

Second Edition

EDUCATIONAL GOVERNANCE AND ADMINISTRATION

Thomas J. Sergiovanni / Martin Burlingame
Fred S. Coombs / Paul W. Thurston



EDUCATIONAL GOVERNANCE AND ADMINISTRATION

Second Edition

THOMAS J. SERGIOVANNI
Trinity University, San Antonio

MARTIN BURLINGAME
University of Tulsa

FRED S. COOMBS
PAUL W. THURSTON
University of Illinois, Urbana-Champaign

Library of Congress Cataloging-in-Publication Data

Educational governance and administration.

Includes bibliographies.

1. School management and organization—
United States. I. Sergiovanni, Thomas J.

LB2805.E346 1987 371.2 86-30629

ISBN 0-13-236589-8

Cover design by: Miriam Recino
Manufacturing Buyer: Harry Baisley

© 1987, 1980 by Prentice-Hall, Inc.
A division of Simon & Schuster
Englewood Cliffs, New Jersey 07632

All rights reserved. No part of this book may be
reproduced in any form or by any means
without permission in writing from the publisher.

Printed in the United States of America

10 9 8 7 6 5 4 3 2 1

ISBN 0-13-236589-8 01

PRENTICE-HALL INTERNATIONAL (UK) LIMITED, *London*
PRENTICE-HALL OF AUSTRALIA PTY. LIMITED, *Sydney*
PRENTICE-HALL CANADA INC., *Toronto*
PRENTICE-HALL HISPANO AMERICANA, S.A., *Mexico*
PRENTICE-HALL OF INDIA PRIVATE LIMITED, *New Delhi*
PRENTICE-HALL OF JAPAN, INC., *Tokyo*
PRENTICE-HALL OF SOUTHEAST ASIA PTE. LTD., *Singapore*
EDITORIA PRENTICE-HALL do BRASIL, LTDA., *Rio de Janeiro*

EDUCATIONAL GOVERNANCE AND ADMINISTRATION

CONTRIBUTING AUTHORS

Thomas J. Sergiovanni is the Lillian Radford Professor of Education and Administration at Trinity University, San Antonio. Prior to joining the Trinity faculty he was for eighteen years Professor of Educational Administration and Supervisor at the University of Illinois (UC). He received the Ed.D. degree from the University of Rochester. A former associate editor of *Educational Administration Quarterly*, Dr. Sergiovanni currently serves on the editorial boards of *The Journal of Educational Equity and Leadership*, *The Journal of Curriculum and Supervision*, and *The Journal of Personnel Evaluation in Education*. He has broad interests in the areas of organizational culture, school leadership, and the politics of education.

Martin Burlingame is University Professor of Educational Leadership at the University of Tulsa. After receiving his Ph.D. at the University of Chicago, he served on the faculties of the University of New Mexico and the University of Illinois (UC). He also served as a senior research associate at the National Institute of Education. Burlingame's scholarly activities have centered on local-level politics and education, and on power within organizations. In the last few years he has used qualitative methods to explore such questions as the political nature of teachers' talk and strategies of superintendent power retention.

Fred S. Coombs is Associate Professor of Educational Policy Studies, Bureau of Educational Research at the University of Illinois (UC). A Ph.D. graduate in political sciences from the University of Illinois, he was Assistant Professor of Political Science at the University of Illinois before joining the Educational Policy Studies faculty. He has published widely in the areas of educational policy and the politics of education.

Paul W. Thurston is Associate Professor in Educational Administration at the University of Illinois (UC), where he specializes in school law and personnel administration. A member of the Illinois Bar Association, he holds both a Ph.D. in educational administration and a J.D. from the University of Iowa. He is Executive Secretary of the Illinois Association of School Personnel Administrators (IASPA), Director of the Joint Degree Program in Law and Edu-

cation, and Coordinator of the School Executive Doctoral Program in educational administration at the University of Illinois (UC). Dr. Thurston has broad interests in the law as it relates to educational policy making and to administrative roles and responsibilities.

PREFACE

This book is intended to introduce readers to administration and governance in education. Its main audience will probably consist of those who aspire to be educational administrators and supervisors. For them, the book will provide an overview of the field and a preview of the more specialized courses and experiences they are likely to encounter later in their professional lives. In addition, the book is designed to help the members of this audience assess the suitability of their own capabilities, dispositions, and interests to a career in educational administration. Other possible audiences include teachers and teacher-organization leaders, legislators and legislative assistants, and any non-professionals who want to be better informed about the nature and structure of administration and governance in education. Prior knowledge of this field is not assumed of readers.

One cannot view the issues of educational administration as separate from those of educational governance. Educational administration is concerned not only with the process of administering schools, but also with the execution of public affairs in educational organizations; the performance of executive functions; the guiding, controlling, and directing of educational organizations; and the judicious use of means to accomplish educational ends. Educational governance is concerned with the organization and machinery through which political units such as federal agencies, state departments, and local school districts exercise authority and perform functions, and the complex political institutions, laws, and customs that are the basis of the performance of administrative functions and responsibilities. Long gone are the days when educational administrators could function as independent entrepreneurs of autonomous school districts.

The practice of school administration is both responsive and independent. Demands, constraints, and choices have always shaped the decisionmaking character of administration. Only the content of demands, constraints, and choices has changed with the times. Part I of this book examines the environment in which schooling in the United States exists. Enduring public values such as equity, efficiency, liberty, and excellence are examined historically and currently as prime influences upon school policy. The expression of these values changes with the times, but they themselves are both formidable and stable. Indeed, the conflicts among the four values are responsible for much of the current debate about the adequacy of our schools and the reforms needed to improve them. The values are examined within the context of several issues now influencing administrative practice: school autonomy and governmental control; the influence of state-legislated learning on teaching as a profession;

and career ladders, merit pay, and other incentive plans. The environment of American schooling is further defined by the presentation of demographics that detail the scope and scale of teaching and schooling and provide a forecast of future trends. Throughout Part I the emphasis is on school administrators functioning as statespersons, bringing balance and reason to the issues at hand, as they become involved in the politics of education.

Part II introduces readers to educational administration as a profession and as a field of study. The purpose of this section is to provide readers with perspectives on the emergence of the field and on its professional and intellectual roots. This appraisal is of necessity critical, for, as a relatively young field, educational administration is characterized by progress and promise, by problems and dim prospects. New with this edition of the book is an emphasis on the emerging cultural perspective in educational administration. Leadership within the cultural perspective and school culture building is discussed, along with the more traditional bureaucratic, human-relations, and political views of school organization and functioning. Part II also introduces readers to the substantive aspects of administration. Using decisionmaking as an example, emphasis is given to understanding administrative theory and the ways that it can be used to gain insights about administrative practice. Greater emphasis is given to a look at how educational administrators actually spend their time on the tasks they accomplish. This descriptive analysis is then examined in light of prescriptions found in the literature of organizational, administrative, and supervisory leadership. Such scrutiny should help readers determine "the way it is" and contrast this with the best thinking on "the way it should be."

Part III introduces readers to governance structure and issues in education. This section includes discussions of policymaking in local school districts, state and federal influences on education, and the broad policymaking structure of schools in America. At this writing, unprecedented changes are taking place in the governance of education in this country. The state seems now to be emerging as the dominant force not only in establishing school policy but in providing the administrative structures and arrangements for the day-by-day operation of schools. Should this trend continue, the historically dominant local school districts will find themselves with diminished authority. Is the United States moving towards a system of state education with fifty school districts? What are the consequences of such an event should it materialize? Is the next logical step a move from fifty school districts to one? It is difficult to predict which way the winds will blow with respect to changes in the governance of schooling. But clearly the ancient Chinese curse "May you live in interesting times" well fits today's educational scene.

Part IV, new with this edition of the book, provides a cultural view of schooling and administration by relying heavily on descriptive studies of schools that emphasize ethnographic and anthropological ways of knowing. This section seeks to increase one's cultural understanding of life in schools, the school superintendency, and the school principalship through a search for

the powerful themes which help one to define a personal reality, to steer sensible courses of action, and to find meaning in life.

Part V is concerned with legal and financial considerations in the operation of schools. Supreme Court and federal constitutional standards as well as state level legal considerations are explored, and their influence on public school administration is assessed. The public values of equity, efficiency, liberty, and excellence are revisited within the legal context for schooling and regarding issues of school finance.

Part VI, designed for those considering educational administration as a career choice, includes a discussion of career planning and a career-planning exercise. This exercise is intended to help readers identify their professional and personal goals and examine them against the demands of an administrative job in education.

A book such as this requires a collaborative effort over a considerable period of time. Those of us within the writing team were privileged to share in the insights of others as plans for the book developed and individual chapters were prepared. In this sense the book is the result of a team effort. Individual authors did, however, assume general responsibility for certain parts of the book, as follows: Dr. Sergiovanni, chapters 1, 2, 4, 5, 7, and 18; Dr. Burlingame, chapters 3, 6, 12, 13, and 14; Dr. Coombs, chapters 8, 9, 10, and 11; and Dr. Thurston, chapters 15, 16, and 17.

In the first edition of the book we wrote:

In some respects we are at a crossroads in the administration and governance of education. Education is now considered by many as a declining industry plagued by failure to meet social expectations, by declining enrollments of students with subsequent declines in financial support, by concern in the eyes of the public as to the productive value of schools given dollars spent, and by lowering of esteem in the eyes of many for careers in education and educational administration. Certainly teacher militancy has ended once and for all the halloved images of teaching as a missionary profession. And true indeed is the skepticism of many as to the value of benefits obtained from schools, given costs, after having experienced a period of unprecedented promises and short deliveries. Heartfelt too are the results of declining enrollments as expressed in curtailing educational programs, closing facilities, centralizing services, and reducing teaching staffs. In many respects, these are hardly bright times for one to be considering a career in educational administration. But out of these difficulties have come new understandings of educational administration—most noteworthy, understandings about its political nature and its independence with a variety of external forces, many of which are beyond the control of the local school administrator.

Except for a bottoming-out of declining student enrollments and, in some cases, increases which are causing a teaching shortage, the observations made for the first edition apply as well to this edition. We would add to this litany of problems the dramatic shifts which are taking place in the governance of education, and the demands these shifts create for new, more resourceful leader-

ship at both the state and local levels. Much progress has been made toward understanding the process of schooling and school administration since the writing of the first edition. For example, an avalanche of research has been produced which provides a fairly refined and highly useful image of what a successful school is, and how administrators can work to bring about school improvements. Schools are being understood from the cultural perspective, providing new and rich insights for developing promising school policies at the state level and more effective local administrative practices. The need for *more* administrators is not great, but the need for *new* administrators is pressing—men and women who understand the complexities of modern administration and who can cope with its new dimensions. This book is intended to be a first step in that direction.

EDUCATIONAL GOVERNANCE AND ADMINISTRATION

CONTENTS

Preface *xiii*

PART I THE CONTEXT FOR SCHOOLING IN AMERICA

1. Public Values and School Policy: The Roots of Conflict 1
 - Test Scores in Cotton County 3
 - Public Values and School Policy 7
 - Summary 17
 - References 18
2. Issues Shaping School Policy and Administration 19
 - School Autonomy and Governmental Control 20
 - Legislated Learning and Bureaucratic Teaching 22
 - Teacher Career Ladders and Merit Pay 26
 - Maintaining Public Confidence 30
 - Managing Public Confidence 32
 - Summary 33
 - References 34
3. A Demographic Portrait of Schooling in America 36
 - The Scope and Scale of Teaching and Schooling in America 37
 - Teachers and Administrators 40
 - A Portrait of Students 41
 - Population Shifts and Trends 43
 - Distribution of Poor and Minorities Across the Schooling Landscape 46
 - Future Projections, Trends, Problems 51
 - Policy Implications for Excellence and Equity 52
 - References 53

PART II INTRODUCTION TO EDUCATIONAL ADMINISTRATION

4. Educational Administration: An Overview 54
 - Policy and Policy in Use 56
 - Administration Defined 57
 - Critical Responsibilities of Administrators 59

Evaluating Administrators	63	
Dimensions and Measures of School Effectiveness		66
Critical Administrative Processes	66	
Critical Administrative Skills	69	
Educational Administration as Educational Leadership		71
Managerial, Political, and Educational Roles	71	
Qualitative Aspects of Leadership	73	
The Substance of Leadership in Education	75	
Educational Administration as an Emerging Profession		77
Measuring Up as a Profession	82	
Negative Effects of Professionalism	85	
The Status of Women in Administration		86
Summary	90	
References	91	

5. The Development of Thought in Educational Administration 94

Models of Administrative Practice	95	
Major Strands of Thought in Administration		97
Concern for Efficiency	99	
Scientific Management and the Efficiency Model		100
Bureaucratic Theories and the Efficiency Model		105
Concern for the Person	108	
Human Relations and the Person View	109	
Human Resources and the Person View	111	
The Rational-Mechanistic-Organic Metaphors		114
Political and Decisionmaking Views	115	
Planning and Decisionmaking as Examples		122
The Cultural Perspective in Educational Administration: An Emerging View	124	
The Problem of Coordination in Loosely Structured Schools	125	
Leadership Within the Cultural Perspective		126
School Culture Building	127	
The Science of Administration	129	
Educational Administration as an Applied Science		133
A Reflective Practice Perspective	135	
Summary	136	
References	137	

6. Putting Theories to Use 140

The Usefulness of Theories	140	
A Sense of Order and a Sense of Wonder		153
References	155	

7. Administrative Work, Roles, and Tasks	156
A Descriptive View of Educational Administration	158
The Work-Activity School: An Alternative View	162
The Nature of Managerial Work: Mintzberg	163
Variations in Administrators' Work	171
The Characteristics of Administrative Work	174
Time as a Scarce Resource	176
Summary	178
References	179

PART III INTRODUCTION TO GOVERNANCE IN EDUCATION

8. The School as a Political Organization	180
The Four Values Revisited	181
Reconciling Interests: The Problem of Collective Choice	182
A Closer Look at "Policy"	186
Influence, Power, and Authority Patterns	189
Community Power Structure	192
The Interests of Students and Parents	193
Teachers and Their Organizations	195
Minority Interests	198
Other Education Interests	200
The Role of the Public	201
Summary	202
References	203
9. Policy Making in the Local School District	204
The Locus of Authority at the Local Level	206
Policymakers at the Local Level	207
School Board Politics	210
Three Versions of the Policy Process	217
Collective Bargaining	219
Referenda	220
Summary	223
References	224
10. The Influence of the Federal Government	225
The Early History of Federal Involvement	226
The Federal Role After World War II	227
Categorical Aid For Economic and Social Problems	230
Exit Equity, Enter Excellence	230
The Reagan Agenda	231
The Federal Education Establishment Today	233
Summary	238
References	239

11.	The New State Role in American Education	240
	The Changing Role of the State	241
	Interest Groups at the State Level	245
	Federal, State, and Local Relations	247
	The Centralization-Decentralization Issue	249
	Summary	250
	References	251
PART IV A CULTURAL VIEW OF SCHOOLING AND ADMINISTRATION		
12.	Living and Working in Schools	252
	The Cultural Perspective	253
	The Regularities of School Life	256
	Situational Adjustments of Living in Schools	259
	Changes Generated by Living in Schools	260
	The Use of Ceremonies, Rituals, and Stories to Provide Continuity	261
	Schools and Their Artifacts	263
	Implications for Future Study and Policy	265
	References	266
13.	The School Superintendency	267
	Historical Overview of the Role	268
	Becoming A Superintendent: Professional Socialization	271
	Capturing a Superintendency: Insiders and Outsiders	273
	The School Board: Issues of Style Versus Content	274
	The Role of Conflict	275
	A Career and Its Rewards	279
	Implications for Future Study and Policy	280
	References	281
14.	The School Principalship	282
	Historical Overview of the Role	283
	Becoming A Principal: Professional Socialization	283
	The Multiple Ways of Playing the Role: Autonomy	285
	The Constraints of Playing the Role: Teachers and Neighborhoods	287
	The Principal as Leader or as Maintainer	288
	With a Little Help From My Friends: Principals Associations and the Problematic Elements of the Role	295
	The Principalship as a Career	296
	Implications for Future Study and Policy	296
	References	297

PART V LEGAL AND FINANCIAL CONSIDERATIONS

15. Public Schools and the Law: The Supreme Court and Federal Constitutional Standards 299

Legal Analysis	300	
Legal Sources of School Law	301	
The Federal System and Multiple Jurisdictions		302
Identifying the Legal Standard	306	
Weight of Judicial Authority	307	
The U.S. Supreme Court and School Law		308
Summary	337	
References	338	

16. State Level Legal Considerations in Public School Administration 341

State Delegation of Authority from the State to Local Districts and State Boards of Education	342	
Legislative Delegation of Authority	343	
Appropriate Administrative Delegation of Authority:		
Redelegation	344	
Torts (Negligence)	348	
Contracts (Collective Bargaining)		351
Summary	355	
References	356	

PART VI DECIDING ON AN ADMINISTRATIVE CAREER

17. School Finance: Funding Schools for Excellence 357

Revenue Generation and Distribution to Public Schools	360	
Criteria For Evaluating Different Taxes	365	
Distribution of State Revenues to Public Schools		368
Alternative Distribution Models	374	
Constitutional Challenges to State School Aid Formulas: <i>Serrano</i> and Its Progeny	376	
Moving From Equity to Adequacy: Financing the School-Reform Movement	379	
Summary	381	
References	381	

18. Personal Goals and Traits and the Educational-Administrative Career	384	
An Overview of Job Opportunities	385	
Theories of Career Choice	386	
Identifying Managerial Talent	387	
The Self-Description Inventory	389	
Considering Competencies in Administration		393
Life Goals and Career Planning	405	
Qualifying for a Position	405	
Summary	416	
References	417	
<i>Index</i>	418	