanings are used here:

¹Panel of experts: Donald Rose, Harry E. Ross, Paul G. Orr, Richard L. LoDestro, Robert Bushong.

- A. Each educational agency or institution conducts activities which are intended to achieve goals, objectives, and targets. Some of those purposive activities are management activities, i.e., they serve to define, select, or clarify such goals or targets, to select and initiate appropriate activities, and to provide, maintain, and enhance the arrangements whereby the activities thus selected and initiated will deliver the desired public services efficaciously and surely. Thus, the term "management" may be used to mean management activities.
- B. Management is regarded as that portion of public education's capability which is both expected and required to select, provide, maintain, and enhance arrangements for effective delivery of appropriate public services.
- C. Management, i.e., that capability, is embodied in certain persons within each educational institution or agency, and it is built deliberately into institutionalized processes, procedures, and organizational structure; "the management" is acceptable usage for reference to the persons, processes, etc., in which the capability resides.

In these usages, an education system, structure, agency or institution is seen as a vehicle for the delivery of services. Management is seen primarily as the capability to control and direct that vehicle. By extension management is also seen both as the activities performed to control and direct the vehicle as the personnel and other resources engaged in such activity.

It should be noted that the above definitions neither denote nor connote placement of the power to command. The capability termed "management" may be variously related to the question of command authority or power. As will be described, the management of an educational agency may be empowered to command performance with respect to internal management of that agency. The same management, however, may possess only a severely limited right to "command" performance with respect to matters concerning local education agencies.¹

In another sense, management may be considered as the development of plans; the implementation of those plans; the evaluation of their appropriateness, execution, and effects; and the reformulation of the plans accordingly. A plan is used here to mean a commitment by an agency or one of its parts to take a specified series of actions over a given period of time, utilizing certain resources in prescribed arrangements, in order to attain a specified outcome. Such plans may exist in varying degrees of specificity, and they may or may not be committed to writing.

¹Public Administration Service. "Notes on a Future System for Evaluating Management in State Education Agencies" (Chicago, 1970), p. 3.

These plans may be directed toward someone or something external to the agency, or they may be directed internally upon the agency itself.

It is important to make a distinction between "formal" and "informal" aspects of management and management assessment. Formal management involves the specific lines of authority and decision-making which are expressed in the policies and organizational arrangements of the agency, both with regard to the internal organization and to the broader context (of other agencies) within which the agency exists. These are the concise, specified relations and transactions which the agency conducts. Informal management may be said to include all the extra legal decision-making authority, the ad hoc organizational patterns and power structures that operate within the agency and the total system, the redirection of formal decisions through the interpretation and the personal/political screen of the person(s) who carry out the decisions, the total political/value climate within the agency as well as within the total context within which the agency exists. Obviously, it is more feasible to get information about, and to assess, the formal aspects than the informal aspects. In the case of formal management, the decisions to be made are better

formulated, and information related to them tends to be more specific or objective. In the case of informal management, decisions tend to be highly value-laden, generally not well-defined and articulated, and information about them is difficult to objectify, obtain, and transmit. However, an adequate management assessment system should devise ways to deal with the informal as well as the formal aspects of management, particularly since the informal aspects in many cases have very significant consequences for the organization and its purposes.¹

2. Functions.--

Society created and society supports its educational system in the belief that operation of this system will produce effects or results that will be useful and helpful to the development of society. To produce such results, the educational system conducts a series of activities that are thought to be means appropriate to the ends that are specified. Any result produced by virtue of the activities undertaken is a function of those activities. The functions are not always evident or identifiable to be sure. Moreover, those functions that are observed may or may not be the ones that were sought when the activities were undertaken, and they may not prove in fact to be useful and helpful to society. If the outcomes are useful and helpful to the development of society, they may be said to be "functional." Otherwise, they are not. If they positively interfere with the development of society, the educational system and its activities, they may be said to be disruptive or "dysfunctional."

¹Abt Associates. "A Proposal for the Development of a Management Assessment System" (Cambridge, Massachusetts: Unpublished, 1970), pp. 8-9.

Thus, one dimension of the frame of reference is the concept "functional." It is appropriate to examine the results produced by any educational system in order to determine whether the system is in fact "functional" within its society. It is equally appropriate, but perhaps much more difficult to review the plans and programs of any educational system in order to judge in advance whether the system would or would not prove to be functional if those plans and programs were acted upon.¹

3. Effective.--

An educational system attempts to produce specified outcomes or "functions" by conducting a series of activities. Whether the outcomes sought are "good" or "desirable" or "useful," of course, is a question of social philosophy. However, the activities undertaken require the performance of a series of tasks without philosophical or ideological complications. It is feasible to determine to what extent each task is being performed. This is the sole question raised by the concept "effective."²

4. Efficient.--

To achieve the intended outcome of a course of action is to be effective. To achieve only such outcomes is to be efficient. If a course of action brings about one or more unintended or unanticipated outcomes, it is to that extent not efficient. It is irrelevant, in this context, whether an unintended or unanticipated outcome proves to be salutary and desirable or malignant and undesirable; these are accidental matters of good and bad fortune, hence should not intrude upon the evaluation of planning, policy, or management. The verdict of an evaluation must be "not efficient" to the extent that actual outcomes are unintended or

¹Burton D. Friedman, La Administracion Publica de la Educacion en Centro America (Guatemala: IIME, 1963), p. 15.

²Ibid., p. 16.

unanticipated. An activity may be effective, but not efficient; unless it is effective, however, it cannot be efficient.

5. Economical.---

Every educational system expends human material and financial resources. If two systems are similar in other respects, it is obvious that a very large system is almost certain to expend more than the very small one. Their total budgets constitute a gross measure of relative size, of course, but they do not offer a useful evaluative measure. For evaluative purposes, it is necessary to compare expenditures with results.

The concept "economical" considers the relationship between (a) the resources that are invested in an educational system and (b) the results that are produced through their use. Results are measured in terms of the unit cost of satisfactory production. An educational system, or any identifiable aspect of the system is not "economical" unless it is first proved to be effective, i.e., unless it actually does deliver a suitable "product"; and the system is not "economical" if its costs are high per unit of production.¹

Organization of the Study

This study was presented in six chapters. Chapter I serves as a background for the study. It outlines the purpose, procedures, selected definitions of terms, and the limitations of the study. Chapter II consists of a review of literature and a discussion of the State Education Agency as an institution considering the general functions of the agency as well as its constraints and organizational

¹Ibid. pp. 16-17.

manifestations. Chapter III presents a general model that may be used to examine the total planning and management process of the SEA. This chapter also includes the relationship of a Management Information System feeding into a Data Matrix. The Management Information System and the Data Matrix are only portrayed to show general relationships and are not within the specific scope of this study as delimited. Chapter IV was devoted to the sub-system entitled Internal Agency Management Functional Considerations. Chapter V presented the sub-system entitled External Planning Management and Process Considerations stated as a part of the general model. Chapter VI contains the summary, conclusions and recommendations for further inquiry generated by the study.

CHAPTER II

THE STATE EDUCATION AGENCY: ITS FUNCTIONS AND CONSTRAINTS

The State Education Agency (SEA) exists within a myriad of complex, convergent, and divergent settings. These settings consist of other governmental bodies, political organizations, various economies, people-- everything that in total is known as the "society" in which we live and of which we are a part. The "society" itself exists within a physical setting, a time frame, and with some type of political and economic base.

It has been theorized that education has as one of its principal responsibilities the task of preparing people to exist within their environment. Concurrent with the task of surviving people must, through education, develop the ability and desire to improve upon the human conditions.

The role of the SEA is to insure that quality education is made available to every citizen of the society

which it serves, or in the instance of the SEA, the state. It should seem apparent that a reasonable approach to assessing the effectiveness and efficiency of a SEA would be to first examine the setting in which it exists. What is the geographic setting, the economic setting, the sociological setting, and the political setting of the society? These taken together should provide the basis for a sound and well-defined educational philosophy; one that is uniquely suited for both the immediate and general society. This philosophy should be articulated by the SEA, and in turn, the agency should have clearly defined goal and policy statements that reflect both the philosophy and the setting in which it exists.

The educational system should be organized for the benefit of students and of the society in which they will function. All goals for education should, therefore, be directly or indirectly concerned with, and designed to facilitate, quality or excellence in student learning. Appropriate statements of goals are essential in every state as a basis for developing effective strategies for the improvement of learning, and for measuring progress. These goals and the strategies for attaining them provide the basis for establishing necessary accountability in education.

One of the fundamental responsibilities of every state education agency--and a major aspect of its role--is to provide the leadership and services needed to help to ensure the wise choice of appropriate goals for education and the development and continuous updating of meaningful statements of these goals, to devise appropriate strategies for attaining each and all goals, and to evaluate and provide information on the progress that is being made. But knowledgeable and representative people and competent consultants need to be involved in this process.¹ It cannot be done successfully only by staff members of the department, approved by the state board, then "imposed" on the people. In fact, before the goals and procedures are "established" it is essential that there be widespread agreement that they are the best that can be devised, that everyone concerned should cooperate in the implementation, and that local school systems should seek to develop any supplementary goals and procedures considered necessary.

To closely examine the functions and constraints of a state education agency, the following areas were

¹Edgar L. Morphet and David L. Jesser, Emerging State Responsibilities for Education (Denver, Colorado: 1970), p. 70.

reviewed: policy development, how priorities are developed and established, the types of controls that exist, the settings that affect functions, the actual functions, the problems that constraints raise, and the organization itself.

The Development of Policies

A policy is a general guide for future decisions and action. It indicates that a certain general course is to be followed but does not specify the details of the course or of the action to be taken. Thus, it leaves opportunity for individual or group initiative and creativity in planning and implementing the details. Policies, when agreed upon, should be stated in written form as one means of avoiding the misunderstanding of dissension that is almost certain to arise when an administrator, or a representative of an agency--such as the state education agency--has in mind for his own guidance some policy that has not been clearly communicated to others who would be affected.

Every state education agency should develop, to provide leadership in developing, at least three kinds of interrelated goals and policies: (1) those relating to its own organization and operation, (2) those pertaining to the

organization and operation of the educational program in the state, and (3) those pertaining to its relations with other agencies, institutions and organizations within and without the state. As previously noted, the kind and scope of policies that may be developed by a state education are restricted in some respects by legal and other provisions, but the policies developed by the agency may, in turn, result in the modification of some of these restrictions.¹

The Development and Establishment
of Priorities

Partly because of the lags and deficiencies in education during prior years, and partly because of emerging or newly recognized needs and complexities, it probably would not be feasible for any state to attempt to implement all important improvements at the same time. The demands on the staff, the students and the economy usually would make this impractical, and the lag in understanding of the need by substantial numbers of people probably would mean that it would be impossible to achieve. For these and other reasons, priorities and sequential steps in effecting

¹Morphet and Jesser, Responsibilities for Education, p. 71.

needed improvements in education will undoubtedly need to be established in every state.¹

Among the criteria that should be considered in establishing priorities are the following: (1) the human concerns--the activities, programs or changes that will contribute most to the solution of both the current and long-range problems of society; (2) the range of influence--the potential significance for substantial numbers, or at least for the seriously disadvantaged, of the proposed change; (3) the feasibility--the probability that what is proposed will make a significant difference; and (4) the prospects for an expanding public acceptance--that is, the probability that the change will attract enough favorable attention that it will soon be accepted in many parts of the state.²

The ability of the managers of an agency to effectively achieve the educational goals that have been selected with a minimum of resources, human and financial, would be an indicator of their management capability.

This discussion deals with the ambient or climate within which the educational bureaucracy operates and with

¹Ibid. p. 73.

²Ibid., p. 72.

which it interrelates. It will analyze those factors that, if properly established and executed, should lead to an orderly educational process existing within the sphere of influence of the SEA. The manager must develop the ability to look at his organization, the people in it and of course himself. He must then develop a means of putting them together in a manner that will best accomplish the achievement of the agency goals.

The essential purpose of organization is to multiply individual productivity to obtain greater results through joint human effort. The basic assumption underlying all organizational concepts is that efficiency is gained through specialization, which can take the form of minute work processes or entail overall planning and decision-making. The characteristic approach to dividing a project or function into specialized work segments is mechanical, sterile, and wasteful of human resources. To realize the huge untapped potential of human productivity, the division of work must be predicated upon the strengths of individuals even though it may not facilitate a neat and orderly organization structure.

J. D. Batten stated that:

Building on strengths requires knowledge, understanding, and acceptance of yourself and your associates.

It also requires a creative and flexible approach to the assignment of tasks and functions in order to match the demands of the organization with the peculiar and changing strengths of its personnel. There is a tremendous gap between what people are doing and what they can do. It is impractical and idealistic to assume that we can jump this chasm with one great leap forward, but the gap can and must be bridged a plank at a time.

For example, some methods of bridging the chasm follow:

1. Identify and define your own strengths.
 - A. List what you know about yourself, beginning with such characteristics as age, physical traits, interests, and stamina.
 - B. Develop a calculated schizophrenia--the ability to observe yourself in action.
 - C. Expose yourself to new and different situations.
 - D. Keep a written diary documenting your day-to-day observations. Periodically review it for recurrent patterns of behavior.
 - E. Find out what other people think of you and put their opinions in writing.
 - F. List your successes and extract the major contributing factors. As you concentrate on these successes, any failures should become insignificant.
2. Get to know your associates and staff as individuals.
 - A. Develop empathy and work hard at applying it.
 - B. Develop a close operational involvement with your subordinates. Give them as much of your wisdom and experience as you can, consistent with logical autonomy and accountability.
 - C. Keep anecdotal records describing specific instances of your involvement with your staff in both professional and non-professional situations.

- D. Utilize psychological test results and personal evaluations of others, but do not weigh them unduly in comparison with actual performance.
 - E. Make use of special projects or assignments to give your people the opportunity to display strengths not called for by their regular jobs.
 - F. Prepare a written profile of the strengths of your people and regularly revise it as they develop and change.
3. Define in writing the performance requirements of the organization.
- A. Describe company objectives, both short- and long-range.
 - B. Break each objective down into the discrete tasks necessary for its achievement.
 - C. Break each task down into steps small enough that they can be assigned to a single person.
4. Match individual assignments with individual strengths.
- A. Change assignments as objectives change.
 - B. Change assignments as people change.
 - C. Assign specific tasks to yourself according to your own strengths, not according to your title or because of a stereotyped image of what a manager should do.
 - D. Be flexible. Move quickly to change assignments when you are certain someone else can perform them better.
 - E. Don't let weak performers cause you to overload strong performers. Either build up the weak links or replace them.
5. Above all, become a part of your organization-- don't hold yourself apart from it. Management is more than "getting things done through people"; it

is getting things done with people. You must work with your staff, not hover over them, to perceive, balance, and build on their strengths.

It is quite clear that the future of the free enterprise system in this country, as in the world, rests squarely on the shoulders of its representatives, the chief executives of the companies that comprise that system.

The world is experiencing an increasingly dynamic process of change and predicate the development of our organizations upon change, not upon obsolete concepts designed to maintain the status quo. The whole notion of fixed organizational lines of authority and precise functional assignments is an attempt to achieve a static condition and cannot possibly measure up to the challenge of a dynamic, changing environment. Organization in the future will more and more have to assume an identity of its own; a structure which, like the human body, constantly builds new cells, develops new muscles, changes its internal chemistry, and learns new patterns of behavior. The challenge of the future is to design this organism in such a way that change is self-perpetuating and based on the realities of the environment.

Quite frequently an organization--which may be among the greatest and best known in the world--will establish a rigid structure and pattern of business practice--and stick with it until it becomes so dislocated from its contact with the realities of the market that a major shake-up is required.

As similar profiles of subordinates and associates are developed, a need arises to start thinking about how their strengths can best be used--how they can be focused and directed toward the realization of basic company or department goals. This takes a great deal of skill because you are dealing with a wide range of talents and strengths which you must match with the many tasks and functions for which you are responsible.¹

¹ J. D. Batten, Developing a Tough Minded Climate for Results (New York: American Management Association, 1965), pp. 170-229, passim.

At this point it would perhaps be timely to discuss at some length some of the concepts that deal with "mission functions and management process." They are:

Advise, ascertain and assure are key words in the SEA mission.

They advise the parent government on the subject of education and on the desired state of affairs within the state-wide educational system.

They ascertain whether the desired state of affairs exists throughout the state.

Wherever affairs are below par, the SEA is expected to assure that corrective action takes place.

There are several fairly definitive concepts that constitute what can be called management processes. They are defined below:

Anticipating Futures.--Systematically considering the conditions and circumstances the agency and the state-wide educational system may confront some years hence.

Planning.--Clarifying or establishing the purposes, goals, and objectives that the agency and the state-wide educational system shall pursue during the near future.

Programming.--Conceiving and elaborating possible means of achieving the stipulated purposes, goals, and objectives.

Financing.--Deciding on resource requirements, and undertaking to obtain the needed resources.

Budgeting.--Reducing longer range plans, priorities, and policies to detailed plans of operations for the coming fiscal period.

Controlling.--Determining that activities are performed as planned, programmed, and budgeted, and that each work plan is executed.

Organizing.--Showing the agency's own structure (1) to conduct its activities, and (2) to derive maximum advantage from staff talents, while allowing maximum leeway for staff predisposition. Similarly, shaping the structure of the state-wide educational system.

Staffing.--Determining personnel requirements, then recruiting, selecting, developing, and rewarding the personnel actually engaged.

Administering.--Day-to-day decision-making, scheduling, supervising, and coordinating or work, in optimum fulfillment of the planned, programmed, and budgeted activities.

Evaluating.--Measuring and judging the extent to which activities--duly planned, programmed, budgeted, and executed--are achieving the intended purposes, goals, and objectives.

Relationship Building.--Maintaining a constructive liaison with each of the "publics" of the SEA and of the state-wide educational system, and devising or encouraging new arrangements for interdistrict, inter-governmental, and intersector cooperation or coordination of effort.

Institutional Development.--Seeking superior means to resolve operating problems encountered within the activities of "education" broadly conceived.

Programming is a management process which links plans to budgets, and has other implications as well. Planning establishes or clarifies goals to be pursued; programming explores plausible alternative means for pursuing them; budgeting decides specifically what shall be done during a forthcoming period.

Programming is the process by which management undertakes to learn what the options are.

Financing is the process by which a state education agency first determines what the requirements are for financial support and then proceeds to seek to obtain the resources needed.

Budgeting is addressed in two essentially separate aspects:

1. As an executive department of state government, a SEA must develop and execute its own plan of operations for the forthcoming fiscal period, expressed partly in financial terms, indicating which unit of the agency will perform which tasks, during that fiscal period, at what costs and to what ends--its own internal operating budget.
2. As state government's intelligence center regarding the state-wide educational system, a SEA has the opportunity and obligation to distribute financial resources equitably, intelligently, and purposefully from the state's coffers to school districts within the state.

It takes into account the resources available locally, it applies the policies, priorities, standards, and criteria stipulated by state government (federal requirements being incorporated in these), and it makes decisions regarding the plan of operations for the state-wide system.

Controlling is instrumented through financial accounting. "Stewardship" commonly is considered in terms of fiduciary or fidelity aspects, but it also has a substantive aspect focused on performance and achievement. Controlling involves accounting and auditing, and evaluating and assessing.

Evaluating may be defined as a management process of measuring and judging the extent to which activities --duly planned, programmed, and budget--are executed and are achieving the intended purposes, goals, and objectives.

Results of evaluation are fed back into planning process, where the suitability, feasibility, and validity of each purpose, goals, or objective are periodically reexamined, so that priorities may be altered and past choices reconsidered.

General areas of evaluation are: (1) the agency's own activities and their outcomes, as a part of internal management of the SEA (evaluation); and (2) evaluating the management, the performance, and the outcomes of efforts made throughout the state-wide educational system by the many schools and school districts (assessment).¹

The planning process has improved dramatically during the past few years. It is rapidly becoming a science rather than an art enjoyed by a few. A planning technology is being developed that encompasses many tools.

Examples of specific planning tools now available include the system approach, planning-programming-budgeting system (PPBS), modeling and simulation, program evaluation and review techniques (PERT), critical path method (CPM), cost/benefit analysis, needs assessment, etc.

Central to the new planning technology is the careful formulation of objectives and the establishment of a priority order for acting upon them, the stipulation of product performance specifications by which achievement of

¹Public Administration Service, "Grants Management: State Education Agencies and the Office of Education" (Chicago, Illinois, 1970), pp. 33-52, passim.

the objectives can be measured, and the analysis and the selection of alternative means for meeting the objectives.¹

Some of the essential elements of organizing for planning follow:

1. Decision-Making Function.--must be closely tied to decision-makers at all levels.
2. Specialized Planning Unit.--composed of personnel with technological planning skills. Occupies role both of catalyst and of feasibility factor in achieving the extensive, systematic planning which is proposed. Central idea of the unit's purpose in every state involves the development and utilization of planning specialists. Coordinate or perform certain aspects of planning, provide technical assistance to others in their planning activities, and provide training in planning technologies.
3. Coordination of Agency Planning
4. Educational Liaison within the State.--For the achievement of comprehensive state-wide planning, it is essential and imperative that the interested state agencies be drawn together in the planning processes. The need for state-wide educational liaison extends also to intermediate and local education agencies, educationally-related professional groups, business and industry, relevant community segments, and to parents and students.
5. Intergovernmental Planning Coordination.--State education agencies must correlate planning within their own realm, and also play an active role in articulating its functions with other agencies having related responsibilities.

¹Bernarr S. Furse and Lyle O. Wright, Comprehensive Planning in State Education Agencies (Salt Lake City: Utah State Board of Education, 1968), p. 7.

6. Liaison with other States and the USOE
7. Planning Strategy: Guidelines for Operation--
Procedures must be outlined in all the detail necessary to insure successful functioning. Operational guidelines must describe what each element in the planning structure is to do, and how it will relate to and work with each of the other elements. Requisite procedures at all levels and for all phases of planning will be included.
8. Training in Planning Technologies--Planning unit specialists should be trained in depth in the system approach and in additional technologies.
9. An Information System for Planning--If the essential elements for planning are evidence, there are several other characteristics that must be considered in the development of a planning mechanism. Resources must be allocated to the following objectives:
 - A. Establish an appropriate mechanism in each state that enables it to plan systematically and comprehensively for educational development.
 - B. Introduce into that mechanism an appropriate technical component that will enable its planning to be based upon systematically and valid study and evaluation of education.
 - C. Relate the mechanism appropriately with action agencies--most specifically the state legislature and executive department--so that state-wide, comprehensive plans may be translated into new action programs and mandated by those agencies.
 - D. Relate the planning mechanism appropriately with other educational institutions--specifically, colleges and universities, local school districts, and the private sector of education--to influence the future planning of their responsive action programs.¹

¹Ibid., pp. 20-21.

To be effective, the planning mechanisms which are established should have the capacity to:

1. Elicit inputs from all relevant constituent elements within the state.
2. Assimilate appropriate inputs into an integral whole, and to specify goals, priorities, and objectives of the planning.
3. Translate these goals, priorities and objectives into alternative courses of action, based upon technical study and evaluation.
4. Feedback alternatives to constituent elements for reaction and further input.
5. Mediate reactions as advantages and disadvantages.
6. Decide on appropriate, achievable, and defensible comprehensive plans for state-wide educational improvement.
7. Advocate acceptance of plans by responsible agencies and institutions.¹

Dalton E. McFarland in his book, Management: Principles and Practices, refers to the three major components of execution management: control, planning, and organizing. Of these latter two, control is most closely related to planning. In fact, the terms planning and control are used interchangeably in the designation of departments which carry out planning, scheduling, and routing.²

¹Furse and Wright, Comprehensive Planning, pp. 24-25.

²Dalton E. McFarland, Management: Principles and Practices (New York: MacMillan Co., 1964), p. 406.

A definition of control as the state of a given system is "that function of a system which provides direction in conformance to the plan," or "the maintenance of variations from system objectives within allowable limits."¹

The key elements in administrative control are (1) standards or objectives, (2) information and observations about existing conditions or current events, and (3) administrative action and decision designed to assure that activities, events, actions, or conditions correspond to the predetermined needs and goals of the company.²

Types of Controls

Among the most frequent and most useful controls are (1) observation, audit, and review; (2) example; (3) records and reports; (4) standing limitations; (5) standing rules, orders and procedures; (6) budgets; (7) censure; and (8) disciplinary actions. The first six are described as positive controls, while the latter two are referred to as negative controls.

¹McFarland, Principles and Practices, p. 406.

²Ibid., p. 407.

Effective executive control results from action along two major lines: (1) that which is directed toward the weaknesses and strengths of human beings in the work situation; and (2) the establishment of systems, procedures, and mechanisms useful in controlling the residual dangers which stem from weaknesses in other areas of management and in our ability to predict fully and to influence the behavior of people.

Control is defined as a situation in which results are occurring as planned or intended according to standards. Control measures are designed to keep actual results in line with intended results. Measurement processes are valuable in setting standards and in comparing results, but some results are not capable of being reduced to measurable terms, so that executives must learn to balance considerations of what can only be estimated with what can be measured. They must recognize that control consists of measurable and nonmeasurable factors.¹

A few of the obstacles to effect planning are:

1. The Time Span

- A. As the time span with which the SEA is concerned increases, the accuracy of planning tends to decrease. Contributing

¹Ibid., pp. 415-421.

to this situation is the fact that a greater span of time affords more opportunity for unanticipated outside events to occur.

B. The present plays a much stronger part in a decision-maker's thinking than he may realize.

2. Unpredictability of Events

3. Mental Ability

A. The mental process required by planning is by necessity passive, not active. The manager, habituated to action, is not favorably inclined to sit at his desk and think.

B. Creative abilities are short in supply.

4. Lack of Information

A. Lack of sufficient information or by deficiencies in quantity or quality.

5. Administrative Hinderances

6. Psychological Barriers

7. Consideration for the Human Element¹

Public Administrative Service defines management in SEA's as "internal" and "external." This means that each state has goals and objectives for the state-wide program and another set of goals and objectives for the management of the agency in order to achieve the former. It also lists and describes the functions of a SEA, and

¹ McFarland, Principles and Practices, pp. 85-88.

and the manner in which the management of these functions can be evaluated.¹

The processes of internal management are identified as: (1) anticipating futures, (2) planning, (3) programming, (4) organizing, (5) budgeting, (6) financing, (7) staffing, (8) administering, (9) controlling, (10) evaluating, (11) institutional research and development, and (12) relationship building.²

Early in the chapter, reference was made to some of the "settings" that the SEA exists within; perhaps these should be examined in more detail since they are so important when viewing the functions that the SEA performs. These functions are those that are common to all SEA's, even though different agencies may perform them in slightly different ways. The settings are:

Geographical.--A society exists within a geographical setting. The geography of an area greatly reflects the nature of the society it contains. The beliefs, mores, concerns, needs, physical characteristics, tools, clothing,

¹Public Administration Service, "Notes on a Future System for Evaluating Management in Education Agencies" (Chicago, April, 1970).

²Ibid.

habitat, machinery, speech, government, etc., are attributable to the geographical area from which they evolved.

Managers cannot perform their tasks without either consciously or subconsciously taking the geography of an area into account.

Economic.--It is readily apparent that the sophistication of any society is potentially proportional to its economic level and stability. It is apparent that any agency that performs within a comfortable economic setting has the potential of greater excellence in the performance of its functions than those that do not possess the advantages of economic affluence.

The type of economy is nearly as important as the level. A rapidly fluctuating economy may or may not result in an educational enterprise that excels. The economy with a sound basis for its existence, one that enables a steady rate of growth and development, attracts the type of people that demand an educational enterprise that excels, and they, in turn, can and will provide the fiscal resources that will support it.

Top management of a SEA must be able to accurately assess the economic climate of the state and assimilate its findings into the budgetary structure that is developed.

The budget process has to realistically achieve a balance between that which is desired, and that which can be afforded. This involves an understanding of all aspects of state government--the aspirations and requirements of other governmental agencies as well as those of the educational enterprise.

Sociological.--It is somewhat difficult to separate the sociological setting from any of the others mentioned. In truth all become interrelated and interdependent. For purposes of this study, however, its sociological setting may be considered to consist of the physical (geographical), political, religious, theoretical, aesthetical, and the economic climates that are contained in a given society. In a sense, this becomes the ambient.

Political.--The political setting of the SEA is one that must not be treated lightly. The Chief State School Officer (CSSO) can perhaps be considered the chief lobbyist for the educational enterprise in the state. He and his management team must be keenly aware of the "politics" that exist between and among all the agencies of state government in particular, and the federal government in general. He and his staff must be cognizant of the existence of pressure groups such as chambers of

commerce, unions, leagues of women voters, business and industry, public utilities, etc. They must also be aware of the art of bargaining, strategy-planning, leading, swapping, etc.; that is the heat of politics. This cannot be learned from textbooks; it must be developed by "being there" and working with the people, committees, and leaders that mold and shape the political environment. He must develop an "awareness," "a sixth sense" of what is happening and what the probable consequences "of that which appears to be occurring" will have on the educational enterprise.

The political arena probably has the greatest degree of disparity between what seems to be happening and what actually happens than all other areas generally recognized in society.

Unless the CSSO and his management team can accurately read the political setting in which they must exist, their chances of real success will be limited.

Functions

After the establishment of the goals and priorities based on the philosophy of education adopted by the SEA, it is in order to develop a taxonomy of functions that are performed either implicitly or explicitly by the agency.

A function is one of a group of related actions contributing to a large action that is expected from the SEA by legislative mandate, administrative order, or traditional performance. In order to accomplish the work established for the agency, it is essential that all functions be served. These functions will be service either knowingly or unwillingly, and, consequently, may be carried out efficiently and effectively or ignored and performed poorly. The term effectiveness in this sense is used to connote the accomplishment of what the managers have determined they choose to accomplish, and the term efficiency is used to mean that these effective actions were accomplished with the least amount of unintended consequences at the least per unit cost.¹

Any agency must perform all the functions that are assigned implicitly or explicitly. These functions are at times seen in an organizational chart, but are more often combined and are cross-departmental. A functional approach to management and organization lends itself to the establishment of Program Oriented Management Systems whereas the traditional structure has tended to operate in a setting

¹Chester Barnard, The Functions of the Executive (Cambridge: Harvard University Press, 1937), p. 78.

that encouraged various functions to be minimized and often not recognized. The concept of a systems approach to the analysis of management is clearly demanding the recognition of functions and leads to the concept of program budgeting, if resources are to be allocated in program support and in order to emphasize the priorities determined by management. The taxonomy of functions provided in this model is only one of a variety of ways that the work of an organization may be viewed, but the taxonomy does provide one way of discovering the reasonably discrete actions performed by a SEA. The model does not require agreement on the specific functions, but it does require a functional taxonomy that is complete so that the functions of the agency may be described in total. For purposes of this study, one set of SEA functions has been identified. It should be noted that these functions, with the exception of leadership which was described as "direction setting" and without the "regulatory" function, were postulated in a position paper considering, "Management Assessment System," written by Charles Nix of the Texas Education Agency.

1. Leadership Function
2. Planning Function
3. Evaluation Function

4. Fund Flow Function
5. Research Function
6. Program Development
7. Regulatory Function
8. Information Flow Function

Leadership Function

The function of leadership is the setting of the climate for productive agency results. It includes the generation of a moral, social, and management tone that permits the agency to establish itself as the educational leadership force in the state. It is based not only on the legal power held by the SEA, but also on its ability as an agency to create moral pressure for quality education throughout the agency and the state. It also calls for the development of a charisma that draws local education leaders as well as political, social, and religious leaders to the support to public education.

The leadership role has at least two aspects that are readily identifiable. The internal leadership requirement that permits the SEA to focus its efforts of efficient internal operations, and the external leadership role that permits the agency, as an agency, to establish itself

as the corporate leader promoting quality educational performance and legislation throughout the state system.

Planning Function

The function of planning, as considered in this model, centers on the development of a comprehensive plan designed to generate alternative courses of action that are viable for the SEA to pursue. Included in the planning function is the assembling of the necessary reports utilizing a systems approach in order to establish the present status of the SEA. Incorporating the knowledge of the present status of the agency and coordinating these data with the goals, priorities, and objectives, it is then possible to develop activities for the various agency components and a program structure that is viable. Planning technologies should be used to examine the totality of the present and be the vehicle and management tool by which alternative futures are assessed. Planning is a dynamic process that calls for continual updating and needs to be responsive to the various agency clientele. The function of planning is part of the management process, and as such, is not a discrete entity unto itself, but like all other functions, it is interrelated with the nature of the on-going bureaucratic structure. Planning, if properly

utilized, is the direction-finding device in the bureaucratic organization, but decision-making by top managers is the direction-setting device. Since the management of any bureaucratic structure is a complex process which has a variety of shifting, interacting components, any futures planning must take into account the pace of change in the organization, in the people within the organization, and the general society as discussed in the "Ambient Section" of this model.

Evaluation Function

Evaluation as required in the model presented is the assessment of the ability of the SEA to meet the outcomes described as priorities and objectives in terms of the time allocated for their completion. The evaluation process is composed of three main types and the findings from these three main types of evaluation serve as the feedback and guide to the updating of the agencies total plan and organizational requirements. These three main-line evaluation efforts are:

1. Product Evaluation.--The evaluation of products by the agency in the furtherance of its mandated activities.

2. Performance Evaluation.--The evaluation of the specific performance of individuals, organizations, or program operations.
3. Procedures Evaluation.--The evaluation of the efficiency of procedural flows of people, forms, materials, etc.

All evaluation considers the value of the product, procedure, or performance being considered and should provide for a specific audience those data required upon which to base decisions. Unlike research studies, evaluation studies make value judgments and may or may not be a replicable study. Evaluations need to be made of those things that occur once and are terminated and also of those things that are continuing and affect the total state and, hence, should be replicable.

In all evaluation it is essential to decide at least the following things:

1. Who is the client requesting the evaluation?
2. What questions are appropriate to seek answers for?
3. What variables can be quantified enough to allow them consideration in the study?

4. What level or degree of technical precision is required to adequately perform the evaluation?
5. What level of abstraction is required?
6. How much time will be required for the study?
7. Who will do the study?
8. What unusual needs are apparent if the study is to be successfully completed?
9. Reports that are generated should reflect the degree of sophistication of the report consumer.

Evaluation is a nebulous and elusive property, and yet the successful operation of any large, complex social system requires evaluation as the feedback and guide to improving agency operations.

Fund Flow Function

The function of funds flow is best described by delineating its sub-functions which are generally classified under four broad categories. The four categories are:

1. Administration.--This function can be summarized and classified into five steps. They

are: planning, organizing, commanding, coordinating, and controlling.

2. Budgeting.--This function facilitates the control of expenditures, identifies key elements in the management of funds, facilities and personnel, appraises the operation of the program, and specifies objectives in financial plans.
3. Accounting.--This function serves to record and analyze receipts and expenditures of a system so as to enable the system to effectively operate, report, and budget its programs.
4. Reporting.--This function deals with the production of financial statements, evaluation reports, annual reports, and any other reports that are deemed necessary in the operation of the system.

The sources of funds for a state education agency are multifaceted, although the bulk of the funds is derived from the state legislature and the U.S. Office of Education. However, it would be well to remember that a SEA can also receive funds from private foundations and from investments that were made from public funds.

When the funds arrive at the SEA from their sources, they are disbursed in many directions. Some of the funds would remain with the SEA and be used for administration. Another portion is distributed to local education agencies where they are used for various programs. Still another portion is used for consultants and contractors who might be retained by the state education agency or local education agency for many reasons. Finally, they may also be used to purchase services from other agencies of state government and institutions of higher learning.

Research Function

There is some controversy concerning the role of the SEA in educational research. Traditionally, the typical SEA has a component within its organization referred to as R and D (Research and Development). In general, this unit has been more closely identified with information gathering than it has with what is considered "research." Rivalry has developed between state agencies and institutions of higher learning over the research function. It has been argued with some success that a state agency should not attempt to delve too deeply into the actual area of educational research. It should, instead,

make use of its resource base to stimulate others to work in this area. This would enable it (the SEA) to be aware of work in the field; exert a degree of influence in its development, and help direct favorable outcomes.

If this approach can be considered valid, it would follow that the research function in the state agency would become one of grants management with all its implications (discussed later in this chapter) and would not require personnel with research backgrounds. It might further result in the state agency working more closely with institutions of higher learning than they appear to be doing at the present time. They would no longer be competing for funds in state legislatures to work in areas that outwardly appear to be duplicatory.

Program Development Function

Traditionally, "programs" at the state level have evolved from "pots of money," most of which have been stimulated by the U.S. Office of Education, especially since 1965. This type of development has created problems. The more obvious of these are "empire building," i.e., program managers operating independently of one another; confused line staff relationships, and the U.S. Office

of Education exerting undue control over programs at the local level.

Perhaps it would be well to identify program. It would seem that a program is that which is designed to achieve an educational objective. It must be the result of an expressed need that has been arrived at in a rational manner. It must include a plan for execution and evaluation, a time frame, cost estimates, and resource allocations. The properly developed program must include as many agency personnel in its development and execution as required. It is incorrect to speak of Title I, for instance, as a program. Title I (ESEA, 1965) is a funding source designated to place more money in those areas that it is felt are educationally deprived. It is a "fund source," not a program. This is but one example of many improperly labeled programs at the SEA level.

It is the role of the top management in the SEA to organize itself in a manner that is consistent with its role, which presumably is to assist the local education agencies in the development of quality education within the state. It would appear, therefore, that its task is to make certain that there are clearly defined goals and measurable objectives for education within the state. Then,

programs must be developed, making use of all available resources that will best achieve the intended outcomes. Part of the development of these programs is to organize the agency in such a way so as to best compliment the programs. This organization must be flexible and aware of the ambient discussed earlier. It is management's role to see the programs are planned, funded, and carried out. It becomes the administrator's task to do the work. Following an understanding by the management team of resources, legal requirements, etc., the organizational pattern must be established. The pattern must be able to accommodate new programs, as well as amend older ones with a minimum of difficulty.

Regulatory Function

The regulatory function is a primary function of all SEA's. The regulations are those that have been developed by the legislative body, by the federal government, by the state board (if one exists), and by the agency itself. It consists of all the rules and regulations that local education agencies are expected to adhere to and all are designed to provide an equal, minimum education throughout the state.

The length of the school year, the length of the school day, minimum approvable programs, teacher training and certification, school building plans, etc.; these are but a few of the more common regulations that the SEA must enforce. In most instances, the regulatory authority is enforceable by withholding state funds in instances where the local education agency fails to comply to standards. However, persuasion is more often used than actual enforcement. This generally suffices since most local education agencies experience little difficulty in meeting minimum standards, with a possible exception in the employment of fully certified teachers, especially in rural and/or inner city areas.

Information Flow Function

A major responsibility of the SEA is managing the flow of information, both internally and externally. Information comes from many sources and appears in many forms. All decisions of the educational enterprise must rely upon the information that is available. It follows, therefore, that the information must be accurate, concise, readily retrievable, and always relevant.

The planning capability of the agency can only be accomplished when an adequate information system is

available. The system must include such things as environmental information, educational information, personnel information, outcome information, property information, and work measurement information.¹ There are many other types of information that may be required in specific areas. Management personnel, those in the decision-making role, must rely on their information base in order to direct the agency in any purposeful manner. The accuracy, sufficiency, and retrievability of information is perhaps the single most important ingredient of "good" management.

Information must be available for various types of clientele. The U.S. Office of Education, local education agencies, other agencies of state government, institutions, legislatures, and the news media are several examples of clientele that request information of different types and degrees of complexity. It is paramount that these various requesters receive their information when they request it; it should be accurate and pertinent.

¹Institute for State Educational Planners. Paper presented to the Conference held at Mankato State College, October 17-25, 1968. p. 34.

Problem of Constraints

After considering the general functions essential to any SEA, it is important to analyze the problem of the organizational constraints that impinge upon the successful execution of the functions. The organizational configuration of the SEA should be designed to efficiently and effectively accomplish the missions of the SEA within the constraints, conditions, and resources realistically expected to influence the functional operations. The operational environment in which most SEA's exist is generally hostile to the accomplishment of objectives. Each potentially troublesome condition in this environment must be correctly assessed and effectively dealt with. The basic components of this environment (interacting, interrelated system) are: (1) political, (2) legal (includes legislative and administratively delegated authorities and responsibilities), (3) financial, (4) geographical, (5) economic, (6) social, (7) organizational or intergovernmental, and (8) philosophical. The operational climate noted above is the scene in which the chief administrator (Chief State School Officer, State Superintendent, Commissioner of Education, or similar position) of the states' educational programs operates administratively

to conduct and direct the overall management of the state-wide system of schools.

The individual style of the Chief State School Officer (CSSO), a balance of his personal strengths and weaknesses must, if he is to be effective, still blend compatibly with the prevailing conditions or operational climate. While the CSSO is the key focal point of the many executive actions, the very nature of education's public visibility requires the chief to become involved in external affairs to the point where he cannot, under any reasonable expectation, personally become involved in all the myriad decisions required in such a huge enterprise. This fact mandates delegation built in with accountability measures to assess continuous operation.

The echelon of subordinates who report directly to the CSSO must be given full responsibility for the management programs assigned to them. The essence of this premise is to effectively free the CSSO from the routine, daily decisions so that he can make and maintain the many high-level contracts and associations with other agencies, interest groups, top decision-makers, the interested general public and their representative--the many advisory committees. The primary line staff of the SEA can, under

this arrangement, provide pertinent information to the CSSO as needed and bring to his attention unusual situations which require his involvement. Under this balanced arrangement, each officer in the organization knows his area of responsibility and can be held accountable for it, but still he can effectively serve as a member of the management team.

While the organizational structure must be based on its role and mission, its design must take into consideration staff capabilities, and commonalities and differences of the required functions.

Style of the Chief State School Officer

Nothing more greatly influences the effectiveness of a CSSO as does his style of human interaction and personality. While this style may be "personal," it is also influenced by the nature in which the CSSO came into his position and continues in it. For example, the CSSO, in a state where he is elected, and he is of the party consistently elected in the majority of seats of the state legislature, can count on board support for decisions he makes, provided he cultivates this obviously valuable reservoir of support. Such a CSSO can make controversial

decisions much more easily than could one elected by board state-wide public support, but one who holds membership in the minority party of the legislature.

There is no single "ideal" model style, but the ones currently operating most effectively are a carefully honed balance which meets the particular state-wide environmental climate.

One very important consideration to be considered when thinking of CSSO's management styles, etc., is the importance of the decision-making process. The human factor in decision-making thought of as a limitation is often referred to as the principle of bounded rationality--the manager can rarely make decisions in the sense of having complete information and perfect insight.¹

Organizational Environment

One constraint not often considered in assessing the SEA's effectiveness is the environment in which the organization must operate. The SEA is always a part of the larger state government. It establishes and maintains relationships with other agencies of its own state

¹ x D. Richards and Paul S. Greenlaw, Management Decision Making (Homewood, Illinois: Richard D. Irwin, Inc., 1966), p. 29.

government, including all branches: local educational agencies and boards; the federal government's agencies and branches; private and non-profit organizations and institutions; etc. This constraint is a condition which exists, which can be modified to some extent, and, if understood, can be utilized to advantage in achieving the SEA's mission and supportive objectives. It is really the sum total of all conditions, resources, influences, and their effect on the organization, including its own information structure.

Available Human Resources

Without question, the human resource availability (quality and quantity), is the single most important constraint consideration. The human resource is really an exponential factor in type. The more expert, adaptable, creative and imaginative the SEA's personnel, the more efficient and effective it becomes. An example of the exponential resource factor is when the SEA's research arm can develop applications and proposals for obtaining resources from non-state sources to carry out its educational plans; it enlarges the state's ability to meet its educational needs, but while doing so, it brings greater fiscal and personnel resources to a state. There is an optimal

level for such resource acquisition beyond which diminishing returns set in which is an important caveat to cite in this regard.

Providing a commensurate salary structure is also important to the development of a highly competent staff, but important though this is, it must be carefully related to career development potential in the organization. Salary and upward mobility potential are intrinsically linked, and when managed correctly, can serve to motivate and provide effective incentive, both for bringing qualified staff to the state and to keep them productively employed. Staff development has historically received the lowest priority attention by SEA's. Reasons for this prominent practice are varied but most related to a belief that staff development is (1) the personal responsibility of the professional staff member, (2) an expense which can be avoided, and (3) takes valuable time away from the duty station. None is really substantiated by fact. A model SEA organization should include provision for continuous staff development. This requires separate staff and adequate financing to support a variety of staff development experiences. Examples of development activities are (a) short- and long-term exchanges within the state government,

local, and federal government, (b) sabbatical leaves for professional development, (c) seminars and workshop institutes of all kinds, (d) planned tours to observe practices in other states, (3) encouragement to participate in out-of-state conferences and clinics, and (f) provide financial and promotional incentives for active participation in staff development activities.

Physical Resources

The condition and location(s) of office space to house the SEA also directly influences its effectiveness and productivity. Corporations and businesses traditionally are much more concerned with the spatial considerations. Large influential corporations almost universally consider the adequacy of office space as paramount to the conduciveness of effective decision-making. These large firms think nothing of spending the equivalent of a key official's annual salary in decorating and furnishing his office suite. The premise upon which this rationale is based declares that if just one decision is positively influenced by the amenities and immediate office environment, it can pay for the added cost by increasing profitability in one major transaction or decision.

Psychological influences of space which give the executive a feeling of importance and impress his official callers as to his rank and standing in the organization affect his performance in some way. Public agencies, like SEA's, somehow have been over-concerned with possible public reaction to managing its space under the corporate example. The trend has, however, been broken by the installation of wall-to-wall carpets in schools, air conditioning of class rooms, and by considering the aesthetic influences on learning in the class room. Yet, the trend is extremely slow.

Location of such space is also becoming a crucial constraint. The location impacts on employees commuting to work, convenience to official visitors, accessibility to transportation facilities of all kinds, convenience to the maintenance of frequent contacts with other government agencies, etc. SEA's, not unlike other growing government agencies, are located in prime office space locations, and are almost all limited in expansion by historical and precedent conditions. Options are few and mostly unsuitable to housing all SEA staff in one building which is of recent vintage and meets minimal housing standards. Scattered sites for locating staff adds immeasurably to problems of

communications and also contributes to isolation and resultant feelings of separatism. This latter phenomenon contributes undesirably to interagency rivalry which can result in mutual undermining of efforts, thereby reducing an agency's ability to achieve the optimal level of performance.

Fiscal Resources

The implementation of any strategy for program operation, be it maintenance, expansion, or redirection, always involves the deployment or redeployment of fiscal resources. The complexity of this constraint cannot be overstated for the SEA because it administers funds from several sources, some which must be maintained without co-mingling and which require multiple accounting to sustain an adequate fiscal data system for management and reporting. Allotment of fiscal resources available to the SEA requires a management information system of considerable sophistication. Since state legislatures, like the Congress, have a propensity for assigning funds through categorical grants, this means that earmarking prescribes the potential utilization and limits the flexibility of fund application. The merits of this factor is not debated

here, but the effect on decision-making underscored. Discretionary funds have much wider flexibility in management and program decisions, but such funds generally account for only a very small portion of the total funds available.

The combination of legal and regulatory restrictions on the use of public funds for educational programs is only one factor in overall constraint. Added to this compliance-oriented condition is the consideration of local revenue generation and expenditure. One of the prime functions of a SEA is the equalization of available financial resources. The assessment of the efficacy of SEA's must take into account the ability with which it eases the financial difficulties of poorer districts by providing substantial funds for balancing the quality and availability of educational programs.

The more effective SEA will provide consultative assistance to local education agencies in managing the total financial resource, from its accounting to its utilization. Advice on seeking additional revenues by the local educational agency, be it the offering of a bond issue, or applying for research grants, should be available as needed from experts in school finance on the staff of the SEA.

Never in the history of American education has this last constraint received such wide attention. The influence of inflation and program failure of the public elementary and secondary schools has significantly amplified this condition to a point where bond elections are failing at an unprecedented rate and cries for accountability are heard from citizens and legislators alike.

Considering the importance of prudent fiscal practices in education it follows naturally that some type of information system is essential to the performance of this function.

A financial information system is a combination of systems components that function within the organization to process data and to provide the information and internal control needed by management to carry out its responsibilities of stewardship over the assets, of control over operations, and to plan future enterprise activities.

The distinctions between a modern financial information system and an accounting system are as follow: more detailed data, unit information, decision limits, and accumulations of special significance to internal management.

The financial information system is an aggregate that includes the sub-systems within an organization designed to provide the necessary managerial information and internal control.

Sub-systems include the procedures, methods, and operations designed to accomplish specific objectives within a specified segment of an organization.

Procedures are methods and operations designed to process recurring business transactions. They often reflect the what and why of processing methods and operations and ideally are described in writing.

Methods and operations relate to how processing is accomplished.¹

A financial information system is needed, then, for the following reasons:

1. Internal Information Need.--What has happened in the past? The need for historical information relates closely to the housekeeping need to record and process routine and daily business events. Then, too, the future is often similar to the past, and the events of the past become the starting point in projecting the future. Management also must be fully informed about the present.
2. Measurement and Control Need or Responsibility Accounting
3. External Reporting Need which is Profitability Accounting²

Some of the principles of financial information system design are as follow:

1. Reasonable Cost.--should be designed to provide information and internal control, consistent with the needs of management, at a reasonable cost.

¹James B. Bower, Financial Information Systems Theory and Practice (Boston: Allyn and Bacon, Inc., 1969), pp. 8-9.

²Ibid., p. 9.

2. Report.--designed to permit effective reporting, both internally and externally, since reports are a primary systems product.
3. Human Factors.--designed consistent with applicable human factors, since people are responsible for the effectiveness of the system.
4. Organization Structure.--designed to function in a specific, clearly defined, organization structure, since the system should be tailored for the organization to satisfy particular information and control needs.
5. Reliability.--designed to check the reliability and accuracy of financial data, minimize error, safeguard assets, and prevent fraud or other irregularity.
6. Flexible, yet Uniform and Consistent.--designed to be flexible, yet insure reasonable uniformity and consistency of application in order to facilitate the dynamics of business.
7. Audit Trail.--designed to facilitate the tracing of procedural steps in order to permit the analysis of detail underlying summarized information.
8. Data Accumulation.--designed to enable the rapid and efficient recording and classification of data in order to process it into information for planning, control, and the accomplishment of administrative routine.
9. Data Processing.--designed to provide a meaningful, continuous, and controlled flow of data being processed in order to produce reliable information and facilitate control.

The principal components of the financial information system are:

1. Personnel
2. Communication Media

3. Reports

4. Data Originating, Processing and Control Devices

Some internal control requirements are as follows:

1. Supervision
2. Clerical proof
3. Acknowledging performance
4. Transferring responsibility
5. Protective measures
6. Review
7. Verification and evaluation¹

Organizational Manifestations

Traditionally, SEA's were organized along purely functional lines often referred to as program divisions. An examination of the typical organizational chart indicates a staff-line relationship consisting of a "chief" or commissioner of education, a deputy commissioner, who acts as commissioner in his absence, several assistant commissioners, i.e., assistant commissioner for administration and finance, assistant commissioner for instruction, assistant commissioner for vocational education, assistant commissioner for facilities, etc. Under each assistant commissioner, various

¹Bower, Financial Information Systems, pp. 19-20.

units exist. Generally speaking, the assistant commissioner for instruction has the most people reporting to him. The chances are good that a breakdown of his division will include the director of elementary education, the director of secondary education, adult education, handicapped, etc. Since 1958 new "programs" have been introduced within this division. Title I, Title II, Title III, Title IV, NDEA Titles III and V(A), Title VII, and Title VIII would be a few. These "programs" are the direct result of a significant input of dollars into the states for specific purposes. The money has come from the federal government and is almost totally accompanied by stringent guidelines that are to be adhered to by SEA's in order to assure the monies are spent in the manner intended and with some type of accountability factor evident. There is no question but these additional dollars have provided valuable services, facilities, equipment, etc., to the local school districts. Along with the benefits, however, pitfalls have emerged. It is becoming increasingly evident that these "programs" are actually "pots of money" that have created numerous "empires" within the SEA. These empires are in many instances operating essentially outside the framework of the SEA; they have established their own goals, priorities,

and objectives; their coordinators are administrative heads that often deal directly with the U.S. Office of Education, and many times the results are in conflict with the desired outcomes of the SEA. Accounting officers sometimes inadvertently are permitted to add to this overall confusion by their desire to keep the records straight and simple. All this has not occurred overnight; it has been the undesirable result of many years of haphazardly adding new positions into the agency as money was made available. The proliferation of positions has often resulted in an amelioration of control on the part of management. Many incongruencies become apparent in organizational charts. These have occurred as a result of many factors: perhaps one of the more surfaceable being a fair division of labor. It is apparent that most Title I money is expended in the elementary area. Often, however, Title I coordinators are found in the Secondary Division. This type of division of personnel becomes confusing and indicates that, if management is going to manage its enterprise according to the functional lines discussed earlier, the organization must be arranged in a manner consistent with the management function and conducive to the best possible output at the functional level. Perhaps a fresh look at the organization

pattern must be undertaken. This writer suggests that the organizational mix that is currently observed in SEA's is relatively unmanageable if management wishes to adopt management by objectives as the best vehicle for advancing quality educational outcomes within the state.

Most of the fiscal resources that are made available to the SEA are generated from the number of pupils that reside within the state. Most states have adopted some type of foundation program that is based on a dollar allowance for each pupil.

State school systems are seeking better methods in planning and management through the use of information obtained in keeping records and making reports about pupils. SEA's are now classifying and defining specific items of information about pupils and related terminology. Items of information about pupils are defined as descriptive headings under which are recorded information about individual pupils or groups of pupils. These headings may be

1. a broad categorical heading with a structural set of subheadings;
2. a broad categorical heading without a structured set of subheadings, under which a specified type of information is recorded; or

3. a heading of limited scope under which specific information is recorded.

These headings, and the entries under them, form a basis for records and reports about pupils.¹

An increasingly important area of concern when considering the value of quality education and its dependence upon the competency of the instructional staff is whether or not SEA's have the types of staff accounting systems that can provide the decision-maker with the information he needs for the improvement of instruction.

Many state education agencies have assessed their planning and management through an accounting system designed for the state staff. Staff members have been identified, classified, and defined for use in records maintained by the state school system. Used as defined, the items provide the basis for accurate recording of staff information in comparative form throughout the country. This information serves as a basis for future planning and as an aid for management. The defined staff items follow:

¹U.S., Department of Health, Education, and Welfare, "Pupil Accounting for Local and State School Systems," compiled in the Office of Education by John F. Putnam and George Tankard, Jr., State Educational Records and Reports Series: Handbook V, Bulletin No. 39 (Washington, D.C.: Government Printing Office, 1964).

Staff Member

A basic consideration in the effective use of this handbook is the definition of staff member.

A staff member in a school system is a person whose school system meets all of the following criteria:

1. The person serves under the rules and regulations of the governing authority of the school system.
2. The person's assigned activities are under the direction and control of the governing authority of the school system.
3. The person is assigned to perform activities which provide a service for the school system or a program operated by the school system.
4. The person is in an employee relationship with the school system recognized by law for such purposes as workmen's compensation coverage, Federal Insurance Contributions Act (FICA), and withholdings from salary or wage for income tax.

As treated in this handbook, persons are not to be considered staff members if they perform a contractual service in which the relationship with the school system is other than an employee-employer condition or if they are employed on a temporary day-to-day substitute basis to perform the activities of a staff member who is temporarily absent.

The extent and type of services provided by persons other than staff members, as defined above, are reflected in the financial records of the school system, but such persons are excluded from considerations of staff accounting.

An Item of Information

An item of information about a staff member is a descriptive heading under which staff information may

be recorded. The item may be part of a record or part of a report, depending on the manner in which it is used.

Criteria for Items of Information

The items of information have been identified as those which need to be collected and maintained on a comparable basis by all school systems. The following criteria have been used as a guide in this identification:

1. The item of information is important to the school system in the operation of its schools.
2. The item of information is important to school systems throughout the country.
3. The item of information is frequently needed for the exchange of information about staff members who transfer from one school system to another or for comparisons of staff information among school systems.
4. The item of information can be maintained as a record with reasonable effort.

Types of Items of Information

Items of information about individual staff members are presented in two forms: multiple choice or checklist and open form.

A multiple choice or checklist item is one consisting of a standardized heading with standardized heading with standardized subitems from which selection is made to provide record entry about a staff member. An item of information of the open form type consists of a standardized descriptive heading under which (1) specific information is recorded in standardized form, choice not being offered, or (2) information is recorded which a school system may need to maintain but which is not specifically defined in standardized form.

A Record Item

A record item is an item of information about a staff member which is maintained by a school or school system for present or future use.

Items of staff information presented and defined in Chapters II and III form the basis for staff records. Other items, in addition to those included in this handbook, are of course necessary in a staff accounting system to meet all local needs.

A Report Item

A report item is an item of information about a staff member or a group of staff members which is prepared by an individual, organization, or agency for the use of another individual, organization, agency, or the general public.¹

Final Paragraph

Upon reviewing the available literature, it becomes apparent that the rapid changes that are occurring within our society are presenting the state education agencies with a new and exciting challenge. Decision-makers must make decisions more quickly than ever before; this demands that the decisions must be both appropriate and accurate, and the accuracy is dependent upon the data that is available and how it is utilized.

¹U.S., Department of Health, Education, and Welfare, "Staff Accounting for Local and State School Systems," compiled in the Office of Education by Allan R. Lichtenberger and Richard J. Penrod, State Educational Records and Reports Series: Handbook IV, Bulletin No. 18 (Washington, D.C.: Government Printing Office, 1965), pp. 1-3.

With the proliferation of data, it is therefore important that the decision-maker have some formal means of storing, retrieving, and utilizing data. He must have a knowledge of all the settings from which he is required to operate. He must appreciate the constraints that result from these settings and he must have an understanding of the functions that are involved in the operation of a state education agency.

The following chapter will develop a methodology that will permit the decision-makers to operate within the above context.

CHAPTER III

PROPOSED GENERAL MODEL CONSIDERATIONS

This chapter develops a model that will permit a State Education Agency (SEA) to conceptualize its planning and management problems in a more ordered and hopefully more realistic fashion. It is designed to provide a framework that should permit the SEA to adapt its own unique requirements to the model while preserving an orderly and rational approach to planning and management. It is patently clear that this framework is one of many that may be developed which could produce the same outcome. In fact, it may be that a SEA already has developed a conceptual framework for its own operation that is more applicable than the one proposed. Hopefully, some of the procedures or processes proposed will provide useful inputs to the SEA's attempt to improve their planning and management capability. This model was not designed for direct implementation in any agency, and the planning and procedural questions addressed are illustrative of those questions and procedures that must be addressed if one is to

adequately utilize the available data streams or sources presently available.

The SEA that is contemplating some type of reorganization must cope with the realization that in addition to developing a work plan encompassing Management by Objectives (MBO), Goals, Priorities, and Objectives (GPO), Planning, Programming, Budgeting Systems (PPBS), etc., they must continue their current operations as they have always done and develop a "cross walk" or implementation plan that produces a relatively painless transition from current program operation to one that is functionally oriented.

This change may demand new policy directions, possible legislative changes, new personnel practices, probably a complete revamping of the budgeting and accounting systems and extensive retraining programs designed to acquaint existing as well as new personnel with the new program oriented direction.

These are perhaps but a few of the constraints and considerations that must be addressed by planners and decision-makers as they attempt to pursue the "leadership" function that is being thrust upon the SEA from various quarters.

The years since the passing of the Elementary and Secondary Act of 1965 have thrust upon the SEA new demands for improvement in the techniques of management.

Public education is generally considered a constitutional obligation of the various states within these United States. This statement is supported both by the silence of the United States Constitution and by the clarity of state constitutions on this subject.

Attention to education and support of education, nevertheless, has been forthcoming from the federal government during relatively recent years. These acts of federal interest or participation in education have served (1) to stimulate or reinforce certain nationwide policies which are to be observed and (2) to supply financial resources which are to be utilized to complement state and federal resources in the support of education. The nationwide policies therefore establish certain conditions which state governments must observe as they establish their own policies, priorities, standards, etc.

The SEA's have responded to this impact on their relatively stable system by adding large numbers of personnel and redirecting their efforts. The redirection has generally been as a result of sources of federal funds

available so that each federal funding source has an assigned or designated director. This director of the program funded by the federal government is aware that he is employed by the SEA, but often perceives himself as the federal representative for that program within the Agency. This attitude generally brings about many difficult problems for the traditional program managers of the SEA. In fact, it too often seems to fragment the effort of the SEA to accomplish its state authorized mission. In some situations this dual loyalty leads to confusion and difficulty that could be rectified by the SEA assuming the posture that all projects directed through the SEA are state projects and that the only thing federal about the various projects is the funding source.

This dual loyalty is, of course, no easy thing to overcome since the program positions are recognized as federally supported positions and this, in and of itself, breeds a certain loyalty outside the SEA. The only sure way for the SEA to actually deal with problems of this type is through organizational structure (probably functional in approach) and to develop the total planning and management process for the Agency in a systematic and rational format. This format must allow the decision-makers at the state

level to make the major program decisions. This is not to imply that the federal laws should be violated or overlooked. It does imply that the SEA should begin to view the federal funds as one of several sources of funding and to focus the total effort of the SEA in the accomplishment of the GPO established by the SEA decision-makers.

The SEA must have as its number one mission or goal, "to improve education at all levels within their sphere of influence." Secondly, the SEA should undertake the responsibility of developing their internal structure in such a manner that will insure the most effective and efficient means of achieving this educational improvement.

This denotes that there are both "external" and "internal" management processes that must be understood and developed. Briefly, "external" management refers to the efforts of a SEA to manage statewide systems through influence--not command alone. The functions that are included but not limited to this attempt to manage would be (1) research, (2) information and assistance, (3) technical assistance, and (4) grants management (resource distribution).¹

¹Public Administration Service. "Grants Management: State Education Agencies and the Office of Education" (Chicago: Public Administration Service, 1971), p. 9.

"Internal" management refers to the attempts of the SEA to govern its own operations and includes both management and administrative processes. The monies that are available by the federal government are directed toward both ends. Each "flow through" grant carries with it a sum deemed sufficient for the administration of the program. Part of the administration is a reporting requirement to the federal government indicating the how's, where's, and why's of the use of the money.

The accomplishment of such a task is not to be taken lightly. The model for planning and the use of available data streams in the making of better decisions are designed to offer an alternative route for an SEA to approach the solution of the blending of all of the SEA's activities in the accomplishment of SEA GPO based on the best available data.

Much of the planning that SEA's engage in has been on an "ad hoc" basis and the data used have not always been the most appropriate input for improving management or program decisions.

Just as the reporting requirements have increased so have the data sources that are available to the SEA's. A predictable outcome of more assistance from the federal

government is an insistence by Congress that the states become more "accountable" for the money they receive. Methods must be developed that will enable the states to provide conclusive evidence that monies are being wisely spent and significant cause can be shown in order to maintain and/or increase the dollar flow.

The general trend throughout the nation is to demand accountability from the SEA and the Local Education Agencies (LEA's). This recent trend has many roots and it is not the purpose of this study to detail the development and rapid acceleration of the accountability movement. It is, however, necessary for the SEA's to recognize that the time is now present when the legislators and the general public are demanding that professional educators determine desired educational outcomes and that an attempt be made to justify expenditures with the degree of success in the attainment of these outcomes.¹

The need to answer these accountability questions is undeniable, but the techniques for providing these answers are not always available. In fact, to demand the same kind of accountability of an SEA that one expects from the Highway Department is not only unrealistic but

¹Merlin G. Duncan, "Assessment of Accountability: The State of the Art," Educational Technology, Vol. XI, No. 5, January, 1971.

unfortunate. The Highway Department can show in real terms the number of miles of roads produced or resurfaced and can show the increased number of users, etc. Everyone will assume that the production of a good road is of real benefit, but when the SEA talks of numbers of children enrolled, taught, or graduated, the question is always asked, "What did you teach them?" and "Would they have been better off if they had done something else?"

Obviously, the answers are not completely available, but since the public will no longer settle for inputs as a measure it is essential that the SEA determine another route to give at least some output measures and to clarify the GPO so that agreement can be reached concerning at least the desired outcomes.

The nationwide policies thus established by Congress do not appear to reduce each state's constitutional obligations for public education. They are expressed in certain laws enacted pursuant to the U. S. Constitution which is "the supreme law of the land." Such law is binding upon each state as it is for each citizen, but they do not erase each state's prior obligations for public education. They "supplement but do not supplant."¹

¹Public Administration Service. "Grants Management." p. 22.

Every effort has been made to make this model brief and to the point. This has been done in order to conserve the time of the reader and to insure that the focus of the model will not be lost in a maze of rhetoric. The thru-put charts exhibited were generated to provide graphically illustrative procedural patterns that will permit an SEA planner or manager to envision one internally consistent comprehensive planning methodology.¹

General Model

The deliberate intent of the general model (Chart 1) is to provide the SEA with the possibility of adopting as much of the total planning system or as little of the total planning system as seems appropriate in the light of the individual circumstances of any SEA. The unique characteristics of the SEA and its present strengths and weaknesses should be and must be the final factor in the determination of the usefulness of the exact organization and procedural pattern proposed.

The model has the flexibility of providing a design for the use of any of the data sources now available and

¹"Comprehensive" is understood to mean the idea of a system that is more comprehensive than usual, but not to mean a totally comprehensive system. At the present time the technical capacity to do total comprehensive planning does not exist.

serves as a format that will allow a variety of mixes between the utilization of the present SEA organization and planning cycle and the incorporation of the proposed processes as appropriate.

For example, as the Management Assessment Systems (MAS) presently under development is perfected by the Texas Education and its associated SEA's in Washington and Colorado, it may serve as a more rigorous device to evaluate the performance and to identify the functions in the portion of the general model termed "Internal Considerations." The MAS will also have implications for the External Considerations, but not to the same extent.

The Dimensions depicted in the Data Matrix can periodically be modified to expand the ready reference to data sources. As other reporting instruments become available, such as the Secondary School Survey (SSS) now under development by the United States Office of Education (USOE), it is possible to add new and useful dimensions to the Data Matrix. The modification of categories is also contemplated, depending on the information needs of the individual SEA and the cognitive and management style of the SEA planners and managers.

New data sources can also be added as they become available and the chart then becomes a living document reflecting presently available sources, categories, and dimensions. Because of the flexibility of the Data Matrix, it should be noted that elimination of duplicative data dimensions or sources is just as possible as expansion. For example, if the alert SEA planner or manager discovers extensive duplication between federal or state sources he may choose to eliminate one of those sources thereby reducing his Data Matrix in size and yet have those same data dimensions available.

The sources used to develop the model have been drawn from many of the USOE and University of Alabama planning and management sources. Insights have been gained from the previous work by ABT Associates of Cambridge, Massachusetts; Public Administration Service of Chicago, Illinois; and work by the University of Alabama for the Bureau of Elementary and Secondary Education (BESE) of the USOE. This model is an attempt to bring together the various concepts within models and sources already generated and to put them in a usable format. This synthesis of ideas and models already formulated should benefit many of the SEA's by giving order and

internal consistency to many of the excellent planning techniques that are contained in the large reservoir of already generated formats. It is assumed that the re-invention of the wheel is not necessary or desirable. This has led to the Synthesis Approach. In addition, it has been premised that each SEA, though unique, has similar functions, and at times, very different political and organizational constraints.

The actual percentage of federal funds provided for SEA internal operations is often more than fifty per cent of the total internal operational budget of the SEA. However, in terms of the total state education budget including local district expenditures for education, the percentage of federal funds expended averages about eight per cent.¹ In some of the poorer states a local district might find the percentage of federal funds utilized as high as eighteen or twenty per cent of the total local budget. In some of the more wealthy districts in the United States the local districts may use little or no federal funds.²

It is also true that most districts that do not qualify for a great deal of federal funds through the

¹P.A.S. "Grants Management," p. 43.

²U.S. Office of Education, an in-house unpublished document generated in the Bureau of Elementary and Secondary Education, 1971.

formula arrangements often will have several special federally funded projects that are made available on the basis of competition, e.g., Title III of the Elementary and Secondary Education Act. This is usually due to the ability of the district to write excellent grant requests for innovative or other projects for which discretionary funds are available.

The impact of the federal dollar is especially important when those dollars granted allow the receiving agency a great deal of flexibility. Those dollars that have many "strings" attached are certainly less desirable. If the local agency perceives too many conditions restricting the use of funds, the grants may be refused.

On the basis of the assumption that the general model presents a reasonable sequence of planning and management in a SEA, it has been designed to provide a mechanism for data utilization that may be adopted in each SEA as an overall format for arraying data and using information. In analyzing the general model it is important to note the following:

1. The present organization of any SEA can be inserted into the general model in place of the internal organization and functions shown as

internal considerations. The functions are those that must be covered by all SEA's, but the organization and document flow depicted in the model is only one alternative way to satisfy the functional requirements. This is not to imply that the suggested organizational pattern as depicted on Chart 2 would not be an improvement over the organizational arrangements in many SEA's.

In all probability the suggested functional organizational pattern would provide a more unified approach to management and would eliminate many of the problems caused by the traditional arrangement of organization by funding source. The internal considerations will be discussed in more detail in Chapter IV.

2. The Planning Cycle depicted in Chart 3 and described in Chapter V is appropriate for any SEA regardless of its organization and the way the functional requirements of the SEA are satisfied. This Planning Cycle is a suggested sequence of steps and illustrative questions that must be asked by any SEA in planning for

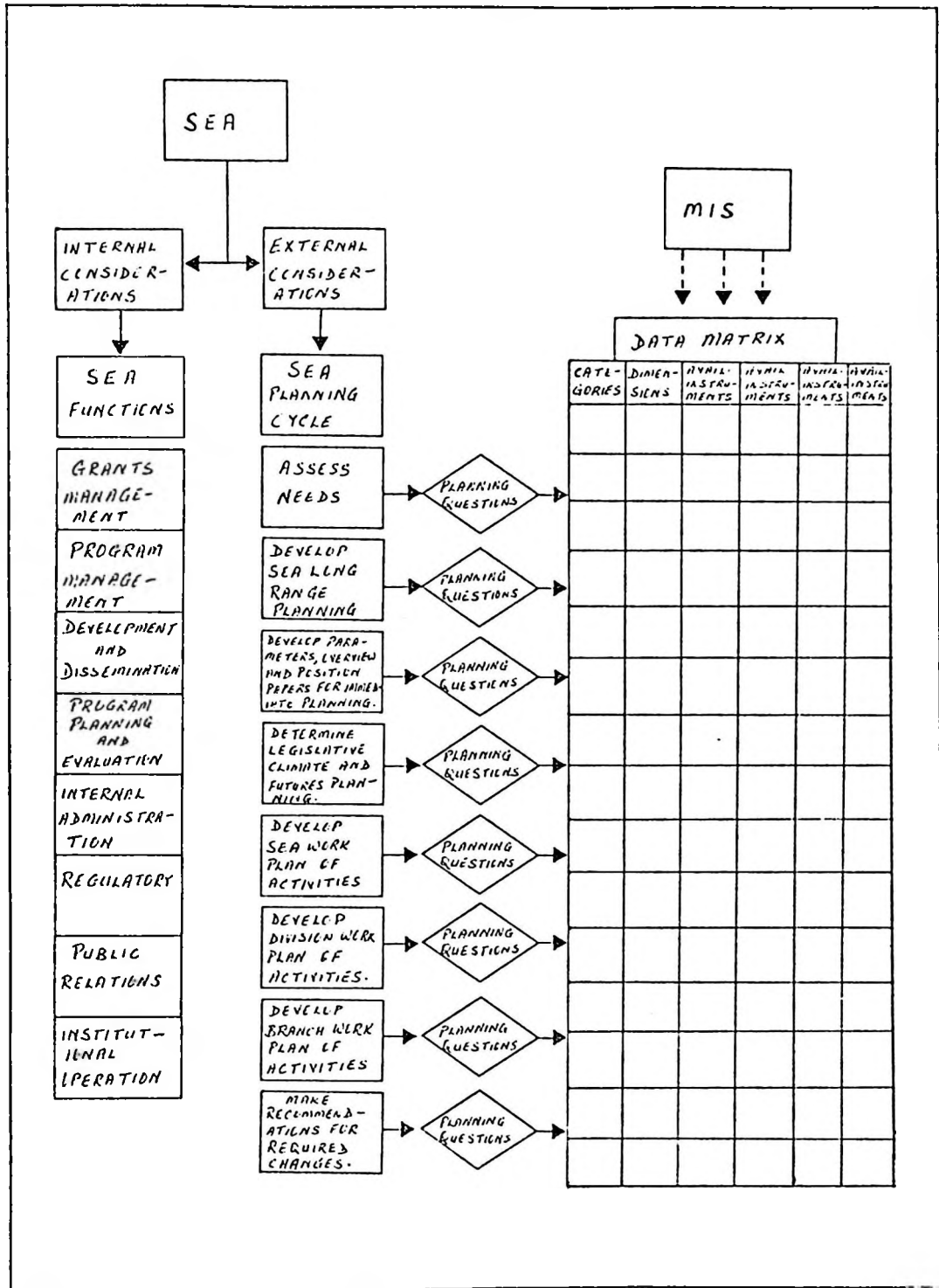
the external programs of the SEA in the state. Even if the Cycle does not exactly fit the style of management in any particular SEA, it is still possible to insert a comparable model of the planning cycle of the SEA as it now exists. It is also possible to insert the planning questions used in the general model. The Planning Cycle Model (External Considerations) becomes another interchangeable part of the general model and this feature should increase the usefulness of the general model.

3. The questions pertaining to planning and management that are indicated on the Planning Cycle Chart (Chart 3) are illustrative of the questions that must be asked in the SEA during the planning sequence. It is clear that different SEA's will ask different questions. Note that an SEA that needs to ask different questions can easily insert their own planning cycle and their own list of planning questions that need to be considered at each stage in the Planning Cycle. Planning Cycles will be different in each of the states due to a

variety of factors. For example, it will depend on the state budget cycle and the state fiscal year as to the exact time when the estimated appropriation of funds for education will become available. It may also depend on the management style of the Chief State School Officer and the various decision-making arrangements as well as the nature of the planning unit in a state as to the appropriateness of the time frame sequence and the questions that need to be answered. It should be apparent to all managers that any management information system must begin with the information needs as perceived by the decision-makers and that the data storage and utilization must be responsive to the information format requirements. This latter statement implies that the managers have formulated their information needs and have charged their information gatherers with the statistical satisfaction of those requirements. The questions finally posed by the SEA will be

the link between the Data Matrix depicted in Chapter IV of the model and the design of the Matrix itself.

CHART 1
GENERAL MODEL



CHAPTER IV

INTERNAL AGENCY MANAGEMENT

FUNCTIONAL CONSIDERATIONS

The model, for purposes of illustration, chose not to use a typical State Education Agency (SEA) organizational pattern as many SEA's are currently attempting to reorganize in order to better accommodate the additional demands being placed upon them by state legislatures, administrations, and other agencies. Nevertheless, it illustrates a functional organizational pattern that is workable and flexible; it incorporates accepted principles of good management designed to provide the necessary organizational tools essential in establishing the Chief State School Officer (CSSO) as the educational "leader" in the state.

The basic idea generated in the internal considerations area is that the management of any SEA must provide for the functional responsibilities of the SEA in some fashion. It may be efficient or inefficient, but in any event, the basic functional requirements must be met.

Advantages of a functionally organized SEA include the following:

1. Functions of an agency are generally constant even though funding sources might diminish or expand (thereby allowing the general organizational framework to remain constant).
2. A functionally organized agency eliminates duplication of work efforts, files, etc., and facilitates a line of communication.
3. The CSSO and his management team are in a better position to set priorities because functionalism enhances a program oriented approach to management, thus aiding the planning process of the agency.
4. Each functional unit becomes an integral part of the agency. Consequently, the agency becomes one organization rather than a group of autonomous organizations.

The model identifies eight functional areas that encompass the work of a SEA. The eight areas are: program management, grants management, development and dissemination, program planning and evaluation, internal administration, public relations, regulatory, and

institutional operation. Obviously, other functional areas could be chosen but the eight functions seem to fit the needs of most SEA's at present. However, the last three functions are not included in Chart II because these functions are self-contained and therefore not directly related to the document and financial information flow of the SEA. The first five functions mentioned above relate to the technical aspects of the SEA funds flow process and as such are essential to any SEA organizational structure that attempts to handle the federal and state flow of funds as discussed in Chapter II.

Chart II is an illustration of a functional organization consisting of alternatives by funding sources for grants management, program management, development and dissemination, and program planning and evaluation. It also graphically illustrates the interface between the functional units within the SEA and provides a financial management procedure that enhances the program manager's ability to focus funds on program priorities. This organizational structure helps to restrict the usual "empire building" procedures or demands imagination and creativity if "empires" are built. Chart II also gives a graphic representation of functional operational procedures which

eventually promote a "program" budgeting approach rather than the traditional line item budgeting approach.

Operating Procedures for a
Functionally Organized SEA

Under this functional plan the Office of the CSSO with the planning unit and the Division of Internal Administration would serve as staff units. In addition, three line divisions, the Division of Grants Management, the Division of Program Management, and the Division of Development and Dissemination, would be organized functionally.

Following this procedure, the functionally organized agency becomes more logical, functional and accountable (Chart II). The management team, composed of the CSSO, the Director of the Planning Unit, the Director of the Division of Internal Administration, and the Division Directors, allocates the funds consistent with the SEA Management By Objectives (MBO) and Planning, Programming, Budgeting Systems (PPBS) on a program basis.

Program fund allocation is managed by the Division of Administration, the planning unit, the Division of Program Management, and the Division of Grants Management.

The Division of Grants Management sends grant data and applications to the applicant, i.e., to the Local Education Agency (LEA). The applicants complete the application in triplicate and also an evaluation plan in triplicate. The applicant files a copy of the application and the evaluation plan and forwards the remaining copies to the Division of Grants Management.

The Division of Grants Management reviews and evaluates the application and the evaluation plan. The Division completes the fund commitment document and files a copy of the application and the evaluation plan. After this is completed, the fund commitment document, a copy of the application, and the evaluation plan is forwarded to the Division of Program Management. This Division completes a monitoring plan in duplicate and files a copy of the application, the evaluation plan, and the monitoring plan. The fund commitment document and a copy of the monitoring plan are then forwarded to the planning unit.

The planning unit reviews and analyzes the monitoring plan, completes its own evaluation plan, and files the monitoring plan and the evaluation plan. This Division then forwards the fund commitment document to the Office of

the CSSO. This office reviews and approves the fund commitment document and forwards the document to the Division of Administration. A review of the fund commitment document for legality, form, and availability of funds is performed by the Division of Administration before the funds are released. After this function is performed, the fund commitment document is sent to the Division of Grants Management.

The Division of Grants Management completes four copies of the grant award notification, files the fund commitment document and a copy of the grant award notification and distributes the remaining copies of the grant award notification as follows: 1) one copy is sent to the applicant, 2) one copy is sent to the Division of Program Management, and 3) one copy is sent to the planning unit.

The applicant receives the grant, begins operations, and writes interim reports. The interim report is sent to the Division of Program Management. This Division reviews and analyzes the interim report by using the appropriate monitoring plan and the applicant's original evaluation plan. The Division of Program Management then writes an evaluation report. The interim report is filed and the evaluation report is forwarded to the planning unit.

The planning unit analyzes the evaluation report using its evaluation plan and the monitoring plan of the Division of Program Management. After these steps are completed, the evaluation report is filed.

The applicant writes the final report in duplicate, sending both copies to the Division of Program Management. The Division of Program Management sends one copy of the final report to the planning unit and begins to write the annual report of the SEA. The planning unit receives the final report and writes an evaluation of SEA activities which is forwarded to the Office of the CSSO. At the same time, the planning unit identifies innovative and exceptional projects and notifies the Division of Development and Dissemination concerning the projects.

The Division of Development and Dissemination writes the evaluation criteria and project description that must be used by the Division of Grants Management when reviewing applications for these specific projects. The evaluative criteria and project description document is sent to the planning unit in triplicate. This unit reviews the document, files a copy, and forwards the other copies to the Division of Development and Dissemination. This Division files one copy and writes a request for proposal

in triplicate. The Division of Development and Dissemination files a copy of the request for proposal, sends one copy of this request to the planning unit and forwards one copy of the request for proposal, the evaluative criteria, and the project description document to the Division of Grants Management. This Division receives applications for the projects and the entire grants application procedures recycle.

Table 2.--SEA Internal Management Procedures

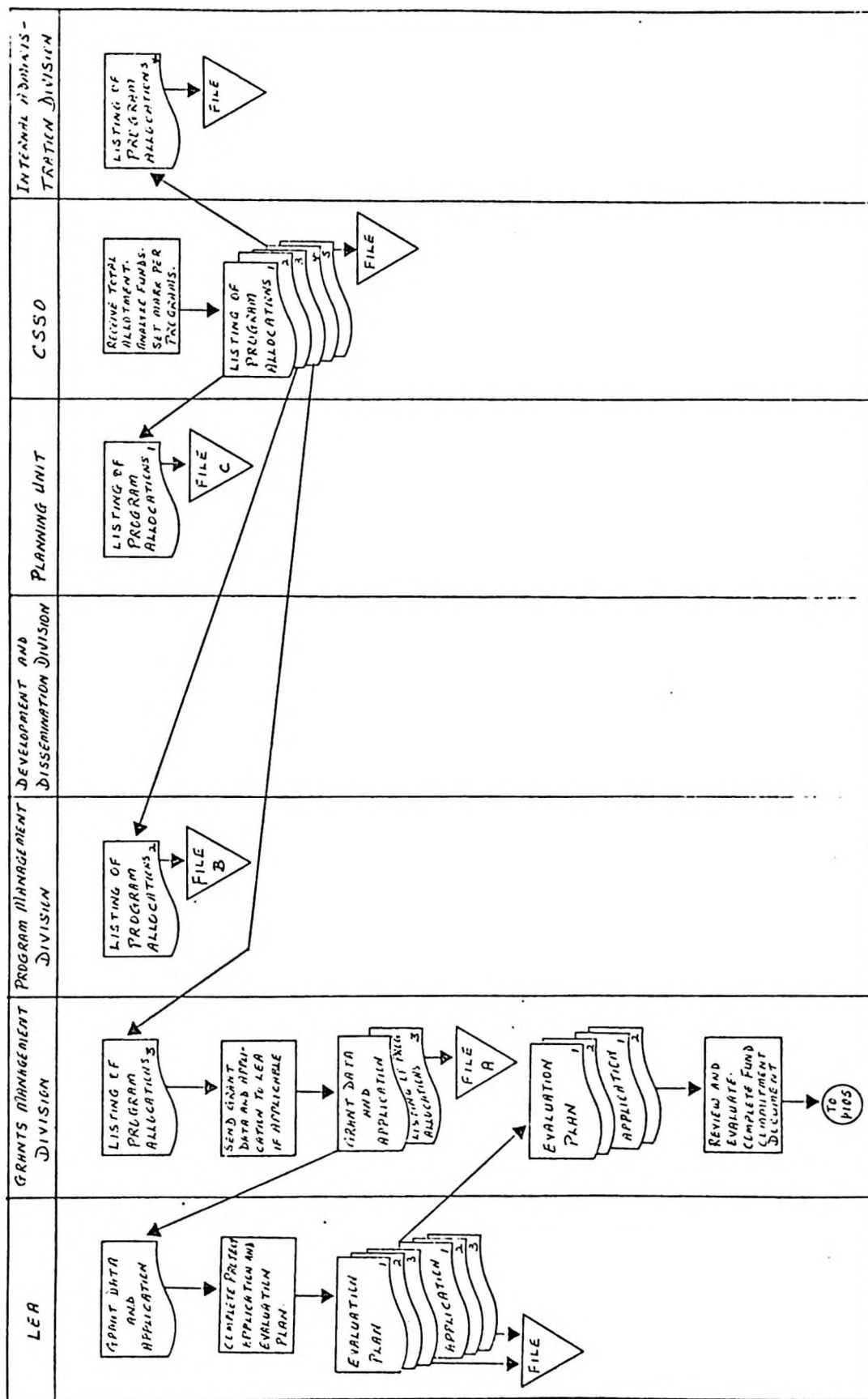


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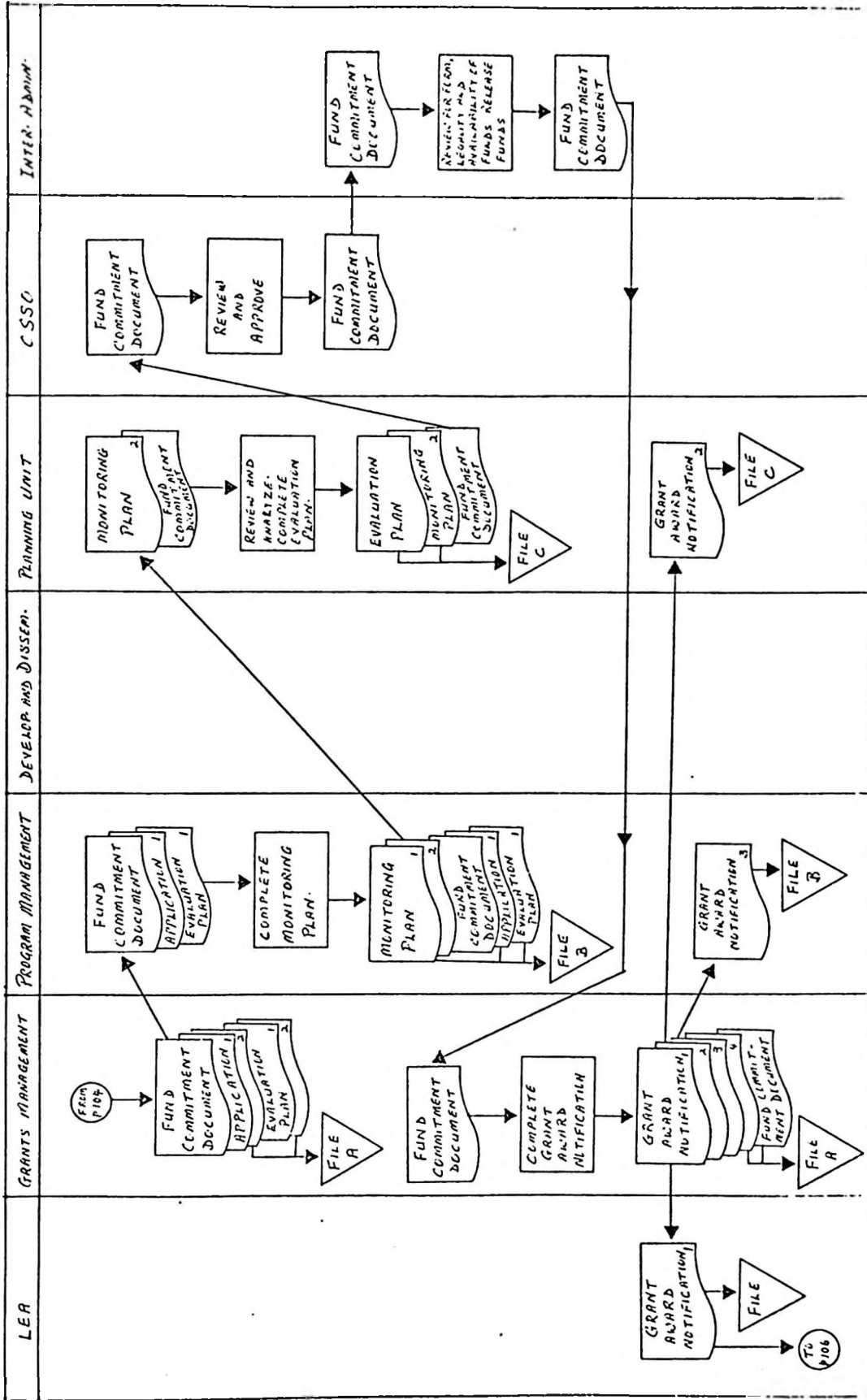


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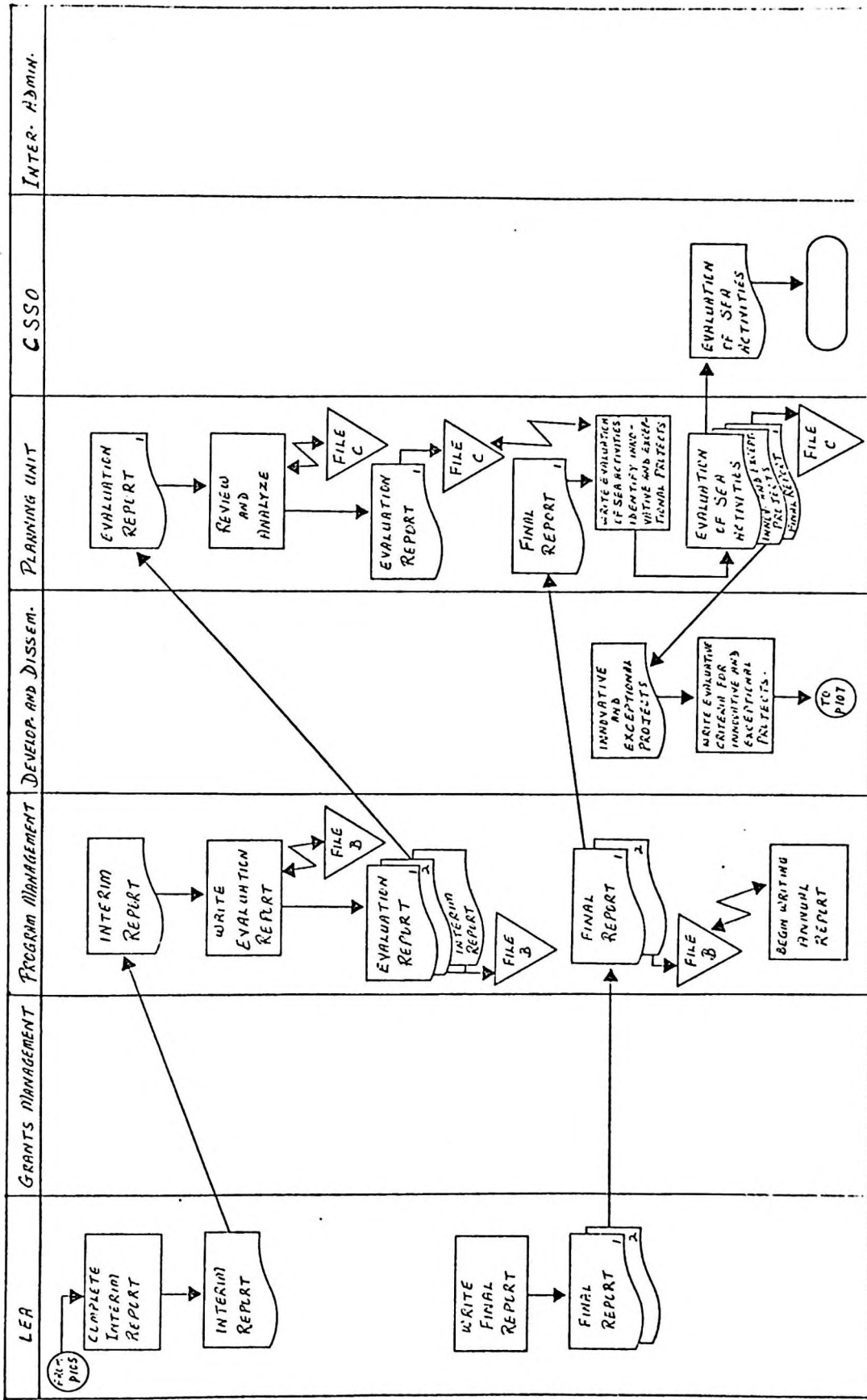
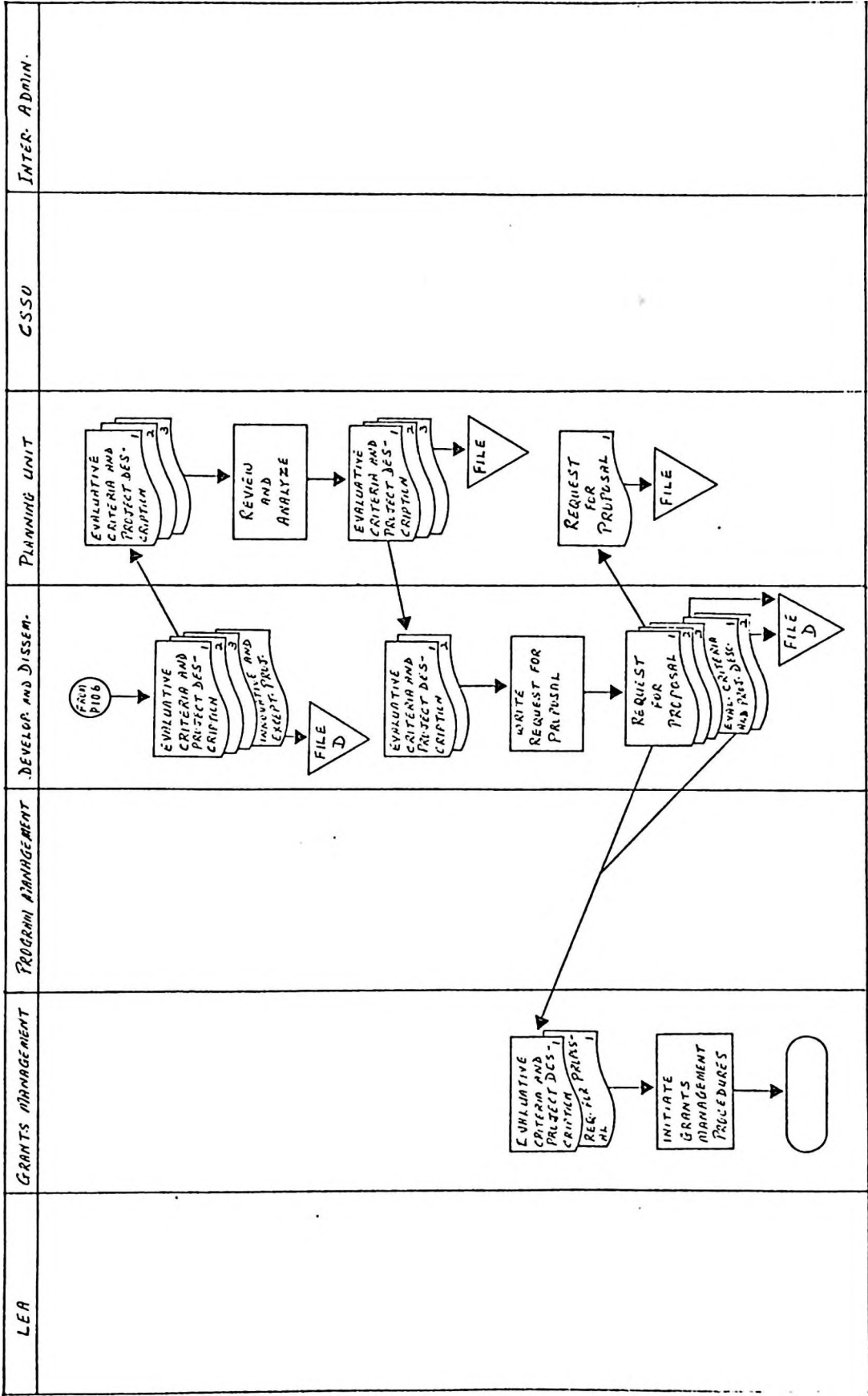


Table 2--Continued



CHAPTER V

EXTERNAL PLANNING MANAGEMENT AND PROCESS CONSIDERATIONS

The determination of the long-range goals, priorities and objectives (GPO) for education within the state necessitates the decision-makers of the State Education Agency (SEA) to make use of a variety of data. These data must come from many sources and the resultant GPO should have the support of the opinion leaders within the state. This section of the study is graphically illustrated on Chart 3 and should be read while referring to the flow chart of activities.

Therefore, the prudent SEA manager will make use of questionnaires, opinionnaires, etc., in order to legitimize the educational needs of the state that are derived from an examination of the hard data that are available. These data come from regional planning offices, state planning offices and planning units from other agencies within the state as well as from the educational establishment.

The needs assessment outline lists the following general categories:

1. General Requirements
2. Data Sources
3. System Development for Data Collection
4. Types of Data
5. Systems Development for Data Utilization
6. Development of Policy Implication Narrative
Summary (PINS) and Position Papers

Assessment of Educational Needs

1. General Information Requirements
 - A. Current status of education (local, state, national)
 - B. Geographical data (state)
 - C. Demographic data (state)
 - D. Resource data (human and financial--state, national)
 - E. Political climate--legislative, executive, pressure groups, etc. (state)
2. Determine Data Sources
 - A. Survey of local school boards
 - B. Survey of instructional leaders
 - C. Responses of local superintendents
 - D. Responses of school principals
 - E. Perceptions of teachers
 - F. Student senior opinionnaire
 - G. Lay citizens' reports
 - H. Non-public schools
 - I. Regional planning office
 - J. State planning office
 - K. Other state agencies

- L. Federal instruments
 - 1) Belmont instruments
 - 2) Other
- M. State instruments
 - 1) Public school reports
 - 2) Other
- 3. Develop Necessary Systems for Data Collection from Identified Data Sources
- 4. Types of Data to be Collected
 - A. Organizational structure and professional personnel
 - 1) Organizational characteristics of the school and classroom
 - 2) Data pertaining to professional personnel
 - B. Analysis of data related to performance of pupils
 - 1) Achievement levels of students
 - 2) State-wide dropout report
 - 3) Holding power of the schools
 - 4) Follow-up of graduates
 - 5) Selective service information
 - C. Teaching practices and special services
 - 1) Analysis of teaching practices
 - 2) Instructional materials and equipment
 - 3) Disadvantaged children and youth
 - 4) Special education
 - 5) Analysis of innovative programs
 - D. Socio-economic data
 - 1) Educational level and home ownership
 - 2) Public assistance status
 - 3) Income status
 - 4) Unemployment rate
 - 5) Demographic and employment projections
- 5. Develop Necessary Systems to Store and Utilize Data

6. Develop Systems for Development of Policy Implication Narratives and Position Papers for the Decision-Makers to use in the Development of the SEA's External Goals, Priorities, and Objectives

Policy Implication Narrative Summary

A policy implication narrative summary (PINS) is produced and forwarded to the management team. The purpose of the PINS is to provide the managers in the SEA with a concise, narrative summary of policy implications derived from the analysis of the needs assessment. The needs assessment is reviewed and analyzed to address the following areas of concern:

1. Target Clienteles.--Questions to be dealt with include (where applicable):
 - A. Total impact of the program
 - B. The spin-off effects on the educational environment
 - C. The degree of community involvement
 - D. The appropriate clientele
 - E. Educational objective reached and to what degree
 - F. reasons for project success or failure
2. The Effectiveness of LEA Expenditure.--Alternatives should be generated:
 - A. To improve the funding process
 - B. For accounting for expenditures
3. The Critical Problem Areas.--By identifying the problem areas such as program design,

implementation, regulation and funding procedure, the type assistance needed in the field for success may be supplied.

4. Research Needs.--Constant study of and research into all technical reports and grouping the appropriate data collected should cause new and innovative techniques, strategies and needed policies to surface.
5. Geographic Distribution.--Educational needs are state-wide. Needs which are not being met due to a lack of local funding could be detected. Such areas should not be overlooked. Care should also be taken to guarantee a reasonable equality in the geographic distribution of educational funds.
6. Satisfaction of Legislative Intent.--There are certain legal considerations and obligations to be fulfilled through the SEA projects. The technical reports, interpretations and summaries envisioned will simplify program auditing and performance control to the end

that the intent of the legislature, in passing educational legislation, might be satisfied.¹

Futures Planning and Assessment
of the Legislative Climate

Simultaneously, the management team is in the process of initiating futures planning, identifying resources available, and determining the legislative climate. In order to do the above, certain questions have to be posed and answers to those questions have to be found. Illustrative questions that suggest the type of questions to be asked are listed in the following series of questions.

1. What current trends in programs are popular with the public and hence the legislature (e.g., accountability, disadvantaged assistance, special education, adult continuing, career education, research)?
2. How is our agency perceived by the legislature at this point in time? What are our prospects for increased or decreased legislative acceptance over the next ten years?

¹Merlin G. Duncan, an unpublished report to the Bureau of Elementary and Secondary Education, U. S. Office of Education, 1971.

3. What trends are emerging that have implications for the SEA and public education (e.g., expected court decisions, new technological advances, end of the Vietnam War, large new funding sources, teacher over-supply, a new tax support base for education)?
4. What are the prospects for increased or decreased support for the SEA and public education in the state or nation, now and over the next ten years? What effect will this support have on the number and quality of staff in the state?
5. What population trends will significantly affect public education in the state over the next ten years (e.g., mobility, migration, use of birth control pills, new industry)?
6. What facilities will be needed and what type of new architectural patterns are emerging of interest to the SEA and public education (e.g., bubble buildings, new patterns in curriculum, mobile buildings and interiors)?
7. What new instructional technique or innovation could affect the pupil-teacher ratio?

8. What curriculum modifications are on the must list to cope with rapidly changing value patterns among students and teachers? How will these curriculum changes affect public education in terms of materials, equipment, buildings, personnel and attitudes held by the various publics?
9. What type of output is desirable from the standpoint of the public schools in the light of the constraints and potentialities presently available?
10. In order to achieve the desired output, what input modifications or input requirements are necessary?
11. What other organizations (federal, state, local or private) are developing plans or programs that will impinge on SEA projected futures?
12. What long-range strategies are available to the SEA for the accomplishment of SEA GPO's?
13. What manpower needs in the state directly affect the types of programs needed, present and future?

14. In the light of the foregoing, what internal administrative accommodations are necessary?

Long-Range Planning Scenario

The scenario should be a document that is written in narrative form.¹ The document should encompass the stated goals and objectives of the SEA and should be related to the established Chief State School Officer's (CSSO) objectives and should also lay out, in some detail, a proposed program structure for the SEA which should relate to the Planning, Programming, Budgeting System. The scenario should include the same type of format found in the PINS and yet should be an integration of the major policy implications as decided by the management team during the team's group meeting to consider objectives and alternative strategies for accomplishing those objectives within the SEA. The development of the program's scenario will be more difficult during the first year of the planning cycle until there is established a planning, evaluation, review technique (PERT) type work plan for the SEA. It will then be necessary in the succeeding years to relate the

¹ Merlin G. Duncan, an unpublished report to the Bureau of Elementary and Secondary Education, U. S. Office of Education, 1971.

objectives that seem to still be current and have utilitarian value to the scenario and program structure, whereas it will also point out problems with the present objectives and provide a basis for advocating a change in the objectives of the SEA based upon the variety of inputs to the management team. The program's scenario should include a section that will state the overall goals of the CSSO and the goals of the SEA. It should also state in behavioral terms and provide, at least for subjective measurement, goals and objectives that are being established by the SEA for the next five year period.

In addition to the measurable objectives, the scenario should lay out performance criteria for each one of the objectives established by the SEA in the accomplishment of overall SEA goals, and consequently, the goals established by the CSSO. This scenario should not be a document that is so extensive that length precludes reading. It should be a short, concise, well-thought-out and well-stated document that will provide the CSSO and his management team with a minimum of reading and a maximum of input in their decision-making.

The GPO, PINS, and the document containing the resources and legislative climate are filed while the

alternative scenarios and the long-range planning documents are forwarded to the management team (see Chart 3). At this point the documents are reviewed and analyzed. The management team then receives the total budget allocations for the SEA operations and determines constraints placed upon what is expected or what should be done according to the long-range planning documents. Consequently, the team estimates what can be attained, given the constraints placed upon them, and establishes goals, priorities and objectives for immediate planning. The team then forwards the long-range planning documents, the document containing the GPO for immediate planning, the document containing the constraints and the estimate of the attainable, and the alternative scenarios to the planning unit.

The planning unit receives the documents and develops the parameters and overview for immediate planning. Immediate planning is defined as the planning period that encompasses the current funding period of the SEA. This is generally two years (biennial legislative sessions) or, in some instances, one year (annual sessions). Although the guide refers to "one-year planning," this can be interpreted as two years when appropriate. At the same time, the planning unit produces position papers pertaining to

immediate planning. At this point, the planning unit has to pose and find answers to some planning questions. The following types of questions need answers:

1. What data are available to help assess the variety of impacts on GPO established by the management team?
2. What ways can discretionary funds be focused in order to achieve maximum focus on the GPO?
3. What constraints have been identified that will demand a particular course of action?
4. What immediate objectives are possible that will support the long-range achievement of the management team's GPO?
5. What special programs or projects need to be initiated in order to accomplish the objectives that are not at present being undertaken?
6. What present activities are now under way that aid in the accomplishment of the GPO?
7. What activities now under way work against or at least do not work for the accomplishment of the objectives.
8. What kinds of performance levels in broad terms are desired for each objective?

9. What alternative courses of action seem likely to meet the immediate GPO established by the management team?
10. Which of the alternative courses of action call for the least amount of internal management accommodation on the part of the various divisions in the SEA?
11. What reporting requirements for LEA's appear necessary and what difficulties may be expected in gathering these data in order to assess the performance level?

After the resources, legislative climate, and futures planning have been assessed, the management team receives the PINS from the planning unit and determines the internal and external goals, priorities, and objectives of the SEA. The GPO and the PINS are then sent to the planning unit following an assessment and identification of resources, legislative climate, and futures planning. The GPO and PINS are now used as a guide to develop the alternative scenarios and the SEA's long-range plan. The SEA long-range planning covers the following areas:

1. Policy Planning
2. Legislative Planning

3. Financial Planning
4. Management Planning
5. Reporting Needs

In order to engage in long-range planning for each of the five areas listed above, certain planning questions must be asked and answered. Illustrative questions in each related area could be as follow:

Policy Planning

1. In light of the GPO and PINS, how relevant are the current SEA policies as they pertain to the operation of the agency? Do the current policies adequately meet the needs of agency operations as they pertain to personnel, facilities, finance, administration? Are the policies written and available to the SEA personnel?
2. What new policies need to be added in order to satisfy current SEA operations and future operations as determined by needs assessment and future planning?
3. How can the needed policies be formulated in order to have maximum impact on SEA operations?

4. Are policies in accord with the educational philosophy of the CSSO, the management team, and other critical SEA personnel?
5. Do the present and projected policies provide for individual employee needs as well as organizational needs?
6. What process will be used to insure that policies are continually updated?

Legislative Planning

1. What are the current laws that pertain to SEA operations and SEA clientele?
2. Do the current laws satisfy the present and future needs of the SEA and its clientele as determined by needs assessment and future planning?
3. What new laws are needed in order to maximize the chance of satisfying current and future needs?
4. It is feasible to have the needed laws now, and if not, when is it politically feasible?
5. What is the current legislative trend in relationship to future law that the legislature may enact that will have an effect on the SEA?

6. What "accountability" to the legislature has the legislature placed on the SEA and how will performance be measured?
7. What and/or who is the SEA advocate before the legislature and what mechanism has been devised to insure adequate input regarding legislative needs from the various SEA decision-makers and planners?

Financial Planning

1. What are the present financial sources of the SEA?
2. How much of the financial resources are flexible?
3. What are the present objectives of the SEA?
4. Are there adequate resources to attain the objectives or are there certain contingencies that have to be met?
5. If more resources are needed, how can the agency receive them, and when?
6. Would the needed resources be able to satisfy current and future objectives?
7. What vehicles for grants management procedures does the SEA have now?

8. Is the SEA equipped to handle the funds flow efficiently, and if not, how can procedures be modified to do the work more efficiently?
9. What portion of the present budget has been granted on a more-than-one-year basis legally or on the basis of a promise if funds are available.
10. What new sources of funds plus regular funds becoming available for next year will be available to focus on the GPO of the SEA?
(These should be analyzed in order to relate funding ability of the SEA by objectives.)

Management Planning

1. Are the current programs of the SEA attaining the objectives of the agency?
2. How best can the agency organize to attain the objectives?
3. Is the current administrative organization conducive to the attainment of the objectives?
4. Do the managers have adequate tools of evaluation for ongoing projects?
5. In the light of current and future needs, what changes are required in facilities, personnel, etc.?

6. How can any required changes be formulated and implemented in order to satisfy needs?
7. Do managers in the SEA have authority commensurate with their responsibilities?
8. Does each manager have flexible funds to allow flexibility of operation and creativity of approach?
9. Are lines of communication open and has a procedure been established to generate maximum feedback to the CSSO on problems as well as successes?

Reporting Needs

1. Are the current data-collection instruments constructed to include all pertinent data that the agency needs?
2. Do the instruments arrive in time in order to give managers information before decisions are made?
3. Does the data delivery system of the agency function efficiently?
4. What necessary changes are needed in order to get pertinent data and on time?

5. Are the reports in the proper time sequence in order for decisions to be made based on the information contained in the reporting documents?
6. Has a procedure been developed to generate special reports as required by various SEA publics?
7. Has a report-generating cycle been established to generate routine and required reports on a continual basis and not just as one crisis after another?
8. Have steps been taken to insure the validity of data generated and to minimize the reporting burden at the SEA and in the LEA's?

The long-range planning documents, the document containing the constraints and estimate of the attainable, and the alternative scenario are filed while the position paper for immediate planning is forwarded to the management team (Chart 3).

One-Year Planning

The management team determines the one-year goal for the SEA consistent with the SEA management by objectives and Program, Planning, Budgeting System. The team

then assigns priorities for the current year according to the CSSO's objectives. The available funds (discretionary and flow-thru) then are reviewed in order to determine the probable outcomes of the flow-thru funds. The team assesses alternative funding patterns for the discretionary funds to insure maximum chance of attaining the objectives for the year. The team then assigns priorities for use of the discretionary funds. These decisions together with the position paper for immediate planning are forwarded to the planning unit.

The planning unit receives the documents and writes a narrative for the one-year plan consistent with the management team's decisions. The narrative one-year plan is patterned along the same lines as the scenario. The position paper for immediate planning and the document containing the management team's decisions are filed while the narrative one-year plan is sent to the CSSO. The CSSO reviews and approves the document and forwards it back to the planning unit.

One-Year Detailed Work Plan Developed
by Planning Unit

The planning unit receives the approved narrative one-year plan and develops a detailed SEA work plan for the

next fiscal year in duplicate. At this point, certain planning questions have to be posed and answered. Such questions include the following illustrative planning questions:

1. What are the current activities that will support the objectives contained in the one-year plan?
2. What activities must be eliminated that do not conform to the new one-year plan?
3. What changes in staffing will be required?
4. What adjustments to the budget are necessary?
5. What on-going activities must be maintained and at what cost?
6. Is any staff development necessary to incorporate the new activities?
7. What items in the plan require outside consultants?
8. Is the consultant pool up-to-date?
9. What activities will require contract work by outside agencies?
10. Do the activities contemplated meet the demands of the executive, legislative, and judicial branches of government?

11. Which work activities will be assigned to which organizational unit?
12. Does the need for special overall coordinators for one or more of the major objectives of the SEA that will definitely be operated across organizational lines exist?
13. What specific performance criteria can be established and measured for the evaluation of the GPO that are to be accomplished in the one-year plan?
14. What types of Program Evaluation Review Technique (PERT), Critical Path Method (CPM), or Gantt chart procedure will be used to format the one-year plan?
15. What staff will lay out the network analysis of division activity, assignments and processes?

Both copies of the SEA work plan are sent to the CSSO where they are reviewed and approved and sent back to the planning unit. The planning unit updates the SEA work plan, if necessary, files one copy and forwards the other copy to the Division.

Division Develops One-Year Detailed Work Plan

The Division receives the SEA work plan and begins to create a detailed work plan of activities based upon the SEA work plan. This Division work plan of activities is made in triplicate. At this point, certain planning questions have to be posed and answered. The questions include the following:

1. What GPO established for the Division are already being done or contemplated?
2. What branches activities are related to which GPO in the SEA one-year detailed work plan?
3. Which activities are now undertaken that need to be eliminated or phased out?
4. Which new activities will impact the whole Division and will demand extensive administrative and organizational accommodation?
5. Which sources of data will relate to which objective?
6. What branches are the most qualified to have responsibility for which activities that will achieve the desired GPO stated in the SEA work plan?
7. What other pressing needs does a Division see

that are not being met by the GPO as established in the SEA detailed work plan? (If there is a large gap or some sort the Division should request a ruling on their alternatives from the planning unit and the CSSO.)

8. What activities should the branches undertake and in what sequence and in what time frame and at what cost? (This usually is satisfied by a PERT or some other graphic process.)
9. What objectives should the Division develop to allow the evaluation on a performance basis as requested by the SEA work plan?
10. What additional policy, legislative, or administrative rulings would be desirable to increase the likelihood of the Division accomplishing planned objectives.
11. What contract activities should be contemplated with outside groups?
12. What major problems can be anticipated with staff or facilities due to the new demands placed on the Division?
13. What discretionary funds are available to the Division and how can the Division

- most effectively utilize these funds to insure the accomplishment of the Division objectives?
14. What problems will the SEA work plan cause for LEA's and what steps can be taken to minimize these apparent difficulties?

The Division files the SEA work plan and forwards the three copies of the Division work plan to the planning unit. The planning unit reviews the Division work plan, notes exceptions, and forwards the Division work plan and the exceptions to the CSSO. The CSSO reviews and approves the documents and forwards them to the planning unit, where they are up-dated if necessary. The exceptions and one copy of the Division work plan are filed while the remaining two copies of the Division work plan are forwarded to the Division. The Division receives the approved Division work plan, files one copy and forwards the other copy to the branch.

Branch Detailed Work Plan

The branch receives the Division work plan and determines the activities necessary to implement the Division work plan. Two copies of the branch activities

are created. At this point, certain planning questions have to be posed and answered.

1. What assigned tasks are now being performed by the branch?
2. What new tasks must be incorporated in the branch work plan?
3. Is the expertise of the employed personnel consistent with the new tasks?
4. Will additional personnel be necessary to accomplish the assigned tasks?
5. Are the assigned tasks consistent with the branch objectives?
7. Is a program of staff development necessary to adjust to the new tasks?
8. What branch budget adjustment must be made to allocate the desired expertise of personnel to conform to the new tasks?
9. What tasks should the branch personnel actually undertake to accomplish the assigned objectives? In what sequence, time frame, and cost should their tasks be planned? (This is usually accomplished by a PERT or other similar device.)

10. What plan will the branch initiate to evaluate the accomplishments of the assigned objectives? Is there a specific behavioral objective and performance criteria for each task?
11. Will contract activities with outside personnel be necessary to accomplish the assigned tasks?
12. What funds are available to the branch for task accomplishment?
13. What problems will the branch incur in its relationship with the LEA's concerning the new tasks, and how can their problems be minimized?

The branch files the Division work plan and a copy of the branch activities and forwards the other copy of the branch activities to the Division. When this document arrives at the Division, the Division determines and creates a list of priority activities in duplicate, files the branch activities and forwards the other copy of the list of priority activities to the planning unit.

Development of the Program Structure

The planning unit receives the list of priority activities and groups the activities into acceptable SEA

programs. The planning unit also makes recommendations for required changes in policy, legislation, financial process, rules and regulations, facilities and personnel addition or deletion. At this point, certain planning questions have to be posed and answered. The questions include the following:

1. Have the Divisions interpreted the GPO properly?
2. Are there any gaps in the overall objectives after the Division reports have been analyzed by the planning unit?
3. Are time sequences, costs, and priorities consistent with the overall accomplishment of the SEA GPO (consolidated PERT, etc.)?
4. Are funds being allocated in the proper priorities for the successful accomplishment of the GPO?
5. Is the manpower properly distributed in the Division that conforms to the task activities that must be accomplished?
6. Is the executive, legislative, and judicial intent of the new one-year work plan being satisfied?

7. Are the Division plans consistent with the philosophy of the CSSO?
8. Have the Divisions utilized the available data to the fullest extent?
9. Can the planning unit supply the Division with additional information to facilitate the accomplishment of the assigned activities?
10. Must adjustment be made in the GPO for realistic accomplishment?
11. Is the management team in final agreement after all Divisions activities have been planned?
12. What effect will the new one-year plan have in relationship to the LEA's?
13. What steps can be taken to inform the LEA's and the various publics of the GPO?
14. What groups of activities by Divisions or across Divisional lines constitute a program?
15. Are these programs consistent with the GPO?
16. Are the programs politically viable internally and externally?
17. Do these programs as arbitrarily created give emphasis to the CSSO's leadership role?
18. Do the programs as constituted give emphasis

to the monies being spent according to legislative intent and provide an adequate reporting basis for accountability?

The planning unit files the list of priority activities while the SEA programs and the documents containing the required changes are forwarded to the management team. The team receives the documents and allocates the funds by priority considerations.

Table 3.--SEA Planning Cycle

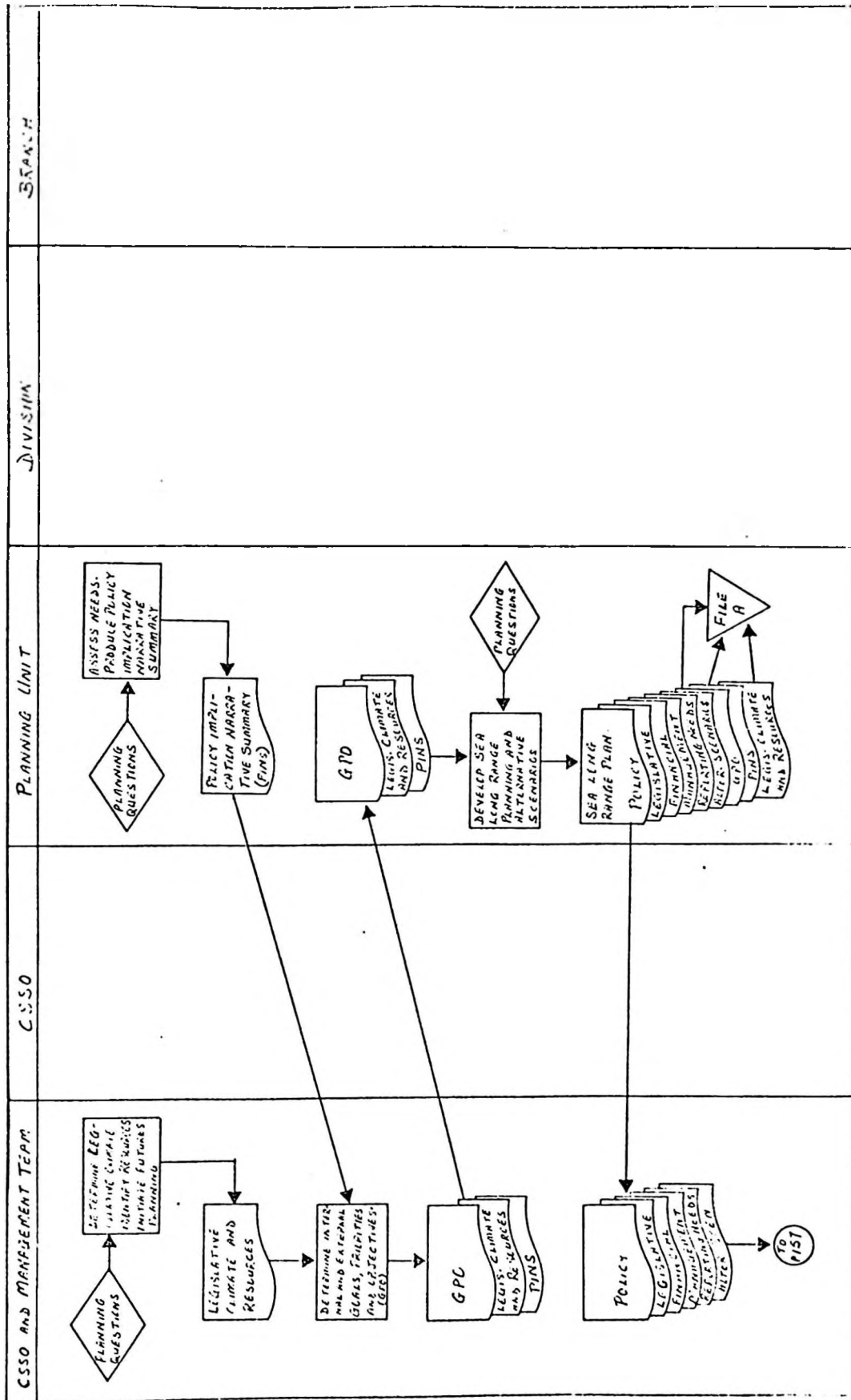


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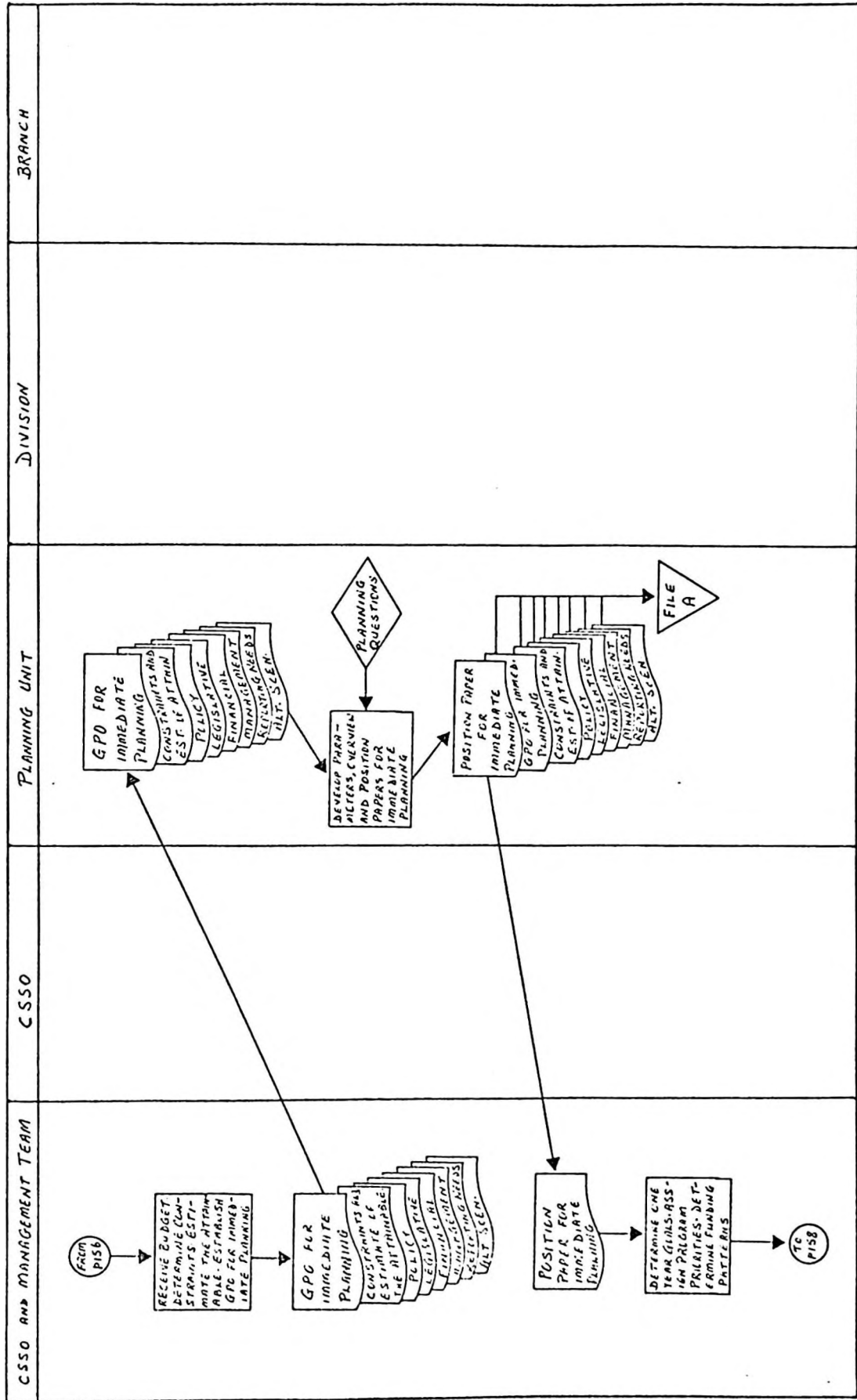


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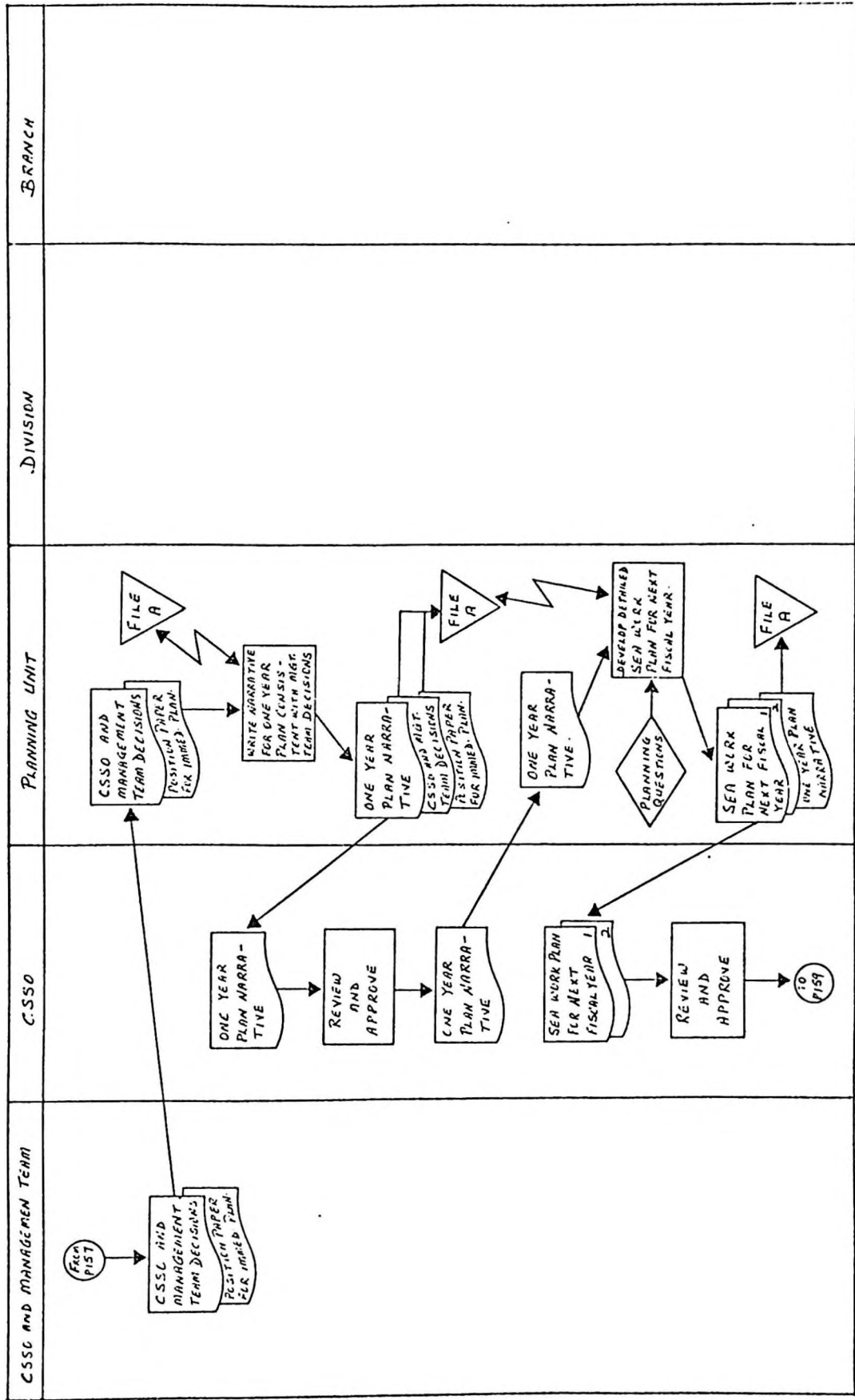


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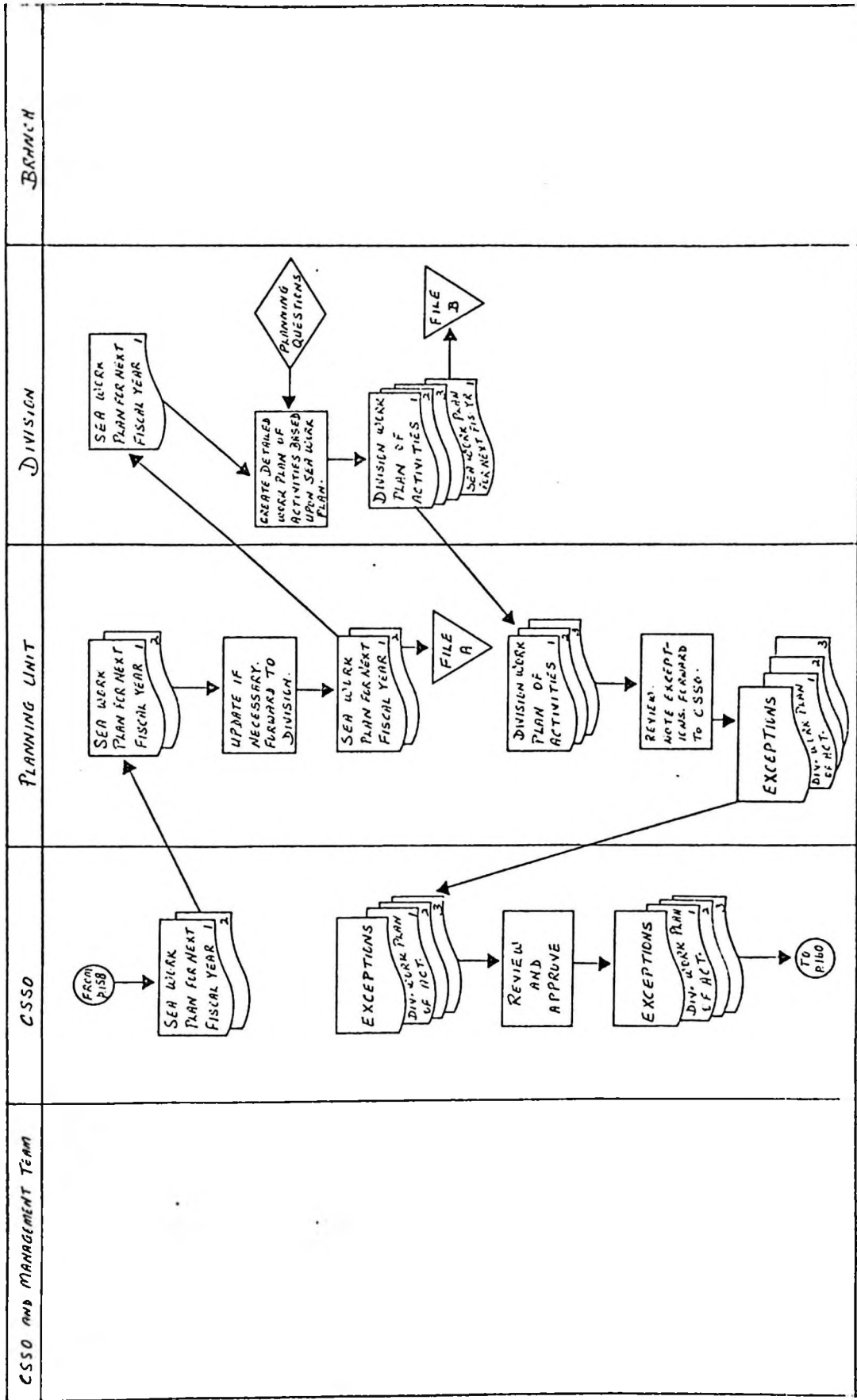


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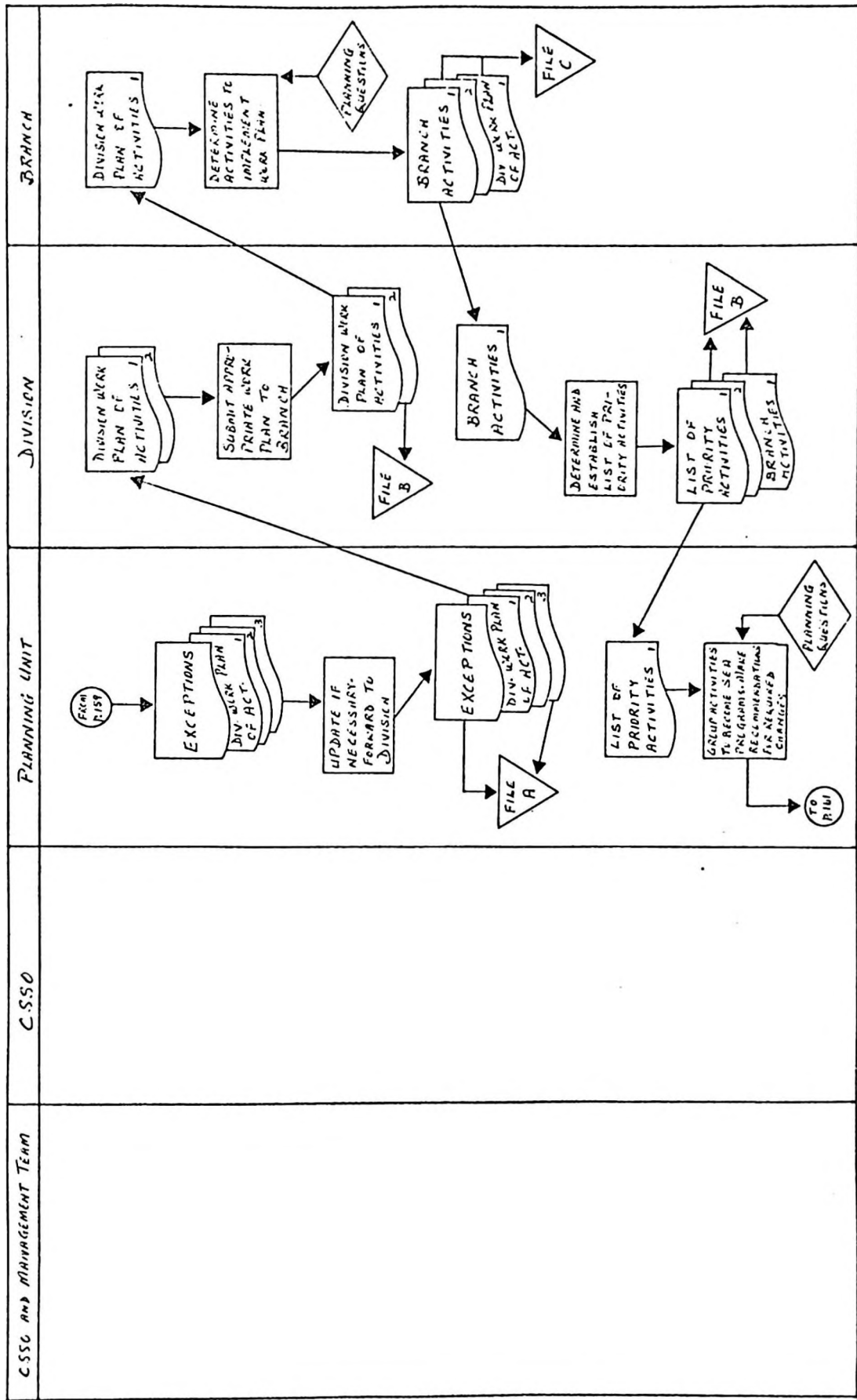
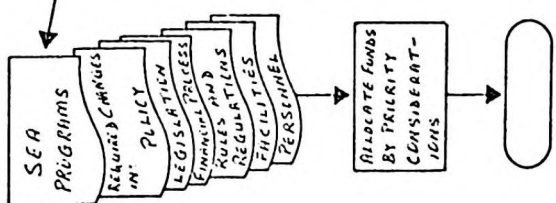
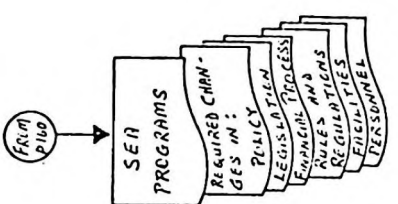


Table 3--Continued

CSSO AND MANAGEMENT TEAM	CSSO	PLANNING UNIT	DIVISION	BRANCH
 <p>SEA PROGRAMS</p> <p>REQUIRED CHANGES IN: POLICY LEGISLATION FINANCIAL PROCESS RULES AND REGULATIONS FACILITIES PERSONNEL</p> <p>ALLOCATE FUNDS BY PRIORITY CONSIDERATIONS</p>	<p>CSSO</p>	 <p>SEA PROGRAMS</p> <p>REQUIRED CHANGES IN: POLICY LEGISLATION FINANCIAL PROCESS RULES AND REGULATIONS FACILITIES PERSONNEL</p> <p>FROM P100</p>	<p>DIVISION</p>	<p>BRANCH</p>

CHAPTER VI

SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

Summary

The development of a conceptual model for the purpose of enabling top managers in a State Education Agency (SEA) to assess the planning and management processes that occur within the Agency was prompted by an awareness on the part of many that SEA's are being given a greater responsibility in the direction setting for society. In the past, a high degree of philosophical acceptance has accompanied the relatively piecemeal, haphazard, and ineffective approaches to planning and management conducted in the educational establishment. Now, pressures of the times are demanding that educators do the kind of planning which will meet today's needs, squarely and effectively, and the demand is framed in a context that brooks no failure.

Realizing that no SEA has a typical organization and further realizing that many are undergoing some type of

reorganization, this study has proposed a "model" agency that is organized along functional lines. It encompasses those functions that are necessary for the operation of a SEA and presents a format that is workable, realistic, and defensible. A process model, also included, indicated how planning and management are interrelated. It may be argued that planning, when coupled with evaluation, constitutes a major portion of that which has come to be known as "management."

This study was not intended to serve as a condemnation of SEA's as they presently exist; nor did it purport to be a panacea for the solution of all the problems that are found within any given agency at the present time. However, the study assumed that if properly used, the model could be used by the Chief State School Officer (CSSO) of a SEA to compare the functional effectiveness of his present organization and procedure with the system proposed. The model should assist a SEA to perform its obligation with a greater degree of effectiveness and efficiency. The general model does, in effect, provide the CSSO with an effective tool for a comprehensive evaluation of what his agency is doing, could do, and should do.

The portion of the model dealing with "internal considerations" along with the narrative in Chapter III serves to surface and identify those functions that are common to all agencies. As explained in the study, the organization of the agency could be easily accommodated to the functions as opposed to the line item budget approach that generally exists. These functions encompass all the divisions and/or sections that are now common in most SEA's. Some examples of these sections or dimensions are: Elementary Bureau, Secondary Bureau, School Services, School Lunch, Vocational Education, Adult Education, Early Childhood Education . . . ad infinitum, depending on the particular agency. It is consistent to consider all of the above under one or another rubric when thinking of Grants Management, Program Management, Development and Dissemination, etc.

The CSSO can effectively determine whether or not the management and planning practices of the agency are being properly utilized. This examination consists primarily of viewing the agency "in toto." Decision-makers are managers and good decision-makers make decisions only after they have carefully considered the hard data that are available. Data are derived from instruments that are

conceived to generate certain bits of information, from particular sources, and generally for specific reasons. These instruments are developed by many different people representing different organizations, agencies, levels within given agencies, etc. They are primarily state and federal in origin. This myriad of sources often results in data that are supplementary as well as complimentary. This results in a vast, seemingly endless ocean of related, unrelated, meaningful, and meaningless data items when viewed by the uninitiated planner who has been given the task to prepare recommendations for others to use in decision-making. Too often, rather than cope with the immensity of the data confronting him, the planner prepares yet another instrument, adding further to the sea of confusion that already exists.

Order can come from this chaos if the problem is properly addressed. The model suggests that there are certain "external" considerations that must be systematically developed. These external considerations become the SEA planning cycle. Needs are assessed; from these, long-range plans are developed; short-range plans are prepared; the various "climates" are assessed; work plans are developed, etc., as depicted in Chart 3. Each of these

components has questions that planners should be considering. Then the planners select from the data available those instruments containing the discreet dimensions and categories that are pertinent to the questions that are to be addressed. At this point it becomes the decision-making role of the planner to decide which data instruments, dimensions, etc., must be included and which ones should be discarded. He must be prepared to make value judgments as to the appropriateness of those items that might be of some value but make the decision-making process too cumbersome. This decision-making role of the planner must be seen in the light of the planner being sensitive and aware of the wishes of the CSSO. In other words, the decision-maker reaches the point where he "must fish or cut bait."

The model suggests that the planning component of the agency develops alternative methods of achieving agency goals--these alternatives being based upon the hard data available--and presents these strategies to the ultimate decision-makers who in turn select the courses of action to be taken, assign them to functional units, and oversee their accomplishment. The working units carry out the plans developed under the direction of management and

report regularly to management concerning the status of the programs undertaken along with an indication of their success. It must be clearly understood that the program work plans that are developed differ from the agency work plan in that they constitute only a discreet part of the overall plan. The program plans may have beginnings and endings, depending on the individual program involved. The agency plan, on the other hand, is a continuing process and must remain flexible and susceptible to change.

It must also be understood by management that the SEA is one of several public agencies that exists within a state and that they must both compete and cooperate with other agencies. The SEA competes with other agencies within the state for resources; this at times clouds the principal reason for the existence of all agencies within a state. They are there for the common good and serve only as a vehicle to serve the target clientele, the citizens of the state. Agency goals are at times interpreted as ones that best serve to perpetuate the existence and growth of the agency--sometimes at the expense of the citizen rather than for him. "It must be demonstrable at all times that the goals and objectives of the educational

system are relevant to the persistent and compelling social, cultural, and economic problems of the state, region, and the nation."¹

The general model that is presented in the study as well as the illustrative questions that have been included are not designed to serve as a formula or "cookbook" approach to what management planning in a state agency should necessarily be. They serve as an example of a management planning technique along with types of questions that must be asked by planners and managers of any institution if it wishes to remain viable and responsive to the society which it serves. It is hoped that the alert CSSO can adapt this series of illustrations to his particular situation in a manner that will assure the effective and efficient operation of the SEA as it provides quality education for all the people in the state.

Conclusions

Assuming the validity of the data presented in the preceding chapters, the model presented raises certain conclusions:

¹Bernarr S. Furse and Lyle O. Wright, Comprehensive Planning in State Education Agencies (Salt Lake City: Utah State Board of Education, 1968), p. 8.

If the CSSO decides that the study could be a useful means of examining his agency, there are several accomplishments that can be expected. One important result is the surfacing of what the SEA is actually doing. If properly addressed, the entire work flow of the agency would be graphically portrayed. The flow of documents, the available data sources, the realization of who does what, the decision-making process, who the decision-makers are, are examples of expectations. When considering the rapid changes that have been taking place during the past ten years, i.e., the proliferation of agency personnel and the services that are available to the local school districts, the surfacing of what the agency is actually doing and by whom should prove extremely beneficial to the CSSO and the SEA in general.

Another important benefit is the opportunity to view the planning process that exists in the agency at the time of the assessment. There has been an emphasis on the development of a formal planning component in those state agencies that had not been able to support them in the past. The United States Office of Education (USOE) has made funds available for the support of this type of delivery system. However, there is a vast difference

between the formulation of the offices simply because funds are available and the systematic development of a process that can help the decision-makers of the organization.

It follows sequentially that the top manager of the SEA, after examining the agency as it exists organizationally and functionally, and after surfacing the ability and responsibility of his planning component, can make use of the study to reorganize his shop in a manner that is consistent with the needs that are evident within the state. If it is consistent with his management style, he can develop the operating units of the agency along functional lines. By this, it is meant that as new program requirements occur, they can be inserted into the existing framework of the organization rather than necessitate the creation of new departments or units. This should preserve the manpower requirements and lessen the fragmentation of responsibility that currently exists within many agencies.

If the CSSO should decide either to reorganize or that his organization is sufficiently functional, there is yet another use that can be made of the study. It provides an excellent example of how the agency can make full use of the data sources that are available in the decision-making

process. To the uninitiated, the proposed formal method of data utilization may appear cumbersome and structured to a point of ridiculousness; however, further examination leads to the rather simple conclusion that there is just no other method currently available that will permit the user to make use of so much data in a manner that can be rearranged so simply in dissimilar situations. The formulation of the planning questions is not new; but often decision-makers develop these questions informally and only to the extent that they appear to be appropriate, thereby running the risk of not being able to return to the questions posed in the event that new direction is called for following the implementation of new programs.

Recommendations for Further Study

Based on insights gained through this study, the following recommendations for further study are suggested:

When this study is viewed as mainly plowing new ground in the area of educational management at the SEA level, there are certain rather obvious conclusions that can be drawn. The Data Matrix needs further study. As pointed out early in the study, the examples given should not be considered anything other than just examples. The planning questions that are posed are the "types" of

questions that must be developed, they in no way can be looked upon as "the" questions. The important thing is the concept of the Data Matrix and how it combines with the questions that are developed in order to provide the decision-maker with alternative courses of action in the execution of his work.

The portion of the study that is concerned with the "internal considerations" is another section that warrants additional research. Work is being done in this area at the present time under such headings as Management Appraisal, Professional Development, Strengthening State Agencies, etc. Since this work is underway, it seemed unnecessary to undertake still another study. As evidenced in Chapter II, this work was reviewed even though it is still in the formulative stages, and then used in the study in that context. The next few years should produce significant advances in the area of management looking at itself critically and analytically in order to improve itself in the process of achieving desired outcomes.

It appears that further research should be undertaken in the area of Management Information Systems (MIS), a system that is developed by the agency to provide the

information quickly and accurately that is needed to make decisions. It incorporates a great deal more than a "bank" of information items. This misconception of MIS has probably resulted in more problems for management than the actual development of a MIS. The important aspects are those that deal with who determines what the system shall consist of, who is it designed to serve, who decides which decisions will be made by whom, etc. In the past decade, many of the managers have become fascinated by the computer and its flexibility. They have been experimenting with its tremendous potential rather than actually using it. They have in effect become in too many instances "tools of the tools."

Educators must be extremely careful when using the word "management"; a word often defined in many different ways. Added confusion occurs when the phrase "top management" is used; this complicates rather than simplifies the definition. It is apparent that further research should be undertaken as to what actually are management; top management; managers; super managers; etc. It is also important that a SEA (before it undertakes the type of exercise that is depicted in this study) spends the time necessary to define for itself a vocabulary that will be consistent among those that are involved in its usage.

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