

**EDU 5743 Syllabus
Dr. Richard Bernato
PLANNED CHANGE
COURSE OVERVIEW**

Building upon knowledge of classical and contemporary theories of organizational behavior in social institutions, this course examines several analytical frames of reference as constructs for understanding organizational culture. These frames are then overlaid on written case studies and simulations of social organizations in order to more effectively transfer applicable theories and strategies of planned change. Those “lenses” which are specified and explicated by individuals and teams within the course place a major emphasis on improving leadership practice.

CONTENT

SEE OBJECTIVES BELOW

PROCESS SKILLS

- **CRITICAL INQUIRY**
- **DIAGNOSE AND PRESCRIBE**
- **CREATIVE PROBLEM SOLVING**
- **DECISIONMAKING**
- **FUTURING**

APPLIED SKILLS

PARTICIPANTS PRACTICE AND MASTER:

- **ASSESS, PRESCRIBE FOR OPTIMAL TEAM DYNAMICS**
- **ASSESS AND RELATE ORG THEORIES**
- **APPLY CORRECT FRAME TO CHANGE CIRCUMSTANCE**
- **ASSESS, PRESCRIBE FOR HIGH INVOLVEMENT HEALTH**
- **DIAGNOSE EXISTENCE OF SCHON’S CRITICAL AXES**
- **DIAGNOSE EXISTENCE OF SYSTEMS VARIABLES**
- **ASSESS THE EFFICACY OF REENGINEERING AND RESTRUCTURING**

MODELS

- **APPLY APPROPRIATE FUTURING SKILLS AND VISIONING TECHNIQUES**
- **LEAD STAKEHOLDER TEAMS IN OPERATIONAL AND STRATEGIC ACTION**

PLANNING

MATERIALS

TEXT

The course draws primarily from ONE text, selected readings, and multiple supporting texts.

Primary Texts:

Bolman, L and Deal, **Reframing Organizations**, second edition, Jossey-Bass, 1997
ISBN 0-7879-0821-5

Secondary Texts and Materials

Bryson, John. **Strategic Planning for Public and Non-profit Organizations**, Jossey-Bass, 1995
ISBN 0-7879-0141-5

Bryson, J and Alston, F. **Creating and Implementing Your Strategic Plan**, Jossey-Bass, 1996

ISBN 0-7879-0142-3

Cook, William. **Strategic Planning**, American Association of School Administrators (AASA), Arlington, VA, 1990 Stock # 021-00235 ISBN 0-87652-132-4

(also may be newly published under Cambridge Management Group, Inc, Montgomery, Alabama)

Cornish, Edward. **Futuring: The Exploration of the Future**. WFS. 2004. ISBN 0-930242-61-0.

Carlson, R and Awkerman G. **Educational Planning: Concepts, Strategies and Practices**, Longman, New York, 1991 ISBN 0-8013-0434-2

Hines, Andy and Bishop, Peter, eds. **Thinking About the Future; Guidelines for Strategic Foresight**. Social Technologies, 2006

ISBN-13: 978-0-9789317-0-4

Lencioni, Patrick, **The Five Dysfunctions of a Team**. Jossey-Bass, 2002 ISBN 0787960756

Owens, Robert. **Organizational Behavior in Schools**, Prentice-Hall Inc, Englewood Cliffs, NJ ISBN 13-641027-8

Other Resource Texts and Materials

Donmoyer, R.,Imber,M. And Scheurich, J., Eds **The Knowledge Base in Educational Administration: Multiple Perspectives**, SUNY, Albany, 1995 ISBN 0-7914-2386-7

Shafritz, J. and Ott, J. **Classics of Organization Theory**, Third Edition, Brooks-Cole Publishing Company, Pacific Grove, CA, ISBN 0-534-17304-7

Shafritz, J. and Hyde, A. **Classics of Public Administration**, Third Edition, Brooks-Cole Publishing Company, Pacific Grove, CA, ISBN 0-534-17310-1

There will also be a variety of hand-outs pertaining to course topics, particularly on quantitative research methods, throughout the course. All lecture and related course materials are on CD-ROM.

WEBSITES

- <http://www.Pbworks.com>
- <https://stjohns.digication.com/home>
- <http://www.P21.org>
- <http://www.nysed.gov>
- <http://www.wfs.org>
- <http://www.activelearningconsult.com>
- <http://www.wfs.org/futurist/may-june-2012-vol-no-3/predict-or-build-future-reflections-field-and-differ>
-
- <http://www.youtube.com/watch?v=jZkHpNnXLB0>
-
- http://www.youtube.com/watch?v=_IW8ihhWBZA
-
- <http://www.mindtools.com>
- http://www.whufsd.com/apps/pages/?uREC_ID=99900&type=d
- <http://edufuturing.wordpress.com/>
- <http://seriousgamesdotme.wordpress.com/>
- <http://edufuturingdotcom.wordpress.com/>

<http://www.twitter.com>

Course Reading Assignments

- Lecture 1-2 Bolman and Deal - Chapters 1-5
Carlson - Chapter 1-5
- Lecture 3 Bolman and Deal Chapters to completion
Carlson - Chapters to completion
- Lecture 4 Bryson - Chapters 1-4
Cook - Chapters to Completion
- Lecture 5 Bryson: Chapters to completion
Readings, Cases and Simulation Materials

TEACHING ORDER OF COURSE OBJECTIVES

OBJECTIVE ONE

RECOGNIZE AND PROJECT EDUCATIONAL SYSTEMS OF THE 21ST CENTURY -
_ reasoning is as an interest catcher for the whole course and baseline for recognizing how change systems and theories must be pointed toward the future.

OBJECTIVE TWO

RECOGNIZE AND ASSESS CHANGE ISSUES IN EDUCATIONAL PLANNING AGAINST SYSTEMS THEORY – this will use simulation as an example of Futuring technique AND as a means toward using systems theory as a common vocabulary for subsequent activities and teaching.

OBJECTIVE THREE

RECOGNIZE TENETS OF EDUCATIONAL FUTURISM – The reasoning for this is to solidify the rationale for Futurism and for twining it with educational planning applications.

OBJECTIVE FOUR

RECOGNIZE AND APPLY THE PRINCIPLES OF STRATEGIC FORESIGHT TO CHANGE ISSUES IN EDUCATIONAL PLANNING – Three and four are clearly connected as the activities and teaching based on this book will enable students to practice, master, examine, assess, apply and recreate these to their skills-set.

OBJECTIVE FIVE

RECOGNIZE AND APPLY THE PRINCIPLES OF HIGH INVOLVEMENT TO CHANGE ISSUES IN EDUCATIONAL PLANNING – This is likely not a major topic but has great usage in tandem with Objective six so that students can assess these variables insofar as they may affect the success of an educational planning team.

OBJECTIVE SIX

RECOGNIZE AND APPLY PRINCIPLES OF TEAM DEVELOPMENT AND DYSFUNCTION TO CHANGE ISSUES IN EDUCATIONAL PLANNING – This is connected to five insofar as enabling students to apply its principles to the success of an educational planning team.

OBJECTIVE SEVEN

REVIEW ASPECTS OF SOCIAL THEORY AND ORGANIZATIONAL BEHAVIOR – Rationale for this order is to pose issues and problems on experiential basis and use their debriefing of these activities and interactions to recognize, assess, and relate to social theory and organizational behavior theories.

N.B. It could be argued that seven through twelve should go first. But I'd rather try it this way first.

OBJECTIVE EIGHT

EXAMINE SEVERAL FRAMES OR LENSES AS PREPARATION FOR

ORGANIZATIONAL CHANGE – Using Bolman and Deal etc., students can recognize how these play a role in educational planning.

OBJECTIVE NINE

INTEGRATE THE BASIC PROCESSES, CONCEPTS, AND FORCES OF CHANGE

WITHIN EACH FRAMEWORK OR LENS – This is a finer filter process for Eight and activities should be designed to meld eight and nine at minimum.

OBJECTIVE TEN

EVALUATE THE IMPLICATIONS OF THESE INTERPRETATIONS FOR

ORGANIZATIONAL AND LEADERSHIP DEVELOPMENT – Futuring skills like futures-wheels and cross impact matrices will have utility to enable students to recognize implications of these theories against the future they have constructed / forecasted.

OBJECTIVE ELEVEN

ASSESS THE EFFICACY OF REENGINEERING AND RESTRUCTURING MODELS –

This certainly a kind of end-product objective whose mastery and efficacy would be diluted unless students had done all objectives beforehand.

OBJECTIVE TWELVE

RECOGNIZE AND APPLY CURRENT AND APPLICABLE THEORIES OF CHANGE

TO ISSUES OF EDUCATIONAL PLANNING – Activities and teachings related to this are best suited to practical and forecasted issues at hand as a prelude to choosing optimal planning options.

TENTATIVE TEACHING CALENDAR

FRIDAY

- **MEET AND GREET**
- **Housekeeping**
- **6312187815**
- **6318480316**
- **bernator@stjohns.edu**
- **rbernato@gmail.com**
- **Phone / email chain**
- § **Blackboard?**
- § **App**
- § **iPad**
- **Bagels, Buns, Omelet Stations / ROTATION**
- **REVIEW COURSE OUTLINES AND EXPECTATIONS**
- **ESTABLISH ASSIGNMENT DATES AND EXPECTATIONS**
- **REVIEW WEBSITES**
- **<http://www.Pbworks.com>**
- **<https://stjohns.digication.com/home>**
- **<http://www.twitter.com>**
- **ANTICIPATORY SET – A KIND OF PRE AND POST**
- **ASSESSMENT(s):**

§ **USE ENVIRONMENTAL SCANNING TECHNIQUES AND RESEARCH TO ESTABLISH CONSENSUS RE SCHOOLS OF 21ST CENTURY;**

- <http://www.youtube.com/watch?v=jZkHpNnXLB0>
-
- http://www.youtube.com/watch?v=_IW8ihhWBZA
-
- <http://www.youtube.com/watch?v=nZ-VjUKAsao>
-
- <http://www.reinventingeducation.org>
- <http://www.P21.org>
- <http://www.wfs.org>
- <http://www.activelearningconsult.com>
- <http://www.wfs.org/futurist/may-june-2012-vol-no-3/predict-or-build-future-reflections-field-and-differ>
- <http://www.mindtools.com>

§ **PRESENT PREMISES TO BOE...**

§ **READING ASSIGNMENTS:**

§ **PROBLEM SETS**

§ **PRESENTATIONS**

○

○ **CROSS REFERENCE MATERIALS AND PRESENTATION**

§ **HUGHES' RESTRUCTURING LECTURE 3??**

§ **FUTURING BOOK**

§ **BRYSON**

- **GROUP DIVISION – GROUP WORK**

SATURDAY

AM - OBJECTIVE TWO

RECOGNIZE AND APPLY THE PRINCIPLES OF SYSTEMS THEORY TO CHANGE ISSUES TO

○ **ASSESSMENT(s):**

§ **THROUGH A SIMULATION APPLY THE PRINCIPLES AND IMPLEMENTATION PROCESSES OF SYSTEMIC CHANGE**

§ **READING ASSIGNMENTS:**

§ **PROBLEM SETS**

§ **CRITIQUE SCHON'S FRAME ANALYSIS**

§

○ **CROSS REFERENCE MATERIALS AND PRESENTATION**

§ **HUGHES ASTOUND**

§ **BERNATO PP**

§ **SYSTEMS THINKING SYSTEMS CHANGE SIMULATION**

○ **CONNECT TO ASSIGNMENT**

PM FUTURING – OBJECTIVES THREE - SIX

○ **FUTURING – WEBSITES**

○ **FUTURING SKILLS!**

○ **ROOT CAUSE ANALYSIS**

○ **SYNTHESIS**

- HIGH INVOLVEMENT
- LENCIONI
- GROUP WORK

SUNDAY: FUTURE SCHOOLS' PRESENTATIONS

OBJECTIVES THREE THROUGH SIX

SECOND FRIDAY

OBJECTIVES SEVEN THROUGH TWELVE

- SET UP SUNDAY AM
- SET UP SATURDAY PM PANEL
- TIME FOR PREP FOR BOTH
- OBJECTIVE SEVEN - NINE

OBJECTIVE SEVEN

REVIEW ASPECTS OF SOCIAL THEORY AND ORGANIZATIONAL BEHAVIOR

- ASSESSMENT(s): REVIEW / REACT TO LECTURE AND READINGS;

§ APPLY THEORIES TO SPECIFIC DISTRICT(S):

§ READING ASSIGNMENTS:

§ PROBLEM SETS:

§

- CROSS REFERENCE MATERIALS AND PRESENTATION

§ HUGHES PLANNED CHANGE

- Lectures 1-2 Review of Social Theory and Organizational Culture

- Organizational Environment
- Authority Structures
- Human Relations and Management
- Taxonomies of organizational behavior
- Understanding "Frames" and "Lenses"
-

OBJECTIVE EIGHT

EXAMINE SEVERAL FRAMES OR LENSES AS PREPARATION FOR ORGANIZATIONAL CHANGE

- ASSESSMENT(s): APPLY FRAMES TO SPECIFIC DISTRICT(S):

§ READING ASSIGNMENTS:

§ PROBLEM SETS

○

- CROSS REFERENCE MATERIALS AND PRESENTATION

§ Lecture 3: Political, Symbolic, Human Resource Frames (Bolman and Deal)

§ REFRAMING ORGANIZATIONS

SATURDAY AM

OBJECTIVE NINE

- **INTEGRATE THE BASIC PROCESSES, CONCEPTS, AND FORCES OF CHANGE WITHIN EACH FRAMEWORK OR LENS**

- ASSESSMENT(s): APPLY TO CASE STUDIE(S)

§ READING ASSIGNMENTS:

§ PROBLEM SETS

§ CULMINATING PROJECT WHICH INVOLVES EXAMINING AND TEAM REPORTING ON SEVERAL CASE SIMULATIONS

○

○ CROSS REFERENCE MATERIALS AND PRESENTATION

§ Lecture 4: Cultural, Dialectical, Dramaturgical and Brain Function Lenses (Carlson)

§ HUGHES ASTOUND

§ CARLSON BOOK

OBJECTIVE TEN

EVALUATE THE IMPLICATIONS OF THESE INTERPRETATIONS FOR ORGANIZATIONAL AND LEADERSHIP DEVELOPMENT

○ ASSESSMENT(s):

§ PROJECT AND ASSESS THE IMPACTS OF THEORIES AND FRAMES TO CASE STUDIES

§ READING ASSIGNMENTS:

§ PROBLEM SETS:

§ CULMINATING PROJECT WHICH INVOLVES EXAMINING AND TEAM REPORTING ON SEVERAL CASE SIMULATIONS

§ COMPLETE THE PREPARATION, ANALYSIS, AND RESEARCH OF CASES OF SIMULATED SCHOOL DISTRICT

§ A REPORT TO THE BOARD OF EDUCATION OUTLINING A RESEARCH PLAN, PURPOSE, OBJECTIVES, METHODS, FINDINGS AND CONCLUSIONS

§ RELATED TO THE INITIAL GOALS WILL COMPLETE THE PROJECT

○

○ CROSS REFERENCE MATERIALS AND PRESENTATION

§ HUGHES' FOUR CASE STUDIES

OBJECTIVE ELEVEN

ASSESS THE EFFICACY OF REENGINEERING AND RESTRUCTURING MODELS

○ ASSESSMENT(s) :

§ RESEARCH, ANALYZE, ASSESS VARIOUS REENGINEERING AND RESTRUCTURING MODELS AND ALIGN THEIR SUITABILITY TO THE NEEDS OF GIVEN SCHOOL DISTRICTS

§ READING ASSIGNMENTS:

§ PROBLEM SETS

○

○ CROSS REFERENCE MATERIALS AND PRESENTATION

§ HUGHES RESTRUCTURING

§ WEBSITES

○ PREP PANEL DISCUSSION

○ PANEL DISCUSSION

○ PREP SUNDAY

OBJECTIVE TWELVE

RECOGNIZE AND APPLY CURRENT AND APPLICABLE THEORIES OF CHANGE TO ISSUES OF EDUCATIONAL PLANNING

○ ASSESSMENT(s):

§ CRITICALLY EVALUATE THE SUITABILITY OF THEORY / FRAMES TO CASE STUDY:

- § **READING ASSIGNMENTS:**
- § **PROBLEM SETS**
- § **CULMINATING PROJECT WHICH INVOLVES EXAMINING AND TEAM REPORTING ON SEVERAL CASE SIMULATIONS**
- § **COMPLETE THE PREPARATION, ANALYSIS, AND RESEARCH OF CASES OF SIMULATED SCHOOL DISTRICT**
-
- **CROSS REFERENCE MATERIALS AND PRESENTATION**
- § **CARLSON**
- § **REQUISITE VARIETY??**
-
- § **TYPES OF PARADIGMS**
- § **REENGINEERING AND RESTRUCTURING – HUGHES ASTOUND**
-
- § **COMPARE THE DIFFERENCES**
-
- § **RESTRUCTURING**
 - CHARTER
 - TQM
 - SQR
 - NCLB
 - RTTT
 - SDM
 - STRATEGIC PLANNING?
 - **EXAMPLES OF ALL ABOVE**
 -
- § **CONTINUATION OF CHANGE**
- § **MODELS OF CHANGE**
- § **RATIONALE FOR CHANGE**
- § **ROLES**
- § **DIMENSIONS OF RESTRUCTURING**
- § **SUPPORT VARIABLES**
- § **ENABLING VARIABLES**
- § **CENTRAL VARIABLES**
- **HUGHES**
- § **REINVENTING SCHOOLS**
- § **RESTRUCTURING REENGINEERING**
- **SUNDAY AM – STRATEGIC PLANNING SIMULATION / PRESENTATION**

ASSESSMENT CALENDAR

Assessments are designed to assess your mastery of

- Objective One
- Objective Two
- Objectives Three through Six
- Objectives Seven through Twelve

although in sum, ALL of the assessments entwine to capture your mastery of all objectives!

GROUP PROJECTS

Objective One – Use

- Research
- Trend data
- Various Websites to
 - o Develop a model of a school or school system in 2020. Speculate about and justify its
 - § Curricular organization
 - § Governance system
 - § Assessment system
 - § Decision making infrastructure
 - § Physical plant(s)
 - § Etc.
 - o Present your conclusions to the class for analysis and reaction

DUE – First Sunday

Objective Three – Six: Use;

- **Your mastery of Futuring skills;**
- **Your knowledge of High Involvement and Functional Team dynamics;**
- **Your mastery of data analysis and root cause identification skills;**
- **To present a strategic plan of a district of your own choosing to the class for analysis and reaction. Presentation will include**
 - o **Futuring skills used**
 - o **Data analysis and root cause techniques used**
 - o **Cross impact matrices**
 - o **Operational and strategic action plans for**

§ Curricular and achievement issues

§ Population trends

§ Financial projections

DUE – Last Sunday

Objective Twelve: Participate in a panel discussion where you will

- Research and collaborate to
- Evaluate the pros and cons of a given school reform effort or initiative to which you have been assigned. Examples include
 - RESTRUCTURING
 - CHARTER
 - TQM
 - SQR
 - NCLB
 - RTTT
 - SDM
 - STRATEGIC PLANNING?

INDIVIDUAL ASSIGNMENTS

Objective Two – After completing the simulation, ***Systems Thinking Systems Change*** analyze the processes of group dynamics and of systems principles against a

case study of your own choosing, OR of your own school district for the extent to which systems thinking does or does not exist.

Or

Collaborate with your colleagues to create, implement, and analyze your own simulation of the systems and decision making processes in your own school district. See

<http://seriousgamesdotme.wordpress.com/> for guidance.

DUE – October

Objective Seven Through Twelve: Read all Four Case Studies provided;

- Analyze all cases against
 - o Bolman and Deal's Frames
 - o Schon's Frame Analysis
- Advocate for the Social Organizational Theory or Frame that you feel is best suited for schools of the 21st century

DUE – November

RUBRICS

4 = Work reflects

- thorough synthesis of appropriate research
- offers sounds reasoning and conclusions
- demonstrates thorough ability to weld reasoning with appropriate theories and paradigms
- demonstrates thorough use of presentation methodologies as appropriate
- demonstrates thorough group collaboration and synergy as appropriate

3 = Work reflects

- adequate synthesis of appropriate research
- offers adequate logic and reasoning for conclusions
- demonstrates adequate ability to combine reasoning with relevant theories and paradigms
- demonstrates adequate ability to use presentation methodologies as appropriate
- shows that group collaboration and synergy was evident as appropriate

2 = Work reflects

- basic synthesis of appropriate research
- offers basic surface logic and reasoning for conclusions
- demonstrates basic ability to combine reasoning with relevant theories and paradigms
- demonstrates basic ability to use presentation methodologies as appropriate
- shows that some group collaboration and synergy was evident as appropriate

1 = Work reflects

- little or no synthesis of appropriate research
- offers little or no logic and reasoning for conclusions
- demonstrates little or no ability to combine reasoning with relevant theories and paradigms
- demonstrates little or no ability to use presentation methodologies as appropriate
- does not shows that group collaboration and synergy was evident as appropriate

CASE STUDIES

Question #1

Congratulations! You have been appointed Superintendent of Schools of the Little Ridge School District. You have been on the job since July 1. Though everyone has been very kind to you, you come to realize you may have been the compromise choice for the position. The Board of Education has given you a three year contract.

Your reception throughout the community has been warm and supportive. You have met with the Mayor, attended meetings and coffees around the community, and were roundly applauded at your first meeting with the district faculty last week. Community leaders are beginning to seek your counsel on school matters and how to finance new educational initiatives at a time when the infrastructure of the community also needs some attention.

You have also been very busy, reading background material and becoming keenly aware of the strengths and weaknesses of the school district. And now there is a new development that may, serendipitously, benefit the schools and community. The decision by a major computer hardware company to re-locate its headquarters to Little Ridge and build a huge factory to develop new ventures in software and telecommunications will clearly generate some much needed infusion of capital into this community. In fact, other satellite industries are making plans to locate in and around Little Ridge due to the large potential for sub-contracts. Your business manager estimates that you should anticipate a revenue increase of about one million dollars next year without a change in the tax rate.

The Board has called a meeting to discuss this situation. In preparation for that meeting, the Board President has asked you to submit to the Board a memorandum. In that memo, please address the following administrative concerns:

- 1) **Establish your understanding of the competing views for uses of the resources based upon your analysis of the casebook.**
- 2) **Develop a rationale for your preferences for the distribution of these resources, listing the pros and cons of exercising each one.**
- 3) **Recommend and defend one preference.**
- 4) **Describe the action steps you would recommend be taken if the your preference is selected by the Board.**

Write the **memorandum** to the board president, drawing upon your skill and knowledge as a professional administrator as well as your familiarity with the Little Ridge community and its schools, responding to points one(1) through four(4) above.

Question #2:

The President of the Taxpayer's Group

Congratulations on your recent election as president of the Little Ridge Taxpayers Association. At a recent joint meeting of the Kiwanis Club and the Little Ridge Realtor Association, you were invited to address the group on the subject of the on-going discussions concerning the growing school district budget. This meeting provided the perfect venue to reprise the motif of your successful campaign that most of the adults in Little Ridge attended the public schools with far fewer frills than the ones provided today and that the results of the reading, writing and arithmetic education were apparently quite satisfactory for us and our community.

During your campaign, your reception throughout the community was mixed, at best. You met with the lame duck Mayor on two occasions concerning the town's crumbling

infrastructure (e.g. potholes, sewers, baseball fields), attended sometimes rancorous meetings and coffees around the community to debate school matters including the precipitous decline of student mastery test scores over the past ten years, were roundly applauded at a meeting with the committee on outcome-based education and solidly booed at the high school P.T.A. meeting when you reported that the “fat” of the current budget could be trimmed by at least a half million dollars by raising class sizes. Begrudgingly, however, even your staunchest critics agree that you are highly articulate and do your homework.

As the new president of the taxpayer association, a small but well-organized contingent of citizens fed up with higher taxes with few tangible results, some community leaders are beginning to seek your counsel on balancing needed educational initiatives at a time when the infrastructure of the community also needs serious attention. Rhetoric aside, you want to do the right thing for the community and the school district you attended as a child. You also realize that you are now being touted as a serious mayoral candidate, and you will need far more broad support, including school parents, than you have now. You are seeking some ground to stand on without losing your existing political base.

As a result, you have been very busy, pouring over background material and becoming more keenly aware of the assets and problems of the school district and of the community. And now there is a new development that may, serendipitously, benefit everyone. The decision by a major computer hardware company to re-locate its headquarters to Little Ridge and build a factory to develop new ventures into software and telecommunications may generate some capital into Little Ridge. The town manager estimates that Little Ridge should anticipate a revenue increase of about one million dollars eventually without a change in the tax rate.

The Board of Education has called a meeting to discuss this situation and its potential impact for the school district. The Board has invited key town leaders, including you, to submit to the Board a memorandum setting forth a list of up to 5 recommendations, each with a brief rationale, for short-term economies and longer term use of the anticipated revenue increase. Write this memorandum from your perspective as a civic leader, who was recently elected president of the Little Ridge Taxpayer Association

Question #3

A Middle Schools Facilities Case Study

Background

The Ridge School District operates two middle grade schools, the Roosevelt School and the Edison School each of which houses grades 6-8. There are also one high school and a number of elementary schools all of which are filled to capacity and are operating efficiently. The central offices of the district occupy a portion of an old building that was once an elementary school. The latter building is centrally located, has ample parking and has been declared a historical and architectural landmark by the state. It is in good condition. A developer recently offered to buy the building from the school board for commercial use. At the moment the building is underutilized; a portion of the third floor (about 12,000 sq. ft.) is vacant.

The middle schools face two issues that may affect their future. First, enrollments in the two schools have declined in the last twenty years. These changes have been sufficient to cause members of the Board of Education to want to study them more carefully. One board member who is especially cost conscious believes that a great deal of money could be saved by consolidating the two schools into one. Other board members are not convinced without a full analysis of the situation.

At the same board meeting where enrollment declines were discussed, a second issue arose. The Board of Education adopted a policy position regarding health services for early adolescent students. Briefly stated, the new policy, introduced by an MD member of the board, is that the district "shall pursue every opportunity to provide better health services to young adolescents and their families." The policy was based on a) data on absenteeism-due-to-illness presented by the Superintendent and b) a report of the Carnegie Commission on Middle Schools stressing the importance of good health care for youngsters in this age group.

The state legislature recently enacted legislation that will make funding available to school districts to set up and operate **Family Resource and Youth Health Centers**. The grants will be made on a competitive basis and will be generous but they have two important requirements: 1) the applicant school districts must show they are using their school facilities in a cost-conscious manner and they must show 2) that they have adequate space -- now and in the future -- to house the health centers. The state estimates that a health center requires approximately 18,000 sq. ft. of floor space. Construction costs are not allowed under the grant nor is major renovation. The term "major" in this context was not defined.

Your Team

You are the central office administrators in Little Ridge. You have been designated to lead a committee of school personnel and local civic leaders to examine the data and recommend a course of action to the school board. Your group is expected to determine:

1. whether Ridge is in a good competitive position to apply for a Family Resource and Youth Health Center grant
2. if not, what changes in facilities utilization could be made to put the district in a better position
3. whether or not the Health Center grant is gotten, what would be the best way to use the building space that is now occupied by the central offices and the two middle grade schools

There appears to be little political pressure at the moment to recommend any particular option for space use. The team works well together and they will follow your recommendation as to the best option to choose. They look to you for leadership. The current superintendent has just announced his intention to retire after this school year and is not much concerned with the outcome of the project. (You could become a candidate for his job if the study turns out well and the health center grant is made.) You were given this assignment because of your role in developing the school district's long term Strategic Plan for which you are also responsible.

The Board of Education instructed your team to help determine a "best futures policy with respect to the middle school years. The report must consider the social, educational, political and financial impact of the various options that might be available to the board.

Your Tools

Your team used several methods and resources to gather and analyze information about the community and the schools. Schools were visited, interviews were conducted with educational and health experts and documents were studied relative to middle school programming and the use of school spaces. Your team met with the teaching staffs of both schools and visited other health centers. It also held a townwide hearing that was well attended.

Among the things which the team members learned in their work two items stand out:

- 1) The two schools operate in the traditional "junior high " format; they are not involved in team teaching and do not use an integrated curriculum.
- 2) The idea of setting up a teen health center is well supported in the community.

Additional data has come from several technical studies prepared expressly for the project: prior-year enrollments, current space usage, and cost factors related to a quality program and staffing. These studies used extensive computer based analyses. The team developed computer programs which permit in-depth study of the most salient concerns and questions.

Ethnographic data suggest that the town is likely to balk at passing a bond issue for construction, and it would endure moderate dislocation in terms of changing student attendance patterns. A small but potentially vocal minority wants to keep things "the way they have always been" and claims that things are not broken and should not be fixed. The leader of this group is Reverend Ginreich, a fundamentalist minister who chaired the selection committee for the last superintendent search. Reverend Ginreich is articulate and has a wide following in the community that he can rally to almost any cause. While the issue of condom distribution has not come up publicly, it is being talked about among this group as something that must not be allowed at the new health center. A local newspaper interviewed the minister on the subject of the health clinic. The interview is included in this package.

One of the special studies commissioned by the board dealt with enrollment projections. The team used historical data collected by the school district. With these data the team ran several computer analyses to determine what variations would be likely to occur under different demographic conditions. This analysis gave a band of high and low projections within which true enrollments would most likely fall. The preliminary results were reviewed with personnel from the school district; they were not disputed. Other checks were done such as comparison with state and regional trends based on 1990 census data.

Another technical study was an analysis of available space in the two schools, Edison and Roosevelt. and in the central office building. The team inspected all three buildings and noted their characteristics and use of space. Updated floor plans were prepared. The team then used data regarding teacher and student assignment at the classroom level. Corrected records about available spaces and their capacity were then analyzed in relation to records of current usage. By comparing these data sets, the team was able

to develop a statement about functional capacity of rooms and a parallel analysis of their current instructional usage. This analysis highlights the impact of current instructional policies on space utilization. Analyses were conducted for each program area or department in each of the two schools. These analyses indicate the changes in programs and/or space utilization that would be necessary if the two programs were consolidated.

One aspect of the study involved an analysis of space requirements if a middle school organization involving teaching teams were to be implemented. The team concluded that team teaching and integrated curriculum approaches could decrease classroom space needs slightly. A survey was done of teacher and staff opinion on this point. Two meetings were held at the schools to elicit suggestions from the students. No new insights emerged from either group.

Your Task

The study team that was formed by the Little Ridge School Board to study the issue of the health clinic and space utilization has come to the end of its discussion stage but is not yet ready to prepare its final report to the school board. As chairperson of the committee, you are in charge of drafting the report for the committee. However, at its last meeting, the committee was undecided and expressed some frustration as to what direction the district should take.

Almost half of the committee members were very concerned about a number of community needs which, they felt, were going unheeded and needed to be more adequately addressed regardless of which educational option were to be recommended. They ranked the following as among the most pressing community needs:

- 1) A Senior Center
- 2) A Community Health Center
- 3) An Early Childhood Learning Center
- 4) An Infant-Toddler Day-Care Center
- 5) An Adult Literacy Program
- 6) A Drug Rehabilitation Facility

Some options are politically and educationally more viable than others. They argued, "why not consider an option that included, if not all, some of these pressing needs in order to satisfy a growing element of the community that feels estranged from the schools." The majority of the committee argued that educational concerns should be the highest priority and any community "add-ons" should be considered only after the best "child-directed" option was outlined.

After much discussion, they agreed that regardless of the options, a plan needed to be put into place and that you, as chair, should give them your professional judgement as to which option is the most appropriate to recommend taking into consideration the rather vocal segments of the community.

Your deadline is fast approaching, however, and you need to write the report based on the options discussed by your committee, your professional judgment, and the data available to you now. The summer is fast approaching and the team will not have any more time to conduct further studies or discuss further options.

The Policy Brief

Your report will take the form of a policy option brief and an abstract (a final report) for the Ridge Board of Education. You should structure it in a way that permits the board to understand it easily and use it efficiently. In the opening section, you should provide a sense of the policy context and educational philosophy which frames the most viable options. You should show the relationships among various factors: education program, state fiscal policy, community needs, and local efficiency. All of this should be based on sound practices and ideas for educational programming in the middle school. Where relevant, you should cite course work and literature you have studied in the various areas: policy analysis, management sciences, institutional and organizational aspects. Use the data that were gathered for the project to guide you in determining what will work in Little Ridge specifically as opposed to anywhere else.

Your written report should be in two parts:

- 1) A policy option brief which discusses the most viable options and provides a rationale for the best option in this case. This may include a discussion of the three key decision variables: the quality of the educational program, the delivery of better community services, and local efficiencies as they relate to enrollments and building use. You should also discuss the different orientations towards schooling that the school communities might adopt in developing an educational program.
- 2) An executive summary -- of no more than two pages -- which includes a) a problem statement, b) the short list of the most viable options, c) the committee's recommendation, d) its cost and political feasibility and e) an estimate of time to completion.

Since your report may be discussed by the Board in Executive Session, it should be straightforward and leave no room for ambiguity as to your recommendation. Be explicit. The Board wants to know what you and your team believe and the conclusions you have reached. Explain the advantages and disadvantages of each of the options you have posed, but be sure you are very clear about the reasons for selecting your choice from among them.

Case #1: Of Scarcity and Choice

The problem

The educational program of any community involves economic goods such as buildings and books along with the services of teachers, bus drivers, and custodians. School business administration is devoted to the efficient distribution of revenues which buy these educational goods and services. Since these are economic in nature and are not free goods, they are instead scarce. As such, educational goods and services can be obtained only by choosing to use a community's resources for this type of economic good rather than some other. Thus, a primary problem for a school business administrator revolves around assisting communities in making decisions relative to how much should be allocated to education as opposed to other purposes.

The concept

One cold, hard fact which underlies the study of all school business problems is the reality of scarcity. All but a very few of the goods we consume are limited in quantity, and to increase the supply of any one of them requires a reduction in the availability of other goods. Even in the affluent society to which we in the United States have

progressed, we cannot have all we want of everything. Such scarcity is caused by the existing limits in the quantity of our natural resources, our man-made capital goods, our labor force, and in the quality of our technology, that is, in our knowledge of how to blend the other elements of production so as to produce the greatest possible outflow of goods and services.

Scarcity implies choice, and choices we must make. At the personal level each of us must decide just what goods we want to acquire up to the limits of our money income. (Money is the means we use to translate the goods or services we produce into those goods and services we wish to consume.) At the public level, we must decide what portion of our total productive capacity shall be used for the creation of goods and services for common consumption and how this portion shall be divided among the various consumption possibilities. At both the private and the public levels we can increase our consumption beyond the limits of our current money income through the use of borrowing, but this results in a necessary reduction in consumption by others; it does not permit the production of goods beyond the limits placed by the elements of production.

The capacity to produce can be increased, of course. We can discover more natural resources, build more capital goods, or increase our technology; but this requires a decision to forgo present consumption. Increases in our productive capacity tomorrow--and in the consumer goods we will have available at that time--require a choice today to invest a portion of our present output for that additional productive capacity. In this process today's consumption is necessarily reduced.

The basis upon which we logically make our choice between various types of consumption or between consumption or investment is utility, the satisfaction we receive from that consumption. If a color television set will yield us a greater utility than a summer vacation, we will logically choose the television set; if a new sewage disposal plant will yield a greater utility to the community than a new city hall or a corresponding amount of personal consumption on the part of the community's members, we will logically choose the sewage plant.

Our choice is also affected by the diminishing utility of increasing consumption. The first suit of clothes or the first television set or the first sewage disposal plant will possibly yield a high degree of utility, but the second suit or television set or sewage plant will yield a reduced utility, and succeeding units of these items will continue to yield a smaller and smaller amount of additional satisfaction.

The varying yield of utility from the myriad uses of our productive capacity, and the overall limits to that productive capacity, illustrates the great difficulty that many underdeveloped nations have in increasing their productive capacity. To increase their stock of capital goods, consumption must be reduced; but the utility yielded from today's consumption is so important--often it is a matter of life or death--that such reduction, or saving, cannot be attained.

To facilitate the choosing among various types of consumption, we adopt budgets. A budget is a system of rationing that will aid in the maximization of utility for individuals, businesses, and governmental units alike. A budget is a plan for consumption, and signifies our intentions for the allocation of our money income among the various opportunities for consumption, saving, and investment.

An official of a governmental unit has a special responsibility in the budgeting process. Since the spending decisions of governments are, at least to some extent, made without the concurrence of those who must reduce their private consumption in order that public consumption can be increased and since compliance with the plan for public consumption is compulsory (through our tax system), the government official must weigh carefully the utility of the private consumption which is lost against the utility of the public consumption which is gained. The utility of one public project compared with another must also be considered.

The utility or satisfaction yielded from certain goods or services is admittedly difficult to measure and certainly varies among individuals, but the need to consider this factor and to make the necessary subjective valuations of the utility involved for the various parties concerned is not reduced by this difficulty. The task of those charged with making the spending decisions is merely increased.

Scarcity and Choices in Ridge

The terms "growth," "change," and "moving ahead" have been a constant part of the lexicon of the residents of Ridge. At the turn of the century it was a country crossroads community and several hours journey by horse and wagon to the heart of the state capital. Throughout the 1920s its location on a major east-west U.S. highway stimulated its growth, and Ridge became a way station to funnel people from the rural areas nearby into the capital city. At the same time it also developed commercial enterprises to serve the tourists of the day. Gasoline service stations sprang up as did restaurants, souvenir shops, and many tourist courts.

As the capital city spread its borders, Ridge became suburban in character. New residents built the houses and kept the lawns they could not have in the now crowded and cramped city. During the most recent decade the suburban character of Ridge has again changed. The urban area leapfrogged the little community that was once the outer fringe of the metropolitan complex. New and more up-to-date suburbs have been established beyond Ridge. The major U.S. highway is now quite obsolete as a key traffic artery, since this function has now been assumed by the high speed limited access interstate highway built parallel to it.

During much of its early history Ridge had the reputation for supporting very well its public schools. Citizens of the community always declared their interest in "good education." It is a matter of some pride that the voters have not defeated a tax levy for the schools in the last thirty years. The school tax rate, while once among the highest in like districts within the state, has been generally stable. During the past five years the rates have remained the same in Ridge while most surrounding communities have steadily increased theirs. Ridge now ranks about average in terms of local tax rates for like districts within the state.

The taxable wealth of the school district is largely derived from residential and small business property with only a little light industry on the tax duplicate. The homes themselves are relatively modest in appearance and cost. One distinguishing feature of the city is that 80 percent of the homes are owner occupied. This reflects a kind of community pride--"We are a city of homeowners." However, in recent years there has been considerable migration both into and from the community with resultant high rates of pupil turnover in the schools.

A closer look at the community reveals that Ridge is a city of first homeowners, that is, most of the residents have not previously owned property. In terms of sociological makeup, the city is "middle income" but does not consider itself "middle class." This condition is reflected in one particular point of view held by many of the Ridge residents. The community is perceived as a way station en route to the more plush suburban towns. As the executive trainees, the managers, and the technicians are promoted, they leave Ridge for these more affluent communities. Probably due to these conditions there appears to be an emergence of status consciousness of a considerable magnitude with emphasis on country club membership, Buicks, and seasonal weekends devoted to boating, skiing, or luaus. The few residents who have lived in Ridge for a generation or more observe that the new majority in the community probably live beyond their means, are aggressive and upward mobile, and are heavily betting on their ability to succeed in the future. Much of this motivation stems from the belief that one has to possess the outside trappings of wealth and success in order to attain these goals.

The school administration in Ridge is only generally perceptive of this unique aspect of the school district, but it is painfully aware of certain problems in the school system. The instructional program is essentially the same as it was years ago. Few changes have been made, and it has not moved ahead as fast as other schools in the area. General operating budgets and teachers' salaries are low when compared with those of neighboring school districts. As a result, the once "good educational program" now looks somewhat thin and shabby. The Superintendent and the board of education both recognize the necessity of increasing the local taxes to obtain enough revenue to make the needed improvements in the school program. Both parties also recognize the possibility of community resistance to any measure raising existing tax levels.

Questions for Team Discussion

1. What appears to be the basic problem in Ridge?
2. What factors must be considered in assessing the problem?
3. If a tax increase is put on the ballot, what values are apt to be in conflict?
 - a. For the school administrator?
 - b. For the resident voter?
4. What information must be conveyed to the voters if they are asked to vote for increased school taxes?
5. What alternative decisions might be made by the voters?
6. Develop an outline of this coming year's budget strategy. Be as specific as possible when illustrating any budget goals and strategies.

1.(Adapted from Hack, Walter and Woodard, Francis. Economic Dimensions of Public School Finance, McGraw-Hill, 1971, p4-7)

Case#2 School Budget Decisions in Ridge¹

Within the last ten years Ridge has achieved a kind of balance in its local economy. Light business and the resultant services-oriented business for a younger, upwardly mobile community have provided a stable base. Two years ago, a small plant of a medium-sized electrical appliance concern was established and was easily absorbed into the community.

More recently the national headquarters for an insurance company originally catering to middle-income families was located in the city. It was expanded by the

company's establishing two satellite organizations, i.e., a mortgage company and an investment house dealing in mutual funds.

Fortuitous circumstances have begun to fall on Ridge. The most recent event will, in all probability, result in a considerable local property tax "windfall." The electrical appliance factory attracted to the city two years ago transferred an entire, new operation to the Ridge plant. This addition has more than doubled the square feet of the factory floor space, nearly doubled the square feet of warehousing space, and nearly trebled the value of the original installation of machinery and the like. Consequently, the community's total taxable wealth has increased from \$330,000,000 to slightly less than \$420,000,000.

As a further result there is high employment, general economic well-being in the community and an expected significant increase in the ability of citizens to pay property taxes to local governmental units.

The local school district's board of education, aware of the possibilities of expanding the Ridge educational program, is in the process of budget planning for the immediate future. The board is faced with one or more decisions in this regard:

1. Should the availability of extra local tax monies be used to reduce the present school tax rate or expand the educational program?
2. If the educational program is to be expanded, what segments should be thus affected?

In considering these basic questions, it is felt that several factors must be considered. Thus, the questions are complex and not clear-cut. First, the board of education has for the past four years been bringing to the attention of the residents of the school district the necessity for and progress in upgrading the qualifications of the gradually expanding teaching staff. Ridge, as nearly every other school district within the state, has had difficulty in hiring replacement as well as additional teachers with the desired professional training and experience. Members of the board see this as an unusually propitious time to implement these goals of upgrading staff through major salary schedule revisions and active teacher recruiting.

At the same time the board sees this local property tax windfall as an opportunity to resolve one of the problems which has plagued it for years--the minimal pupil transportation program. Traditionally, Ridge has provided transportation to only those children who lived such distances from school that the state required the district provide such service. Almost without exception neighboring districts, under permissive legislation, transported at local school expense children living well within the mandatory limit. This was generally considered to be a convenience for the parents. Also, the district could provide such service at a cost which was less than that when parents themselves provided it.

In the Ridge board's deliberations, another set of variables was introduced when the city council approved a resolution to put a \$6,000,000 bond issue on the November ballot. The issue, to cover costs for an ecologically sound renovation and expansion of the sewage disposal plant and system, is expected to add several mills on the local tax rate if approved. The board of education being fiscally independent from the city council is not necessarily limited by the latter's actions. The members of the board, however, recognize that the council's decision will affect the strategy which the board adopts and vice versa.

With all these variables introduced into the budget-making deliberations of the Ridge Board of Education, the problem is further complicated by the fact there is no clear-cut consensus among the citizens in the community. No organized lobbies or pressure groups have made themselves or their views known. The chamber of commerce, highly active in promoting local industrial and commercial expansion, has taken no official position other than urging a decision which assures ". . . continued civic progress."

Questions for Discussion

1. What kind of questions about utility of the property tax windfall might the Ridge Board of Education and the superintendent ask themselves?
2. What do you see as the most obvious choices available to the Ridge Board of Education?
3. What are the criteria of utility which you suspect the board and the Superintendent will use as they formulate decisions regarding the property tax windfall?
4. What other related questions must be asked as any board of education develops a budget?
5. Are school budgets ever constructed without consideration of the economic concepts of scarcity and choices?

1.(Adapted from Hack, Walter and Woodard, Francis. Economic Dimensions of Public School Finance, McGraw-Hill, 1971, p7-9)

Case #3 Scarcity in Allocating State Resources to Education

Literally for generations the state legislature in its deliberations reflected the cultural dichotomy present in an Eastern coastal state. Points of view held by the state assemblymen readily identified them as representing "upstate" or "downstate" districts.

The upstate areas are urbanized, densely populated industrial and bedroom community, upscale residential areas of which Ridge is considered one. Nearly all major types of industry are represented--iron and steel, foundry and forging, petroleum refining, metal fabrication, electronics, and plastics and synthetics. With its ocean port facilities, world wide commerce and shipping rank high also.

The downstate areas constitute a different type of diversification. Some areas reflect a highly productive agricultural economy. Truck gardening, dairying, and small grain farming predominate in one rural section. The other nonurban area, however, is far less productive. Subsistence farming and a little hardwood and pulpwood lumbering, along with the mining of low-grade coal, constitute the economic base of this semi-mountainous corner of the state.

In the past, the legislators of the two rural areas have tended to join together and vote as a bloc against the urban-oriented upstate legislators. Until very recently this rural combine constituted a formidable bloc which dominated the state legislature.

This pattern of domination was, however, upset recently with the federal government pressure for reapportionment within the several states. The "one person, one vote" concept, when applied to the state, shifted political power upstate so now there is a nearly even power balance.

Coincident with, if not resulting from, the reapportionment of state legislative districts, many bills reflecting basic changes in state policy have been introduced recently. Not the least among these is a modification of the state aid program to local school districts.

For nearly twenty years educators in the state had prided themselves on having one of the most forward-looking "state foundation programs" in the country. The program, adopted after a statewide study of school financing conducted by a national authority, incorporated at its adoption the best features known at that time. Heavy emphasis was given to the state-local partnership concept, i.e., the specification of a basic or foundation program supported by both the state and the local school district. The contribution from the local district was determined on the basis of relative wealth. If the foundation program could not be financed by the required minimum tax rate in a given local district, the state made up the balance. Every local school district was guaranteed the foundation program if it levied the required minimum tax.

In the intervening years since its adoption, this foundation program has been periodically updated and minor revisions have been enacted. However, the basic structure remains intact.

Currently two bills have been introduced into the state legislature. Even though both bills call for approximately the same appropriation, there is a marked difference between them. House Bill 977, sponsored by a Ridge representative, proposes fundamental changes in the foundation program. If enacted, it will reduce the state assistance provided in the form of supportable aspects currently incorporated in the foundation program, e.g., special education, supervisory and administrative personnel, pupil personnel services, etc. Instead, additional monies will be channeled to local districts on the basis of per pupil expenditures, disregarding the specific programs. Thus a greater emphasis will be placed on distributing monies more uniformly to all districts. A relatively lesser emphasis will be placed on equalization which presently provides proportionately more assistance to poor districts than to the wealthy ones.

The rationale behind House Bill 977 as enunciated by the "upstaters" suggests that by and large these urban districts have programs that exceed the minimum specified in the states' foundation program, they have sufficient wealth to prevent them from obtaining substantial state support, and their local tax efforts exceed the state minimum rate. Consequently, it is argued that these districts should receive some financial incentive to maintain this high degree of local effort.

The rural bloc of downstate representatives have countered the urbanites' bill with their own proposal for state foundation program modification. House Bill 1042 proposed to upgrade the present state foundation program by expanding nearly all the elements within the program. Larger amounts of money would be allocated to teachers' salaries, administrative and supervisory services, special education units, and psychological and guidance services. Consequently the state would be contributing a greater proportion to the support of the local school districts under the same general pattern of distribution as incorporated in the existing plan.

The downstate school bloc predicates its proposal on the argument that this bill ". . . fully meets the principles and intent of the original school foundation bill . . ." enacted in 1956. This proposal does in fact give heavy emphasis to the equalization function of state educational financing. With the required local tax rate remaining the same and the amount of the state money increasing, the equalization function is extended. Consequently, it enables the small and less wealthy school district to expand its program considerably with little additional local effort.

Members of the legislature's education committees are well aware of the merits of each proposal. Each bill speaks to a fundamental problem; House Bill 1042 assists the poorer districts in providing an adequate educational program, whereas House Bill 977 stimulates the wealthier districts, which are able to provide basic programs, to use local initiative to upgrade these programs. It is obvious to the legislators that there are not sufficient state revenues to incorporate both features in a bill.

Questions for Discussion:

1. How do the choices to be made by the state legislators regarding the foundation program to the local districts differ from those choices made by the individual as a consumer? How are they similar?
2. What are the differences in utility in the upstate proposal as compared with the downstate bill?
3. How do you believe these differences in utility can be measured by an individual legislator? How should they be measured by the individual legislator? How can and should they be measured by the legislative body as a whole?
4. What considerations should the individual legislator give with regard to the reduction of public consumption necessitated by either of the two bills?

1.(Adapted from Hack, Walter and Woodard, Francis. Economic Dimensions of Public School Finance, McGraw-Hill, 1971, p9-13)

The Case of the Little Ridge Public Schools

Economic, Demographic and Geographic Profile

Students from three communities attend Little Ridge School District. The Village of Little Ridge is located in the northeastern section of the state and is primarily a single family residential community. It is approximately 30 miles from New York City and lies along a major transportation hub. Little Ridge encompasses an area of about 2.42 square miles and has an estimated population of about 8,500. According to the 1980 U.S. Census about 3 percent of the population is Black and another 3 percent is of Hispanic origin. By 1990, the U.S. Census reports, the Black population at 6 percent, the Hispanic at 11 percent and the Asian at 3 percent. According to the last available U.S. Census data, per capita income in 1990 was about \$29,704--slightly above the state average. According to the 1990 figures, approximately 28 percent of the population is a college graduate.

Little Ridge Township, shares a unified school district with the Village of Little Ridge. Little Ridge Township, which geographically surrounds the town of Little Ridge (See attached map), has an estimated population of 3,400 encompassing approximately 8.2 square miles and is a residential community of primarily single family homes. It has a total Black population of approximately 2 percent and an Hispanic population of about 1 percent, and an Asian population of about 7.5 percent. In 1990 per capita income was \$34,003 about \$5,300 above the state average. Approximately 61 percent of the resident in Little Ridge Township were college graduates in 1990

The terms "growth," "change," and "moving ahead" have been a constant part of the lexicon of the residents of Little Ridge. At the turn of the century it was a country crossroads community and several hours journey by horse and wagon to the heart of

the state capital. Throughout the period from 1920 to 1950 its location on a major east-west U.S. highway stimulated its growth, and Little Ridge became a way-station to funnel people from the rural areas nearby into the capital city. At the same time it also developed commercial enterprises to serve the tourists of the day. Gasoline service stations sprang up as did restaurants, souvenir shops, and many tourist courts.

As New York spread its borders, Little Ridge became suburban in character. New residents built the houses and kept the lawns they could not have in the now crowded and cramped city. By 1980, the suburban character of Little Ridge again changed. The urban area leapfrogged the little community that was once the outer fringe of the metropolitan complex. New and more up-to-date suburbs have been established beyond Little Ridge. The major U.S. highway is now quite obsolete as a key traffic artery, since this function has now been assumed by the high speed limited access interstate highway built parallel to it.

During much of its early history Little Ridge had the reputation for generously supporting its public schools. Citizens of the community always declared their interest in "quality education." It is a matter of some pride that the voters have not defeated a tax levy for the schools in the last thirty years. The school tax rate, while once among the highest in like districts within the state, has been generally stable. During the past five years the rates have remained the same in Little Ridge while most surrounding communities have steadily increased theirs. Little Ridge now ranks about average in terms of local tax rates for like districts within the state.

The taxable wealth of the school district is largely derived from residential and small business property with only a little light industry on the tax duplicate. The homes themselves are relatively modest in appearance and cost. One distinguishing feature of the city is that 80 percent of the homes are owner occupied. This reflects a kind of community pride--"We are a city of homeowners." However, in recent years there has been considerable migration both into and from the community with resultant high rates of pupil turnover in the schools.

A closer look at the community reveals that Little Ridge is a city of first homeowners, that is, most of the residents have not previously owned property. In terms of sociological makeup, the city is "middle income" but does not consider itself "middle class." This condition is reflected in one particular point of view held by many of the Little Ridge residents. The community is perceived as a way station en route to the more plush suburban towns. As the executive trainees, the managers, and the technicians are promoted, they leave Little Ridge for these more affluent communities. Probably due to these conditions there appears to be an emergence of status consciousness of a considerable magnitude with emphasis on country club membership, Buicks, and seasonal weekends devoted to boating, skiing, or luaus. The few residents who have lived in Little Ridge for a generation or more observe that the new majority in the community probably live beyond their means, are aggressive and upward mobile, and are heavily betting on their ability to succeed in the future. Much of this motivation stems from the belief that one has to possess the outside trappings of wealth and success in order to attain these goals.

The school administration in Little Ridge is only generally perceptive of this unique aspect of the school district, but it is painfully aware of certain problems in the school system. The instructional program is essentially the same as it was years ago.

Few changes have been made, and it has not moved ahead as fast as other schools in the area. General operating budgets and teachers' salaries are low when compared with those of neighboring school districts. As a result, the once "good educational program" now looks somewhat thin and shabby. The Superintendent and the board of education both recognize the necessity of increasing the local taxes to obtain enough revenue to make the needed improvements in the school program. Both parties also recognize the possibility of growing community resistance to higher tax levels.

Little Ridge has five public schools serving the Town's K-12 system: Little Ridge High School, organized as a 10-12; Lincoln Middle School, serving grades 7-9; and Washington, Jefferson and Kennedy Elementary Schools which accommodates children in grades K-6. The high school currently receives tuition pupils from neighboring Park View and Little Ridge Township. In 1988-89 Little Ridge Township sent 121 9-12 grade students to Little Ridge High School. This represents about 16 percent of the total 1989-90 high school enrollment. Village Park sent 364 students, about 45 percent of the total high school enrollment. Thus, together Little Ridge Township and Park View currently comprise over 60 percent of enrollments at Little Ridge High School.

Cultural Background

Little Ridge is a town like hundreds of others whose people feel that they "work hard and play by the rules." They are religious, law abiding people with a better than average record of civility, honesty, tolerance and generosity. The town's people are unabashedly patriotic. They celebrate the 4th of July in style in grand style including a full dress parade down main street. As far as anyone can remember, the parade and even the decorations for "the fourth" have remained unchanged for half a century..

After all is said and done, Little Ridge is a classic American small town where the values of yesterday are cherished and respected and where many members of multiracial, multiethnic groups have accepted the same values. The crime rate is low and the two largest minority groups, Hispanics and African Americans, participate fully in the life of the city. There is, however, no African-American or Latino representation on the school board. Little Ridge is not a hardcore conservative community nor is it opposed to modernity. There is no evidence that its citizens lack tolerance for cultural differences among people.

Like many towns and cities across the country, Little Ridge was not well prepared for the close of the industrial revolution. Most of the chemical related industries closed in the 1970's leaving thousands of workers unemployed. Many families relocated to neighboring states in search of better opportunities. Much of the once stable housing stock declined as families lost jobs or deferred maintenance and improvements to their homes in fear that they would. City services, especially in the parks and recreational areas, suffered as a consequence of the loss of the industrial tax base. The high school, which had operated a full range of "industrial arts" programs, felt the impact of the changing work force quite dramatically. It found itself offering vocational programs for which there was no longer a job market. It took more than fifteen years for the administrators and the school board to acknowledge this and begin to modify the programs to make them more congruent with technology and the new job market.

Town officials worked diligently to replace departing paint and chemical factories with "clean industries" most notably a computer firm and several pharmaceutical plants which employ hundreds of workers. But the new industries also suffered dislocations

with the result that local economy has had a regular cycle of ups and downs which have challenged the political and civic leadership and the citizenry in general. The most recent and serious blow to the town occurred two years ago when a large pharmaceutical manufacturer closed only three years after relocating to Little Ridge. Victim of a hostile take-over by a Japanese conglomerate, the new management decided to move the plant to Puerto Rico where the firm received a sizable tax break in exchange for guaranteeing several hundred jobs. Workers and suppliers in Little Ridge were given thirty days notice of the closing. The plant closed as rapidly as it had opened three years before leaving bitter memories of a highly publicized international partnership gone sour. Most people in Little Ridge no longer had much to say about the touted "Japanese way of doing business" which had been so admired a few years before.

Recently, in the wake of the plant closing, an incident occurred at the local high school which left the city shaking with anger, fear and frustration. The incident involved a half forgotten historical marker. On the front lawn of the high school, a prominent citizen had once erected a memorial to Little Ridge soldiers who died in WWII. The monument was donated by a wealthy business man, long dead, who had been a veteran of the infamous Bataan Death March, an episode in which Japanese soldiers mistreated American prisoners in a deadly march without adequate food, water or medical treatment. Hundreds of American soldiers died, two of them from Little Ridge. The granite monument on the school grounds had a large bronze plaque at its base on which was inscribed, in large bold letters, BATAAN -- LEST WE FORGET!

Like many young people of the 1990's, the students at Little Ridge High School seem to know little about WWII or Bataan and seem unconcerned about the meaning of the memorial or even about its welfare. Over the years, the Bataan monument, once encircled by a white picket fence and draped in red, white and blue bunting during the month of July, had become little more than a favored roost on which students sat after lunch chatting and listening to music tapes and CD's. Over the course of several decades, hundreds of initials had been carved into the bronze and granite. During the irreverent 1960's, the lettering on the monument was defaced by an anonymous person who had used a blow torch to alter the word LEST changing it to BEST. But neither the original lettering (LEST WE FORGET) nor the new version (BEST WE FORGET) seemed to have any meaning for current students at Little Ridge High. The monument, known to students simply as "the rock" had become part of the landscape and seemed to have lost its patriotic commemorative meaning.

All of that seemed to change, almost overnight, when three male students at Little Ridge High, staged a historical commemorative of their own. The three boys were Japanese American *sansei*, third generation U.S. born Japanese. One was an honor student, one a track star and the other an average student with no special distinctions as a student although his father had been decorated for valor in Vietnam.

Late one October night, the three youth gathered at "the rock" dressed in traditional Samurai warrior garb. They spoke, in English, into the glare of a flood light and a TV camera they had brought along. The young men made short speeches in which they denounced the racism which they claimed was inherent in the internment of Japanese families by the U.S. government during WWII. They also condemned the federal government's "tokenistic efforts" to pay reparations to families sent to the

internment camps. Racism was clearly the motivation, they said, since German American families were not subject to the same treatment and the Americans even sent General Eisenhower, a German American, to Europe to lead the Allied troops. The students claimed that they had chosen the Bataan memorial to make their statement's in order to make the point that WWI had more than one sad story to tell. After concluding their speeches, the boys poured black stage paint over the granite stone and the bronze plaque. Then they made a military salute to the TV camera with their wooden swords and went home.

The "Samurai Incident", as it came to be known, was the topic of conversation in the community for several weeks. Whatever the motivation of the students may have been, it pointed out the fact that underneath the calm exterior of intergroup relations, there were deep divisions that could erupt at anytime and with little provocation.

Like most communities, Little Ridge has a number of organizations and groups that influence school policies in different ways, mostly at the local board level. The main groups which vie for influence are three.

The Little Ridge Heritage Society

The Little Ridge Heritage Society, is a group with a long history in the community. A number of distinguished residents are members. The group was incorporated in 1966 and is a direct descendant of the earlier Little Ridge Patriotic Committee, a group whose major claim to fame was having been outspoken in their opposition to the school desegregation movement in the state. The LRHS no longer opposes desegregation although some of its current, older members still grumble about it.

The LRHS is an unabashed flag waving group that is fiercely proud of its anglo-centric roots although they would not use that term to describe themselves. Its members were horrified when a local newspaper compared them to the KKK and similar groups. The LRHS once published a tract in which they sought to describe "true American values" they espouse. They mentioned "American heritage and traditions based on Western European culture," a commitment to the English language as the national language, Christianity, free enterprise, personal self sufficiency and rugged individualism.

In recent months, the LRHS has taken up the call for immigration restrictions into the U.S. More specifically, they want to deny entry to Haitian refugees on the grounds that they cannot be absorbed into our post-industrial economy. The group has also affiliated with a lobbying group seeking a constitutional amendment to make English the sole official language of the United States.

There are about as many women as men in the LRHS. Most of the women are mothers and homemakers; only a few are professionals. Many women do volunteer work with the Literacy Volunteers and the Metropolitan Hospital. A few are active in the Women's League and in conservative political groups. The Literacy Volunteers is a joint venture of the LRHS and the Public Library.

The LRHS had exhibited little political inclination until the mid 1970's, when they mobilized to oppose a short lived "Back to Basics" movement. They opposed the basic skills curriculum because they feared that approach would dilute the high quality traditional education offered in Little Ridge. At that time, the group also worked to elect one of their own members to the local school board. Ms. Penelope Farmer, a former

school teacher was elected at that time. She now chairs the curriculum committee of the board.

The LRHS claimed then, as they do now, that a strong commitment to traditional forms of curriculum contribute to make Little Ridge schools superior and that helps to make the town an attractive place in which to live. Little Ridge High School students are accepted to good colleges and the LRHS believes that education in Little Ridge is not broken and should not be fixed. They want to see the schools continue to emphasize a strong core curriculum, traditional social studies with a strong emphasis on family values and the "American way of life."

Politically, the group is conservative and wields a fair amount of political power in the community. Because of their intense pride in their white ancestry and heritage, LRHS members are not generally considered progressive. But while the group is heavily invested in preserving a traditional educational program, they proclaim they are willing to share that program and its benefits, with people of all races and creeds. They do insist, however, that other groups must be willing to embrace the traditions and values inherent in their vision of community and Americanism. American culture, they claim, is the best in the world and the schools should not be reticent to give that message to the children.

The People's Study Group for Democracy

This is a community-based organization rooted in the Latin American tradition of liberation theology and the 1960's ideal of self determination for all people. Its philosophy and operating style has been shaped by three minority persons two of whom are members of the clergy. One is a Catholic priest who in the 1970's, served as a volunteer with a church supported political group in Nicaragua. The other is a fiery orator who presides over the Mt. Zion A.M.E. Church, a congregation with a long civil rights tradition reaching back to the days of the underground railroad. Both clergymen are staunch advocates for human rights, free expression and self-determination.

The two clergy share a deep spiritual conviction that the U.S. is a flawed society which must be made better for its disenfranchised citizens. Both preach to capacity audiences in their respective churches and the power of their combined charismatic leadership is growing. The two clergy featured the samurai incident in their Sunday sermons. They claimed that the incident was an example of what happens when minority voices are too long suppressed. "La verdad no peca pero incomoda," was the theme of the Hispanic minister's sermon. (Truth is not a sin merely because it is awkward.) The English speaking minister spoke on the theme of "Truth as the Saddle Burr of Apathy." These two preachers have done a good job of bringing the Latino and African American communities closer together.

The third leader of the group is a native American who serves in the State Senate. A strong interest in education led her to seek appointment to the legislature's school finance committee, the group that determines levels of funding for the state's public schools. She is likely to become chair of that group in the next legislative session and she will push for school reform using the clout of her position to bring change. One of her pet projects is "multicultural education" which she defines as "an education that liberates and empowers all citizens to effect change and correct inequities." She has

advocated strongly for a curriculum that recognizes the history and contributions of the major minority groups.

The group likes to compare itself to the voices that incited the American revolution. In one example, the group's literature claims that the colonists' struggle against taxation without representation is the kind of American value they cherish.

Most members of your group regard the Samurai episode as an opportunity to seek changes in an area in which it has a proven track record. Of the three groups, this one may be the best prepared since they have already led a winning campaign to enact major curriculum changes in a neighboring state. These changes were designed to make the history and culture and contributions of minority groups more prominently portrayed than they have been in the past. The object is to help minority youngsters gain a healthier concept of themselves by studying about their own groups in history. In that campaign your group sought curriculum changes which would require -

- - as a new licensing requirement, that every teacher in the state complete a course in "Historical Roots of Western Civilization," an experience designed to expose them to African and Asian antecedents of the Western intellectual tradition;
- - a chronological approach to the teaching of American history (as opposed to the current trans-Mississippi, east to west approach) in order to highlight the role of Native Americans and Hispanics in building the nation;
- - adoption of an optional middle school course on "The Enemies of Democracy" in which topics such as sexism, racism, and cultural chauvinism are studied in the context of civic responsibility;
- - a new approach to the teaching of Spanish, removing it from the "foreign language" category and emphasizing its status as the second most important language in the nation.

This group senses an undercurrent of discontent among some of the newcomers to Little Ridge who have not been able to gain access to the social and political mainstream of the community. To these people, mere good will and welcome wagon baskets are not enough. They want to make their own voices heard in public bodies and to help re-design the community as a multi-cultural microcosm of the world. The group is actively recruiting new members among these disenfranchised and disenchanting people.

It is clear that the Study Group will not want to "tinker" with little changes. They are likely to propose profound change by altering the curriculum and other aspects of school practices to keep problems of this type from reoccurring. Their proposals are likely to be quite radical for a community like Little Ridge.

Committee for Effective Education

The third group you think about is a group known as the Little Ridge Committee for Effective Education (CEE). This group has been in existence since the mid 1980's. It was originally formed to explore the implications for Little Ridge, of the Nation at Risk report, a publication which decried the loss of American competitiveness in the world and blamed the decline on the educational system.

The CEE is consistent, stable and generally predictable. After leading the community in discussing Nation at Risk, the group has surfaced from time to time to address other school issues such as AIDS and bond issues to support new construction. The group is composed mainly of high level managers from business and industry, religious leaders, small business owners and professionals. Most of the membership is male and largely white. In recent years, several minority group members have joined the core group but no women or minority members occupy leadership roles in the organization. The minority members too are professionals, high ranking government workers and small business owners.

The CEE is widely regarded as friend and ally of the Little Ridge schools superintendent. In the past, the group has come to her aid when the superintendent wanted to promote a pet project which required outside funding and/or political support. So close is the link between the superintendent and the CEE that a leader of the local teachers union once denounced the group as the superintendent's "Kitchen Konsultant Korps." The notion that a cozy relationship exists between the superintendent and the CEE was strengthened by a recent report (in a newspaper gossip column) that her personal lawyer, her accountant, minister and a college roommate were charter members of the group. A former professor of the superintendent (retired from Teachers College, Columbia University) often serves as spokesperson for the group.

Politically, the CEE is moderate and harbors no political extremes. It is a sincere group of civic leaders of the type once known simply as "pillars of the community." They have never before tackled "issues of diversity" and they are usually reluctant to get involved in curriculum or instructional matters claiming they have no expertise in such matters. In the few cases where they have spoken out on the program of the schools they have favored school partnerships with business and industry and "preparation for the world of work" especially for minority youngsters who are not college bound.

This group respects authority, hierarchy and the status quo. Most of the members have a belief that a modicum of good will, efficiency and political connections can solve most community problems.

School Budget Decisions in Little Ridge

Within the last ten years Little Ridge has achieved a kind of balance in its local economy. Light business and the resultant services-oriented business for a younger, upwardly mobile community have provided a stable base. Two years ago, a small plant of a medium-sized electrical appliance concern was established and was easily absorbed into the community.

Last year, the national headquarters for a nationally recognized computer hardware manufacturing company moved to Little Ridge. Plans are underway to open a huge new plant which would accommodate the company's two new initiatives: "edutainment" software development and home-based communications networks.

The financial impact will be considerable. It will, in all probability, result in a considerable local property tax "windfall." Moreover, an electrical appliance factory, attracted to the city two years ago, has transferred an entire, new operation to the Ridge plant because of the new computer factory. This addition has more than doubled the square feet of the factory floor space, nearly doubled the square feet of warehousing space, and nearly trebled the value of the original installation of machinery and the like.

Consequently, the community's total taxable wealth has already increased from \$330,000,000 to slightly less than \$420,000,000 this past year.

As a further result there is high employment, general economic well-being in the community and an expected significant increase in the ability of citizens to pay property taxes to local governmental units.

The local school district's board of education, aware of the possibilities of expanding the Little Ridge educational program, is in the process of budget planning for the immediate future. The board is faced with one or more decisions in this regard:

1. Should the availability of extra local tax monies be used to reduce the present school tax rate or expand the educational program?
2. If the educational program is to be expanded, what segments should be thus affected?

In considering these basic questions, it is felt that several factors must be considered. Thus, the questions are complex and not clear-cut. First, the board of education has for the past four years been bringing to the attention of the residents of the school district the necessity for and progress in upgrading the qualifications of the gradually expanding teaching staff. Little Ridge, as nearly every other school district within the state, has had difficulty in hiring replacement as well as additional teachers with the desired professional training and experience. Members of the board see this as an unusually propitious time to implement these goals of upgrading staff through major salary schedule revisions and active teacher recruiting.

At the same time the board sees this local property tax windfall as an opportunity to resolve one of the problems which has plagued it for years--the minimal pupil transportation program. Traditionally, Little Ridge has provided transportation to only those children who lived such distances from school that the state required the district provide such service. Almost without exception neighboring districts, under permissive legislation, transported at local school expense children living well within the mandatory limit. This was generally considered to be a convenience for the parents. Also, the district could provide such service at a cost which was less than that when parents themselves provided it.

In the Ridge board's deliberations, another set of variables was introduced when the city council approved a resolution to put a \$6,000,000 bond issue on the November ballot. The issue, to cover costs for an ecologically sound renovation and expansion of the sewage disposal plant and system, is expected to add several mills on the local tax rate if approved. The board of education being fiscally independent from the city council is not necessarily limited by the latter's actions. The members of the board, however, recognize that the council's decision will affect the strategy which the board adopts and vice versa.

With all these variables introduced into the budget-making deliberations of the Ridge Board of Education, the problem is further complicated by the fact there is no clear-cut consensus among the citizens in the community. No organized lobbies or pressure groups have made themselves or their views known. The chamber of commerce, highly active in promoting local industrial and commercial expansion, has taken no official position other than urging a decision which assures ". . . continued civic progress."