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The Role of Superintendent and Board in the Selection, Use, and Evaluation of Professional Outside Management Negotiators in Contract Bargaining in Selected Illinois School Districts

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Loyola University of Chicago

THE ROLE OF THE SUPERINTENDENT AND BOARD IN THE SELECTION, USE,
AND EVALUATION OF PROFESSIONAL OUTSIDE MANAGEMENT NEGOTIATORS
IN CONTRACT BARGAINING IN SELECTED ILLINOIS SCHOOL DISTRICTS

The focus of this study was to determine the roles of the superintendent and board of education in the selection, use, and evaluation of professional outside management negotiators. The population of the school districts chosen for the study consisted of elementary public school districts located within Cook, DuPage, and Lake Counties in Illinois which had employed a professional negotiator as chief spokesman in negotiations for the board with the teacher bargaining group in 1975-1976 or 1976-1977 contract bargaining. To facilitate a representative sample of school districts for the study, the population of school districts was grouped according to size and wealth. Four districts were selected from each group, or cell, to be included in the study sample.

The superintendent and a board member in each of the sixteen districts were interviewed to determine their roles in the selection, use, and evaluation of the professional negotiator. The interview instrument, which was identical for the superintendents and board members, consisted of structured questions designed to elicit open-ended responses. In addition, the responses were analyzed within the framework of the administrative process as outlined by Campbell to determine the extent to which the components of the administrative process were utilized by superintendents and boards in the selection, use, and evaluation of the professional negotiator.

Among the conclusions reached as a result of the study were:

(1) superintendents had a moderate, but not comprehensive role in the selection of the negotiator; (2) boards were involved very little in most aspects of selecting a negotiator, although they had extensive involvement in certain aspects of selection; (3) superintendents had a moderate, but not comprehensive role in the use of the negotiator; (4) boards had a consistent, moderate role in the use of the negotiator; and (5) superintendents and boards had a very minimal role in the evaluation of the negotiator.

Since this study was primarily concerned with the process of administration relative to the employment of a negotiator and not specifically the results of employing a negotiator, a major recommendation for further study is to relate the results of using a negotiator with the administrative behavior of superintendents and school boards.

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ILLINOIS SCHOOL DISTRICTS

by

Thomas M. Kovalik

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Last, but not least, the author wishes to thank God for providing the measure of strength and wisdom necessary for the completion of this study.

VITA

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The author is married to the former Jo Reno and has one daughter, Jolena Rachelle.

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CHAPTER I

INTRODUCTION

In many respects institutional life as represented by American public education is but a microcosm of the total institutional life within the broader context of American society. There is little that happens in society at large which does not have an effect on the attitudes or actions of those involved in education. In recent years, the schools have even, in a sense, been mandated the role of social change agent. The prime example of the social change agent role is the degree to which schools have been called upon by the courts and federal government to be the institutions most directly involved in desegregating our society. Many school systems have willingly accepted this challenge, while others have done so only under the greatest duress and the maximum resistance. Nevertheless, the point is that what occurs outside the school (or what has occurred in the past) has unmistakeable implications for what occurs inside the school. In another example, an approach to budgeting which began in the United States Department of Defense in the early 1960's, namely Planning-Programming-Budgeting System (PPBS), has since found its way into many school districts as the accepted budgeting method. Related to the application of PPBS to education, and in much the same manner, the current trend in accountability in education has its roots in American government and industry.

These are only a few cursory examples of the kind of symbiotic relationship which exists between American public education and American

society as a whole. Although there are many other examples, this study focused on an area in education which has had considerable input from outside the field. This area is the broad area of labor-management relations and, more specifically, that branch dealing with contract bargaining within the context of collective negotiations. The term "collective negotiations: was defined by Lieberman as, "a process whereby employees as a group and their employers make offers and counter-offers in good faith on the conditions of their employment relationship for the purpose of reaching a mutually acceptable agreement."¹ In this study collective negotiations and contract bargaining refer to the same process.

Collective negotiations is not a new phenomenon in American industry. With the rise of such industry beginning in the nineteenth century came a commensurate growth in unionism. It has been observed that the staying power of American labor has been due to the fact that to many workers, "there has really been no acceptable substitute for collective bargaining as a means of maintaining and improving employment conditions."² The rights of employees to bargain collectively received unparalleled protection of the government in the National Labor Relations Act of 1935. This Act, more commonly known as the Wagner Act, granted certain rights to employees to join or form labor organizations for the purpose of bargaining collectively and restricted the rights of employers to prevent the development of or to refuse to recognize or bargain with

¹Myron Lieberman and Michael Moskow, Collective Negotiations for Teachers (Chicago: Rand McNally and Company, 1966), p. 1.

²Arthur A. Sloane and Fred Witney, Labor Relations (2nd ed.; Englewood Cliffs, New Jersey: Prentice-Hall, 1972), p. 90.

the duly chosen representatives of the employees. It is noteworthy that at that time the provisions of the Wagner Act were not intended to be extended to public employees. In a letter to L. C. Stuart, President of the National Federation of Federal Employees, August 16, 1937, President Roosevelt wrote, "The process of collective bargaining, as usually understood, cannot be translated into the public service. It has distinct and insurmountable limitations when applied to public personnel management."³ Therefore, even though the Wagner Act made organizing and bargaining more possible for many private sector employees, it had no immediate effect on public sector employees, including teachers.

It was not until the 1960's that significant applications of collective bargaining rights were extended to public employees. There were a number of factors which contributed to such growth during that decade. Many organizational and bargaining rights granted to private sector employees in the Wagner Act and Taft-Hartley Act were extended to public employees through Executive Order No. 10988 issued by President Kennedy in January, 1962. This order, for the first time, protected the rights of federal employees to join unions and engage in collective bargaining with their employing agency.⁴ Quite naturally, there was substantial growth in public employees' unions following this order. Two federal court cases near the end of the 1960's reinforced the right of public

³Reprinted in Charles S. Rhyne, Labor Unions and Municipal Employee Law (Washington, D.C.: National Institute of Municipal Law Officers, 1946), p. 436.

⁴Sloane and Witney, Labor Relations, p. 511.

employees to join labor organizations.⁵ Both decisions indicated that to deny the right of public employees to belong to a labor organization was to deny them the First and Fourteenth Amendment rights accorded all citizens under the federal Constitution. There is, however, at the present time, no federal legislation mandating collective bargaining for public employees. There has been considerable debate over the nature and/or advisability of such legislation.⁶ Even though there has been no federal legislation, there has been considerable state legislation regarding collective bargaining. Although state legislation is extremely varied on the subject, it is significant that a majority of states now have some kind of legislation regarding collective bargaining for public employees as compared with 1960 when no states had it.

In addition to the aforementioned legal impetus to the growth of public employee collective bargaining, there have been other factors as well. Mannix had indicated that "job security, improved wages and working conditions and the need for a united work force in dealing with larger and more impersonal employees," which have led private sector employees to organize, are also relevant and sufficient reasons for public employees to organize.⁷ Knezevich viewed the growth of nego-

⁵American Federation of State, County and Municipal Employees, AFL-CIO v. Woodward, 406 F(2nd) 137 (1969) and McLaughlin v. Tilendis, 398 F(2nd) 287 (7th Cir., 1968).

⁶See Robert H. Chanin, "The Case for a Collective Bargaining Statute for Public Employees," Phi Delta Kappan, LVII (October, 1975), 97-101 and Myron Lieberman, "Neglected Issues in Federal Public Employee Bargaining Legislation," Phi Delta Kappan, LVII (October, 1975), 101-105 for specific pro and con arguments.

⁷Thomas Mannix, "Labor Negotiations and Teacher Contract Bargaining: Parallels and Problems," Educational Leadership, XXXII (April, 1975) 441.

tiation (which he described as a "means whereby teachers formalize their access to the school power structure"⁸) as due to factors such as increased numbers of men in the teaching profession, the better preparation of teachers, the highly impersonal style of teacher administration, and the desire of teachers to achieve self-respect and self-determination.⁹ The lack of federal and state (in Illinois) legislation notwithstanding, teachers have begun to organize in increasing numbers to achieve the goals mentioned. It is fair to say that in Illinois, even without a collective bargaining law, collective negotiations have become pervasive. The Illinois Association of School Boards reported that 94 per cent of the 812 districts within the state responding to its survey, indicated some degree of collective meeting with teachers to discuss at least salary and economic items.¹⁰

The result has been that many problems related to the labor-management bargaining model in American industry, but, prior to the 1960's not found in public education, have appeared in education. The influence of pressures outside the field of education to shape policies, processes, and patterns of behavior within the field of public education has been great. The resultant changes have lead Castetter to view collective negotiations as contributing to an "institutional revolution."¹¹

⁸ Stephen Knezevich, Administration of Public Education (2nd ed.; New York: Harper and Row, 1969), p. 357.

⁹ Ibid.

¹⁰ Ronald Booth and Milton Carlson, Collective Bargaining in Illinois Schools, 1976-77 (Springfield, Illinois: Illinois Association of School Boards, 1977), p. 12.

¹¹ William B. Castetter, The Personnel Function in Educational Administration (New York: The MacMillan Company, 1971), p. 328.

Such a revolution, whether welcomed or not, may require new approaches and roles for superintendents and boards in regards to relationships with teachers and perhaps with each other. In any case, Castetter asserted that, "there is no way of turning back the clock. School systems must learn to master the problems of collective negotiation as they have learned to deal with other educational and organizational problems imposed upon them by a changing social order."¹²

With the advent of collective negotiations, school boards and superintendents began to be aware of new skills required and new approaches to making decisions affecting teachers. It was not germane to this study to pursue the question of whether or not collective negotiations ought to be carried on with teachers. The fact of collective negotiations was assumed. With that fact came the awesome responsibility on the part of superintendents and boards of education to make the process of collective negotiations work to the advantage (or at least not to the detriment) of management interests. Quite naturally, teachers hoped that the negotiations process would work to their advantage. Therefore, it was incumbent upon superintendents and board members to be careful that the actions taken and roles assumed relative to collective negotiations ultimately be in the best interests of the school district. Several recent studies (which will be examined

¹²Ibid.

in detail in the next chapter) have been done in this area.¹³ Needless to say, however, there were a variety of responses in determining the roles of the superintendent and board in negotiations.

One of the courses of action which began to be pursued by both teacher groups and school boards was to hire professional negotiators. The roles of the superintendent and board in the choosing of this alternative and the concomitant implications related to the process of administration served as the focus of this study. There have been several studies relating to the use and results of using an outside professional negotiator.¹⁴ While these studies will be dealt with more specifically in the following chapter, some general comments can be made regarding them. The focus of these studies was on the results of using a professional negotiator. Furthermore, much attention was

¹³Clayton Allen Hovda, "The Superintendent's Role in Collective Negotiations as Perceived by Teachers, School Board Members and Superintendents in Iowa and Minnesota" (unpublished Ph.D. dissertation, University of Iowa, 1975), Dissertation Abstracts 36(October, 1975) 1949-1950A; Clarence Oliver, "The Role of the School Board Member in Professional Negotiations as Perceived by School Board Presidents in Oklahoma" (unpublished Ed.D. dissertation, University of Tulsa, 1976), Dissertation Abstracts 37(August, 1976) 749-750A; and Frederic Charles Windoes, "Role of the School Superintendent in Collective Negotiations" (unpublished Ph.D. dissertation, Michigan State University, 1976), Dissertation Abstracts 37(December, 1976) 3336-3337A.

¹⁴Frank A. Bush, "Role Expectations for Professional Chief Negotiators as Perceived by Superintendents, School Board Presidents and Professional Chief Negotiators in Selected Indiana School Corporations" (unpublished Ed.D. dissertation, Indiana University, 1976), Dissertation Abstracts 37(February, 1977) 4731-4732A; Richard Lyden, "The Use and Efficacy of an Outside Negotiation Specialist by Boards of Education in Selected Ohio Schools" (unpublished Ph.D. dissertation, Miami University, 1974), Dissertation Abstracts 35(January, 1975) 4084-4085A; and Charles E. Lovisky, "The Effects of the Professional Negotiator on Teacher-School Board Negotiations as Perceived by Superintendents in Selected Pennsylvania School Districts and Indicated by Selected Variables" (unpublished Ed.D. dissertation, Ball State University, 1974), Dissertation Abstracts 35(December, 1974) 3352-3353A.

given to the perceptions of the superintendent and board in using a professional negotiator. Since the present study is a study of the processes based on actual performance of roles, not perceptions or roles, the general comments made regarding the studies just noted were essentially not applicable to this particular study. Nevertheless, previously completed studies served as related research to the particular problem of this study.

Purpose

The general purpose of this study is to analyze the role of the superintendent and board of education in the selection, use, and evaluation of professional outside management negotiators relative to contract bargaining. The specific purposes are as follows:

1. To analyze the role of the superintendent in selecting an outside management negotiator relative to contract bargaining;
2. To analyze the role of the board of education in selecting an outside management negotiator relative to contract bargaining;
3. To analyze the role of the superintendent in establishing and monitoring the roles of the superintendent, board and negotiator relative to contract bargaining;
4. To analyze the role of the board of education in establishing and monitoring the roles of the superintendent, board, and negotiator relative to contract bargaining;
5. To analyze the role of the superintendent in evaluating the outside negotiator relative to contract bargaining;
6. To analyze the role of the board of education in evaluating the outside negotiator relative to contract bargaining.

As collective negotiations becomes an ever-increasing reality in public school districts, the question of whether or not the board should

hire an outside professional management negotiator is one that has been, is now, and will continue to be given a great deal of consideration. This study provides a structure with which boards and superintendents can view their respective roles in the selection, use, and evaluation of outside negotiators. The analysis allows boards and superintendents to view their roles in the selection, use, and evaluation of outside negotiators within the total context of the administrative process. The primary purpose of the study, therefore, is to determine to what extent superintendents and boards, who have already employed and used outside negotiators, have utilized components of the administrative process as outlined by Campbell and to analyze why they have or have not utilized these components.¹⁵ The focus of the study is on the performance of roles by the superintendents and boards relative to the process of selecting, using, and evaluating an outside negotiator and NOT on the results of selecting, using, and evaluating an outside negotiator, though in many cases, processes and results are not totally unrelated.

The structure for analysis was provided by Campbell. He defined the administrative process as "the way in which an organization makes decisions and takes action to achieve its goals."¹⁶ The components of the administrative process, as Campbell described it, are decision-making, programming, stimulating, coordinating, and appraising. This study subjected the superintendent's and board's role in the selection,

¹⁵ Roald F. Campbell, Edwin Bridges, and Raphael Nystrand, Introduction to Educational Administration (5th ed.; Boston: Allyn and Bacon, 1977), pp. 165-173.

¹⁶ Ibid., p. 165.

use, and evaluation of a professional outside management negotiator to analysis within the context of the components of the administrative process. Campbell was quick to point out that the administrative process is a conceptualization--not an observed phenomenon--and is "intended as a useful guide to the practicing administrator and suggests how the educational administrator would behave if he wished his activity to result in the greatest attainment of objectives with available resources."¹⁷ Both superintendent and board actions and roles were subjected to the identical analysis in order to determine the extent to which one, both, or neither utilized the administrative process components as outlined by Campbell. Within the context in which Campbell viewed the administrative process, it is primarily the superintendent as chief administrator in the school district who is responsible for the performance of the components of that process. However, as Campbell recognized, what he considered normative may not be the practiced reality. There was the consideration that with boards, in a sense, beginning to feel their way in the process of collective negotiations, there would be the possibility that they would perform, either in concert with, or independent of the superintendent, the various components of the administrative process, specifically as related to the selection, use, and evaluation of an outside negotiator.

Procedure

The procedure utilized in this study is not highly complex. Therefore, a separate chapter is not devoted to procedure. A discussion of

¹⁷Ibid., p. 166.

the entire procedure is included in this initial chapter. The literature was surveyed first to determine the extent, findings, and recommendations of research in two broad areas. The first area was that of the roles of the superintendent and boards primarily as related to the process of collective bargaining, and more specifically, their roles in collective bargaining when a professional outside management negotiator was employed. The focus of the survey of the literature was on the role of the board and superintendent in the selection, use, and evaluation of professional outside management negotiators. Not only was research consulted, but related literature as well. The second major area of study in the survey of literature was to determine the extent of research, findings, and recommendations and related literature concerning the five components of the administrative process as outlined by Campbell--decision-making, programming, stimulating, coordinating, and appraising. Included among the questions to be answered in the latter section of the survey of the literature were, "How did these components develop?" and "What are the actual elements of these components?"

The next step in the study was to determine those districts which were included in the population of the study. The population of the districts in the study met the following criteria: (1) they were elementary school districts located within Cook, DuPage, or Lake Counties in Illinois; (2) the board had employed an outside management negotiator as chief spokesman in negotiations for the board in 1975-76 or 1976-77 contract bargaining.

The Illinois Office of Education, Department of Research and Statistics, provided the name and location of all school districts in the

state. Through the information supplied, it was determined that there was a total of 186 districts which met the first criterion.¹⁸ Of these 186 districts, 115 were in Cook County, 33 were in DuPage County, and 38 were in Lake County. This tri-county area contained approximately forty per cent of all elementary districts within the State of Illinois. Cook, Lake, and DuPage Counties are located in the most populous section of the state with the greatest concentration in terms of numbers of students as well as numbers of school districts. There is a significant variety of economic and social conditions within this tri-county area which is bordered by the Wisconsin state line on the north, Lake Michigan and approximately ten miles of the Indiana state line on the east, slightly east of the Fox River on the west and a northwest to southeast diagonal line approximately thirty miles from downtown Chicago on the south. Within this area are elementary school districts which are among the largest, the smallest, the richest, and the poorest in the state. There is no other part of the state where there is such concentrated diversity.

A determination of those districts which would meet the second criterion was made in the following manner. One of the questions in the research report, Collective Bargaining in Illinois Schools, 1976-1977, questionnaire was, "The spokesperson (chief negotiator) for the board is: (1) board member (2) superintendents (3) administrator other than superintendent (4) local attorney (5) outside professional (attorney or other expert) (6) no one designated as chief spokesperson."¹⁹ The number of

¹⁸ Illinois Office of Education, Statistics Section, Illinois Public School Districts 1975-1976 School Year (Circular Series A Number 346; Springfield, Illinois: Illinois Office of Education, 1975), pp. 4-9, 14-15.

¹⁹ Booth and Carlson, Collective Bargaining, p. 4.

school districts responding with #5 was 71 statewide, which represented a total of nine per cent of those responding to the survey, while in the Chicago area (Cook and DuPage Counties) the total and percentage was thirty-seven and twenty-four per cent respectively. In Lake County the total was six, and this total represented seventeen per cent of the Lake County districts responding to the survey.²⁰ It was therefore determined that there were at least forty-three unidentified districts, including elementary, unit, and secondary in the tri-county region which had employed a professional outside negotiator as chief spokesman. In addition, eleven districts had responded to the survey by indicating that the local attorney was the chief spokesman. Since in some districts, the professional negotiator also served in the dual capacity of the district's negotiator and the district's attorney, the districts in which the response to that question was #4 local attorney, were included in the population.

The next task became that of identifying the districts employing a professional negotiator. Through contacting various sources, such as negotiators, superintendents and other experts knowledgeable in the area of collective bargaining in the Chicago area, thirty-six elementary school districts were identified as having used a professional outside management negotiator in contract bargaining. These thirty-six elementary districts in Cook, Lake, and DuPage Counties represented approximately forty per cent of all districts in the state using a professional negotiator for contract bargaining, and over seventy-five per cent of those districts in the tri-county area employing a negotiator.

²⁰Ibid., pp. 40-41.

Once the population of the study was determined, the next step was to arrange or place the districts into meaningful categories. Although Campbell considered the administrative process to be normative and therefore to be unaffected in theory by wealth and size variables, he realized in actual practice that the "size of the organization is a variable that appears to influence the content and characteristics of the manager's work."²¹ Since there was not full state funding of the State of Illinois' share as provided under the resource equalizer formula, there was a difference in the amount of resources available to a district as compared with other districts. If the state provided only a certain percentage of state aid to local districts which under the formula it was supposed to provide, then in those districts where the state's obligation was the greatest, the failure to fully fund the local district was most keenly felt. There were significant differences in the size and wealth of the districts in the population. One of the anticipated results of the study was to seek to determine the relationship, if any, between the size and wealth variables and the degree to which the superintendents and boards utilized the administrative process in the selection, use, and evaluation of an outside negotiator.

The Illinois Office of Education was contacted in order to obtain the latest available information regarding the size and wealth of elementary school districts specifically in the tri-county area. When IOE was contacted in June, 1977, the latest available figures were on the 1975-76 school year, and it was on that year's figures that cells of

²¹ Campbell, Bridges, and Nystrand, Introduction to Educational Administration, p. 180.

districts were created. The Illinois Office of Education, Department of Research and Statistics, supplied a computer printout listing the 1975-76 average daily attendance (ADA) for each district in descending order for each district type--elementary, secondary, and unit. This printout was used to rank the population of districts according to size. The thirty-six districts ranged in size from over 5,000 ADA to below 600 ADA. The median for the districts was 2,200 ADA. The measure of wealth used for each district was an index of local resources available to a district based on two factors--the assessed valuation per pupil and the tax rate of the district. These two measures were obtained for each district from the Illinois Office of Education, Department of Budget and Finance.²² The publication listed in descending order, the assessed valuation per pupil per the 1975-1976 best six month ADA for each district. Also ranked was the tax rate for each district. The local wealth index (LWI) was computed by multiplying the assessed valuation per pupil times the tax rate. The range of the LWI for the districts was from 2368.02 per ADA pupil to 350.23 per ADA pupil. The median was 860.00 per ADA pupil.

In order to facilitate the delineation of size and wealth categories and a representative sample of districts in terms of size and wealth to be used in the study, four cells were created, dividing the districts on the basis of wealth and size. The median points for size and wealth were used to create the four cells. Therefore, the four cells were determined as follows:

²² Illinois Office of Education, Department of Budget and Finance, Assessed Valuation Per Pupil and Tax Rates Descending Order 1975 (Circular Series A Number 364; Springfield, Illinois: Illinois Office of Education, 1977), pp. 1-9.

CELL A--Districts with over 2200 ADA and over 860 LWI per pupil.
 CELL B--Districts with over 2200 ADA and under 860 LWI per pupil.
 CELL C--Districts with under 2200 ADA and over 860 LWI per pupil.
 CELL D--Districts with under 2200 ADA and under 860 LWI per pupil.

S I Z E	CELL B	CELL A
	CELL D	CELL C
	W E A L T H	

Once the districts were categorized according to cells, a random sample selection was made of four districts within each of the cells. The selection provided the basis for determination of the specific districts to be studied. The actual subjects of the study were the superintendent of each district selected, as well as the board of education of each district. To study the role of the board of education in the selection, use, and evaluation of professional negotiators, the one board member most knowledgeable regarding the board's role was selected. The primary means of study was through the interview technique. However, prior to the interview, each superintendent was contacted by letter and asked for his cooperation in the study. If participating, he was asked, furthermore, to arrange for the contacting of the board member to be interviewed. In those districts where the superintendent and/or board member was unwilling to cooperate, another district within the cell was selected at random. Twelve of the sixteen superintendents contacted initially were willing, with a board member, to cooperate in the study.

The interview was selected as the primary means of data gathering

for a number of reasons. Van Dalen²³ and Best²⁴ both indicated that many people are more willing to communicate orally than in writing. As Best asserted, "After the interviewer gains rapport, or establishes a friendly secure relationship with the subject, certain types of confidential information may be obtained that an individual might be reluctant to put in writing."²⁵ Although Best viewed the interview as a kind of oral questionnaire, the interview may be thought of as involving more than a questionnaire. In fact, Good listed several unique values of the interview as compared with the questionnaire.²⁶ Among them, in addition to the stimulus provided by the interview to retrieve personal and confidential information, were that the interviewer could follow up leads and clues in a manner not possible by a questionnaire and that the interviewer could form an impression of the truth of the answers and the things that were left unsaid. Isaac listed the following advantages of an interview:

(1) permits greater depth; (2) permits probing for more complete data; (3) makes rapport possible with the respondent; and (4) provides a means of checking the effectiveness of communication.²⁷ It was for all of the reasons above that the interview technique was chosen.

The type of data sought from the interview was basically open-

²³Deobold Van Dalen, Understanding Educational Research: An Introduction (3rd ed.; New York: McGraw-Hill, 1973), p. 329.

²⁴John Best, Research in Education (2nd ed.; Englewood Cliffs, New Jersey: Prentice-Hall, 1970), p. 186.

²⁵Ibid.

²⁶Carter Good, Introduction to Educational Research (2nd ed.; New York: Appleton-Century-Crofts, 1963), p. 288.

²⁷Stephen Isaac, Handbook in Research and Evaluation (San Diego: Robert R. Knapp, 1971), p. 96.

ended responses to structured questions. Therefore, the interview was essentially a structured interview. Even though it was a structured interview, the open-endedness of many of the questions allowed for some follow-up and in depth questioning. (The interview instrument appears in the appendix of this study.) The instrument was developed in the following manner. Two major factors were taken into account--(1) the specific purposes of the study and (2) the specific facets of the components of the administrative process as outlined by Campbell. The selection, use, and evaluation of the outside negotiator were considered as components of one complete process. Therefore, it was the role of the superintendent and the board in the entire process of the selection, use, and evaluation that was analyzed in terms of Campbell's components. As a consequence, some of the components of the administrative process were related to the specific areas of (1) selection; (2) use; or (3) evaluation of the negotiator. For example, the appraisal component of the administrative process was most closely related to the evaluation of the negotiator, and thus interview questions asked about the evaluation of the negotiator were analyzed in terms of the appraisal component of the administrative process. Each one of the questions in the interview served two purposes--one purpose was to ascertain the role of the superintendent or board in the use, selection, or evaluation of the outside negotiator and the other was to determine if that role was, in fact, a component of the administrative process. The interview instrument was validated for content by conducting the interview with several superintendents whose districts had employed an outside negotiator and by submission for review to a panel of experts on the faculty of Loyola University. Comments for

improvements of the instrument were incorporated into the actual instrument as used in the study.

The following discussion serves as an illustration of the kind of interview question development which occurred. Two of the questions in the area of the selection of the negotiator were: "What was your role in actually finding and contacting a negotiator?" and "What was your role in determining how much was to be budgeted for a negotiator?" In the area of the use of the negotiator, one of the questions was, "What was your role in determining the role of the superintendent, board, and negotiator relative to contract bargaining?" These three questions, while being open-ended about certain aspects of the selection and use areas by the superintendent and board in relation to the outside negotiator, also were used to determine if the superintendent and/or board utilized the programming component of the administrative process. Campbell indicated that programming included arranging for the selection of personnel, arranging for the budget, and arranging for organization.²⁸ If the superintendent and/or board responses described any involvement on their parts in answer to the specific questions, then a YES response was recorded. If the superintendent and/or board member could not describe any role in answer to the question, a NO response was recorded. The total number of YES responses in a component category yielded a quantification of the utilization of the component by the superintendent and/or board. Once this was done, further analysis was conducted to determine the nature of the specific role involvement. Through

²⁸Campbell, Bridges, and Nystrand, Introduction to Educational Administration, p. 168

follow-up questions and further probing, a determination was made through analysis and interpretation of responses as to why the role and involvement of the superintendents and boards in each of the components in the administrative process existed as they did.

It was necessary to interview a board member knowledgeable of the board's role in the selection, use, and evaluation of outside negotiators. This study is an analysis of the realities of the board's involvement and as such required direct information from board personnel on the role of the board. Therefore, the board members interviewed were asked the same questions pertaining to the role of the board that the superintendents were asked pertaining to the role of the superintendent. The responses from the board members were subjected to the same type of analysis as were those from the superintendent. It was thus possible to draw conclusions about whether the superintendent, board, both, or neither utilized the components of the administrative process in the selection, use, and evaluation of outside negotiators.

Once the responses were analyzed for each district in the described manner, the responses for each district were compared and contrasted with the responses collected from the superintendents and boards from the other districts within the cell and with the responses collected from the superintendents and boards from the districts in the other cells to determine the relationship, if any, between the size and wealth of a district and how well the superintendent and board utilized the administrative process in the selection, use, and evaluation of outside negotiators. Patterns of responses within or between cells were sought, as well as any trends which were evident in the data. Recommendations were made through com-

paring and contrasting the data collected from each superintendent and board with: (1) the related literature; (2) the other school districts studied within the cell; and (3) the school districts studied in the other three cells. Wherever appropriate, statistical treatment was applied to the data.

Limitations

A study of this nature had some limitations. There were areas of inquiry related to this study, such as studying the results of using a negotiator or studying the administrator's use of the administrative process in other decisions which were not pursued. Furthermore, the population selected for the study was merely a fraction of the population of all school districts in the United States. This study only examined the roles of the superintendents and boards in essentially one facet of their responsibilities--that being their roles as related to the selection, use, and evaluation of the outside negotiator. Geographically, all school districts studied were located in one relatively small, albeit, very populous, area of one state. Even though it was assumed that this area was a microcosm of the diversity of school districts to be found throughout the state and beyond that, throughout the country, and even though the problem of school district collective bargaining was growing nationally, and even though the components of the administrative process were assumed to have universal application, there was no guarantee or absolute claim that the study had applicability beyond its population. The fact that only elementary school districts where an outside negotiator was employed were studied adds to the limitation. Nevertheless, there was an assump-

tion that the analysis of role was of a sufficient general and in a sense universal quality that the application of the Campbell components of the administrative process could be accomplished on any area of administrative activity in any type of school district in any area of the country.

Another significant area of limitation was in the method of obtaining the data--namely the interview technique. Although alternative methods of data collection had more weaknesses, the interview was not without fault or limitation. Even though an attempt was made to maintain an objectivity in the interviewing process by the use of a structured interview instrument, there were factors which may have altered the responses of the respondents.²⁹ There may have been variations in degree of openness on the part of interviewees, depending on the degree of bias or nature of the perspective of the interviewee, of characteristics possessed by the interviewer. There was further danger in the "subtle but often unconscious visual or vocal cues they (the interviewers) give respondents. Interviewers' opinions and attitudes and their expectations of the respondents' opinions and attitudes may influence whether and what answers are given and whether and how they are recorded."³⁰ Isaac also warned of the possibility of the problem of subjectivity and personal bias arising by stating, "Eagerness of the respondent to please the interviewer, a vague antagonism that sometimes arises between the interviewer and the respondent, and the tendency of the interviewer to seek out answers that support his pre-

²⁹ Van Dalen, Understanding Educational Research, p. 329.

³⁰ Ibid., p. 330.

conceived notions all complicate his method."³¹ In this study, there was an attempt to obviate or at least minimize the possibility of this occurring through refinement during the validation process and awareness of the potential for subjectivity and personal bias during the interviewing process. To the degree that the potential for subjectivity and personal bias during the interviewing process were reduced, this limitation was not a factor.

Even though the interviewer and interviewee may have overcome the problem of personal bias in the interview, the study was further limited by the fact that questions were asked about roles, actions, behaviors, and attitudes which may have occurred up to and over a year prior to the interview. As the time interval increased between the date of the interview and the date of the events about which questions were asked, the possibility of incomplete recollections increased. Responses were based on recollections of previous events which may or may not have been recalled accurately.

³¹ Isaac, Handbook in Research and Evaluation, p. 96.

CHAPTER II

REVIEW OF RELATED LITERATURE AND RESEARCH

The primary focus of this study was on a determination of the roles of the superintendent and board in the selection, use, and evaluation of the professional management negotiator. This particular focus was considered as a part of the general topic of the roles of the superintendent, board, and negotiator in collective bargaining. Therefore, the literature and research was reviewed not only regarding the roles of the superintendent and board in the selection, use, and evaluation of the negotiator, but in the related areas of the roles of the superintendent, board, and negotiator in collective bargaining.

In this study, the roles of the superintendent and board in the selection, use, and evaluation of the professional negotiator were analyzed within the framework of the administrative process. Consequently, the literature, regarding the development of and application of the administrative process, was reviewed.

In order to facilitate the accomplishment of the purposes of this study, this chapter was organized into four sections: Role of Superintendent in Collective Bargaining; Role of Board of Education in Collective Bargaining; Role of Professional Negotiator in Collective Bargaining; and The Administrative Process.

Role of Superintendent in Collective Bargaining

The issue of the superintendent's role relative to collective bar-

gaining has not been given much consideration until recent years. As a matter of fact, the act of collective bargaining itself has been termed "an educational innovation."¹ Twenty years ago, a school district in which there was collective bargaining was an anomaly. Since the early 1960's, the growth of collective negotiations has been tremendous. In addition to the effects produced by the trend of increasing state legislation regarding collective bargaining, there was what Lieberman termed the "snowball" effect.² This phenomenon was produced as school boards and teacher organizations found it difficult to justify refusal to bargain collectively when other boards and teachers were doing so. In the years from 1966-67 to 1972-73 alone, there was a 550 per cent increase in the number of districts where there were collective bargaining contracts.³ With collective negotiations growing so rapidly, it is fair to say that discussion of the superintendent's role in collective bargaining was both new and, concomitantly, extremely crucial, to his role as educational leader of the school district. The informal process in which the superintendent had previously met with teachers and presented their salary schedule to them, and which they then readily accepted, was not to be confused with collective negotiations. It was not appropriate therefore to speak of the role of the superintendent in the collective

¹Raymond R. Troxell, "What Are the Ingredients of Successful Negotiations?" National Association of Secondary School Principals Bulletin, 61(January, 1977) 107.

²Myron Lieberman and Michael Moskow, Collective Negotiations for Teachers (Chicago: Rand McNally and Company, 1966), p. 59.

³Quoted in Roald F. Campbell, et al., The Organization and Control of American Schools (3rd ed.; Columbus, Ohio; Charles Merrill, 1975), p. 272.

bargaining process in the days prior to actual collective bargaining.

However, the overwhelming presence and growth of the collective bargaining process caused superintendents to be aware of newly required skills and abilities and newly defined roles and responsibilities vis-a-vis the board, the teachers, and the community at large. Forrest Conner, then executive secretary of the American Association of School Administrators, expressed his concern that superintendents realize the importance of developing skills in this emergent dimension to their roles. He wrote:

Experience has taught us that while most administrators are amateurs in negotiations--at least at the start--it is wise to shorten the learning time as much as possible and move into advanced stages of negotiation knowledge and expertise very rapidly.⁴

The time when superintendents could administer school districts without reference to the process of negotiations with teachers was gone. It became incumbent upon the superintendent to become aware, at the very least, of the implications for him and for the entire school district of the collective bargaining process. Although knowledge of implications of the process was a minimal prerequisite for superintendents to gain expertise in this dimension, astute superintendents realized that their success in this area would be facilitated by a wisely made decision concerning what their role in the process was to be.

A publication by the Illinois Association of School Boards indicated in no uncertain terms what it, as an organization, considered the

⁴Forrest Conner, "Basic Guidelines for Negotiations and the Role of the Superintendent," in Man in the Middle? The Superintendent of Schools, ed. by Lloyd Ashby (Danville, Illinois: Interstate Publishers, 1968), p. 85.

position of the superintendent to be in negotiations.

He (the superintendent) shall be responsible for the conduct of the negotiations.... It is quite clear that the superintendent's position, as stated in the School Code (Sec. 10-21.4), indicates his role and responsibility as agent of the board.⁵

Even if the superintendent chose to be directly involved in the negotiations process, or on the other hand, assigned this duty to others, he was to be responsible for the conduct of the negotiations. It was Wildman's position that the administrative duties and responsibilities delineated in the State Code for the superintendent were to include the process of negotiations. As a matter of fact, Wildman posited some advantages to having the superintendent actually conduct negotiations for the board.⁶ The negotiator was viewed as needing to possess knowledge of the overall educational process, as well as expertise in the collective negotiations process. Furthermore, he was viewed as needing to have access to information concerning state board and arbitrator rulings and interpretations and to have an understanding of social and industrial psychology. With the entire process of negotiations causing a shifting of emphasis from the superintendent's educational leader role to that of manager, the probability for the direct involvement of the superintendent in negotiations became more real. Actually, Wildman indicated that the actual board negotiator could be the superintendent, a board member, an attorney or an outside consultant, but that the negotiator's success was contingent upon his knowledge and skill not his particular position or profession.⁷

⁵ Wesley Wildman, When Boards Negotiate or Bargain (Springfield, Illinois: Illinois Association of School Boards, 1970), p. 16.

⁶ Ibid., p. 17.

⁷ Ibid., p. 18.

The position of the superintendent as the board's agent in negotiations, however, was not without its problems. When the interests of the teacher organization were different from those of the board, and the superintendent felt that there was merit in the teacher proposals, he was caught in a dilemma. As Lieberman put it:

Like anyone else caught between conflicting pressures, the superintendent would like to avoid antagonizing any major interest group. Thus there is a *prima facie* attractiveness in saying that the role of the superintendent in collective negotiations is that of a resource person, mediator, consultant, or neutral third party vis-a-vis the school board and teacher organization.⁸

Although there might be a certain degree of desirability in this position for those superintendents who did not enjoy conflict, it was not an easy one to maintain. The superintendent has a responsibility for administrative control over the district whether or not he participates in negotiations. Such control would be extremely difficult to maintain, if he were not involved at all in negotiations. If his involvement in negotiations was to be a neutral third party, the teachers would not be likely to accept that neutral status. Lieberman made this observation that, "The superintendent may 'advise' the teachers during negotiations, but since his advice will be interpreted as reflecting his position as executive agent of the board, teachers are not likely to accept its disinterested character."⁹ At a time when there was growth in teacher unionism, there was less of a proclivity on the part of teachers to look to the superintendent for advice in negotiations anyway. Instead, teachers looked to their own organizations for advice.

⁸ Lieberman and Moskow, Collective Negotiations, p. 375.

⁹ Ibid., pp. 376-377.

Knezevich was much more outspoken on what he considered to be the role of the superintendent. Collective bargaining was too important an area and had too much of a relationship to the other responsibilities of the superintendent for the superintendent to be uninvolved in the process. He believed that:

...the alternatives to the superintendent's involvement in direct negotiations with teachers would be more injurious to the image of the superintendent as educational leader and the development of effective administration than whatever loss may occur by his temporary assumption of an adversary role.¹⁰

He further asserted:

The avoidance of controversy in the name of something called unity of the educational profession results in loss for superintendent's tantamount to evisceration of the chief school executive's position in educational organizations.... The superintendent, therefore, must accept the challenge of representing the board in hard-nosed and often frustrating activity of hammering out significant personnel decisions in negotiating sessions with teachers' groups.¹¹

To indicate that the superintendent was responsible for representing the board was not necessarily the same as indicating that the superintendent was to participate in person in all bargaining sessions, however. What Knezevich was primarily concerned with was not that the superintendent actually participated in bargaining sessions, but that negotiations was considered part of the responsibility of the superintendent as chief executive officer and agent of the board.

A number of studies have been done on the role of the superintendent relative to collective bargaining. Not all superintendents viewed their role in the process in similar terms. One factor which seemed to

¹⁰Stephen J. Knezevich, Administration of Public Education (2nd ed.; New York: Harper and Row, 1969), p. 374.

¹¹Ibid., p. 375.

be related to the role of the superintendent in collective bargaining was whether or not the state had a statute regarding collective negotiation and what kind of statute it was. In a study conducted by Netusil and Mallas in 1971, the superintendents of randomly selected high school districts in Iowa, Nebraska, and Minnesota were studied to determine the role of the superintendent in contract negotiations when different variables such as laws of the state, size of the district, and educational level of the superintendent, were isolated.¹² The only variable which was found to have a significant effect on the role of the superintendent in collective negotiations was the laws of the state. Iowa had no statute regarding collective negotiations, Nebraska had permissive legislation, and Minnesota had mandatory legislation. Superintendents in Iowa viewed themselves predominately as advisors to both board and teachers, while a much smaller percentage did so in Nebraska. Rather, they viewed themselves more as advisors to the board only. In Minnesota, with mandatory legislation regarding collective bargaining, a large majority of the superintendents considered their role as advisor to the board only. It was significant, however, that an equivalent majority of superintendents in all three states considered the future role of the superintendent to be advisor to the board only.¹³ The implication was that the differences in the superintendent's role in collective negotiations related to the state statutes would be diminished, and that therefore it would be reasonable to expect that, in a state such as

¹²Anton Netusil and Kenneth Mallas, "State Legislation and Collective Negotiations," Clearinghouse, 47(May, 1973) 519-520.

¹³Ibid., p. 522.

Illinois with no legislation on the matter, superintendents would consider their primary role in negotiations to be advisor to the board only.

In a study quite similar to that of Netusil and Mallas, Hovda compared the perceptions of teachers, school board members and superintendents in small, medium, and large districts in Minnesota and Iowa concerning the role of the superintendent in collective negotiations.¹⁴ A questionnaire was sent to a school board member, teacher, and superintendent in 171 randomly selected schools in those two states. Hovda found that, while in 1967, medium and large school district superintendents and board members expected the superintendent to fulfill a mediator-interpreter role in negotiations, in his study in 1974, medium and large school district superintendents and board members expected the superintendent to fulfill the role of executive director. Small school district superintendents and board members, however, continued to perceive the superintendent as maintaining the dual role of executive officer to the school board and a member and leader of the professional staff. Hovda found no significant differences between Minnesota and Iowa personnel regarding their perceptions of the role of the superintendent. The major differences he found were in school size, as the superintendents of the larger school districts maintained a neutral or executive director role in negotiations, while in the smaller school districts, he maintained an advisor or mediator role. Hovda's findings did not confirm the 1971 study of Netusil and Mallas who found that the state statute was of much

¹⁴Clayton Allen Hovda, "The Superintendent's Role in Collective Negotiations as Perceived by Teachers, School Board Members and Superintendents in Iowa and Minnesota" (unpublished Ph.D. dissertation, University of Iowa, 1975), Dissertation Abstracts 36(October, 1975) 1949-50 A.

more significance than school size as related to the role of the superintendent in negotiations.¹⁵

The expectations held by school board members, teachers, and superintendents on the role of the superintendent in collective bargaining was the focus of a study by Windoes.¹⁶ Significantly, the study was conducted in the state of Michigan, where teachers have bargained under a labor law since 1965. In the study, Windoes sought to determine the superintendent's actual role in negotiations, the satisfaction of board members, teachers, and superintendents of the superintendent's role and their opinion as to the ideal role of the superintendent. He sent a questionnaire to an unstratified random sample of one-fifth of the 504 K-12 districts affiliated with the Michigan Education Association. Among his findings were that there was agreement among superintendents, board members, and teachers as to the actual role of the superintendent in negotiations, while there were differences among the three groups as to their satisfaction of the role of the superintendent and as to their preference for the ideal role. Board members were most satisfied with the present role of the superintendent, and teachers were the most unsatisfied. Both superintendents and board members agreed that the ideal role for the superintendent was to be the advisor to the board negotiators only. On this point, teachers failed to come to any agreement. Nevertheless, one of the implications that Windoes drew from his data was that the superintendent would be

¹⁵Netusil and Mallas, "State Legislation and Negotiation," p. 522.

¹⁶Frederic Charles Windoes, "Role of the School Superintendent in Collective Negotiations" (unpublished Ph.D. dissertation, Michigan State University, 1976), Dissertation Abstracts 37(December, 1976) 3336-3337A.

abandoning his role in instructional leadership by replacing it with a managerial role. With the managerial role posited for the future, there came a concomitant need for superintendents to be trained in organizational development, conflict management, and the politics of education so as to reduce the adversary effect of bargaining. One of the predictions made by Windoes was that future bargaining adversaries would be the teacher organization's negotiation professional versus the board or management's outside negotiation professional.

In yet another study of the role of the superintendent in collective bargaining in Michigan public school districts, Deal compared responses of forty superintendents who had the role of chief negotiator for the board with the responses of forty superintendents who had a nonnegotiating role in collective bargaining.¹⁷ He found that both types of superintendents were satisfied with their role in contract bargaining and did not differ on their perceptions of the frequency of actual leader behavior with their teaching staffs. This finding would imply that the managerial role as expressed in the superintendent being the chief negotiator did not obviate at least his perception of effective performance as instructional leader.

Whatever the actual role for the superintendent in negotiations, there was no question about the fact that the growth in collective negotiations had at least caused rethinking on the part of administrators. Whereas in the past the superintendent performed the function of inter-

¹⁷Kenneth Lee Deal, "The Role of the Superintendent in Collective Bargaining: A Comparison of Perceptions Held by Superintendents and Teachers with Respect to Role Satisfaction, Situational Conditions-Factors and Leader Behavior" (unpublished Ph.D. dissertation, Michigan State University, 1976), Dissertation Abstracts 37(August, 1976) 725-726A.

preter and mediator between the teachers and the board, the onset of collective bargaining diminished his two-hat role. He began to be viewed as the board's man and, in fact, as well as in theory, the board's chief executive officer.¹⁸ Nevertheless, Kanner viewed the superintendent as still possessing a dual role. Although continuing to be the board's chief executive officer, he would also take on the role of chief negotiator for the board. With his new role, the superintendent would be able to provide himself with the power through the organizational structure and strengthen administrative roles and develop better lines of communication with the teacher organization.¹⁹

In order to facilitate the progress of negotiations and concomitantly maintain status for the superintendent in his managerial role, Schmidt urged that "the board of education give the superintendent as broad an authority as possible to modify the terms and conditions of employment that affect administrative procedures.... He should be able to work alone with the negotiating team and unilaterally answer this type of demand."²⁰ Being given the responsibility of being in charge of the board's negotiations did not ipso facto make the superintendent the chief negotiator. In some cases, the superintendent was the chief negotiator, while in other cases, his directorship of the negotiation process did not require his participation as chief negotiator.

¹⁸Lawrence T. Kanner, "The Changing Role of Administration," National Association of Secondary School Principals Bulletin, 61 (April, 1977) 38.

¹⁹Ibid., 38-39.

²⁰Charles T. Schmidt, Hyman Parker, and Bob Repas, A Guide to Collective Negotiations in Education (East Lansing, Michigan: Michigan State University, 1967), p. 62.

Castetter proposed a negotiating team model with the superintendent as the team chairman. Although the superintendent was to have the single responsibility for negotiations, and although this provided for unity of command with all team personnel subordinate to the chairman, he was not necessarily the chief negotiator.²¹ He was, however, to coordinate for the board all activities and decisions involved in collective negotiations. Therefore, the role of the superintendent was necessarily to be in charge of negotiations, but in view of the complexity of the process, the superintendent's individual participation in negotiations was not sufficient to meet all of the increasing contingencies of the process.

One of the ancillary implications of the administrative team concept was that middle management personnel would be more closely identified with the position of the board and could contribute to the management side with items to be bargained, recommendations for changes in the contract, being resource participants in bargaining sessions and being reviewers of the tentative agreement being negotiated.²² In a further reference tangential to the team concept and the superintendent's relationship to it, Sickles, in a study of collective bargaining issues and strategies in Florida, concluded that the superintendent should work as executive officer to the board while providing direction to the board's team.²³

²¹William B. Castetter, The Personnel Function in Educational Administration (New York: The McMillan Company, 1971), p. 339.

²²Paul Salmon, "Are the Administrative Team and Collective Bargaining Compatible," Compact VI(June, 1972) 4.

²³Walter Sickles, "A Study of Issues in the Collective Bargaining Process in Public Schools and Alternative Management Strategies for Dealing with Those Issues" (unpublished Ph.D. dissertation, University of Florida, 1975), Dissertation Abstracts 36(June, 1976) 7797-7798A.

At the same time, Sickles concluded that the superintendent should not represent both board and teacher teams, act as chief negotiator for the board, assume a neutral position in negotiations, nor be a member of the board's table team.

One of the major factors which impinged on the thinking of administrators regarding the role of the superintendent in negotiations was how they viewed the entire bargaining process. A differentiated framework of four types of bargaining developed by Walton and McKersie was noted and described by Sergiovanni.²⁴ The first and most conventional type was distributive bargaining which was characterized by winning and losing. There was considered to be a limited amount of resources available, and as one side gained resources, it did so only at the expense of the other. Conflict resolution, not problem solving was the focus of distributive bargaining. The second type of bargaining was integrative bargaining, which was characterized by a problem solving orientation allowing an increase of influence to all parties involved. The third type, attitudinal bargaining, allowed both sides to view the other with trust and respect and as full partners in the educational process. The final type was intraorganizational bargaining which was the process of achieving flexible consensus within the administrative and teacher groups before bargaining actually took place. Sergiovanni proposed that the focus of future bargaining be integrative, which "relies heavily on power expressed in ability to think creatively to exhibit expert know-

²⁴Thomas Sergiovanni and Fred Carver, The New School Executive: A Theory of Administration (New York: Dodd, Mead and Company, 1974), pp. 122-126.

ledge and to advance viable solutions to educational problems."²⁵ The proposed focus of negotiations would encourage the superintendent to view his role in negotiations as one of an equal partner with the others involved in the process and not one of protecting a certain side's interests.

A study by Schmidt reinforced the major distinction between distributive and integrative bargaining.²⁶ She questioned administrators, board members, and teacher representatives in ten Illinois high school districts regarding their perceptions of the present state of negotiations in the district and the ideal framework for negotiations. One of her confirmed hypotheses was that the more the parties involved in negotiation viewed the relationship as adversary, the more the tendency to see the decision-making strategies as distributive, and conversely, the more the parties viewed the relationship as cooperative, the more the tendency to see decision-making strategies as integrative. In addition, she found that the more equal the strength of each party, the more cooperative the nature of the role structure. The role of the superintendent was influenced therefore by whether the model of bargaining was distributive or integrative. One example of this influence was if the superintendent and board viewed negotiations as distributive, but neither felt that the superintendent ought to be involved in a conflict situation, then the superintendent's role would only be indirect at most. On the

²⁵Ibid., p. 125.

²⁶Judith Elaine Schmidt, "Existing and Desired Collective Negotiations Relationships as Perceived by Administrators, Board of Education Members and Teachers in Selected Illinois School Districts" (unpublished Ph.D. dissertation, University of Illinois at Urbana, 1976), Dissertation Abstracts 37(April, 1977), 6202A.

other hand, if the superintendent and board viewed negotiations as integrative, then the superintendent and board would be more supportive of more direct involvement of the superintendent in negotiations.

Nevertheless, there was concern that superintendents received a sufficient amount of the proper kind of training to enable them to meet the challenges brought on by collective negotiations (which remained primarily distributive). In a study by Palin, he determined that there was a significant degree of administrative process components required for collective bargaining and that superintendents in Massachusetts overwhelmingly felt that the components should be a prescribed part of the training program for administrators.²⁷ The development and use of a team model in negotiations was proposed by Muller as a recommendation in a study conducted among large Iowa school districts.²⁸ Furthermore, he found a need for and an interest among administrators in developing well-defined, structured procedures to carry out negotiations. Training was considered necessary for administrators to develop the type of structure necessary for successful collective bargaining and for determining the proper role of the superintendent in that bargaining.

In conclusion, the role of the superintendent in collective bargaining is crucial. A superintendent who had successfully bargained four contracts in six years summarized the role of the superintendent as follows:

²⁷Norman Palin, "The Administrative Components of Collective Bargaining in Education and the Need for Training School Administrators" (unpublished Ed.D. dissertation, University of Massachusetts, 1975), Dissertation Abstracts 36(December, 1975) 3304-3305A.

²⁸Steven Muller, "A Management Communications Model for Collective Bargaining in Public Schools" (unpublished Ph.D. dissertation, University of Iowa, 1976), Dissertation Abstracts 37(February, 1977) 4757-4758A.

Even though the superintendent should not be the chief negotiator, he is the key person in negotiations. He alone is in the position to weigh and evaluate everything that is on the bargaining table. No one is as capable of determining what truly can be considered and granted. He must remain outside the extremities of aggression and defensiveness. Alone he can remain objective and view negotiations solely in terms of opportunities for the improvement of education for children. These are the public's schools established solely for the welfare of our children. To insist that this be maintained is the chief function of the superintendent of schools.²⁹

The preponderance of literature indicated that the superintendent was to have a leadership role in negotiations but that this role did not necessarily imply that he was to be chief negotiator or even be at the table. The specific role of the superintendent, when the chief negotiator was an outside professional, is to be discussed more fully in a later section of this chapter. At this point, however, one conclusion drawn from reviewing the literature was that the superintendent was not to abandon his leadership role during the process of collective bargaining. Therefore, he was to maintain, within the context of executive agent for the board, the implementation of the components of the administrative process with regard to the collective bargaining process.

Role of Board of Education in Collective Bargaining

The local board of education has been, in American history, a unique institution, in that it has been, in a sense, hallowed as an institution where the will of the people is expressed in an uncommonly direct manner. With numerous discretionary powers granted it by the state, as well as substantial mandated power, the local school board stands as a bastion

²⁹ Raymond R. Troxell, "What Are the Ingredients of Successful Negotiations?" National Association of Secondary School Principals Bulletin, 61(January, 1977) 102.

of local control, authority, and autonomy in an age when such local control over many political matters is diminishing. In keeping with that position of local control, school boards have in the past, felt reticent about engaging in collective bargaining with teachers when they were not forced to do so. From a school board's point of view, the negotiation process only served to erode what had traditionally been board prerogatives. Nevertheless, with the growth of collective bargaining legislation and teacher unionism throughout the country, school boards began to be concerned about and involved in the negotiation process. Even in states where there was no legislation on collective bargaining, many school boards began to enter into the process. Once the decision was made, or once the decision was made for them, school boards engaging in collective bargaining with teachers, were concerned with having the process be as productive as possible with a minimal abrogation of traditional board prerogatives. In other words, boards felt a responsibility to preserve, for the people, the power to operate and control the educational process within the district, while simultaneously developing and/or maintaining a climate of mutual trust and dependability between board and staff. To do that a structure for negotiations needed to be provided that would not:

...result in a significant loss of the board's power to make and implement policy in the district or in the loss of administrative discretion and flexibility necessary to operate the schools in an educationally sound and economic fashion.³⁰

Once a decision was made regarding the agreement of the board to enter into negotiations, one of the immediate problems was to determine

³⁰Wildman, When Boards Bargain, p. 6.

how to organize the board's negotiator(s). Wildman, through the Illinois Association of School Boards recommended that a unified control of negotiations be established by the board.³¹ One person was to be in charge, and all other members of the negotiating team were to make suggestions to him and not to the opposite side. Caucuses were proffered as the place for resolution of conflict on the team so that a unified position by the board could be maintained. As to the role of the board in the actual process of negotiations, Wildman was quite clear on his advocacy of the position that the Board itself not enter into direct table negotiations.³² Any direct confrontation, he felt, should be reserved only at the time for approval or rejection of the agreement. While bargaining was actually in progress, he indicated that the board had a responsibility "to be kept advised of the progress of negotiations, give advice and counsel to the negotiating team and establish a framework within which they can operate without requiring approval for every item."³³ Such indirect involvement provided a degree of objectivity necessary for the board's ultimate decision-making power concerning the acceptance or rejection of a contract.

Although boards differed on what their table involvement in negotiations was, there was no lack of concern about the implications or potential results of collective bargaining. Boyd expressed his feeling by writing the following, "It is likely indeed that the most momentous struggle affecting the control of school policy during the next ten years will be fought out over the extent to which teachers' associations will be allowed to make policy."³⁴ However, it was not recommended that boards

³¹Ibid., p. 12.

³²Ibid., p. 16.

³³Ibid., p. 16.

³⁴William Boyd, "The Public, the Professionals, and Educational Policy Making: Who Governs?" Teachers College Record, 77 (May, 1976) 573.

be directly involved in negotiations to maintain this prerogative. As a matter of fact, Troxell feared that direct involvement would prevent the board and superintendent from being "free to perform their essential function, establishing and executing policy and directing the overall operation of the school district."³⁵ Because of the limited time available to most school board members and the essentially unlimited time needed for negotiations, boards which spent their time in direct negotiations had little time left to perform their primary function and role of establishing policy. The fact that negotiations was such a time consuming process, did not obviate the board from assuming its responsibility to control the process in the public interest. Actually, with the board not being involved in direct table negotiations, the opportunity was provided for the board to be a source for its representatives on the bargaining team to go back to for further guidance and authority.³⁶ One of the leading experts in the country on school board negotiations, Richard Neal, suggested that school boards would need to delegate negotiations to a negotiating team of three to five members if they were to continue to enjoy their legislative freedom in policy making.³⁷

Among the conclusions of the study by Sickles were that although the boards should remain away from the table during negotiations, they should approve their bargaining team, establish guidelines and limits and give the team authority to act, and that the board's table team

³⁵Troxell, "Ingredients of Successful Negotiations," p. 102.

³⁶Ibid., p. 102.

³⁷Richard G. Neal, "The Impact of Collective Bargaining on Education," Compact 6(June, 1972) 11.

should not include board members.³⁸ In another study, Oliver sought to determine what role board members in Oklahoma took during negotiations.³⁹ He found that only one-half of the board presidents queried felt that board members should serve on the board's table team, although a majority of them agreed that the board should remain the ultimate decision-making authority for the district, and that regular status reports should be required by the board from the team representing the board. There was not much intensive support for involving the board at the table. One of the fears expressed by Flygare of direct board involvement at the negotiations table was that if the board were directly involved, and the teachers could win the support of a sympathetic board member, the board's position on any given issue would be no stronger than the views of the weakest member.⁴⁰ Lieberman had the same concern as he warned, "Teachers often try to identify the board member who's seeking personal publicity, who wants to be the good guy or who just is careless. They then use that individual to maneuver the board's team into a corner."⁴¹

The problem of the amount of time needed for negotiations as a factor in discouraging direct board involvement was extensive in the literature. Knezevich felt that "board members, as lay individuals without

³⁸Sickles, "Issues in Collective Bargaining," 7797.

³⁹Clarence Oliver, "The Role of the School Board Member in Professional Negotiations as Perceived by School Board Presidents in Oklahoma" (unpublished Ed.D. dissertation, University of Tulsa, 1976), Dissertation Abstracts 37(August, 1976) 749-750A.

⁴⁰Thomas Flygare, Collective Bargaining in the Public Schools (Bloomington, Indiana: Phi Delta Kappa Educational Foundation, 1971), p. 30.

⁴¹Myron Lieberman, "How to Pick Your Bargaining Team and How Much Authority to Give It," American School Board Journal, 162(August, 1975) 36.

special preparation in negotiation or in administration, and usually with full-time occupations outside education, have neither the skills nor the time to participate directly in negotiations."⁴² He was of the opinion that boards were to look to the superintendent for direction, advice and counsel. The observation was made by Campbell that the principal parties in negotiations are the board, which has the legal authority to make policy decisions and the teachers' association which seeks to influence those decisions. Nevertheless, because of the increasing complexity and time consumption of the process, boards have shown a tendency to delegate the responsibility.⁴³ The delegation of the responsibility has been to superintendents, administrative committees, or outside negotiators for example. Grieder, Pierce and Jordan noted that lengthy bargaining sessions were too time-consuming for board members, and they recommended that regular school employees actually bargain for the board.⁴⁴ They were opposed to using outside negotiators because they regarded such use as an abdication of local responsibility. Nevertheless, if outside negotiators were used, school administrators, they felt, were to be used as resources in negotiations. A similar position was expressed by Charles Schmidt, who was a lecturer in Labor and Industrial Relations at Michigan State.⁴⁵ He indicated that the use of outside negotiators was an abdica-

⁴²Knezevich, Administration of Public Education, p. 374.

⁴³Roald F. Campbell, Edwin Bridges, and Raphael Nystrand, Introduction to Educational Administration (5th ed.; Boston: Allyn and Bacon, 1977), p. 262.

⁴⁴Calvin Grieder, Truman Pierce and K. Forbis Jordan, Public School Administration (3rd ed.; New York: Ronald Press, 1969), p. 347.

⁴⁵C. Schmidt, Guide to Collective Negotiations, p. 49.

tion of the responsibility for bargaining that the school board possessed. However, more importantly for the discussion here, Schmidt believed that board members themselves did not have sufficient time and experience to participate effectively in actual bargaining sessions and that their attendance diminished the authority and effectiveness of the appointed chief negotiator.

Even though there were questions about the board actually participating in negotiation sessions, there was abundant evidence that the board had a real and direct responsibility in planning for negotiations. As a matter of fact, Schmidt termed the preparation for negotiations as the most significant role for the board.⁴⁶ The preparation period involved the board in working with the superintendent and negotiating team to provide specific guidelines to use in negotiations. These guidelines were to prescribe the objectives and goals of negotiations, while also very clearly delineating the limits and what the board was not willing to concede. The board was subsequently to be involved along with the superintendent and negotiating team in assessing and determining the tactics to be used, in developing a list of demands on the employee organization, in anticipating the demands of the employees, in deciding the priorities of their demands, in setting a specific economic package within which the negotiators operate and finally in writing a model agreement.⁴⁷ With that planning responsibility on the part of the board completed, the negotiating itself was to be left up to the negotiating committee. However, Schmidt advised boards to be available on short notice during negotiations to make decisions on new demands exceeding the limits

⁴⁶Ibid., p. 50.

⁴⁷Ibid., pp. 50-51.

previously established.⁴⁸ As was noted earlier, it was recommended that the board give the superintendent as much latitude as possible so as to minimize the need for calling the entire board together.

The importance of preparation for negotiations by the board was reinforced by Castetter who wrote:

"The need for sophistication at the bargaining table, based on extensive and careful preparation, is no longer a debatable matter for boards of education, who are aware of the time needed to gather facts, relate them to issues, decide strategy, and complete budget planning after contract settlement."⁴⁹

Among the ways he suggested that a board become prepared were to collect data regarding the existing agreement, comparison with other contracts, grievances and arbitration, the review of negotiation techniques and analysis of teacher organization proposals. He suggested that the board delegate this responsibility to the administrator in charge of the personnel function. The specific involvement of the board in the negotiations was to be through the negotiations policy committee, the composition of which was to include board members along with administrative personnel and professional negotiators and consultants. The team approach was considered the most advantageous in terms of possessing the kinds of diverse knowledge, skills and abilities collectively needed to arrive at satisfactory agreements.⁵⁰

Davis and Nickerson made the observation that many boards were reticent about getting involved in collective bargaining even to the point of engaging in activities "bordering on the illegal in an effort

⁴⁸Ibid., p. 62.

⁴⁹Castetter, Personnel Function, p. 334.

⁵⁰Ibid., p. 339.

to forestall the inevitable."⁵¹ Nevertheless, they listed several steps which a board could take to utilize negotiations as an effective instrument for improved instruction.⁵² Among them were the necessity of the board procuring competent assistance in providing training to the board on the concepts, objectives and principles of negotiations, of the board and administrative staff being certain of the educational objectives they wished to accomplish and of the board developing strategies for bargaining. The strategies were to be based to a large degree on carefully developed management positions which were related directly to established educational objectives. Their final recommendation was that a negotiating team consisting of the superintendent, one board member and negotiator determine the tactics of negotiation. It was most important that boards have adequate planning for proper participation in negotiations. An unprepared board was, in fact, counterproductive to the success of the bargaining process.

Boards most effectively utilized the negotiations process when they were clearly aware of what their role and position were in the process. As Lieberman pointed out, it was a fallacy for boards to assume that procedural equality at the bargaining table between boards and teacher groups was the same as bargaining power.⁵³ The role of the board in negotiations was to be ultimately responsible for the process while not participating directly in it at the table--or at least participating only in an indirect

⁵¹Donald Davis and Neal Nickerson, Critical Issues in School Personnel Administration (Chicago: Rand, McNally, 1968), pp. 100-101.

⁵²Ibid., p. 101.

⁵³Lieberman and Moskow, Collective Negotiations, p. 262.

manner. Echoing the views expressed by many others, Lieberman asserted, "They (board members) cannot typically devote much time to negotiations, and most would be unprepared and inexperienced to serve as negotiators."⁵⁴ As a matter of fact, Lieberman indicated that the first and easiest decision that a board had to make relative to collective bargaining was--"No member of your school board is going to do any of the actual bargaining with the teacher union."⁵⁵

In summary, the thrust of the literature examined was that the role of the board in negotiations was, through delegation of its authority to qualified personnel and through careful planning, to continue to exercise its considerable power while concurrently, due to time constraints and limitations of inexperience, avoid in a direct way, the actual bargaining process itself.

Role of Professional Negotiator in Collective Bargaining

As has been indicated in the first two sections of this chapter, the literature suggested that neither superintendent nor board was to do the actual negotiating with the teachers. Even though there were several alternatives to having the superintendent or the board performing the chief negotiating function, this study was concerned primarily about the factors that impinge upon and administrative implications related to one of the alternatives--the employment of an outside negotiator by the board to do the actual bargaining. The focus was on those districts in which the outside negotiator was hired to fulfill the role of chief negotiator

⁵⁴Ibid., p. 272.

⁵⁵Lieberman, "How to Pick Your Team," p. 33.

and not just to act as a consultant.

Because of the highly complex and specialized process that negotiations had become, many boards felt that the use of an outside negotiator was a most appropriate response on their part. Neal countered a number of criticisms or questions raised regarding the employment by the board of an outside management negotiator.⁵⁶ Furthermore, Neal felt that the skills and knowledge that a negotiator brought from other negotiating experiences would more than offset any lack of knowledge of local affairs. It was the epitome of fiscal responsibility for a board to employ a negotiator who could save the district more than he would cost. He would save resources in two major ways: (1) by knowing how to negotiate for minimal expenditures of direct funds and (2) by knowing how to write language in the agreement, which would minimize problems demanding the time of administrative personnel. Therefore, the expenditure for payment to the negotiator was considered a sound and wise use of district resources. One concern which Neal countered most emphatically was the possibility of the board relinquishing control over negotiations when an outside negotiator was employed. He indicated that the use of the negotiator would allow the board to maintain more control by being protected from direct confrontation which weakened the board's position. There was an assumption that the board gave the negotiator direction and did not allow him to exceed his authority. The expertise, efficiency and absorption of negotiation hostilities which the negotiator brought to the board served to enhance the board's position. Neal stated, "If a school board is to protect the taxpayer, the policy-making powers of the board and the

⁵⁶ Neal, "Impact of Collective Bargaining," pp. 11-12.

executive powers of the board's administrators, then the board is obligated to seek expert assistance in negotiations."⁵⁷

The position and role of the chief negotiator is a very crucial one in bargaining. Koerner and Parker declared the following: "It's important in the conduct of negotiations to understand that one person be responsible for talking at the bargaining table. Although a team of negotiators represents the school board, only the chief negotiator should actually speak and bargain with the other side."⁵⁸ This sentiment was echoed by Wildman, who wrote, "One person should be placed in charge and all other members of the negotiating team should make suggestions to him and not to the other side."⁵⁹

To find a negotiator who would best meet the needs of a school district and fulfill a role in collective bargaining that best utilized his talents and expertise was no small task. Lieberman expected the superintendent to make recommendations on who the chief negotiator was to be, based on a determination by the superintendent of the experience and past success of that negotiator.⁶⁰ Once the board, with the recommendation of the superintendent chose the negotiator, that person was to have significant input into the composition, size and strategy of the bargaining team. As a matter of fact, Lieberman warned:

A board and superintendent who cannot agree to let their negotiator offer his own set of recommendations are better off muddling through

⁵⁷Ibid., p. 12.

⁵⁸Thomas Koerner and Clyde Parker, "How to Play for Keeps at the Bargaining Table," Compact 6(June, 1972) 16.

⁵⁹Wildman, When Boards Bargain, p. 12.

⁶⁰Lieberman, "How to Pick Your Team," p. 33.

the bargaining without expert help (at least there will be no doubt about whom to blame for the disaster that is likely to ensue).⁶¹

The responsibility for the public relations function also fell to the chief negotiator according to Lieberman. The negotiator was to have the authority to determine what communications were to be sent to whom. In the selection of the bargaining team, the chief negotiator was to be allowed to make recommendations, though the superintendent and board had the responsibility for questioning the negotiator to ask the rationale on his choices. The role of the superintendent and board was to help the negotiator put together the best bargaining team possible by asking tough questions on his choice. Once the bargaining process was under way, the bargaining team was to have authority delegated to it by the board to agree to items not exceeding the fiscal limit by the board, impairing managerial efficiency significantly nor raising a political or community issue. The chief negotiator was to be aware of problems in any areas which needed to be referred to the board for action. In order to facilitate the smoothest possible operation of the process, communication between the board and the team was to be given the highest priority. Without communication there was a legitimate question as to the degree to which the board could exercise wisely and judiciously its ultimate control over the negotiations process.

Not all writers felt that the outside negotiator should possess the degree of latitude and authority implied by Lieberman. Castetter, for example, approved the use of the negotiator only if he were subordinate to the chairman of the negotiating team--the superintendent.⁶² Further-

⁶¹Ibid., p. 33.

⁶²Castetter, Personnel Function, p. 340.

more, the negotiator needed to possess the primary negotiating skill of being able to persuade the other side about the soundness of the board's position. Knezevich was also concerned that the negotiator be subordinate to the superintendent.⁶³ He regarded a system where the superintendent and negotiator maintained coordinate positions and both reported to the board independently as a dual system of administration. Having more than one person report directly to the board was a violation of the principle of the chain of command. It was the role of the board to insure that the negotiator assumed his position as a subordinate to the superintendent.

A number of studies were done on the role of the negotiator in collective negotiations. Although research was replete with studies on the role of the negotiator, and to a lesser extent on the selection of the negotiator and the board's and superintendent's participation in the process, it was practically devoid of studies relating to the evaluation of the negotiator and the board's and superintendent's involvement. A study by Lyden attempted to examine the role and effectiveness of professional outside negotiation specialists in twenty-two selected Ohio school districts.⁶⁴ He found that the major reasons for the employment of a negotiator were: a need for expertise in negotiation not available from the administrative staff; the incompatibility of the superintendent being both chief negotiator and educational leader; and the time consump-

⁶³Knezevich, Administration of Public Education, p. 374.

⁶⁴Richard Lyden, "The Use and Efficacy of an Outside Negotiation Specialist by Boards of Education in Selected Ohio Schools" (unpublished Ph.D. dissertation, Miami University, 1974), Dissertation Abstracts 35(January, 1975) 4084-4085A.

tion involved in the negotiation process which prevented the superintendent from performing other administrative tasks and duties. Furthermore, he discovered through questionnaire responses from district personnel that although the superintendent remained away from the bargaining table, he continued to be intimately involved in negotiations, and his position with the board was in fact protected and enhanced. Lyden concluded from the data that the superintendent did not lose status or influence with his board when a negotiator was employed. There was, however, some ambiguity between superintendents, board presidents, and negotiators as to whether the negotiator was directly responsible to the board or indirectly through the superintendent. Once the bargaining process began, boards generally established broad limits on economic issues early in negotiations, with the negotiator being given latitude in exercising authority within those limits. Although Lyden did not investigate the role of the board and superintendent in evaluating the negotiator, he evaluated the use of the negotiator as a positive contribution to improved teacher, board, and administration relationships, and a major factor in correcting the ineptness and inexperience at the bargaining table.

In a study of randomly selected Pennsylvania school districts, Loviscky found that approximately forty per cent employed a professional negotiator, and that there was a relationship between the size of the district and whether a negotiator was employed.⁶⁵ The reason which was given most frequently for employing a professional negotiator was to

⁶⁵Charles E. Loviscky, "The Effects of the Professional Negotiator on Teacher-School Board Negotiations as Perceived by Superintendents in Selected Pennsylvania School Districts and Indicated by Selected Variables" (unpublished Ed.D. dissertation, Ball State University, 1974), Dissertation Abstracts 35(December, 1974) 3352-3353A.

reduce teacher-administration tension. It was significant that Lovisky determined that over ninety per cent of the superintendents surveyed were satisfied with the negotiator, although in general, the use of a negotiator delayed the date of contract agreement and increased the possibility of arriving at impasse. It appeared that the superintendent's evaluation of the negotiator was influenced in large measure by the benefits received by the superintendent in terms of not being directly involved in the process.

The use of negotiators in bargaining roles in New Jersey public school districts was the subject of a study by Howlett.⁶⁶ He sent a questionnaire to the superintendent and teacher organization president in each of New Jersey's public school districts. One of his findings was that the utilization of a professional negotiator by one side was not significantly related to whether or not the other side had employed a negotiator. In addition, he found that when a negotiator was employed, he was given the role as chief spokesman and consultant. He was most often utilized not only during negotiations itself, but in the planning for it.

An added dimension to the decision of the board selection of a negotiator was studied by Davis.⁶⁷ He investigated the reaction of public and private sector negotiators to board actions taken during a strike. Significantly, he found that in some cases, both public and private

⁶⁶Douglas Withey Howlett, "The Bargaining Roles of Outside Professional Negotiators Including a Study of the Agreements Negotiated in New Jersey Public School Districts" (unpublished Ed.D. dissertation, Temple University, 1976), Dissertation Abstracts 37(July, 1976) 65-66A.

⁶⁷Richard Eugene Davis, "Negotiators' Evaluation of Board Action During Teacher Strike" (unpublished Ph.D. dissertation, Purdue University, 1976) 37 (April, 1977) 6170A.

sector negotiators disagreed with board action taken, while in other cases, only private sector negotiators disagreed. A major implication of this study was that school boards needed to determine as much as possible the viewpoint and perspective of the negotiator prior to the board's selection of the negotiator so that major differences of opinion on the proper bargaining approaches or methods between negotiator and board did not impede negotiations progress. Another implication was that once a compatible negotiator was found, the board had the responsibility to ask for and respond to advice given by the negotiator regarding the proper and most appropriate board action.

The concern of Davis over whether or not boards hired negotiators who had similar viewpoints was amplified by and approached from a different perspective by Bush.⁶⁸ He examined the differences which existed between professional negotiators' role expectation for themselves in collective bargaining and the role expectations held for them by superintendents and school board presidents in forty-one selected Indiana school districts. Using a questionnaire with board presidents, superintendents, and negotiators, he found significant differences between superintendents' expectations of the negotiator's role and the negotiators' expectations of the negotiator's role. The same result was evident in comparing the expectations of board presidents and the negotiators regarding the negotiator's role. However, there were no significant differences between the expect-

⁶⁸ Frank A. Bush, "Role Expectations for Professional Chief Negotiators as Perceived by Superintendents, School Board Presidents, and Professional Chief Negotiators in Selected Indiana School Corporations" (unpublished Ed.D. dissertation, Indiana University, 1976), Dissertation Abstracts 37(February, 1977) 4731-4732A. The study was also reported in Frank A. Bush, "Professional Chief Negotiators: Consensus and Contradiction in Role Expectations," Viewpoints 52(November, 1976) 21-32.

tations of the superintendents and board presidents regarding the role of the negotiator. The specific areas where there were differences were public relations, school management and bargaining procedure. There were no major differences among the three groups regarding the personal characteristics of the negotiator. The potential for role conflict existed as differences between the superintendents' and boards' expectations of the negotiator as a PR man and not as a school management consultant and the negotiator's expectation of his role in the same areas. Interestingly, Bush found that though there was much potential for role conflict, in reality there was very little. Since there was a lack of role conflict, the basis for satisfactory performance by negotiators and positive evaluation of the negotiators by superintendents and board presidents was not related to the differences in role expectations. Bush did not investigate the specific basis on which the performance of the negotiators were considered satisfactory or acceptable.

In summary, the related literature and the research suggested that the negotiator was to have a significant role in the collective bargaining process, though that role was not to preempt the ultimate authority of the school board nor the superintendent to act as agent of the board. The negotiator was to operate under the direction of the board and superintendent. The dearth of relevant studies regarding the evaluation of the negotiator was noted and was itself lamentable. However, such literature and research as was available on the role of the superintendent and board in the selection, use, and evaluation of the outside negotiator served as relevant and invaluable background for this study.

The Administrative Process

The administration of public schools can be viewed from more than one perspective. One approach is to visualize it in terms of the tasks which a school administrator is responsible for performing. In this task perspective, the emphasis is on getting as comprehensive a list as possible of the jobs that administrators are to do and then describe in detail the necessary components to the successful completion of such tasks. Another way of viewing administration is to visualize it in terms of the processes used to make, implement and evaluate decisions. What the administrator does, or the functions which he performs are examined in relationship to that process. The American Association of School Administrators defined educational administration as, "the total of the processes through which appropriate human and material resources are made available and made effective for accomplishing the purposes of an enterprise."⁶⁹ Within this context, school administration can be thought of as having the general function of ordering means to ends.⁷⁰ Consequently, the administrative process is regarded as the specific kinds of activity necessary to bring about the ordering of means to ends.

The administrative process exists more in the abstract conceptual level than in the level of observed phenomenon.⁷¹ As Halpin indicated,

⁶⁹American Association of School Administrators, Staff Relations in School Administration (Washington, D.C.: American Association of School Administrators, 1955), p. 17.

⁷⁰Ellis A. Joseph, The Predecisional Process in Educational Administration (Homewood, Illinois: ETC Publications, 1975), p. 12.

⁷¹Campbell, Bridges and Nystrand, Introduction to Administration, p. 166.

"An outside observer can never observe 'process qua process'; he can observe only a sequence of behavior or behavior-products from which he may infer 'process'."⁷² Nevertheless, once the specific components of the process are delineated, a structure for viewing the activity and function of administrators is available. This study approached the role and activity of the superintendent and board in the selection, use, and evaluation of professional negotiators, not within the context of assigned administrative tasks, but within the context of the administrative process as outlined by Campbell.

The superintendent is generally regarded as the chief executive officer of the board and as such has the primary responsibility for implementation and administration of board policy. The administrative role of the superintendent and the policy making role of the board are regarded as separate and distinct. The board, through its policies, establishes the ends of an organization, and the superintendent then has the responsibility for ordering means to the established ends. In theory, then, the administrative process would explain and provide structure for examining the work of the superintendent much more than the work of the board. However, in practice the distinction between the policy-making and administrative functions is not always apparent. In actuality, the school board is the ultimate administrator of the school district. Schmidt and Vos reinforced the administrative role of the school board by writing:

Boards are warned continuously of the disruptive effects which result

⁷²Andrew Halpin, "A Paradigm for Research on Administrative Behaviour," in Administrative Behavior in Education, ed. by Roald F. Campbell and Russell T. Gregg (New York: Harper and Brothers, 1957), p. 195.

from meddling in administrative matters. Although no clear lines are ever drawn to distinguish between what is policy and what is administration, the implication is that administrative matters exempt from board interference are what the superintendent says they are (when in fact, the legal authority for administrative decisions rests solely with the board).⁷³

If a board chooses to delegate all of the administrative function to the superintendent, then that board is not directly involved in the administrative process. If however, that board chooses to retain administrative prerogatives in certain areas, then in those areas, at least, it is possible to view the activity of the school board within the context of the administrative process. Zald made the observation that, "it is during the handling of major phase problems, or strategic decision points, that board power is most likely to be asserted."⁷⁴ The area of contract bargaining was regarded as such a major phase problem. Boyd termed the attempt by teacher associations to make policy through contract bargaining as the "most momentous struggle" affecting the board's control of school policy making that boards would be faced with in the next ten years.⁷⁵ It was because of an awareness of such a possibility that this study included an investigation of the board's activity in the selection, use, and evaluation of a negotiator with the structure provided by Campbell's administrative process. There was not an attempt to make a value judgment as to whether or not boards should have been involved in the administrative process, but only an attempt

⁷³Paul Schmidt and Fred Voss, "Schoolboards and Superintendents: Modernizing the Model" Teachers College Record 77(May, 1976) 519.

⁷⁴Mayer Zald, "The Power and Function of Boards of Directors: A Theoretical Synthesis," American Journal of Sociology 75(July, 1969) 107.

⁷⁵William Boyd, "The Public, the Professional, and Educational Policy Making: Who Governs?" Teachers College Record 77(May, 1976) 573.

to determine if, in fact, boards had utilized the administrative process.

The literature from professional school board organizations indicated that at least superintendents preferred not to have boards acting in an administrative capacity. A publication of the Illinois Association of School Boards suggested that the board was not to assume administrative authority, and the administrator was not to make policy.⁷⁶ Writing in the American School Board Journal, an Illinois superintendent warned school boards to let the superintendent administer their (board) policies in order to hold the superintendent accountable if for no other reason.⁷⁷ Reporting the findings of an American School Board Journal questionnaire survey of superintendents, Mullins wrote, "School board members, superintendents complained as they have complained for years, are unable to separate their own policy-making function from the administrative function of the superintendent."⁷⁸ The fact that there was so much apparent opposition to board involvement in administrative matters was an indication of the possibility that school districts were in fact being administered by both board and superintendent. McCordic echoed this sentiment by writing, "The body corporate encompasses both elected and professional elements and both are essential to all aspects of the administrative

⁷⁶ Illinois Association of School Boards, Guidelines for Effective School Board Membership (Springfield, Illinois: Illinois Association of School Boards, 1976), p. 10.

⁷⁷ Charles Fowler, "How to Let (and Help) Your Superintendent Be a Superintendent," American School Board Journal 162(September, 1975) 21.

⁷⁸ Carolyn Mullins, "The Ways that School Boards Drive Their Superintendents Up the Wall," American School Board Journal 161(August, 1974) 18.

process and to the orderly conduct of board business."⁷⁹ This study sought to determine to what extent both utilized the administrative process in the specific area of the selection, use, and evaluation of a professional negotiator.

The administrative process, as a means of viewing the work of administration began to be developed in 1916 with the writing of Henri Fayol.⁸⁰ He delineated five basic elements or components of the administrative process which he felt were common to all types of organizations. There was no specific application of the components (planning, organization, command, coordination, and control) to school administration since Fayol's background and primary concern were in industry. In 1937, another major contribution was made to the development of the administrative process through the work of Luther Gulick, whose answer to the question of what the chief executive does was POSDCORB. This acronym stood for the following: Planning; Organizing; Staffing; Directing; Co-ordinating; Reporting; and Budgeting. Gulick believed that his analysis was, "a valid and helpful pattern, into which can be fitted each of the major activities and duties of any chief executive."⁸¹ Once again, however, Gulick was not primarily concerned about school administration.

It was not until the 1950's that major study began in the field of educational administration to analyze and apply the administrative pro-

⁷⁹W. J. McCordic, "Who's Making the Decisions and How?" Education Canada 14(December, 1974) 49.

⁸⁰Knezevich, Administration of Public Education, p. 26.

⁸¹Luther Gulick, "Notes on the Theory of Organization," in Papers on the Science of Management, ed. by Luther Gulick and L. Urwick (New York: Institute of Public Administration, 1937), p. 13.

cess to describe the work and activities of school administration.⁸² For example, Sears in 1950 concluded that there was no reason to differ from the administrative process components of Fayol to describe the activity of school administrators.⁸³ Since that time there have been a number of descriptions of the administrative process as applied to the work of the school administrators, although there has been a remarkable similarity among all of them and between the later education oriented descriptions and the earlier general descriptions of Fayol and Gulick.⁸⁴

The specific components of the administrative process used for this study were those developed by Campbell. They are: Decision-making; Programming; Stimulating; Coordinating; and Appraising.⁸⁵ However, due to the aforementioned similarity with other descriptive term lists of the components of the administrative process, sources in addition to Campbell were used to amplify those components.

The first component--Decision-making--was one of the more recent additions in the development of the administrative process. However, Campbell demonstrated his concern for its importance by placing it first among the components of the process. His concern in decision-making was the decision which was based on rational deliberation,

⁸²Russell T. Gregg, "The Administrative Process," in Administrative Behavior in Education, ed. by Campbell and Gregg, p. 271.

⁸³Jesse Sears, The Nature of the Administrative Process (New York: McGraw-Hill, 1950), p. ix.

⁸⁴Nine separate descriptions of the administrative process are presented in tabular form in Knezevich, Administration of Public Education, p. 28.

⁸⁵Campbell, Bridges, and Nystrand, Introduction to Administration, pp. 165173.

careful diagnosis of the situation and a thorough consideration of the means used to achieve given ends. It was not based on an irrational whim by the decision-maker. Problem analysis and decision were the two major aspects of rational decision-making. Finding the cause of the difficulty was considered the task of problem analysis, while selecting a course of action designed to eliminate the problem or reduce its negative effects was considered the task of decision. A description or identification of the problem was necessary first. This description or identification was to be followed by a clear understanding of the cause of the problem. Without a definite identification of the problem and the cause of that problem, there was no true analysis of the problem. Since the analysis was a necessary prerequisite for the decision to follow, the decision-making component was incomplete without it according to Campbell. Once the problem was completely and properly analyzed, the administrator then moved into the actual decision.

Making the actual decision was to be accomplished only subsequent to a consideration of alternative courses of action. The basis on which a particular alternative course of action was chosen was the degree to which it yielded the most favorable consequences with the least, or a minimum of negative consequences. Input from all those who would be knowledgeable about the consequences of various alternatives was strongly advised, if the decision was going to be completely rational. Viewed in this context, decision-making is a result of activity and involvement of the total organization, not just one administrator.

Decision-making as viewed by Gregg was quite similar to Campbell's

description.⁸⁶ Gregg saw it as being composed of six steps: (1) clear comprehension of the purpose or goal; (2) all possible facts, opinions and ideas pertinent were assembled; (3) analysis and interpretation of the data were made in the light of sound judgment; (4) analysis and interpretation led to formulation of alternatives; (5) alternatives evaluated in the light of possible effectiveness in achieving goal; and (6) best alternative chosen. The concept of a decision being a conscious choice from a well-defined set of alternatives was also crucial to Knezevich's understanding of decision-making. He saw its purpose as stimulating moves or actions or influencing behavior in the organization.⁸⁷ The basis upon which the decision was made was also a major concern. Many factors entered into the actual decision-making process, resulting in the decision not being in the best interests of the organization. As Sharples wrote, "The rationality of a decision is determined not only by the stated objectives of the organization, but also the self-interest of the decision-maker."⁸⁸ Not only was the self-interest of the decision-maker a factor, but also the degree to which social and political consequences of the decision were considered. Sharples feared that basing the decision solely on fiscal criteria would eventually result in a greater expenditure of human and material resources in order to compensate for problems arising in the social and political life of the organization when consequences in those areas were not considered

⁸⁶ Gregg, "The Administrative Process," pp. 275-281.

⁸⁷ Knezevich, Administration of Public Education, p. 32.

⁸⁸ Brian Sharples, "Rational Decision-Making in Education: Some Concerns," Educational Administration Quarterly XI (Spring, 1975) 57.

in the decision-making process.⁸⁹ There was a relationship between being aware of the self-interest of the decision-maker and the political and social consequences of the decision. The orderly execution of the decision-making component of the administrative process depended on how well the decision-makers were able to anticipate the consequences of their decisions in the total organizational life of the school district.

Closely related to the decision-making component was the planning component of the administrative process. Although Campbell did not provide for planning qua planning component, much of what he included under the decision-making component was included under the planning component by other authors. Gulick defined planning as "working out in broad outline the things that need to be done and the method for doing them to accomplish the purpose set for the enterprise."⁹⁰ Gregg regarded planning as the intelligent preparation for action, with the whole scheme being laid out in advance of the decision.⁹¹ In order for this kind of planning to occur, research was a necessity. It was only when a complete and thorough knowledge of the consequences of a decision were obtained, that proper planning could assist in making comprehensive and rational decisions as outlined by Campbell. Castetter indicated that the problems or questions sought to be answered in the planning component were: "What was the present and future goals and subgoals of the organization? What plans of action should be developed to attain the goals? What

⁸⁹ Ibid., 65.

⁹⁰ Gulick, "Notes on Theory of Organization," p. 13.

⁹¹ Gregg, "The Administrative Process," pp. 281-286.

policies, processes and procedures are necessary to guide the plans of action?"⁹² The American Association of School Administrators indicated that those involved in planning would be: (1) defining and clarifying the purposes and scope of their operation; (2) investigating conditions affecting the achievement of the purposes; (3) analyzing the facts to forecast the effects of possible courses of action on the achievement of the purposes; and (4) making the decision based on knowledge gained from the first three points.⁹³ Knezevich defined planning as "purposeful preparation culminating in a decision which serves as the basis for subsequent action."⁹⁴ Planning, consequently, provided the structure with which to view the future effects of a decision alternative on the organization. Therefore, decisions had to be made on the basis of adequate planning, if they were truly to be the component of the administrative process as envisioned by Campbell. Decisions which were made without thorough planning opened the possibility that the administration would lose control and influence in the organization and would, in fact, allow future unanticipated events and consequences catch it unprepared.

The next component of the administrative process according to Campbell was programming. The primary focus of this component was the implementation of the decisions which had been made. Arrangements for the selection and organization of the staff for housing, equipment and budget were necessary and were included in this component. The organization was concerned about how the decisions which were made were pro-

⁹²Castetter, Personnel Function, p. 52.

⁹³AASA, Staff Relations, p. 17.

⁹⁴Knezevich, Administration of Public Education, pp. 27 and 29.

grammed. Such issues as who the personnel were to be to implement the decision, how much was to be budgeted for the program and how much the program or decision would cost were obvious concerns. Similar to decision-making, Campbell considered programming to be an organizational rather than an individual concern. It was possible that a number of organizational personnel were to be used to program. Budgetary limits may have been set by the board for example, with the superintendent being given leeway to spend within those limits. The superintendent could have delegated this responsibility to other school personnel. In any case, the concern of those involved was to establish a modus operandi which would result in efficient organization and effective implementation of the decision which was made. This component was a key one. A well-considered decision which was made could be destroyed or its effectiveness minimized if proper and adequate programming did not occur. A decision was only as good as its implementation, and its implementation was only as good as the organizational ability of the decision-makers.

Gulick defined organizing as "the establishment of the formal structure of authority through which work subdivisions are arranged, defined and coordinated for the defined objective."⁹⁵ He also added a staffing component in which the concern was the personnel function of bringing in and training staff and maintaining favorable conditions of work. Campbell's programming component encompassed both the organizing and staffing components as outlined by Gulick. For the programming aspect of the administrative process to function smoothly, it was necessary that there be clearly defined methods of implementing the decision

⁹⁵ Gulick, "Notes on Theory of Organization," p. 13.

as well as clearly defined roles for all personnel involved in the implementation of the decision. Of major interest to Gregg was that organizing resulted in a coordination of activities of the personnel to achieve the organizational goals.⁹⁶ In order to achieve this, there needed to be an awareness and consideration of both the formal structure of the organization and the informal relationships of those involved in the organization. The implementation of decisions without a consideration of the informal organization mitigated very much against the success of that implementation. According to Gregg, the results of a sound organization (which was abetted by a thorough use of the organizing component of the administrative process) would be sound decisions, individual and group understanding and acceptance of common goals, creative planning, free and effective communications, personal integrity and professional growth of members and continuous evaluation of individual and organizational efforts. The activity of organizing, therefore, involved harmony among purposes, goals, work to be done, jobs and positions, communication and the relationships of people to people and people to work.

In the organizing component, answers to the following questions were sought: "What activities are required to attain the goals and subgoal? How should the activities be grouped? How shall personnel be grouped into technically viable units?"⁹⁷ In essence, consequently, the term "allocating resources" was an appropriate description of the organ-

⁹⁶Gregg, "The Administrative Process," pp. 286-294.

⁹⁷Castetter, Personnel Function, p. 52.

izing component.⁹⁸ The resources referred to the human, budgetary and material potential for allowing the organizational decisions to be implemented. The scope of the programming component developed by Campbell was broad enough to include the allocation of all of the school organization's resources. Whether the organization's activities were viewed from a traditionally structured situation or from a more contemporary systems approach, this component was applicable. As Knezevich indicated, with a systems concept:

To organize implies the development of interconnections between the various subsystems and the total organizational patterns. In another sense, organizing implies, in the systems concept, design of methods and determination of activities required to achieve objectives of the institution.⁹⁹

The third step in the administrative process, according to Campbell, was stimulating. Campbell was concerned that, although there were similarities between what he meant by stimulating and what others meant by commanding or directing, stimulating was the better term because its goal was to elicit, without force, individual efforts and contributions in implementing organizational decisions. Campbell considered the administrative process as a singular conceptualization with various components. He saw a sequential relationship between those components and the actualization of the total process. Therefore, programming was necessary to make the decision-making truly effective, and stimulating had to be practiced in order for implementation decisions made in the programming component to be successful.

Campbell realized that there were different kinds and levels of

⁹⁸ AASA, Staff Relations, p. 19.

⁹⁹ Knezevich, Administration of Public Education, p. 30.

stimulating. The administrator utilizing direct pressure on an individual or group was stimulating in a different way from the one who created a set of conditions which inherently motivated individuals or groups to act in a certain manner. Campbell's own preference was for the latter form of stimulation because it would involve organizational members in identifying problems, examining evidence and deciding the course of action to be taken. However, he tempered his preference with a caution that involvement of organizational members in the decision would only be an appropriate use of stimulating, when the members had a stake in the outcome and expertise in the issue at hand. Also included in this component was the process of communicating. Campbell felt that communications needed to be up, down and across. Those in the organization would be more productive, Campbell felt, when they knew what the organization was trying to accomplish. Communications was the vehicle used to achieve the objective of increased productivity. The ultimate goal in stimulating was the same as the other components of the administrative process--the achievement of purposes of the organization.

In a more traditional approach, Gulick defined directing as "the continuous task of making decisions and embodying them in specific and general orders and instructions and serving as the leader of the enterprise."¹⁰⁰ Although Campbell's definition was much broader than that, it did include the aspect of the administrator providing direct leadership. Gregg's presentation of this component of the administrative process was actually made as two separate components--communicating and

¹⁰⁰ Gulick, "Notes on Theory of Organization," p. 13.

influencing.¹⁰¹ Campbell regarded both as implicit in stimulating. Nevertheless, the content of Gregg's communicating and influencing was similar to Campbell's stimulating. Communications was extremely crucial to an organization according to Gregg. In fact, he asserted that since the essential elements of an organization were common purpose and individuals willing to contribute to that purpose, "without communication, there can be no purpose commonly understood and accepted, nor can there be coordinated efforts of those contributing to that purpose."¹⁰² In order for the organization to function fully, Gregg, as Campbell, thought it necessary that communication be a three-way process--upward, downward, and horizontal. The free flow of ideas and information in all directions was an important objective of communications. Being aware of the existence of the presence of an informal communications network, as well as the formal system, Gregg advised that the goal of the administrator in this component of the administrative process was to create an atmosphere where the informal reinforced formal communications within the organization.

While Campbell considered communication as a proper use of one method of influencing, he realized that there were other methods. Gregg presented some of the other possible methods. Providing the motivating power and force needed by an organization to keep it vitalized in the accomplishment of its goals was the primary goal of influencing. As Gregg indicated, "The test of administrative leadership is always the degree to which members of the organization can be influenced to con-

¹⁰¹ Gregg, "The Administrative Process," pp. 294-307.

¹⁰² Ibid., p. 294.

tribute spontaneous, ordered and cooperative efforts to accomplish the mission of the organization."¹⁰³ The administrator was to be concerned about the effectiveness of the organization and the way the members felt about the processes employed and the outcomes achieved. There were direct and indirect methods of influencing. The use of authority was considered a legitimate and necessary, though not exclusive, means of influencing. Education and training information and advice, and cooperative participation in the development of policies and plans were but a few of the other methods of influencing. The administrator himself, as well as the circumstances, was to dictate which method was to be used. Nevertheless, the goal of influencing was always the same--motivating those in the organization to work for the achievement of the goals of the organization. The question to be answered, therefore, was, "How shall personnel be motivated to perform in a manner which contributes to goal achievement?"¹⁰⁴

Coordinating was the next component in the administrative process listed by Campbell. "This activity involves bringing into appropriate relationship the people and thing necessary for the organization to achieve its purposes."¹⁰⁵ For the organization to be viable and vibrant, it was necessary that members of the organization realized that they were not independent of everyone and everything else connected with it. The interdependent nature of what occurred in the organization as well as the limited nature of the resources made coordination a necessity

¹⁰³ Ibid., p. 303.

¹⁰⁴ Castetter, Personnel Function, p. 52.

¹⁰⁵ Campbell, Bridges and Nystrand, Introduction to Administration, p. 170.

for success. The administrator was to make certain that each person knew his role and how it related to the other roles in the organization. Effective use of coordinating made possible an increased use of resources by avoiding unnecessary repetition or duplication. Confusion, ineffectiveness and job dissatisfaction were results of a lack of coordination according to Campbell. It was mandatory that monitoring or roles occurred to insure that what began as a coordinated effort continued as one. In essence, the question to be answered by coordinating was, "How can the diverse efforts of people be synchronized so that the work is performed according to plan?"¹⁰⁶

The coordinating component was defined by Gulick as the "all important duty of interrelating the various parts of the work."¹⁰⁷ Gregg defined it as the "process of unifying the contributions of people, materials and other resources toward the achievement of a recognized purpose."¹⁰⁸ As a matter of fact, Gregg termed the administrator's ability to stimulate all members of the staff to contribute purposeful, ordered and effective behavior toward achieving established goals the ultimate test of his competence.¹⁰⁹ It was through coordinating that after the relationships existing among members of an organization were decided, the various components of the organization were held together and organized to supplement and support each other. Viewed in the total context of the administrative process, coordinating was more than just

¹⁰⁶ Castetter, Personnel Function, p. 52.

¹⁰⁷ Gulick, "Notes on Theory of Organization," p. 13.

¹⁰⁸ Gregg, "The Administrative Process," p. 307.

¹⁰⁹ Ibid., p. 307.

cooperation. In essence, it was dependent on organizational members' acceptance of common goals and behavior based on their willingness to achieve them. This implied that individual's goals were in harmony with others in the organization so that they could be considered common. When such a situation was obtained, teamwork was a practical reality. As with the other components of the administrative process, coordinating was related to and in a sense dependent on the other components. There was no coordination without adequate programming, nor was a well-designed, coordinated effort likely to occur without adequate stimulation of people in the organization to work for the established goals in that organization.

The final component in the administrative process was termed appraising by Campbell, and evaluating or controlling by others. Campbell formulated four questions to provide the purposes of appraising.

1. Are the objectives and the procedures chosen to achieve them consistent with one another?
2. Are the procedures operating as intended?
3. To what extent and how well have the organizational objectives been met?
4. To what extent and how well has the organization been maintained.¹¹⁰

According to Campbell, these questions implied that the organization existed for some purpose, and it was his contention that the purpose for public schools was to teach literacy and critical thinking. It was therefore the purpose of appraising to systematically determine

¹¹⁰ Campbell, Bridges, and Nystrand, Introduction to Administration, p. 172.

how well the organization achieved its ends. In addition, appraising was intended to allow administrators to measure and determine how well the organization was being maintained in order to continue to achieve its primary purpose. The viability of the organization was of necessity related to how well it was able to teach students literacy and critical thinking. Because of the fact that circumstances and personnel change, appraising was a continuing and continual component of the administrative process.

In a similar manner, Castetter viewed the questions answered by this component to be, "Do individual and organizational performances conform to plan? Where are the weaknesses? How can they be corrected?"¹¹¹ The fact that appraising or evaluation was included in the administrative process implied that it was to be regarded systematically and not sporadically. Gregg thought that it was a "responsibility of administration to give leadership to a well-conceived and continuous evaluating activity in order to insure satisfactory achievement of the purposes sought."¹¹² In addition to evaluating the effectiveness of program and service, Gregg recommended that evaluation of the other components of the administrative process occur to determine the contributions made by the processes to the achievement of the established goals.¹¹³ Evaluation was to be inclusive enough to encompass all activities designed to help the organization achieve those goals. The goal of evaluation itself was to improve the effectiveness of goal achieve-

¹¹¹ Castetter, Personnel Function, p. 52.

¹¹² Gregg, "The Administrative Process," p. 311.

¹¹³ Ibid., p. 311.

ment. According to Gregg, "Effective employment of the evaluating process should result in continuing improvement of organizational plans and procedures and of individual and group efforts in the accomplishment of accepted purposes."¹¹⁴ In order to evaluate appropriately, several steps were recommended by Gregg. The selection and definition of what was to be evaluated was first; followed by the selection of criteria for evaluating; the collection of data related to the criteria; and finally the analysis and interpretation of the data and the drawing of conclusions.¹¹⁵ Knezevich made the point that evaluation was potentially both a culminating and initiating activity and that "one result of appraisal may be the development of new or modified plans and changes in the organization or allocation of resources."¹¹⁶ Within a contemporary systems or cybernetic approach to administration, the evaluation or feedback element was crucial. However, regardless of the use of a systems or a more traditional approach, the administrator had the responsibility for determining how well objectives had been satisfied and how well performance conformed to plans and standards agreed upon beforehand.¹¹⁷ The use of the appraising component was designed to accomplish such responsibility.

In summary, it must be emphasized that the administrative process is to be viewed en toto as a conceptualization, with each of the described components being theoretically related to each other. It does not necessarily prescribe all administrative activity nor is it to be considered normative in all circumstances. Campbell viewed his description of the

¹¹⁴ Ibid., p. 312.

¹¹⁵ Ibid., p. 312.

¹¹⁶ Knezevich, Administration of Public Education, p. 31.

¹¹⁷ Ibid., p. 31.

process as a conceptualization, a useful guide for assisting the administrator to achieve the greatest attainment of objectives with available resources.¹¹⁸ Gregg felt that the process was primarily conceptual in nature and that what was known about the process was not utilized by practicing school administrators.¹¹⁹ This study sought to determine to what extent superintendents and boards of education utilized the administrative process in the selection, use, and evaluation of an outside management negotiator.

¹¹⁸Campbell, Bridges, and Nystrand, Introduction to Administration, p. 166.

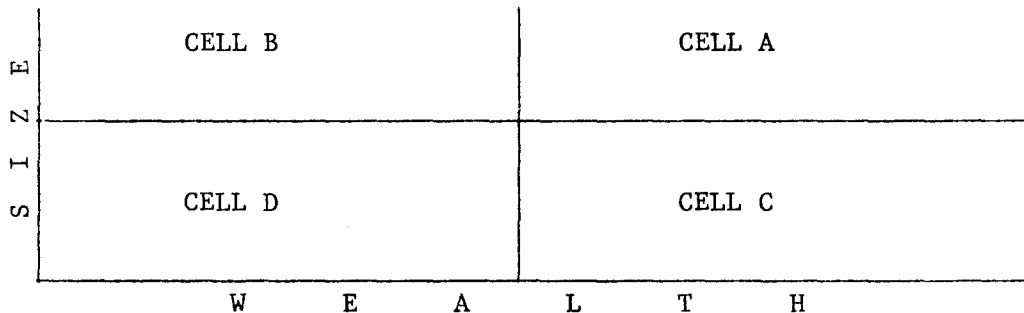
¹¹⁹Gregg, "The Administrative Process," pp. 316-317.

CHAPTER III

PRESENTATION OF DATA

The purpose of this study was to determine the role of the superintendent and board in the selection, use, and evaluation of an outside management negotiator. Elementary school districts in Cook, Lake and DuPage Counties in Illinois in which a negotiator had been employed were the population of the study. From the population of thirty-six districts, sixteen were selected to be the subjects of the study. In those sixteen districts, interviews were conducted with the superintendent and a member of the board of education familiar with the board's role as related to the selection, use, and evaluation of the outside negotiator. The selected districts were grouped according to wealth and size, with four cells of districts being created. The median of all districts in the population of ADA and the Local Wealth Index (LWI) was utilized as the delineation of the four cells. There were four superintendents and four board members interviewed within each cell. The four cells were determined as follows:

CELL A--Districts with over 2200 ADA and over 860 LWI per pupil.
CELL B--Districts with over 2200 ADA and under 860 LWI per pupil.
CELL C--Districts with under 2200 ADA and over 860 LWI per pupil.
CELL D--Districts with under 2200 ADA and under 860 LWI per pupil.



The primary purpose for the creation of cells was to facilitate the selection of a representative sample of school districts to be studied. Therefore, between cell differences, in terms of responses to the interview questions, while interesting and noted were peripheral to the main purpose of the study--determining and analyzing the role of the superintendent and board in the selection, use, and evaluation of the professional outside management negotiator. Because the main thrust of the study was not to determine the relationship between size and wealth in a district and the role of the superintendent and board as related to the negotiator, discussion of the data presented in the tables will essentially consider the sixteen superintendents and/or boards as a whole, even though the accompanying tables break down the responses according to cells. The interview responses will be presented in the order of the specific purposes of the study as stated in Chapter I. The presentation of data will, therefore, allow determination of the following: (1) the role of the superintendent in selecting an outside management negotiator; (2) the role of the board in selecting an outside management negotiator; (3) the role of the superintendent in defining and monitoring the roles of the superintendent, board, and negotiator relative to contract bargaining; (4) the role of the board in defining and monitoring the roles of the superintendent, board, and negotiator relative to contract bargaining; (5) the role of the superintendent in evaluating the outside negotiator relative to contract bargaining; and (6) the role of the board in evaluating the outside negotiator relative to contract bargaining. The data were analyzed in the following chapter and include a discussion of the role of the superintendent and board as related to the

outside negotiator in light of the components of the administrative process as outlined by Campbell. These components are decision-making, programming, stimulating, coordinating, and appraising.

Role of Superintendent in Selecting Negotiator

The first specific purpose of the study as stated in the first chapter was a determination of the role of the superintendent in the selection of a professional outside management negotiator. Questions #1 through #7 of the interview instrument related to various aspects of the selection process and the superintendent's/board's role in it. This section, therefore, presents the data obtained in the interviews in order to determine the role of the superintendent in the selection of an outside management negotiator. Since only questions #1 through #7 relate to the selection of the negotiator, only the responses from those questions are presented in this section.

For each question, if the interviewee described any role in response to the question, a YES was recorded. If no role was described, a NO was recorded. The seven questions focused on various aspects of the selection process, including: (1) identifying and analyzing the problem that led to the hiring of the negotiator; (2) determining objectives for hiring the negotiator; (3) considering alternatives to hiring a negotiator; (4) researching to consider consequences of hiring a negotiator; (5) making the decision to hire a negotiator; (6) actually contacting the negotiator; and (7) budgeting for paying the negotiator. The number of superintendents in each cell, as well as the total number of superintendents, responding with a YES response to each question is indicated in Table 1.

TABLE 1

YES Responses by Superintendents Regarding Their Role in the
Selection of a Negotiator

Aspect of Selection Process	Number of YES Responses				TOTAL
	CELL A	CELL B	CELL C	CELL D	
1. Identify and analyze problem	4	4	4	4	16
2. Determine objectives	3	4	2	3	12
3. Consider alternatives	4	3	2	1	10
4. Research consequences	2	4	4	2	12
5. Make decision	3	4	4	4	15
6. Contact negotiator	3	4	4	4	15
7. Budget for negotiator	2	2	2	1	7
Percentage of YES responses	75	89	78	68	78

All superintendents had a role in identifying and analyzing the problem or situation that eventually led to the hiring of an outside negotiator. Thirteen of the superintendents indicated that they had an active role in presenting and discussing the problem with the board. However, a number of them indicated that their recognition of the problem was in conjunction with or in consensus with the board on the matter. In only two cases did the superintendents have a major role in educating the board to a problem of which they were not previously aware. In other words, the superintendents did not, by and large, have a major task in convincing the board that there was a problem with the way negotiations were currently being conducted. The responses led to the conclusion that the board and superintendents, more often than not, were in agreement on the matter of recognizing a problem in negotiations without the use of a

negotiator. The agreement, therefore, obviated the need for either the board or superintendent to convince the other that there was a problem. In one case, the board asked the superintendent to present his position on the current procedures regarding negotiations and his recommendations for future courses of action.

There were two major categories of problems which superintendents mentioned as eventually leading to the hiring of an outside negotiator. The first was a concern that the adversary role, played by the superintendent who had a leading role on the board's table team, would have a deleterious effect on the degree to which the superintendent could perform his role of instructional leader of the staff. Eight superintendents indicated that this was a major reason for their not leading the board's table team. One superintendent felt that he had established credibility with his teachers and did not want to lose that by becoming involved in what he considered to be the necessary gamesmanship involved with negotiations. In addition, the wearing of two hats (negotiator and instructional leader) was not considered desirable by this superintendent. Another superintendent, typical of this position, observed that when the superintendent was very actively involved in direct bargaining, the "Golden frog" theory was in operation. He meant that the superintendent was, therefore, the identifiable enemy of the teachers and with that brought animosity on himself and consequently made his role as leader more difficult.

The second major category of problems noted by superintendents was the lack of expertise possessed by either themselves or the board to bargain effectively with the teacher negotiator. Seven superintendents

reckoned this to be their major area of concern. One superintendent felt so strongly that he stated, "The worst union professional negotiator is better than the best board or superintendent (negotiator)." Another superintendent expressed the conviction that, "no one is better to protect the interests of the board than a professional negotiator." There was a real fear expressed that without professional help there was a danger that school boards would give up too much in their bargaining with teachers.

The next question in the interview dealt with the role of the superintendent in the determination of objectives in the hiring of an outside negotiator. Of the four superintendents who had no role in the determination of objectives, three indicated that the board exclusively and formally made that determination without superintendent input. The fourth responded that there was never any formal discussion of the objectives for hiring the negotiator.

There were, however, twelve superintendents who responded that they had a role in the determination of the objectives for hiring a negotiator. The twelve were about evenly divided between those who worked very closely with the board in the development of the objectives and those who exclusively developed the objectives for the negotiator. Whether the objectives were developed solely by the superintendent or through the cooperation of superintendent and board, the general objectives were very similar--get the best contract possible, at the lowest cost, with the least amount of time without "giving away the store." In some districts, there were more specific objectives developed. In one, for example, the teachers submitted their proposals to the superintendent who wrote an analysis of each proposal. He then presented it to the board with

recommendations. The board then reacted to the recommendations and developed with the superintendent a unified set of objectives to be given to the negotiator. However, most objectives for hiring the negotiator were less formal in nature and were, in fact, developed less formally.

The third interview question regarding an aspect of the selection process sought to determine whether or not there were other alternatives which may have been considered to achieve the same goals as hiring a negotiator, and the superintendent's role in rejecting the alternatives in favor of hiring the negotiator. Six superintendents reported that no other alternatives to hiring a negotiator were considered. In the other ten districts, alternatives, such as having the board, the superintendent, the local board attorney, and in one case, a building principal, lead the negotiating table team were considered. However, these alternatives were rejected as being inadequate to solve the problems noted in the responses to the first question of the interview. In seven of the districts, the superintendent had a major role in rejecting all alternatives to a professional negotiator. Three superintendents indicated their own willingness to serve as chief negotiator, although one indicated that he would accept the position only under the conditions that he knew the exact money figure limit and that he had complete autonomy in negotiations. In those three districts, the board took the major responsibility for rejecting the superintendent as chief negotiator. There was a major difference in the response to this question between Cell A (high wealth, large size) and Cell D (low wealth, small size). Whereas all four superintendents in Cell A considered other alternatives, only one superintendent in Cell D did so.

The fourth interview question asked to what extent other people, organizations and books/articles were consulted in an attempt to be aware of the consequences for hiring a negotiator. Twelve superintendents reported that some kind of research was conducted, while four reported that no research whatsoever was conducted. By far the most common form of research that was conducted was discussion with other superintendents who had previously utilized the services of a negotiator. Ten superintendents reported that they had discussed this matter with other superintendents. The second most popular form of research involved contacting the Illinois Association of School Boards either directly or through participation in negotiations workshops. Five superintendents had been involved with seeking assistance for negotiations from the IASB. Three superintendents consulted journal articles to research the consequences of hiring a negotiator (although one made the comment that the journal articles were not particularly helpful), two superintendents consulted the Illinois Association of School Administrators and one superintendent consulted the American Management Association. Most superintendents felt that the research which was conducted, whether formal or informal, was helpful. The use of research in being aware of the consequences of hiring a negotiator did not in the least mitigate against the value of personal experience brought to bear upon the problem by some of the superintendents. Those superintendents who had a great deal of experience in the area of negotiations were quick to point out the aforementioned fact.

The focus of the fifth interview question was on the role of the superintendent in the actual decision to hire the negotiator. Fifteen of the sixteen superintendents responded that they had at least an informal

role in the decision. Eleven of the superintendents made a specific recommendation to the board that a negotiator be hired. In those districts the recommendation was taken into consideration when the board conducted its actual vote to hire the negotiator. In the other four districts where the superintendent had a role in the decision, the superintendent and board arrived at a mutual consensus that a negotiator needed to be hired without a specific recommendation from the superintendent. Only one superintendent indicated that the board made the decision to hire a negotiator without his counsel, advice or recommendation, although the decision did meet the superintendent's approval.

The sixth aspect of the selection process which was questioned in the interview was the role of the superintendent in actually finding and contacting the negotiator. Once again fifteen of the sixteen superintendents indicated a role in finding and contacting a negotiator. In the one district where the superintendent had no role, the assistant superintendent performed that task. Most superintendents indicated that once the board made the decision to hire a negotiator, the superintendent had the responsibility to find one or more negotiators from which the board would choose. For example, one superintendent responded that he contacted a number of negotiators and then recommended the top three to the board. The board and superintendent then interviewed each negotiator for approximately two and one-half hours. The board and superintendent discussed their reaction to each negotiator after the negotiator left. The board then voted on the negotiator it wanted without specific superintendent recommendation. In another district, the superintendent selected four negotiators to be considered by the board which interviewed them all

and selected one. In contrast to this, one superintendent talked to other superintendents and the county office to find a negotiator. He found a negotiator with whom he was impressed in terms of background and reputation and recommended to the board that he be hired, and the recommendation was accepted. Another superintendent knew of several negotiators whom he rejected outright. He then contacted the Illinois Association of School Boards for a candidate. After receiving several recommendations and after consultation with the administrative staff, the superintendent recommended a negotiator to the board which then met with and voted to hire the negotiator.

Although there were differences in terms of whether the superintendent recommended one negotiator to the board or selected a number from which the board chose, the superintendents agreed that once the negotiator was hired, they became the primary contact person with the negotiator in the school district. One superintendent even indicated that there was absolutely no contact between the negotiator and the board without going through him.

The final aspect of the superintendent's role in the process of the selection of the negotiator was his involvement in budgeting for the negotiator's fee. In two districts the superintendent had no involvement because the board exclusively budgeted on the matter. In another seven districts there was no superintendent involvement because the fee of the negotiator was just accepted without reference to a specific budgeted amount. However, seven superintendents did indicate an involvement in budgeting for the salary of the negotiator. The amount budgeted was essentially a guess based upon such variables as the anticipated number

of hours and the fee of the negotiator. Although all negotiators were paid, it was only in those seven districts that there was a specific amount of money set aside in the budget to pay the negotiator.

To summarize the data relating to the first specific purpose of the study, the role of the superintendent in the selection of the professional outside management negotiator was quite substantial. Superintendents were highly involved in identifying and analyzing the problem which eventually led to the hiring of a negotiator. They had significant input into the decision to hire, and they had primary responsibility in contacting the negotiator. They were less involved in considering alternatives to hiring the negotiator and were least involved in budgeting for a negotiator. As Table 1 indicates, 78 per cent of the total number of responses from the sixteen superintendents regarding their role in the seven aspects of the selection process about which questions were asked, were classified as YES. The cell percentages ranged from a high of 89 per cent in Cell B (large size, low wealth) to a low of 68 per cent in Cell D (small size, low wealth).

Role of Board in Selecting Negotiator

Determining the role of the board in the selection of a negotiator was the second specific purpose of the study as stated in the first chapter. The same interview instrument was utilized with the board member as with the superintendent. The board member interviewed was, in each case, one recommended by the superintendent because of the board member's knowledge of the board's role in the selection, use, and evaluation of the negotiator. Because the same interview instrument was used with the

board member as with the superintendent, the data are presented in the same manner in Table 2 as in Table 1.

TABLE 2

YES Responses by Board Members Regarding Their Role in the
Selection of a Negotiator

Aspect of Selection Process	Number of YES Responses				TOTAL
	CELL A	CELL B	CELL C	CELL D	
1. Identify and analyze problem	4	4	4	3	15
2. Determine objectives	4	4	4	4	16
3. Consider alternatives	3	1	1	1	6
4. Research consequences	2	3	3	0	8
5. Make decision	4	4	4	4	16
6. Contact negotiator	2	2	1	0	5
7. Budget for negotiator	0	0	3	2	5
Percentage of YES Responses	68	64	75	50	63

Fifteen of the sixteen board members responded that they had a role (as a board) in identifying and analyzing the problem that led to the hiring of a negotiator. They sensed and discussed problems in negotiations which would be present without the services of a professional negotiator. The board members indicated that they discussed it as a board and with the superintendent in most cases. In some cases the superintendent and the board independently reached identical conclusions about negotiating without a professional. Therefore, consensus between superintendent and board on the matter of viewing problems in negotiations when such negotiations were conducted without an outside board negotiator, was accomplished relatively easily.

The major problem area noted by board members could be classified under the general category of lack of expertise felt be the board in the entire area of negotiations. Twelve board members indicated that their boards felt unprepared to negotiate successfully with the teachers. Of those twelve, eight mentioned specifically the fact that the teachers had employed a professional outside negotiator. These board members felt that the board would be at a disadvantage at the negotiating table if the chief negotiator for the teachers was a professional negotiator and the chief negotiator for the board was either the superintendent or a board member. One board member used an analogy of a divorce by comparing the sophistication of the divorce process with that of negotiations and indicating that a lawyer or professional was necessary for both. Another board member mentioned the necessity of having professional help to protect the interests of the board in the language of the contract with, for example, the proper use of the words "may" and "shall".

There were two board members who responded that their boards viewed the major problem in negotiations as the effects of the adversary role taken by the superintendent and board on the morale of the staff and the degree to which the superintendent could subsequently function as the instructional leader of the district. One board member indicated that there may be bad feelings between the superintendent and the teachers following negotiations in which the superintendent was viewed by the teachers as "the bad worm in the apple". The other board member made the observation that once negotiations were completed when a negotiator was employed, the negotiator could leave, and the board could still have good relations

with the teachers. Of the remaining two board members interviewed, one noted the inordinate amount of time being taken by negotiations as the major problem and the other indicated that the superintendent in his district was totally responsible for enlightening the board on the problems associated with negotiations. In the latter case, the previous contract signed by the board had become a model agreement throughout the state for the teacher organization.

All board members responded that their boards had a role in determining the objectives for hiring the negotiator. As a matter of fact, the boards had the primary role in determining the objectives, although most received counsel and advice from superintendents. In most districts, however, the objectives mentioned were quite broad in their application. For example, responses fitting this description were "get the best contract possible", "clean up the contract", "do not give away the store" and "get teachers serious about negotiating". In a few districts, the board was concerned that the negotiator maintain a certain posture (either aggressive or non-aggressive depending on the wishes of the board) which the board was either unable or unwilling to maintain. All boards set financial limits and expected the negotiator to work within the limits. However, not all boards notified the negotiator as to what these limits were. A number of board members indicated that their boards placed a great deal of importance on selecting a negotiator who would do whatever he was asked by the board. Therefore, their objective in hiring the negotiator was to have someone other than board or administrative personnel to implement and attain the board objectives in negotiations. In this regard, one board member indicated that his board had no formal

objectives in hiring the negotiator, but that objectives would be generated in negotiations. The negotiator was expected to be willing to carry out the objectives, be accessible and demonstrate success. One board did have specific objectives for hiring the negotiator in that the board wanted someone who would obtain a contract with local control, fairness to teachers, with long standing clauses for future boards and with the board remaining in control of policy.

The third question in the interview regarded whether or not other alternatives to hiring a negotiator were considered to achieve the goals desired in negotiations. Only six board members responded that their boards had considered other alternatives. Of those six, four considered having the board do the negotiating itself. However, this alternative was rejected. Among the reasons given for rejecting were that the superintendent and the majority were opposed, that the clarification necessary in a contract would not be present without a professional, and that the board would not have the time nor expertise. One district considered their local attorney, but did not feel that he had the expertise necessary. The sixth board considered first a community volunteer, but rejected him because they wanted someone under board control, and then they considered the superintendent. The superintendent was rejected as the board felt that he was already overworked and in addition did not want to put him in the adversary position of negotiating.

In the other ten districts, the boards did not consider any alternatives to hiring a negotiator. One board member responded that once the sophistication problem of negotiations was apparent, there was no real alternative. That board considered it unfair to have the superintendent

both negotiate and administer the contract and concurrently did not consider itself competent to negotiate. The board felt that the previous board member who had negotiated had "given away the store". Another board member responded that "the school administrator is a school administrator, and the board member is a board member, and neither one of them are negotiators."

The focus of the fourth interview question was on what the boards had done to research the consequences of hiring a negotiator. Eight board members responded that their boards had done at least a degree of research into the matter. None of the eight were from Cell D. The most common kind of research or investigating was boards contacting other boards for their input as to the advantages and/or disadvantages and overall consequences of hiring a negotiator. This contact was done by seven boards. The contact varied from basically informal discussion with other boards to conducting a formal survey. There were four boards which contacted the Illinois Association of School Boards or attended a workshop conducted by the IASB on the subject of negotiations. Three board members reported that their boards had consulted professional journals to be aware of the consequences of hiring a negotiator. The journal of the Illinois Association of School Boards was noted most. One board member reported that the board had consulted members of the faculty of a university in Chicago.

There were eight boards which did not engage in any research regarding the consequences of hiring a negotiator. Although not necessarily typical of the attitude of all eight, one board member indicated that since "you must be able to trust people", research was unnecessary.

The fifth interview question sought the board's involvement in

actually making the decision to hire a negotiator. All sixteen board members responded that their board had a significant role in that decision. Boards generally discussed the matter informally or at executive sessions. In the vast majority of districts, superintendents had input prior to the actual decision being made. There were three districts, however, where the board members reported that the decision to hire a negotiator was exclusively a board decision with no input from the superintendent. A majority of boards interviewed the negotiator or negotiator candidates prior to their being employed. Where there were interviews, the superintendent attended, either as an observer or a participant. Votes were taken subsequent to interviews, discussion, and any administrative recommendation. In all cases the vote to obtain a negotiator was either unanimous or within one vote of being so. The board members emphasized that even where the administration had input into the decision to hire a negotiator, the decision was ultimately the board's.

The sixth question related to the board's role in finding and contacting a negotiator. Only five board members reported that their boards engaged in that aspect of the selection process. The majority of boards relied on the superintendent to find and contact negotiators. Once the decision was made regarding which negotiator was to be hired, the superintendent then had the primary responsibility for contacting the negotiator. In other words, any contact between the board and the negotiator went through the superintendent. Even in the five districts where the board was involved in contacting the negotiator, there were three where the administration was also directly involved in such contact.

There were only five board members who reported that their boards

participated in budgeting to pay the negotiator. In the majority of districts (nine), the board did not budget a specific amount for the negotiator but rather accepted the negotiator's fee. In two districts, however, the board accepted the recommendation of the administration regarding the amount budgeted for paying the negotiator. Nevertheless, there were five boards which budgeted for paying the negotiator. The amount budgeted was determined by discussing the negotiator's rate with him and talking to other districts regarding how much time negotiations would take. A guesstimate was then made based upon the best available information. In one district, the board set an upper limit which was negotiable.

The data related to the second specific purpose of this study suggest, in summary, that board involvement in the selection of a negotiator was quite widespread in some aspects of the selection process while quite minimal in other aspects. There was almost total involvement in identifying and analyzing the problem that led to the hiring of a negotiator, and there was involvement of all boards in the determination of objectives for hiring the negotiator and making the actual decision. However, there were less than half of the boards involved in considering alternatives to hiring a negotiator, contacting the negotiator and budgeting for the negotiator. As Table 2 indicates, 63 per cent of the total number of responses from the sixteen board members regarding their role in the seven aspects of the selection process about which questions were asked, were classified as YES. This compares with 78 per cent for the superintendents. The cell percentages ranged from a high of 75 per cent in Cell C (small size, high wealth) to a low of 50 per cent in Cell D (small size, low wealth).

Role of Superintendent in Using Negotiator

The third specific purpose of this study as stated in the first chapter was a determination of the role of the superintendent in the use of a professional management negotiator. The term "use" is an inclusive term comprising, among other factors, defining and monitoring the role of the negotiator and the superintendent's role in those processes.

There were nine interview questions which fall under the general rubric of the use of the negotiator. They focused on the following areas:

(1) informing the negotiator of the purposes for which he was hired; (2) communicating with the negotiator; (3) communicating with the board/superintendent regarding negotiations; (4) determination of to whom the negotiator was responsible; (5) changes in board/superintendent relationship with negotiator present; (6) involvement of negotiator in role determination; (7) satisfaction with negotiations role; (8) involvement in determining role of negotiator, board, and superintendent in negotiations; and (9) role in monitoring agreed upon roles. For reporting the data purposes, questions #8, #9, #10, #11, #16, were recorded as a YES or NO depending on whether or not the respondent described a role in those specific aspects of the process of using the negotiator. For question #12, which sought to determine to whom the negotiator was responsible, the responses were divided into four categories, which were: (1) board; (2) superintendent; (3) board and superintendent; and (4) other. The responses to question #13 were divided according to whether the respondent indicated an improved relationship with the board/superintendent, a worsened relationship, or no change in the relationship when the negotiator was employed. For questions #14 and

#15, the responses were categorized as YES or NO depending on whether the negotiator participated in his role determination (question #14) and whether the respondent was satisfied with his role in negotiations with the negotiator present. The responses relating to this third specific purpose of the study are summarized in Table 3.

The initial question relating to the third specific purpose of this study was designed to determine the role of the superintendent in supplying the negotiator with information regarding the purposes for which the negotiator was hired. Fourteen of the sixteen responded that they had a role in supplying information to the negotiator about why the negotiator was hired. Several of the superintendents met with the negotiator along with board members, and both the superintendent and board members shared their expectations with the negotiator concerning his anticipated contributions to negotiations. Information shared varied from general statements made to the negotiator such as, "clean up the contract" and "use common sense", to very specific information resulting from item by item analysis of the existing contract and/or teacher proposals by the superintendent and negotiator. Three superintendents were involved in the very specific item analysis with the negotiator, giving him direction on the position of the superintendent and board on the item. However, most superintendents left it up to the board to set the money limits, although the superintendent continued to have a role in informing the negotiator. Overall, the superintendents responded that the information supplied the negotiator was more within the context of what the board or superintendent wanted accomplished rather than specifically informing the negotiator that there were definite

TABLE 3

Responses by Superintendents Regarding Their Role in Defining
and Monitoring the Roles of the Superintendent, Board
and Negotiator Relative to Contract Bargaining

Aspect of Role	Number of YES Responses				TOTAL
	CELL A	CELL B	CELL C	CELL D	
1. Supply negotiator with hiring purpose information (Question #8)	3	4	3	4	14
2. Determine role for negotiator, superintendent and board (Q. #9)	2	3	2	3	10
3. Communicate with negotiator (Q. #10)	3	4	4	3	14
4. Communicate with board/superintendent (Q. #11)	2	4	4	2	12
5. Monitor agreed upon roles (Q. #16)	2	3	3	2	10
Percentage of YES Responses	60	90	80	70	75
6. Participation of negotiator in role determination (Q. #14)	3	3	4	2	12
7. Satisfaction with role (Q. #15)	4	3	4	3	14
8. Person to whom negotiator responsible (Q. #12):					
Board	2	2	1	0	5
Superintendent	0	2	2	3	7
Bd./Sup.	2	0	1	0	3
Other	0	0	0	1	1
9. Changes in relationship with board when negotiator used (Q. #13):					
Improved	1	2	2	1	6
Worsened	1	0	0	0	1
No Change	2	2	2	3	9

established reasons why he was being hired. The majority of superintendents informed the negotiator that the purposes for him being hired were general in nature.

The next question focused on the role played by the superintendent in determining the role of the negotiator, superintendent, and board during the actual negotiations. Ten superintendents had a role in that determination. A majority of those ten indicated that the negotiations roles were mutually agreed upon by the superintendent, board, and negotiator. The general pattern which emerged was that the negotiator was to be the chief spokesman in negotiations, and the board and superintendent were to have advisory roles in the actual bargaining. The advisory roles by the board and superintendent were carried on at the table and away from the table in a number of districts. Six of the ten boards and five of the ten superintendents who had a role in the overall role determination were actually at the table. Since there were an equal number of superintendents who did not have an actual table role, as there were superintendents who did, there does not seem to be any relationship between the involvement of the superintendent at the table and his role in determining the roles of the negotiations' participants. There were two superintendents, however, whose eventual role in negotiations was less active at the table than that initially desired by the board. The less involved role was in accord with the wishes of the superintendents. The primary role played by the superintendent, where the superintendent had input into his role in negotiations, was to basically supply the negotiators with information in a consultative or advisory capacity. Even though these ten superintendents participated in determining their

own role in negotiations, they did not determine the board's role in the process. Superintendents generally let the board decide its own direction in the negotiations process.

There were six districts in which the superintendent had no role in determining his role or that of the board or negotiator in negotiations. In five of those districts, the superintendent was informed by the board that he was to remain in the background during negotiations. In one of the districts in which the board made that decision, the superintendent wanted the board to make the decision in order not to make the board think that he was "backing out" of negotiations. In addition to the board input into the decision regarding role determination in negotiations, three superintendents indicated that the negotiator had significant input, not only regarding his role as negotiator and chief spokesman, but input regarding the role of the board and superintendent. One superintendent, in fact, met, along with the board, with the negotiator and asked the negotiator to establish the roles for everyone on the board's side because the negotiator "knew how to do it." In none of the six districts where the superintendent had no role in determining his role in negotiations was the superintendent involved in the table team itself.

The purpose of the next interview question was to determine the role of the superintendent in communicating with the negotiator regarding negotiations. Fourteen of the sixteen superintendents communicated with the negotiator. Eight of the fourteen communicated very regularly with the negotiator--either before, after, or before and after each negotiating session. For some this took place in dinner meetings, and for

others it took place in the superintendent's office. The meetings were primarily for the purpose of providing direction to the negotiator in terms of strategy and limits as set by the board. The superintendent had a crucial role in communicating the board's wishes to the negotiator. Some superintendents met with the negotiator alone, while others met the negotiator with representation from the board.

There were six superintendents who met with the negotiator whenever it was deemed necessary by either the negotiator or the superintendent. Such meetings were not necessarily before or after specific negotiating sessions. In most instances where this procedure was followed, the superintendent and negotiator communicated less often than in those districts where the superintendent and negotiator had at least one meeting per negotiating session. In either case, the superintendents saw themselves as the major channel of communication between the board and the negotiator. There did not seem to be any discernible relationship between whether or not the superintendent participated at the table and the kind or degree of communication which took place between the negotiator and the superintendent.

Somewhat related to the previous interview question, was the next question, which sought to determine the kind and degree of communication which occurred between the superintendent and board regarding negotiations when a professional negotiator was employed. Twelve of the sixteen superintendents reported to or communicated with their board regarding the progress and status of negotiations. However, not all twelve reported to their board in the same manner. Some superintendents had a very detailed, systematic, formalized procedure for communicating with

their board. Two superintendents prepared written reports for the board following each negotiating session, while three others prepared periodic written reports on the status of negotiations for their boards. Ironically, however, one of the superintendents who prepared written summaries after each session felt that he had insufficient communication with the board during the "eleventh hour wheeling and dealing" of negotiations. Two superintendents, while not preparing a great deal of written material for the board regarding negotiations, noted extensive communication with the board. One was in daily contact with the president of the board, and the other called each board member individually after each session to discuss and report about the progress of negotiations. Of the remaining superintendents who communicated with the board regarding negotiations, five reported to the board about negotiations at the monthly board meeting as the primary communications' format. They all indicated that the substantive discussions occurred during executive sessions. One observed that the only statement made during the board meeting regarding negotiations was, "negotiations are continuing."

There were four superintendents who did not communicate with the board regarding negotiations. Of the four, two superintendents were at the table, and two were not. Three of the four indicated that the members of the board who were on the negotiating team reported to the board, and that communication to the entire board came from those negotiating members. However, one superintendent who was at the table and whose board was not, chose not to communicate with the board about negotiations.

The purpose of question #16 in the interview was to determine the

role of the superintendent in monitoring the agreed on roles for the board and negotiator during negotiations. In other words, what did the superintendent do to insure that the roles initially planned were maintained? Only ten of the superintendents had a role in the monitoring of roles during negotiations. Most of the ten indicated that they utilized the process of the monitoring of roles in an informal way as they observed the negotiating by being at the table or by receiving reports from those who were there on the administrative staff, if they themselves were not. It appeared that in some cases, the superintendents who were not at the table felt a greater responsibility to be systematic in the monitoring of the roles than did those superintendents who sat in on negotiations. The latter group of superintendents indicated that their role maintenance activity most often consisted of spontaneous reactions to specific incidents occurring during negotiations. There was greater role maintenance activity on the part of superintendents, when they perceived problems with the negotiations being conducted as planned. Three superintendents reported that their greatest activity in role maintenance was to remind the board to maintain their previously agreed role of not speaking up during negotiations, but to let the negotiator do the talking so that a united front would be maintained, while two other superintendents felt that their greatest activity in this area involved insuring that the negotiator stayed within the pre-established guidelines of his role. All five of these superintendents found it necessary to call down either their board or their negotiator (though not necessarily publicly) for not maintaining their agreed on roles.

Of the six superintendents who had no role in monitoring the roles

of the negotiator and board, three indicated that it was a matter which did not come under discussion, and three indicated that the matter of role maintenance was left completely up to the discretion of the negotiator.

As Table 3 indicates, the total percentage of YES responses for the five questions just discussed relating to the superintendent's role in the use of the negotiator, was 75. Cell B had the highest percentage of YES responses (90 per cent), while Cell A had the lowest percentage of YES responses (60 per cent). In none of the aspects investigated, was there a unanimous YES response by the sixteen superintendents. However, there was no aspect where less than ten of the sixteen superintendents participated at least to some extent. The 75 per cent YES total is very similar to the 78 per cent YES response total for the role of the superintendent in the selection of the professional negotiator as indicated in Table 1. However, there was less variation from question to question in the aspects relating to the use of the negotiator than in the selection of the negotiator.

The four other questions in the interview instrument falling under the general category of use of the negotiator will be reported on in a manner appropriate with the question asked. Question #14 sought to determine whether the negotiator participated in the determination of his own role in negotiations. Twelve of the sixteen superintendents indicated that their negotiator did indeed have a role in determining his own role in negotiations. The most unanimous response by those twelve superintendents was that the negotiator was considered to be the person with the most expertise. Since a portion of his expertise

involved his recommendations on how he should be used in negotiations, the negotiator was allowed a great deal of latitude and input into determining his role in the negotiations process. These superintendents generally felt that to fail to allow the negotiator to have input into determining his role in negotiations was to fail to utilize a valuable human resource in the area of negotiations. The four remaining superintendents indicated that they (in three instances) or the board (in one instance) determined what the role of the negotiator was to be in negotiations without specific input from the negotiator. It is noteworthy that one superintendent who determined the role for the negotiator experienced a great deal of frustration because the negotiator operated in the role that the negotiator desired for himself and not that as determined by the superintendent.

The purpose of question #15 was to ascertain whether or not the superintendent was, in fact, satisfied with his role in negotiations with the professional negotiator present. Fourteen of the sixteen superintendents were satisfied with their role. The reason for satisfaction given most often was that the presence of the negotiator took away much pressure and animosity formerly directed at the superintendent. This then allowed the superintendent to more effectively carry on his role of instructional leader in the district. Several superintendents also mentioned that they were still able to maintain control of the negotiations process, but were able to do so in the background, thereby allowing them to more effectively lead the district after the negotiator had left.

The two superintendents who were not satisfied with their role in

negotiations felt that way for different reasons. One superintendent responded that "even though the negotiator was responsive" and he was aware that he had "everything to lose and nothing to gain" by negotiating himself, because of his management background in industry, he was interested in the challenge of taking the primary responsibility in negotiations. The other unsatisfied superintendent was unhappy with the negotiator trying to con him into submitting to the negotiator. (This was the same superintendent who was frustrated because the negotiator would not do what he was told to do by the superintendent.)

In question #12, superintendents were asked to whom the negotiator was, in actual practice, responsible. There was an assumption that ultimately the negotiator was responsible to the board. However, this question sought to determine whether, in practice, the negotiator was responsible to the superintendent, the board, or both the superintendent and board. The responses indicated that each of the three aforementioned possibilities were utilized. The negotiator being responsible to the superintendent was noted most (7), followed by the negotiator being responsible to the board (5) and the negotiator being responsible to both board and superintendent (3). The most outstanding comparison regarding cell responses was the fact that in Cell A, none of the superintendents indicated that the negotiator was responsible to him alone, while in Cell D, three of the superintendents indicated that the negotiator was responsible to him alone.

The purpose of question #13 was to determine what changes there were, if any, in the relationship between the superintendent and the board regarding negotiations when a negotiator was used. Six of the

superintendents reported an improvement in their relationship with the board. The reason most often given was that the negotiator took strain and pressure off both the board and superintendent, and this led to improved relations. Only one superintendent felt that relations worsened with the board regarding negotiations with the presence of a negotiator.

In summary, the data revealed that superintendents were generally satisfied with their role in negotiations with the negotiator present and noted no changes or an improvement in the relationship with the board. The negotiator was allowed to participate in determining his own role in most of the districts. There was a diversity of response as to whom the negotiator was responsible.

Role of Board in Using Negotiator

The role of the board in defining the role and monitoring the role of the negotiator, as well as defining, using, and monitoring the roles of the board and superintendent as related to negotiations comprised the focus of the fourth specific purpose of this study as stated in the first chapter. The interview questions related to this purpose were the same ones used to identify the role of the superintendent in using the negotiator in the section immediately preceding this one. The data which is summarized for the fourth specific purpose of the study in Table 4 will be presented in the same manner as that presented which related to the third specific purpose of the study.

The first question related to the fourth purpose of the study was designed to determine the role of the board in supplying the negotiator with information regarding the purposes for which the negotiator was

TABLE 4

Responses by Board Members Regarding Their Role in Defining and
Monitoring the Roles of the Superintendent, Board and
Negotiator Relative to Contract Bargaining

Aspect of Role	Number of YES Responses				TOTAL
	CELL A	CELL B	CELL C	CELL D	
1. Supply negotiator with hiring purpose information (Question #8)	3	3	4	3	13
2. Determine role for negotiator, superintendent and board (Q. #9)	4	3	3	3	13
3. Communicate with negotiator (Q. #10)	4	4	3	4	15
4. Communicate with superintendent (Q. #11)	2	4	4	3	13
5. Monitor agreed on roles (Q. #16)	3	3	3	3	12
Percentage of YES Responses	80	85	85	80	83
6. Participation of negotiator in role determination (Q. #14)	3	3	4	2	12
7. Satisfaction with role (Q. #15)	4	4	4	3	15
8. Person to whom negotiator responsible (Q. #12):					
Board	2	3	4	2	11
Superintendent	0	0	0	0	0
Bd./Sup.	2	1	0	2	5
9. Changes in relationship with superintendent when negotiator used (Q. #13):					
Improved	0	2	0	1	3
Worsened	0	0	0	1	1
No Change	4	2	4	2	12

hired. Thirteen of the sixteen board members responded that their boards had a role in supplying the negotiator with information about why he was hired. In four of the thirteen districts, the negotiator and board went over the current contract and the teacher proposals, and the board expressed their desires on each item with the negotiator. Eight of the thirteen boards supplied the negotiator with very general information, such as, "Get the best contract." Some boards, however, gave the negotiator the dollar limit. In all of the districts just mentioned, the information shared with the negotiator related to the goals of the board in negotiations. The assumption was made that the purpose for hiring the negotiator was to help the board accomplish those goals. In only one district did the board share with the negotiator a specific list of objectives for hiring the negotiator. Consequently, it was only in that district that the negotiator was specifically supplied with the actual reasons and objectives for being hired. Of the thirteen districts where the boards supplied the negotiator with hiring information, eleven involved the negotiator meeting with the entire board and two involved only a meeting of the board president, negotiator, and members of the administrative staff. In the three districts where the boards did not share hiring purpose information with the negotiator, the superintendent had that responsibility exclusively.

The purpose of the next interview question was to determine the role played by the board in determining the roles given the board, superintendent, and negotiator in negotiations. Thirteen of the boards had a role in that determination. In all cases, the negotiator was the chief spokesman for the board at the table. In several districts, the

board asked the negotiator for recommendations regarding the role of the board and superintendent in negotiations. However, the board made the decision as to what its role was to be. Generally, a consensus was reached among the board, superintendent, and negotiator regarding each of their roles in negotiations so that this was not a problem area. In those districts where the board wished to be very passive in negotiations, the board was passive, and in those districts where the board wished a more active role, the board pursued that role. In other words, boards exercised their prerogative to choose their role in negotiations, albeit not without input from the superintendent and negotiator. There were, nevertheless, three districts in which the board had no role in determining the role of the board, superintendent, and negotiator. Two of those districts allowed the negotiator to establish the roles exclusively, while in the third district, the board allowed the superintendent to establish the roles.

The degree and kind of communication between the board and the negotiator was the focus of interview question #10. Fifteen of the sixteen board members reported that their boards communicated with the negotiator. Eight of the boards met with the negotiator or contacted the negotiator or had the negotiator contact them whenever it was felt by either to be necessary. There were no scheduled regular meetings in those districts. One board member noted that a liberal use of executive sessions was made by the board to facilitate direct meetings with the negotiator. In several districts, communication with the negotiator was more indirect by going through the administrative staff.

There were seven districts, however, in which the board and

negotiator communicated on a regularly scheduled basis. Five boards or board representatives met with the negotiator either before or after each negotiating session. One board met with the negotiator every two weeks, and one board had the negotiator come to each monthly board meeting. In those districts where there were regularly scheduled times in which the negotiator and board met, there were also times, which were unscheduled, when the board and negotiator met. In almost all cases, the superintendent was present in meetings between the board and negotiator. One board member reported that the negotiator prepared a written memorandum after each negotiating session which he then presented to the board before the next session.

One board member reported that the communication between the board and the negotiator created a problem because certain members of the board leaked information shared in the executive session meeting between the entire board and the negotiator. This information was passed on to the teacher negotiators. The negotiator, after discovering what was going on, met only with the president of the board to discuss the progress and status of negotiations.

The next interview question sought to determine the degree and kind of communication which took place between the board and the superintendent regarding negotiations. Thirteen of the sixteen boards communicated with the superintendent regarding negotiations, or had the superintendent communicate with them. Eight of the thirteen districts were places where the superintendent and board communicated regularly and often formally in addition to informally. Most often there were executive sessions in which the superintendent was present to discuss

negotiations. These sessions would take place either in conjunction with a board meeting or in conjunction with the negotiating sessions. One board received a weekly update in writing from the superintendent about the progress of negotiations. Another board received a written log from the superintendent at the same time as the report from the negotiator (after each negotiating session).

In other districts, communication between the board and superintendent regarding negotiations occurred informally or as needed. In one district where the superintendent was not at the bargaining table, the board, as well as the administrative staff member present at the negotiating table, reported to the superintendent. However, in two other districts where the superintendent was not present at the negotiating table, communications regarding negotiations came to the superintendent only from members of the administrative staff present at negotiations and not from the board. In those districts, there was no communication between the superintendent and board regarding negotiations.

The role of the board in monitoring the agreed on roles for the board, superintendent, and negotiator was the focus of the next interview question reported on. Twelve boards had a role in the role monitoring. The primary method of monitoring was to utilize the members of the board who were at the negotiating table to observe the roles and report back to the entire board. Generally, however, there was little formal reporting or discussion of the subject of role maintenance. Where there was concern, the board members at the table were the vehicle for initiating discussion. One board called in the negotiator to discourage him from taking advantage of his role as chief negotiator to waste time in

attempting to achieve a settlement.

In the districts where the board was not involved in role monitoring, two major reasons were given for such non-involvement. One was that the negotiator was the professional and was trusted completely, and the other reason was that the board was "not concerned with process, just results."

As indicated in Table 4, the total percentage of YES responses for the five questions just discussed relating to the board's role in the use of the negotiator, was 83 per cent. The between cell variation was minimal with two cells having an 80 per cent YES response total and two cells having an 85 per cent YES response total. The combined cell total percentage of 83 per cent was higher than the combined cell total percentage of 75 per cent for the superintendents, although the superintendents had a greater between cell variation. The total YES percentage for the board in the use of the negotiator was also higher than the 63 per cent total for the board in the selection of the negotiator. In the five questions already discussed relating to the use of the negotiator, there were no unanimous responses, but the total YES response was never below twelve on any question.

The responses of the board members relating to whether or not the negotiator was a participant in his own role determination corresponded with the responses given by the superintendents. Twelve board members responded that the negotiator was a participant in his role determination. The reason most often given for this practice was that the negotiator was considered to be the expert in the area of negotiations, and it would have been in the best interests of the board to utilize the

expertise of the negotiator.

In response to the question asking whether or not the board was satisfied with its role in negotiations with a negotiator present, fifteen of the board members answered in the affirmative. The overwhelming reason for the affirmative response was that boards very much appreciated being in the background and letting the negotiator "take the heat". Such satisfaction was further abetted by the fact that, by and large, boards were pleased with the results of negotiations with the negotiator. Two board members mentioned that their boards were pleased to maintain control of negotiations, while still having the negotiator in the forefront.

One board was quite dissatisfied with its background role in negotiations. The board felt that its negotiator was working "side deals" with the professional negotiator for the teachers as both professionals negotiated against each other in several districts. Therefore, the board felt left out of the informal negotiating occurring between the two professionals. The board was not confident that its negotiator had its own best interests at heart in the negotiating.

Question #12 asked the board members to whom the negotiator was responsible. Eleven board members responded that in actual practice the negotiator was responsible to the board, and five responded that the negotiator was responsible to both the superintendent and the board. There were no board members indicating that the negotiator was responsible to the superintendent. The responses of the board members were quite different from those of the superintendents. Seven superintendents had indicated that the negotiator was respon-

sible to the superintendent and only five had indicated that in actual practice the negotiator was responsible to the board.

The final question reported on in this section sought to determine what changes there were in the relationship between superintendent and board when a negotiator was hired. Twelve board members indicated no change in the relationship. Several of the board members noted that an already positive relationship was maintained during negotiations. Of the three board members who indicated an improved relationship between the board and superintendent, two noted that less stress and tension were present when the negotiator had the primary responsibility at the table. The third board member noting an improved relationship cited the fact that the superintendent and board were united in opposition to the tactics of the board's negotiator. One board member noted a worsened relationship due to the fact that both the superintendent and the board felt left out of negotiations, and the superintendent blamed the board for the problem.

In summary, the data revealed that boards were generally satisfied with their role in using the negotiator, saw no changes or an improvement in their relationship with the superintendent when a negotiator was employed, and considered the negotiator to be most responsible to them in actual practice.

Role of Superintendent in Evaluating Negotiator

The fifth specific purpose of the study as stated in the first chapter was to determine the role of the superintendent in the evaluation of the professional negotiator. There were several aspects of the

evaluation process which were included in the questions developed in the interview instrument. Five questions were suitable for recording the responses in the YES response format used in the presentation of data related to the first four specific purposes of the study. These five questions sought to determine the role of the superintendent in the following areas: (1) selecting the criteria used to determine the degree to which the negotiator actually achieved the objectives for hiring him; (2) actually measuring the degree to which the negotiator achieved the objectives for hiring him; (3) informing the negotiator of the criteria used to evaluate his performance; (4) determining if the use of the negotiator facilitated the accomplishment of the superintendent's and board's general goals for the district; and (5) conducting follow-up evaluation during the school year to determine if the use of the negotiator assisted the superintendent and staff in more effectively achieving the school's primary aim of educating students. The responses to these five areas questioned are presented in Table 5.

There were two other questions related to this purpose which were included in the interview. One question sought to determine how superintendents determined that the performance of the negotiator was satisfactory if a formal evaluation was not used, and the other question sought to compare the role of the superintendent in evaluating the negotiator with his role in evaluating principals. Responses to these two questions will be presented in narrative form only.

The first aspect of the evaluation process about which an interview question was asked was a determination of the role of the superin-

TABLE 5

YES Responses by Superintendents Regarding Their Role
in the Evaluation of a Negotiator

Aspect of Evaluation Process	Number of YES Responses				TOTAL
	CELL A	CELL B	CELL C	CELL D	
1. Select criteria	1	1	0	0	2
2. Measure criteria	0	0	2	0	2
3. Inform negotiator of criteria	1	0	1	0	2
4. Determine the achievement of general goals for district	2	2	0	1	5
5. Conduct follow-up evaluation	0	2	2	1	5
Percentage of YES Responses	20	25	25	10	20

tendent in the selection of criteria used to evaluate the performance of the negotiator. Only two superintendents responded that they had a role in that aspect of the evaluation process. In both cases, the superintendent prepared a list of criteria to be used to evaluate the performance of the negotiator, although the board did not adopt all of the recommended criteria. Two superintendents indicated that the board set the criteria. The other twelve superintendents responded that there were no formal criteria established to evaluate the negotiator. One of the twelve made the comment that "it would be good if criteria were established, but how to do it was the problem."

The role of the superintendent in measuring the established criteria used to evaluate the performance of the negotiator was the focus of the next interview question. Once again, only two superintendents had a role in measuring the attainment of the criteria established for the negotiator. Interestingly, the two superintendents involved in

this aspect were not the two involved in establishing the criteria. The two involved in this aspect of the evaluation process were the two who had indicated in response to the previous question that the board had established the criteria used to evaluate the performance of the negotiator. In both cases, the board had established the procurement of a "tight contract" as a primary criteria for evaluating the negotiator, and it was the superintendent's role to measure or examine the contract to determine if it was sufficiently tight. The focus of the first two questions relating to the evaluation process was upon the activity and role of the superintendent in actually evaluating the negotiator's performance in more than just vague general terms. It was assumed, in other words, that the superintendent and/or board would examine the contract per se, but the concern, so far as this study was designed, was how this examination or any other activity was specifically intended to be used to evaluate the performance of the negotiator. As evidenced by the responses on these two questions, very little activity occurred on the part of superintendents to formally evaluate the performance of the negotiator.

The third aspect of the evaluation process about which a question was asked was the role of the superintendent in actually informing the negotiator of the criteria used to evaluate his performance. There were two superintendents who indicated a role in informing the negotiator of criteria used to evaluate him. One superintendent reported that the negotiator seemed to react negatively to the information that the board would be evaluating him and interviewing him with evaluative questions at the conclusion of negotiations. However, the overwhelm-

ing majority of superintendents indicated that the negotiator was not informed of any criteria used to evaluate him, although several noted that the assumption was made that the negotiator would be aware of the fact that he would need to meet the objectives for his being hired. Informing the negotiator of the purposes for which he was being hired was not specifically considered to be identical to informing him of the criteria for which his performance was to be evaluated unless he was actually informed of that relationship if it did in fact exist.

The next question in the interview instrument sought to determine the role of the superintendent in determining if or how the use of the negotiator facilitated the accomplishment of the superintendent's general goals for the district. There were no superintendents indicating that this aspect of the evaluation process was done in a formal systematic manner, although five superintendents responded that they had participated in at least an informal assessment of the negotiator's performance in terms of the superintendent's general goals for the district. The five superintendents mentioned that informal discussions were held with the administrative staff, with the board, or both to assess how the negotiator assisted in the attainment of district-wide goals. Among the general goals noted were: (1) the avoidance of a strike; (2) maintenance of positive relationships with staff; (3) being able to conduct negotiations without "prostituting the staff"; and (4) insure that negative reactions related to negotiations would be on the part of teachers, not administration. One superintendent indicated that the assessment conducted in the phase of the overall evaluation process was an ongoing continuous activity, and not just an

exercise occurring at the conclusion of negotiations. The remaining superintendents indicated that there was no discussion with either staff or board relating the performance of the negotiator to their general goals for the district. In fact, two superintendents responded that there was no relationship between the performance of the negotiator and the attainment of district goals.

The purpose of the next interview question was to determine the role of the superintendent in follow-up evaluation or assessment during the school year to determine the effect of the negotiator's performance on the staff's ability and practice in achieving the school's primary aim of educating its students. In other words, what was done to measure the effect of the negotiator's performance on the instructional program? The majority of the superintendents responded that there was no relationship between the negotiator's performance and the education of students, and therefore, there was no reason to conduct any follow-up evaluation trying to relate the two. One superintendent commented that the negotiations were between the board and the teachers, and consequently, the students were not involved. There were five superintendents who discussed the matter, at least informally with their administrative staffs, or made observations about the relationship. One superintendent kept in constant touch with principals throughout the year to discover any problems with the contract as related to instruction and thereby have a continuing evaluation of the performance of the negotiator. Another superintendent met monthly with each building staff to informally evaluate the implementation problems, if any, in the contract, as related to the instructional program. Still a third superin-

tendent through informal observation, determined that the negotiator was the catalyst which allowed him to maintain credibility with the staff. Thus he was able to operate an effective educational program.

One superintendent responded that there was a great potential for the negotiator to have a negative effect on the instructional program and, in effect, to destroy it. He saw his own role in this regard as insuring that the negotiator or the negotiations process did not tamper with the instructional program. In a sense, therefore, the superintendent's follow-up evaluation of the instructional program as related to negotiations functioned more as an evaluation of his ability to control the negotiator rather than an evaluation of the negotiator himself.

Overall, the role of the superintendent in the systematic evaluation of the negotiator was quite minimal. As Table 5 indicates, the total percentage of YES responses relating to the various aspects of the evaluation process which have been discussed, was quite low. It was 20 per cent for all combined cells with a high of 25 per cent for Cell B and Cell C and a low of 10 per cent for Cell D. Furthermore, there was no aspect which had more than five YES responses. There was a much greater degree of participation by the superintendents in selecting and using the negotiator than in evaluating him.

There were two additional interview questions relating to the evaluation process. The first of these questions sought to determine how the superintendent was, in fact, satisfied with the performance of the negotiator if no formal evaluation process was used. There were two primary measures used to determine satisfaction. They were: (1) tightness of contract and (2) contract within budgetary limits. Five superintendents

mentioned both of those factors. Other factors noted by one or two superintendents were: avoidance of a strike, minimum of turmoil in staff morale; speed of settlement; allowing the superintendent to maintain credibility; and the negotiator did what he was told. There were three superintendents who did not examine anything in particular to determine whether or not the performance of the negotiator was satisfactory. Their feeling of satisfaction came as a result of informal observations and discussions as well as intuition. In other words, the satisfaction came as a result of subjective, rather than objective analysis.

The other question asked how the role of the superintendent in evaluating the negotiator compared with his role in evaluating principals. If there were differences noted, the superintendent was asked why the differences existed between evaluating the negotiator and principals. Four superintendents indicated that there were no differences in their role in evaluating the negotiator as compared to their role in evaluating the principal primarily because there was only an informal evaluation in both cases. One superintendent noted that since he had no time to evaluate principals, he certainly had no time to evaluate the negotiator. Another noted that there was no structure to evaluations since "all evaluations are worthless."

The remaining twelve superintendents indicated that there was a difference in their role in evaluating the negotiator as compared to their role in evaluating principals. In each case there was a systematic, formal evaluation of principals and a very loosely structured informal evaluation of the negotiator. Among the reasons cited for the

differences were:

1. The negotiator is like a salesman with a single function--to obtain a contract. His productivity is the obvious measurement. He either got the contract within the limit set or not.
2. The job of the negotiator cannot be compartmentalized nor does it lend itself to objective criteria.
3. The negotiator operates on a pass/fail system. He is used and in a sense discarded. That kind of flexibility is not necessarily desirable for principals.
4. There must be documentation ready to go to court for principals, while there is only productivity on a single issue for negotiators.
5. Principals are employees with specific places on the organizational chart, whereas the negotiator may not be placed on the chart as such.
6. Principals had input on the criteria used for their evaluation, while the negotiator had none and was evaluated only by a series of informal subjective statements.
7. It was the superintendent's responsibility to evaluate principals and the board's responsibility to evaluate negotiators.

In general the major reason for differences was that the task of establishing criteria for the job of the negotiator was not necessary since the contract itself served as the primary piece of evaluative evidence.

In summary, there seemed to be little formal involvement in evaluating the negotiators by the superintendents. In fact, there did not appear much interest on the part of superintendents to become involved in formal evaluations of the negotiators. Nevertheless, two superintendents indicated that the interview questions had caused them to do some thinking on the issue which would possibly result in implementation of a formal evaluation of the negotiator.

Role of Board in Evaluating Negotiator

The final specific purpose of the study as stated in the first chapter was to determine the role of the board in the evaluation of the professional negotiator. The interview questions used with the board members were, once again, identical with those used with the superintendents. Therefore, the responses of board members are presented in the same manner in Table 6 as were the responses of the superintendents in Table 5.

TABLE 6

YES Responses by Board Members Regarding Their Role
in the Evaluation of a Negotiator

Aspect of Evaluation Process	Number of YES Responses				TOTAL
	CELL A	CELL B	CELL C	CELL D	
1. Select criteria	1	1	3	0	5
2. Measure criteria	0	1	1	0	2
3. Inform negotiator of criteria	1	0	0	0	1
4. Determine the achievement of general goals for district	1	0	1	1	3
5. Conduct follow-up evaluation	0	0	2	0	2
Percentage of YES Responses	15	10	35	5	16

The first question related to evaluation sought to determine the role of the board in selecting the criteria used to evaluate the negotiator. Five board members responded that their boards were involved in this aspect of the process. However, there was no development in a systematic way of formal criteria, even by these five boards. The criteria were not very explicit, but in most cases were quite general in nature. Among the

criteria developed by the board to be used to evaluate the performance of the negotiator were: accessibility, ability to work with board members, procurement of a good contract, maintenance of high staff morale, and ability to stay within the limits set by the board. Only one of those board members indicated that there was input from the superintendent in the establishment of criteria. In any case, where criteria were selected, quite often the criteria related more to an evaluation of negotiations in general rather than the negotiator per se, although the relationship between the outcome of negotiations and the performance of the negotiator is apparent. In eleven of the districts no criteria were adopted at all, and thus the board had no role in this aspect of the negotiations process.

The board's role in the measuring of the criteria used to evaluate the negotiator was the focus of the next question. There were only two boards which were involved in measuring the established criteria used to evaluate the negotiator. In both of those districts, the board had a role in developing the criteria used to evaluate the negotiator. Of the other three boards which had a role in developing the criteria, two directed the superintendent to do the measuring, and one board assigned it to the director of personnel. In the two districts where the board was involved in measuring the criteria, the evaluation was a very informal one. For example, the board in one district set as its primary criterion in the evaluation of the negotiator, "Did he do what he was told?" The board then informally discussed what the negotiator had been told to do and if he had carried out the board's directions. However, as in the previous question, the great majority of boards had no role in the aspect of the evaluation process in question.

The next interview question sought to determine the board's role in actually informing the negotiator of the criteria used to evaluate his performance. Only one board member indicated that the board had a role in that aspect of the evaluation process. Even in that district, the board's role was minimal. The board related to the negotiator its objectives for negotiations and informed the negotiator that he would be expected to help the board attain those objectives. There were three basic responses from those board members who indicated that their board did not inform the negotiator of the criteria used to evaluate him. One response was that there were no criteria; therefore, the board could not be involved. The majority of boards responded in this manner. The second type of response was that the negotiator knew the criteria without having to be told. The third type of response was from a board member who indicated that if the negotiator knew why he was being hired, he would use his acting ability to please the board. Therefore, this board member felt that it was not the negotiator's business to know the criteria used to evaluate him.

The board's role in determining the extent to which the negotiator helped the board meet its general goals for the district was the focus of the next question being reported. Once again there was very minimal board involvement in this aspect of the evaluation process. Even in the districts where the board was involved, such involvement was basically informal discussion among board members. There were three boards involved in examining how the use of the negotiator met the board's goals for the district. In the district where this activity was done most systematically, the board examined the contract at

the conclusion of negotiations to determine if it met the goals which the board had for the district. The examination was essentially done from a budgetary perspective. Therefore, the burden of the evaluation fell to the finance committee of the board. However, this was used as an evaluation of the negotiator indirectly, since it was the contract being evaluated. The contract was considered the product of the negotiator's performance and as such was utilized to evaluate the negotiator. Another board was implementing a new philosophy of education for the district, and therefore examined the performance of the negotiator in the light of his ability to assist the board in maintaining high staff morale during the implementation phase. In most districts, however, there was no formal nor informal discussion of this aspect of the evaluation process by boards.

The question relating to the board's role in conducting follow-up evaluation during the school year to determine the effect of the use of the negotiator on the school district's primary aim of educating its students, produced a similar response pattern with other questions in the area of evaluation. Two board members indicated that their boards conducted informal follow-up evaluation of the negotiator's performance by observing that improved staff morale attributable to the negotiated contract resulted in better teaching performance. Except for noting how soon the contract was settled and the number of grievances filed during the year, the determination of improved morale was highly subjective. The remainder of the board members indicated that there was no relationship between the performance of the negotiator and the education of students, and therefore the board had no role in evaluating

the negotiator in that manner. One board member responded that any relationship between negotiations and the education of students was the board's responsibility and not the negotiator's.

As Table 6 indicates, the summary of the YES responses by board members relating to the role of the board in the evaluation of the negotiator leads to the conclusion that the board was not involved very much in the process. The total percentage of YES responses was 16 per cent. There was a substantial between cell variation, however. Cell C had a response percentage of 35, while Cell D had a response percentage of 5. The percentage of YES responses by board members regarding the role of the board in the evaluation of the negotiator was much less than the responses regarding the role of the board in the selection and use of the negotiator.

An additional interview question sought to determine how boards were satisfied with the performance of the negotiator if a formal evaluation process were not utilized. There were several factors which were mentioned as causes for being satisfied with the performance of the negotiator. Among them were general comments such as, "We have a good contract," "We got what we wanted," and "The negotiator followed our instructions." More specific factors were also noted by some board members. Some of these factors were: a multi-year contract was obtained; the negotiator kept the line on spending; the language was improved in the contract; negotiations were conducted without hostility; and the negotiator prevented the board from being stymied by the teacher negotiator. Boards were satisfied with the negotiator's performance either in terms of the product of negotiations--the contract--or the negotia-

tor's behavior in negotiations or both. Boards generally arrived at their feeling of satisfaction through informal discussion and/or observation rather than formal deliberation.

The final interview question reported on asked how the role of the board in evaluating the negotiator compared with the role of the board in evaluating the superintendent. Five of the board members responded that there was no difference between their board's role in the evaluation of the negotiator and their role in the evaluation of the superintendent. In those five districts, there was no formal evaluation of either. There was only informal discussion, if anything, related to evaluating the negotiator and the superintendent. The remainder of the board members indicated that even though there was no formal evaluation of the negotiator, there was a formal evaluation of the superintendent. One board, for example, had a four-page format for evaluating the skills of the superintendent, while another board evaluated the superintendent's achievement of explicitly stated goals. Among the reasons given by board members for the difference between the board's role in the evaluation of the negotiator with its role in the evaluation of the superintendent were: (1) the negotiator's responsibility was very limited and did not provide the time, structure, and exposure for evaluation; (2) the negotiator's performance was a one-shot deal and did not necessitate the day-to-day evaluation required for the superintendent; (3) because of the nature of the responsibility of the negotiator, the board's evaluation of him was performance deficiency oriented; and (4) the negotiator was not an employee of the district.

Summary

The involvement of both the superintendent and board in the selection, use, and evaluation of the negotiator followed a similar pattern. With both boards and superintendents, there was an involvement of the majority of respondents in the total aspects of the selection and use processes questioned. Involvement was quite high by both boards and superintendents in the selection and use of the negotiator and quite low by both in the evaluation of the negotiator. Overall, Cell B (large size, low wealth) superintendents and Cell C (small size, high wealth) boards had the greatest total involvement, while Cell D (small size, low wealth) superintendents and boards had the least total involvement in the selection, use, and evaluation of the negotiator. The data are summarized in Table 7.

TABLE 7

Summary of YES Responses by Superintendents and Board Members
Regarding Their Role in Selection, Use, and
Evaluation of a Negotiator

Process	Superintendent			Total %	Board	
	Total %	High Cell (%)	Low Cell (%)		High Cell (%)	Low Cell (%)
Selection of negotiator	78	B (89)	D (68)	63	C (75)	D (50)
Use of negotiator	75	B (90)	A (60)	83	B,C(85)	A,D(80)
Evaluation of negotiator	20	B,C(25)	D (10)	16	C (35)	D (5)

CHAPTER IV

ANALYSIS OF DATA

The preceding chapter presented the data gathered from the interviews with sixteen superintendents and sixteen board members from selected elementary school districts in Cook, Lake and DuPage Counties in Illinois which had employed an outside negotiator. In this chapter the data will be analyzed primarily from the perspective of their relationship to the components of the administrative process as outlined by Campbell.¹ It is recognized that the behavior of superintendents and boards of education does not necessarily demonstrate a conscious attempt to conform to a prescribed norm--the administrative process. However, as was indicated in the first chapter of this study, Campbell, even though regarding the administrative process as a conceptualization and not an observed phenomenon, still maintained that the administrative process was a "useful guide to the practicing administrator" suggesting "how the educational administrator would behave if he wished his activity to result in the greatest attainment of objectives with available resources."²

This chapter will examine the data for both superintendent and board for each of the components of the administrative process--decision-making, programming, stimulating, coordinating, and appraising. The

¹Roald F. Campbell, Edwin Bridges and Raphael Nystrand, Introduction to Educational Administration (5th ed.; Boston: Allyn and Bacon, 1977), pp. 166-175.

²Ibid., p. 166.

focus will be on determining the extent to which superintendents and boards utilized the administrative process in the selection, use, and evaluation of the outside negotiator.

Role of Superintendent and Board in Decision-Making

There were five interview questions related to various aspects of the decision-making component of the administrative process. The YES responses of both superintendent and board are presented in Table 8.

TABLE 8

YES Responses by Superintendents and Board Members Regarding
Their Role in the Decision-Making Component
of the Administrative Process

Aspect of Component	Number of YES Responses									
	CELL A		CELL B		CELL C		CELL D		TOTAL	
	S	B	S	B	S	B	S	B	S	B
1. Identify and analyze problem	4	4	4	4	4	4	4	3	16	15
2. Determine objectives	3	4	4	4	2	4	3	4	12	16
3. Consider alternatives	4	3	3	1	2	1	1	1	10	6
4. Research consequences	2	2	4	3	4	3	2	0	12	8
5. Make decision	3	4	4	4	4	4	4	4	15	16
Percentage of YES Responses	80	85	95	80	80	80	70	60	81	76

As Table 8 indicates, both superintendents and boards had involvement, at least to some extent, in identifying the problem that eventually lead to the hiring of an outside negotiator, and in actually making the decision. There were differences in the responses of the superintendents and board members in the other three aspects of the decision-making component.

The boards were more involved in determining the objectives for hiring the negotiator, while the superintendents were more involved in considering alternatives to hiring the negotiator and researching the consequences of hiring the negotiator. The total percentage of YES responses by both superintendents and board members was quite similar, although there were variations among questions, as has been indicated.

The decision-making component consists of far more than an irrational whim by the decision-maker. In its essence, decision-making involves rational deliberation, careful diagnosis and a thorough consideration of the means used to achieve the ends. Each major administrative decision necessitates the utilization of this comprehensive approach to decision-making. Therefore, the decision to employ a negotiator can be analyzed within this framework.

There were school districts in which both superintendent and board were involved in the various aspects of the decision-making component, while in others, only one, or neither of them were. In Cell D, for example, the superintendents and the boards had the least percentage of YES responses for all cells for the decision-making component. That cell was comprised of small size, low wealth districts. Superintendents in those districts generally presented themselves as very much in control of the district. Concomitant with such control was the assumption that the decision regarding the negotiator was primarily the responsibility of the superintendent who then acted to convince the board to approve his decision to employ an outside negotiator. With the power apparently centralized in the person of the superintendent, he did not appear to be concerned that he be thorough and deliberate in considering

the decision. One evidence of this lack of thoroughness is the fact that in Cell D, none of the boards and only two of the superintendents researched the consequences of hiring a negotiator. In fact, two districts had neither the superintendent nor the board considering alternatives and researching the consequences. On the other hand, the superintendents in Cell B presented themselves as being very concerned about being comprehensive and thorough in their decision-making. These superintendents of large size, low wealth districts consequently had the highest percentage of YES responses. They gave the impression in their responses that they considered it a necessity to do a thorough job both to satisfy themselves and to satisfy their boards.

A systematic approach to making the decision to hire a negotiator was present in only a few school districts. Although generally there was involvement by superintendents and boards in the various aspects of the decision-making component, such involvement was often superficial. The Campbell presentation of decision-making assumed that the reaching of a decision would be the culmination of a deliberative, sequential, logical process. The decision-making process as related to the employment of the negotiator in a number of districts went from recognizing a problem to making the decision to hire. The responses from superintendents and board members in those districts yielded no evidence of significant consideration of other aspects of the decision-making component. Even in the initial aspect of the decision-making process, the activity of boards and superintendents seemed to be focused on identifying, not analyzing, the problem. The recognition of the problems related to negotiating without the services of an outside negotiator

did not lead to discussion and deliberation about how the problem developed and what its present implications for the superintendent, board, and entire school district were. The development of objectives to solve the problem was generally not done systematically. In other words, the objectives were not formally written by either the superintendent or board, but more often than not were an unstated consensus of superintendent and board feelings. The superintendents and board members, on the whole, gave the impression that to go through the various steps in the decision-making process was a waste of time and resources.

There are a number of implications for the superintendents and school boards emanating from the data already presented. Decisions which have been made without systematic, thorough and deliberative consideration are subject to question during the implementation phase of the process. A thorough analysis of the negotiating problem which then led to the development of formal objectives to solve the problem, along with rational consideration of alternative solutions to the problem and researching the consequences of the alternatives would have left very little opportunity for the superintendent and board to be surprised with the results of the decision. Whether or not there were, in fact, any surprises, is not particularly relevant. Superintendents and boards which did not systematically proceed through the decision-making process in regards to the hiring of a negotiator, left themselves open to the possibility of major surprises. It is not surprising, therefore, that in the one district in which the board and superintendent voiced the greatest dissatisfaction with the negotiator, there was no involve-

ment by either the superintendent or board in considering alternatives to and researching the consequences of hiring a negotiator.

Although the superintendent, as chief administrator, has the primary responsibility for implementing the components of the administrative process, such was not always the case in the districts which were studied. In those aspects of decision-making in which the superintendent was not involved, the board sometimes assumed the responsibility, or that particular aspect was not practiced at all. If the superintendent is to be the chief administrator, then he must involve himself in all aspects of the decision-making component of the administrative process. His inactivity creates a power and procedural vacuum which is either not filled or filled by someone who does not have that primary responsibility. In other words, if the board is more involved in the various components of the administrative process than the superintendent, then the question must be asked as to who really administers the district--the superintendent, the board, both, or neither. The decision to hire a negotiator is an extremely important one, having considerable consequences on the operation of the school district. If the superintendent is to lead the school district responsibly, he must be completely involved in the decision. There are potential problems of establishing and maintaining the position and responsibility of leadership for a superintendent who leaves a decision of this magnitude completely up to the board. It would be advisable for the board to approach the decision as thoroughly as possible, as well as the superintendent, since negotiations problems can have a deleterious effect upon the total operation of the school district in terms of staff morale, administrative credibility, and

financial stability to name just a few areas. For superintendents and boards to approach their decisions systematically only in certain instances and not in others can result in situations where the aspects of the administrative process component of decision-making were not employed but should have been. It is more advisable for the administrative process to be applied to all decisions as a matter of course, than not to consider the decision to be important or significant enough to utilize the comprehensiveness as described in the administrative process. More potential problems are inherent in a situation where the superintendent and board are not thorough or systematic in their approach to decision-making than where both are involved in the deliberative consideration of a decision which affects both of them. If the superintendent and board do not approach a decision as important as hiring a negotiator systematically, there is a question concerning whether other decisions which are equally important are being approached systematically.

The decision-making component is, in a sense, the foundation of the administrative process. The more completely decision-making is done, the more it facilitates the practice of the other components. The programming component flows naturally from the objectives and consequences considered and established in the decision-making component, for example. In districts in which the superintendents and boards have not utilized a comprehensive decision-making component, however, the other components suffer. The task of evaluating (the appraisal component) is made more difficult when there has been little discussion or formal determination in the decision-making component as to the goals and objectives for hiring the negotiator.

Role of Superintendent and Board in Programming

The next component in the administrative process in Campbell's presentation was programming. This component is a natural and logical next step following the decision-making component. Programming involves arranging for the implementation of the decision made in the initial component. Without well organized implementation plans and procedures, any decision runs the risk of being worthless or, even worse, counterproductive to the organization. Matters such as arranging for the organization of the staff and budgeting for the implementation of the decision are considered intrinsically invaluable aspects of this component. Because each of the components of the administrative process are related to and dependent upon each other for the full development of that process, there is no unimportant component. Therefore, the programming component is no less crucial to an organization than is any other component.

In the interview, three questions were asked relating to the programming component. One question asked about the superintendent's/board's role in budgeting for the negotiator (arranging for the budget); another question sought their roles in contacting the negotiator (arranging for the selection of personnel); and the third question focused on their roles in determining the roles of the superintendent, board and negotiator in negotiations (arranging for the organization of personnel). The responses to these questions provided data relative to the role of the superintendent/board in programming. Table 9 presents the data in this area.

The percentage of YES responses was lower for both superintendents and boards for questions relating to programming than their responses to

TABLE 9

YES Responses by Superintendents and Board Members Regarding
Their Role in the Programming Component of
the Administrative Process

Aspect of Component	Number of YES Responses								TOTAL	
	CELL A S	CELL B B	CELL A S	CELL B B	CELL C S	CELL B B	CELL D S	CELL B B	S	B
1. Arrange for budget	2	0	2	0	2	3	1	2	7	5
2. Contact negotiator	3	2	4	2	4	1	4	0	15	5
3. Determine roles	2	4	3	3	2	3	3	3	10	13
Percentage of YES Responses	58	50	75	42	67	58	67	42	67	48

questions relating to the decision-making component. Less than half of either the superintendents or boards were involved in budgeting for the negotiator. As a matter of fact, six districts had neither the superintendents nor the board arrange for the budgeting of the negotiator's services. There was a great difference between superintendents and boards as to their roles in contacting the negotiator. The superintendents were quite involved in this aspect of programming, while the boards had very little involvement, since only five boards were actively involved in directly contacting the negotiator. Six superintendents and three boards did not actively participate in determining the role of the negotiator, board, and superintendent in negotiations. This programming aspect, which related to the organization of personnel subsequent to the decision to use the negotiator, was, however, carried out by a majority of superintendents and boards. In every case but one, if the superintendent was not involved in arranging for the organization of the various personnel regarding negotiations, then the board was involved.

When the board was not involved in that aspect, the superintendent was involved. In the one district where this was not the case, the negotiator was exclusively allowed to make that determination.

Overall, there was not much between cell differences regarding the responses by superintendents and boards to the questions related to the programming component. However, there was a noteworthy difference between superintendents and boards especially regarding their role in contacting the negotiator. Many board members responded to the question about contacting the negotiator that they felt that that task was the responsibility of the superintendent. Actually, in fifteen of the sixteen districts, either the board or the superintendent or both were involved in arranging for the selection of personnel and arranging for the organization of personnel. The greatest deficiency was the programming aspect of arranging for the budget, since, as has been noted, six districts had no involvement by either superintendent or board.

The YES response data lead to a number of implications for school districts regarding programming. If the involvement by superintendents and school boards in decision-making was often superficial, the budgetary aspect of programming was too often non-existent. The failure to budget for the negotiator is an indication of a lack of deliberative consideration of alternatives to and consequences of hiring a negotiator. Such deliberation should have been a part of the decision-making component. Had the decision to hire a negotiator been approached in that manner, the implementation task of budgeting to pay the negotiator would not have occurred so infrequently. Without a specific amount budgeted to pay the negotiator, the board is essentially at the mercy of

whatever the rate the negotiator happens to charge. In fact, a number of superintendents and board members indicated that their only involvement in paying the negotiator was to agree to his fee. It is interesting that the cell which had the greatest involvement by superintendents and/or boards in budgeting for the negotiator also had a high involvement in the researching consequences aspect of the decision-making component. In these small size, high wealth districts, the respondents appeared to be quite satisfied with their own budgetary practices.

As a general practice, superintendents prepare the budget for the school district. However, nine superintendents did not include in the budget even a guess as to how much to pay the negotiator. In most cases, the reason that a certain amount was not budgeted was because the matter was not considered in the preparation of the budget. Such lack of financial planning can lead to financial difficulties in the district, or at least, invite the possibility of the necessity of "budgetary gymnastics" in order to come up with the funds needed for services performed for the district. The systematic programming in the budget of the decision to hire a negotiator would have been the natural result of a rational systematic decision-making process. However, because the decision to hire was not arrived at in a deliberate comprehensive manner, in many cases, the budgetary implementation of that decision was not accomplished according to the Campbell description of programming. In too many districts, neither the superintendent nor the board assumed the responsibility for budgeting for the negotiator directly or even indirectly by including the negotiator's fee in the contractual services category of the budget. In only a few districts was the budgeting the result of an

organizational, joint superintendent-board decision.

Programming essentially involves the most efficient and effective arrangement for the use of the district's resources. Such arrangement is made less attainable when the board and superintendent have not planned and arranged for the budgeting of strategic services. Not having any real projection ahead of time of the cost of the negotiator could be an indication of a lack of thoroughness in the entire financial planning of the superintendent and board for the district. The cost of a particular negotiator is not particularly relevant. What is germane to the discussion here is the concern that superintendents and boards establish budgetary guidelines and limits as a result of their decision to hire a negotiator. One caution which boards and superintendents would need to keep in mind, however, is that the budgeted amount for a negotiator should not serve as an absolute upper limit. There may be instances when the negotiator's services would exceed the budgeted amount, and it may not be prudent to discontinue the negotiator's services while bargaining is still in process.

There was much greater involvement by superintendents especially, in the programming aspect of contacting the negotiator and by boards in arranging for the organization of personnel roles during negotiations. However, the lack of superintendent participation in budgeting for the negotiator left the superintendent at somewhat of a disadvantage in contacting the negotiator, since there had been no concrete deliberation with the board concerning the amount to be paid the negotiator. Contacting the negotiator without prior rational consideration that a comprehensive decision-making component would have entailed, many superintendents

were not totally clear or informed in their own minds as to what they were seeking in a negotiator. The somewhat mechanical task of contacting the negotiator was essentially performed in a void by superintendents who had only superficially been involved in the decision to hire the negotiator and not been involved at all in budgeting for the negotiator. The programming component assumes its raison d'etre as it, in a sense, builds on the foundation laid in the decision-making component and is a preparation for the smooth and efficient operation of the stimulating, coordinating, and appraising components. Therefore, effective programming cannot occur in isolation. Even though the superintendents are highly involved in one aspect of the programming component, that is no indication that there has been sufficient preparation and adequate follow-up to that aspect. Contacting the negotiator, nevertheless, is an activity which, because of time restriction, is more easily accomplished through the activity of the superintendent.

The fact that six superintendents had no involvement in determining the role of the superintendent, board and negotiator in negotiations demonstrates a lack of involvement by superintendents in the arrangement for the organization of personnel aspect of programming. As chief administrator for the district, the superintendent has the responsibility to have input into organizing the personnel in the district in the most effective manner possible. An area as encompassing and vital as negotiations would seem to require the utmost in concern by the superintendent. However, in those six districts, such was not the case. The superintendents allowed the board, and in one case the negotiator, to determine exclusively how the boards' negotiating personnel were to be

organized. A major brunt of the blame for the negotiations failure is going to fall upon the superintendent, whether or not he was involved in programming the personnel, so the superintendent must make every effort to be involved in each aspect of the programming component to mitigate against such criticism.

Although, by and large, relying on the superintendent to contact the negotiator, boards generally recognized the importance of their being involved in organizing personnel in negotiations. Having input into the role determination of the board personnel does not necessarily mean that the input is exclusive, but it does mean that such organization is not accomplished without some board participation. Nevertheless, the board cannot leave the programming component entirely up to the superintendent. Board involvement in programming should flow naturally from board involvement in decision-making. In a matter as important as negotiations, boards, the ultimate policy makers of the district, and superintendents, the delegated head administrators, should work as a team in facilitating the attainment of district goals via the components of the administrative process, if those goals are to be attained most efficiently and effectively. As a whole, boards tended to be relatively passive in certain aspects of programming. Such inactivity was especially unwarranted in those districts where the superintendents were also not involved in the programming component. The entire administrative process is actually only as effective as its weakest component. The relatively low degree of involvement by boards and superintendents in programming was not inconsistent with the superficial involvement in the decision-making component.

Role of Superintendent and Board in Stimulating

Stimulating is the third component of the administrative process. The aim of stimulating is to elicit individual efforts and contributions in implementing the decisions of the organization. As has been stated, there is a relationship among the various components of the administrative process. Stimulating is no exception. Just as programming is designed to implement the decision made in the initial component through organization, stimulating is designed to insure that programming plans are actually carried out. Without the leadership and direction, implicit in the description of stimulating, being provided by the superintendent and board, decisions and implementation plans made in the first two components of the administrative process could prove to be ineffective. Communications is considered the essential ingredient in stimulating. In a sense, communications is the vehicle used to help those in the organization achieve their objectives. Maximum productivity is facilitated when, through communications, those involved in helping the organization attain its goals, know what the goals are.

In the interview instrument, there were five questions related to the stimulating component. Four of the questions focused primarily upon the role of the superintendent and board in communicating--with each other and with the negotiator. It was assumed that communication with the negotiator was a method of using the stimulating component. The interview questions which related to this component, as well as those questions which related to the other components, were not inclusive of every aspect of the component, nor were they exclusive to one particular component category. Nevertheless, the questions provided data for

analysis within the framework of the stimulating component. The interview responses related to this component of the administrative process are presented in Table 10.

TABLE 10

YES Responses by Superintendents and Board Members Regarding
Their Role in the Stimulating Component of
the Administrative Process

Aspect of Component	Number of YES Responses								TOTAL	
	CELL A		CELL B		CELL C		CELL D		TOTAL	
	S	B	S	B	S	B	S	B	S	B
1. Supply negotiator with information	3	3	4	3	4	4	3	3	14	13
2. Communicate with negotiator	3	4	4	4	4	3	3	4	14	15
3. Communicate with bd./supt.	2	2	4	4	4	4	2	3	12	13
4. Inform negotiator of evaluation criteria	1	1	0	0	1	0	0	0	2	1
5. Participation of negotiator in role determination	3	3	3	3	4	4	2	2	12	12
Percentage of YES Responses	60	65	75	70	85	75	50	60	67	67

As evidenced by Table 10, there was remarkable consistency between superintendent responses and board member responses regarding their involvement in communicating with the negotiator. Almost all boards and superintendents supplied the negotiator with information relative to the purposes for which he was hired and communicated on an ongoing basis, either directly or indirectly, with the negotiator. On the other hand, involvement by either superintendent or board to inform the negotiator of criteria used to evaluate him was quite minimal. The majority of the superintendents and boards communicated with each other regarding

negotiations. In both districts in Cell A where the superintendents did not communicate with the boards, the superintendents were as uninvolved as possible with negotiations. In Cell D, there was no communication by the superintendent with the board for different reasons. In one district, the superintendent had a very dominant role in negotiations, while the board was quite uninvolved. The superintendent did not feel the need to communicate with the board. In the other district, the superintendent and board did not communicate because there was a basic difference between them regarding the approach to negotiations. It was in this district that the board noted that relations had deteriorated between them and the superintendent.

It is assumed that allowing the negotiator to be a participant in his own role determination in negotiations is an indirect technique in the stimulating component. Allowing personnel to have input into what their role will be serves as a motivator to them to work most effectively to attain their individual and organizational goals. There is, of course, a difference between having input into role determination and having complete authority and responsibility for it. There were twelve districts in which the negotiator had input into determining his role in negotiations. However, in a number of those districts, that input consisted of complete and total responsibility whereby the negotiator made the decision regarding the role he was to assume in negotiations, and often the role to be assumed by the superintendent and board, as well.

Overall, there was very little difference between the superintendent and the board with regard to their involvement in stimulating, one of the components in the administrative process. There was also not

much variation among the four cells, although Cells B and C had greater YES responses than did Cells A and D.

The results of the stimulating component responses lead to a number of implications. Superintendents and boards, even though involved in communicating with the negotiator, were selective in the type of information shared with him. Information was shared with the negotiator concerning the purposes for which he was hired. However, since in most cases, determining the objectives for hiring the negotiator came not as the result of deliberate consideration and rational development in the decision-making process, the information shared with the negotiator was not always specific and comprehensive. The communication was often of a very general nature, such as "get a good contract." This type of communication is not specific enough to be very helpful in stimulating the negotiator to be productive. Communication, if it is to be related to the stimulating component, should be designed to give specific information on what the specific goals of the negotiator's activity are to be. Although several superintendents and boards presented that kind of information to the negotiator, many did not. Not presenting specific goal information to the negotiator, can create problems for the negotiator attempting to determine and striving to attain unknown specific objectives.

Lack of specific objectives may create further leadership problems for the superintendent and board. If it is not clearly established as to what the goals and objectives are for hiring the negotiator, it becomes more difficult to determine the degree to which the superintendent and board are satisfied with the performance of the negotiator.

The problem is exacerbated when the superintendents and boards fail to communicate with the negotiator the criteria used to evaluate his performance. There were practically no boards nor superintendents involved in this aspect of communications. A substantial portion of the explanation of the failure of superintendents and boards to communicate to negotiators in this area is the fact that criteria for evaluation were not specifically established. If superintendents and boards communicated rather unspecific information to the negotiator concerning why he was hired and no information regarding how he was to be evaluated, then it is doubtful that much meaningful stimulating occurred. When such a minimal amount of information was shared with the negotiator, then it can be asked whether the success of the negotiator (if indeed he was successful) was achieved because of the lack of information shared or in spite of it. Were that kind of lack of communication practiced with all members of the organization, there would be doubt as to whether the individuals in the organization would be motivated and directed through communication to achieve the maximum in productivity for themselves and for the school district.

Communication must, of course, be downward and upward. The fact that, by and large, negotiators were allowed to have input into their own role determination was an indication that superintendents and boards were willing to allow upward communication. The problem in this area was that in many cases, districts did not communicate downward and negotiator input became negotiator responsibility for role determination. There must be caution exercised that the negotiator is not given responsibility to the exclusion of the leadership prerogatives of the superin-

tendent and school board. Even though the negotiator is regarded as a person with expertise, his function is to recommend and not to determine roles. The kind of carte blanche given to the negotiator would result in utter chaos in the district if extended to all those performing services for the district.

The area of negotiations is such a crucial one for the school district that superintendents and boards can ill afford anything less than open and continuing communication between themselves and the negotiator. The results of negotiations have far-reaching implications for the entire district. Consequently, when problems come as a result of the negotiated settlement, quite often they could have been avoided by prior discussion and communication. Most superintendents and boards were aware of the necessity to communicate with each other regarding negotiations. The cooperative team concept of negotiations as recommended in the literature is an impossibility when there is little communication between superintendent and board. As was indicated earlier, in the few districts where there was such lack of communications, it was either due to complete avoidance of negotiations by the superintendent or autocratic control of negotiations by the superintendent. The literature suggested that both alternatives were unacceptable postures to be maintained by the superintendent in negotiations. It is noteworthy that the cell in which the superintendents evidenced and reported the greatest amount of personal control over the school board, was the cell where communication was the least. It was also the cell in which the superintendent and board expressed the greatest amount of dissatisfaction with the negotiator and the cell in which the relations between

board and superintendent deteriorated relative to negotiations. The focus of this study was not to determine which caused which, but to indicate that there does, in fact, seem to be some kind of relationship between the practice of the stimulating component and the facility with which decisions are implemented.

Role of Superintendent and Board in Coordinating

As all of the components of the administrative process are inter-related, the next one functions most productively when it is based on the foundation laid in the first three components. The fourth component, coordinating, involves the superintendent and board in synchronizing the work of all involved in the organization so that activity in the organization operates according to plan. Coordinating requires the assumption that no one performing services for the school district does so independent of everyone else in the organization and that to be successful, such services are interdependent in nature. Therefore each person is to be aware of how his role relates to the role of everyone else. A lack of role definition, confusion, and job dissatisfaction are the results when coordinating is not practiced.

There were four interview questions related to the coordinating component. The data relating to this component are presented in Table 11. One of the facets of coordinating is defining a person's role in the organization, and how that role relates to others. In one of the questions in the interview, superintendents and board members were asked to indicate the person to whom the negotiator was responsible in actual practice. If there was disagreement in responses between the

TABLE 11

YES Responses by Superintendents and Board Members Regarding
Their Role in the Coordinating Component of
the Administrative Process

Aspect of Component	Number of YES Responses								TOTAL	
	CELL A		CELL B		CELL C		CELL D		S	B
1. Agreement as to whom negotiator was responsible	2	2	1	1	1	1	0	0	4	4
2. Satisfaction with role	4	4	3	4	4	4	3	3		
*No change or improvement in bd.-supt. relations	3	4	4	4	4	4	4	3	14½	15
3. Monitor agreed on roles	2	3	3	3	3	3	2	3	10	12
Percentage of YES Responses	62	75	62	66	66	66	46	50	59	65

*These two questions being combined have the value of one question.

superintendent and board, it was assumed that coordinating had not taken place. For purposes of presentation in Table 11, only if there was agreement between board and superintendent in response to the question regarding the reporting responsibility of the negotiator, was a YES recorded. The inference was made, therefore, that coordination had occurred. Since it was not certain who had been responsible for the coordinating when there was agreement, a YES response was recorded for both superintendent and board. Another result of not coordinating is that there will be confusion and dissatisfaction. Two questions related to this aspect. Board members and superintendents were asked if they were satisfied with their roles in negotiations with the negotiator present. Since superintendents and boards are involved in the administrative process, their responsibility for and activity in coordinating

would mitigate against dissatisfaction with roles. Therefore, a response that there was dissatisfaction with roles was recorded as a NO response in the coordinating component. It was assumed that since the board and the superintendent were responsible for coordinating, had they done so, there should not have been dissatisfaction with roles assumed by superintendents and boards regarding negotiations. Somewhat related to this interview question was a second one asking what changes were observed in the relationship between superintendent and board relative to negotiations when a negotiator was hired. Once again it was assumed that a deterioration in relations would point, among other considerations, to a lack of a coordinated effort by superintendent and board relative to negotiations. Therefore if relations worsened, a NO response was recorded and if relations had no change or improved, a YES response was recorded. Since these two questions were so related, and their relationship to coordinating was somewhat more inferential than the other questions in this section, the total responses for both were counted equal to the responses of each of the other questions.

The remaining question related to coordinating sought to determine the role of the superintendent and board in monitoring the agreed on roles in negotiations for the superintendent, board and negotiator. Since monitoring is considered essential if what begins as a coordinated effort continues as one, this question was applicable to this component.

The first question reported on which related to the coordinating component indicated that there was major disagreement between superintendent and board as to whom the negotiator was responsible. The most

common difference was that the superintendents indicated that the negotiator was responsible to them, in practice, while board members indicated that the negotiator was responsible directly to the board. This trend was evident in all cells, but most noticeably in Cell D where three of the four superintendents and no school board members indicated that the negotiator was responsible directly to the superintendent. In several districts the response was that the negotiator was responsible to both superintendent and board. This confusion as to whom the negotiator was responsible confirms the finding of Lyden in his study, who found that negotiators interviewed in Ohio were confused themselves about whether they were responsible to the superintendent, board or both.³

By and large, both superintendents and board members responded that they were satisfied with their roles in negotiations with the negotiator present. Furthermore, they did, in fact, note continued good or improved relations between themselves and the superintendent/board as a negotiator was being used. Therefore, there did not appear to be a lack of coordination to the point that morale and role satisfaction diminished. Quite the opposite was true. Much satisfaction was expressed by both superintendents and boards regarding their roles in negotiations. However, a superintendent and a board member (from separate districts) who expressed dissatisfaction felt that the negotiator acted as if he were responsible to no one and was out of control. Having the negotiator

³ Richard Lyden, "The Use and Efficacy of an Outside Negotiation Specialist by Boards of Education in Selected Ohio Schools" (unpublished Ph.D. dissertation, Miami University, 1974), Dissertation Abstracts 35(January, 1975) 4084-4085A.

being responsible to no one and being out of control, made the task of coordination more difficult and yet more necessary.

There was agreement among superintendents, boards and negotiators prior to the beginning of negotiations regarding what their respective roles were to be during negotiations. The interview responses indicated that a majority of both superintendents and boards were involved in monitoring the respective roles during negotiations. There were, however, two districts in which neither the superintendent nor board was involved in that continuing responsibility. In addition, there were several districts in which the monitoring was not done very systematically, but rather coincidentally through casual observation. Once again, the overall percentage of YES responses for the coordinating component-related questions was quite similar from cell to cell and between superintendent and board. Cell D had the lowest percentage in this component, just as in several of the other component categories. Superintendents in that cell gave the impression of acting quite independently of board control, but very much in control of the district personally, while simultaneously acting so without implementing to a great degree the components of the administrative process.

The data relating to the coordinating component suggest a number of implications. Confusion about the person or persons to whom the negotiator was responsible certainly suggests that there was only a minimal amount of coordinating. The responsibility for coordinating belongs to both superintendent and board. A coordinated effort would result in all those involved in an activity knowing what their relationship is to the others engaged in the same or related activities. Having a system of

shared leadership by superintendent and board is most productive when there is coordination between the two. If there is a coordinated effort, then both the superintendent and board will know who is responsible to each of them and to both of them. However, when the superintendent indicates that the negotiator is responsible to the superintendent, while in the same district, the board member indicates that the negotiator is responsible to the board, the negotiator has a problem determining to whom he is responsible. In this regard, Knezevich felt that in order to avoid this type of confusion and to maintain the principle of chain of command, the negotiator was to be subordinate to and report to the superintendent and not report independently to the board.⁴ The lack of a clear unified understanding on the part of the superintendents and board members regarding the position of the negotiator could lead to a waste of time and resources for everyone involved. If the negotiator knows from the beginning to whom he is responsible, when a major question or problem arises, he is cognizant of whom he should consult. Inherent in a coordinated effort in any organization is the fact that those involved know what their responsibility is and to whom they report. A school district which has as much confusion about who is responsible to whom as the districts surveyed in this study, would suffer from an enormous waste of time, resources, productivity and morale.

Even though there was the degree of confusion regarding the negotiator's position relative to the superintendent and the board, both boards and superintendents were generally satisfied with their own

⁴ Stephen Knezevich, Administration of Public Education (2nd ed.; New York: Harper and Row, 1969), p. 374.

role relative to negotiations with the negotiator present. This would indicate that there was not the same degree of role confusion as superintendents and boards related to each other. There is inconsistency in the fact that there was some confusion relative to the position of the negotiator, but by and large, a satisfactory degree of coordination between superintendent and board. The satisfaction may not have been so much due to coordination as to other factors, but at least, there was sufficient coordination so that there was no dissatisfaction. It is interesting that in the districts where there was not satisfaction expressed, one of the primary reasons given was that the negotiator was out of control. This was the result of a lack of coordination on a continuing basis.

The fact that more superintendents and boards were not dissatisfied with their role was not due to a conscientious attempt to coordinate the activity of the negotiator as well as board and superintendent, but due to the negotiator's sensitivity toward the value of having a coordinated effort. Therefore, there was coordination, but as with some of the other components, the coordination was more incidental than systematic. This is evidenced by the responses to the question regarding the role of the superintendent and board in monitoring the roles of the superintendent, board, and negotiator in negotiations. This is the heart of coordination. The primary concern is that the implementation of the decision continues along the direction originally intended and planned (unless, of course, there is a mutual decision to change direction). There can be no coordination without monitoring. Yet a number of superintendents and boards had no role in monitoring roles. Several

others who responded that they had a role, did not have a comprehensive responsibility. In those cases, the superintendents and board members responded that their monitoring activity just involved being at negotiations and observing the proceedings. Such observation was not systematic nor formal. Overall, approximately one-half of the superintendents and boards were involved in a continuing systematic monitoring activity. The lack of conscientious monitoring activity in the other districts could result in good decision-making and programming components being neutralized through a failure to coordinate to keep the activity progressing in the agreed on direction. Having personnel "out of control" is a real possibility when coordination is lacking. In a sense, there is a system of checks and balances provided if both superintendents and boards are actively involved in the monitoring aspect of the coordinating component. Since both are involved in the administrative process, each of their responsibilities in monitoring the other helps to facilitate a coordinated effort. In a number of districts this was not the case.

Role of Superintendent and Board in Appraising

The final component in the administrative process is appraising. It is in the appraising component that the administrator attempts to determine the degree to which the activity subsequent to the decision being made actually meets the goals and objectives intended and whether or not the decision itself is one which ultimately allows the organization to more effectively meet its primary objectives and responsibilities. Therefore, meeting the organizational objectives and maintaining

the organization itself are essential concerns in the appraising component. This component consists of more than evaluating the performance of personnel or programs to determine if they are accomplishing what they intended to accomplish. It also involves the administrator in examining how the activity enables the school district to meet its ends and maintain itself as a viable institution in achieving those ends. Nevertheless, prior to these broader considerations, there must be a determination of whether or not the personnel or programs are, in fact, accomplishing what they intended to accomplish.

There were four interview questions relating specifically to aspects of the appraising component. They sought to determine the role of the superintendent and board in: (1) selecting the criteria used to evaluate the negotiator; (2) measuring the criteria used to evaluate the negotiator; (3) determining the degree to which the use of the negotiator helped to meet their general goals for the district; and (4) conducting follow-up evaluation to determine how the use of the negotiator helped the district maintain itself to achieve its primary aim of educating its students. Responses were categorized as positive responses only when the superintendent and/or board was involved in an objective evaluation activity. Subjective responses indicating no real substantive evaluation or no evaluation at all were considered as negative responses. Table 12 presents a summary of the responses.

As indicated in Table 12, there was very little involvement by either superintendents or boards in any of the aspects of appraisal which were considered. No aspect had more than five YES responses. Only with the Cell C board member responses to the question on selecting criteria

TABLE 12

YES Responses by Superintendents and Board Members Regarding
Their Role in the Appraising Component of
the Administrative Process

Aspect of Component	Number of YES Responses									
	CELL A		CELL B		CELL C		CELL D		TOTAL	
	S	B	S	B	S	B	S	B	S	B
1. Select criteria	1	1	1	1	0	3	0	0	2	5
2. Measure criteria	0	0	0	1	2	1	0	0	2	2
3. Determine achievement of general goals for district	2	1	2	0	0	1	1	1	5	3
4. Conduct follow-up evaluation	0	0	2	0	2	2	1	0	5	2
Percentage of YES Responses	19	12	31	12	25	44	12	6	22	19

was there a majority of YES responses in a cell to a particular question. Even at that, the total percentage of YES responses for Cell C board members was only 44 per cent. However, that percentage was a great deal higher than that of the board's total in any other cell. There did not appear to be any relationship between the degree of formal evaluation used by the board on the superintendent and the degree of formal evaluation used by the board on the negotiator. In other words, Cell C boards did not evaluate their superintendents more formally than the board did in other cells, although they had more involvement in the appraisal component aspects relating to the performance of the negotiator. Overall, the percentages for YES responses for superintendents and boards were consistently low. Most districts had superintendents and boards who did nothing in appraising the performance of the negotiator in a very formal systematic way. The aspects of the appraisal process were not considered in an objective format, nor, for that matter, even in

discussion between and among administrative staff and board.

Obviously, there are important implications resulting from the responses related to this component. In general, the evaluation of the negotiator was based on a subjective feeling that he had accomplished what he was supposed to have accomplished. In a majority of boards, there were no objective criteria used to evaluate the negotiator. This makes the task of evaluating exceedingly difficult and confusing, if it is going to be done thoroughly. Without a specific predetermined set of criteria used to evaluate the negotiator, the basis for evaluating his performance is essentially ephemeral in nature. Of course, in a number of districts, there was little formal deliberation of the objectives for making the decision to hire the negotiator initially. In those districts, therefore, it is quite understandable that no criteria were selected to evaluate the performance of the negotiator. The objectives for hiring the negotiator could have served as the basis for, but are not necessarily the same as, the criteria for evaluating the negotiator. The appraisal component is directly related to the other components in the administrative process. When the groundwork has not been laid in the other components, the task of appraising is made more difficult.

The task of relating the performance of the negotiator to the superintendent's and/or board's general goals for the district assumes that they have developed and articulated those goals. In most districts, neither the superintendent nor the board had articulated such goals, or if they had, they did not relate the performance of the negotiator to them. With a decision as important as hiring a negotiator and an eval-

uation of his subsequent performance related in a systematic way to what the superintendent and board want in general for the district, the superintendent and board are consigned to do essentially nothing more than hope that the negotiator's performance assists them in meeting their goals. Whether or not the negotiator's performance does in fact assist in the achievement of general district goals is not as relevant to this study as is how the superintendent and board anticipate and measure his performance in the light of their goals. Most superintendents and boards were, in actuality, pleased with the performance of the negotiator, but such satisfaction was not viewed and measured in terms of district goals. Decisions, which are made and subsequently evaluated independent of reference to district goals and consideration of the school district maintenance as a vital organization, run the risk of fragmenting the district to the point where a coordinated effort to achieve those goals is almost an impossible task.

The concern in the appraisal component is that the administrator asks, "Where are we going?" and "How well are we getting there?" The proper answer to the latter question is contingent upon an adequate answer to the former question. In the districts used in this study, superintendents and boards generally did an inadequate job of answering the first question, thereby making the task of answering the second question almost insurmountable. The primary aim of the school district is to instruct students. Therefore, the task of the administrator is to analyze and evaluate decisions, personnel, and programs in the light of the school's primary task. To say, consequently, that there is no relationship between the decision to hire a negotiator and his subsequent

evaluation, and the instruction of students is to fail to understand the necessity for evaluating all organizational activity in the light of assisting the organization to continue to achieve its primary purpose. Such thinking could result in there being much activity, but no direction in the school district.

If the lack of involvement in the appraising component by superintendents and board members as related to the negotiator were extended to all decisions made by them regarding personnel and programs, there would be extreme difficulty in the board or superintendent trying to justify the wisdom of making the decisions and continuing or discontinuing the services of personnel and programs. At a time when accountability is such a volatile issue, such negligence will in all probability not be tolerated by those calling for boards and superintendents to be held accountable for their decisions.

Summary

The roles of the superintendents and boards in the practice of the administrative process in the selection, use, and evaluation of the professional negotiator varied from component to component, as well as revealing differences between superintendents and boards. There was a slightly greater degree of involvement by superintendents than by boards. Cell B superintendents and Cells A and C boards had the greatest involvement in the components of the administrative process, while Cell D superintendents and boards had the least overall involvement in the components of the administrative process. Even though the percentage of positive response was highest in the decision-making component by both

superintendents and boards, such involvement was often superficial. This then mitigated against the full involvement of superintendents and boards in the subsequent components of the administrative process. Especially noteworthy was the lack of involvement by both superintendents and boards in the appraisal component. The responses are summarized in Table 13.

TABLE 13

Summary of YES Responses by Superintendents and Board Members
Regarding Their Roles in the Practice of the Various
Components of the Administrative Process

Component	Superintendent			Board		
	Total %	High Cell (%)	Low Cell (%)	Total %	High Cell (%)	Low Cell (%)
1. Decision-making	81	B (95)	D (70)	76	A (85)	D (60)
2. Programming	67	B (75)	A (58)	48	C (58)	B,D(42)
3. Stimulating	67	B (75)	D (50)	67	C (75)	D (50)
4. Coordinating	59	C (66)	D (46)	65	A (75)	D (50)
5. Appraising	22	B (31)	D (12)	19	C (44)	D (6)

CHAPTER V

SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

Summary

The focus of this study was to determine the roles of the superintendent and board of education in the selection, use, and evaluation of professional outside management negotiators. The population of the school districts chosen for the study consisted of elementary public school districts located within Cook, DuPage, and Lake Counties in Illinois which had employed a professional negotiator as chief spokesman in negotiations for the board with the teacher bargaining group in 1975-1976 or 1976-1977 contract bargaining. Thirty-six school districts meeting the criteria were identified. Those districts were then ranked according to size and wealth. The 1975-1976 Average Daily Attendance (ADA) was used as the measure of school district size, and a Local Wealth Index (LWI), computed by multiplying the assessed valuation per pupil times the tax rate, was used as the measure of school district wealth. The median of both measures was utilized to create four cells of districts--large size, high wealth; large size, low wealth; small size, high wealth; small size, low wealth. Four districts were selected from each cell, a total of sixteen, to be the subjects of the study. The primary purpose for the creation of the cells was to facilitate the attainment of a representative sample of school districts, as related to size and wealth, for the study.

Once the sixteen districts were selected, the superintendent in each district was contacted. Cooperating superintendents were then interviewed regarding their role in the selection, use, and evaluation of the professional negotiator. In addition, each superintendent provided assistance in arranging for the interview of a board member familiar with the board's role in the selection, use, and evaluation of the professional negotiator. The interview instrument, which was identical for the superintendents and board members, consisted of structured questions designed to elicit open-ended responses. The questions were grouped according to the categories of: selecting a negotiator; using a negotiator; and evaluating a negotiator.

For most questions, the responses were recorded as YES, if the interviewee described a role relating to a particular aspect of the interviewee's relationship to the negotiator, and a NO if no role was described. Recording the responses in this manner yielded a quantifiable measure of the involvement of the superintendent and board in the selection, use, and evaluation of the negotiator. Furthermore, the responses were analyzed within the framework of the administrative process as presented by Campbell to determine the degree to which the superintendent and board had utilized the components of the administrative process in the selection, use, and evaluation of the negotiator. The interview questions which served to determine the roles of the superintendent and board in the selection, use, and evaluation of the negotiator served concomitantly to measure their roles in decision-making, programming, stimulating, coordinating, and appraising. Based upon the responses to the interview questions, conclusions were drawn and impli-

cations for administrative behavior were identified.

Conclusions

The study led to conclusions relating to each of the specific purposes of the study as stated in the first chapter.

1. Superintendents had a moderate, but not comprehensive role in the selection of the professional negotiator.

Superintendents were quite extensively involved in identifying the problem which led to the hiring of the negotiator and contacting the negotiator. On a more superficial level, they had input into making the actual decision to hire the negotiator. They were only moderately involved in such aspects of the decision-making process to select a negotiator as determining objectives, considering alternatives, and researching consequences. These last three aspects were considered as vital elements of the decision-making component of the administrative process. With the lack of complete involvement in the decision-making component, the thoroughness and comprehensiveness of the superintendent's involvement in the selection of the negotiator was questioned. Of course, there were a number of superintendents who did involve themselves quite extensively in the process. However, less than half of the superintendents were involved in the programming component aspect of budgeting for the negotiator. Such a low degree of involvement by superintendents in an area as important as the cost of the negotiator, if practiced pervasively in other matters of equal importance, could leave the school district in financial shambles. Nevertheless, the degree of involvement in the programming aspect of budgeting was not inconsistent with the lack of superintendent involvement in the decision-making component. By and large,

the selection of the negotiator was not the result of a sequential deliberative process. A systematic decision-making process would have also led to a systematic implementation of the decision to include budgeting for the negotiator.

2. Boards of education were involved very little in most aspects of selecting a professional negotiator, although they had extensive involvement in three aspects of selection.

There was less involvement by boards in the selection process than by superintendents. However, in three aspects of the selection process, the involvement of the board was almost total. Those aspects were: identifying the problem which led to hiring a negotiator; determining the objectives for hiring the negotiator; and making the decision to hire a negotiator. In many districts, the board took the step from identifying the problem and determining the objectives directly to making the decision without considering alternatives and researching the consequences. As a result, the decision to hire a negotiator was made without the benefit of the deliberate consideration which characterizes the decision-making component of the administrative process.

The involvement of the board in the various aspects of the selection process was quite often the lowest where the involvement of the superintendent was also low. For example, only five boards and only seven superintendents were involved in the aspect of budgeting for the negotiator. The result was that there were six districts in which neither the superintendent nor the board were involved in the aspect of budgeting for the negotiator. In addition, there were four districts in which neither the board nor superintendent considered the alternatives to hiring a negotiator and two districts in which neither the

board nor superintendent researched the consequences of hiring a negotiator. Since only six boards considered the alternatives to hiring a negotiator and only eight boards researched the consequences to hiring a negotiator, the result was that the primary involvement in considering alternatives and researching consequences came from superintendents and not boards. In other words, boards made the decision to hire a negotiator without sufficient consideration of alternatives nor researching the consequences of hiring a negotiator. Fifteen boards recognized that there was a problem with negotiations prior to the hiring of the professional, and all sixteen were involved in making the actual decision to hire the negotiator, but no more than half of the boards were involved in considering the alternatives to hiring the negotiator and researching the consequences of hiring a negotiator. The lack of thoroughness in making the decision could result in the presence of unexpected consequences from the decision. The lack of thoroughness on the part of the board in making the decision could result in minimum negative consequences if the superintendent were involved in those aspects in which the board was not involved. The large size, low wealth districts (Cell B) were most notable in this regard. On the other hand, the low involvement by the boards in small size, low wealth school districts (Cell D) in the various aspects of the selection process was similar to the low involvement by superintendents in those districts in the aspects of the selection process.

3. Superintendents had a moderate, but not comprehensive role, in the use of the professional negotiator.

There were some aspects of the use of the negotiator in which there was extensive involvement by the superintendent, while there were other as-

pects in which the involvement was minimal. Superintendents supplied the negotiator with information concerning the purposes for which he was hired and, in most cases, communicated regularly with him. Such involvement was an indication of superintendent involvement in the stimulating component of the administrative process. There were two major aspects of the use of the negotiator in which the involvement of superintendents was not extensive. Those aspects were: the determination of the role for the negotiator, superintendent, and board in negotiations, which was an aspect of the programming component of the administrative process; and monitoring the agreed upon roles for the superintendent, board, and negotiator during negotiations, which was an aspect of the coordinating component of the administrative process. The low degree of involvement by superintendents in these two areas would indicate a lack of control by the superintendent over the negotiations process. This lack of control over role determination and monitoring could lead the superintendent in those districts to assume a very defensive posture regarding negotiations, in which the superintendent is a victim of the circumstances related to negotiations, being unable to exert the kind of direction necessary to keep the negotiations process in line with the objectives. If this pattern were to be present in other decisions and matters in those districts, the superintendent could be led by the circumstances rather than leading the district. However, the majority of superintendents were involved in all of the aspects of using the negotiator.

Interestingly, almost all of the superintendents indicated a satisfaction with their own role in negotiations with the negotiator present.

Most felt a relief in having a professional do the job that was done formerly by themselves or by board members. The satisfaction with their own roles allowed superintendents to view the negotiations process much less critically in terms of their own preparation for it. In other words, there was a tendency to be less active in monitoring and being objective about the negotiations process because of the subjective relief felt by superintendents in not having to assume the primary responsibility for negotiating. Therefore, the satisfaction was not necessarily related to the performance of the negotiator, but to the lack of personal involvement by the superintendent. Nevertheless, the use of the negotiator led to improved or continued good relations between the superintendent and the board in all but one district.

4. Boards of education had a consistently moderate role in most aspects of using the professional negotiator.

There was a slightly greater degree of involvement by boards than by superintendents regarding the use of the negotiator. At least three-fourths of the board members responded that their boards were involved in communicating with the negotiator, determining the roles for the negotiator, superintendent, and board in negotiations, and monitoring the agreed upon roles of the superintendent, board, and negotiator in negotiations. The pattern of YES responses in this area was very consistent between and among cells.

There were a few districts in which the negotiator was given an extensive amount of authority in not only determining his own role in negotiations, but in determining the role of the superintendent and board. Allowing the negotiator to have input into his own role determination is a technique of utilizing the stimulating component of the administrative

process, but that technique does not expand to having the negotiator determine roles--he only recommends. In a majority of districts, the negotiator was allowed to have input in his role determination, although in six districts, that input became the sole authority on the matter.

Just as with the superintendents, the board members indicated satisfaction with their roles in negotiations with the negotiator present and also indicated improved or continued good relations with the superintendent subsequent to the employment of a negotiator. However, there was one major area of concern regarding the use of the negotiator. There was extensive disagreement between superintendents and board members as to whom the negotiator was responsible in actual practice. Seven superintendents and no board members indicated that the negotiator was responsible to the superintendent, while eleven board members and only five superintendents indicated that the negotiator was responsible to the board. This difference in responses between the superintendent and the board leads to the conclusion that there was a lack of coordination component activity by either the superintendent, board, or both. If there had been sufficient organization and coordination, the differences in responses regarding to whom the negotiator was responsible would have been minimal. If the differences in this area were extended to all personnel employed by the board of education, the result would be organizational chaos.

5. Superintendents had a very minimal role in the evaluation of the professional negotiator.

The involvement of the superintendent in evaluating the negotiator was very minimal. There was in fact no formalized evaluation of the nego-

tiator. By and large, superintendents did not select criteria to evaluate the performance of the negotiator, did not measure the criteria, did not inform the negotiator of any criteria, did not measure the performance of the negotiator in the light of overall district goals, and did not conduct follow-up evaluation relating the performance of the negotiator to the instructional program. Any involvement by superintendents in any of the areas just mentioned was done on an informal, non-systematic basis. The primary response by superintendents regarding the evaluation of the negotiator was that the contract itself was the product of the negotiator's work, and that formalized evaluation of the negotiator was unnecessary. The evaluation of the negotiator usually took the form of informal discussions by the superintendent with the administrative staff and/or the board regarding whether or not the performance of the negotiator was satisfactory. However, such discussions were not done with reference to preestablished criteria.

The responses indicated that there was very little involvement by superintendents in the aspects considered as essential ingredients of the appraising component of the administrative process. In the appraising component, the focus is on evaluating the degree to which the decision and the implementation of that decision meet the objectives which were originally intended when the decision was initially made. Furthermore, appraising involves measuring the degree to which the decision and its implementation meet the general goals of the organization and assist the organization in maintaining itself as an organization. Appraising in these terms was generally absent from the behavior and involvement of the superintendent in the evaluation of the negotiator.

6. Boards of education had a very minimal role in the evaluation of the professional negotiator.

The responses from board members were very similar to the responses from the superintendents regarding the evaluation of the negotiator. The percentage of YES responses in this category was even lower for board members (sixteen per cent) than for superintendents (twenty per cent). For both superintendents and boards, small size, low wealth school districts (Cell D) had the lowest percentage of YES responses. Board members indicated that they did not feel the need to formally evaluate the negotiator as they would the superintendent, for example. In most cases, there were no specific criteria with which the boards could evaluate the negotiator since the selection process itself was quite informal. Furthermore, board members generally did not see any relationship between the performance of the negotiator and the primary reason for the existence of the school system--the education of students. Since board members as a whole did not relate the performance of the negotiator to the instructional program, it was not surprising that there was little involvement by boards in the aspect of the appraising component which sought to relate the negotiator's performance with the instructional program. Board members evaluated the negotiator, if at all, not on a list of specific criteria of which the negotiator was aware, but informally among themselves in general terms. Examples of the general terms were: "Was the contract good? Did the negotiator give away the store? Did the negotiator do what he was told?" In many cases, however, such questions were only asked when the negotiator was being considered for re-hiring. Overall, there was very little involvement by boards in evaluating the negotiator. Since boards did not compensate for the

lack of superintendent involvement in this area, the conclusion is that negotiators were not formally evaluated.

Recommendations

As a result of this study, several recommendations are presented to superintendents and boards regarding their roles in the selection, use, and evaluation of the professional management negotiator. These recommendations are applicable to both superintendents and boards.

1. Consider alternatives to hiring the negotiator which may accomplish the same goals as the hiring of the negotiator.
2. Research the consequences of hiring a negotiator by contacting other superintendents/boards and organizations such as the Illinois Association of School Boards.
3. Develop clearly established objectives and goals for hiring the negotiator.
4. Develop clearly defined measurable criteria to be used to evaluate the performance of the negotiator.
5. Determine at the outset of the negotiator's employment to whom he is responsible and reports.
6. Determine a specific amount to be budgeted for the negotiator, recognizing the necessity for flexibility in this area.
7. Inform the negotiator of the specific criteria by which his performance will be evaluated.
8. Allow the negotiator to recommend but not determine roles and strategies in negotiations.

9. Establish a regular procedure for communicating on a continuing basis with the negotiator.
10. Develop a procedure for monitoring and controlling the roles played by the negotiator, superintendent and board in negotiations.
11. Establish criteria in evaluating the negotiator which relate to your general goals for the district.
12. Develop a follow-up through-the-year evaluation program to relate the negotiator's performance to the primary purpose for the school district's existence.

In addition to the recommendations for superintendents and boards, there are recommendations to researchers for further study.

1. Researchers should study the results of using a negotiator in terms of specific items in contracts. This study focused on the process used by boards and superintendents relating to the negotiator. Further study should examine the results in terms of the process used.
2. Study the relationship between the degree to which the administrative process is used by superintendents and boards in the selection, use, and evaluation of the negotiator and the degree to which the administrative process is used in other areas of administrative behavior and responsibility.
3. From the perspective of the negotiator, study his success in school contract bargaining as related to the administrative behavior of superintendents and boards in the districts employing him.

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APPENDIX A

LETTER TO SUPERINTENDENTS

APPENDIX A

Dear

I am presently conducting a study on the role of the superintendent and Board of Education in the selection, use, and evaluation of professional outside management negotiators. This study is being conducted with the support of and under the direction of Dr. Max Bailey of Loyola University and in cooperation with Dr. Ron Booth of the Illinois Association of School Boards. Based on information that I have received from various sources, your district is utilizing an outside negotiator and would qualify to be a part of the study.

If you should choose to cooperate in the study, I would like to do the following: (1) interview you on your role in the selection, use, and evaluation of the outside negotiator hired for 1976-77 contract bargaining; and (2) ask your assistance, if possible, in placing me in contact with the member of your Board of Education most involved in negotiations so that I may interview him or her on the Board's role in the selection, use, and evaluation of the negotiator.

I will be calling you shortly to arrange for an interview appointment should you be willing to participate in the study. All districts studied will remain anonymous, although results will be shared with cooperating superintendents and Boards of Education. As a doctoral candidate at Loyola University, I will appreciate every consideration in this matter. Thank you.

Sincerely,

Thomas Kovalik

APPENDIX B

INTERVIEW INSTRUMENT

APPENDIX B

INTERVIEW INSTRUMENT

GUIDE FOR INTERVIEWS WITH SUPERINTENDENTS AND BOARD MEMBERS

1. What was your role in identifying and analyzing the problem that led to your hiring a negotiator?
2. What was your role in determining the objectives in hiring a negotiator?
3. What was your role in considering other alternatives to hiring the negotiator to achieve the same goals as hiring a negotiator?
4. What was your role in consulting other people, organization and books/articles in order to research the consequences of hiring a negotiator?
5. What was your role in actually making the decision to hire a negotiator?
6. What was your role in finding and contacting a negotiator?
7. What was your role in determining how much was to be budgeted to pay the negotiator?
8. What was your role in supplying the negotiator with information relative to the purpose for which he was hired?
9. What was your role in determining the roles of the superintendent, board, and negotiator relative to contract bargaining?
10. What was your role in communicating with the negotiator?
11. What was your role in communicating with the superintendent/board regarding negotiations?
12. To whom was the negotiator responsible?
13. What changes were there in the relationship between you and the board/superintendent when a negotiator was involved in contract bargaining?
14. To what degree was the negotiator a participant in his role determination relative to negotiations?
15. Were you satisfied with your role in negotiations with the negotiator present? Why or why not?

16. What was your role in insuring that the agreed upon roles in negotiations for the superintendent, board and negotiator were maintained during negotiations?
17. What was your role in selecting the criteria used to evaluate the negotiator?
18. What was your role in actually measuring the criteria used to evaluate the negotiator?
19. What was your role in informing the negotiator of the criteria used to evaluate his performance?
20. If there was no formal evaluation procedure used on the negotiator, what was your role in determining whether or not the performance of the negotiator was satisfactory?
21. How did your role in evaluating the negotiator compare with your role in evaluating superintendents (for boards) and principals (for superintendents)? Were there differences? Why or why not?
22. What was your role in determining if the use of the negotiator facilitated the accomplishment of your general goals for the district?
23. What was your role in follow-up evaluation during the school year to determine if the use of the negotiator assisted you and the staff in more effectively achieving your primary aim of educating your students?

APPROVAL SHEET

The dissertation submitted by Thomas M. Kovalik has been read and approved by the following committee:

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The final copies have been examined by the director of the dissertation and the signature which appears below verifies the fact that any necessary changes have been incorporated and that the dissertation is now given final approval by the Committee with reference to content and form.

The dissertation is therefore accepted in partial fulfillment of the requirements for the degree of Doctor of Education.

May 1, 1978
Date

Mac Bailey
Director's Signature