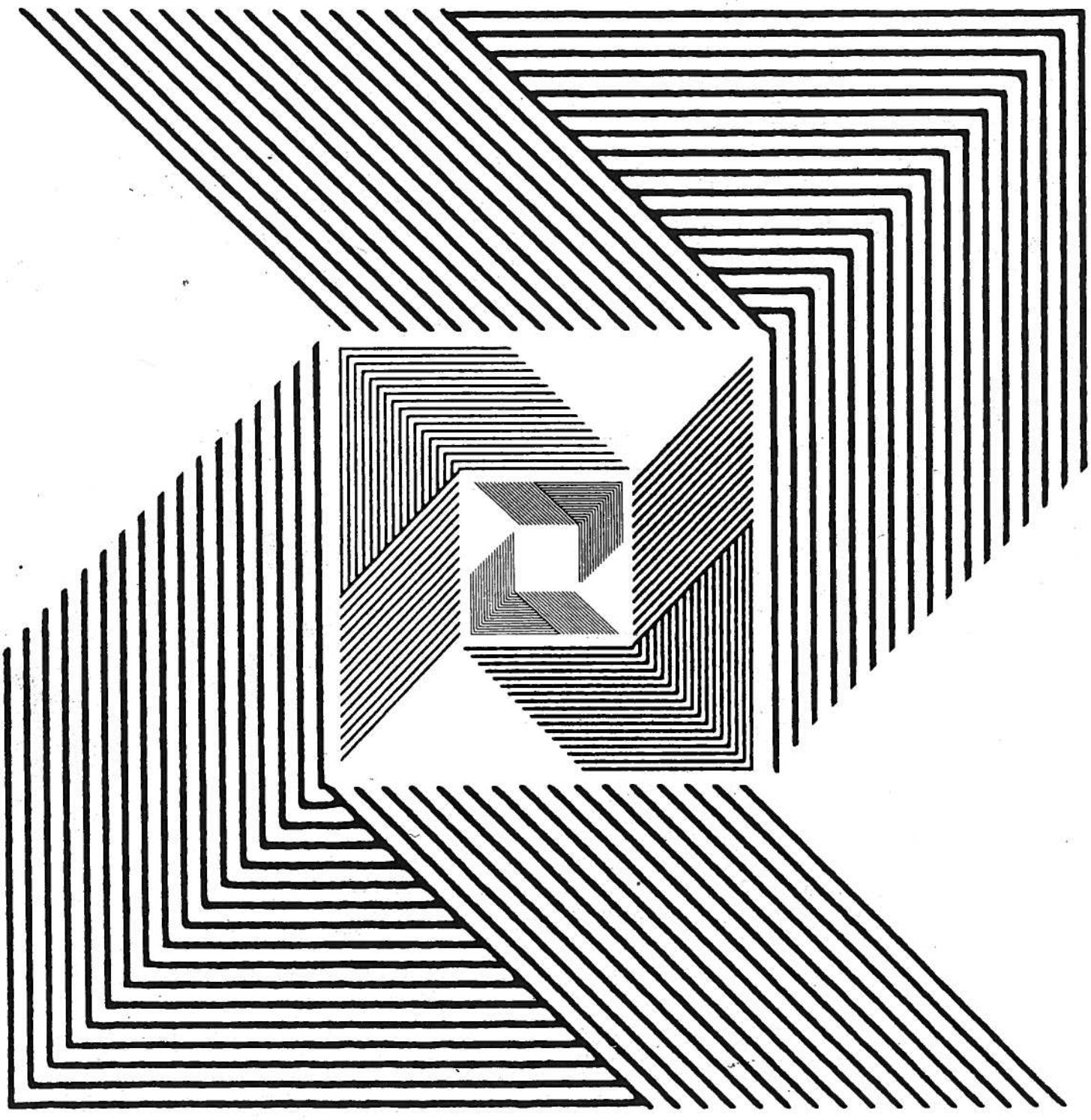
AUDIT REPORT NO. 73-1

FEBRUARY, 1973

MANAGEMENT AUDIT OF THE DEPARTMENT OF EDUCATION

A REPORT TO THE GOVERNOR AND THE LEGISLATURE OF THE STATE OF HAWAII



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2. Conducting examinations and tests of state agencies' implementation processes to determine whether the laws, policies, and programs of the State are being carried out in an effective, efficient and economical manner.
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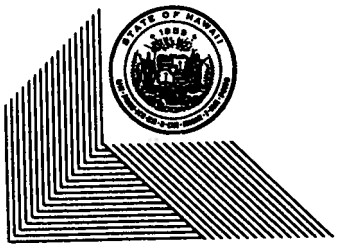

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LEGISLATIVE AUDITOR
STATE CAPITOL
HONOLULU, HAWAII 96813

MANAGEMENT AUDIT
OF THE
DEPARTMENT OF EDUCATION

A Report to the Governor and the Legislature of the
State of Hawaii

Submitted by the
Legislative Auditor of the
State of Hawaii

Audit Report No. 73–1
February 1973

FOREWORD

Hawaii's educational system is the only statewide public school system in the nation. The administration of the statewide system is vested in the department of education. With the rapid growth of the department and its programs in recent years, the legislature has been concerned over the department's organization, management processes, and personnel administration. In requesting our office to conduct an audit of these areas, the legislature was motivated by the desire to assist the department in achieving a high level of management excellence. We render our report in the same spirit.

Many of the problems which we identify in the report are problems of long standing. They are not all the result of any single person or any particular management. However, we hope that the present management of the department will deal with the problems, whether they are old or new, and move responsively in the direction of excellence. Rather than merely dwelling on deficiencies, we have gone to some length to formulate the guidelines and framework by which the department can improve its management systems. We believe positive results can be achieved through the pursuit of our recommendations.

The reader who desires to obtain a quick overview of the major findings and recommendations of the audit should turn to the summary which immediately follows this page. The body of the report is contained in Parts I through V. In keeping with our usual practice, we requested the agencies affected by our audit to submit their responses to our recommendations. These responses, and our comments on them, are included in Part VI of the report.

We wish to acknowledge the cooperation and assistance extended to our staff by the personnel of the department of education as well as other agencies contacted during the conduct of the audit.

Clinton T. Tanimura
Legislative Auditor
State of Hawaii

SUMMARY OF FINDINGS AND RECOMMENDATIONS

The audit covered the department of education in four broad areas. *First,* the audit examined the roles, responsibilities and relationships of the department's policy-making and advisory bodies. *Second,* it examined the organization and general management of the department. *Third,* it examined the department's management of curriculum. *Fourth,* it examined the department's management of personnel. We summarize here the principal findings and recommendations with respect to each of these areas.

Executive–Board of Education–Advisory Councils

Executive v. board of education. The State Constitution provides for a board of education which is accountable to the people through direct election. At the same time, it provides that the governor shall have overall supervisory powers over all executive departments. These constitutional provisions have been a source of difficulty with respect to the jurisdictional limits of both the chief executive and the board of education.

The Constitution apparently intends that the board of education should be accorded some semi-independent status in formulating educational policy and exercising control over the public school system. However, it is the executive, particularly the department of budget and finance, which exercises the real authority over educational policy through its detailed control of budget preparation, budget execution, manpower, and reorganization.

Our recommendation is that the department should design a system of aggregate fiscal and manpower controls under which it would operate and to submit the system for legislative consideration. A system of aggregate fiscal and manpower controls would have the effect of preserving the governor's overall authority over State finances but would give the board of education the semi-independent status in policy-making and control intended by the Constitution.

Board of education. The main function of the board should be the formulation of educational policy. However, the board expends more of its efforts toward managing and controlling the operations of the department of education rather than formulating policies and overall strategies for public education. As a result, the board, while giving great attention to management control, is not taking action in all cases involving strategic decisions.

Our recommendation is that the board should strengthen the policy-making role intended for it by the Constitution. It can accomplish this be re-focusing its attention on matters which relate to strategic planning and developing appropriate guidelines for the kinds of management decisions which the department should be permitted to make without prior board approval.

District school advisory councils. The main purpose of the advisory councils is to provide the various communities in the State with a means by which the people's concerns and interests in educational matters may be communicated to the board of education and the district superintendents. In practice, the councils do very little in advising the board of education on educational policy, due in part to a statutory provision that councils shall advise the board on policy matters *at the board's request.* The effectiveness of the councils is also weakened by the lack of public awareness of their existence and role and by the vacancies and turnovers in their small memberships.

Our recommendation is that the statutes be clarified to enable the councils to advise the board freely and without restrictions and that the board encourage the participation of the councils. We also recommend that the

membership of the councils be expanded and that a public information program concerning the councils be implemented. The information program should emphasize the importance of the councils as the mechanism through which the public can have an input in educational policy-making.

Organization and Management Generally

Organizational strategy. The department lacks an organizational strategy—that is, a well-reasoned approach to organization which carefully and deliberately delineates the structural system and the management processes necessary for the department to effectively and efficiently attain its objectives. The result is that structural changes are being made in a fragmented, piecemeal fashion without adequate consideration of the department's objectives, processes, and total system.

The implementation of the middle school concept (grades 6 to 8) even though statewide instructional programs are still being planned along traditional school organization patterns illustrates the fragmented approach taken in planning the structure of schools. Another example is the formation of the now-aborted educational complexes, which took on different shapes and forms in the absence of clear state direction.

Our recommendation is that the department of education should develop an overall strategy to direct the future organizational development of the department. Implementation of the "middle school" concept should be deferred until the present grade organization patterns of the public schools can be examined, evaluated, and, if appropriate, reorganized under the overall organizational strategy of the department.

State office–district–school roles and responsibilities. The roles and responsibilities of the state office, districts, and schools are much confused. They are so confused that Hawaii's school system cannot be characterized as either a "centralized system" or a "decentralized system," or it can be described as being both centralized and decentralized. Because roles and responsibilities are confused, the terms, "centralization" and "decentralization," are being used to shift blame from one level of the organization to another.

Strategic decisions with respect to objectives, programs, organizational structure, etc., are being made by the districts and schools as well as by the state office. Decisions made by the state office are sometimes ignored by the districts and schools. At other times, there are voids in strategic decisions, with neither the state office nor the districts and schools making them.

Our recommendation is that, in formulating the organizational strategy for the department, the board of education should fully consider the question of centralization-decentralization. If decentralization is to be pursued, it should develop explicit policies which outline the guidelines within which decisions may be made by major organizational units below the state office and establish a system by which lower level units may properly account for their actions.

State office. There are jurisdictional disputes and vagueness with respect to the roles and responsibilities among the offices in the state office. Because there are insufficient articulation of needs and coordination of efforts among the various offices, the state office often fails to move together as a cohesive whole.

Conflict exists between the office of instructional services and the office of research and planning with respect to program planning as well as program evaluation. In the planning and design of school facilities, there is little integration of the efforts of the office of instructional services and the facilities branch of the office of business services. One consequence is that classrooms are being planned for programs which do not exist. With respect to personnel programs, there is little meaningful communication and articulation between the office of personnel services and the other offices and units of the state office.

Our recommendation is that the roles and responsibilities of the state offices should be clarified. Specifically, responsibility for analysis in the curriculum area should rest with the office of instructional services; the office of

research and planning should be responsible for analysis of programs which transcend organizational lines; a unit reporting directly to the superintendent should be responsible for developing guidelines and standards for analysis and evaluation designs and for conducting in-depth program evaluations; the office of instructional services and the facilities branch should establish a mechanism for continuing consultation on the planning and design of educational facilities; and the office of personnel services should reorient its focus from individual personnel transactions to the broader perspective of developing its personnel programs to support other units in achieving educational objectives.

Staffing. The state office is overstaffed with educational officers. The number of educational officers does not appear to be justified in terms of work load and work performed. In addition, there are a number of educational officer positions in the department currently being held by people with essentially an educational background when the nature of the work of the positions requires competencies, skills, and knowledge other than in educational areas. The result has been gross inbreeding.

With respect to district offices, there is no state policy or regulation which governs the number of persons districts may employ, nor is there any policy or regulations prescribing the minimum staffing pattern. Consequently, there are many variations in the kinds and number of persons employed at the various district offices. In the schools, there is a wide variation in the number and kinds of supportive teachers such as librarians, counselors, beginning teacher supervisors, resource teachers, etc. The wide variation results from the lack of appropriate criteria in determining the minimum staffing requirements of each school.

Our recommendation is that a complete review of staffing is required to determine which educational officer positions should be brought under the classified civil service and which should be eliminated or reassigned. In addition, appropriate guidelines should be established to govern staffing in the districts and the schools. The department should submit a report to the 1974 session of the legislature of the action that it has taken as a result of its review of personnel positions and identify all personnel service cost savings and the adjustments which should be made to the budget.

Curriculum Management

Role definition: curriculum development. Curriculum is being developed by both the state office and schools. In some areas, the state office has taken the leadership in developing statewide curriculum. However, schools have continued to fashion and implement programs on their own. School development and implementation have been without controls, notwithstanding state policies or the existence of statewide programs.

In some cases, programs fashioned or implemented by the schools have become statewide programs through adoption by the state office. In these cases, a program implemented by a single school has proliferated to other schools. State office adoption then becomes merely an ex post facto recognition of the prevailing or common program among schools. The diverse ways in which curriculum is developed and gets installed in schools raises the basic question as to whether a statewide program in any of the subject-matter areas can be achieved.

Our recommendation is that the board of education should adopt policies which clearly fix responsibility on the state office for curriculum development. The policies should also provide for district and school participation (but not responsibility) in curriculum development and permit districts and schools, within guidelines established by the state office, to take into account local conditions and to make discretionary judgments in the execution of programs.

Program analysis. All new programs and their design should be products of analysis—the systematic comparison of alternative means of attaining desired objectives. Despite several years of analytical efforts, such analysis as the DOE conducts is of poor quality, and new programs are being developed without having undergone rigorous analysis.

At the present time, the department is developing what appears to be a multi-million dollar program in early childhood education. This represents a fundamental redirection of the public education system which now proposes to focus upon the period between birth through age four. Like other DOE programs, the early childhood education program is being designed and developed without any prior formulation of program objectives, establishment of criteria to measure attainment, development of alternatives, and systematic comparison of their effects, benefits, and costs. In spite of the glaring weaknesses in the department's analysis of early childhood education, the development of the program has received board of education approval.

Our recommendation is that the department establish a system of program analysis review to assure quality analysis. It should also provide appropriate analytical training to its personnel, particularly to the program specialists in the office of instructional services. With respect to early childhood education, it should suspend further program design and development until the analytical errors and omissions are corrected. In addition, the board should avoid "buying" too easily the department's analytical studies. Instead, it should insist on being presented with quality analysis.

Program design. Statewide programs are often implemented, or attempts are made to implement them, without a clear notion of what the program looks like in totality and what is involved with respect to the components and sub-components of the program. This has been the case with such programs as the inquiry-conceptual, secondary social studies program; the elective secondary language arts program; the 3 on 2 concept; and the individualized education program.

As a result of inadequate program design, each school interprets the state program in its own way and different versions of the program surface throughout the DOE system. Programs are badly implemented, if at all, particularly when the program design fails to identify all of the resources required for implementation. Another consequence is that, when the program design fails to fully shape an essential component of the program, the objectives of the state program are not realized. All of these results add to program costs.

Our recommendation is that the department establish a system whereby a complete program design is formulated and reviewed (and revised, as necessary) prior to the implementation of any program. The program design should include details of all program components; personnel, equipment, and facilities requirements; and the specific roles and responsibilities of organizational units in implementing the program.

Pilot-testing. Many of the problems associated with program installation and implementation on a statewide basis can be detected, anticipated, and alleviated if the program is pilot-tested before full-scale implementation commences. However, new DOE programs have the tendency to proliferate without the benefit of testing and evaluation. In those rare instances when pilot-testing does occur, it is poorly managed and performed. In some cases, pilot-testing is deceptive and deliberately skewed to justify or to lead to desired conclusions.

The Kailua High School modular schedule is an example of a project which was piloted without clarifying at the outset the specific objectives being pursued, the criteria for evaluation, and the means or instrument for conducting the evaluation. The modified 3 on 2 pilot test, involving educational assistants, illustrates how personnel resources intended for the pilot test were diverted for other purposes and how evaluation results were interpreted to favor the existing 3 on 2 program.

Our recommendation is that the department bring all innovative and pilot projects under management controls and suspend all projects where program objectives are not being met or where benefits are not justified by the costs. The department should also establish an effective pilot-testing system, including review procedures to assure the existence of an adequate pilot test design before beginning any pilot project, independent review of evaluation designs and evaluation results, and conduct of pilot project evaluations by persons

not connected with the project or the program to which the project relates.

Programming. A necessary step in program development is programming, the laying out of a schedule for implementation over a period of time. Programming establishes what part or parts of a program are to be implemented when, how they are to be implemented, and what they are estimated to cost.

Although new programs usually require some time period for full implementation, the DOE either does not plan out the installation of new programs or does it badly. More often than not, program installation is left entirely up to schools and districts without a state plan for implementation. When installation breaks down, the program ends up being installed on a piecemeal basis, and inequities between and among schools and districts develop. Sometimes, due to non-programming or poor programming, a program fails to be implemented.

Our recommendation is that the department establish a system to assure realistic programming in the implementation of any new program. Realistic programming should consider financial and other constraints, the readiness of districts and schools to undertake implementation, and all of the interrelationships of the different parts of the total program to be installed.

Program articulation. If schools are expected to implement state programs, not only must they be given a reasonable timetable for implementation, but the programs must be properly articulated to schools. Schools cannot be expected to perform in the manner intended if they are not informed as to what constitutes the state program.

Where DOE has sought to prescribe a statewide curriculum, there has been much uncertainty as to exactly what the state program is. A part of the problem is that the program configuration is not always settled prior to the issuance of instructions to implement. Other reasons for poor articulation of programs are the lack of clarity with which program decisions are made by the state office, poor documentation of state programs, and ineffective teacher training sessions.

Our recommendation is that the board assure that all proposed curriculum changes are approved prior to implementation. In addition, the department should establish a system for the preparation and issuance of curriculum documents and require personnel to undergo training when training is determined to be necessary for the successful implementation of a program.

Inadequate supervision and control: roles in curriculum implementation. Supervision and control over programs are inadequately exercised in the department. Program implementation is generally left in the hands of teachers and principals. The department is unable to exercise supervision and control because it lacks a system by which the state and district offices are kept informed on a routine and regular basis as to the progress, status, and condition of programs in the schools.

Also weakening supervision and control are the confused roles and responsibilities of the state office, districts, and schools in program implementation. The implementation activities vary from program to program, making it difficult to determine who has the primary responsibility for what. Often, the lack of clarity in roles and responsibilities results in blame-shifting for implementation problems from level to level.

Our recommendation is that the department establish a reporting system which routinely provides the state office and districts with information concerning the progress and status of programs in the schools. The department should also identify and structure the functions and sub-functions necessary to implement programs and then proceed to define the roles and responsibilities of the state office, districts, and schools with respect to each of the implementation functions and sub-functions.

Program evaluation. The major purpose of program evaluation is to determine whether or not the program is producing the results expected. Evaluation is also necessary to determine whether the design of the program is adequate, whether the intended beneficiaries are being reached by the program, and whether installation of the program is on schedule.

For evaluation to occur on a systematic basis, the measures and instruments for evaluation must exist and a conscious effort must be made to evaluate. Currently, the measures and instruments for evaluation are incomplete, and there appears to be little real effort to evaluate on a systematic basis. In the absence of a system for evaluation, the DOE from time to time evaluates programs on a fragmented basis. Often these evaluations occur because of legislative prodding. Where the department has conducted evaluations, they have been poorly conducted and have tended to be biased.

Our recommendation is that the department should establish a system for the evaluation of ongoing programs, including the development of relevant measures for all of its programs. The department should provide for the performance of routine and regular evaluation by those responsible for administering the program and the performance of in-depth evaluations by an independent unit reporting to the superintendent.

Personnel Management

Personnel records management. Properly maintained personnel records are essential for the development of program plans, including plans for personnel programs, and in accounting for the use of personnel resources. Although the importance of properly maintained records is self-evident, the department does not maintain records in a manner which readily supplies information for decision-making in developing program plans or for accounting for personnel resources.

What the department has is simply a maze of files and listings of various kinds scattered among several offices. This maze of records may provide specific data but not in a form usable for program and accounting purposes.

Our recommendation is that the department review its personnel records management for the purpose of designing records and procedures through which essential personnel information can be recorded and retrieved, integrating records and record-keeping, and eliminating nonessential and duplicate information.

Classification. The department has yet to come up with a meaningful classification system for both teachers and educational officers. The system under which it is currently operating is many years old and in essence is no system at all. Despite legislative prodding and incipient moves in the past, there is currently little activity devoted to the establishment of a meaningful classification system and no clear and definite plan or commitment to its development.

At the present time, there is a lack of official position descriptions for educational officers as well as for the various kinds of teacher positions. The department has also failed to establish official minimum qualifications for each position. In the absence of official qualifications, the danger is that minimum requirements can be designed to fit a person the DOE wishes to hire. In addition, positions are not logically and meaningfully grouped into classes. One result is that the DOE has directors with no branches to direct and administrators with no sections to administer.

Our recommendation is that the board of education should set a firm deadline for the development of a new classification system. Official position descriptions and official minimum qualification requirements should be established for each position, and the classes for teachers and educational officers should be revised or new classes developed to treat each position in a comparable manner.

Recruitment and selection. The department does not have a unified plan to guide its recruitment and selection in the coming years. The present program functions with a number of deficiencies, including failure to announce position vacancies, flagrant disregard of policies and procedures, and lack of uniform selection criteria.

Situations have been noted which suggest unfairness and favoritism in the appointment of educational officers. Violations occur, not only with the consent, but through the initiation, of top administrators in the department.

Our recommendation is that the department develop a program plan for recruitment and selection. In addition, the board should direct the department to cease those practices which undermine fair treatment in the recruitment and selection of employees and establish controls to assure that, in all instances, departmental policies and fair procedures are followed.

Promotion. There is currently in the DOE no system of promotions based on established principles of merit and fitness. Promotional activities do occur, but they occur outside a rational system. For a promotion system to exist, there need to be present such elements as policies and standards to guide promotional activities, a classification system based on work to be performed, a system of training for higher level work, a system for employee performance evaluation, and an employee data base. None of these key elements is present in any usable form.

In the absence of a promotion system, the department engages in the practice of reclassifying positions to accomplish promotions. The department also promotes individuals who are unqualified for higher positions. As in the recruitment and selection of employees, top management is involved in the intentional violation of regulations.

Our recommendation is that the department establish a promotion system based on the key elements identified above. The board should also direct the department to cease those practices which circumvent departmental regulations and undermine fair treatment in promotions and to establish controls to assure that such practices will not recur.

Training. The department has not developed a comprehensive plan for the training of its employees, and there is no indication that the department is making any effort to develop one. The department does conduct and sponsor a wide variety of training programs and activities each year. However, these various programs and activities are not integrated into a cohesive whole so as to provide a sense of direction in achieving the department's training objectives. Each of the various programs and activities is being carried out in a fragmented fashion.

In addition to the lack of a cohesive plan, the effectiveness of the various kinds of training programs and activities currently carried on in the DOE is not systematically evaluated. There is a lack of clear objectives in DOE's intern programs, and its administration of sabbatical leaves is hampered by the lack of guidelines and criteria as to what constitutes acceptable pursuits for sabbatical leaves.

Our recommendation is that the department develop a comprehensive training plan. In addition, the department should establish a system for evaluating training, re-examine the objectives and review the operations of its intern programs, and formulate specific guidelines and criteria for administering sabbatical leaves.

Employee performance evaluation. The department does carry on an employee performance evaluation program. However, evaluation is conducted without meaningful standards against which performance may be evaluated, the rating scales used are inadequate, and the organization in the schools makes teacher evaluation unworkable. The result of these weaknesses is that employee performance evaluation is perfunctory at best. Of 9500 tenured teachers in 1970–71, only seven received unsatisfactory ratings.

Our recommendation is that the department develop improvements to employee performance evaluation and propose the improvements to the employee unions concerned. The improvements should be derived from realistic standards appropriate to and varying with different kinds of work and responsibilities, a rating scale for teachers which at least recognizes performance beyond expectations, relieving principals of having to assume total responsibility for rating every single teacher, evaluation of the improbable substandard rating experience of the past few years, and a focus upon levels of performance and work expectations which are mutually determined each year by the employer and the employee concerned.

Certification and exemption. The department of education currently employs some 15,200 persons, of whom 76 percent are exempted from the civil service law. Generally,

there is insufficient control over exempt positions within the DOE. The department is utilizing the device of educational officer certification to employ more than the 20 certificated administrative, professional, and technical personnel allowed by statute. In addition, the DOE has a number of exempt positions, the legal bases for which are questionable. With respect to part-time student helpers, the DOE classifies them in a questionable manner and hires them in ways which do not provide equal opportunity to all those who may desire such positions.

Our recommendation is that both the department of personnel services and the department of education should exercise tighter controls over exempt positions and review the propriety of all currently exempt positions. In particular, DOE should cease the practice of issuing professional administrator certificates for the purpose of evading the statutory limitation of employing not more than 20 non-education-certificated administrative, professional, and technical personnel outside the civil service system. Student helper positions should be opened up to students from business schools as well as colleges, and students should be hired through an open and publicized recruitment process.

TABLE OF CONTENTS

Chapter		*Page*
	Foreword	iii
	Summary of Findings and Recommendations	v
	List of Tables	xvii
	List of Figures	xviii
	PART I. INTRODUCTION AND BACKGROUND	
1	Introduction	3
	Objectives of the Audit	3
	Scope of the Audit	3
	Organization of the Report	3
	Conduct of the Audit	4
2	Some Background	5
	Historical and Legal Bases	5
	Organization	5
	System Costs and Program Size	6
	PART II. EXECUTIVE–BOARD OF EDUCATION–ADVISORY COUNCILS	
3	Introduction	9
	Summary of Findings	9
4	Executive v. Board of Education	11
	Summary of Findings	11
	Source of the Confusion	11
	Nature of the Confusion	12
	Confusion Illustrated	13
	Resolving Conflict	16
	Suggestions	17
	Recommendations	21
5	Board of Education	23
	Summary of Findings	23
	Methodology Used	23
	The Findings	24
	Need for a Change in Focus	26
	Recommendation	27
6	District School Advisory Councils	29
	Background	29
	Summary of Findings	30
	Role of the Councils in Practice	30
	Some Problems in Council Operations	33
	PART III. ORGANIZATION AND MANAGEMENT GENERALLY	
7	Introduction	39
	Summary of Findings	39
8	Organizational Strategy	41
	Summary of Findings	41
	"Organizational Strategy" Defined	41
	Recognition of Need for Organizational Strategy	42
	Current Status in the Development of a Plan	43
	Effects of Lack of Strategy on the Structure of DOE	45
	Recommendations	49

Chapter		Page
9	State Office–District–School Roles and Responsibilities	51
	Summary of Findings	51
	Unclear Policies	51
	Decision-Making in Practice	52
	Effect of Confusion	53
	Clarifying Decision Centers	54
	Limits on Decentralization	54
	Recommendation	55
10	State Office	57
	Summary of Findings	57
	Program Planning	57
	Program Evaluation	63
	Facilities Planning	63
	Personnel Requirements	64
	In Summary	65
	Recommendation	65
11	Staffing	67
	Summary of Findings	67
	State Summary	67
	State Office	70
	Staff Size	70
	Staff Qualification	71
	Work Load and Work Assignment	72
	District Offices	107
	Staffing Patterns	107
	Educational Officers	110
	Teachers	113
	Diagnostic Teams	116
	Schools	118
	Recommendations	119
	PART IV. CURRICULUM MANAGEMENT	
12	Introduction	123
	Statewide Curriculum	123
	Efforts Toward a Statewide Curriculum	124
	Summary of Findings	126
13	Role Definition: Curriculum Development	129
	Summary of Findings	129
	Ambivalence in Defining Roles	129
	The Practices	132
	The Problem	140
	Recommendations	142
14	Program Analysis	143
	Summary of Findings	143
	Quality of Analysis	143
	Reasons for Inadequate Analysis	147
	Recommendations	147
15	Program Design	149
	Summary of Findings	149
	Summary of Results of Implementing Programs Without Proper Design	149
	Social Studies	150
	Language Arts	151
	3 on 2	151
	Individualized Instruction	154
	Recommendation	159

Chapter		Page
16	Pilot-Testing	161
	Summary of Findings	161
	Lack of Pilot-Testing	161
	Poor Testing	163
	Deceptive Pilot-Testing: Modified 3 on 2, Educational Assistants	171
	System for Pilot-Testing	175
17	Programming	181
	Summary of Findings	181
	Social Studies	181
	Health Education	185
	3 on 2 and Individualized Instruction	186
	Recommendation	190
18	Program Articulation	191
	Summary of Findings	191
	Lack of Clarity in Decision	191
	Poor Documentation	194
	Inadequate Training of Teachers	205
19	Supervision and Control: Roles in Curriculum Implementation	215
	Summary of Findings	215
	Reporting System	215
	Role and Responsibility for Program Implementation	218
20	Program Evaluation	225
	Summary of Findings	225
	Lack of an Evaluation System	225
	Poor Evaluation	229
	Independent Evaluation	239
	Recommendation	240

PART V. PERSONNEL MANAGEMENT

21	Introduction	243
	Summary of Findings	243
22	Personnel Records Management	245
	Summary of Findings	245
	A Myriad of Disjointed Records	245
	Inadequacies of Records to Supply Information Illustrated	247
	Record-Keeping Orientation	248
	Recommendation	248
23	Classification	249
	Summary of Findings	249
	Lack of a Classification System	249
	Lack of Position Descriptions	253
	Inadequate Minimum Qualification Requirements	254
	Inadequate Classes	259
24	Recruitment and Selection	265
	The Present Program	265
	Summary of Findings	265
	Lack of Program Plans	265
	Recruitment and Selection Processes in Practice	267

Chapter		Page
25	Promotion	271
	Summary of Findings	271
	Lack of a Promotional System	271
	Promotional Practices	273
26	Training	277
	Summary of Findings	277
	Lack of a Comprehensive Plan	277
	Lack of Assessment of Adequacy of Program	280
	Inadequate Management of Programs	280
	Recommendations	284
27	Employee Performance Evaluation	287
	Summary of Findings	287
	The Present Program	288
	Inadequate Performance Standards	289
	Insufficient Rating Scale	290
	Organization for Evaluation	291
	Perfunctory Evaluation	292
	Toward an Adequate Evaluation System	292
	Recommendation	293
28	Certification and Exemption	295
	Summary of Findings	295
	Lack of Control of Exempt Positions by the Department of Personnel Services	296
	Administrative, Professional, and Technical Personnel	297
	Temporary Help	300
	Student Helpers	302

PART VI. RESPONSES OF AFFECTED AGENCIES

	Comments on Agency Responses	307
	Responses of the Board of Education, the Department of Education, and the Advisory Councils	318
	Response of the Department of Personnel Services	375

APPENDICES

Appendix		
A	Interim Teacher Observation and Conference Worksheet (Personnel Form 750, Revised 8/71, TAC 71–3246)	391
B	Interim Teacher Evaluation Report (Personnel Form 751, Revised 9/72)	393
C	Vice Principal Evaluation Report (Personnel Form 752, Revised 2/71, TAC 71–2479)	395
D	Principal Evaluation Report (Personnel Form 753, Revised 2/71, TAC 71–2478)	397
E	State and District Educational Officers Evaluation Report (Personnel Form 754, Revised 1/71, TAC 71–2543)	399
F	DOE Career Management Program Annual Guided Self-Development Plan (Personnel Form 752a, Revised 9/69)	401

LIST OF TABLES

Table		*Page*
5.1	Board of Education Decisions by Categories and Subcategories, July 1966 to May 1972	25
6.1	School Advisory Council Representation, 1971–1972	35
8.1	Distribution of Public Schools by Organizational Configurations, Department of Education, as of September 1971	46
8.2	Present and Proposed Future Grade Organization of Elementary, Intermediate, and High Schools by Department of Education School Districts, as of October 1971	46
8.3	Estimated Requirement for New Schools, 1970–1990, Department of Education	47
10.1	Functions and Duties and Responsibilities of the Assistant Superintendent of Each Major Office in the State Office Under DOE Policies	58
11.1	Increase in the Number of Educational Officers and Teachers Since Fiscal Year 1965–66	68
11.2	Number of Educational Officers: State Offices, Fiscal Years 1965–66 to 1971–72	70
11.3	Number of Educational Officers: Districts, Fiscal Years 1965–66 to 1971–72	71
11.4	District Office Staffing–Professional and Technical	111
11.5	Administrative Staff, by District, 1971–72	111
11.6	District Curriculum Specialists	112
11.7	Teachers Assigned to Districts	114
11.8	Supportive Teachers in Schools	118
17.1	3 on 2 Installation Schedule, June 1968, No. of Additional Teachers Needed Each Year	187
17.2	Proposals for 3 on 2 Expansion, 1968 to 1971	189
22.1	Types of Personnel Records Maintained by the Office of Personnel Services Recruitment and Employment Branch	246
23.1	Variations in Education and Experience Requirements for Staff Specialists	258
24.1	Number of Appointments Made and Vacancy Announcements, July 1, 1971 to March 1972	267
25.1	Examples: Classified Civil Service Positions Converted to EO Positions	274
27.1	Summary of Teachers' Evaluation Report	291
27.2	No. of Substandard Ratings, 1968 to 1971	292

LIST OF FIGURES

Figure		*Page*
10. 1	Organization Structure of the State Office, Department of Education	59
11. 1	Rate of Growth for Educational Officers and Teachers Since Fiscal Year 1965–66	69
11. 2	Organization: Office of Personnel Services	74
11. 3	Organization: Recruitment and Employment Branch	75
11. 4	Organization: Personnel Relations, Welfare and Benefits Branch	77
11. 5	Organization: Career Management and Development Branch	79
11. 6	Organization: Classified Personnel Branch	81
11. 7	Organization: Office of Business Services	82
11. 8	Organization: Accounting Branch	83
11. 9	Organization of Branches, Office of Business Services: Student Transportation and Teacher Housing and Auxiliary Services	85
11.10	Organization: Facilities Branch	86
11.11	Organization: Office of Research and Planning	88
11.12	Organization of Branches, Office of Research and Planning	89
11.13	Organization: Office of Instructional Services	92
11.14	Organization: General Education Branch	96
11.15	Organization: Special Programs Branch	101
11.16	Organization: Curriculum Development and Technology Branch	104
11.17	Organization: Special Education Branch	108
11.18	Recommended Special Education Branch Organization and Staffing	109

PART I

INTRODUCTION AND BACKGROUND

Chapter 1

INTRODUCTION

This is a report of our management audit of the department of education. It was conducted in response to legislative interest in the efficient, effective, and economical operation of the State of Hawaii's public school system. The legislature has expressed a particular concern over the department's organization, management processes, and personnel administration system. In requesting an audit of these areas, the legislature believed that such an examination would assist the department to achieve management excellence.[1] The audit has been conducted, and this report is rendered, in that spirit.

Objectives of the Audit

The objectives of the audit were:

1. To determine whether the organization and management processes of the department of education promote the effective and efficient achievement of the department's objectives.

2. To determine whether the department is performing its work and using its personnel resources effectively and efficiently.

Scope of the Audit

The audit covered the department of education in four broad areas. *First,* the audit examined the roles, responsibilities, and relationships of the department's policy-making and advisory bodies. *Second,* it examined the organization and general management of the department. *Third,* it examined the department's management of curriculum. *Fourth,* it examined the department's management of personnel.

Organization of the Report

This report is presented in six parts.

Part I includes an introduction to the audit and some background on the department of education.

Part II presents our findings and recommendations regarding the department's policy-making and advisory bodies, including the relationship between the board of education v. the executive, the role and responsibilities of the board, and the role and responsibilities of the district school advisory councils.

Part III presents our findings and recommendations regarding the department's organization and general management, including its organizational strategy; the roles, responsibilities, and relationships of the state office, the districts, and the schools; the relationship between and among the major offices in the state office; and staffing in the state office, districts, and schools.

Part IV presents our findings and recommendations regarding the department's management of curriculum, including the roles and responsibilities in curriculum development and the adequacy of program analysis, program design, pilot-testing, programming, program

[1]House Resolution 253, 1969 Regular Session. Legislative expressions of concern over related areas have also been made in other resolutions and committee reports.

articulation, supervision and control in curriculum implementation, and program evaluation.

Part V presents our findings and recommendations regarding personnel management, including personnel records management, classification of jobs and positions, recruitment and selection, promotion, training, employee performance evaluation, certification of personnel, and civil service exemption practices.

Part VI contains the responses of the agencies affected by this report and our comments on the responses. The agencies responding were the department of education, including the board of education and the district school advisory councils, and the department of personnel services. These agencies were asked to respond to our findings and recommendations as contained in the preliminary draft of this report.

Conduct of the Audit

We found this audit to be an unusually complex audit to conduct. The largeness of an organization does not necessarily make an audit complex, and the size of the department of education was not the principal problem in this case. What did make the audit difficult to conduct was the lack of those kinds of data and documentation which one might reasonably expect any large organization to develop and maintain. We refer to the data and documentation which enable management to continuously assess the adequacy of its organization, its managerial processes and its personnel system.

That the department of education was greatly deficient in these kinds of information bears less heavily on the execution of the audit than what it means in terms of the ability of the department's own management to manage and operate effectively. Eventually, we were able to proceed with this audit largely through the ordering of data from raw information and through the conduct of several hundred personnel interviews. But this audit is but a one-time assessment. In order for the department itself to engage in the kind of continuous and searching self-evaluation which sound management should insist upon, it needs to be able to obtain and utilize data and documentation which will provide a systematic basis for determining what kinds of management and operational improvements need to be accomplished—in short, the same kinds of information that we were looking for but did not easily find. And the department, if it *is* to improve its management and operations, needs to be able to get that information through means less tortuous than this audit experienced.

By its very nature, auditing is a critical examination, and this report is a critical report. In assessing and criticizing the department's organizational management processes and personnel system, we do not intend to discredit the efforts of many in the department who sincerely believe they are doing their best. As with all of our audits, the focus of this audit report should not be merely on what's wrong, but, more importantly, on *what needs to be done.*

We believe that the report furnishes a framework by which the department can proceed to move in the direction of the "management excellence" hoped for and expected by the legislature. But the rightful limitation of auditing is that we can but recommend—we do not control. Only the department of education can do what needs to be done.

CHAPTER 2

SOME BACKGROUND

In this chapter, we present some background information on the department of education. The review is not intended to be exhaustive. Its purpose is merely to provide some perspective to the department of education and the public school system.

Historical and Legal Bases

Public education began in Hawaii when it was still a monarchy. In 1840, the first public school laws were enacted. They provided for compulsory education for children from four to 14 years of age and required communities to establish and maintain schools.[1] As American socioeconomic interests became increasingly dominant in the islands, English, as a medium of instruction, was introduced and it eventually supplanted the Hawaiian language in the public schools. The most significant trend in the public school system during the second half of the 19th century was that it became increasingly American in character.[2]

Under the monarchy and during Hawaii's brief period as a republic, the school system developed under centralized control. When Hawaii became a territory of the United States in 1900, the structure and control of public education did not change materially. However, the public school system grew significantly during the territorial period. In 1900, there were 11,501 students enrolled in public schools.[3] In 1958, Hawaii's last complete year as a territory, the system enrolled 130,000 students.

With statehood, article IX, section 1 of the State Constitution provided the constitutional foundation for the public school system, specifying that "[t]he State shall provide for the establishment, support, and control of a statewide system of public schools free from sectarian control . . . ." Section 2 of the same article established a State board of education, and section 3 empowered the board ". . . in accordance with law, to formulate policy, and to exercise control over the public school system through its executive officer, the superintendent of education . . . ."[4]

Organization

Under the Reorganization Act of 1959, the territorial department of public instruction became the State department of education. The department operates a statewide school system in contrast to the predominant pattern in the United States of independent, local school districts. The system is financed on a statewide basis entirely through appropriations made by the legislature. Hawaii is identified as having, uniquely, the only state system of education in the nation.[5]

[1]Wist, Benjamin O., *A Century of Public Education in Hawaii, 1840–1940* Honolulu: Hawaii Educational Review, 1940, pp. 50–51.

[2]*Ibid.*, Foreword.

[3]*Ibid.*, p. 143.

[4]The superintendent of education was identified as the superintendent of public instruction in the original 1950 State Constitution.

[5]Kim, Millicent Y. H., *Hawaii Constitutional Convention Studies, Article IX: Education* (Public Education), Legislative Reference Bureau, Honolulu: July 1968, p. 11.

There are three levels of organization in the department: the state office, districts, and schools. The state office is headed by the State superintendent and is composed of several offices providing services to districts and schools. There are seven school districts headed by district superintendents who are responsible to the State superintendent. The district offices provide services to the schools in the respective districts. Schools are headed by principals who report to the respective district superintendents. Schools are generally organized by elementary, intermediate, and high school grade levels, although there are some variations of this basic pattern.

Outside of the formal organization are seven district school advisory councils, one in each district. These advisory councils are established by law and appointed by the governor. They advise the board of education and the district superintendent and serve as liaison between the department and the public.

System Costs and Program Size

In fiscal year 1971–72, the department of education operated on a budget of $162.1 million, the largest budget of all State departments. The source of funding was $125.5 million from the general fund, $28.5 million from federal funds, and $8.1 million from special funds. In addition, the legislature appropriated $102.1 million for capital investment in school facilities which are financed almost completely through State general obligation bonds.[6] In September of the current school year, there were 181,587 students enrolled in 222 public schools in the State.[7]

[6]DOE, *Financial Report on Operating and Capital Improvement Project Funds, July 1, 1971–June 30, 1972*, p. 6.

[7]DOE, *Public and Private School Enrollment, September 22, 1972*, December 1972.

PART II

EXECUTIVE–BOARD OF EDUCATION–ADVISORY COUNCILS

CHAPTER 3

INTRODUCTION

In this part we examine the roles of the chief executive of the State, the board of education, and the district school advisory councils. Chapter 4 is concerned with the relationship between the chief executive and the elected board of education. Chapter 5 discusses the policy-making function of the board of education. Chapter 6 examines the viability of the district school advisory councils.

Summary of Findings

Overall, we find as follows:

1. The State Constitution provides for a board of education which is accountable to the people through direct election. At the same time, it provides that the chief executive officer shall have overall supervisory powers over all executive departments. These constitutional provisions and existing statutes have been a source of difficulty with respect to the jurisdictional limits of both the chief executive and the board of education.

2. The board of education's chief function is one of policy-making for the State's public school system. The board, however, has concentrated less on policy-making than on administrative matters.

3. The district school advisory councils have a definite role to play in matters of public education. However, they are presently constrained from attaining full potential by statute and practice.

CHAPTER 4

EXECUTIVE v. BOARD OF EDUCATION

Responsibility for public education is currently shared by the legislature, the executive, and the department of education via the board of education. In brief, their respective roles may be summarized as follows:

- ***Legislature*** – establishes the overall structure of State government; legislates basic policies for the provision of public services; establishes the basic controls for the management of public resources; and appropriates funds for the operation of public programs, including education.

- ***Executive*** – executes all laws, and generally supervises all executive agencies.

- ***Board of education*** – formulates educational policy in accordance with law, and through the superintendent of education, manages and operates the State school system and regulates the licensing of private schools.

Each derives its authority from the State Constitution. Article III, section 1, provides that "[t]he legislative power of the State shall be vested in a legislature . . . "; Article IV, section 1, provides that [t]he executive power of the State shall be vested in a governor"; Article IV, section 6, specifies that "[e]ach principal department shall be under the supervision of the governor . . ."; and Article IX, section 3, provides that "[t]he board of education shall have power, in accordance with law, to formulate policy, and to exercise control over the public school system through its executive officer, the superintendent of education . . . ."

Summary of Findings

The power of the legislature is hardly subject to dispute. The debates of the 1950 constitutional convention make it abundantly clear that the phrase, "in accordance with law," contained in Article IX, section 3, means that the legislature may legislate on any matter relating to public education and that the board of education may formulate policy where no law exists or, where there is law, in a manner not contrary to law.[1]

While the legislative role is unquestioned, the respective responsibilities of the executive and the board of education are not entirely clear. There is uncertainty, confusion, and conflict regarding their respective responsibilities.

Source of the Confusion

The debates of the committee of the whole of the 1950 constitutional convention indicate that the term, "supervision," as used in Article IV, section 6, means the executive power traditionally vested in the governor of a state. The convention noted that exceptions to this traditional gubernatorial power may exist from time to time and certain boards and commissions may be vested with specific executive powers and thereby made semi-independent of the governor.[2] However, such semi-independence is

[1] *Proceedings of the Constitutional Convention of Hawaii 1950,* Vol. II: *Committee of the Whole Debates* (published under the supervision of the attorney general's office and the public archives), Honolulu: 1961, pp. 598–599.

[2] *Ibid.*, p. 269.

possible only if the legislature expressly provides for it through the enactment of a statute.

There is currently on the statute books legislation which prescribes in specific ways the control to be exercised by the executive over the activities of all executive agencies. Thus, for example, all departmental budgets;[3] the establishment or abolishment of divisions or other administrative units within departments;[4] and the establishment or abolishment of subordinate offices and positions, the transfer of officers and employees between positions, the appointment and removal of subordinates, and changes in the duties, titles, and compensation of offices and positions;[5] require the approval of the governor. Under the constitutional language, as interpreted by the 1950 constitutional convention delegates, these general statutes are applicable to the department of education, unless the legislature specifically exempts it from coverage.

The State Constitution, adopted in 1950, provided for a board of education appointed by the governor. While the board remained appointed, there appears to have been little, if any, serious doubt that ultimate, executive authority over public education resided in the governor. The legislature passed no law excepting the board of education from coverage of the general statutes and the broad, supervisory powers of the governor. Thus, although the Constitution empowered the board to formulate public education policy and to control the public school system, the exercise of that power was subject to the usual gubernatorial supervision and control. The board of education accounted to the executive as any other government agency.[6]

[3]HRS, chapter 37, part IV, "The Executive Budget Act."

[4]HRS, section 26–38.

[5]HRS, section 26–39.

[6]In fact, while the board of education remained an appointed board, the relationship between the governor and the department of education remained virtually the same as that which existed prior to statehood.

In 1964, the State Constitution was amended to provide for an elected, rather than an appointed, board of education. Although the legislature enacted legislation enabling the effectuation of the new constitutional mandate for an elected board, it *did not* alter existing statutes providing for supervisory powers in the governor over all executive agencies. The legislative decision not to alter these existing statutes, notwithstanding the constitutional change to an elected board, has given rise to the present governor–board of education relationship, which may aptly be described as anomalous.

Nature of the Confusion

By virtue of being elected, the board of education is constitutionally accountable to the general public. On the other hand, by virtue of existing statutes (enacted pursuant to other constitutional provisions) which grant to the governor supervisory powers over *all* executive agencies, the department is accountable to the governor. The latter, in effect, circumscribes the former–that is, the exercise by the governor of his statutory powers limits the ability of the board to fully and directly account to the public for the public education system. However, it does not follow from this that the governor's ability to exercise his statutory powers over public education is full and complete. The "elective" nature of the board of education is a delimiting factor on the governor's full exercise of those powers. Since the governor not only has no power of appointment of the members of the board of education but also has no power to remove any of them from office, he cannot ensure full compliance by the board to his directives.

The result of these limitations on the powers of both the governor and the board of education is uncertainty, conflict, and confusion. It appears that very early in the life of the elected board of education, the board did not fully appreciate the apparent limitations imposed on its powers over educational affairs and, taking seriously its elected status, engaged in conduct consonant with the notion of an "independent board." The board's early assertion of independence was encouraged,

albeit unintentionally, by the legislature. In 1966, the legislature appropriated funds for public education in a lump sum. In 1967, the legislature not only continued to appropriate funds in a lump sum but removed the ceiling on the number of positions that could be created and filled within the department of education and provided for non-lapsing of the funds appropriated to the department. This practice of appropriating funds in a lump sum, authorizing the creation and filling of positions within the department without limitations, and "non-lapsing" appropriated funds, continued through the 1969–70 fiscal year. The department of education interpreted these appropriation provisions as an affirmation of the role assigned to it under the Constitution and as vesting full responsibility and authority in the department for public education. Accordingly, during the period 1966 to 1971, it undertook a number of actions independently of the governor. In recent months, however, the authority of the department to take such actions without the governor's approval (and thus the legality of the actions already taken) has been seriously challenged by the executive.

Confusion Illustrated

The nature of the uncertainty, conflict, and confusion on the respective roles and authority of the governor and the board (department) of education is illustrated in the following sections.

Organization. Since January 25, 1965, on matters relating to intra-departmental organization, executive departments have been governed by administrative directive no. 12, issued by the governor. This directive, which states that it is applicable to all executive departments, sets forth the policies and procedures for effecting internal organizational changes and expressly requires that all changes be approved by the governor. It cites, as authority for its issuance, Article IV, section 1, of the State Constitution[7] and HRS, section 26–38.[8] Notwithstanding this directive, during the period 1966 to 1970, the department of education made a number of changes to its internal organization without the governor's approval. The executive's challenge on the authority of the department to effectuate internal organizational changes without his approval arose in late 1970. The nature of the issue raised and the events leading to the posing of this issue were as follows.

On February 15, 1968, the board of education authorized the creation of a "PPB unit" within the office of the superintendent of education. This unit was charged with the responsibility of working with the joint senate–house legislative interim committees on education concerned with the implementation of the planning-programming-budgeting system within the department of education. Initially, the unit was principally engaged in the task of performing in-depth analysis of the various educational subject matter areas. Although without the approval of the governor, the pooling of personnel resources to create this office was ostensibly done within the bounds of the lump sum appropriations and the non-position ceiling authorization of the legislature. Sometime after February 15, 1968 but prior to 1970, the "PPB unit" underwent a change in title to the "Office of Planning and Analytical Studies." This change in title was again accomplished without the governor's approval.

On May 22, 1970, the superintendent proposed and, on June 4, 1970, the board of education approved the creation of an "Office of Institutional Planning and Development," headed by an assistant superintendent. This office was to be comprised of four major branches: planning, budgeting, management audit, and information systems. Included in the proposal was the establishment of two new branches in the office of business services: fiscal audit and property management.

[7]Article IV, section 1: "The executive power of the State shall be vested in the governor."

[8]HRS, section 26–38: "...With the approval of the governor, the head of a department may establish or abolish within his department any division or other administrative unit to achieve economy and efficiency and in accord with sound administrative principles and practices and procedures...."

It was when the subject of creating the office of institutional planning and development was initially broached that the administration (in particular, the department of budget and finance) began to question the authority of the department to effect changes in its organization without the prior approval of the governor. The opinion among the members of the department of education was divided regarding the applicability of the governor's AD–12 to the department of education. Nevertheless, upon challenge by the administration, the department of education submitted the proposal to the governor for approval.

While gubernatorial approval was pending, on August 13, 1970, upon the recommendation of the then acting superintendent, the board of education adopted a modification to the plan of organization. As modified, the plan no longer called for the creation of the office of institutional planning and development, but instead assigned the planning, budgeting, management audit, and information systems functions to the "Office of Planning and Analytical Studies," then in existence in the office of the superintendent, headed by a special assistant to the superintendent. Essentially, the modified plan sought to accomplish all that was contained in the original plan, except the creation of an office to be headed by an assistant superintendent. In a concurrent action, the board of education authorized the reclassification of four staff positions and an upward salary adjustment for the special assistant to the superintendent to implement the modified plan.

In the ensuing months, informal discussions were held between the department of education and the department of budget and finance on the reorganization plans and, by separate memoranda, the chairman of the board of education and the director of finance, each submitted comments on the plans to the governor for his consideration. In November 1970, the governor notified the department of education of his disapproval of the reorganization plans.

However, it appears that, even before the governor's action, the department of education had proceeded to implement the modified plan adopted by the board of education on August 13, 1970. In accordance with that approval, the four staff positions were reclassified upwards to branch chiefs and the salary of the special assistant was adjusted upwards. The governor, in his disapproval message to the department of education, noted that portions of the reorganization were already being implemented and stated that:

> "My disapproval will require the Board of Education to rescind the actions taken in the last few months and to restore the organization of the Department of Education and the duties and responsibilities assigned to positions, as shown on the organization charts which have received my official approval."

Between November 1970 and February 1971, the department of education sought to delay compliance with the governor's order notwithstanding the apparent finality of the governor's decision. The delay stemmed in part from a feeling on the part of some members of the department of education that the governor's AD–12 did not apply to the department of education. In February 1971, the department of education, readily admitting that it had not always complied in the past with the requirements of the governor's administrative directive no. 12, affirmed that thenceforth it would do so. And, on March 18, 1971, the board of education rescinded its previous approval of the planning office reorganization and ordered the department to roll-back the positions theretofore transferred and reclassified.

Pursuant to the board of education's "roll-back" decree, the department of education did reclassify and transfer back to their original status those positions which had been previously upgraded. However, even as the department complied with the governor's order, the department made known its continuing desire to reorganize the department's research and planning functions. The sequel to this conflict between the department of education and the governor was that, on December 15, 1971, the governor formally approved the establishment of the planning and research, management, budget, and information systems branches within the office of research and planning, headed by an

assistant superintendent. The office of research and planning was once before a major division within the department of education but had been deactivated in October 1968. The governor's approval in effect reactivated this former office.

Personnel compensation. Aside from the "organization" proper, the above events illuminated another area of uncertainty, conflict, and confusion that exists between the department of education and the governor in the exercise of executive powers over public education. The reclassification and return of those positions previously upgraded to their original status in compliance with the governor's order of November 1970 was not accompanied by a readjustment of the salary levels of the three positions back to their former levels. This failure to readjust downward the salary levels upon the return of the positions to their former levels did not go unnoticed by the department of budget and finance. It contended that salary readjustment downward should be taken immediately by the department of education. On October 24, 1971, the governor, noting that the department of education was then reviewing alternative plans for reorganizing the department's research and planning functions, "authorized" as an interim measure the retention of the salary levels of the three employees of the office of planning and analytical studies whose positions were supposed to be downgraded. As explained in a later memorandum by the director of finance, this authorization was not intended to authorize organizational change but rather to authorize certain salary actions only.

What is pertinent to note here is that it has been the practice of the department of education in the past to set compensation rates for personnel in its employ who are not specifically covered by compensation laws. For example, the compensation schedules for summer school teachers and instructors of adult community schools, both operated under the department of education auspices, have been provided by DOE policy in the absence of statutes covering these employees. Presumably, the department of education exercised this authority pursuant to the State Constitution and laws allowing it to formulate policy, not contrary to law, to regulate the department and its employees. Moreover, the compensation statute authorizes the department of education to provide additional benefits to teachers with special assignments,[9] grade level chairmen, department heads, registrars, school librarians,[10] and teachers assigned to schools in areas designated by the department as being "limited environment communities."[11]

The October 24, 1971 action of the governor authorizing the retention of the salary levels of the three employees in the office of planning and analytical studies was presumably taken pursuant to HRS, section 26–39, which provides that "changes in the duties, titles and compensation of offices and positions" may be effectuated by the head of a department "with the approval of the governor." The issue that is raised here is whether or not the duties and compensation of the department of education's offices and positions, when not expressly provided by law or when the power to determine them are expressly delegated to the department of education, must nevertheless receive the approval of the governor. Obviously, the position of the administration is in the affirmative. If this is not so, then the governor acted improperly when he overrode the action of the board of education on the matter of the three positions described earlier. However, if this is indeed so, then the nature of the board of education's accountability to the public remains diffused.

Personnel appointments. The impact of the recent controversy on future actions by the board of education is cloudy. For example, what is to be the course of action that the department may legally take on appointments of DOE personnel? It has been the customary practice for the board of education to take final action on appointments of educational officers and teachers. However, HRS, section 26–39, provides that the appointment and removal of "any subordinate" (that is, subordinate to the head of a department) shall be "with the

[9] HRS, section 297–39.

[10] HRS, section 297–40.

[11] HRS, section 297–40.

approval of the governor." Must the DOE hereafter secure the prior approval of the governor with respect to the appointment of assistant superintendents, staff specialists, directors, administrators, district superintendents, principals, and teachers?

Educational programs. When one turns from organizational, personnel, and compensation aspects of education to substantive, educational program areas, the issue becomes even more crucial. What are the respective roles of the governor and the board of education with respect to educational programs? To what extent is the board of education's decisions on programs and public policies related to those programs subject to gubernatorial supervision, review, and control? On the one hand, the governor is empowered by statute to review and recommend the State's programs and budgets for all executive agencies. On the other hand, the Constitution entrusts the board of education with the responsibility for formulating educational policies and makes the members of the board accountable directly to the electorate for their decisions. In the exercise of his budget review powers, the governor (through the department of budget and finance) has a wide range of choices. At one extreme, the review can be limited to the aggregate total for each major program area, such as public education. At the other extreme, the review can examine in detail each item of expenditure (e.g., personnel, motor vehicle, and equipment) associated with the smallest program unit. The more extensive and in-depth the executive review, the greater is the erosion of the board of education's ability to account directly to the general public. In such case, the board becomes more and more accountable directly to the governor.

Summary of issues. To summarize the issue and succinctly describe the problem, the State Constitution vests supervisory powers over all executive agencies in the governor; at the same time, by requiring the board of education to be elected, it stresses the need for direct public accountability on the part of the members of the board for policy decisions on public education; and finally, it leaves to the legislature to resolve any conflict between the two provisions. Currently, the statutes are heavily in favor of accountability by the executive and tend to subordinate public accountability of the board of education to that of the governor, a situation clearly not four-square with the constitutional mandate.

Resolving Conflict

The task of resolving the conflict is then apparent. There are three decisions that need to be made: (1) whether the department of education should be headed by a single executive or by a board; (2) if the department is to be headed by a board, whether the board should continue to remain elective or whether it should revert to its former status of an appointed board; and (3) what the relationship between the executive (governor) and the department of education should be and what changes, if any, should be made to existing statutes or practices to effectuate such a relationship. This report makes no specific suggestion with respect to the first two questions. Whether the department should be headed by a single executive or by a board, and if the department is to be headed by a board, whether the board should continue to be elected or whether it should be appointed, are political decisions to be made initially by the legislature or by a constitutional convention and ultimately by the people.

In the next section we suggest ways in which the board's direct accountability to the people might be facilitated while preserving the governor's overall responsibility for State administration. But before we turn to our suggestions, we note what the Constitution seems to be saying about the status of the elected board.

An agency achieves direct public accountability in the full sense only if it is completely independent. The term, "complete independence," means not only that those who head the agency be chosen directly by the electorate but also that the agency possess full taxing and revenue-raising powers. However, it is clear that neither the 1950 nor the 1968 constitutional convention envisioned such an autonomous status for the department of education. To the contrary, not only is the Constitution decidedly clear that the department of education is to have no taxing

powers, but it is equally obvious that the department of education is meant to be a part of the executive branch. To what extent then does the Constitution intend that the department of education be free from the usual constraints placed upon the executive agencies by the governor when it provides for the direct election of the members of the board of education?

Some clues may be discerned from the discussion of the 1950 constitutional convention delegates (which we earlier noted) that from time to time certain executive boards and commissions may be accorded semi-independent status by excepting them from traditional gubernatorial powers.[12] That discussion was had by the convention delegates within the context of gubernatorial powers and government boards and commissions, presumably both appointed and elected and thus including the board of education. If indeed an appointed board may be granted a semi-independent status, the change from an appointed board of education to an elected one lends even more force to the notion that the Constitution as amended probably intends that the elected board of education be accorded at least a semi-independent status. If this were not so, there is little reason for making the members of the board directly accountable to the people for the formulation of educational policy and for exercising control over the public school system. The term, "semi-independent," however, connotes some continuing supervisory powers in the governor. How then is the board of education to be accorded at least a semi-independent status? What gubernatorial, supervisory constraints over the board of education should be lifted without negating in their entirety the administrative powers of the governor as they relate to the operations of the department of education?

The following suggestions are offered to assist in answering these questions. However, we believe that our suggestions are applicable, not only in the case of an elected board, but also in the case of an appointed board of education or that of a single executive. What we are suggesting is the minimum level of relationship that should exist between the department of education and the chief executive.

[12] *Proceedings of the Constitutional Convention of Hawaii 1950*, Vol. II: *Committee of the Whole Debates*, p. 269.

Suggestions

Budget-making. One of the responsibilities of the governor is to ensure the fiscal responsibility of the State. It is for this reason that all budgets prepared by the executive agencies, including that of the department of education, are reviewed by the governor (through the department of budget and finance), prior to their incorporation into the executive budget submitted to the legislature.

In the budget-making process, conflict arises between the department of education and the central budget agency because of practices at two key junctures. The first is at the very beginning of the budget preparation cycle. At this point, the department of education is pretty much in the dark as to what financial limitations it must observe in preparing the budget. It does not receive a tentative budget ceiling from the governor. The result is that the department has, in the past, proposed education budgets far in excess of the amounts ultimately recommended by the governor in the executive budget. For example, with respect to the 1971–73 fiscal biennium, the department developed and proposed an operating budget of $360 million, but the governor recommended $319 million, a sizeable difference of $41 million.

Situations like that which occurred in connection with the DOE's 1971–73 budget have been of substantial legislative concern. Numerous legislative committees have pressed the department of budget and finance to implement a system of informing the agencies of tentative dollar allocations to departments or major program areas so that more realistic budgets can be prepared. The legislature's last expression on this matter was made by the joint interim committee on planning-programming-budgeting. It reported:

> "In the conference committee report to the 1971 General Appropriations Act, the legislature expressed its concern that the absence of financial ceilings in budget-making

and programming has resulted in agency recommendations which are unrealistic when viewed in the context and against the limitations of the total financial resources of the State. The problem of unrealistic planning, programming and budgeting on the part of the agencies will continue unless the administration process provides for informing the agencies of the tentative dollar allocations to major program areas even before the agencies begin to plan, program and budget. Only under realistic financial constraints will there be induced in agencies, as part of the budget development process, the necessity to rank priorities and to analyze the tradeoff possibilities between programs. Your committee has thoroughly reviewed this matter and believes that the governor should assure that a process of tentative dollar allocations to agencies for all proposed expenditures, including capital investments, is provided for in instructions for the preparation of the budget and program and financial plans."[13]

Similar observations and recommendations have been made by the joint interim committee on education with particular reference to the department of education and the education budget.[14]

Notwithstanding these legislative expressions, the problem remains unresolved due to the intransigence of the department of budget and finance. The position of the director of finance is that the establishment of financial ceilings for departmental budgeting is unnecessary.[15]

[13]Special Committee Reports No. 9 and 10, 1972 Regular Session.

[14]Special Committee Report No. 3, 1971 Regular Session.

[15]Testimony by the director of finance before the joint interim committee on planning-programming-budgeting, August 16, 1971.

The second juncture at which conflict arises is in the review of the DOE's budget by the department of budget and finance. Typically, such review extends to a fine level of detail, including the scrutiny of specific programs, positions, equipment, and other objects of expenditures proposed by the DOE. Typically, also, specific budget cuts are made by the department of budget and finance without affording the DOE the opportunity to reorder its own priorities and programs.

This review aspect of the budget-making process has also been a matter of legislative concern. Thus, in the 1971 session, the legislature recommended with respect to the review of the budget of the department of education (as well as those of the university of Hawaii and the judiciary):

"The department of budget and finance should also re-examine its role in budget review, particularly with respect to the department of education, the university of Hawaii, and the judiciary. In the case of the DOE and the UOH, these are agencies which have, as governing bodies, boards which are formally charged by the State Constitution with responsibility for the formulation of policy. In the case of the judiciary, it is a separate and co-equal branch of government. Under such a political framework, the appropriate course is for the department of budget and finance to inform the two agencies and the judiciary of the aggregate financing ceilings under which programs may be budgeted, and conduct its budget review to determine that the ceilings and program objectives are adhered to. The establishment of aggregate financial controls would be sufficient to retain the integrity of the governor's financial plan, while permitting the respective governing boards of the department of education and the university of Hawaii, and the judiciary, to formulate program and budgetary recommendations within the limitations of overall financial policy

and in consonance with State goals and objectives."[16]

The result of the two circumstances, (1) the absence of a financial ceiling under which the DOE prepares its budget, and (2) the detailed budget review and specific budget cuts made by the department of budget and finance, is that, for all practical purposes, the central budget agency has become the *effective* program manager for education. In such a setting, the board of education is the clear loser. It has a constitutional responsibility to formulate policy for education but has no real authority over the education budget which is finally recommended by the governor. On the other hand, the department of budget and finance has no visible responsibility for education but, through the budget-preparation process, it exercises very real authority over education policies and the direction of education programs.

The observations and recommendations made by legislative committees provide the framework through which this anomalous situation may be resolved without detracting from the powers of the governor in proposing, through the executive budget, the overall fiscal and program plan of the State. The key element is for the governor and, if so delegated, the department of budget and finance to oversee the budget preparation process through a process of *aggregate* fiscal controls.[17]

First, at the beginning of every budgeting cycle, the governor, after hearing the preliminary major program proposals and changes of the departments, would determine the *aggregate* budget ceiling for the programs of the department of education. The department of education would proceed, under the budget ceiling, to develop the expenditure levels of individual programs in accordance with priorities and policies established by the board of education.

Second, if changing circumstances require that the governor modify the budget ceiling for education at any time prior to submission of the executive budget to the legislature, he would do so in the *aggregate,* leaving the department free to re-budget and re-program under board priorities and policies. The result would be that the *aggregate* budget recommendation for education would be that of the governor but the individual program and detailed budget recommendations comprising the aggregate would be those of the board.

The substitution of *aggregate* controls for the type of detailed, line-item controls exercised by the department of budget and finance would permit the board to develop policy through the budget-making process. In effect, it would give meaning to the policy-making role intended for it by the State Constitution. At the same time, it would preserve the governor's responsibility and role as the overall fiscal strategist of the State.

However, because of the resistance of the department of budget and finance, a system of aggregate fiscal controls is not likely to be established voluntarily in the executive branch. The legislature may have to accomplish by law what it has not been able to do by persuasion.

Budget execution. After appropriations are made by the legislature and the budget is to be executed for the new fiscal biennium, the department of budget and finance, through its administration of the allotment system, again exercises substantial influence over the scope and direction of education programs. Subject only to the limitation that the amounts allotted to programs of the department cannot exceed the appropriations made by the legislature,[18] the director of finance is authorized by law to:

> Approve, increase, or reduce the amount of the estimated expenditures of the department.

[16]Conference Committee Report No. 1, 1971 Regular Session.

[17]While we consider here only the department of education, the process of aggregate fiscal controls should apply to other departments of the State government as well.

[18]This limitation has no force when the legislature empowers the governor or the director of finance to transfer funds between appropriations, as it did in Act 68, SLH 1971, the General Appropriations Act for the 1971–73 biennium.

- Modify or amend any allotment previously made by him.

- With the approval of the governor, reduce the amount allotted or to be allotted when the director of finance determines that the probable revenues will be less than anticipated.[19]

Budget execution, under the allotment system, does not pose serious problems when the amounts allotted by the director of finance are the same as the amounts appropriated by the legislature. However, in times of austerity when allotments are substantially below appropriations, as in the current fiscal biennium, a problem similar to that identified in budget preparation arises. For example, with respect to the executive budget adjustment for the 1972–73 fiscal year, the department of education has reported that all program expansion funds amounting to $2.9 million were restricted by the governor, except for $300,000 for the Hawaii English program. In addition, $1.4 million was restricted from the ongoing programs.[20] These types of selective reductions made by the executive again point up the problem as to who is the *effective* program manager in education.

As in budget preparation, a system of *aggregate* fiscal controls could well serve the purpose of the governor's exercising his authority to ensure the financial integrity of the State as well as to support the role and responsibility of the board of education in making education policy determinations. Under a system of *aggregate* fiscal controls, the executive would have instructed the board to reduce expenditures for education programs by $4.3 million but would have left to the board the specific decisions as to how much was to be reduced from which programs.

The board would then have been required to examine its educational priorities and make trade-off decisions among the several expansion programs, such as 3 on 2, special education, vocational-technical, Hawaii English program, and the comprehensive school alienation program; or even between these expansion programs and the so-called current service programs. This would have put the responsibility for program and policy execution decisions where it belongs–on the board of education–without any detraction from the executive's responsibility to oversee and safeguard the overall financial condition of the State.

Manpower control. Like other executive agencies, the department of education is subject to detailed executive manpower controls. For example, the establishment and filling of each new position requires the written approval of the governor.[21] In exercising control over specific positions, the governor must necessarily rely on the review and recommendations of his budget control agency, the department of budget and finance.

In an earlier audit report of another State program,[22] we reported on the effects of detailed manpower and position controls, and these effects are also applicable to the department of education:

> "All too often the current B & F type of detailed control is actually more dysfunctional than goal congruent–that is, it causes *less effective* and *less efficient* performance as related to the achievement of final program objectives. Exercising control at a fine level of detail, as is now done, frequently amounts to management *in absentia*."

We pointed out also that this does not mean that central controls are unnecessary. However, there are other control systems which (1) do more to assure that resources are used

[19]HRS, sections 37–31 to 37–37.

[20]DOE, *Department of Education Resource and Allocation and Budget Execution, Fiscal Year 1972–73,* July 1972, p. 8.

[21]Testimony of the director of finance to the senate committee on ways and means, January 24, 1972.

[22]Legislative auditor, *Audit of the County/State Hospital Program* (audit report no. 71–2), March 1971, pp. 22–23.

effectively and efficiently to accomplish program objectives; (2) provide all the controls and safeguards necessary to assure that fiscal and manpower limitations are not exceeded; and (3) in the case of the department of education, restore to the board, through its superintendent, *effective* control over the personnel resources to be acquired and utilized within the overall constraints of legislative appropriations. In line with the concept of aggregate fiscal controls for budget-making and budget-execution, a system of aggregate manpower controls could also be developed. So long as aggregate fiscal and position ceilings are not exceeded for the particular programs of education, the department should be permitted to determine the number and kinds of positions necessary to carry out education programs.

A system of aggregate manpower controls is not intended to mean that the department would be returning to any semblance of lump-sum budgeting. It would have to observe: (1) financial and position ceilings for specific education programs, and (2) all applicable laws concerning personnel compensation and hiring. What would be lifted would be the current requirement for the department to obtain approval, through the department of budget and finance, for the establishment and filling of specific positions authorized by the legislature. It would also lift the requirement that the removal of any subordinate of the department shall be with the approval of the governor.

Reorganization. We distinguish between two kinds of reorganization: the first type of reorganization is of the minor type, such as the transfer of personnel from one unit to another unit for the purpose of achieving greater efficiency or economy or better management control. If such reorganization entails no current or future additional costs and does not cause the position and financial ceiling for a program to be exceeded, the change should be within the prerogatives of the board to approve or disapprove.

The second type of reorganization is one where the reorganization would result in additional costs, whether immediately or in the future. The reorganization connected with the establishment of the office of research and planning discussed earlier in this chapter would fall under this category. Because this type of reorganization has a long-range impact on State finances, such reorganization should receive the review and approval of the governor before it is implemented, regardless of whether the *immediate* financial effects can be absorbed within the *current* budget.

The net effect of utilizing the criterion of additional costs to determine when reorganization needs to be reviewed and approved by the governor would be to allow the board to make those reorganizational changes which are normally considered to be within the purview of management but to require approval of the governor when State finances are affected.

A cautionary note. The guidelines which are presented in this chapter to clarify the roles and responsibilities of the executive v. the board of education with respect to the development and management of education programs and the administration of the department require changes to the statutes in several instances. For reasons which are detailed elsewhere in this report, we do not recommend *immediate* changes to the statutes. The department of education does not yet have the management processes and capabilities through which it can implement and be held accountable to a system of aggregate fiscal and manpower controls. It must first develop such processes and capabilities before changes in control systems can be instituted.

Recommendations

We recommend that:

1. The board of education direct the department of education to design the management processes and develop the capabilities necessary to accommodate a system of aggregate fiscal and manpower controls and to submit its design to the legislature at the convening of the 1974 legislative session.

2. Upon the submission by the department of education of an adequate design for its management processes, the legislature clarify the roles and responsibilities of the board of education v. the executive by following the guidelines and concepts concerning aggregate fiscal and manpower controls described in this chapter.

CHAPTER 5

BOARD OF EDUCATION

This chapter discusses the actual role of the board of education in the management of the department of education.

The State Constitution provides that:[1]

> "The board of education shall have power, in accordance with law, to formulate policy, and to exercise control over the public school system through its executive officer, the superintendent of education, who shall be appointed by the board . . . ."

There are two distinct functions assigned to the board by this constitutional provision: (1) to formulate policy and (2) to exercise control over the public school system. Of the two, it appears that the Constitution envisions the former as the board's main task. The second task, "exercise control over the public school system," is qualified by the words, "through its executive officer, the superintendent of education."

Summary of Findings

Overall, we find that the board of education expends more of its efforts toward managing and controlling the operations of the department of education rather than formulating policies and overall strategies for public education. In this sense, we find that the board of education is not meeting the expectations of the State Constitution.

[1]State of Hawaii, *Constitution*, Article IX, section 3.

Methodology Used

In assessing the actual role of the board of education, we examined all[2] of the minutes of the meetings of the board of education during the period July 1966[3] to May 1972. In categorizing the board's activities, we used as our framework that which views the total management process as having three distinct parts. In summary, this framework distinguishes between and among the following aspects of management.[4]

- ***Strategic planning.*** "The process of deciding on objectives of the organization, on changes in these objectives, on the resources used to attain these objectives, and on the policies that are to govern the acquisition, use, and disposition of these resources."

- ***Management control.*** "The process by which managers assure that resources are obtained and used effectively and efficiently in the accomplishment of the organization's objectives."

- ***Operational control.*** "The process of assuring that specific tasks are carried out effectively and efficiently."

[2]Except six sets of minutes which the board does not have on file.

[3]The first elected board was elected in November 1966.

[4]Anthony, Robert N., *Planning and Control Systems: A Framework for Analysis,* Boston: Harvard University, Graduate School of Business Administration, Division of Research, 1965.

The Findings

An examination of some 2330 decisions made by the board of education during the period 1966 to 1972 revealed that 10.5 percent were strategic planning decisions, 75.3 percent were management and operational control decisions, 11 percent were decisions on matters of intra-board concerns, and the remaining 3.2 percent were decisions relating to meeting particular requirements of external agencies.

Strategic planning decisions. In the context of education, strategic planning decisions are those which:

- establish objectives for public education;
- formulate substantive educational programs;
- determine the expenditure levels for the various educational programs and authorize specific, non-routine expenditures;
- determine the essential structure of the organization;
- establish policies affecting the acquisition and use of resources in support of educational programs (personnel policies, financial policies, research policies, facility specifications, etc.);
- establish policies affecting the public and consumers of education (use of facilities, student welfare, school and library schedules, etc.); and
- subject programs to periodic but systematic review.

Of the 10.5 percent (of all decisions) attributable to strategic planning decisions, approximately one-third (34.4 percent) have been in the first four areas (objectives, programs, expenditure levels, and structure). A little more than one-quarter (28 percent) have dealt with internal policies governing the acquisition and use of resources in support of educational programs. Thirty-six percent have been on policies governing the public and consumers of education. One percent have been on program review.

Management and operational control decisions. The overwhelming majority, 75.3 percent, of all board decisions have been decisions on management and operational control matters. By far the bulk—82.8 percent—of the management and operational control decisions have been on matters relating to (1) personnel transactions and (2) contracts for services. The personnel transactions included a few decisions on creating new positions and dismissals of employees, but the majority were on approving specific appointments and promotions of educational officers, principals, and vice-principals. Board action is apparently necessary for every educational officer appointment, from staff specialist I to the superintendent. In the area of contracts for services, the decisions consisted of approving contracts. A majority of the contracts approved were for relatively small amounts—primarily in the $2000 to $5000 range.

The remaining 17.2 percent of the management and operational control decisions consisted primarily of accepting gifts and approving trips, fund-raising activities, and community-sponsored activities. Other decisions concerned approving specific, small, in-house research projects, naming schools and buildings, releasing surplus land to the department of land and natural resources, and a few minor financial transactions.

Intra-board concerns and operations. The third major category of board decisions is titled intra-board concerns and operations, for lack of a more precise terminology. Eleven percent of all board decisions were in this category, and included the following types of decisions:

- acceptance of superintendent's resignation and the hiring of a new superintendent;
- internal operations of the board, including the establishment of a meeting calendar, adoption and revision of by-laws, election of officers, appointment of board members to conventions and various

committees, and establishment of reimbursement guidelines for board members;

- referral of matters to the superintendent and his staff for further study;
- appointment of non-board members to various education-related boards and councils;
- approval of resolutions, commendations, and letters of appreciation; and
- announcement of the board's position on pending legislation, both state and federal, on National School Board Association issues, and on other controversial social issues.

Meeting external agency requirements. The fourth major category of board decisions consists of decisions concerned with meeting the requirements of external agencies. These comprised 3.2 percent of all board decisions. A majority of these decisions were of two major kinds: (1) applications for federal construction funds and (2) submission of reports to the legislature.

With regard to applications for federal construction funds, it is not clear whether the applications have been brought to the board because the federal government requires formal board approval of each application or whether the board and/or the administration has determined that it should approve each request. However, one-third of the decisions relating to meeting external agency requirements were of this kind.

The remaining two-thirds were concerned with submission of reports to the legislature. A wide range of reports have been presented to the board for approval prior to their transmittal to the legislature. The reports ran the gamut of straightforward data collection to neutral progress reports to advocacy of new programs.

Table 5.1 summarizes the above findings.

Table 5.1
Board of Education Decisions by Categories and Subcategories July 1966 to May 1972

Categories and Subcategories of Decisions	% of All Board Decisions	% of Decisions of Each Category
Strategic Planning	10.5%	
Objectives, programs, budget, structure		34.4%
Acquisition and use of resources		28.6
Public and consumers		36.0
Program review		1.0
		100.0%
Management and Operational Control	75.3	
Personnel transactions and contracts for services		82.8%
Accepting gifts, approving trips, naming schools, etc.		17.2
		100.0%
Intra-Board Concerns and Operations	11.0	
Meeting External Agency Requirements	3.2	
Approving federal construction fund applications		33.3%
Approving submission of reports to legislature		66.7
	100.0%	100.0%

Summary. To summarize, it appears overall that the board of education is concerned more with the internal administration of the department than with setting organizational strategy. Further, of all internal administrative matters, it is concerned primarily with personnel appointments and promotions, and contracts for services. The board also pays a large amount of attention to approving gifts, naming schools and buildings, approving trips, approving fund-raising activities, etc. The number of decisions rendered on these matters appears to exceed the total number of decisions on matters of strategic planning.

It is not clear, of course, whether the board's concentration on management control is by choice or some other reason. But, it appears that the board, while giving great attention to management control, is not taking action in all cases involving strategic decisions. For example, during the course of our audit, we came across a number of situations which appeared to be of a strategic nature requiring board action.

However, we could find no evidence of any board action in the minutes of the board's meetings. Included among these were decisions relating to the structure of the organization and the curriculum of the department (including its objectives).[5] Thus, new curricula, such as the School Health Education Study, the elective secondary language arts program, and the inquiry-conceptual social studies program, all of which change the direction, emphasis, and focus of the State's curriculum programs, appear to have been implemented without prior board action of any kind. Further, a number documents, purporting to analyze various other subject matter areas, which contained recommendations for the implementation of new programs, have "passed through" the board of education enroute to the legislature. The minutes of the board indicate that these documents were routinely "approved for transmission" to the legislature upon the recommendation of the superintendent; the minutes do not reveal any discussion and approval or non-approval by the board of the program recommendations.

Need for a Change in Focus

We think there is a need for the board of education to re-focus its attention on strategic planning—that is, on formulating policies and establishing overall organizational strategy for public education. This, after all, is the primary function assigned by the State Constitution to the board. This is not to say that the board should not be concerned *at all* with management control. However, we believe that the board can exercise this management control through a system of (1) policies and guidelines within which management can be expected to act, (2) procedures for reporting to the board at periodic intervals of all major management actions taken by the superintendent and administrators, and (3) periodic reviews by the board on a selective or random basis of management actions taken.

For example, in the area of personnel management, the board can establish appropriate policies and guidelines relating to the acquisition and use of personnel resources (such as a classification system for educational officers and teachers); permit management to make all appointment and promotion decisions within the guidelines so established (except perhaps for the appointment of top managers such as the assistant superintendents, which the board may reserve for itself); require the superintendent to report to the board periodically on all appointments and promotions made within the department; and review the superintendent's report, not for the purpose of approval, but for the purpose of checking (on a selective and random basis by asking the superintendent for the details of such selected appointments and promotions) to ensure that applicable policies and guidelines have been adhered to by management. We think that such a procedure would be much more effective in exercising board control over the public school system than the present practice of approving each and every appointment and promotion from staff specialist I to the superintendent. The present practice of approving each and every appointment and promotion does not really further management control by the board, for appointments and promotions, in practice, are currently almost routinely approved by the board. Further, as we note in a subsequent chapter, such approvals have not prevented management from engaging in practices which suggest unfairness in the appointments and promotions of personnel.

Take another example. Rather than the board's approving each and every gift made to schools, regardless of the value or kind, the board may establish guidelines (such as, limits on value, kinds of gifts, and the circumstances under which gifts may be accepted) within which administrators may approve and accept gifts. Any gift lying beyond the guidelines would, of course, be subject to direct board action. Then, management can be required to report periodically on the gifts received and the board may review these transactions on a selective and random basis to determine adherence to established policies and guidelines.

Under such a system, not only would the board be freed from administrative details and thus be able to give greater attention to strategic matters, but such a system enables the board to

[5] See later chapters.

control the public school system "through the superintendent" as the State Constitution envisions.

Recommendation

We recommend that the board of education strengthen the policy-making role intended for it by the State Constitution. The board should accomplish this by:

Re-focusing its attention on matters which relate to strategic planning and devoting its principal efforts to the formulation of policies and the establishment of overall organizational strategy for public education.

Developing appropriate policies and guidelines for the kinds of management decisions (heretofore reserved by the board) which the department will now be permitted to make.

Reviewing the decisions of departmental management from time to time to ensure adherence to board policies and guidelines.

CHAPTER 6

DISTRICT SCHOOL ADVISORY COUNCILS

Background

Prior to the constitutional amendment of 1964, the State Constitution provided for the establishment by law of "local school advisory councils" to serve as nominating panels for the appointed board of education. The councils were to submit names from which the governor was to select his appointees. Act 182, SLH 1961, which implemented the original constitutional provisions, provided for an elected council in each county and made the councils themselves the nucleus from which board appointees should be selected. Act 182 also provided that the councils should advise the board.

However, the 1964 constitutional amendment that changed the board of education from an appointed body to an elected one substantially affected the functions of the councils. The Constitution, as amended, no longer mentions the councils. The legislature, however, in enacting Act 50, SLH 1966, to implement the new constitutional provisions, provided for a district school advisory council in each of the seven school districts.

Under Act 50, SLH 1966, and Act 54, SLH 1969, which amended Act 50, each of the district school advisory councils, except the council for the district of Hawaii, consists of five members appointed by the governor. The Hawaii council consists of seven members appointed by the governor. Each member of the board of education serves as an ex officio, nonvoting member of the council of his school board district. All councilors serve without compensation; however, they are reimbursed for necessary expenses while attending meetings and while in the discharge of their responsibilities.

The functions of each council are as follows:[1]

1. ***Advisory***

   - Advise the board of education in the development of policies as the board of education may request from time to time.
   - Advise the members of the board of education who represent the district.
   - Advise the district superintendent of the district.

2. ***Liaison***

   - Inform the board of education on educational matters of local interests.
   - Disseminate information and interpret decisions and policies of the board of education to the people of the local school district.
   - Upon the district superintendent's request, assist him in disseminating information, interpreting decisions and policies, and obtaining public reaction.

[1]HRS, sections 296–7 to 296–9.

- Present and explain local public concerns in policies and administrative regulations of the department of education.

Summary of Findings

The fundamental purpose of district school advisory councils is to provide the various communities in the State with a means by which the pulse of the people may be communicated to the board of education and the district superintendents. In our audit, we sought to determine how well the councils are serving this purpose and to ascertain the problems, if any, that appear to preclude them from discharging their functions.

In general, we find as follows:

1. The district school advisory councils do very little in terms of advising the board of education on educational policy.

2. The councils, with a few exceptions, also advise the district superintendents minimally.

3. The bulk of the councils' work consists of channeling information and concerns, primarily administrative and operational concerns, to the board of education and the district superintendents.

4. In addition, among the problems which detract from an effective discharge of the councils' responsibilities are:

- The lack of public awareness of the existence and role of the councils.
- The disproportionate work load that the Honolulu council must discharge when compared against that of the other councils.
- The frequent council membership turnovers and vacancies.

Role of the Councils in Practice

1. ***Advisory function.*** Most councilors agree that, as the statute provides, each council *should* advise the board of education, the board members who represent the district, and the district superintendent. Since the board of education is a policy-making body, "advice" in the case of the board and the board members appears to mean advice concerning educational policies, rules, and regulations which are ordinarily the subjects of action by the board. On the other hand, since the district superintendent is essentially a "management" personnel, "advice" to the superintendent appears to mean advice concerning administrative matters. We find that the respective council's advisory function to the board of education and the board members is minimal at best. Their advisory function with respect to the district superintendent is spotty in most districts, a little better in the Honolulu district, and generally extensive in the case of the Hawaii district.

a. ***Board of education.*** There is disagreement among the councils and among councilors as to the extent to which they may go in advising the board of education. This disagreement stems from the wording of the statute. The statute states:

> "Each district school advisory council shall . . . advise the board of education in the development of policies *as the board of education may request.*"[2] (Emphasis supplied.)

Most councilors feel that they can advise the board only when asked to do so. As a result, the councils generally wait for board requests before offering advice. However, the number of requests by the board has been extremely small. About the only board request for advice of any significance was the request for advice on the policy regarding smoking in schools, a matter which was then before the board and was being hotly debated in the community. This minimal number of requests has led many councilors to feel that the board is preventing them from

[2]HRS, section 296–7.

making an effective contribution to the board's deliberative process on policy matters. Further, some feelings have been expressed that the board requested the councils for advice on the smoking policy only for the purpose of enabling the board to buy some time before announcing its decision, *already reached,* on this hotly-debated issue.

There is a small minority of councilors who believe that the councils may discuss with the board any matter that is on the board's meeting agenda and that councils may transmit recommendations to the board at any meeting. This opinion is concurred in by the immediate past chairman of the board of education.[3] This group points to the fact that the board in recent months has allotted a time at each board meeting to hear the various councils. We find, however, that the councils' opportunity to discuss policy matters with the board of education at these board meetings is extremely limited under current practices. *First,* the time allotted to the councils for their presentations at the board of education meetings was not intended specifically for the councils to give advice, but to "present their concerns and questions."[4] *Second,* the time allotted at the board meetings is at the beginning of the meetings, and not at the time when any specific item on the agenda is taken up for discussion by the board. *Third,* the time period between the issuance of the agenda for the next board meeting and the meeting date does not permit the council members sufficient time to discuss the items on the agenda among themselves, much less a chance to secure explanations of any proposals on policy matters from the DOE staff responsible for initiating such proposals or formulating such policies—an opportunity which the board members themselves have at the board's executive (study) sessions prior to the meeting at which the proposals are acted on. Often policies require explanations and thinking through before proper advice can be given. Thus, although representations are made that the councils may discuss any matter with the board, the present practices simply do not make it possible for the councils to do so effectively.

The concept of district school advisory councils is one of providing community-based units which can explore and transmit to the board of education the feelings and opinions of the various communities in the State with respect to public education matters. This is a valid concept if we are interested in ensuring the responsiveness of the department of education to public needs. The councils serve as intermediaries between the students and citizens and the board of education which, because of our single school system, is often regarded as being far removed from the people directly affected by our educational system. This role of the councils is particularly pertinent with respect to matters of educational policy which govern the total efforts of the department. Further, the district school advisory councils appear to offer the only real viable means of assuring this public input into educational decisions because of their official status and permanency.[5]

The majority opinion—that the councils cannot render advice unless asked for by the board—is perhaps technically correct if the statute is read literally. However, if the councils are indeed to serve meaningfully in funneling the feelings and opinions of the various communities to the board of education on matters of educational policy, all restrictions which currently prevent them from so performing need to be removed. The recommendations which follow are intended to do just that.

Recommendations. *We recommend that:*

1. HRS, section 296–7, numbered paragraph (6), be amended by deleting the phrase, "as the board of education may request from time to time," so that, as amended, the numbered paragraph (6) will read: "(6) advise the board of education in the development of policies."

[3]The chairmanship of the board of education changed in November 1972.

[4]DOE, board of education minutes, February 3, 1972.

[5]Note that the district school advisory councils have on their own initiative invited student representatives to sit with the councils, in some cases, with voting privilege.

2. All proposals of a strategic planning nature to be presented to the board of education for discussion or action be transmitted to the district school advisory councils at the same time as they are transmitted to the board and, except perhaps in cases of emergency, the councils be provided with a sufficient time interval (between the receipt of the proposals and the board meeting at which the proposals are to be discussed or acted upon) for the councils to seek clarification and explanation of the proposals from the DOE staff, as appropriate; for the councils to solicit public reactions to the proposals, as necessary; and for the members of each council to discuss the proposals among themselves.

3. The councils be permitted to discuss and render advice as to all matters before the board as they are taken up by the board in accordance with the board's agenda, rather than limiting the councils to make their presentations during the block of time allotted to the councils at the start of board meetings.

4. All proposals of the councils relating to matters over which the board of education exercises decisional function be placed on the board's agenda as an item for discussion and decision, and that the council proposing such measures be provided an opportunity to discuss the matter when the item is taken up for discussion by the board in accordance with its agenda.

b. ***District superintendent.*** Because of the nature of the district superintendents' functions, the councils' advice to district superintendents is generally with regard to administrative matters—e.g., discipline, conduct, traffic, courses, lunch. The extent to which *advice* is rendered by the various councils to their respective district superintendents is generally spotty. The Hawaii district council is particularly active in this area. In fact, it is so active that questions may perhaps be raised as to where "advice" ends and "meddling" begins. Thus far, however, the Hawaii district council and the Hawaii district superintendent appear to have been able to maintain a relationship of cordiality, cooperation, and mutual respect. The Honolulu district is also somewhat active in this area, although not as much as the Hawaii district. In other districts, it appears that the councils are extremely hesitant to advise the district superintendents, perhaps because of fear of being accused of "meddling" in administrative affairs. Indeed, in these districts, there appears to be little direct contact between the councils and the district superintendents, except at formal council meetings which the superintendents attend. These district councils, however, generally assert that the district superintendents are "cooperative."

We think that all of the councils, except the Hawaii district council and perhaps the Honolulu district council, can and, perhaps, should do much more in this area. In exercising this function, however, the councils need to keep in mind that the ultimate decision rests with the superintendent who is the person directly accountable for district administrative actions. We think, too, that the district superintendents should do more in soliciting council advice on various administrative matters of consequence.

Recommendation. *We recommend that the district advisory councils meet with the respective district superintendents for the purpose of establishing an understanding and formulating guidelines as to the matters which the councils should focus upon in discharging their advisory responsibilities to the district superintendents.*

2. ***Liaison.*** As between the advisory function and the liaison function, the councils seem to perform more of the latter than the former. However, there appears to be a direct correlation between the extent to which the liaison function is performed and the extent to which the advisory function is discharged. The more liaison function performed, the greater is the tendency to advise; and the less the opportunity to advise, the more limited is the performance of the liaison function.

Thus, there appears to be very little liaison work in terms of "disseminating information and interpreting decisions and policies of the board of education to the people of the local school districts," just as there is very little "advice" being given to the board of education on policy matters. Then, except in the Hawaii district and to some extent in the Honolulu district, there is little effort to "assist the district superintendent in disseminating information,

interpreting decisions and policies, and in obtaining public reaction," just as there is very little in terms of advising the district superintendent.

The bulk of the work of the councils in this area of liaison is simply *transmitting* information and concerns, local in nature, to the board of education and the district superintendents. These concerns are transmitted to the board at the board's meetings during the time allotted for reports from the councils, and they are conveyed to the district superintendents as the need arises. These concerns generally originate from individuals—students, parents, or other citizens—and are communicated to individual council members. They usually consist of complaints or observations about administration or operations.

The mere transmission of information and concerns does little to improve the education system. This is recognized by some council members, who feel that they should not only transmit but should press for a resolution of the problems presented. They thus seek to assume an advocacy role in behalf of the citizens. Note that such an advocacy role is not necessarily the same as an advisory role. Advocacy has the greater tendency, especially on matters of administration and operations, to cause district superintendents, in particular, to feel that the councils are encroaching on the prerogatives of the professional staff.

However, even if such an advocacy role is assumed, it appears that the potential of the councils in improving the educational system will never be reached, unless the liaison function includes the taking of community pulse on matters relating to educational policy. Of course, such pulse-taking of community reaction on policy matters becomes meaningful only if, based on such survey, the councils are able to "advise" the department with respect thereto. Moreover, it appears that the councils, without any staffing of their own, must have access to and receive assistance from district and school personnel if their liaison function is to be performed with any effectiveness.

Recommendation. *We recommend that the district advisory councils review their liaison functions and, in consultation with the respective district superintendents, determine what school and district resources might be available and how they might be used to assist the councils in disseminating information and assessing local public reactions and concerns over educational policy and regulations.*

Some Problems in Council Operations

We note here some problems which the district school advisory councils face which detract from an effective discharge of their responsibilities.

1. ***Public awareness of council.*** The district school advisory councils currently operate under a handicap of insufficient public awareness of their existence. Each of the councils attempts to make its presence known. Thus, each holds public meetings at least monthly (two councils meet twice monthly), and every council, except the Kauai council, conducts its meetings at various schools within the district (the Kauai council, although it meets twice monthly, always meets at the district office). In addition, individual councilors occasionally makes visitations to schools, although the extent of this differs from councilor to councilor. Then, the councilors make an effort to attend PTA, community association, and other community group meetings and to be present at special school events. For those councilors well-known in their respective communities, invitations to attend these meetings and events come unsolicited. However, for others, invitations must be sought, and attempts are made to secure them. However, these efforts have not been enough to increase public awareness of the existence and role of the councils. Council meetings are poorly attended by the public and many councilors are never contacted by parents, students, or other citizens for assistance or information of any kind. The apparent reasons for this are as follows.

First, there has never been within the DOE any real effort to bring the nature and role of the councils to the public's attention. The councils have been in existence since 1966, yet it was not until January 1972 that the board of education recognized the need for greater exposure of the councils to the public. In

January 1972, the board asked the superintendent to direct his public information office to develop a program to increase the public's awareness of the councils, utilizing a variety of media available. However, as of this date, there has been no discernible result.

Second, the councils have had little of substance to discuss at their meetings, and thus little exposure in the news media. There is a close correlation between what the councils do and the amount of publicity they get through the news media. Usually, the news media say very little about the activities of the council. However, in late 1972, the news media, for the first time, gave the councils wide coverage. This was because the councils were then discussing the issue of smoking—an issue on which the board of education sought the councils' advice. It would thus appear that if the councils were more concerned with substantive policy issues of public education, rather than with only small, localized, administrative concerns, the work of the councils would be better publicized. This is not to imply that small, localized, administrative concerns are unimportant. They are important, but much more can be done even in those areas if the public knows about the nature and role of the councils, which, it appears, can come about at present only through consideration of substantive policy matters which attract news media coverage.

The only exception to this general rule of low visibility of councils is the Hawaii district council. That council has received unusually large coverage in the island newspaper. This high visibility has been accorded because the council is highly active and vocal.[6] The attendant publicity on the work of the council has had a cumulative effect. The regular reporting of council activities by the local newspaper has stimulated councilors further to pursue a variety of issues (although locally-oriented) of interest generally to the community as a whole.

2. ***Work load.*** Each district school advisory council generally divides up its work of liaison and communication with schools and communities informally by subdividing its district into sub-districts, complexes, or groups of schools, and by assigning one such subgroup to each councilor. Of course, such division does not mean that each councilor devotes an equal amount of time to the job of being a councilor. The time spent by each councilor varies, depending on his interest, inclination, and availability of time to devote to his council duties.[7] However, a review of the statistics indicates that the Honolulu school advisory council has a disproportionately larger work load than the other district councils (see table 6.1). The Honolulu council represents 55 schools and 50,000 students. The number of schools per councilor and the number of students per councilor are 11 to 1 and 10,000 to 1, respectively. In contrast, the Kauai council's schools per councilor ratio is 3 to 1 and students per councilor ratio if 1500 to 1. The other three districts on Oahu also have higher schools per councilor and students per councilor ratios than the neighbor island districts, but the problem is not as acute as that of the Honolulu district council. We think that the Honolulu council membership should be expanded to at least seven, as in the case of the Hawaii district. With seven councilors, the schools per councilor ratio and the students per councilor ratio would be reduced to 8 to 1 and 7200 to 1, respectively.

3. ***Council membership turnovers and vacancies.*** The various district school advisory councils have experienced instability in their membership over the years. The councils have had numerous turnovers and vacancies of extended durations. Sometimes, two or more seats have been vacant at the same time. The leeward district council's membership underwent a complete change in the fall of 1971. These frequent turnovers and prolonged vacancies cannot help but have adverse effects on the effectiveness of the councils.

[6]The extent of the Hawaii council's activities is apparent when one notes that the Hawaii council's twice-monthly meetings (including both the executive and public portions) last on the average some six and one-half hours. In contrast, the other councils' meetings average about three and one-half hours, hours.

[7]Some councilors devote a great deal of time to council duties. They do so out of a variety of reasons. Some feel obligated to do so. Others are highly committed to improving public education. The amount of time a councilor can devote to his duties depend significantly on his occupation. Most of the councilors' occupations or their employers' willingness to cooperate have been such as to permit them to engage rather actively on council affairs.

Table 6.1

School Advisory Council Representation
1971–1972

	No. of Council Members	No. of Schools	No. of Schools per Councilor	No. of Pupils	No. of Pupils per Councilor
1st District – Hawaii	7	30	4	17,520	2,500
2nd District – Maui	5	23	4	12,053	2,400
3rd District – Honolulu	5	55	11	50,543	10,108
4th District – Central Oahu	5	36	7	33,884	6,776
5th District – Leeward Oahu	5	27	5	32,678	6,535
6th District – Windward Oahu	5	26	5	27,512	5,502
7th District – Kauai	5	14	5	7,849	1,570
Totals	37	211		182,039	

The reasons for this situation are perhaps numerous. However, chief among the reasons appear to be the following. *First,* there does not appear to be sufficient "prestige" in being a councilor, inasmuch as the role of the councils has been largely limited to being an intermediary between the public and the board of education and the superintendent–generally that of funneling complaints–and not that of meaningfully participating in policy-making for public education. *Second,* the role of the councilor presently is time-consuming. Those who accept councilor positions are often unaware of the amount of time it takes to being a councilor and thus, after a short period, some of them resign. Those who are aware of the nature of the role of the councilor are unwilling or unable to devote the time required in being a councilor.

It would appear that the second of these reasons can be overcome to a large degree if the first reason is resolved–that is, if the role of the councils is indeed made meaningful in terms of enabling the councils to have an input in the decisional process of the department of education. People are likely to be more willing to spend the time necessary in being a councilor if the payoff from such expenditure of time is much more substantive than it is currently.

Recommendations. *We recommend that:*

1. A public information program concerning the school advisory councils be developed and implemented by the department of education, with emphasis on the importance of the councils as the mechanism through which the public can have an input in educational policy-making.

2. The membership of the councils be expanded, particularly in the case of the Honolulu district council, which should have a minimum of seven members.

PART III

ORGANIZATION AND MANAGEMENT GENERALLY

CHAPTER 7

INTRODUCTION

This part is concerned with the organization and management of the department of education in general. It focuses on the total organizational system of the DOE (chapter 8), the relationships of the state office, the districts, and the schools (chapter 9), the relationships of the various units within the state office (chapter 10), and the staffing patterns of the state office, the districts, and the schools (chapter 11).

Summary of Findings

In general, our findings are as follows:

1. The DOE lacks an organizational strategy to govern its structural make-up and its managerial processes to enable the department to effectively and efficiently attain its objectives.

2. There is much confusion regarding the respective roles and responsibilities of the state office, the districts, and the schools.

3. There is vagueness in the relationship between and among the various units in the state office, and sufficient coordination of efforts is lacking to enable the state office to move together as a cohesive whole.

4. There are educational officer positions in the state office, the justification for the existence of which is very much in doubt. There are a number of positions which require technical skills, knowledge, and competence other than teaching but which are filled by people with only an educational background. There are employees who essentially perform the same kind of work but are classified and treated differently.

5. There is a wide variation in the numbers and patterns of staffing at the districts and schools. The DOE lacks appropriate criteria and control in the establishment of supportive teacher positions at the districts and schools.

CHAPTER 8

ORGANIZATIONAL STRATEGY

The department of education is a large and, by its nature, a highly complex organization. It operates under a (general fund) budget of more than $135 million per fiscal year (which is 29 percent of the total, general fund State budget);[1] it employs more than 12,500 employees, including 8,500 classroom teachers; it includes more than 200 public schools; it services nearly 200,000 students; and its control extends over the entire island chain. It administers a variety of programs, deals with clients of varying abilities and skills, and is subjected to varying theories about the essence of and approaches to education. This size and complexity has been growing over the years—witness the ballooning yearly budget, the multiplication in the number of educational programs, the rising challenges to traditional educational theories, and the development of new technology.

In the light of the department's growing size and complexity and the current dynamic nature of educational pedagogy and instructional technology, the need for a well-thought-out plan for the organization and management of the department is self-evident.

Summary of Findings

We find that, despite this need, the DOE currently lacks an organizational strategy—that is, a well-reasoned approach to organization which carefully and deliberately delineates the structural system and the management processes necessary for the DOE to effectively and efficiently attain its objectives. The result is that the DOE is today structurally organized and carries out its affairs in a fragmented fashion.

[1] All figures are for 1971–72 fiscal year.

"Organizational Strategy" Defined

By "organizational strategy" we mean a conscious plan that takes into account:

- The objectives of the organization;
- The management processes to be employed in achieving organizational objectives; and
- The structure to accommodate that process.

In addition, "organizational strategy" includes a timetable for implementation of the plan.

Objectives of the organization. "Objectives" means "missions," that is, the end-results the organization is seeking to attain by its varying programs. Objectives are related to programs, and the word, "objectives," includes subobjectives. The department of education, through its introduction to the planning-programming-budgeting system and its subsequent work as a result of the requirements of Act 185, SLH 1970, has begun to structure the objectives of the department in the field of public education. The objectives must be clear and specific enough that one can judge whether or not they are being achieved and should represent the concensus of those directly concerned with the work of the organization.

Management processes to be employed. In considering the management processes to be employed in achieving organizational objectives,

the distinction between and among "strategic planning," "management control," and "operational control," needs to be kept in mind. The total process of an organization must be considered at least in terms of these three major kinds of managerial processes.[2]

In determining the processes, the theory or philosophy to be followed needs to be identified. Thus, whether the work of the organization is to be accomplished through an "authoritarian" process or through a "participatory" process or through something in between must be settled. Further, the theory or philosophy (or objectives) to be followed with respect to each of the major managerial processes needs to be identified. Thus, for example, the nature of the process to be employed with respect to strategic planning may differ from the process to be employed with respect to managerial control—that is, for strategic planning, one might settle on a highly centralized process, but for management control, a highly decentralized one. Then, too, questions such as individualization versus non-individualization in the instructional mode are appropriate questions to ask in considering the operational process of the organization.

The structure. The structure of an organization defines and shapes the form through which managerial tasks are performed to accomplish objectives common to the organization as a whole. It describes the component units, their functions, and their relationships to one another. Since the structure is intended to facilitate the managerial processes necessary to accomplish the organization's objectives, its design and any changes in design must take into account these organizational objectives, the programs to be conducted, and the management processes to be employed. In other words, it is only after the objectives of the organization have been identified and the processes to be used have been settled that structure can be seriously considered.

Of course, in this whole process of defining organizational strategy, the three steps—objectives, management processes to be employed, and the structure—are iterative steps. That is, as one considers each of the steps, he may find it necessary to backtrack to the former steps taken. Nonetheless, serious thoughts about the structure cannot begin until the objectives and the management processes have taken some shape. Unless these factors are taken into account, the resulting structure may lead the organization into directions not intended.

In determining the structure, again, the principles to be adhered to must be identified. Overall, efficiency is the criterion. However, within that overall criterion, such principles as span of control and ease of relating vertically and horizontally must be clearly identified.

The timetable for implementation. Once a plan has been devised, the timetable for its implementation must be devised. Such a timetable spells out how and when, and at what cost the plan is to be effectuated. In devising such a timetable, consideration must be given to the capability and readiness of the organization to phase-in the new organizational scheme.

Recognition of Need for Organizational Strategy

Over the years, the need for an organizational strategy for public education has been perceived for some time by policy makers both within and without the DOE. For example, in 1966, the legislature directed the department of education to "formulate a State educational blueprint which shall integrate manpower, facilities, materials, pedagogy, and organization in a new curriculum design articulated throughout the entire public school system."[3] In 1967, the legislature reiterated its desire for a state educational blueprint and, to assist the department in its effort to commence construction of such a blueprint, directed the

[2]Two other kinds of managerial processes, which cut across the three major functions, may also require consideration. These are information handling ("the process of collecting, manipulating, and transmitting information, whatever its use is to be"), and financial accounting ("the process of reporting financial information about the organization to the outside world"). Anthony, Robert N., *Planning and Control Systems: A Framework for Analysis*, Boston: Harvard University, Graduate School of Business Administration, Division of Research, 1965, pp. 94–99; 100–108.

[3]Conference Committee Report No. 2, accompanying House Bill No. 199 (Act 8, SLH 1966).

DOE to develop a new budget format which identifies the department's objectives, criteria by which to measure progress toward attaining those objectives, programs to carry out the objectives, alternative objectives and programs and the costs associated with each alternative, and the distribution throughout the school system of the various functional responsibilities connected with each program.[4]

Within the DOE itself, recognition of the need for an organizational strategy was expressed as early as 1967, when the then superintendent of education called for an integrated and coordinated approach to organizing the department. In doing so, he noted that over the past 20 years

> "The DOE, instead of complete reorganization, attempted a patchwork type of organization, and met the explosive growth by tacking on 'more' and 'more' of the same onto the existing structure and where this was not feasible, by simply 'adding'—but neglecting to revise and subtract from the existing structure and organization. This course of action also resulted in the lack of definition of goals, objectives and functions of various echelons of the DOE."[5]

In 1968, in the department's "comprehensive plan," prepared pursuant to executive direction issued for the purpose of developing a statewide PPB system, the DOE acknowledged that "departmental planning system in the context of a large management system" is one of the pressing concerns facing the department.[6] Then in 1969, the board of education adopted the *Master Plan for Public Education in Hawaii.* The *Master Plan* is essentially a directional paper which reiterates the state goals of public education, lays out in broad terms the conditions which ought to prevail, and sets forth some planning tasks to be accomplished. The document itself acknowledges that the formulation of the master plan is but a first step in the development of other, more specific plans for education and the department. One of the tasks listed as being required is "an intensive department-wide study of organization and [the development of] a plan of organization specifically tailored to meet DOE needs."[7]

Also in 1969, an internal staff review of the DOE organization disclosed that

> "The department has undergone considerable organizational changes in the past years. These developments have, for the most part, come about in piecemeal fashion and usually out of short-range and tactical considerations.... Organizational planning should be infused in the basic planning activities that are called for by the master plan."[8]

Current Status in the Development of a Plan

Despite this recognition of need, the DOE appears to have encountered considerable difficulty in mounting an effective organizational strategy. The DOE has made various attempts over the last six years at developing such a strategy, but each effort was either aborted, short-lived, or not sufficiently comprehensive.

For example, pursuant to the 1966 legislative directive, the department engaged a consultant to develop a master plan which was expected to incorporate the legislative intent. However, after a full year, the project was terminated because interim reports submitted by the consultant to the board of education were

[4]Conference Committee Report No. 22, accompanying House Bill No. 2 (Act 54, SLH 1967).

[5]Statement attributed to Lowell Jackson, former superintendent of education, in "Plan for Reorganizing the Department of Education," November 1967.

[6]DOE, *Department Comprehensive Plan* (Vol. II, Part I), June 28, 1968.

[7]DOE, *Master Plan for Public Education in Hawaii,* September 1969, p. 84.

[8]See "A Staff Report of an Organization Review of the Department of Education," prepared by the office of business services, DOE, and transmitted to the board of education on May 22, 1969.

deemed inadequate and lacked promise in fulfilling the intended purpose.[9]

In 1967, in compliance with a legislative directive, the DOE embarked upon the practical application of the planning-programming-budgeting (PPB) concepts to education. This effort to date has been limited to selected instructional subject matters, and the DOE has yet to apply the systems approach inherent in the PPB concepts to the development of an organizational strategy which prescribes the systems to be used and the processes to be followed in delivering educational services.

Then in 1969, the board of education, upon the recommendation of the superintendent, authorized a comprehensive and intensive study of the departmental organization with the aim of developing a "program oriented organization and management structure." The superintendent, in turn, reportedly viewed this project as a major undertaking of high priority.[10] This organization study, however, was not carried out to completion, and was abandoned apparently sometime in 1970 while the project was still in the design stage.[11]

In January 1971, the superintendent of education reported to the board of education that an intensive, department-wide study of organization had been postponed indefinitely and was not scheduled to commence until sometime during the 1973–75 biennium.[12] However, on March 15, 1972, the superintendent notified the board that the management services branch within the office of research and planning "may be given the task of organizing a top-level committee of the best minds available in the State to review the governing structure and process of the public school system."[13] Shortly thereafter, the management services branch developed a paper for the purpose of initiating discussion on the steps required in reviewing the governance of the public school system.[14] This paper raised questions regarding the scope of the review and outlined in gross terms the organization and methodology of the study. It was discussed at the superintendents' group meeting on April 11–12, 1972, and again in May 1972. Inquiries made of the department indicate that further discussions at future superintendents' meetings are being anticipated.

In effect, then, despite the recognized need, the DOE continues to be without a strategic plan to direct the future organizational development of the department. This is unfortunate, for it appears that some bases for the development of an organizational plan currently exist. For example, the *Master Plan* itself contains some useful guidelines. With respect to the task of developing an organizational plan, the *Master Plan* poses the following, among other, questions:[15]

- What are the major functions that a school system must carry on? What functions should be added?
- What functions should be carried out centrally and what should be decentralized?
- Is a central staff necessary or desirable and, if so, how extensive should it be?
- If districts are desirable, what should their functions be?
- To what extent should authority be given to individual school staffs?

[9]As reported in the DOE, *Department Comprehensive Plan* (Vol. III: Major Proposals), dated June 28, 1968.

[10]DOE, board of education minutes, May 22, 1969.

[11]Minutes of the meeting of the leadership group, January 1970, indicate that the group endorsed a project plan for conducting the organization study prepared by the office of business services. However, there has been no indication of any follow-up action to execute the study.

[12]DOE, "Status of Studies and Surveys as of January 20, 1971," a staff report.

[13]Memorandum from superintendent to chairman and members of the board of education, March 15, 1972.

[14]DOE, office of planning and research, management services branch, "A Holistic Review Towards Strengthening Educational Governance," for discussion purposes at the superintendents' group meeting, April 11–12, 1972.

[15]DOE, *Master Plan for Public Education in Hawaii*, September 1969, p. 86.

In addition, the *Master Plan* sets forth some general critieria that should be met by the department's plan of organization. Among the criteria enumerated are:[16]

- Provide for flexibility to meet new and changing educational requirements.
- Accommodate the need for involving all essential publics.
- Provide for a rational and understandable allocation of responsibilities.
- Provide for effective planning, management, evaluation, and control of educational activities.
- Meet the needs for effective systems of communication within the organization, as well as externally.

While these questions and criteria need to be grouped to provide perspective and while some of them need to be made more specific, they do provide some framework from which an organizational strategy may be developed.

Effects of Lack of Strategy on the Structure of DOE

Numerous deficiencies in organization and management of the DOE are illustrated in the subsequent chapters. Many of these may be laid to the lack of an organizational strategy. Here we note the effects of the absence of an organizational strategy on the structure of the DOE.

In summary, structural changes are being made in a fragmented, piecemeal fashion, without adequate consideration of the DOE's objectives, processes, and total system. As a result, there are incongruities in structure and between and among structure, programs, objectives, and management processes. We illustrate these points with two examples, one relating to the "middle-school" concept and the other concerning multi-school educational complexes.

[16] *Ibid.*, p. 87.

1. ***The "middle-school" concept.*** As noted in table 8.1, the predominant school organizational pattern today is the grouping of grade levels into K–6, 7–9, and 10–12. The K–6 grouping is referred to as the elementary school, the 7–9, the intermediate school, and the 10–12, the high school. At the elementary school level, in particular, the K–6 pattern is now heavily favored, comprising about 70 percent of all public elementary schools. This organizational pattern has existed in this State for many years.

Recently, considerable attention has been given within the DOE to the so-called "middle-school" concept. This concept essentially focuses on the general stages of child development as the basis for organizing schools. These stages of child development are characterized as early childhood (grades K–5), pre-adolescence (grades 6–8), and adolescence (grades 9–12).

Although no definitive study has as yet been made by anyone and although the DOE has yet to enunciate it as a matter of statewide policy, the various districts are beginning to implement this middle-school concept. Table 8.2 illustrates the extent to which this concept is being pushed by the districts. At least five of the seven districts (Honolulu, leeward, Hawaii, Maui, Kauai) have plans to convert or build anew at least some of their schools with the K–5, 6–8, 9–12 organization pattern. In each of the five districts (except Maui), some schools are already being designed to accommodate this pattern.[17] Further, as shown in table 8.3, the DOE facilities branch in the office of business services at the state office anticipates that all new schools to be constructed over the next 20 years will conform to the K–5, 6–8, 9–12 organization pattern.

This push for school organization incorporating the middle-school concept is being made even though the statewide educational programs, which the school structure is supposed to support, are still being planned along traditional school organization patterns.

[17] Some examples: Kaiser high school (Honolulu district); new Waianae intermediate school (leeward district); new Waimea intermediate school (Kauai district); and new high school in Hilo (Hawaii district).

Table 8.1

Distribution of Public Schools by Organizational Configurations
Department of Education, as of September 1971

School District	Tot Schs	No. of Schools – by Grade Configurations																		
		K-1	1-6	1-7	1-8	K-5	K-6	K-7	K-8	K-9	6-8	7-8	7-9	K-12	7-12	9-12	10-12	9*	10*	7-11*	Sp**
Honolulu	61	1					39						9				5		1		6
Central	36						27					5			1	3					
Leeward	27						18					2	2			2	1	1		1	
Windward	27						17	1		2		1	2	1		1	1				1
Hawaii	30		2				9		5	5			2	5	1		1				
Maui	23			1		1	4		10		1			2	1	3					
Kauai	14				1		6		4						3						
Total	218	1	2	1	1	1	120	1	19	7	1	8	15	8	6	9	8	1	1	1	7

*These schools are being developed incrementally and accommodate only those grades indicated.

**Includes schools for the physically handicapped, mentally handicapped, and other school age persons not otherwise enrolled in regular public or private schools.

Source: Compiled from *Educational Directory – State and District Offices (1971–1972)*, Department of Education, State of Hawaii, (Publication No. TAC 71–3744).

Table 8.2

Present and Proposed Future Grade Organization of
Elementary, Intermediate, and High Schools
By Department of Education School Districts, as of October 1971

District	Present Organization	Future Organization
HONOLULU	K–6, 7–9, 10–12.	No plans for change except Kaiser complex to be K–6, 7–8, 9–12.
CENTRAL	K–6, 7–8, 9–12; one 7–9 exception.	No plans for change.
LEEWARD	K–6, 7–8, 9–12 except in Waipahu complex.	Plans to reorganize to K–5, 6–8, 9–12 in Waianae Coast and Pearl City complexes. Waianae reorganization will begin in 1972.
WINDWARD	K–6, 7–9, 10–12 in Kailua complex and K–6, 7–8, 9–12 in Castle complex.	Tentatively plans to reorganize to K-5, 6-8, 9-12; however, K–5, 6–8 cannot begin before 1978.
HAWAII	K–6, 7–9, 10–12 in Hilo complex. Rural schools do not have separate intermediate schools. Elementary schools generally include grades K–8 or K–9.	Plans to reorganize to K–5, 6–8, 9–12 beginning with Hilo complex in 1974.
MAUI	K–8, 9–12 on Maui schools; K–6, 7–12 on Molokai; Iao Intermediate (Baldwin complex) is the only 6–8 school in the State.	Tentatively plans to reorganize to K–5, 6–8, 9–12 in Lahainaluna and Pukalani areas, and K–6, 7–12 in Kahului area.
KAUAI	K–6, 7–12 with 5 of 11 elementary schools including K–8.	Plans to reorganize to K–5, 6–8, 9–12 in Waimea area in 1974.

Source: Enclosure 1 to memorandum from acting assistant superintendent of business services to acting superintendent, dated October 22, 1971. "Subject: Grade Organization of Elementary, Intermediate, and High Schools."

Table 8.3

Estimated Requirement for New Schools, 1970–1990
Department of Education

District	Projected No. of New Schools		
	Elementary (K–5)	Intermediate (6–8)	High (9–12)
Honolulu	4	1	1
Central	10	2	3
Leeward	14	3	3
Windward	7	2	3
Hawaii	4	2	3
Maui	6	3	2
Kauai	4	2	1
Total	49	15	16

Source: *Preliminary Long Range Plan for New School Sites in Hawaii,* Department of Education, State of Hawaii, January 1971.

For example, the analytic documents published between 1968 and 1972 in various instructional program areas (e.g., language arts, science, social studies, health, physical education, guidance) continue to recognize and maintain a distinct program division between grades K–6 and 7–12. Moreover, the DOE *Foundation Program*, adopted in October 1970, preserves the K–6, 7–9, 10–12 structure as the basis for formulating and conducting instructional programs. This incongruity between structure and programs is particularly disruptive to the sixth grade level which is now, organizationally and programmatically, a component of the elementary school program but which, under the middle-school approach, would be treated as a component of the intermediate school program.

This school structure–program incongruity results because of the fragmented approach taken in planning the structure of schools. What is required is a systems approach. A systems approach would make it evident that structure should facilitate the objectives, programs, and management processes of the DOE, and, as such, as between programs and structure, programs should be projected first so that structure, along with all other supporting elements, may then be meaningfully integrated with the instructional programs. A systems approach would further make apparent the placement of schools as major organizational units within the *total* scheme for the delivery of educational programs. The structuring of schools must be viewed in light of this total structure.

Such a well-thought-out approach has not been taken by the districts in adopting the middle-school concept. An in-depth study to determine the best total structure and the best school structure has yet to be performed. As recently as November 1971, the district superintendents themselves recognized the need for such a study. According to the minutes of the meeting of the superintendents' group of November 15–16, 1971, a study committee was to be formed to evaluate the effectiveness of the present grade organization patterns of the public schools and, further, to determine whether the DOE should adopt a single organizational pattern as a long-range state objective. The study committee is yet to be formed.

2. ***Educational complexes.*** An "educational complex" is a group of public schools serving clientele of a common geographic area and consists of a local high school and all its elementary and intermediate feeder schools. Each complex is usually identified by the name of the high school into which all schools feed, or the geographic area served, such as the "McKinley complex" or the "Molokai complex." It is an organizational unit interposed between the district office and the schools within the complex.

In 1968, the board of education authorized the establishment of three formal complexes–the Campbell complex (leeward), the Waimea complex (Kauai), and the Molokai complex (Maui)–and, in 1969, it authorized another–the Kona complex (Hawaii). These four complexes were created as prototypes to field-test operational modes of "decentralized" district management. Each complex was authorized a complex manager and a secretary. This staff has been augmented by district office personnel who were assigned, and sometimes physically deployed, from time to time by the district superintendent to work full time in support of the school complexes under the administrative supervision of the complex

manager. Over the years, these district personnel have included diagnostic teams, media specialists, outreach counselors, and others.[18]

At its meeting in January 1973, the board of education, upon the recommendation of the superintendent, voted to terminate the four formal educational complexes at the end of the 1972–73 school year. Although the complexes are due to end at the close of the current school year, the experience with the four formal complexes is instructive of the need for a carefully thought-out organizational strategy. The demise of the four complexes has been laid by the superintendent, among other reasons, to (a) the lack of definitiveness in the design of the complex concept and (b) the failure to fit the complex concept into the overall planning scheme for the school system as a whole.[19]

Indeed, from the very outset, the implementation of the educational complex project faltered from the lack of adequate plans. The objectives and purposes of the complex were fuzzy, its placement in the total DOE organizational scheme was vaguely defined, and the specification of the design of a complex was inexactly stated. The department's own internal assessment in December 1970 concluded that the DOE had "essentially lost control over the implementation of educational complexes" and laid this failure to the "lack of full agreement on operational specifications as well as the absence of well-defined procedure for managing the implementation of complexes."[20]

Initially, the complex concept was conceived as a means of delivering the educational curriculum. A DOE document entitled, *Toward a General Plan for Public Education in Hawaii* (March 1968), identified two major components necessary in a "blueprint" for public education: "program ideas" and "practical arrangements for programs." By "program ideas," it meant the curriculum, and by "practical arrangements for programs," it meant the system for the delivery of that curriculum. The document viewed the educational complex as the "anchor point" for the delivery system. In the implementation of the complex, however, this notion of tying curriculum with the delivery system was all but shunted aside, and the complex came to be viewed only as an administrative device to manage allocated resources. As the complexes evolved, they took on different shapes and meaning, such that there were as many complex designs as complexes as to lead the DOE's own internal evaluators to observe that "we are in an awkward position of having to define what we have already agreed to implement."[21]

As a planning document, the *General Plan* which espoused the complex concept was only the beginning. It contained some fundamental thoughts about the complex. However, if the complex concept was indeed worthy of pursuit, a much more vigorous conceptualization of the complex was needed. For example, the effects of the complex on the total structure of the DOE (including the state office and the districts) required reasoning, and the nature of the curriculum to be delivered and the philosophy, emphasis, direction, and principles to be pursued in the development and delivery of the curriculum needed to be identified. But such vigorous analysis leading to an appropriate design of the complex never occurred.

Indeed, there were at least two significant decisions that virtually assured the implementation of the complex concept in an unplanned and fragmented fashion. *First*, the board of education's approval of the four formal complexes was premised on the condition that the implementation of the concept as a means of facilitating the implementation of statewide educational programs would be deferred. This condition was attached because the curriculum programming features of the *General Plan* were

[18]While these are the only four officially recognized complexes, there are less formal types of complex level organizations in operation in various school districts. The most common is the ad hoc complex coordination group or committee which is usually chaired by one of the participating school principals.

[19]DOE, memo dated December 20, 1972, from the superintendent to the chairman and members of the board of education, re: "Educational Complexes."

[20]DOE, *A Study of Educational Complex Prototypes: An Analysis of the Present State of Implementation with Proposal for Further Implementation under Revised Specifications*, (a staff report), December 1970.

[21]*Ibid.*

deemed "controversial."[22] With the deletion of the concept of the complex as a means of supporting educational programs, the objectives of the complex became obscure.

Second, even as administrative units, the complexes were left to find their own identities. Little, if any, state direction was given and the districts were in essence asked to formulate their own designs. As a consequence, complexes took on different shapes and forms.

In summary, then, the educational complex concept, although it is said to have much potential,[23] never fully achieved that potential because of the lack of a well-defined organizational strategy prior to its implementation.

Recommendations

We recommend that the department of education

1. Develop an overall organizational strategy to direct the future organizational development of the department. Such a strategy should take into account:

- *The objectives which the department is seeking to attain.*
- *The management processes which are to be employed in achieving organizational objectives.*
- *The organizational structure which facilitates the management processes necessary to accomplish the department's objectives.*

2. Defer implementation of the "middle school" concept until the present grade organization patterns of the public schools can be examined, evaluated, and, if appropriate, reorganized under the overall organizational strategy of the department.

[22]The portions of the *General Plan* considered "controversial" were the following. The *General Plan* proposed the calling periodically of "curriculum commissions" (apparently as substitutes for the present program specialists), composed of people both in and out of the DOE to review various curriculum areas and to formulate programs of the kind which could be implemented immediately. It also proposed the establishment of "lead teachers" in each complex for each major program area who would pave the way in implementing state programs. In time, it was viewed that lead teachers would take over many, if not most, of the functions presently being performed by department chairmen, grade level chairmen, resource teachers, curriculum specialists, and beginning teacher supervisors. DOE, *Toward a General Plan for Public Education in Hawaii*, March 1968.

[23]See DOE, *A Study of Educational Complex Prototypes.*

CHAPTER 9

STATE OFFICE–DISTRICT–SCHOOL ROLES AND RESPONSIBILITIES

In this chapter, we discuss generally the question of the roles and responsibilities of the state office, the districts, and the schools. We discuss roles and responsibilities in the context of "centralization" versus "decentralization," since these terms are freely bandied about within the DOE.

As used in this chapter, the terms, "centralization" and "decentralization," refer to the decisional processes within the DOE–that is, who makes what decisions.[1] A system is "highly decentralized" if substantially all major decisions are made by the lower levels of the organization. A system is "highly centralized" if substantially all major decisions are made by the top level of the organization and very little, if any, at the lower levels.

Summary of Findings

We find that:

1. The roles and responsibilities of the state office, districts, and schools are much confused. They are so confused that our school system cannot be characterized as either a "centralized system" or a "decentralized system," or it can be described as being both centralized and decentralized.

2. Because roles and responsibilities are confused, the terms, "centralization" and "decentralization," are being used to shift blame from one level of the organization to another.

[1] "Centralization" and "decentralization" are also sometimes used to refer to the *structural* nature of the DOE. Thus, sometimes our school system is characterized as a "highly centralized" system to indicate that ours is a single, unified State system of education as opposed to the numerous, autonomous school districts common on the mainland.

Unclear Policies

What the respective roles and responsibilities of the state office, the districts, and the schools are within the State's public education system is unclarified by current DOE policies. The existing policies state that the district superintendent is "responsible for the planning, organizing, staffing, directing and controlling of the educational programs, finances, personnel and facilities of his district,"[2] and the school principal is "responsible for the planning, organizing, staffing, directing and controlling of the educational programs, finances, personnel and facilities of his school."[3] It appears reasonably clear from these policies that district superintendents and school principals are vested with some management control and operational control functions and, thus, are at least middle management people within the DOE. What are not clear are (1) the meaning of the words, "responsible for," in relation to the various functions, such as "organizing," "staffing," "directing," etc.–that is, the specific kinds and levels of management control and operational control decisions that districts and schools may make–and (2) the meaning of the word, "planning," that is, whether it means "strategic planning" or planning in the sense of management control. There are no other policy expressions that define these terms.

With respect to the word, "planning," various miscellaneous papers existent within the DOE seemingly indicate the perception of some

[2] DOE, *School Code: Policies and Regulations, Administration* (1000 Series), 1971 edition, Policy No. 1500–11.

[3] *Ibid.*, Policy No. 1700–2.

top management people within the DOE that "planning" at the district and school levels means that kind of planning associated with management control rather than with strategic planning. For example, in 1968, a former assistant superintendent described his conception of the roles of the state office, districts, and schools in curriculum as follows:[4]

> State structure (i.e., theorize, plan, design, develop, disseminate)
>
> District implement (i.e., test, coordinate, articulate, explain, reinforce)
>
> Schools utilize (i.e., adopt, administer, adapt, supervise, teach)
>
> All levels evaluate.

This perception of the word, "planning," is reasonable when the stated policies are read as a whole and further when they are read in the context of DOE Policy No. 1500–10 which provides that the major functions of the district office are "*Administering* and *supervising* the programs of the department . . . in all public schools within the district," and "Planning, directing and evaluating all *activities* of the schools within the district." (Emphases added.)

However, as the actual practice indicates, this perception obviously is not universally shared by all persons within the DOE.

Decision-Making in Practice

In practice, there appears to be no clear and consistent pattern as to the kinds and levels of decisions made by the various levels of the DOE hierarchy. The state office, the districts, and the schools, all make decisions of various kinds.

> ***Strategic decisions.*** Strategic decisions–that is, decisions with respect to objectives, programs, organizational structure, etc.–are being made by both the districts and schools and by the state office. There is no consistency in these decisions. Both levels appear to be making decisions in the same areas and of the same kinds. In fact, strategic decisions in a given area or of a given kind made by the state office are without hesitation often ignored by the districts and schools. Then, there are at times voids in strategic decisions, neither the state office nor the districts and schools making them.
>
> ***Management and operational decisions.*** Likewise, with respect to management control and operational control decisions, they are sometimes made by districts and schools, sometimes by the state office, sometimes by neither the state office nor the districts and schools, and sometimes by both the state office and the districts and schools. Decisions at both levels sometimes occur with respect to the same areas or the same kinds of problems. Perhaps inconsistency in the pattern of management control and operational control decisions is to be expected, since there is inconsistency in the making of strategic decisions. After all, management control and operational control decisions are supposed to be made within the guidelines and policies formulated in strategic planning.

We note a few examples to illustrate the above. Other examples in the curriculum area are noted in part IV.

1. ***Middle-school concept.*** In the previous chapter, we noted how the "middle-school" concept is proliferating among the various districts. This concept is being planned for implementation by the districts on their own initiatives. A statewide policy to accept this concept has not been formulated by either the state office or the board of education.

The DOE policy on school organization states that the DOE "shall provide patterns of school organization which permit instructional

[4]Mann, Arthur F., *A Blueprint for Inspection,* DOE, office of instructional services, September 3, 1968. See also *DOE Plan of Organization,* November 1969.

arrangements best suited to student development and maturity."[5] Although the policy is silent as to who is to decide what the school organizational pattern ought to be, it appears that, since the organizational pattern of schools is so closely and directly related to departmental objectives, policies, and programs, the authority to determine the structure of schools as basic as the middle-school concept should be made by top management. Indeed, the state office itself appears to deem the school structure to be a strategic planning decision and engages in studying, analyzing, and determining the structure of the DOE, from the state office down to the school level. Nonetheless, schools apparently are free to plan for the structure of their schools, unhampered by directions from the top. Responsibility for the school structure is thus difficult to pinpoint.

2. ***Large-room concept.*** School facility designs are supposedly specified in the *Educational Specifications and Standards for Facilities*, April 1970. These specifications were developed by the office of instructional services and the office of business services at the state office and approved by the board of education for operational use on April 23, 1970. The specifications outline, among other things, the various facility requirements for the various discipline areas in the elementary and secondary schools. The standard or basic classrooms at the elementary level are specified as

- Type 1: a two-room unit for a maximum of 60 students
- Type 2: a three-room unit for a maximum of 90 students
- Type 3: a four-room unit for a maximum of 120 students.

These classrooms are designed to permit the division of rooms into areas accommodating up to 30 students each with the use of movable partitions and portable space dividers. At the secondary level, the standard classrooms are specified as the traditional self-contained classrooms with a capacity of 30 students each.

[5]DOE, *School Code: Policies and Regulations, Instructions* (2000 Series), 1970 edition, Policy No. 2320–4.

Although the facility specifications are intended to govern the construction of schools throughout the State, districts have not hesitated to deviate from them at will. Even before the adoption of the large-room concept, districts have built large classrooms. Then, subsequent to the adoption of the specifications, districts have been building certain kinds of classrooms that are not even identified in the *Educational Specifications*. For example, a large classroom equaling the size of six classrooms accommodating up to 180 students has been built at an elementary school. Then, large classrooms are being included in new secondary schools that are presently being built.

The merits of large classrooms are not being questioned. What is important to note is that in many instances large classrooms have been built without the programs to be accommodated by them. There have been large classrooms built where the schools have been unable to immediately utilize them effectively. This raises the questions: whose responsibility is it to decide the size and shape of classrooms? who takes the blame if the classroom is unsuitable? Apparently, these questions are unsettled in the DOE, for both the state office and the districts continue to specify the size and shape of classrooms. It would appear that, since the size and shape of classrooms depend on the program to be delivered, those who shape the program must ultimately decide the size and configuration of the classrooms needed. In the DOE, this apparently is not necessarily the case.

3. ***Curriculum development.*** As will be noted in a later chapter, both the state office, on the one hand, and the districts and schools, on the other, are developing and formulating curriculum. In some instances, schools shape their own curriculum notwithstanding the existence of a state program. Who is primarily responsible for the formulation of the state curriculum remains gravely in doubt.

Effect of Confusion

Under this uncertainty in the authority of the districts and schools and the state office, the centralization–decentralization concept has served as a convenient device for shifting blame from one level to another for system deficiencies

and shortcomings in managing DOE affairs. Consider the following.

Those at the district and school levels often characterize the state school system as a "highly centralized" one and complain of the "lack of direction" from the state office. These complaints are made even with respect to problems which one might consider as low-level operational problems. Lack of direction is blamed either for the lack of action on the part of districts and schools in situations where it appears that districts and schools should have taken action or for having taken action in situations where seemingly action by districts and schools should not have been taken. These complaints would be justified if the state system were a highly centralized system. But, as pointed out above, districts and schools have not hesitated to make all kinds of decisions, even strategic decisions, which are at times at odds with the policies and guidelines established by the state office.

State office personnel, on the other hand, are quick to fault the state's "highly decentralized" system when their attention is called to deficiencies, shortcomings, and incongruities within the system. Decentralization is offered as an explanation for both problems involving strategic decisions and problems involving managerial and operational decisions. Yet, state office personnel, from time to time, do make decisions of varying kinds–strategic, managerial, and operational–in contradiction to the notion that the DOE is a highly decentralized system.

Clarifying Decision Centers

The problem here is essentially one of failure on the part of the DOE to define what decisions are to be made at what levels. In attempting to clarify who makes what decisions, the DOE needs, first, to categorize all the various kinds of decisions as either strategic planning decisions, management control decisions, or operational control decisions. It is only then that the DOE can determine whether all or some, and if some, which ones, of the decisions of each category are to be made by what levels in the DOE hierarchy. It may well be that some kinds of decisions should be made by one level under one set of circumstances and by another under a different set of circumstances. If this is the case, then the DOE should specify also the circumstances under which each level is authorized to make such decisions.

Limits on Decentralization

"Decentralization" is a concept pursued in the context of a total organization. This implies that decentralization cannot be equated with complete, full autonomy. For an organization to exist as a unit, there must be some strings that bind the major divisions of the organization together, even though they may possess broad powers to decide things for themselves. With respect to the State education system, the State Constitution envisions a single, unified educational system and thus prohibits complete autonomy on the part of districts and schools. This means that decentralization, even if pursued by the DOE, has certain limitations.

The State Constitution names the board of education as the policy-making body for the entire school system. This means that strategic planning decisions are the responsibility of the board of education. In exercising this function, the board of education must necessarily rely on staff–primarily those at the state office. Thus, for the purpose of the discussion here, we may consider the state office as being a part of top management. Strategic planning decisions then are the responsibility of those at the top of the organizational hierarchy.

The statement, "strategic planning decisions are the responsibility of those at the top," says nothing about *roles* in strategic planning decision-making. "Responsibility" must be distinguished from "roles." Thus, in exercising the responsibility for making strategic decisions, the board of education and those at the top of the organizational hierarchy can indeed, and should, ensure meaningful roles of those below as well as those outside the system in the decision-making process. What "responsibility" means is that ultimately those at the top must make the final decision and be held accountable for it.

With respect to management control and operational control decisions, the State

Constitution provides that the board of education shall exercise "control . . . through its executive officer, the superintendent of education." The superintendent is permitted to act in behalf of the board in administering the affairs of the school system. There appears to be nothing to prevent the superintendent from sharing his administrative responsibilities with those below him. But, both the superintendent and others must operate within such policies established by the board, and each can make decisions only with respect to those kinds of things over which each has been given decision-making authority. It is in this area of management control and operational control that it appears much authority may be "decentralized" to districts and schools.

Decentralization assumes the passing-on of responsibility to the lower levels of an organizational hierarchy. But, in no case of decentralization is full responsibility so easily shifted. Residual responsibility still remains at the top. For example, the Constitution states that the board of education shall exercise "control" over the school system although it is to do so through the superintendent. This means that any plan of decentralization must be accompanied by a system or mechanism by which the districts and schools may account for their actions. Without proper accounting, the board of education will be unable to discharge its constitutional responsibility of "exercising control over the school system." In this connection, much of what has been said about accounting by aggregates in chapter 4, relating to the relationship between the executive and the board of education, is relevant in any system of decentralization. We note that the DOE is currently lacking a rational system of accounting by districts and schools that would permit decentralization in the management of our public school system. In fact, the current system of accounting and reporting by districts and schools is inadequate even for a highly centralized system.

Recommendation

We recommend that, as a part of formulating an organizational strategy for the department of education, the department fully consider the question of centralization–decentralization, and, if decentralization is to be pursued, the board of education (1) formulate explicit policies in this regard, outlining the guidelines within which decisions may be made by major organizational units at the lower levels of the organizational hierarchy and specifying the kinds of decisions and the level to which such decisions may be made by such major units and (2) establish a system by which such lower level units may properly account for their actions.

CHAPTER 10

STATE OFFICE

In addition to the superintendent and the deputy superintendent, the state office includes five assistant superintendents. Each of the five assistant superintendents is the head of a major office. The five major offices are the office of instructional services, the office of personnel services, the office of business services, the office of research and planning, and the office of library services. The office of library services was not included within the scope of our audit. The primary functions of each of the remaining four offices and the duties and responsibilities of the assistant superintendent heading that office, as prescribed by DOE policies, are displayed in table 10.1. The organizational placement of the offices and their respective branches are depicted in figure 10.1.

It should be noted that the office of research and planning as it is constituted today was born out of the department's entrance into the planning-programming-budgeting system. Prior to the present organization of the office of research and planning, there was an office of planning and analytical studies in the superintendent's office. That office functioned as the planning arm of the superintendent and was at the center of the department's early planning-programming-budgeting efforts. Upon the establishment of the office of research and planning in December 1971,[1] the functions of the office of planning were absorbed into the new office. In addition, the office assumed the functions of management and budgeting which had been within the office of business services. We mention this fact because throughout this chapter we refer to the office of research and planning as if it existed in its present form for some time. Thus, when we refer to the office of research and planning in connection with incidents which occurred prior to December 1971, we mean the office of planning and analytical studies which existed then in the office of the superintendent.

There are many kinds of activities that occur at the state office, both strategic planning and management control. All of the major offices are involved in all of these varying kinds of activities. In this chapter we examine the relationship between and among the four major offices in the performance of these activities. The primary focus in this chapter is on the relationship of the office of instructional services with each of the other offices.

Summary of Findings

In general, we find that:

1. There are jurisdictional disputes and vagueness with respect to the roles and responsibilities among the offices in the state office.

2. There are lacking sufficient articulation of needs and coordination of efforts among the various offices as to enable the state office to move together as a cohesive whole.

Program Planning

The responsibility of the office of instructional services is stated by a DOE policy to include the development of curricula for the

[1] It is not entirely accurate to state that the office of research and planning was "established" in December 1971. The office of research and planning always existed in the DOE. However, it was inactive just prior to the reactivation of the office in December 1971.

Table 10.1

Functions and Duties and Responsibilities of the Assistant Superintendent Of Each Major Office in the State Office Under DOE Policies

Office	Function of Office	Duties and Responsibilities of the Assistant Superintendent
Instructional Services	To provide curricular and instructional services such as general education, special education and programs, curriculum development and technology. (Policy No. 1400–12)	Design, develop, coordinate, and administer the instructional programs of the department, participate in the planning of educational facilities, and perform all other duties assigned by the superintendent. (Policy No. 1400–17)
Personnel Services	To provide the department with recruitment, employment, personnel relations, welfare, benefits, career management, and career development services for all employees in the department. (Policy No. 1400–13)	Provide a comprehensive personnel program for both certificated and classified employees of the department and perform all other duties assigned by the superintendent. (Policy No. 1400–19)
Business Services	To provide business and other administrative support services and assistance to the department, such as in the areas of financial records, payrolls, procurement, construction and maintenance of facilities and grounds, housing, school transportation, and school lunch services. (Policy No. 1400–14)	Provide accounting, auditing maintenance, custodial, transportation, school lunch, housing, and facilities services to the department and perform all other duties assigned by the superintendent. (Policy No. 1400–20)
Research and Planning	To assist the superintendent in providing budgeting, management, information system, and planning services for the department and to perform all other duties assigned by the superintendent in carrying out his statewide duties and responsibilities. (Policy No. 1400–16)	Provide budgeting, management, information system, and planning services for the department and perform all other duties assigned by the superintendent. (Policy No. 1400–21)

Source: *Department of Education Code: Policies and Regulations, Administration* (1000 Series), 1971 edition.

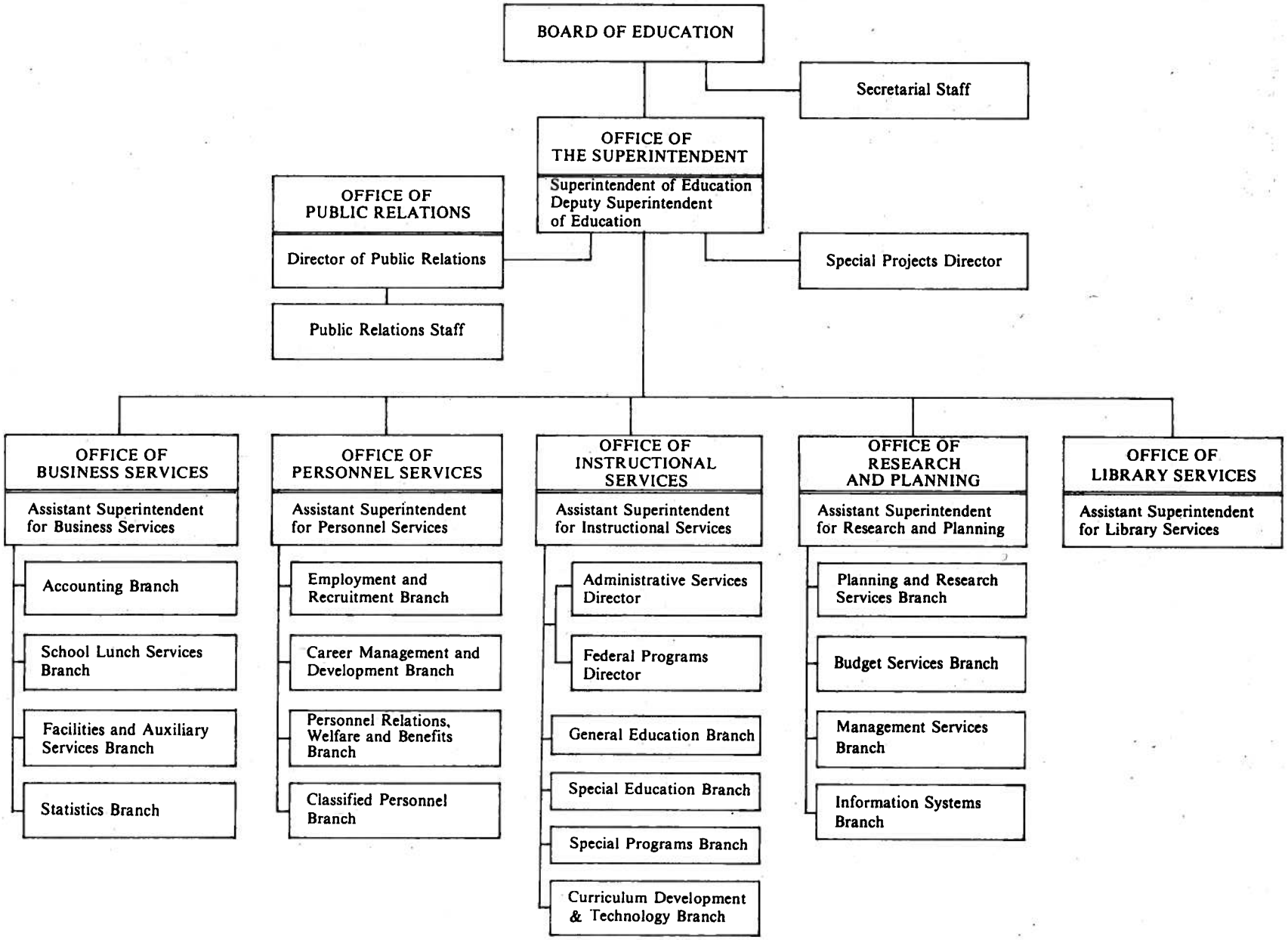
State's public school system. "Curriculum development" necessarily involves that kind of analysis usually associated with strategic planning. That is, in the development of a curriculum, the objectives of the public school system need to be defined and options for the achievement of those objectives considered. At the same time, another DOE policy states that one of the functions of the office of research and planning is to provide "planning services" for the department. The term, "planning," as used in this policy appears to refer to planning in the strategic planning sense. Out of these policies, there appears to have arisen some jurisdictional dispute between the office of instructional services and the office of research and planning as to who has the primary responsibility for planning for or analyzing the state curricula. This difference has surfaced because of the differing perceptions regarding the role of the office of research and planning in "providing planning services."

Conflict illustrated. We illustrate the nature of the dispute with two examples.

1. ***Early childhood education plan.*** In November 1971, the department of education released a preliminary report on early childhood education in which a plan was proposed to effect a program to regulate the education of preschool children up through age four.[2] This project to study early childhood education was initially undertaken as a joint project of the office of instructional services and the planning office, but at that time neither office was specifically named as the lead agency for the purpose of executing the study. The project team consisted of four or five members, of which only one was from the office of instructional services. As it turned out, the project leadership was assumed, in practice, by the planning office. Although the input of the office of instructional services is acknowledged, the planning office virtually assumed the role of an independent consultant, and the final design and content of the plan for early childhood

[2] DOE, *A Study on Early Childhood Education* (preliminary draft for discussion only), November 1971.

Figure 10.1
Organization Structure of the State Office, Department of Education



education, as presented in the preliminary report, represented in essence the thinking and will of the planning office.

The preliminary draft of the report was put together without review by appropriate authorities in the office of instructional services. Rather, after the draft was completed, it was transmitted to the office of instructional services for "reaction." The reaction was stormy. The office of instructional services took serious exceptions to the program as designed. Nonetheless, the planning office proceeded to present the plan for review to the board of education.

At the time of the presentation of the plan to the board of education in January 1972, the office of instructional services disclaimed any responsibility for the substance of the plan and registered its exceptions to the plan via a memorandum routed through the superintendent.[3]

This early childhood education study brought sharply into focus the conflict surrounding the respective responsibilities of the office of instructional services and the office of planning for the development of what essentially is an educational or curriculum program. The board of education, at its meeting on February 17, 1972, adopted the preliminary draft as "a basis for further development of the comprehensive program in curriculum" and approved the superintendent's recommendation to authorize the creation of a temporary developmental team in the office of instructional services under the assistant superintendent of instructional services to develop a comprehensive program and curriculum for the target group involved.[4] Thus, for this project at least, the responsibility for the development of programs was shifted to the office of instructional services.

[3]DOE memo, dated January 18, 1972, from the assistant superintendent, office of instructional services, to the superintendent, re: "Reactions to and Recommendations on a Study on Early Childhood Education." DOE memo, dated February 3, 1972, from the superintendent to the board of education, re: "OIS Reactions to the Preliminary Draft of 'A Study on Early Childhood Education.'"

[4]DOE, board of education minutes, February 17, 1972.

2. ***Special education master plan.*** The department of education is in the process of developing a "master plan" for special education. This project was originally scheduled for completion by July 1971, but was extended for another seven months to February 1972. Its status today is that a preliminary draft of the "master plan" has been put together and is being circulated for comments.

Within the office of instructional services is a "special education branch" which is formally charged with the responsibility to "plan and develop educational programs designed to meet the special needs of students who are physically, mentally, or emotionally handicapped . . . ."[5] However, the primary responsibility for the development of the special education master plan was assigned, not to the office of instructional services, but to the office of research and planning. The role of the special education branch seems to be one of "assisting" the planning office. Here, too, as in the early childhood education project, disagreement has surfaced as to whether or not the lead for the project should have been given to the planning office or to the office of instructional services and the special education branch.

Historical development of the conflict. This conflict in roles between the office of instructional services and the office of research and planning has a historical base. Briefly, it is as follows.

When the DOE first embarked upon the planning-programming-budgeting system at the insistence of the legislature, it did not have any group of people with technical skills necessary for fully analyzing and planning the state curricula in the manner required by the planning-programming-budgeting system. Thus, the initial effort at analysis and planning devolved on an ad hoc group brought together from various units within the DOE, including a school. The organizational placement of this group was not settled when it was first established. It ostensibly worked out of the office of instructional services, but the direct involvement of the superintendent was also evident. After the first efforts at analysis, this

[5]DOE, *Plan of Organization,* February 1971, p. E–12.

team was fragmented, with some of its members detached to perform other duties, and the principal responsibility for analyzing curriculum areas fell on the program specialists in the office of instructional services. Some technical assistance and guidance were furnished the program specialists by those few who remained from the first PPB team.

Subsequently, at legislative insistence for some permanency in the doing of PPB, the DOE created the office of planning and analytical studies in the office of the superintendent, consisting of those few who remained from the first PPB team, augmented by additional personnel. From the start, the role of this planning office was not clearly articulated. At first, there appears to have been some technical, substantive assistance rendered by the members of the planning office to the program specialists during the course of analysis. However, shortly thereafter, the planning office assumed the role of "reviewers" and "critics" of those analyses *completed* by the program specialists, rather than one of providing continuous, technical assistance during the course of doing analysis.[6] It assumed for itself the role of "final approvers" of the program specialists' efforts. Probably because it was generally dissatisfied with the quality of the analytic products emanating from the office of instructional services, the planning staff took the next step—that of analyzing itself the curriculum programs (e.g., early childhood education program).

Conflict resolution. The obvious issue raised in this conflict between the office of research and planning and the office of instructional services is: which of the two offices has the primary responsibility for analyzing and planning for the curriculum of the State? However, there is another issue which appears not to have been recognized thus far. This second issue involves the assumption by the office of research and planning of the role of *reviewing* pieces of analysis performed by the office of instructional services. The question is, should the office of research and planning perform this review function? We attempt to resolve this and the first issue—who should do analysis—in the sections which follow.

1. ***Analysis review.*** The function of *reviewing* analysis must be distinguished from the function of *doing* analysis. The concept of reviewing analysis is to ensure that analyses are performed honestly, fairly, and objectively. In an agency as large as the DOE, where analyses are taking place (or should be taking place) in one or more areas almost constantly because of the number of programs which the agency administers, a unit to review the analyses being produced for honesty, fairness, and objectivity is essential. This unit is needed to advise the superintendent and the board of education as to those analyses upon which they may rely in decision-making.

The nature of review is such that this function should rest in an independent unit—that is, a unit independent of that responsible for performing analysis and of those units which have an interest in the programs which are subject to analysis. Unless the reviewing unit is removed from those units which perform analysis and administer the programs, the objectivity of the review itself cannot be assured; it would be like an agency auditing itself.

The foregoing means that if the office of research and planning is indeed supposed to perform analysis in one or more areas or if it participates in analysis performed by other units, it should not be reviewers of analysis. A decision must be made as to whether the "planning services" that the office of research and planning is supposed to render under the DOE policy is to consist of performing analysis or of reviewing analysis.

In our view, *performing* analysis appears to be the role that the office of research and planning should assume, not *reviewing* analysis. There are a number of reasons which lead us to this conclusion. The office of research and planning as a central staff currently engages in the performance of analysis. As pointed out below, there is validity in the establishment of a central staff for the purpose of performing analysis. Further, as we note below, there is a need for a central staff to assist other units in the performance of analysis. Hence, it appears

[6] Legislative reaction to this newly assumed role was negative. See Special Committee Report No. 3, 1970.

inevitable that the office of research and planning would be engaged in the doing of analysis in some form. As such they should not be reviewers of analysis.

We believe that this review function can best be discharged by a small unit within the office of the superintendent. Placement in the office of the superintendent removes the unit as much as possible from other units within the DOE that perform analysis from time to time. Further, placement of the unit in the office of the superintendent makes it possible for the unit to report directly to the superintendent, who (together with the board of education) must ultimately decide on accepting or rejecting the recommendations contained in the various pieces of analysis. (This analysis review function may be combined with the program evaluation review function, discussed below, in one unit within the office of the superintendent.)

The creation of a review unit alone will not ensure an adequate review of analysis. A review must be conducted by applying predefined guidelines to each piece of analysis. One of the responsibilities of the review unit then should be to establish standards to be followed in the performance of all analyses within the department. Such standards would be exclusive of those uniquely applicable to individual programs. Among the kinds of standards that the review unit would establish are the interest rate to be applied in all cost-benefit calculations and the future enrollment growth to be assumed in analysis. Included also would be such pertinent standards relating to costs and measures of effectiveness which are applicable to all analyses.

2. ***The doing of analysis.*** The concept of a central staff to do analysis finds its validity in the following. *First,* a central staff prevents the proliferation of technical personnel among the various program areas. By "technical personnel," we mean those persons with skills to frame an analysis and to perform cost-benefit calculations. They are people who can perform the technical aspects of an analysis, regardless of the subject matter and even if they are not necessarily experts in the field being analyzed. Since no program is subject to analysis continuously, the presence of technical personnel (as contrasted from program administrators) on a continuous basis in every program area is not necessary. The establishment of a central staff permits the pooling of all technical personnel in one unit and their assignment as needed in analyzing programs.

Second, there are issues that transcend organizational lines or that belong to an area, the primary program responsibility for which has not been assigned to a unit within the agency. In the case of the former, there is a need for a unit which rises above the interests of the various units involved and provides a broad perspective and which can integrate the diverse expertise and viewpoints into a cooperative approach. In the case of the latter, there is a need for a group to assume the responsibility for analyzing issues which do not fall within the established program units.

Leadership by the central staff in doing an analysis is justified if the analysis is one which falls within the second of the two grounds described above for the creation of such a central staff. Those in program areas affected by the issue being analyzed can and should participate in the doing of the analysis, but leadership and ultimate responsibility for recommendations must fall on the central staff.

However, if the analysis is on a subject matter, the responsibility over which is clearly vested in an organizational unit, leadership in the doing of that analysis should be assumed by that organizational unit, and not by the central staff. Expertise in the program is clearly in that unit responsible for the program, not in the central staff. Although technical skills are important in the doing of analysis, equally or more important is the expertise in the subject under analysis. The role of the central staff in such a case is one of supplying the technical skills required and assisting in the doing of the analysis, but not of assuming ultimate responsibility. Applied to the DOE's office of research and planning and the office of instructional services, this means that leadership in performing analysis in the curriculum area should be in the office of instructional services, and not in the office of research and planning. The role of the office of research and planning is one of providing substantive, technical assistance in doing the analysis.

The legislature's initial urgings that the department establish a central staff was based on the above conception of the role of the staff. We believe that this relationship should be maintained.

Program Evaluation

Neither the policies nor the regulations of the DOE make explicitly clear who has primary responsibility for program evaluation, whether in curriculum, personnel, or otherwise. The *Plan of Organization,* however, vests the responsibility for the evaluation of "new programs, pilot projects, and other special projects" in the evaluation section of the office of instructional services.[7]

In practice, testing and evaluation of instructional programs are carried out by both the evaluation section and the office of research and planning. Thus, the evaluation section of the office of instructional services has conducted evaluations of such programs as the Kailua modular scheduling program and the 3 on 2 program. On the other hand, the office of research and planning has evaluated such programs as the high school ROTC. Why the office of research and planning has been assigned the task of evaluating such programs is not clear. If the office of research and planning is in possession of certain technical skills lacking in the office of instructional services in the doing of a particular evaluation, it would appear that, as in the case of a program analysis, such skills may well be lent to the office of instructional services, with the leadership and ultimate responsibility for the evaluation being retained by the office of instructional services.

Beyond this office of research and planning–office of instructional services role difficulty, there is another program evaluation issue which needs to be highlighted. In a later chapter we note that the current DOE program evaluation system is weak. One of the weaknesses cited is that evaluations are conducted by those responsible for designing and administering programs. It is natural for those who design and administer programs to seek evaluation results which are favorable to the programs. In that chapter we suggest that, to ensure fairness and objectivity, in-depth program evaluations[8] be performed by an independent unit–a unit separate and apart from the unit, branch, or office responsible for formulating and administering programs. We suggest that such a unit be placed within the office of the superintendent. (This function of program evaluation may be combined with the function of reviewing analysis. Both are "after-the fact" examinations.)

The placement of this program evaluation unit in the office of the superintendent does not mean that those responsible for administering programs cannot and should not evaluate. As we note in the chapter on program evaluation, continuous, routine evaluations of programs would be the responsibility of the units administering the programs. "Routine evaluation" means determining the attainment or non-attainment of objectives and the *apparent* reasons for non-attainment on a regular and routine basis. An in-depth examination may proceed from a routine evaluation, but in-depth examination are "irregular" in that not all programs would be continuously and routinely subjected to intense examination.[9]

As in the case of analysis, this program evaluation unit should prescribe the standards for the development of evaluation measures and evaluation instruments required to be used in program evaluations, and it is within such standards that program evaluation designs should be formulated.

Facilities Planning

School facilities are constructed for the purpose of supporting educational programs–that is, to facilitate the delivery of educational programs; they are not constructed for the sake of construction. There must then be

[7]DOE, *Plan of Organization,* February 1971, p. E–14.

[8]In chapter 20, we distinguish between "in-depth evaluations" and "routine evaluations." In-depth evaluations are conducted periodically or on a selective basis.

[9]See chapter 20 for a fuller explanation.

a close tie-in between programs and facilities. However, as we observed in an earlier report,[10] in neither the planning nor design stages of capital projects is there sufficient integration of the efforts of the office of instructional services and the facilities branch of the office of business services. These two units within the state office operate virtually in isolation from each other.

As a consequence, classrooms are being planned for programs which do not exist (e.g., large classrooms accommodating 180 students) and classrooms are being designed without regard to program requirements and program activities (e.g., independent study, utilization of audio-visual equipment). In the use of the facilities that are built, program people are finding it necessary to shape the programs to fit the facilities, rather than finding the facilities ready to accommodate the programs. In effect, what is occurring is that the facilities branch is determining to a large degree the curriculum and the methodology to be used in program delivery, a function which is supposed to be performed by the office of instructional services.

The foregoing results in part because the office of instructional services is often delinquent in articulating clearly the program objectives and the program configuration.[11] On the other hand, the facilities branch fails to communicate its need for program information to adequately plan for and design the facilities required.

To bring greater integration of the efforts of the office of instructional services and the facilities branch, the following are required: *First,* the office of instructional services must plan and design its curriculum programs with much greater clarity and depth. *Second,* the facilities branch must articulate its informational needs to the office of instructional services in planning and designing capital facilities. *Third,* the DOE *Educational Specifications and Standards for Facilities* which governs capital improvement design must be redefined, as recommended in our school construction report, so that the guidelines prescribe not fixed-space standards as the *Educational Specifications* currently does but standards related to educational program needs. *Fourth,* more frequent, face-to-face consultations between the office of instructional services and the facilities branch are needed in the planning and designing of capital improvements such that the product—the facilities—is the joint product of both the office and the branch.

Personnel Requirements

The DOE policy provides that "[t]he major functions of the office of personnel services shall be to provide the department with recruitment, employment, personnel relations, welfare, benefits, career management, and career development services for all employees in the department."[12] In practice, there appear to be little meaningful articulation and communication between the office of personnel services and the other offices and units in the state office with respect to personnel programs. Except for the recruitment of teachers and to a limited extent for arranging credit courses for teachers at the university of Hawaii, the department of personnel services provides little *programmatic* service to the other units.

As noted in subsequent chapters,[13] the office of personnel services has little of what might be called adequate personnel "programs." It thus has virtually no systematic training, recruitment, and promotion programs. The activities of the office consist chiefly of processing individual transactions. The other offices and units in the state office appear to attend to their personnel problems in their own individual ways, and their recommendations are perfunctorily approved by the office of personnel services, regardless of whether policies and regulations are being adhered to or not. In later chapters we note how recruitment, placement, and promotions are being made at

[10] Legislative auditor, *Audit of the School Construction Program of the State of Hawaii* (audit report no. 72–5), February 1972, chapters 6 and 12.

[11] See chapter 15 on program design.

[12] *Department of Education Code, Policies and Regulations: Administration (1000 Series),* 1971 edition, Policy No. 1400–14.

[13] See part V, *infra.*

the state office and suggest that the processes currently practiced border on unfairness.

This situation which exists is not entirely the fault of the office of personnel services. There appears to be little real communication of need from the other offices to the office of personnel services. We think there is a need for greater articulation and communication between the office of personnel services and the other units in the state office. Personnel program needs must be communicated and resolved through mutual and coordinated efforts of all offices concerned.

In Summary

One measure of effectiveness of an organization is how well the efforts of the different parts are integrated and coordinated. By this measure, we find that the state office has some ways to go. Each office and sometimes even each branch and unit appear to be an enclave unto itself with little articulation and mutual resolution of inter-office, inter-branch, and inter-unit problems. Educational programs, more and more, are requiring the input of various competencies and backgrounds which are scattered among the various offices, branches, and units. We think that there is a need for greater efforts at integration and coordination of work. Such integration and coordination will not, however, come about without a conscious effort, particularly of those in leadership positions, in those directions. Without such integration and coordination, the efforts of the state office will be fragmented and the large problems of the DOE will remain unresolved.

Recommendation

We recommend that the board of education, through its superintendent, clarify the roles and responsibilities of the major state offices by:

1. Assigning responsibility for the performance of analysis to the office responsible for the subject matter which is to be analyzed. This means that the responsibility for analysis in the curriculum area should rest with the office of instructional services.

2. Assigning responsibility to the office of research and planning for analysis of programs which transcend organizational lines or which have not been assigned to any particular office. In addition, the office of research and planning should provide technical assistance to other units engaged in the conduct of analysis.

3. Establishing a unit, reporting directly to the superintendent, which would develop guidelines and standards for analysis and evaluation designs, review analyses for the superintendent and the board, and conduct in-depth program evaluations. This recommendation in no way requires or implies additional staffing. With the removal of analysis review from the office of research and planning and the removal of program evaluation from that office and the office of instructional services, sufficient existing positions in the two offices should be available to establish the new unit.

4. Requiring the office of instructional services and the facilities branch of the office of business services to establish a mechanism for continuing consultation on all matters related to the planning and design of facilities which support education programs.

5. Reorienting the office of personnel services from its current focus on individual personnel transactions to the broader perspective of developing its personnel programs to support other units in accomplishing educational objectives.

CHAPTER 11

STAFFING

In this chapter we illustrate the nature of the work force within the DOE. The numbers, pattern, qualifications, and work of the various kinds of educational officers and teachers are the focus here. We comment on the classified civil service employees only minimally. This chapter is the result of extensive interviews conducted of the staff at the state office and at the districts on Oahu and of an examination of available personnel records. At the outset we note two things which need to be kept in mind as this chapter is read.

First, we comment frequently on individual employee positions in this chapter. When we do so, we are not questioning the good faith of the employees occupying those positions. Our focus is on managerial practices. Employees are usually the unfortunate victims of poor managerial practices. We would expect the DOE to consider the status of employees in correcting such deficiencies as we may point out in this chapter and in implementing our recommendations.

Second, the numbers reported in this chapter vary from time to time, depending on the focus of the discussion. This is unavoidable, since the personnel record-keeping system in the DOE has not been able to produce the numbers in any consistent fashion for use in differing forms and in varied contexts. We do not believe, however, that the use of differing numbers at different places in the chapter materially affects the points that are being emphasized.

Summary of Findings

In general, we find as follows:

1. The state office has more employees than work appears to justify.

2. Educational officer positions are unnecessarily being filled by educators rather than by those with competencies and technical skills specifically related to the job required to be performed by those positions.

3. Employees performing essentially similar work are being classified and treated differently.

4. Positions are being pegged at levels that are not warranted by the nature of the work performed.

5. There are positions whose existence is not justified and positions which are misplaced in the DOE organizational structure.

6. There are wide variations in the pattern of staffing at the district and school levels. There are no guidelines or control mechanisms to assure equality in the treatment of districts and schools.

State Summary

For the department of education as a whole, there were, in school year 1971–72,

some 15,255 employees (positions).[1] Of these, 661 were educational officers,[2] 9,020 were teachers,[3] 3,626 were classified civil servants,[4] and 1,948 were those who occupied positions which are exempt from the State's civil service laws (other than educational officers). Educational officers include those with teaching backgrounds and those without teaching backgrounds but who are administrative, professional, and technical personnel. Exempt positions include student helpers, lunch supervisors, classroom cleaners, etc.

Table 11.1 notes the growth in the number of teachers and educational officers during the period 1965–66 to 1971–72. As indicated, during that period, the number of teachers increased by 38.6 percent (from 6,507 to 9,020). The number of principals and vice-principals increased by 12.8 percent (from 337 to 380). The number of educational officers (other than principals and vice-principals) increased by 87.3 percent. Clearly there has been a dramatic increase in the number of educational officers, other than principals and vice-principals. Its growth has been disproportionately larger than the growth in the number of teachers. Figure 11.1 compares the rate of growth of educational officers (other than principals and vice-principals) and the rate of growth of teachers.

The increase in the number of educational officers was most marked in the state office. In 1965–66, the state office had 85 educational officers. In 1971–72, this number had grown to 188, an increase of 121.2 percent. In comparison, the number of educational officers

[1]All figures are estimates. Figures represent the *minimum* number of positions. Actual position count is in doubt. See discussion in the introduction to this chapter and footnotes below.

[2]281 state and district educational officers, plus 380 principals and vice-principals. For data source, see notes in table 11.1.

[3]Per data furnished us by DOE, office of the superintendent, information services, January 1973.

[4]Per department of accounting and general services payroll computer print-out as of September 1, 1972. We recognize that this print-out is subsequent to the close of the 1971–72 fiscal year. However, it does not appear to us that the number has changed drastically as of September 1972 from what it was during the period 1971–72.

Table 11.1
Increase in the Number of Educational Officers and Teachers Since Fiscal Year 1965–66

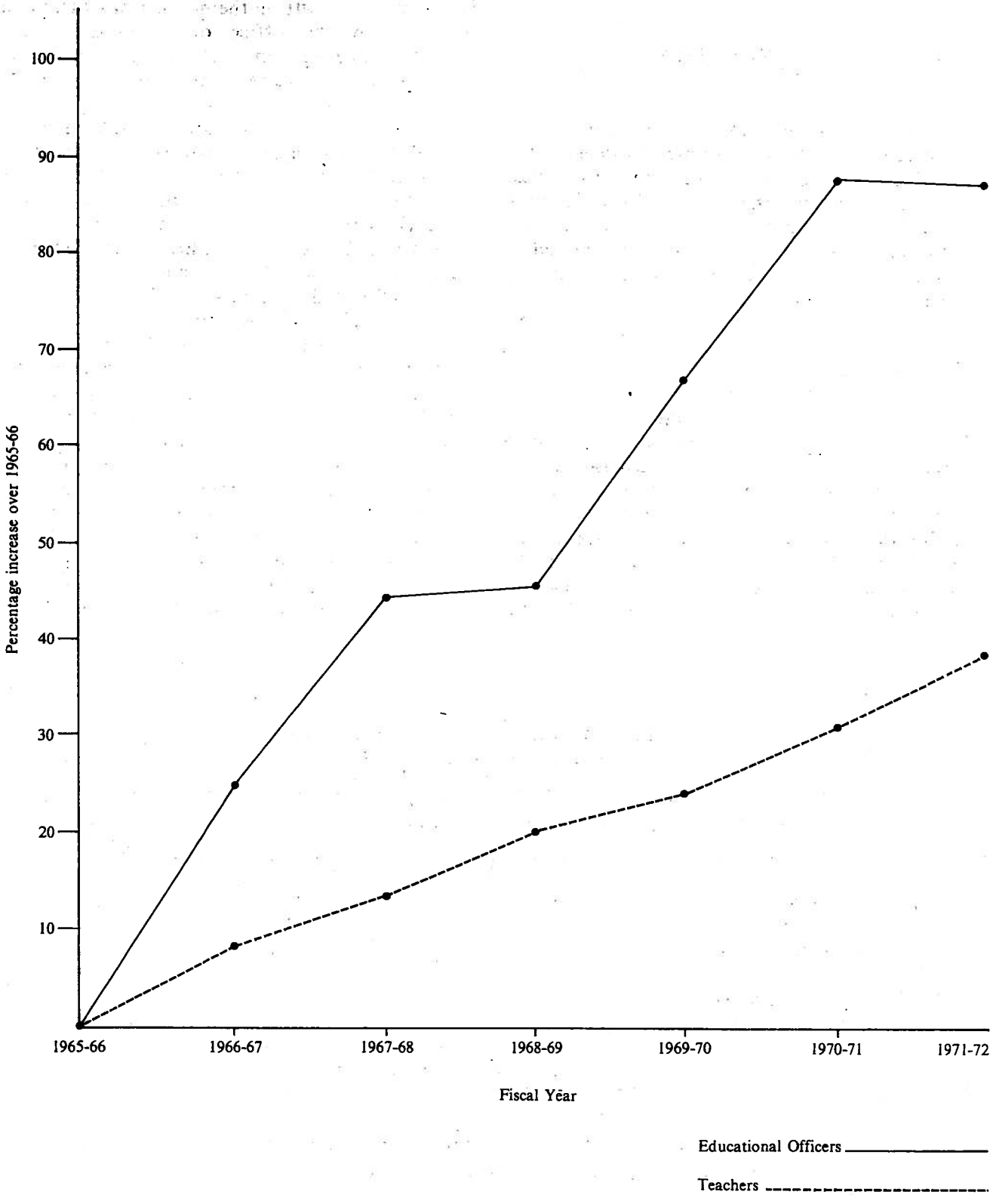
	No.	Increase over 1965–66 Amt	%
Educational Officers (Other than principals and vice-principals)[1]			
1965–66	150	–	–
1966–67	188	38	25.3
1967–68	218	68	45.3
1968–69	219	69	46.0
1969–70	251	101	67.3
1970–71	282	132	88.0
1971–72	281	131	87.3
Principals and Vice-Principals[2]			
1965–66	337	–	–
1966–67	350	13	3.9
1967–68	358	21	6.2
1968–69	–	–	–
1969–70	–	–	–
1970–71	–	–	–
1971–72	380	43	12.8
Teachers[3]			
1965–66	6507	–	–
1966–67	7010	503	7.7
1967–68	7343	836	12.9
1968–69	7842	1335	20.8
1969–70	8062	1555	23.9
1970–71	8533	2026	31.1
1971–72	9020	2513	38.6

[1]For 1965–66 to 1967–68, data from DOE, *Annual Report on Certificated Personnel in Hawaii's Public Schools 1967–1968* (Research Report No. 52), January 26, 1968, p. 9. For 1968–69 to 1971–72, data supplied by DOE, office of personnel services, during our audit, March 1972.

[2]For 1965–66 to 1967–68, data from DOE, *Annual Report on Certificated Personnel in Hawaii's Public Schools 1967–1968* (Research Report No. 52), January 26, 1968, p. 9. For 1971–72, data supplied by DOE, office of the superintendent, information services, in January 1973. (The 1971–72 data apparently came from a computer print-out entitled, "Certificated Annual Report for the Year 1972–73," dated October 31, 1972.)

[3]Includes special teachers and supportive teachers–e.g., counselors, school librarians, etc. For 1965–66 to 1969–70, data from DOE, *Educational Progress, 1962–1970,* September 1969. For 1970–71, data from DOE, *Operating Budget Request, Biennium 1971–73,* "Current Services Request." For 1971–72, data supplied this office by DOE, office of the superintendent, information services, January 1973.

Figure 11.1
Rate of Growth of Educational Officers (Other Than Principals and Vice-Principals) and Teachers Since Fiscal Year 1965-66



(other than principals and vice-principals) in the districts grew by 43.1 percent (from 65 to 93). (See tables 11.2 and 11.3.)

STATE OFFICE

In general, we find that the state office is overstaffed with educational officers. The number of educational officers does not appear to be justified in terms of work load and work performed. In addition, we note that a number of educational officers have been appointed to positions for which they have had no background or training.

Staff Size

Table 11.2 notes the rate at which the number of educational officers (other than principals and vice-principals) increased in the various offices within the state office. Of particular interest is the rate of growth in the office of personnel services. During the period 1965–66 to 1971–72, the number of educational officers in the office of personnel services grew by 400 percent (from 5 to 25). During this same period, the number of DOE certificated employees (teachers and educational officers) whom this office primarily serves grew by 42.3 percent (from 6,974 to 9,681). Clearly, the rate of growth in the number of educational officers in the office of personnel services greatly exceeded the rate of growth in the number of certificated employees in the DOE.

Not only has the rate of increase in the number of educational officers in the office of personnel services been greater than the rate of growth in the number of certificated employees, but the rate of growth in the number of its classified civil service employees has also been greater than the rate of increase in the number of certificated employees. The number of classified civil service employees grew by 71 percent during the period 1965–66 to 1971–72 (from 24 to 41). This tremendous growth in the manpower of the office of personnel services caused us to compare it with the total manpower of the State department of personnel services. This comparison revealed the following. There is a total of approximately 66 employees in the DOE's office of personnel services, including the 25 educational officers and 41 civil servants. This total number of employees services about 9,700 DOE certificated employees for a ratio of 147 certificated

Table 11.2
Number of Educational Officers: State Offices
Fiscal Years 1965–66 to 1971–72

Office	1965-66	1966-67	1967-68	1968-69	1969-70	1970-71	1971-72	% Increase 1971-72 over 1965-66
Superintendent	4	5	14	11	8	6	5	25.0
Instructional Services	56	77	84	82	88	88	87	55.4
Personnel Services	5	6	8	16	20	25	25	400.0
Business Services	9	10	17	21	26	28	20	122.2
*Research and Planning . .	4	10	10	5	8	14	23	475.0
Library Services	7	8	10	17	19	27	28	300.0
Total	85	116	143	152	169	188	188	121.2

Source: Information supplied by the office of personnel services during the course of our audit in March 1972.

*This office was expanded in late 1971 when the budgeting, management analysis and information services activities were transferred from the office of business services.

Table 11.3

Number of Educational Officers: Districts
Fiscal Years 1965–66 to 1971–72

District	1965-66	1966-67	1967-68	1968-69	1969-70	1970-71	1971-72	% Increase 1971–72 over 1965–66
Honolulu	14	14	16	15	21	20	21	50.0
Central	8	9	8	8	11	13	11	37.5
Leeward	6	10	10	9	13	15	14	133.3
Windward	6	7	9	8	8	13	12	100.0
Hawaii	12	12	10	10	11	11	12	–
Maui	10	10	12	9	10	13	13	30.0
Kauai	9	10	10	8	8	9	10	11.1
Total	65	72	75	77	82	94	93	43.1

Source: Information supplied by the office of personnel services during the course of our audit, March 1972.

employees to one employee in the office of personnel services. In contrast, the State department of personnel services' approximately 65 employees service over 14,137 civil service and certain exempt civil service employees, for a ratio of 217 civil service and exempt civil service employees to one department of personnel services' employee. Clearly, the department of personnel services with its 65 employees handles 50 percent more employees than the DOE office of personnel services with its 66 employees. Not only does the State department of personnel services handle 50 percent more employees than the DOE office of personnel services, but it does so at a lower cost. In 1971–72, the total personnel cost of the State department of personnel services was approximately $714,000, while the total personnel cost of the DOE office of personnel services was approximately $735,000.

Staff Qualification

There are a number of educational officer positions in the DOE currently being held by people with essentially an educational background when the nature of the work of the positions appears to require competencies, skills, and knowledge other than in educational areas. This is not to say that those appointed to some of these positions cannot acquire the necessary skills and competencies through work experience over a period of time, but what is essentially deficient is the fact that the minimum qualifications specified for almost any educational officer position equate teaching experience and a teaching background with experience and skills of a professional and technical, non-educational nature. Thus, any teacher with the required number of years in teaching can qualify for such technical positions as accounting, personnel management, analysis, and facilities planning. We think this constitutes inbreeding of the most gross kind.

Our evaluation of the nature of the work required in the offices of personnel services, business services, and research and planning indicates that, with the exception perhaps of one or two in each office, none of the educational officer positions in these offices requires an educational background. The work of these offices is essentially technical in nature. An educational background is essential in most of the positions in the office of instructional services, but even there, there are positions which are mainly technical in nature and thus do not require a teaching background. Later, we note instances where an educator filling a

position is not performing work normally associated with that position. This result is in part due to the lack on the part of the incumbent of such technical experience and competence necessary for the position.

Office of personnel services. All of the 25 educational officer positions in the office of personnel services, with the exception of a few positions in possibly two areas, require skills and competencies in personnel management rather than in education. The administration of employee welfare and benefits, for instance, is a task requiring knowledge about employment benefits and not necessarily of education per se. The two areas where an educational background might be desirable are training and recruitment.

In training, an educational background is perhaps desirable if the work entails conducting courses and institutes in curriculum matters. In recruitment, an educational background is perhaps desirable if the job involves actually recruiting teachers and evaluating the teaching potentials of candidates. While an educational background may be desirable in these two areas, we note that the office of personnel services does not presently actually conduct the training of teachers in matters of curriculum and those in the recruitment branch do not directly assess teaching potentials of teacher-candidates. Curriculum instruction is conducted by the office of instructional services, and the office of personnel services, at most, simply coordinates training by others. In recruitment, although the recruitment section engages in the initial screening of teacher-applicants in accordance with certain criteria and requirements established by the DOE, the decision to hire a teacher is made, or at least is recommended, by the principals.

Office of business services. In the office of business services, there is much less a need for educators. Although some general knowledge about education is helpful, it is not essential. Rather, what is required are knowledge and skills in the fields of business, accounting, and facilities planning and design to carry out the duties and responsibilities of this office. Yet we find that at least five educational officer positions are occupied by those with teaching backgrounds.

Office of research and planning. In the office of research and planning, so long as planning for the State's curriculum is vested in the office of instructional services, there is hardly a need for educators. The tasks of this office are essentially analytical (regardless of the subject of analysis), managerial, and budgetary. We note with some interest that in this office there are some educators assigned to perform "planning and analysis" with little training and background in analytic work. Further, there is an educator assigned to perform information systems work who has had no experience in information systems. Their contribution of substance to the missions of the branch is thus questionable.

Work Load and Work Assignment

There appears to be insufficient work load to justify the number of educational officers at the state office. There are also questionable assignments of work. Then, there are administrators whose positions do not appear to be warranted, since they supervise no one and perform work similar to those performed by program and staff specialists. In addition, there are administrators who have people to supervise but who do not in fact assume supervisory responsibilities and who perform tasks unrelated to the purpose of the sections they head. In this connection, we note the following.

Each major office in the state office is divided into subunits called, "branches," headed by directors. Each branch, in turn, is further divided into subunits called, "sections," headed by administrators. Generally, each section consists of one or more persons whom the administrator supervises. In essence, the directors and administrators constitute the middle management level in the state office organizational hierarchy.

As middle management, directors and administrators play an important part in the success or lack of success of the DOE in achieving its missions. This is because most of the day-to-day work of the state office is carried out by the branches and sections. An essential function of directors and administrators is to supervise, direct, and control the work of their

subordinates. "Supervision, direction, and control" means more than simply assigning work. It includes providing an input into the work of the subordinates to ensure that that which needs to be done is performed and performed well. Responsibility for any failure on the part of a branch or section to produce the work required, both in terms of quantity and quality, thus rests in the director or administrator in charge of the branch or section (as well as in upper management).

Our findings indicate that there is far too much disposition on the part of directors and administrators to avoid assuming responsibility for the work of their subordinates. They often *direct* but provide little *personal input* into the subordinates' work and attempt to fix blame for failures of their branches and sections on their subordinates. The result is, of course, friction between the directors and administrators and their subordinates as well as non-performance or poor performance of work required by the branches and sections. In various parts of this report, we note deficiencies in the operations and work of the DOE. The failure of directors and administrators to assume their responsibilities account in a large measure for these deficiencies.

Office of personnel services. In the office of personnel services, people are performing work unrelated to the positions they occupy, work associated with particular positions is not being executed by the persons occupying those positions, and the nature of the work being performed in some positions does not warrant the level of the positions. The organization of the office of personnel services is noted in figure 11.2. There are four branches in the office of personnel services, each of three headed by a director and one headed by an administrator: recruitment and employment; career management and development; personnel relations, welfare and benefits; and classified personnel. Each branch has two or more sections, headed by an administrator. We examine each as follows.

1. ***Recruitment and employment branch.*** The organizational chart for this branch is noted in figure 11.3. As the chart notes, this branch is divided into two sections, "recruitment" and "employment," each headed by an administrator.

The *recruitment section* consists of the administrator, a stenographer, a personnel technician (SR–15), and a staff specialist II. The work of this section appears minimal, except during peak teacher-hiring periods. Both the administrator and the staff specialist II perform generally similar duties. Both engage in recruitment activities, differing only in the kinds of personnel each recruits. The administrator concentrates on 12-month educational officers, while the staff specialist handles teacher recruitment. The administrator makes one recurring trip annually to the mainland (a 16-day trip) to recruit teachers.

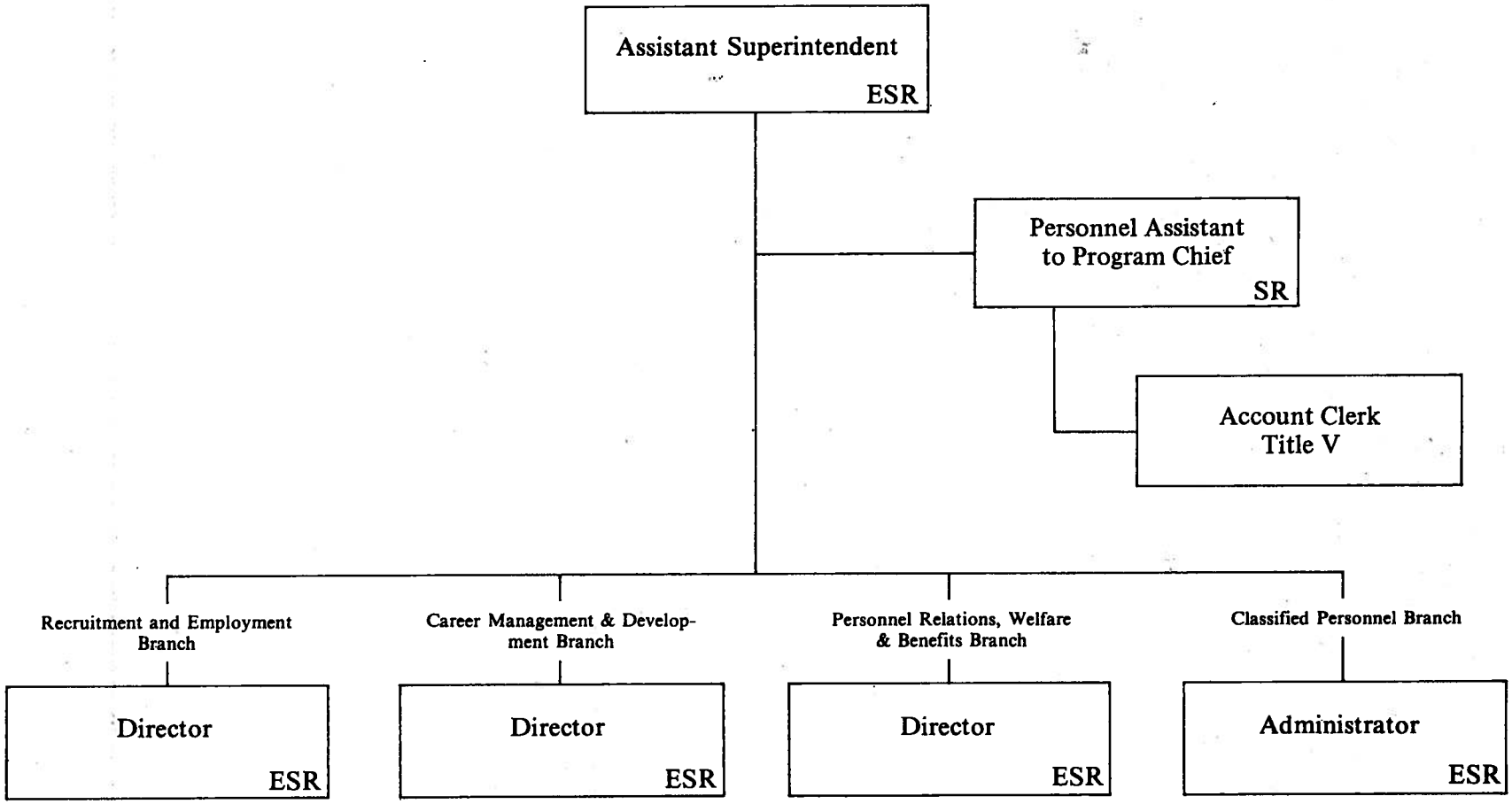
A portion of the administrator's time is devoted to what the administrator calls "public relations work." He spends an estimated six hours a week in this capacity, giving talks to groups, escorting visiting foreign educators, and establishing "good relationships" with other in-house personnel.

What is significant about the work of this section is not so much what occurs, but what does not occur. Recruitment is an important program in terms of securing competent personnel at the time needed. This means that manpower forecasting and planning are important parts of recruitment. However, this office engages in very little manpower forecasting and planning. The administrator spends a mere four hours a year preparing vacancy projections for recruitment purposes, and this task is essentially one of compiling data forwarded by each school district. These projections thus are "guesstimates" not scientifically arrived at. The only planning that occurs in this office is one of setting deadlines for transactions.

The *employment section* consists of four units. Two staff specialists II head two units apiece. The structure of this section is contained in figure 11.3.

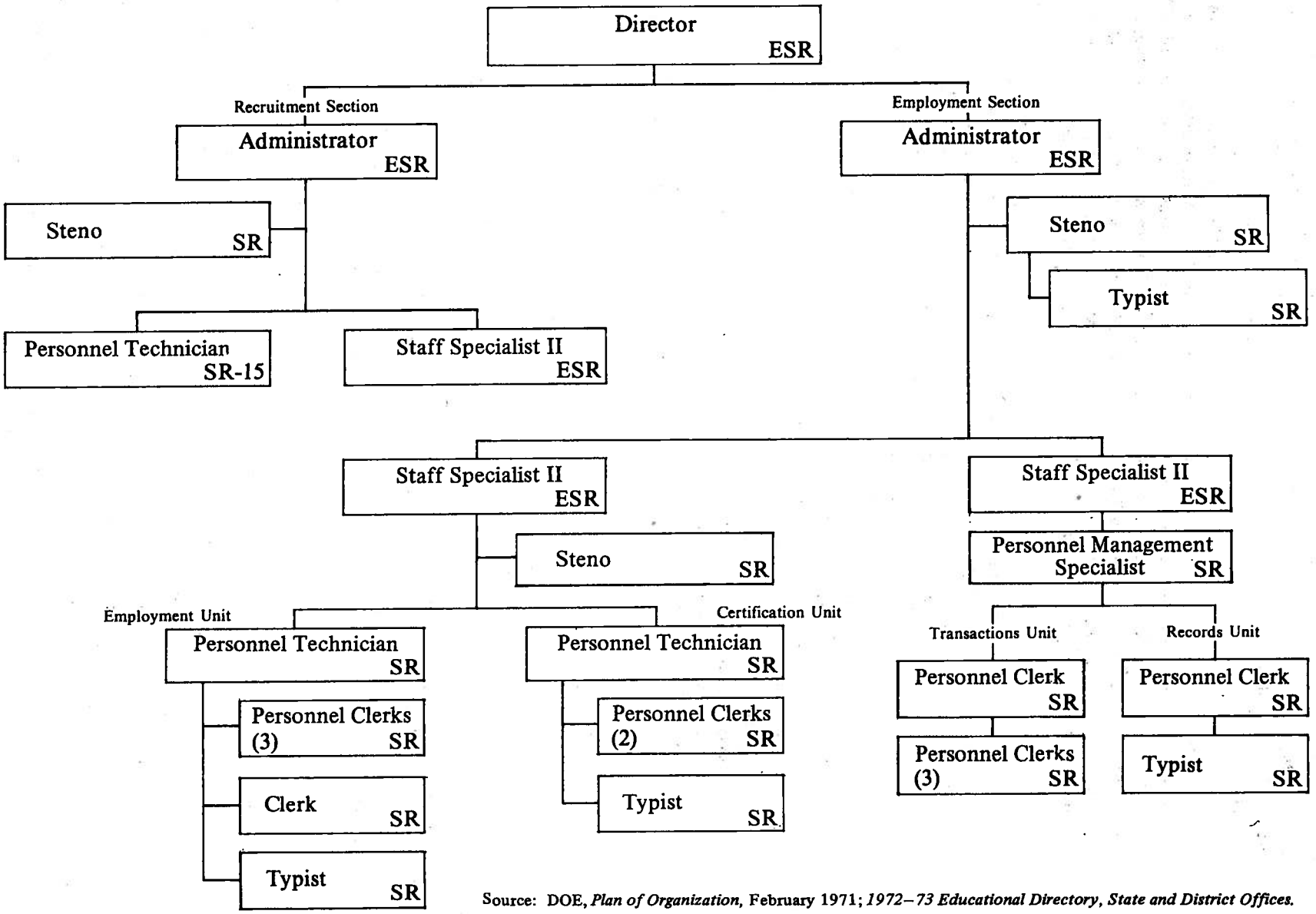
The work of this section is largely operational in character; there is only a minimal amount of work, if at all, that is related to strategic planning. The only "planning" that the administrator does is to set operational goals (i.e., establish processing deadlines). The section's four units operate well enough under the supervision of civil service employees who

Figure 11.2
Organization: Office of Personnel Services



Source: DOE, *Plan of Organization,* February 1971; *1972–73 Educational Directory, State and District Offices.*

Figure 11.3
Organization: Recruitment & Employment Branch



Source: DOE, *Plan of Organization,* February 1971; *1972–73 Educational Directory, State and District Offices.*

appear to be technically competent to handle the work required. Very little appears to be required of the administrator and the staff specialists.

The administrator spends 50 percent of his time writing memos, usually in response to inquiries from DOE personnel about certification, salary, or reclassification. He personally prepares these memos rather than delegating this task to one of the two specialists on his staff.

The two staff specialists perform tasks that are clerical and routine in nature. They prepare no reports and supervise the civil service employees only minimally. One staff specialist reviews all requests for travel and requests to fill vacant certificated personnel positions. This review consists of checking request justifications for completeness and for acceptability to the superintendent; he recommends neither approval nor disapproval of the requests. This staff specialist also serves as a "floater"; i.e., he receives special assignments directly from the branch director and serves as the unofficial office manager of the branch.

The other staff specialist's recurring duties are contract processing and salary determinations. He reviews proposed contracts for services for completeness and for conformance to rules and regulations. In salary determinations, the leg work is first performed by the classified employees of the records and transactions unit. The staff specialist reviews the worksheets prepared for completeness and submits them to the assistant superintendent of the office of personnel services, who is responsible for the recommendation of salary levels for educational officer appointees. This staff specialist does not appear to have sufficient work to do and is thus assigned special tasks from time to time by the director of the branch.

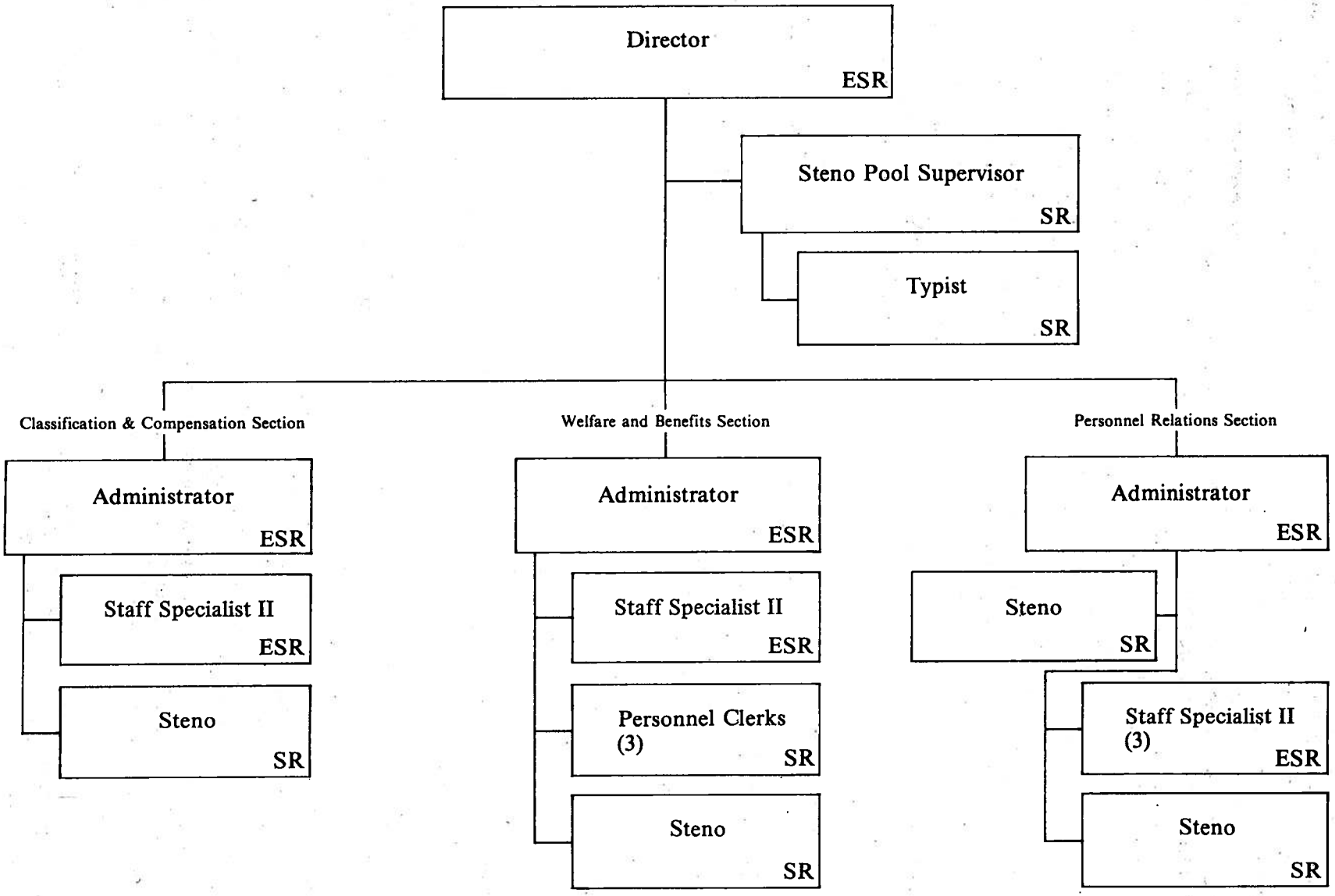
In light of the nature of the work performed, it does not appear that that the two staff specialist positions are justified. They certainly do not warrant an educational officer classification.

2. ***Personnel relations, welfare and benefits branch.*** The organizational chart for this branch is shown in figure 11.4. This branch consists of three sections: classification and compensation, welfare and benefits, and personnel relations.

The *classification and compensation section* consists of an administrator and a staff specialist, plus a stenographer. The smallness of this section attests to the lack of activity in the DOE with respect to classification of DOE employees. As pointed out in a later chapter on classification, there is much work to be done in this area, but there appears to be very little progress in that direction and there is no schedule by which the DOE intends to complete its classification work. The administrator of this section is not engaged in classification work but is primarily concerned with supporting the DOE's collective bargaining effort. Operationally, he is supervised not by the director of the branch but by the assistant superintendent of personnel services. The appropriateness of the placement of his position in this section is thus questionable. Further, there is a question as to the need for an administrator in this section, since the administrator does no work in classification and there is only one other technical position in this section—that of a staff specialist. The staff specialist reports not to the administrator but directly to the director of the personnel relations, welfare and benefits branch.

The *welfare and benefits section* consists of an administrator, one staff specialist, three civil service personnel clerks, and a stenographer. The chief function of this office is to ensure that the DOE employees receive the benefits they are entitled to as government employees. The benefits offered to state employees are dictated by statutes, the civil service system, and the terms of the contracts that are negotiated. There are thus very few decisions to be made. In essence, the work of this section is divided among the educational officers and the civil servants, with the bulk of the work being assumed by civil servants. Insufficient work load for educational officers is attested to by the fact that the staff specialist has been assigned to prepare media materials for workshop presentation, a task not related to the duties of his position. It appears that the number of educational officer positions in this section may be reduced and all work performed by civil servants without loss in the effectiveness of this section.

Figure 11.4
Organization: Personnel Relations, Welfare & Benefits Branch



Source: DOE, *Plan of Organization,* February 1971; *1972-73 Educational Directory, State and District Offices.*

The *personnel relations section* is responsible for handling employee grievances and teacher and educational officer contracts. It consists of an administrator, three staff specialists, and a couple of stenographers. It appears that the administrator does not really administer this section. The section's staff specialists are in direct contact with and receive instructions from the director of the branch much more than with and from the administrator of the section. The administrator spends nearly half of his time on matters unrelated to the affairs of the section. For example, he has spent over 25 percent of his time drafting memos for the superintendent, the deputy superintendent, the assistant superintendent of the office of personnel services, and the director of the personnel relations, welfare and benefits branch. He has also spent time preparing two documents pertaining to a proposed classification and compensation scheme for educational officers.

It is difficult to gauge the impact of collective bargaining on the functions of this office. However, we note that, in March 1972, the administrator of this section proposed to the director of the branch a realignment of the functions of the staff specialist positions.[5] Essentially as proposed and approved, one staff specialist would concentrate on teachers, another on educational officers, and the third would be used for such miscellaneous purposes as revising the personnel code; analyzing, designing, and controlling forms; accounting for printing and binding expenditures; and administering the office of personnel services' communications program. This third staff specialist was previously an administrative intern in the section, and the duties assigned to the specialist were previously performed by the other two staff specialists. This realignment of work does not appear to have been triggered by any increase in work load, but because of the addition of the third specialist. In light of the nature of the duties assigned to this third specialist and the time the administrator seems to have had under the old assignment of duties for purposes other than those of this section, there appears to be a need to reassess the work of this section to determine whether all of the educational officer positions are warranted.

3. ***Career management and development branch.*** The career management and development branch is concerned with the DOE's training program. It is divided into three sections: classified employees, teachers, and educational officers. (See figure 11.5.)

The *educational officers section* is headed by an administrator, but he has no one to supervise. There does not appear to be any justification for an administrator in this section. Compare this section with the classified section where there is only one staff specialist, who is not an administrator. In this connection, we note that the DOE policy on administrators reads as follows:[6]

> "Each administrator shall supervise and administer the various programs in his section under the direction and supervision of his respective director and shall perform all other duties assigned by his respective director."

This policy does not mention the fact that an administrator is to supervise anyone. However, the DOE policy on the duties and responsibilities of staff specialists states as follows:[7]

> "Each state program specialist and state staff specialist shall be responsible for the subject areas and programs assigned to his position and shall perform all duties assigned to him *under the supervision and direction of his respective administrator.*" (Emphasis supplied)

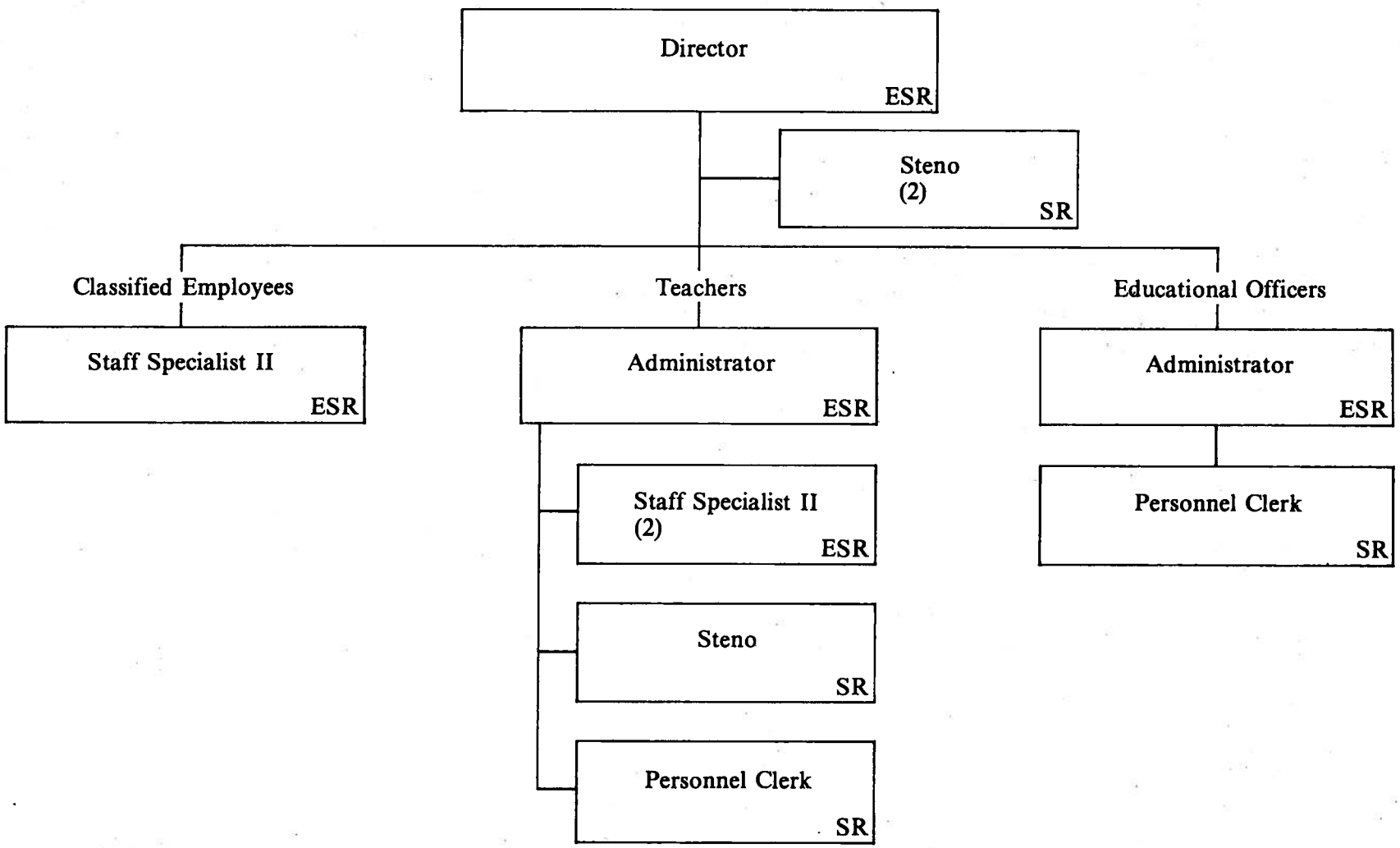
The policy on administrators read in the light of the policy on staff specialists appears to indicate that one of the duties of an administrator is to supervise staff specialists. In practice, administrators have been appointed

[5]Memo dated March 29, 1972, from the administrator, personnel relations section, to the director, personnel relations, welfare and benefits section. The proposal was approved by the director on April 5, 1972.

[6]*Department of Education Code: Policies and Regulations, Administration (1000 Series),* Policy No. 1400–23.

[7]*Ibid.* Policy No. 1400–24.

Figure 11.5
Organization: Career Management and Development Branch



Source: DOE, *Plan of Organization,* February 1971; *1972-73 Educational Directory, State and District Offices.*

invariably where there are one or more staff specialists in a section. In any event, the appointment of an administrator where there is no staff specialist to supervise discriminates against other administrators who must supervise staff specialists. The work of an administrator who has no staff specialists below him is no different in terms of level of work from that of a staff specialist. We thus do not believe that the position of administrator in this section is warranted.

We further believe that there is a need for a review of the organization of the career management and development branch in light of the sparsity of personnel required in this branch. The division of work into classified employees, teachers, and educational officers, two of them headed by administrators, makes little sense, when two of the three sections contain only one educational officer.

4. ***Classified employees branch.*** The organizational chart for the classified employees branch is shown in figure 11.6. This branch is concerned with classified civil service employee matters. The *Plan of Organization*[8] states that this branch is responsible, among other things, for developing and recommending new personnel procedures relating to classified personnel, assisting in the development of staffing guides for classified positions, reviewing and classifying all civil service exempt positions, maintaining a position accounting system for all classified positions in the department, processing payroll documents for all classified personnel, etc. Essentially the work of this branch is routine in nature, and the three sections of the branch—classification, records and transactions, and recruitment and placement—are all headed by classified civil service employees.

Yet, this branch also has a staff specialist II. The placement of this position within the classified employees branch is subject to question. The staff specialist devotes an estimated 30 percent of his time to a special project—the personnel records module, and the computerization of the office of personnel services information system. His experience as a systems analyst at the statewide information system was the basis for this assignment. We note that the DOE's information system in general is currently vested in the office of research and planning.

It is represented that the staff specialist will be assuming more supervisory responsibilities. However, the exercise of supervisory functions by this staff specialist does not appear to be warranted. There are no other staff specialists in this branch, and the classified civil service employees of the various sections appear to be highly skilled and competent in the performance of their duties. Supervisory function, if any, can be exercised directly by the administrator.

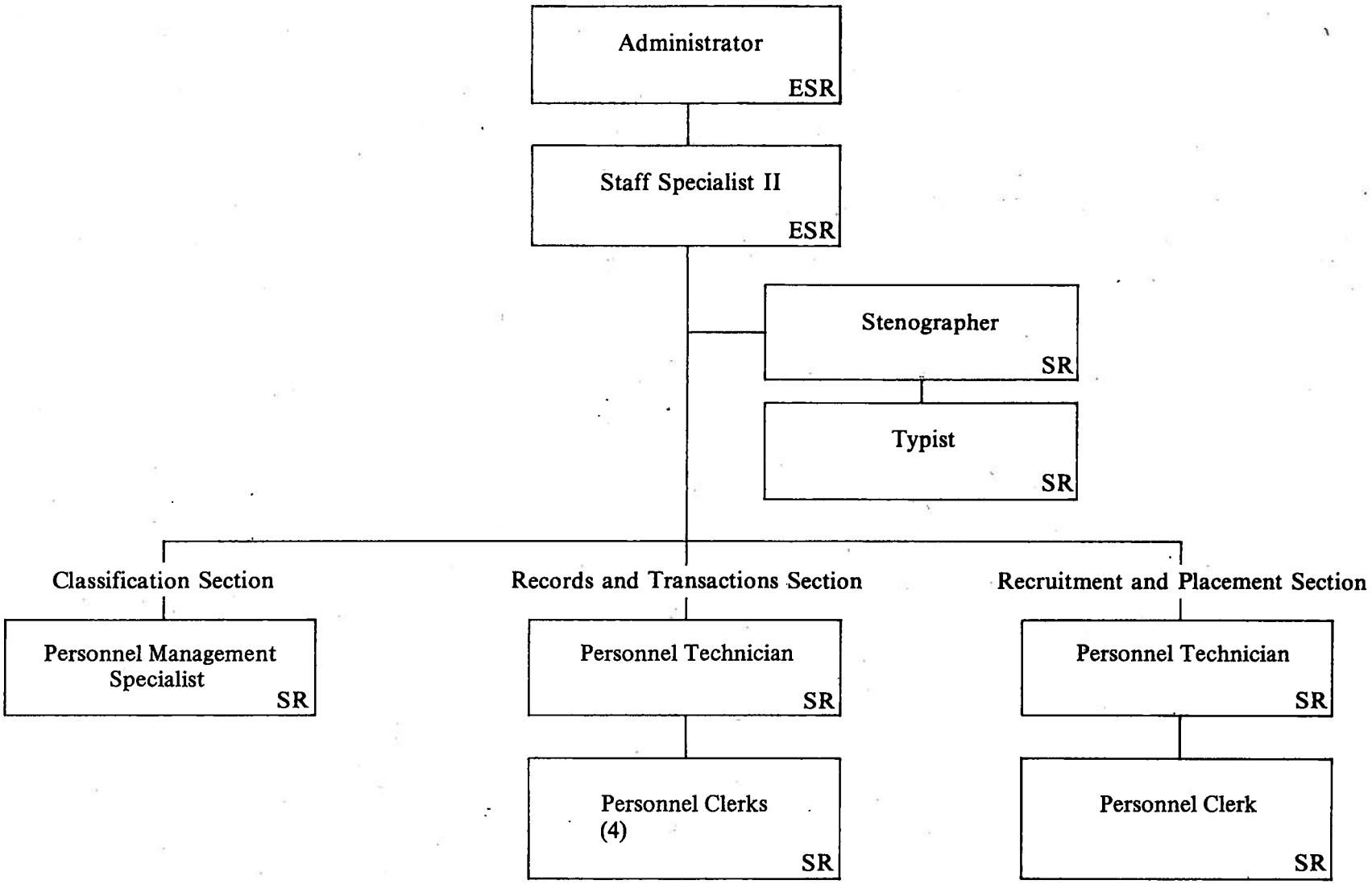
Office of business services. As in the office of personnel services, there appears to be some excess in the number of educational officers employed in this office. The organizational chart for this office is noted in figure 11.7. There are three major branches in this office: the accounting branch, the school lunch services branch, and the facilities branch. These branches are in turn divided into sections. There are two sections which apparently are not attached to any of the branches, but report directly to the assistant superintendent: the auxiliary services section and the student transportation and teacher housing section.[9]

1. ***Accounting branch.*** In the accounting branch, there are three sections: vouchering and payroll, accounting, and procurement and central distribution. The vouchering and payroll section is divided into two units: vouchering and payroll. In addition, there is one unit, the mail room, which is not attached to any section. (See figure 11.8.) The vouchering and mail room units are headed by civil service employees, but the payroll unit is headed by a staff specialist II. The vouchering and payroll section is headed by a staff specialist II, but the other two sections,

[8]DOE, *Plan of Organization,* February 1971.

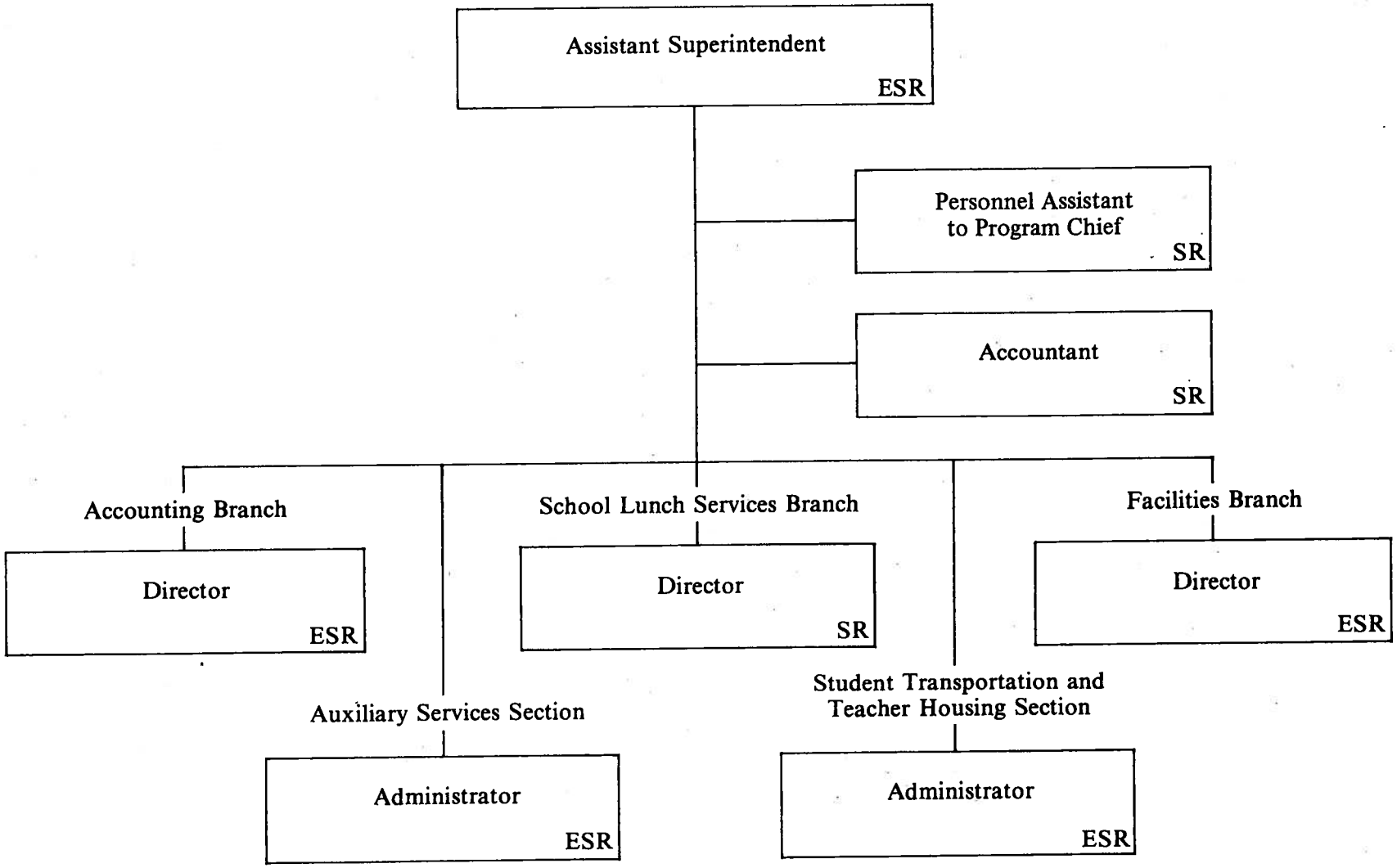
[9]The DOE, *1972–73 Educational Directory, State and District Offices,* shows the administrator for student transportation and teacher housing and the administrator for auxiliary services reporting to the director of the "Facilities and Auxiliary Services Branch." However, the DOE, *Plan of Organization,* February 1971, and the DOE, *School Code, Policies and Regulations: Administration (1000 Series),* Policy No. 1400–5, show both administrators reporting to the assistant superintendent of business affairs.

Figure 11.6
Organization: Classified Employees Branch



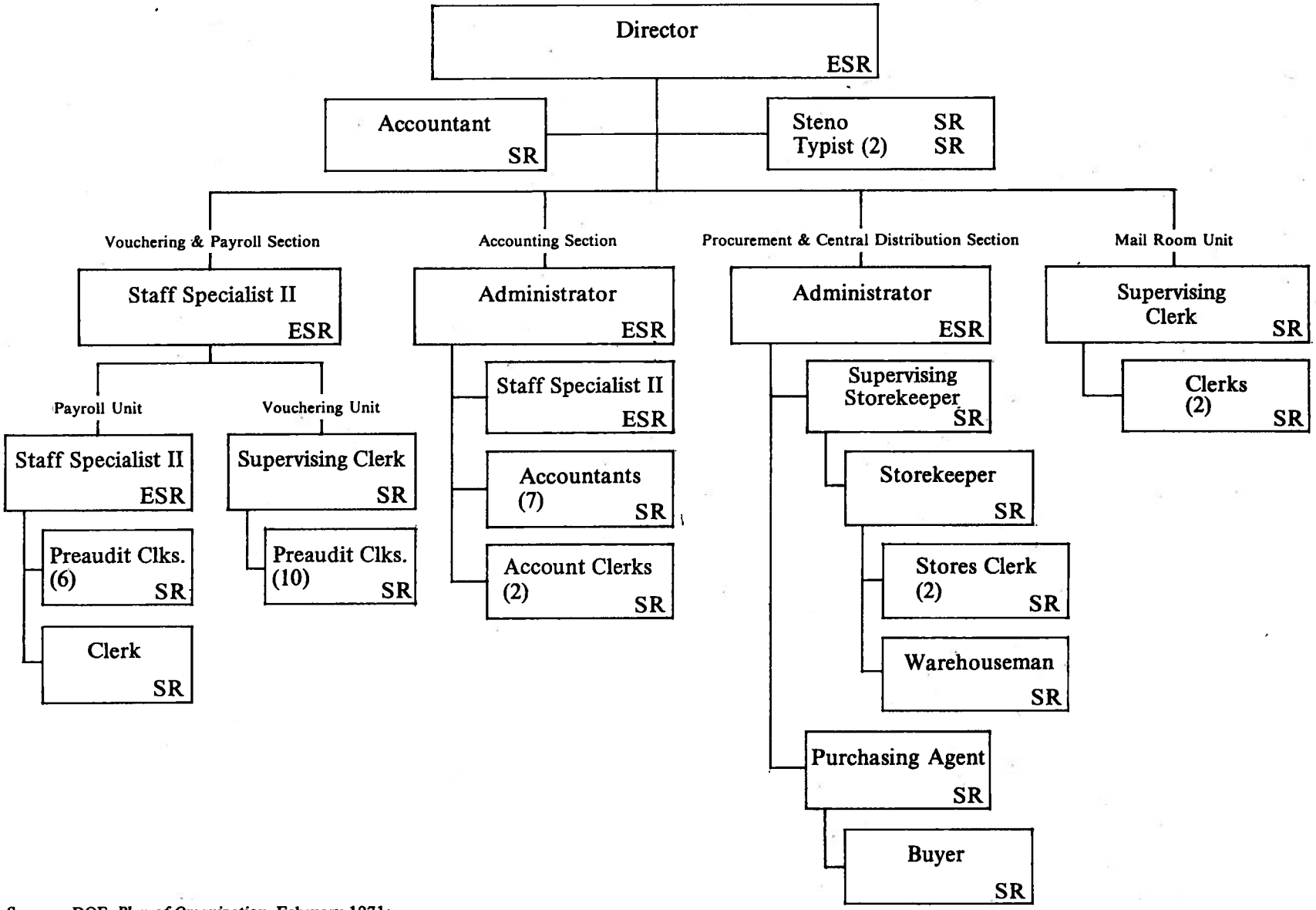
Source: DOE, *Plan of Organization,* February 1971; *1972-73 Educational Directory, State and District Offices.*

Figure 11.7
Organization: Office of Business Services



Source: DOE, *Plan of Organization,* February 1971; *1972-73 Educational Directory, State and District Offices.*

Figure 11.8
Organization: Accounting Branch



Source: DOE, *Plan of Organization*, February 1971;
1972–73 Educational Directory, State and District Offices.

accounting and procurement and central distribution, are headed by administrators. Our findings indicate as follows.

First, the need for an educational officer (staff specialist II) in the vouchering and payroll section is not apparent. The work of this section is essentially clerical and routine. A classified civil service employee can perform the tasks now being handled by a staff specialist II.

Second, the use of an educational officer (staff specialist II) to head the payroll unit is without rationale. The work of this position, in terms of work load and difficulty, is generally similar or comparable to that of the head of the vouchering unit which is headed by a classified civil service employee. They both supervise workers who perform essentially clerical and routine work. Note that the staff specialist II is receiving a salary which is equivalent to an SR–25, while the civil servant who heads the vouchering section is being paid as an SR–15.

Third, the staff specialist II position in the accounting section is in fact an accounting position. The work performed by this staff specialist II is no different from the work performed by an accountant V in the same section. The operational work load and supervisory responsibilities are divided relatively equally between these two individuals. Although the pay of the staff specialist II and the accountant V is almost the same, nevertheless, there appears to be little reason for making one position an educational officer position and the other a classified civil service position.

Fourth, the administrator's position in the procurement and distribution section is not really necessary to the operations of the section. Note the following.

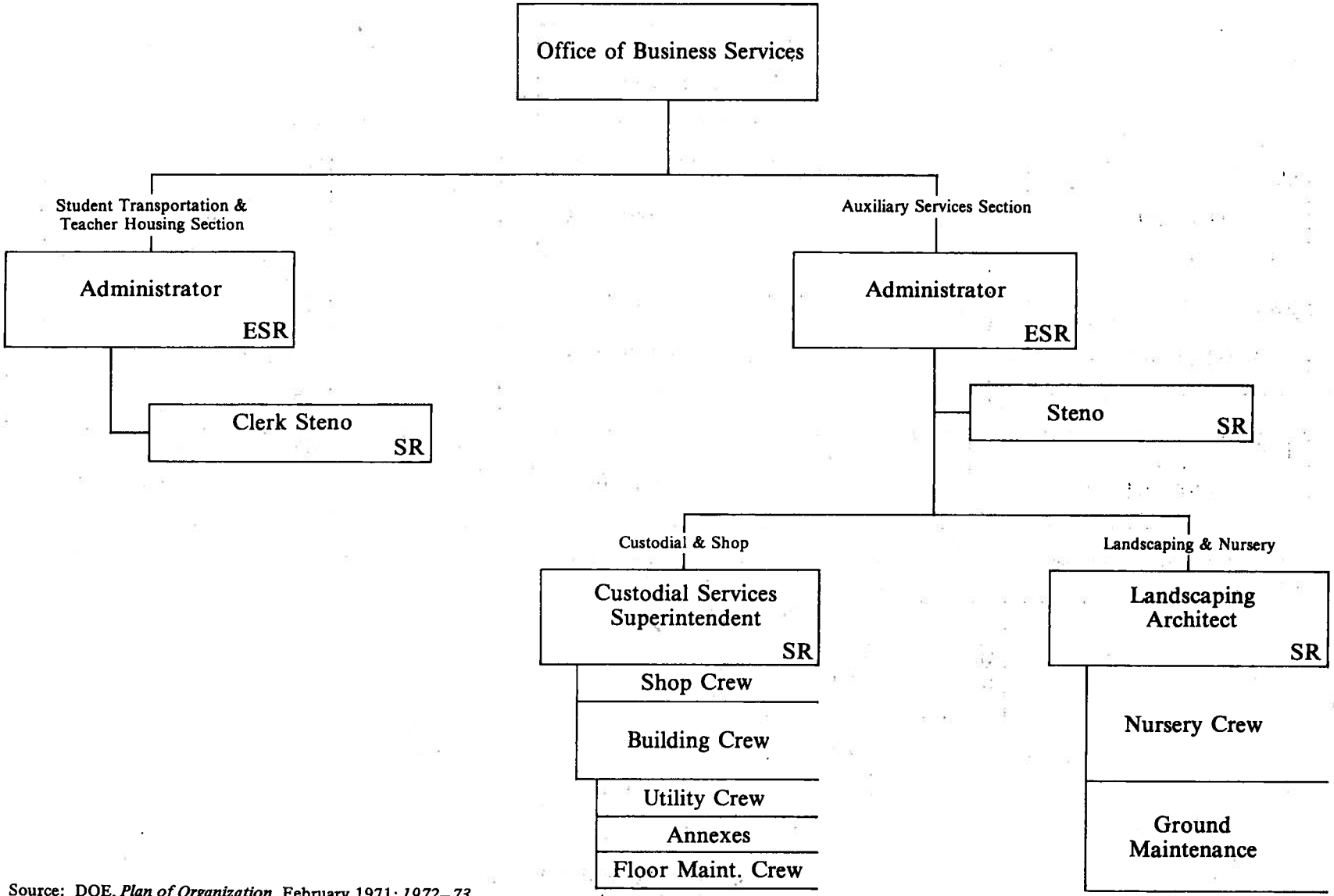
> The work of this section consists largely of processing, reviewing, and initiating forms and responding to inquiries from vendors, DAGS, and other departmental offices. These activities are routinely handled by the section's classified civil servants.
>
> The routine and highly clerical nature of the section's work load does not require extensive, high-level supervision. That level of supervision now being provided by the civil service chiefs is sufficient.
>
> Certain responsibilities which were listed in the job justification for this position (created in June 1970) have since been transferred to other units within the department. These responsibilities include the handling of lease agreements, maintaining control over property purchased from federal funds, and the establishment of equipment standards.

2. ***Student transportation and teacher housing.*** This section consists of an administrator and a clerk steno. (See figure 11.9.) We do not think that this section warrants an administrator. *First,* this section has no person whom the administrator supervises. As noted above, administrators are those who generally have supervisory functions. *Second,* the duties and responsibilities of the position do not require a high-level person. The primary function of the position is one of serving in a staff advisory and coordinating capacity. Further, the responsibilities are minimal since the responsibility for implementing and operating the student transportation program is in the department of accounting and general services and the responsibility for teacher housing is in the department of social services and housing.

3. ***Facilities branch.*** The facilities branch is divided into three sections, each headed by an administrator: CIP budget, design coordination and evaluation, and advance planning. (See figure 11.10.) We focus here on the design coordination and evaluation section.

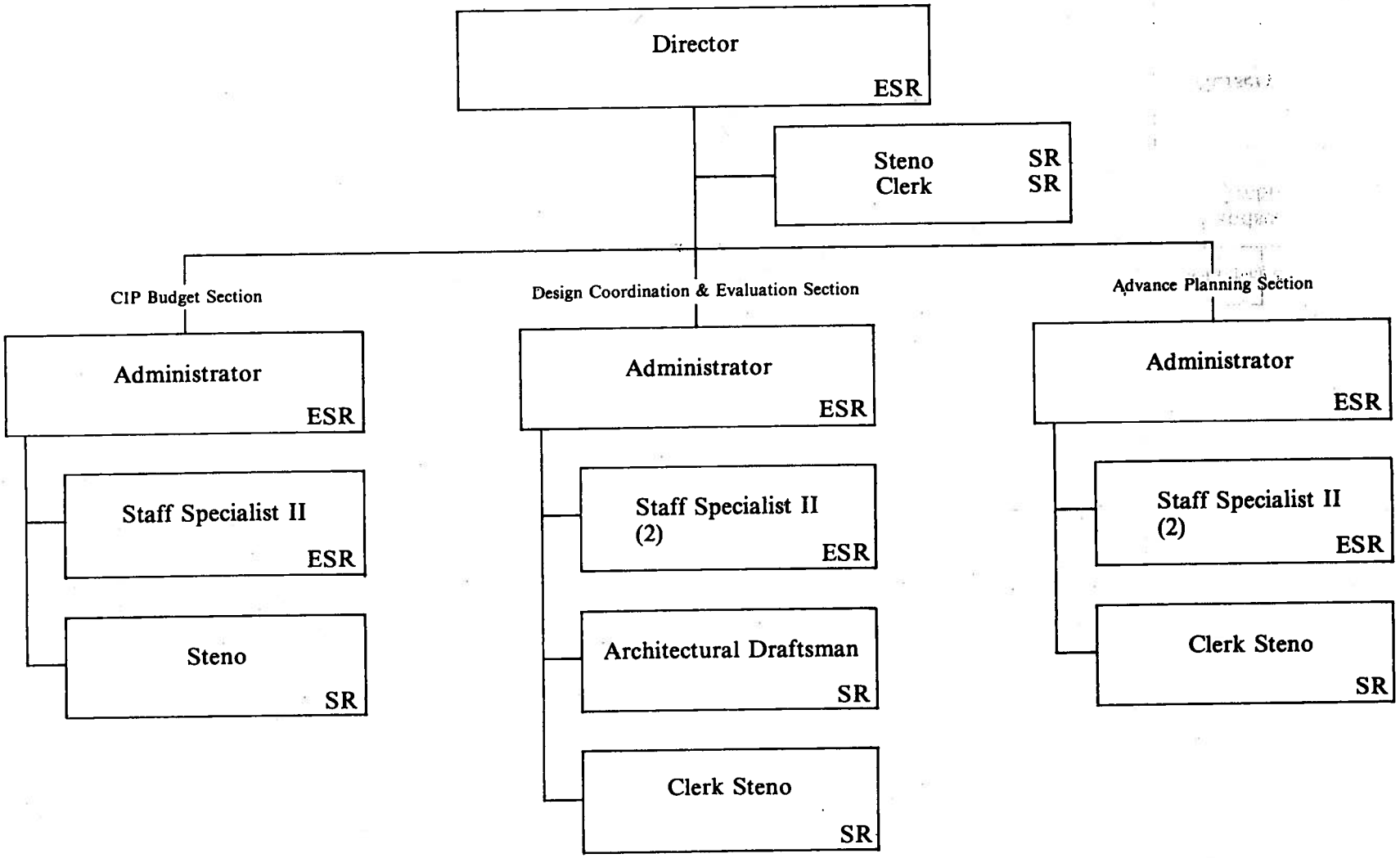
The *design coordination and evaluation section* is headed by a civil engineer. There are two staff specialists II and a classified civil service architectural draftsman, plus a clerk steno. One of the two staff specialists is an architect and the other is an educator. The work load of the staff specialist who is an educator does not appear to be commensurate with those of the other staff specialist and the administrator. A large percentage of his time is spent in a variety of projects directed by persons

Figure 11.9
Organization: Student Transportation & Teacher Housing Section & Auxiliary Services Section



Source: DOE, *Plan of Organization*, February 1971; *1972–73 Educational Directory, State and District Offices.*

Figure 11.10
Organization: Facilities Branch



Source: DOE, *Plan of Organization,* February 1971; *1972-73 Educational Directory, State and District Offices.*

other than the administrator of this section. For example, he works on projects directly under the supervision of the facilities branch chief, the assistant superintendent for business services, and occasionally the superintendent. On these projects, the staff specialist acts in the capacity of an "educational consultant." A small percentage of his time is spent on maintaining the facilities inventory file which contains information on the age, kind, number, and size of all public schools. It appears that the current incumbent of the position was hired to develop the State facilities master plan. However, this plan has not as yet been developed.

We think there is a need to re-evaluate this position. Depending on the work load of this section, either the position should be deleted, filled by a civil servant, or filled by a professional architect.

Office of research and planning. The organization of the office of research and planning is depicted in figure 11.11. As shown, this office consists of four branches: planning and research services, budget services, management services, and information systems. Unlike other offices, the various branches in the office of research and planning are not further subdivided into sections. However, there are both a director and one or more administrators in each of the branches. (See figure 11.12.)

1. ***Director–administrator positions.*** There appears to be a serious question as to the necessity of having both a director and one or more administrators in each branch. In the planning and research services branch, there is a director, an administrator, and four staff specialists II. Our examination revealed that the director performs supervisory functions over the staff, but the administrator does not, except to act as a project leader when so designated by the director. Using the administrator as a project leader enables the director to split his responsibility of supervising projects between himself and the administrator. But note that the director himself is engaged almost full-time in working on projects.

In the budget services branch, there is a director, two administrators, and one staff specialist (one administrator's position is vacant). There is no need for both a director and administrators to exist in this branch. The administrators do not supervise anyone. All supervision is rendered by the director. Indeed, functionally, the administrators are in fact budget analysts just as the staff specialist is. The only distinction is that the administrators are paid at a higher salary than the staff specialist.

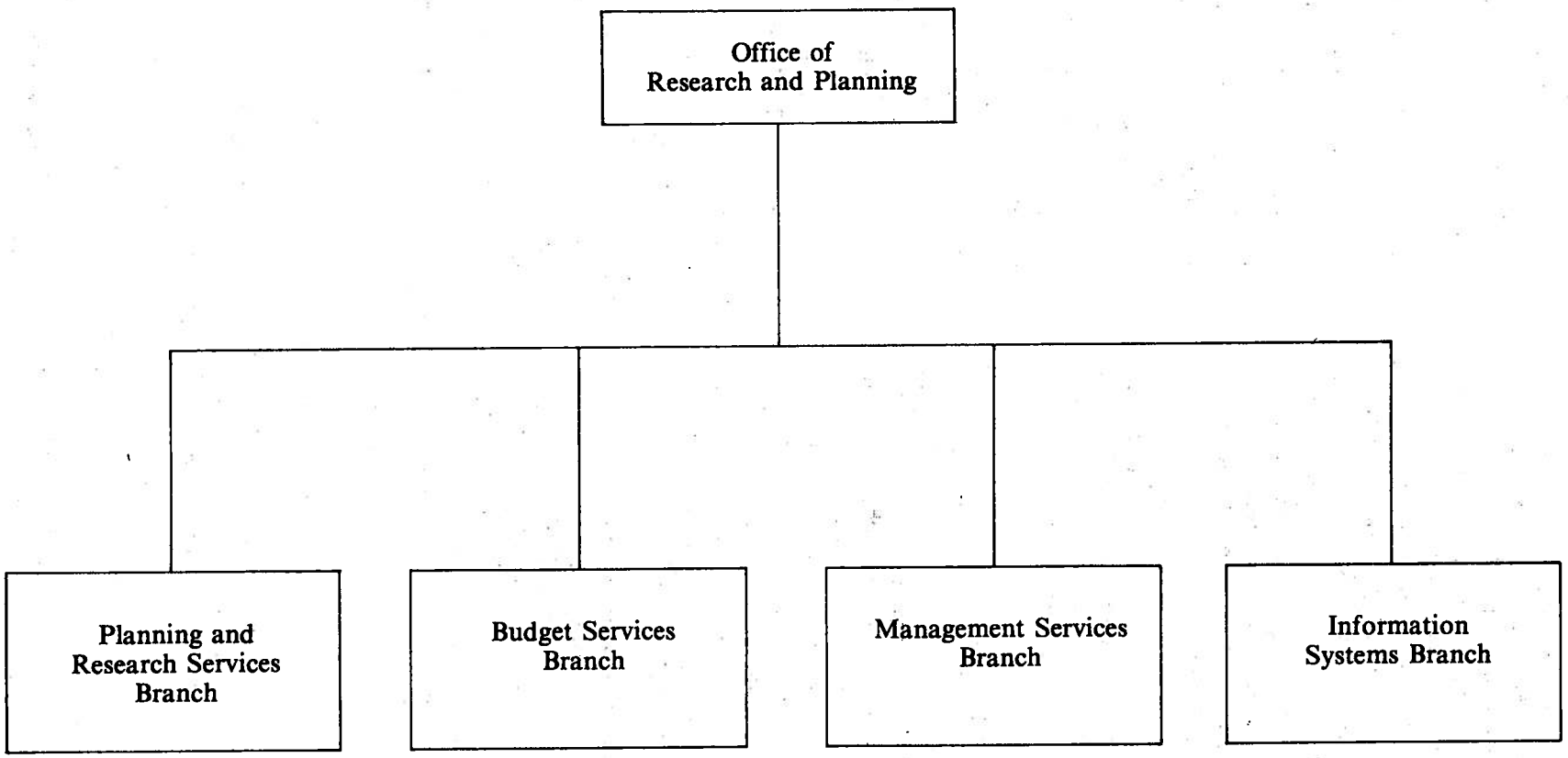
The management services branch consists of a director, two administrators and two staff specialists II. As in the other branches, there appears to be little justification for the presence of both a director and two administrators. The administrators, in the main, perform the same duties and perform the same functions as the staff specialists. There is hardly any distinction in the work performed by the administrators and the staff specialists. They all participate in projects or studies. In practice, the administrators serve as senior analysts. They become project leaders whenever a project is a team effort. They do not supervise anyone or administer any program. Further, there is no demarcation of functional or program area responsibility for each administrator.

The information systems branch consists of a director, an administrator, three staff specialists II, a statistics clerk, and a clerk. The last two positions are civil service positions. Again, there is little need for both a director and an administrator. The administrator performs no supervisory work, nor is he responsible for administering any program. Indeed, it is acknowledged that the administrator exercises direct line supervision only over one position—the branch typist.

We believe there is a need to re-evaluate the positions of administrators and directors in the office of research and planning. In each of the branches, what is probably being sought is a distinction in the ability of the various persons to handle projects of varying complexities, although, in general, they all perform the same kind of work.[10] We think that this is a classification problem which is inappropriately resolved by the use of the administrator classification. (See chapter 23 on classification.)

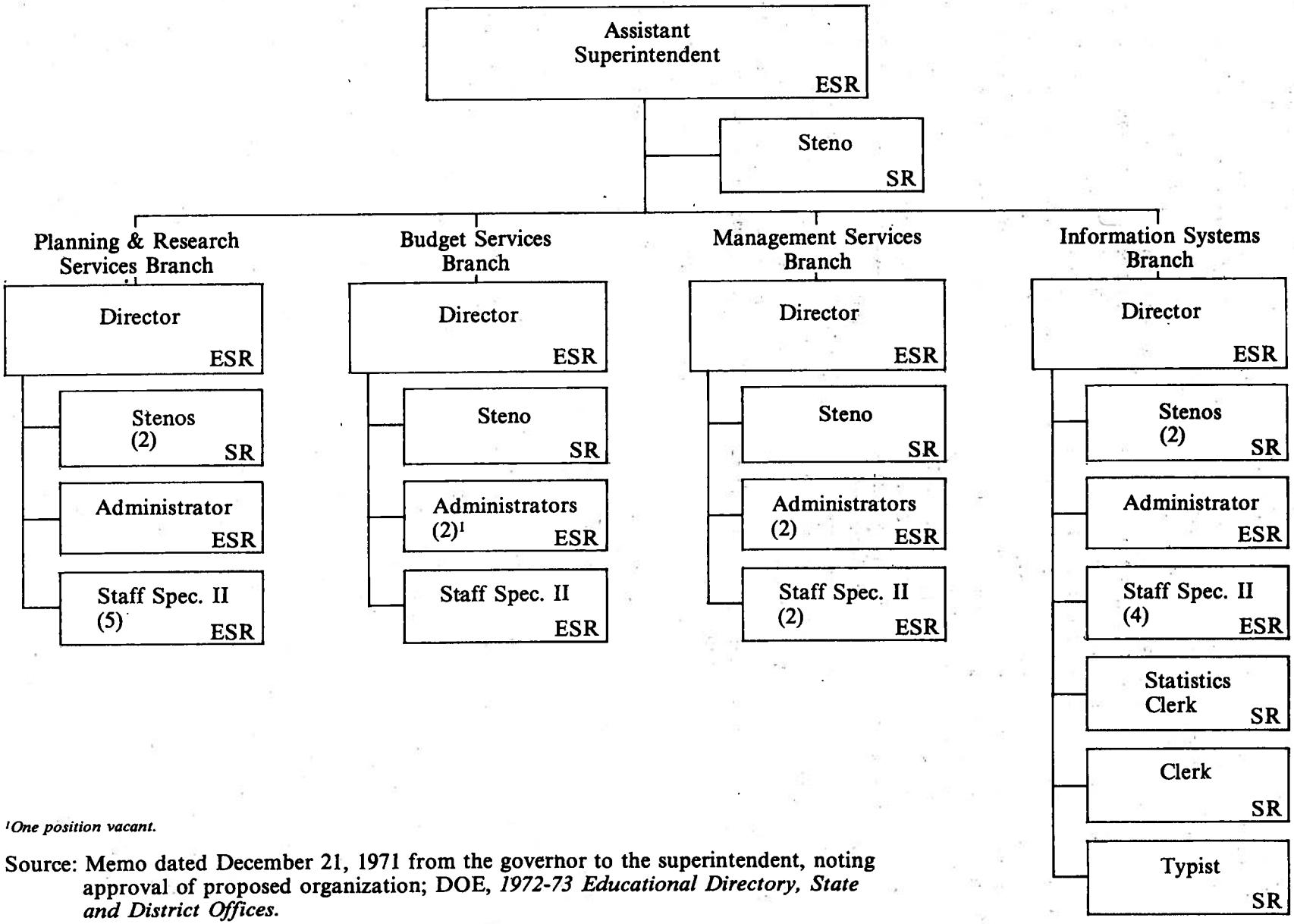
[10]That both the administrators and the staff specialists all perform the same kind of work is apparently recognized, for they are all popularly referred to within the DOE as "institutional analysts."

Figure 11.11
Organization: Office of Research and Planning



Source: Memo dated December 21, 1971, from the governor to the superintendent noting approval of the DOE's proposed organization.

Figure 11.12
Organization of Branches, Office of Research and Planning



[1]*One position vacant.*

Source: Memo dated December 21, 1971 from the governor to the superintendent, noting approval of proposed organization; DOE, *1972-73 Educational Directory, State and District Offices.*

2. ***Planning and research services branch.*** The major functions of this office are performing analytic studies and coordinating the department's planning-programming-budgeting activities. They also participate as members of task forces organized by other offices in the state office. It appears that there is a great disparity in the work load assumed by the various members of this branch. Both the director and the administrator appear to be heavily engaged in work, but two of the staff specialists on board do not appear to be producing anything of substance. The nature of the work of the branch is highly technical and professional. Yet, we find that the two staff specialists II appear to be functioning as trainees rather than as journeymen as their common titles (institutional analysts) appear to suggest. Neither has had any training in analytic work to any substantive degree and both appear to perform largely clerical work in the branch. It would appear that either these two staff specialist positions are unnecessary or the competencies of the incumbents must be rapidly raised to justify their continuing existence in the branch.

In addition to the professional staff, there are two administrative interns in the branch. Both perform essentially clerical work and assist in the various projects of the branch. The specifications for the intern positions in this branch provided that the interns are to observe and participate in the activities of the branch "for a period of one calendar year" for the purpose of being trained for future employment in the branch "on a permanent basis." We note that the provisions of these specifications are not being adhered to. *First,* both interns have been on board as interns for a period of nearly two years. *Second,* neither intern is being developed to be analysts such that they may ultimately become permanent employees in the branch. Indeed, these two interns appear to be in the same situation as the two staff specialists whose competencies to perform the work of "institutional analysts" are very much in doubt, although they are paid differently.

3. ***Management services branch.*** The management services branch is responsible for conducting audits of management practices within the DOE and undertaking special studies related to organization and management. Work is mainly project-oriented and is carried out either by a person individually or by a team, depending upon the complexity of the work. We find that work in this branch is shouldered heavily by the director. There is a wide disparity in the amount of time spent per week by the various members of this branch when compared against that of the director. Whether this is because of insufficient competency on the part of the staff members or the non-delegation of work by the director, is uncertain. We think there is a need for a review of the work load in this branch to equalize the work to the extent possible.

4. ***Information systems branch.*** It appears that this branch is currently engaged almost exclusively in coordinating and assuming the leadership role in the development and implementation of the DOE's centralized, computerized information system. The system is known in DOE parlance as the "EDCOINS" (educational contingency information systems) project. This is a federally-funded, three-year project (running from June 1, 1960 to June 1, 1973). The goal of this project as reflected in the DOE project application submitted to the federal government in May 1970 is to enable the DOE to:

> "... develop and implement a comprehensive educational informational service program that will provide accurate, timely, comprehensive, and useful data concerning pupils, staff finance, facilities, and programs to administrators at all levels–State, Districts, and Schools–for purposes of planning, evaluating, and decision-making for elementary and secondary education programs, all of which are being assisted in varying degrees by Federal funds . . . ."

The work of this branch is highly technical in nature. Yet, it has on its staff a staff specialist who has had no training or work experience in information systems or in computer systems but who was a classroom teacher for many years. In addition, we find that this branch is improperly utilizing an administrative intern assigned to the branch. The intern is apparently used as the "leg

man" for the branch and is handling routine work which could and should be handled by one of the clerical persons in the branch. This intern has had no real projects to handle and has spent much of his time xeroxing, collating papers, and assisting in the preparation of legislative presentations. There is a need to re-evaluate the work assignment of this intern, if the purpose of the internship is to be realized.

Office of instructional services. The organization of the office of instructional services is noted in figure 11.13. This office's work is carried on by four branches: general education, special education, special programs, and curriculum development and technology. Each branch is headed by a director. In addition, there are two other directors in the office of the assistant superintendent: the director of administrative services and the director of federal programs.

1. ***Roles and duties of program specialists.*** The specific roles and responsibilities of program specialists in the department of education are not clear at this time. The origin of program specialists appear to date back as early as 1947. However, the current conception about program specialists probably stems from the June 30, 1957 *Odell Survey Report* which recommended that

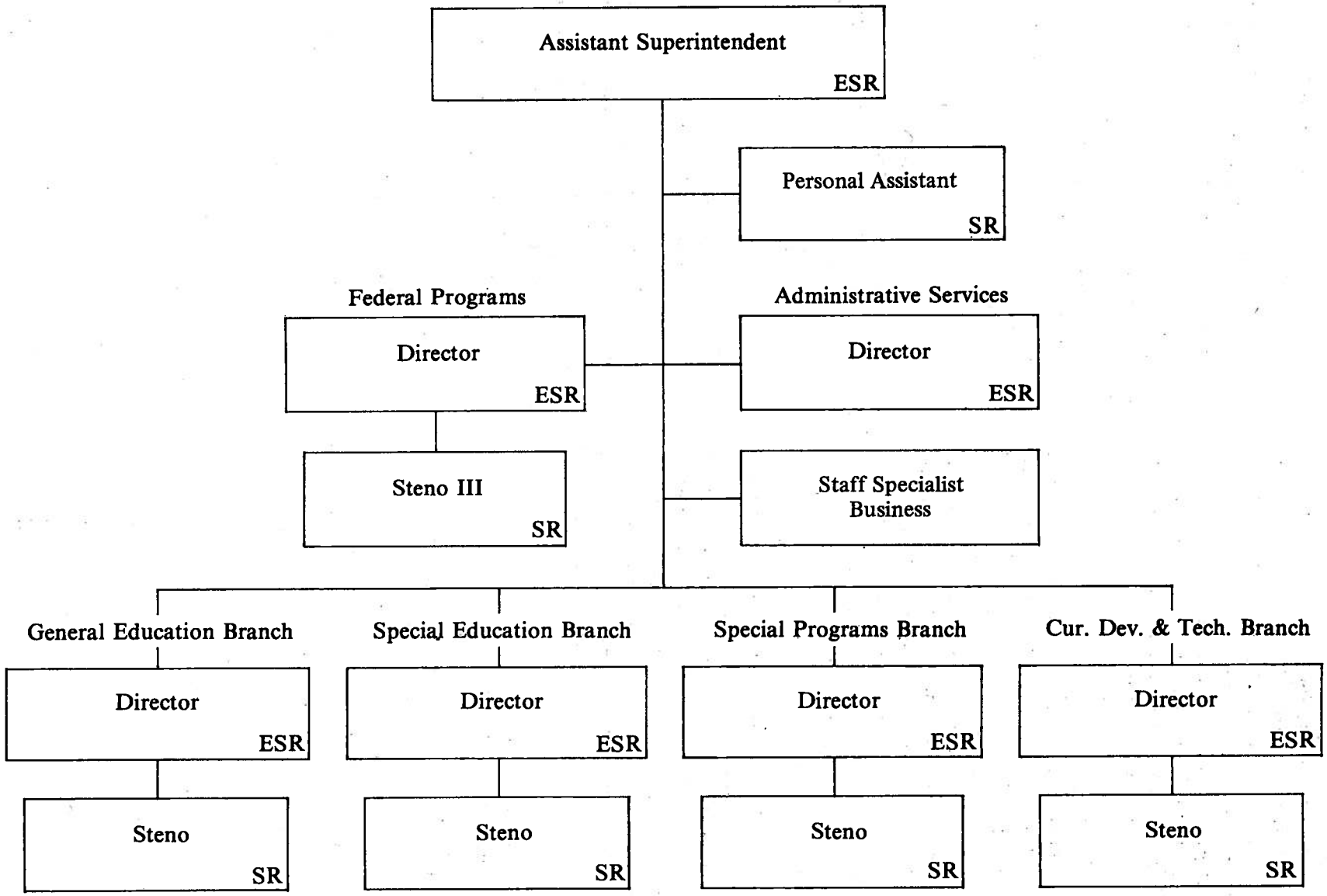
> "... In the Division of Elementary and Secondary Education there should be a panel of consultants for the various curriculum areas in *general* education. While the specific specialities to be represented on the panel would vary from time to time as the needs of the Territory change, it is recommended that the basic panel *include a consultant in each of the following curriculum areas:*
>
> Arts
> Health
> Foreign Language
> Language Arts
> Mathematics
> Music
> Physical Education and Recreation
> Science
> Social Studies
>
> "... In the Division of Post-secondary Education there should be a panel of consultants for the various curriculum areas in *vocational education:* trade and industrial, agricultural, home economics, commercial, etc."

Although the purpose and roles and responsibilities of the "consultants" were not clearly and specifically stated in the Odell study, a DOE regulation, originally adopted in July 1960 and amended in February 1967, stated in rather precise terms the duties and responsibilities of a program specialist as follows (among others):[11]

- "Furnish technical guidance in the promotion, establishment, and development of a sound, well-balanced state-wide program within his curriculum area. He shall take leadership in establishing objectives, long-range plans, program standards, and teacher certification requirements in the curriculum area . . . ."
- "Exercise general supervision over his program (kindergarten through adult education) through conferences and written communications with administrative and supervisory staff of the state and district offices, and with principals. . . . He may provide consultant service to teachers where this is appropriate."
- "Encourage professional advancement of teachers and other personnel through in-service education activities, such as conferences, workshops, professional organizations, and university courses."

[11] *Department of Education Code, Policies and Regulations: Instructions (2000 Series),* 1970, Regulation No. 2141.

Figure 11.13
Organization: Office of Instructional Services



Source: DOE, *Plan of Organization,* February 1971; *1972-73 Educational Directory, State and District Offices.*

- "Prepare and distribute such professional materials and aids to instruction as will promote and improve the work in his curriculum area."

- "Organize and supervise research studies and experimental situations that will result in more effective teaching."

- "Keep abreast of new educational developments in his curriculum area. He shall review and recommend professional references and materials. He shall be able to recommend suitable equipment, supplies, textbooks, and other audio-visual materials for classroom use."

- "Develop criteria and procedures for evaluating his program. He shall conduct an evaluation of all phases of his work regularly."

This regulation clearly emphasized curriculum development and improvement as the primary responsibilities of program specialists. The regulation, however, is no longer in effect. Currently, only a policy remains in existence for program specialists. The policy reads:

> "Each state program specialist and state staff specialist shall be responsible for the subject areas and programs assigned to his position and shall perform all duties assigned to him under the supervision and direction of his respective administrator."[12]

In the absence of a regulation defining more specifically the duties and responsibilities of program specialists, we reviewed a variety of documents such as position descriptions, position minimum qualifications, and vacancy announcements, and conducted personal interviews to determine what the program specialists actually do. Our findings revealed as follows.

There is a variety of program specialists, performing differing duties and responsibilities. Among the different kinds of program specialists are the following:

- Program specialists who specialize in particular curriculum areas and whose work consists primarily of reviewing curriculum, seeking improvements to curriculum, writing program guides, preparing resource materials, and assisting in or actually conducting in-service training programs for teachers in the curriculum area. Examples are the program specialists in social studies and language arts.

- Program specialists who specialize in particular curriculum areas whose work consists primarily of assisting schools and teachers in the *implementation* of state programs. These program specialists may revise curriculum, seek improvements to current curriculum, and write program guides, but because their subject matter areas are not as dynamic as those of others (such as social studies and language arts) they spend most of their time in direct contact with schools. In effect, they function more like curriculum specialists at the district level. Examples are the program specialists in industrial arts, home economics, business education, and agriculture.

- Specialists who are assigned to the curriculum development and technology branch to work on the development of a completely new program—i.e., the Hawaii English program. They, in essence, work on a project of a long duration, but have no responsibility for a program area as a whole.

[12] *Department of Education Code, Policies and Regulations: Administration (1000 Series)*, 1971 edition, Policy No. 1400–24.

- Program specialists in particular curriculum areas whose work consists mainly of instructing. Examples are the program specialists for the artmobile program and for the civil defense program.

- Program specialists in particular curriculum areas whose work consists mainly of serving as coordinators of activities. Examples are the program specialists in athletics, driver education, and student activities.

- Program specialists who concentrate on target populations and who develop, administer, or coordinate programs related to the target population. Examples are the program specialists in compensatory education, the program specialists for the mentally and physically handicapped, and the program specialists for adult education.

- Program specialists whose work consists of developing and demonstrating the use of resource aids and materials such as audio-visuals, graphics, etc. An example is the program specialist for instructional materials service in the special education projects section.

In light of these differing kinds of program specialists, it is no wonder that a common description of the program specialist positions as a whole has not been formulated by the DOE. We believe that the various kinds of program specialists should be distinguished and their respective roles and responsibilities clarified. This cannot, however, come about unless the DOE proceeds to establish a proper classification system for all of its employees.[13]

In this connection, we note that it is often said that the office of instructional services serves as staff to the superintendent of education and that it has no line responsibility over districts and schools. We note first that this staff–line concept has been little understood by people in the office of instructional services and perhaps even by others in the DOE. The term "staff" has been construed by many in the DOE to mean no direct contact with districts and schools. This is a misconstruction of the notion of "staff." The term "staff" means *"advisory"* and "line" means *authority* over those below. These definitions say nothing about whether *contact* should or should not be maintained with those at the lower levels of the organizational hierarchy. To define "staff" to mean *no line contact* is not only a misconstruction of the "staff" concept, but is managerially impossible to apply. Even in doing advisory work, there is need for and there should be communication up and down. Without a feel of the pulse of those at the lower levels of the organization and without knowledge of what is occurring below, it is difficult, if not impossible, for the staff at the top level of the organization to perform their functions properly. Probably because of this, this conception that there should be no contact with the field has not been universally adhered to by those in the office of instructional services. For example, those program specialists in the vocational–technical area are in almost constant touch with schools. One reason for this is the lack of curriculum specialists in the vocational–technical area at the district level. Another reason is that without such direct relationship with schools, some program specialists have, in comparison to others, little to do in terms of reviewing programs, developing program options, and preparing instructional and resource materials.

2. ***Office of the assistant superintendent.*** The assistant superintendent for instructional services has within his office two educational officers whose titles are "directors." One is a director of administrative services and the other a director of federal programs. Both directors perform high-level duties.

The director of federal programs provides technical assistance to others directly involved in specific federal programs. He renders administrative services such as establishing guidelines, preparing and reviewing reports and proposals, and coordinating all matters related to federal programs. He appears to be fully occupied in his tasks.

[13] See chapter 23 on classification.

The director of administrative services functions in the capacity of a "deputy" to the assistant superintendent. When the position was initially created it was intended that the occupant of the position would handle and provide administrative services in business and budget matters for the office of instructional services. However, business and budget matters are in fact handled in the main by a staff specialist assigned to the director, and the director spends most of his time managing the operational aspects of the office of instructional services. In addition, during vacancies in the positions of the director of special programs and the director of special education, he has filled the gap temporarily. It appears that the director of administrative services is more than fully occupied in performing his tasks.

3. ***General education branch.*** The general education branch, headed by a director, is divided into three sections: general curricula "A," general curricula "B," and vocational-technical curriculum. (See figure 11.14.) Each section is headed by an administrator. Before examining the operations of each section separately, we note two problems relating to the general education branch as a whole. They are: the general organization of the branch and the branch's review process.

a. ***Organization of the general education branch.*** As noted in figure 11.14, the basic units of the general education branch are the program specialists concerned with specific subject matter areas or specific activities. This method of "building" the general education branch presents the following problems.

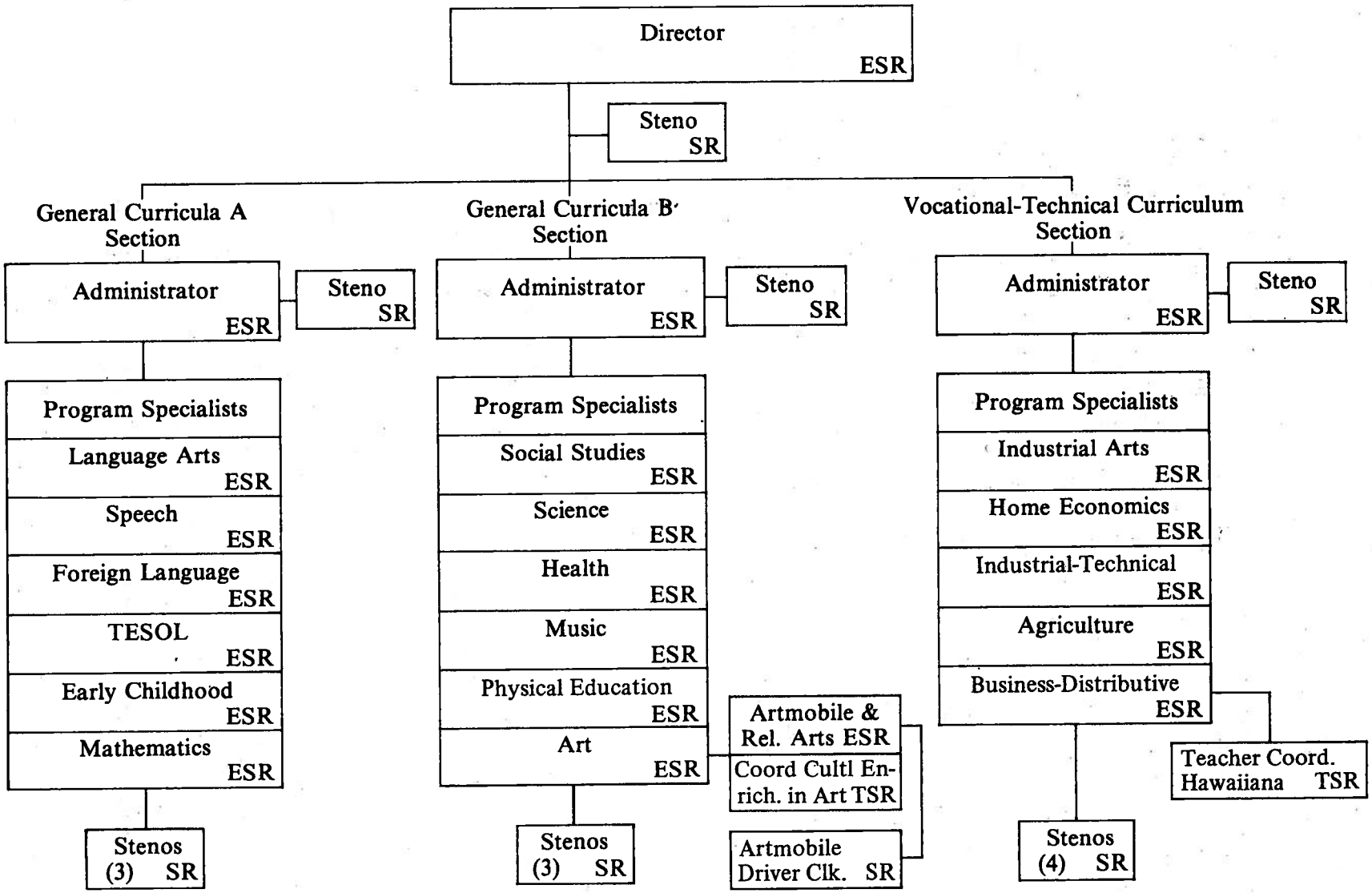
1) ***The problems.*** *First,* this method provides an incentive to the DOE to keep adding new bodies to the general education branch. A precedent has been set for creating new program specialist positions as new programs or activities are developed and implemented to any appreciable degree. Witness the establishment of program specialist positions not only for such traditional curriculum areas as language arts, social studies, science, and math, but also for artmobile, HEP, and driver education.

Second, the creation of separate program specialist positions for each curriculum area and set of activities fosters the establishment of rigid enclaves, making coordination across discipline and activity lines difficult, particularly after the program specialists have become accustomed to their narrow surroundings. This is one reason why, under the present organizational scheme, demands for additional program specialist positions are made as new curriculum areas and new sets of activities become implemented. The flexibility to accommodate new programs and activities within the existing units is effectively denied. This rigidity along curriculum lines is also a reason why it appears that the director of the general education branch and to some extent the administrators of the various sections are so occupied with work. For example, it appears that the director and administrators are heavily involved in defining and shaping such programs as 3 on 2 and individualization which cut across curriculum lines. There is little opportunity under the current manner of organizing the branch for work of this nature to be effectively assigned to the various program specialists. The program specialists are so accustomed to viewing narrow program areas that it is difficult for many of them to undertake tasks which cross multi-disciplinary lines. Yet, it appears that, more and more, multi-disciplinary issues are surfacing which require analysis and resolution.

Note, that the preoccupation of the directors and administrators in these multi-disciplinary areas is at the expense of properly supervising the work of program specialists in their assigned subject matter areas. The attention required in these cross-discipline areas diminishes the amount of time the directors and administrators can devote to properly lead the program specialists in their specialty areas and thus reduces the ability of the directors and administrators to discharge their primary functions of ensuring the proper execution of work *throughout* the branches and sections.

Third, the building of the general education branch around curriculum and activity units puts a premium on selecting the right person for the right job. In recent years, the program specialists have been expected to be able to analyze their respective program areas through the use of analytic techniques at which only a few are truly adept. A mistake in appointment is likely to be disastrous from the standpoint of production in a given program area, particularly

Figure 11:14
Organization: General Education Branch



Source: DOE, *Plan of Organization,* February 1971; *1972-73 Educational Directory, State and District Offices.*

under the present practice of appointing only one program specialist to each curriculum or activity area.

2) ***Need for a review.*** The foregoing leads us to believe that a review of the manner in which the general education branch is organized is in order. This review must necessarily start with a clear identification and articulation of the missions of this branch. It also means that the review must take into account the missions of the districts, the role of the district curriculum specialists, and the missions and role of the curriculum development and technology branch in matters of curriculum.

In this connection, we note that the DOE in March 1968 issued a report (based on a study which it conducted) entitled, *Toward a General Plan for Public Education in Hawaii.*

One of the ideas advanced by the *General Plan* is the exercise of curriculum review and formulation functions not by program specialists but by curriculum commissions. As described in the *General Plan,* each commission is to consist of specialists in the curriculum area that is under examination. These specialists are to be drawn from the district and school levels and from outside the DOE. The report distinguishes between curriculum formulation that is capable of immediate implementation and those that require extensive research and development and designing. The role of the commission is to review the ongoing programs, determine needs, consider new developments in the field, analyze program options readily available here and nationally, and recommend program changes that can be implemented quickly. It may also recommend that a curriculum area be completely redone to suit the pupils of Hawaii. Those programs that require such extensive research and development[14] are to be contracted out to some other agency under specifications written by the DOE.

The realization of the "ideal" state described in the *General Plan* may be some years away. However, the concepts advanced by the *General Plan* merit serious considerations and there are steps which can be taken presently which may eventually lead to that ideal state.

We are of the opinion that at least the following steps should be taken within a reasonable period of time:

- Clarify the missions of the general education branch, the districts, the schools, and the curriculum development and technology branch with respect to curriculum review and formulation. In this effort, the distinction between curriculum "planning" and "implementation" must be clearly drawn and roles and responsibility in planning and implementation made crystal clear. (See our chapters on curriculum management.)

- Reorganize the present general education branch so that the basic unit for organizational purposes is less oriented towards curriculum areas and activities. What needs to be injected is the concept of a "pool" of program specialists who possess leadership capabilities and represent varied backgrounds. The slotting of program specialists into particular curriculum areas should be kept to a minimum. Most of the program specialists should be capable of moving from one curriculum area to another.

- Provide for curriculum review and formulation and for curriculum guide development by groups of people with expertise in the area drawn from the state office, the districts, the schools, and as necessary from outside the DOE. The program specialists should provide the leadership and the technical support necessary for the performance of the work of such curriculum groups. Such curriculum groups are not expected to be continuous bodies but are to be convened on a periodic basis.

The above suggestions are intended to accomplish the following. *First,* to place curriculum development responsibility in the

[14]The Hawaii English program would qualify as requiring heavy research and development under the definition of the *General Plan.*

office of instructional services at the state office. *Second,* to provide for a participatory role in the districts and schools in the formulation of such state programs. *Third,* to enable programs and curriculum guides to be fashioned not by a single person but through the combination of the skills and talents of several persons. In light of the current dynamic and changing nature of curriculum, it is virtually an impossible task for a single person to keep abreast with developments in any particular field. *Fourth,* to place curriculum development functions in the districts and schools.[15]

b. ***Review process.*** There appears to be an excessive amount of review work being conducted in this branch. Under current practices, all written materials of various kinds including guides, instructional materials, general information to the field, program reports, replies to inquiries, and requests for actions are subject to successive review by the following: the section administrator, the branch director, the director of administrative services, and the assistant superintendent. In addition, papers and documents on curriculum programs are subject to review by a panel convened by the director of administrative services. The panel is usually composed of directors and administrators in the office of instructional services and is convened for the purpose of securing the panel's reactions to the papers and documents.

Not every paper and document is given an extensive review at each level of the review process. Further, apparently, the director of administrative services is authorized to take final action in behalf of the assistant superintendent on matters that are essentially administrative and routine. Nevertheless, all papers and documents emanating from the various units in the branch must flow through the process described above.

We think there is a need for a re-evaluation of this review process. As it is now, a paper or document is handled numerous times before it exits from the office of instructional services. The need for a more efficient system is particularly important here, since the general education branch probably generates the bulk of the papers and documents that flow from the state office. Apparently, this review process was devised as a mechanism of "control." We think the need for this control should be carefully examined. If the control mechanism has been installed because those at the upper levels have insufficient confidence in the quality of work performed by those below, there is probably a need for an upgrading of the skills of those who generate these papers and documents or for assigning the tasks of generating papers and documents to someone else. In designing an efficient system for review, we suggest that the various kinds of papers and documents be first categorized into classes according to the kind and level of decision required. Then, appropriate guidelines should be established to enable those at the intermediate levels to make decisions with respect to those kinds of papers and documents which are not subject to further review.

c. ***General curricula "A" section.*** The general curricula "A" section is headed by an administrator and consists of six program specialists and four stenographers. The administrator of this section appears to be assuming more than her share of work. In addition to her duties as an administrator, she is carrying on the functions of the program specialists for speech and mathematics. The mathematics program specialist position is currently vacant. The speech program specialist is devoting his full time to the installation of the Hawaii English program. Moreover, the administrator has been assigned to work on the early childhood education study and the 3 on 2 program. There is a specialist for early childhood education; however, this specialist, too, appears to be heavily engaged in work.

What all this means, of course, is that the present organizational scheme apparently does not permit the sharing of the burdens of this section by all program specialists. We think there is a need for spreading the work of the section over a larger number of persons.

The case of the program specialist for speech devoting full time to the installation of the Hawaii English program appears to present an incongruity. *First,* his assignment to the installation of the Hawaii English program places an additional burden on the administrator.

[15]For further comments on roles and responsibility of the state office, the districts, and the schools in curriculum development and implementation, see part iv.

Second, the role of the program specialist for language arts in HEP is unclear. The Hawaii English program is a language arts program. *Third,* why the program specialist for speech was brought into the general education branch is obscure. He came to the general education branch from the Hawaii curriculum center which is also concerned with the installation of HEP. In effect, it appears that he came to the general education branch only to continue what he was doing while at the Hawaii curriculum center.

There appears to be no continuing need for the program specialist position for the TESOL program. The TESOL program is intended to teach English to speakers of other languages and its clientele are immigrant students. This position was created for the purpose of designing the TESOL program. The design has been completed and the program specialist is spending most of his time in the field, ostensibly evaluating the program. We do not believe that this position should continue indefinitely. Since the design has been completed, plans should be formulated for the transfer of the functions of administering this program to either the program specialist for foreign languages or the program specialist for language arts. Indeed, prior to the creation of the program specialist position for TESOL, the program was a part of the responsibilities of the program specialist for foreign languages.

d. ***General curricula "B" section.*** The general curricula "B" section consists of an administrator, seven program specialists, one teacher coordinator for the artists in the school program, one artmobile driver-clerk, and four stenographers.

The administrator of this section, like the administrator of the "A" section, spends a great deal of her time on special projects. Indeed, as indicated earlier, the administrators of both sections and the director of the general education branch spend a lot of time on special projects.

An examination of this section revealed that not all specialists have an equal amount of work to perform. The nature of the work of some of the curriculum areas is such that a relatively light work load is inevitable.

The inequality in the amount of work required to be performed by the various program specialists is illustrated by the case of the program specialist for science. Apparently, science is not a subject matter which requires as much resource gathering and materials preparation as other subject matter areas such as language arts and social studies. Because of the relatively light demand in science, the program specialist for science performs work not directly connected with science. He is on special projects relating to the planning-programming-budgeting system and the foundation program. We do not think that this is a misuse of the program specialist since the work he performs, although not related to science, is in the area of curriculum. However, there are other program specialists who do not appear to have much work to do in their respective areas. In light of the heavy work load apparently being carried by others in the section and in the branch, some means must be found to permit these program specialists to share more of the burden in curriculum.

In the art program, there are in effect three professionals. One is a program specialist for the curriculum area as a whole, one is a program specialist in charge of the artmobile program, and one is a teacher coordinator of the artists in the school program. We do not believe that a program specialist position for the artmobile program is warranted. *First,* the nature of the work of this program specialist is essentially teaching in schools and is activity-oriented. It is quite unlike the work of other program specialists who are in charge of total curriculum areas. *Second,* this program specialist reports not to the administrator but to the art program specialist. *Third,* the level of work of this program specialist position appears to differ little from the level of work performed by the teacher coordinator of the artists in the school program. The latter arranges for and coordinates performances by artists in schools.

The work of the program specialist position for the artmobile program and the teacher coordinator position for the artists in the school program are much like those functions normally carried on at the district level. Their placement in the state office is probably a reflection of the fact that their work cuts across district lines. This is clearly understandable.

e. ***Vocational-technical curriculum section.*** The vocational-technical curriculum section consists of an administrator, five program specialists, one teacher coordinator, and five stenographers.

The administrator of this section, like the administrators of the other two sections, is more than fully occupied with work. She undertakes special projects as do the other administrators. On the other hand, the program specialists in this section, with the exception of perhaps one, are not as fully occupied with the kind of work normally associated with the position of a program specialist. Most of their time is spent at the school level assisting classroom teachers. In this respect, they appear to function more like curriculum specialists at the district level. Their heavy involvement with schools is due in part to the fact that there are no vocational-technical curriculum specialists in the districts.

There appears to be a misplacement of a position in this section. The teacher coordinator for Hawaiiana teaches Hawaiiana to those primarily in the travel industry. As such, it appears that this position more properly belongs with the adult education section than to this section which is concerned with secondary age students.

4. ***Special programs branch.*** This branch, headed by a director, is divided into five sections, each headed by an administrator: accreditation and licensing, compensatory education, adult education, evaluation, and student affairs. In addition, there is an administrator who heads no section but acts as the DOE family court liaison. (See figure 11.15.)

a. ***Accreditation and licensing section.*** The accreditation and licensing section is concerned with accreditation of public and private secondary schools and with the licensing of private schools and their teachers. The administrator supervises no one. As in other sections where administrators work alone, we do not think that this section merits an administrator. The administrator's tasks are largely routine in nature.

b. ***Adult education section.*** This section is headed by an administrator and consists of three program specialists, one curriculum specialist, one account clerk, one bookstores clerk, and three stenographers. It appears that the work of this section does not justify the number of personnel assigned to it.

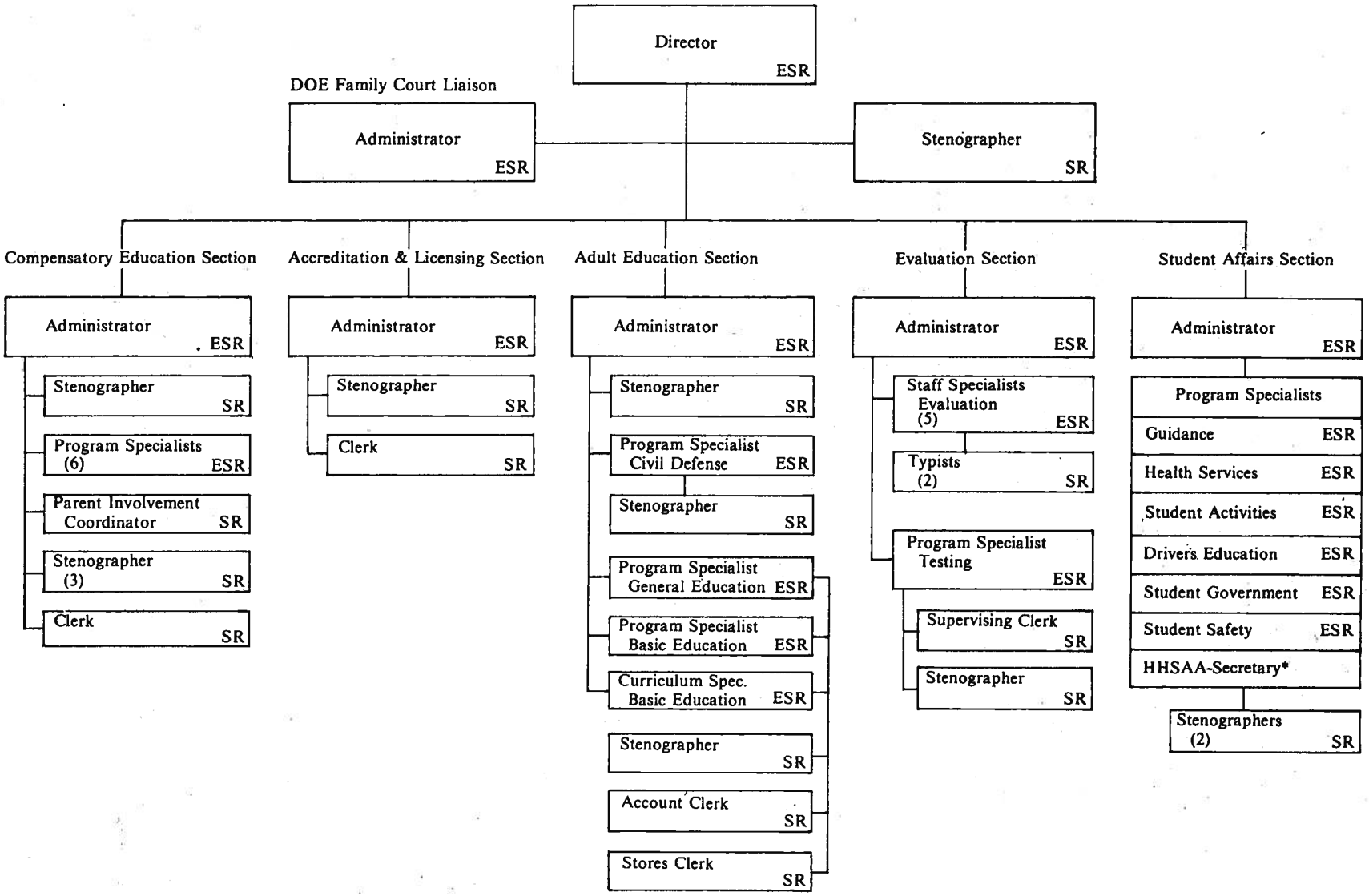
By a decision of the board of education, the functions of administering the adult education program were supposed to have been decentralized to the districts effective in 1971. Prior to this decision, adult education on the neighbor islands had been administered by the district offices; however, on Oahu, it was handled by the state office. The decision of the board was essentially to have all districts handle their own adult education programs. However, due to the inability of the Oahu districts to absorb the adult education program readily, there has been a delay in transferring the functions of this office entirely to the districts. Nevertheless, the functions have been transferred to some degree in some of the districts.

This partial transfer of functions account in part for the light work load being experienced by this adult education section. However, it is our understanding that upon the completion of this transfer of functions it is the intent of the DOE to maintain this adult education section, including most, if not all, of the positions. The reason for this is unclear. We do not think the number of positions currently in this section is justified and we do not believe that continuation of all of these positions after a full transfer of functions to the districts is supportable. Note the following.

- The administrator of this section has a rather light work load. A significant amount of his time is spent attending meetings in behalf of the director of the branch and disseminating results of the meetings to others. He does little supervisory work.

- The program specialist for civil defense spends approximately 25 percent of his time in classroom instruction. His other time is spent on matters which do not appear to be important to the responsibilities of his position. For example, he has served on the commission on aging, spent time developing evacuation

Figure 11.15
Organization: Special Programs Branch



*This position is financed by Hawaii High School Athletic Association (HHSAA) funds.

Source: DOE, *Plan of Organization,* February 1971; *1972–73 Educational Directory, State and District Offices.*

procedures for employees in the Queen Liliuokalani building, and conducting courses for the general public. Curiously, although this program specialist position is in the adult education section, the formal description of his position seems to indicate that his concerns should be directed towards schools, principals, and teachers rather than towards the general adult population. This formal function, of course, has not been performed. If the formal function is indeed the true role of this position, then the placement of this position in the adult education section is incongruous.

A program specialist and a curriculum specialist share in the work required for the basic adult education program (K–8). However, the exact role of the curriculum specialist is unclear. The curriculum specialist was hired when the Oahu adult education schools were under direct line supervision of the state office. However, since the partial transfer of functions for adult education to the districts, the curriculum specialist's role has become extremely cloudy. The curriculum specialist does not have much meaningful work to perform. The program specialist for adult basic education does not appear to have much to do either. Most of his time is spent "supervising" the curriculum specialist. There appears to be little reason for the existence of both positions concerned with basic adult education. Even the need for one is questionable in light of the lightness of the work load of this entire section.

We think there is a need for a careful review to determine the necessity for the continued existence of this section, particularly in light of the transfer of operational functions for adult education to the districts. Even if there is found to be a need for some office at the state office to generally oversee the state's adult education program, there appears to be little justification for retaining the number of positions currently in this section. In any event, the DOE should proceed to lay a definite timetable for the complete transfer of the adult education function to the districts and for a complete plan for the future of this section.

c. ***Compensatory education section.*** This section consists of an administrator, six program specialists, one staff specialist, one parent involvement coordinator, four stenographers, and one clerk.

This section plans, organizes, implements, administers, and coordinates programs aimed at disadvantaged children. The programs which it administers and coordinates include both federal- and state-funded programs. Its annual budget is approximately $6.5 million and the programs include head start, follow through, model cities, and dropout.[16] Much of its work consists of reviewing project proposals, writing proposals, securing federal funds, implementing projects, and accounting for funds. It appears that this section has a sufficient work load to justify the staff it has. However, there is a need for a review of the allocation of work among the staff members. There appears to be an inordinate amount of work assumed by some in comparison to others.

d. ***Student affairs section.*** The student affairs section consists of an administrator, seven program specialists, two stenographers, and one Hawaii High School Athletic Association secretary.

The work of this section is related to general education and thus the section appears to be misplaced. Such programs as student activities, counseling, health service, and others, are concerned with lower education students. As such, it appears that this section is misplaced in the special programs branch. We think the placement of this section requires review.

The program specialist positions in this section are quite unlike the program specialist positions in the general education branch. The program specialists here appear to be more coordinators and administrators of programs than reviewers and analyzers of curriculum.

[16]DOE, *Report to the Legislature on Compensatory Education,* January 1972, p. b.

Moreover, the program specialists for athletics I and II function mainly as executive secretaries of the Oahu and neighbor island athletic associations. In this respect their positions are also quite unlike the other program specialist positions in this student affairs section. Perhaps in the transferring out of this section from the special programs branch, the two athletics program specialist positions may be left in this branch. Be that as it may, due to the differing nature of the functions of the positions in this section, their titles as "program specialists" require review.

e. ***DOE–family court liaison.*** There is an administrator who acts as the liaison person between the DOE and the family court. This administrator does not administer any program and does not supervise anyone. Her duties are to establish operational procedures involving the family court and the DOE and to participate in the educational aspects of rehabilitation. The need for an administrator for this position is highly questionable. It is difficult to discern any difference in the level and kind of work performed by this position from that performed by a program specialist position. We are informed that the request for an administrator's position rather than a program specialist position was based strictly on pay considerations and not on the nature of the work to be performed. Probably the fact that this position is federally-funded also was a factor. The source of funding should not be the criterion by which to determine whether a position should be a program specialist position or that of an administrator. There is a need for a re-examination of the rating assigned to this position.

5. ***Curriculum development and technology branch.*** The curriculum development and technology branch is the successor of the now defunct Hawaii curriculum center. It is headed by a director and is divided into two main parts. One part is concerned with educational television and the other part is concerned with curriculum development, more specifically with the development and installation of the Hawaii English program (K–12). The television part consists of two sections: ETV facilities and ETV programming, each headed by an administrator. The curriculum development part is subdivided into two subparts (now called sections): curriculum development project and curriculum development services. The organization of this branch is depicted in figure 11.16.

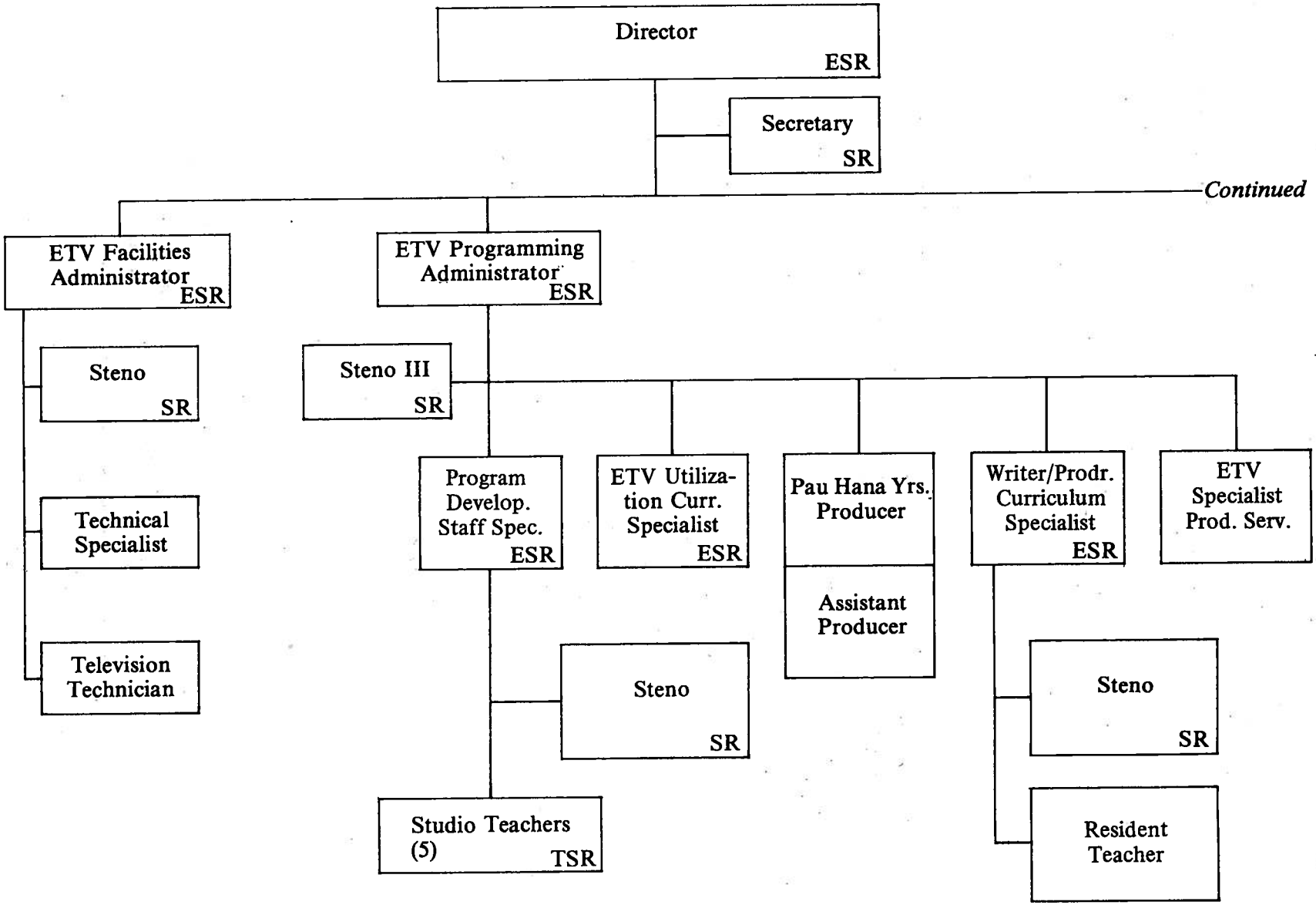
a. ***Need for reorganization.*** There appears to be some movement within the DOE toward a reorganization of this branch. We think such a reorganization is required. *First,* during our examination, we found it difficult to trace the lines of authority and responsibility. A perusal of figure 11.16 quickly reveals this.

Second, this branch was created when the work and jurisdiction of the Hawaii curriculum center as it was known prior to 1969 were split between the university of Hawaii and the department of education. Under the agreement reached in 1969 between the university and the DOE, the DOE assumed all curriculum development functions related to the Hawaii English program, and the university retained jurisdiction over the development of programs in science and music.[17] Operationally, however, the curriculum development and technology branch works with the university in the development of the Hawaii English program. Moreover, the curriculum development and technology branch is situated at the university of Hawaii. Although it is a part of the office of instructional services, the branch appears to operate somewhat independently from the office of instructional services. Its line relationship to the assistant superintendent of the office of instructional services needs to be strengthened.

Third, in the agreement between the university and the DOE, it is stated that one of the responsibilities of the DOE is to continuously assess the public school curriculum, actively search for the most appropriate curriculum designs and materials for all its instructional programs, and receive and evaluate curriculum proposals, and select those areas in which a new curriculum would be developed. A chart included in the agreement appears to place the primary responsibility for these functions in the curriculum development and technology branch. Then, the DOE, *Plan of*

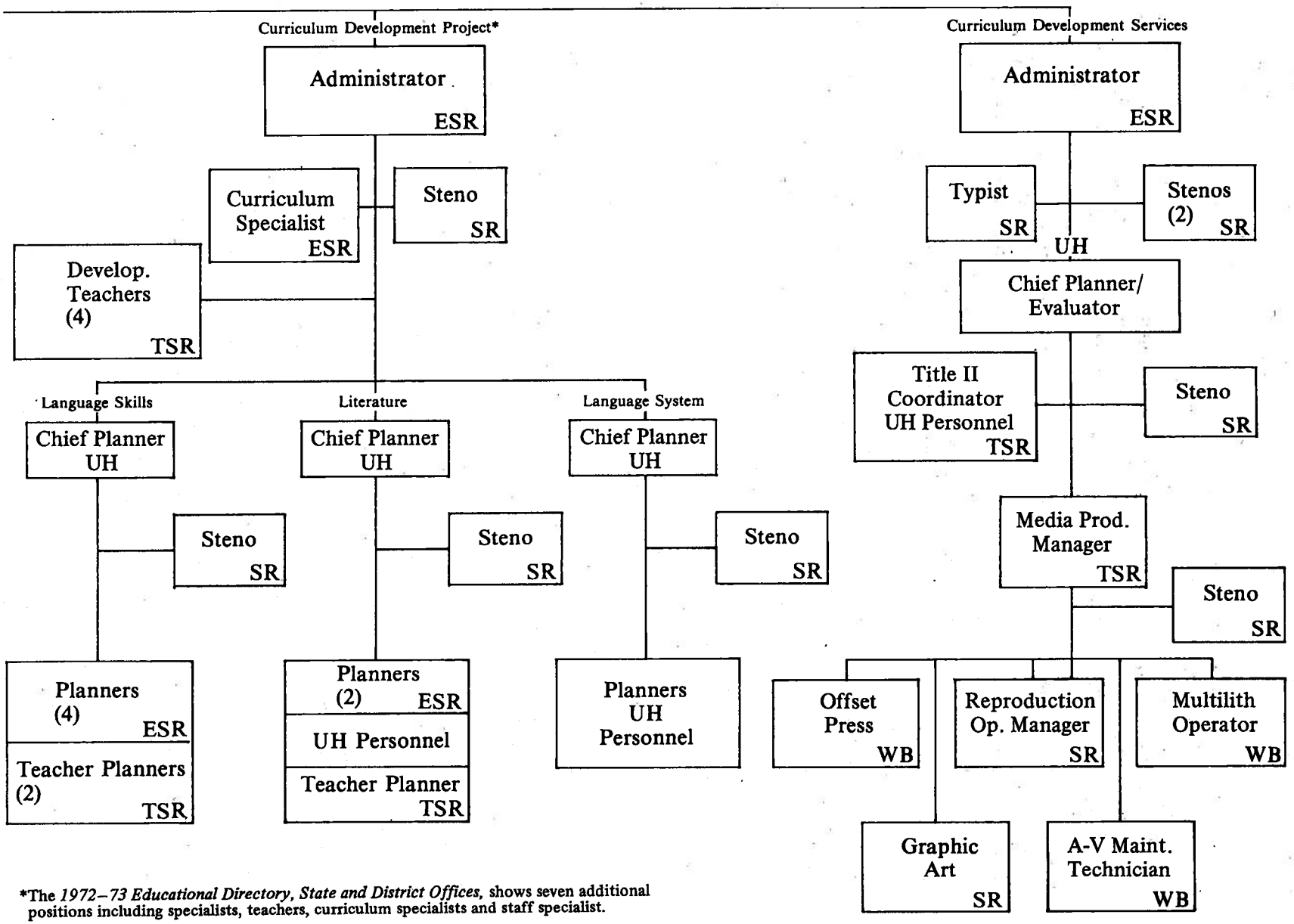
[17] UH, DOE, "Joint Agreement and Plan for Cooperation in Instructional Improvement and Curriculum Research, Development, and Adoption," January 20, 1969.

Figure 11.16
Organization: Curriculum Development & Technology Branch



Source: Memo dated December 21, 1971, from the governor to the superintendent, noting approval of proposed organization; DOE, *1972–73 Educational Directory, State and District Offices.*

Figure 11.16 Organization: Curriculum Development & Technology Branch (continued)



*The *1972–73 Educational Directory, State and District Offices,* shows seven additional positions including specialists, teachers, curriculum specialists and staff specialist.

Organization, states that the major function of the branch is to "plan and develop curriculum materials which can more adequately meet the unique needs of Hawaii's pupils."[18] These functions identified for the curriculum development and technology branch read almost like the functional statement for the general education branch. The *Plan of Organization* identifies the primary function of the general education branch as "to plan and develop curricula and pedagogy to meet the needs of the widest possible spectrum of students in the public schools."[19] So long as the curriculum development and technology branch continues to concentrate on the Hawaii English program, no problems are anticipated. However, we note that the conflicting functional statements for the curriculum development and technology branch and for the general education branch may produce jurisdictional difficulties in the future.

Fourth, educational television production and curriculum development are two distinct and different kinds of activities. Their combination into one branch imposes responsibilities of two different kinds on a single director. We think there is a need for a review of this combination of ETV with curriculum development.

b. ***Curriculum development project.*** The curriculum development project has an administrator and a whole host of specialists, teachers, curriculum specialists, stenographers, and typists. This group is concerned mainly with the development of the Hawaii English program. There are two problems associated with this project. The *first* is concerned with the permanency of these positions; that is, what happens to the personnel upon completion of the Hawaii English program. Presumably, these employees were hired specifically to work on this English program and thus possess competencies in that area. Upon completion of the Hawaii English program, it is then to be expected that these employees would be released and new ones hired, if the curriculum development and technology branch undertakes another developmental project. It would appear that by the nature of the work performed here, employees need to be matched with the project being undertaken.

The *second* problem relates to the distinction between curriculum specialists and teachers. Both perform similar kinds of work. However, the curriculum specialists are generally considered to be "senior" planners and teachers "junior planners." Yet, there are teachers who appear to be functioning as senior planners due to their competencies. A review of the method of classifying the respective positions appears warranted.

c. ***ETV facilities section.*** The ETV facilities section is managed by an administrator, a technical specialist, a TV technician, and a stenographer. This section's primary responsibility is to purchase, install, and maintain ETV reception facilities and equipment.

There appears to be little reason for an administrator's position in this section. The scope of the work of this section is narrow, precise, and technical. Further, this unit does not have a large work load. The administrator of this section (who is not a technician but an educator) has been on an extended sick leave. His absence apparently has had little detrimental effect on the operations of this section. It appears that this section may well be absorbed within the ETV programming section. The addition of a few more people from the facilities section will not tax the span of control of the administrator of the programming section.

d. ***ETV programming section.*** The ETV programming section consists of an administrator, six professional staff members (variously called producer, ETV writer-producer, curriculum specialist-utilization, staff specialist-programming, etc.), six TV (studio) teachers, and three stenographers.

There is a need to review the organization of this section. Who reports to whom is not clear, and the relationship of one position to another is obscure. For example, it is represented that two producer-directors are supposed to be reporting to a staff specialist II, but this does not show up on the organization

[18] DOE, *Plan of Organization*, February 1971, p. E–15.

[19] *Ibid.*, p. E–9.

chart. Moreover, in fact, they appear to be reporting not to the staff specialist II, but to the administrator himself. Further, the nature of the work performed by the various people is not necessarily in accord with available position descriptions. For example, a curriculum specialist I assigned to utilization appears to be doing more programming work than utilization work.

6. ***Special education branch.*** The special education branch is headed by a director and is divided into two sections: special education programs and special education projects. Each of the two sections is headed by an administrator. (See figure 11.17.)

We note that the division of the special education branch into these two sections is without operational rationale. It appears that the work of the two sections are too finely divided. The present organizational setup compartmentalizes two segments of special education which should be working together.

At the time of our audit, it appeared that this branch was not performing work in sufficient quantity to justify the continuing retention of all of the positions assigned to it, and there appeared to be a lack of specificity in individual assignments. The special education programs section, for example, appeared to be spending a great deal of time in contract administration and monitoring (that is, administering and monitoring subsidies to private schools). Little attention seemed to be paid to evaluating and formulating state programs for the handicapped and providing consultative services to the field. Then, work being performed appeared to be managed in a time-consuming and inefficient manner.

The special education projects section likewise appeared to be without much substantive work. The program specialist for instructional materials, for example, appeared to be doing little in the area of instructional materials. Then the Title VI coordinator, the speech hearing teacher, and the visiting teacher all appeared to be focusing their attention on gathering data, writing reports, and attending meetings.

In a large measure, this branch appears to be in a state of flux. In part, this has been caused by the long vacancy in the branch director's position and in part by the artificial division of the branch into two sections. Moreover, the state's direction in special education has been slow in being formulated. That there is sufficient work for this branch to do is without question. Witness the report of the legislative reference bureau issued in two parts in 1970 and 1971.[20] This report anticipated much work for this branch and recommended an organizational scheme illustrated in figure 11.18. The implementation of the recommendations of this report are apparently awaiting the master plan for special education now being developed.

We think there is a need to quickly come to some resolution on the direction that the DOE should take in special education.

DISTRICT OFFICES

During the period between 1965–66 and 1971–72, the number of district educational officers (other than principals and vice-principals) increased by 43.1 percent. Table 11.3 notes the increases over the years.

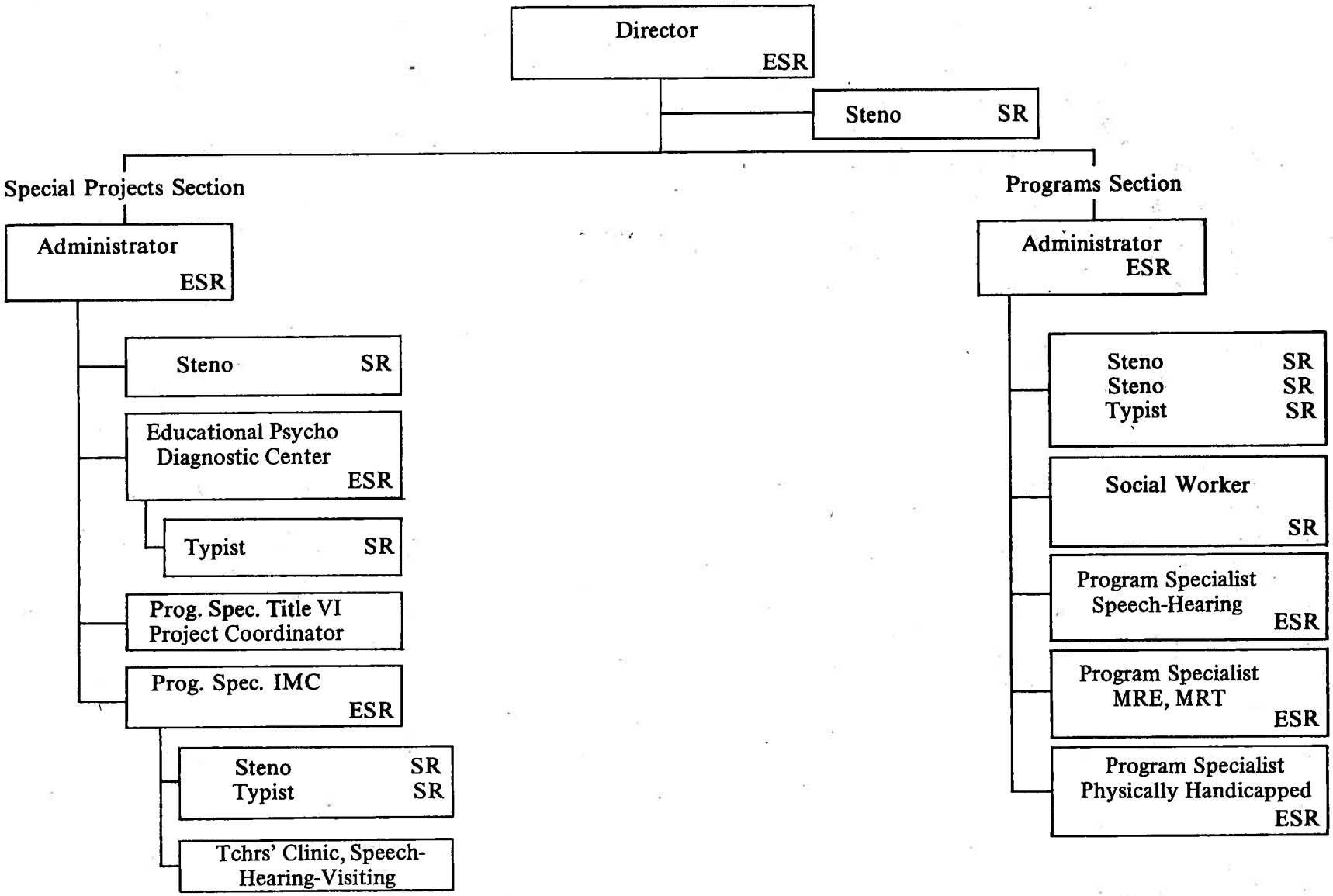
In general, we find that there is no rational basis for the manner in which districts are organized. The patterns of organization vary widely from district to district. In addition, we find incongruities in the classification of employees at the district level, particularly between certain kinds of teachers and curriculum specialists. Details follow.

Staffing Patterns

Lack of standards. There is no state policy or regulation which governs the number of persons districts may employ, nor is there any policy or regulation which prescribes the

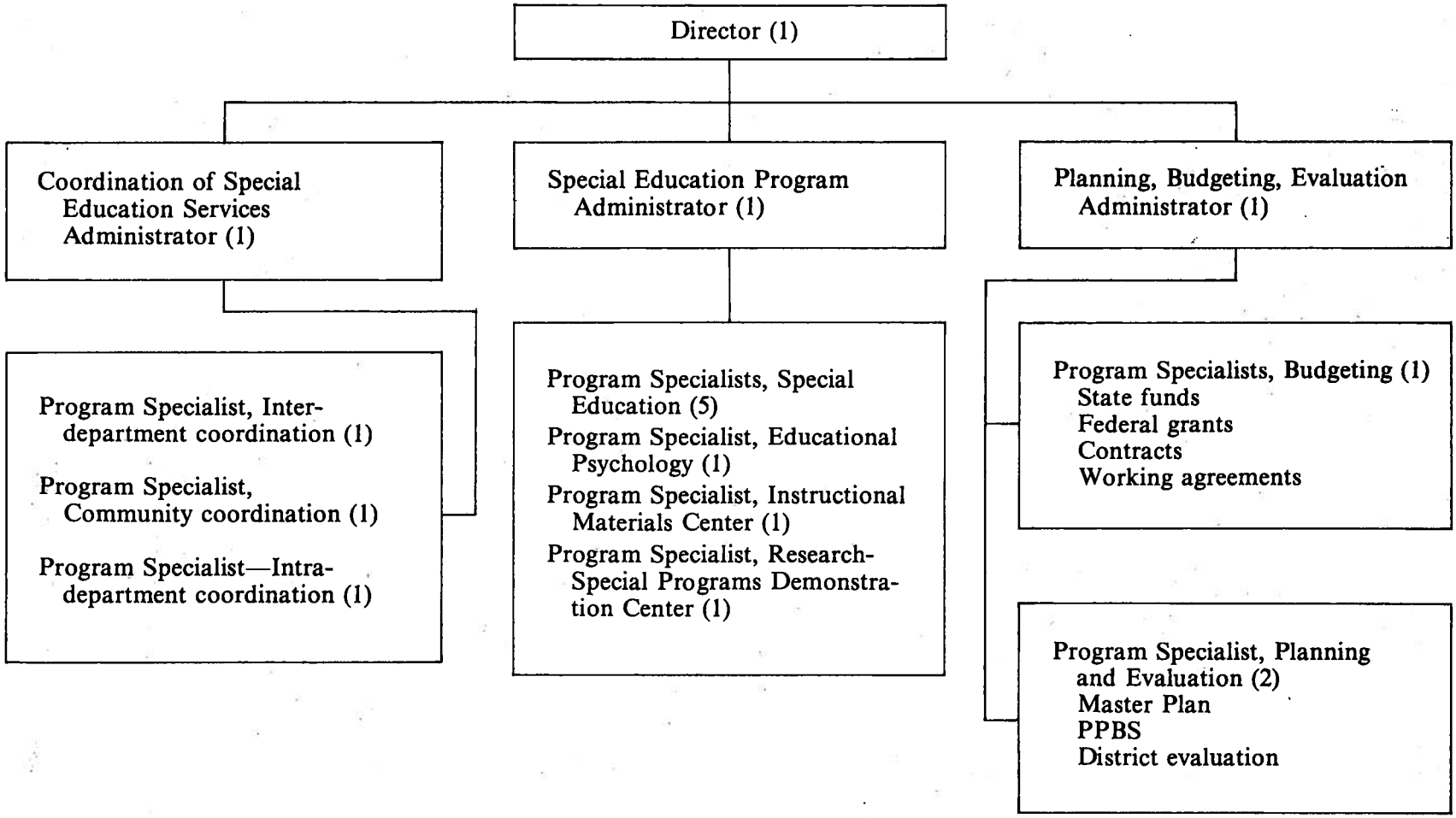
[20]Legislative reference bureau, *Special Education in Hawaii, Part I,* (report no. 5, 1971, prepared by the Management Analysis Center, Inc.); *Part II* (report no. 6, 1971, prepared by the Management Analysis Center, Inc.), December 1971.

Figure 11.17
Organization: Special Education Branch



Source: DOE, *Plan of Organization,* February 1971; *1972-73 Educational Directory, State and District Offices.*

Figure 11.18
Recommended Special Education Branch Organization and Staffing[1]



[1]Legislative Reference Bureau, *Special Education in Hawaii, Part II* (report no. 6, 1971, prepared by the Management Analysis Center, Inc.), December 1971, p. 60.

minimum staffing pattern which each district should maintain. The only policy in effect with respect to the organization of districts is that policy which prescribes the duties and responsibilities of district superintendents, to-wit:[21]

> "The district superintendent shall be the chief administrative officer in charge of all complexes and schools in the district to which he is assigned. He shall be responsible for the planning, *organizing, staffing, directing and controlling of the* educational programs, finances, *personnel* and facilities *of his district,* and he shall perform all other duties assigned by the superintendent." (Emphases supplied)

Under this policy, each district superintendent is free to organize his staff in any manner he wishes. There are no specific standards or criteria by which districts arrive at their respective staffing patterns.

The result is that there are many variations in the kinds and number of persons employed at the various district offices. Table 11.4, presents the number of people on the staffs of the various district offices by the various classes of employees: educational officers (district superintendent, deputy superintendent, curriculum specialists, staff specialists), civil servants (accountants, account clerks, and personnel clerks), teachers, and others. The discussion which follows focuses primarily on educational officers and teachers.

Educational Officers

Staff specialists: business and personnel. Table 11.5 is a display of the number of persons employed in each district to manage the district's business and personnel affairs.

Given the variation in the number of school employees served by these district personnel, there appears to be no logical basis for having two accountants in Hawaii while five other districts have none. In a similar vein, it raises the question of whether the administrative functions which need to be done at the districts are simple enough that Kauai can manage to perform all of its functions with only a staff specialist who doubles in business and personnel and an account clerk; and, if so, it further raises the question of whether the other districts really need the other staff specialists.

Curriculum specialists. The curriculum specialists at the district level are used in differing ways, depending on the district. Table 11.6 illustrates this. In general, curriculum specialists are assigned work in one of the following ways:

- By age or grade level groupings, such as elementary education, secondary education, and adult education.
- By subject matter areas, such as language arts and social studies.
- By target groups such as special education, compensatory education, and special services.
- By projects such as "project follow through" and "special projects."

In every district the number of curriculum specialists is divided into at least two groups: by grade level or subject matter and by target groups or special projects. The number of curriculum specialists assigned to each varies from district to district. It appears that every district, except Honolulu and central Oahu, has six curriculum specialists. The Honolulu district has 12, and the central Oahu district has five. From this, it seems that six is the standard number of curriculum specialists, regardless of the student population in each of the districts. The only true exception to this rule is the district of Honolulu, which has 52 percent more students as the next largest district (central Oahu). The reason for the central Oahu district having only five curriculum specialists is not readily apparent.

It is evident that the basis upon which the number of curriculum specialists is allowed in

[21]DOE, *Department of Education Code, Policies and Regulations: Administration (1000 Series),* 1971 edition, Policy No. 1500–11.

Table 11.4
District Office Staffing—Professional and Technical

	Total	Honolulu	Windward	Leeward	Central	Hawaii	Maui	Kauai
Educational Officers								
District superintendent	7	1	1	1	1	1	1	1
Deputy superintendent	7	1	1	1	1	1	1	1
Curriculum specialists	47	12	6	6	5	6	6	6
Staff specialists	24	4	4	4	4	3	4	1
Others:								
Special educational supervisors	3	3	—	—	—	—	—	—
Complex managers	4	—	—	1	—	1	1	1
	92	21	12	13	11	12	13	10
Civil Servants								
Accountants, account and personnel clerks	21	7	2	2	3	4	2	1
Social workers	18	6	2	3	2	2	2	1
	39	13	4	5	5	6	4	2
Others								
Coordinators	5	—	1	2	2	—	—	—
Teachers	—	51	38	14	18	32	22	21
Total	97	34	17	20	18	18	17	12

Source: DOE, *Plan of Organization,* February 1971; *1972–73 Educational Directory of State and District Offices.*

Table 11.5
Administrative Staff, by District, 1971–72

	Honolulu	Central	Leeward	Windward	Hawaii	Maui	Kauai
School staffing	2531	1635	1531	1361	947	650	420
Business, staff specialist	2	2	2	2	1	2	.5
Accountant	1	0	0	0	2	0	0
Account clerk	1 4	1 3	1 3	1 3	1 4	1 3	1 1.5
Personnel, staff specialist	2	2	2	2	2	2	.5
Personnel clerk	3 5	2 4	1 3	1 3	1 3	1 3	0 .5
	9	7	6	6	7	6	2

Source: DOE, *Plan of Organization,* February 1971; *1972–73 Educational Directory, State and District Offices.*

Table 11.6
District Curriculum Specialists

Honolulu Pupils – 51,155	Central Oahu Pupils – 33,608	Leeward Pupils – 32,682	Windward Pupils – 26,394	Hawaii Pupils – 17,112	Maui Pupils – 12,124	Kauai Pupils – 7,861
Superintendent Deputy	Superintendent Deputy	Superintendent Deputy	Superintendent Deputy	Superintendent Deputy	Superintendent Deputy	Superintendent Deputy
Business & Personnel						
Dist. staff spec. - bus.	Dist. staff spec. - bus.	Dist. staff spec. - bus.	Dist. staff spec. - bus.	Dist. staff spec. - bus.	Dist. staff spec. - bus.	Dist. staff spec. - B/P
Dist. staff spec. - bus.	Dist. staff spec. - bus.	Dist. staff spec. - bus.	Dist. staff spec. - bus.		Dist. staff spec. - bus.	
Dist. staff spec. - pers.	Dist. staff spec. - pers.	Dist. staff spec. - pers.	Dist. staff spec. - pers.	Dist. staff spec. - pers.	Dist. staff spec. - pers.	
Dist. staff spec. - pers.	Dist. staff spec. - pers.	Dist. staff spec. - pers.	Dist. staff spec. - pers.	Dist. staff spec. - pers.	Dist. staff spec. - pers.	
By Grade Levels						
Curr. spec. II - elem.	Curr. spec. II - elem.	Curr. spec. II - gen. ed.	Curr. spec. II - gen. ed.	Curr. spec. II - elem.	Curr. spec. II - elem.	Curr. spec. II - elem.
Curr. spec. II - elem.	Curr. spec. II - elem.		Curr. spec. II - elem.			
Curr. spec. II - sec.	Curr. spec. II - sec.	Curr. spec. II - sec.	Curr. spec. II - sec.	Curr. spec. II - sec.	Curr. spec. II - sec.	Curr. spec. II - sec.
Curr. spec. II - sec.	Curr. spec. II - sec.	Curr. spec. II - sec.			Curr. spec. II - adult basic ed.	Curr. spec. II - adult ed.
By Subject Matter Areas						
Curr. spec. II - lang. arts				Curr. spec. II - lang. arts		Curr. spec. II - lang. arts
Curr. spec. II - art				Curr. spec. II - math & science		
Curr. spec. II - music					Curr. spec. II - music	
By Target Groups						
Curr. spec. II - spec. ed.	Curr. spec. II - spec. ed.		Curr. spec. II - spec. ed.		Curr. spec. II - spec. ed.	
Curr. spec. II - spec. serv.		Curr. spec. II - spec. serv.	Curr. spec. II - spec. serv.	Curr. spec. II - spec. serv.		Curr. spec. II - spec. serv.
Curr. spec. II - comp. ed.		Curr. spec. II - comp. ed.	Curr. spec. II - comp. ed.			
By Projects or Special Assignments						
Curr. spec. II - proj. Follow Through		Curr. spec. I - proj. coord. Model Cities		Curr. spec. II - instructional materials	Curr. spec. II - instructional media	Curr. spec. II - instructional materials
Curr. spec. II - spec. proj.						
Other Professionals						
Social workers (6)	Social workers	Social workers	Social workers	Social workers	Social workers	Social workers
		Complex manager		Complex manager	Complex manager	Complex manager

Source: DOE, *1972–73 Educational Directory, State and District Offices.*

each district is not related to either student enrollment or needs. We believe that there is a need to place the number of curriculum specialists in each district on a more rational basis. It would appear that a minimum number of curriculum specialists is necessary in each district. Beyond that minimum, however, the number should fluctuate based on criteria related to the *true* needs of each district. As it is currently allocated, the number of curriculum specialists per district appears to discriminate against some districts.

Teachers

Table 11.7 displays in summary form the number and kinds of teacher positions currently existing in the district offices. We note the following problems.

Lack of criteria. The only positions which appear consistently in district after district are those related to special services and diagnostic teams. All other positions form no consistent pattern from district to district. We do not believe that each district should be exactly alike, since districts may have varying problems. Nevertheless, the current patterns reveal no rational basis for either the number or kinds of teachers assigned to each district.

The wide disparity in the number and kinds of teachers assigned to the various district offices stems from the fact that there is currently no criteria by which districts may rationally determine what their staffing patterns ought to be. Moreover, the districts are able to create as many teacher positions as they may desire through the teacher allocation process currently used by the DOE. The additional positions created at the district office through this allocation process is over and beyond those positions specifically budgeted for in the appropriations act. The allocation process works in the following manner.

In preparing the budget for presentation to the legislature, the DOE (after consultation with the department of budget and finance) establishes a ceiling for the total number of teachers for the entire DOE system during the budget year. Several pupil-teacher ratios are then developed, and that ratio which produces results closest to the ceiling determined is selected for budget purposes. After legislative appropriations, the district superintendents meet to allocate the classroom teacher positions among the districts. In doing so, the pupil-teacher ratio used for budget preparation purposes may be used, as well as other factors such as enrollment, work load increase, etc. The precise criteria used for the purpose of making allocations to the districts are not clearly defined. In the end, the allocation is a matter of agreement among the district superintendents.

After the districts have been allocated their respective number of classroom teachers, each district in turn allocates classroom teaching positions to the various schools in the district. In this process, the superintendent may alter the pupil-teacher ratio that was used for the purpose of budget preparation so as to create an excess number of classroom teacher positions. This excess number may be used by the district for its own use to create teacher positions at the district (or retained in reserve for contingencies).

We do not believe that the number and kinds of teachers assigned to the district offices should be based on vague standards or on no standards as the allocation process permits. Vague standards and the allocation process encourage districts to avoid careful planning before appropriation requests are made and permit the districts to play the "numbers game" after appropriations. Budgetary requests by districts should be based on need. Thus, there should be clearly articulated criteria or standards which would guide districts in planning for the staffing of their respective offices on the basis of such need.

Permanency of teacher positions. Not only will clearly articulated criteria provide guidelines to districts in planning for their staffing needs, but such criteria will also provide guidelines with respect to determining whether a particular position should be funded on a temporary or permanent basis. We note that for the Hawaii English program installation teacher positions have been created in the districts for the purpose of assisting schools in the installation of the Hawaii English program which is new to the schools. We note also that there are plans at the state office to create a "cadre of leaders" for the

Table 11.7

Teachers Assigned to Districts

	Honolulu	Windward	Leeward	Central	Hawaii	Maui	Kauai
Curriculum Generally							
Beginning Teacher Supervisor	3	3			2	2	1
Reading Clinic Teachers					2		
HEP Teachers		3			3		
Liaison Teachers	2						
TESOL		1	1	1	1		1
Traveling Teachers		2			2		1
Media Assistance Technicians				3			
Resource Teachers	20	4			9	9	11
Special Education							
Special Education Supervisor	2						
Special School Visiting Teachers	1						
Special Services Diagnostic Teams							
Speech-Hearing Teachers	10	4	3	5	3	4	2
Psychological Examiners	5	4	3	2	3	3	2
Diagnostic Presc. Teachers	5	2	4	3	4	3	2
Visiting Teachers		2	1	2		1	1
Language Evaluator	1						
Res. Tchr., Lang. Disorders		1					
Hard-of-Hearing Teacher		1					
Other Diagnostic Team Teachers	2						
Special Projects							
Coordinator, Title I, Dropout/NYC		5	1	1	1		
Coordinator, Hawaiiana Studies				1			
Model School Proj. Coordinator			1				
Counselors		4					
Continuing Education Teachers		2					
ETV Project Coordinator					1		
ETV Technician					1		
TOTAL	51	38	14	18	32	22	21

Sources: DOE, *Plan of Organization*, February 1971; *1972–73 Educational Directory, State and District Offices.*

purpose of ensuring proper installation of such programs as the School Health Education Study (SHES) and the 3 on 2 program. We think that these leadership positions are temporary in nature and should expire upon fulfillment of the specific purpose for which they are created. The criteria established for guiding the staffing numbers and patterns for districts, if based on real needs, would provide for the temporary nature of these kinds of positions.

Lack of proper classification. a. ***Teachers vs. curriculum specialists.*** We noted above that it appears that the districts are seemingly constrained with respect to the number of curriculum specialists and staff specialists each may have. It is because of this constraint that a number of personnel are hired by the districts as teachers. Yet, our audit disclosed that many of these teachers perform work equal in complexity and worth as that of curriculum specialists and staff specialists. Note the following.

> A central district coordinator of Title I projects – Drop out/NYC – coordinates school projects, assists in developing school proposals, attends meetings, and reviews reports and projects. He reports to the deputy district superintendent. His work is similar to those of certain compensatory education curriculum specialists in some districts.
>
> A coordinator in the central district prepares resource materials in Hawaiiana for teachers in the district and acts as a resource and consultant to teachers. He reports to the deputy district superintendent. His tasks of researching and developing resource materials for teachers are similar to those performed by the music curriculum specialist in the Honolulu district.
>
> A coordinator in the leeward district coordinates all ESEA Title I activities within the district. The activities include 15 school projects, one district project, and six summer projects. He writes-up project proposal; keeps an account of project personnel, materials, and supplies; prepares reports; attends meetings; assists in projects in various ways; etc. He reports to the deputy district superintendent. His activities are similar to those of curriculum specialists for compensatory education.
>
> A coordinator in the leeward district exercises functional supervision over five TESOL teachers and provides consultant services to teachers and administrators having TESOL students in their classes. She also prepares or assists in the preparation of TESOL guides, materials and reports.
>
> A traveling music teacher in the windward district at first assisted schools in assessing and setting up a music program, assisted teachers in developing lesson plans, conducted demonstration classes and workshops, and evaluated the music program. Her work emphasis has since shifted from classrooms and individual teachers to administration and teachers collectively. She compiles and prepares guides and other resource materials for use by teachers and has special music programs to coordinate.

There appears to be a need to reassess these positions in light of the work actually performed.

b. ***Teachers performing classified civil service jobs.*** Some district teachers are performing tasks similar in nature to those performed by classified civil service employees. Note the following.

> Social workers (SR–21) and "visiting teachers" on diagnostic teams appear to perform similar kinds of work. The districts when queried sought to distinguish the two thus: social workers handle more intense cases or those dealing more with the family, while visiting teachers handle the less serious cases and those involving classroom instructions. Teachers work seven hours a day, nine months a year, while the social workers work eight hours a day, all year-round.
>
> A resource teacher in the windward district, performing as an installation teacher for HEP, spends in excess of 50 percent of her time in logistics – handling, keeping

inventories, etc., of materials and equipment.

Two media assist center teachers' primary work is assisting teachers in the preparation of instructional materials. More than one-half of their time is devoted to photography. The employees are supervised by a district curriculum specialist. Somewhat similar work at HCC is performed by a classified employee whose job title is illustrator–graphics preparation.

Misplacement of positions. There are two teacher liaison positions in the Honolulu district which appear to be misplaced. One is a liaison teacher for the Bishop Museum program. This teacher serves as a guide-lecturer-resource teacher for the department of education at the Bishop Museum and accommodates public school children from all districts. In addition, the teacher assembles or prepares materials on Hawaiiana and disseminates them to the various schools. It would appear that in light of the nature of the work performed by this teacher and since the teacher services all districts, her position is probably more appropriate at the state office. In this respect the teacher is no different from the artmobile program specialist who operates out of the state office.

The other position in the Honolulu district which appears misplaced is the position of a liaison teacher for the Academy of Arts program. This teacher, like the liaison teacher for the Bishop Museum program, performs as a guide-lecturer-resource person for the department of education as a whole.

Diagnostic Teams

As noted above, one common staffing positions are those related to diagnostic teams in the districts. Some comments on these diagnostic teams are in order.

The manner in which diagnostic teams have been established in the districts illustrates the effects of a lack of criteria governing staffing at the district levels. The implementation of diagnostic teams in the districts was largely unplanned and the effectiveness of these teams currently is very much in doubt.

Purpose and history. The purpose of a diagnostic team is to identify children with learning or adjustmental problems, to diagnose each child's specific needs, to recommend programs and special classes to assist each child, and to follow up on each child's progress. A multi-disciplinary approach is emphasized and a diagnostic team consists of speech and hearing teachers, a social worker, a psychological examiner, a diagnostic-prescriptive teacher, and occasionally a visiting teacher.

A diagnostic team approach to identifying and diagnosing children with learning and adjustmental problems began as a pilot project of the special education project section of the special education branch, office of instructional services in the first semester of the 1969–70 school year. The special education project section requested that it be allowed to expand its test of the diagnostic team concept to three complexes during the second semester of the 1969–70 school year: Kaimuki, Campbell, and Molokai. The Kaimuki complex was selected because it was an urban complex; the Campbell complex was selected because it was a sub-urban complex; and the Molokai complex was chosen because it was a relatively isolated and self-contained complex. Upon the representation that sufficient funds were available for this purpose, the board approved "the concept of establishing diagnostic teams in selected school complexes."[22]

As originally intended, the diagnostic teams were to be administered from the state office (the special education branch, special projects section) so as not to be contaminated by present district personnel. Since the board's approval, however, the establishment of diagnostic teams followed a tortuous route, ending in the creation of teams, not in the manner represented to the board of education.

On December 31, 1969, the then assistant superintendent of the office of instructional services recommended to the then superintendent that one diagnostic team be

[22]Minutes, board of education, December 4, 1969.

established in each district. He further recommended that administration of the diagnostic teams be placed in the hands of district curriculum specialists for special education.[23] The educational psychologist who coordinated the first pilot diagnostic team in the fall of 1969 for the special education branch, special projects section, objected strongly to this expansion and to the transfer of administrative control over the teams from the state office to the districts. His contention was that the concept of diagnostic teams, including the configuration and modus operandi of such teams, had not as yet been fully tested and that until such time that the test was complete, administrative control over the teams should be vested in the state office. He stated:[24]

> "I believe that if 'diagnostic teams' are established in each district, under present [district] leadership, little change will take place from the current methods of operation. On the other hand, an effective multi-disciplinary team approach within one complex in a district would sell itself to district personnel. Moreover, when other diagnostic teams are formed after the pilot program is completed, personnel in the pilot teams could be very helpful in consulting with their counterparts in these other teams.
>
> "I firmly believe that if new personnel were merely given out to the districts to be used in diagnostic teams that five years from now we will see little change in identification and diagnostic procedures, other than the positive effect of having more ancillary personnel available in each district. I further believe that if diagnostic teams are established in designated areas within each district under conditions of quality control and supervision, that the feedback to the districts from schools which are serviced by the teams, will be so highly positive that each district will want to establish additional teams."

Despite this objection, the superintendent accepted the assistant superintendent's recommendations, and he allotted 40 new positions for the teams—five to each of the seven districts and five to the state office—for the school year 1970–71. By this action, the superintendent made the concept of a diagnostic team an ongoing program throughout the State, even though testing had not as yet been completed. Moreover, in June or July of 1970, approximately five months after the 40 positions had been released, the superintendent made a second allotment of positions to the districts. While the specific circumstances leading to the release of additional positions are somewhat obscure, it appears that the superintendent had some $320,778 in the "B and C" accounts which he had withheld. District superintendents were instructed to submit their requests for additional positions and monies for their identification and diagnostic services to the assistant superintendent of the office of instructional services. No guidelines were established for the purpose of making these requests. Apparently the district superintendents were free to make such requests as they felt were "needed."

Consequences. Over the years since 1970, a number of diagnostic positions were created in the districts. However, it is extremely difficult to determine whether all such positions are operating on a team basis. A perusal of the 1972–73 department of education *Educational Directory of State and District Offices* appears to indicate that although some are on specified teams, others are not.

More disturbing, it appears that the modus operandi of the various diagnostic teams differ from district to district, and the original concept of diagnostic teams is not being uniformly implemented in the districts. This is not surprising since the decision to allocate personnel to districts for the purpose of diagnostic teams was not preceded by adequate plans. After all, the concept of diagnostic teams

[23]Memorandum, dated December 31, 1969, from the assistant superintendent, office of instructional services, to superintendent, re: "Expansion of Diagnostic-Prescriptive Services."

[24]Memorandum, dated January 7, 1970, from the educational psychologist to the assistant superintendent, office of instructional services, re: "Implementation of Proposal Regarding Diagnostic Teams to be Established in the State."

and the configuration of the teams were still being tested and developed. Without a prototype to follow, the districts which were vested with the responsibility for administering the diagnostic teams constructed their teams in the manner each thought best. The special projects section of the special education branch has had little opportunity to guide the development of these teams in the districts.

The special projects section apparently had some role in the in-service training of diagnostic team members conducted by the state office, but the districts themselves conducted workshops on their own, sometimes hiring consultants to review the work of their diagnostic teams, to act as consultants to the teams, and to assist at district workshops. Further, the special projects section has had no control over the operations of the diagnostic teams to ensure that the initial concept of the teams is properly implemented. Indeed, there has been no mechanism established for monitoring and evaluating the operations of the teams, and the status of the identification and diagnosis program is currently unknown at the state office.

SCHOOLS

During the period 1965–66 to 1971–72, the number of teachers in schools increased by 38.2 percent (from 6507 to 9020). Regular classroom teachers alone increased by 33.4 percent (from 5846 to 7801). The rate of increase of supportive teachers (counselors, registrars, librarians, etc.) is difficult to determine. However, as of March 1972, there were approximately 1860 supportive teachers in the schools. (See table 11.8.) Here we are concerned with supportive teachers.

We find that there is a wide variation in the numbers and kinds of supportive teachers in the various schools. Among the kinds of supportive teachers are: librarians, counselors, beginning teacher supervisors, resource teachers, independent study teachers, guidance teachers, remedial reading teachers, preparation time teachers, project teachers, reading teachers, prescriptive teachers, and resource center teachers. Some schools have only a few of these kinds of teachers, other schools have a number of them. In a large measure this wide variation is the result of the lack of appropriate standards to guide schools in planning for these teacher positions. Further, there appears to be a lack of control over principals' creating various kinds of teacher support positions.

Table 11.8
Supportive Teachers in Schools

District	Elementary	Secondary	Total
Honolulu	411	152	563
Central	326	49	375
Leeward	174	64	238
Windward	289	75	364
Hawaii	42	50	92
Kauai	89	20	109
Maui	69	51	120
Total	1400	461	1861

Source: DOE, *School Organization Chart & Staffing, March 15, 1972.*

Lack of criteria. The wide variations in supportive teaching positions result because of the lack of appropriate criteria in determining the minimum staffing requirements of each school. The need for such positions as librarians and counselors in each school is evidently recognized. They are expressly budgeted for in the appropriations act. However, what other positions schools should have or how schools should go about determining whether or not they should have these other positions is not clarified by any policy, regulation, or guidelines. Moreover, even as to the recognized positions, there appears to be no guidelines as to how determinations might be made as to the number of such positions that schools should have. We believe that such guidelines should be established. Without such guidelines, it appears that equality between and among the various schools can hardly be maintained. Such guidelines should perhaps be established separately for elementary and secondary schools. Moreover, the guidelines should relate directly to the real needs of the various schools.

Lack of control. There are two kinds of teacher positions recognized in the current budgetary and appropriations process: classroom teachers (regular teachers) and supportive

teachers (librarians, counselors, etc.). Schools, however, often have more supportive teacher positions than appear in the budget or appropriations. These extra supportive positions appear through the allocation process which can be made to produce excess classroom teaching positions.

In a section above we noted how the district superintendents allocate all regular teacher positions among themselves and how each district superintendent in turn allocates the positions to schools. We stated that in the process of allocating positions to schools the district superintendents on occasions raise the pupil-teacher ratio to create an excess number of teacher positions to be retained at the districts. This technique of raising the pupil-teacher ratio is also used by principals. Once the number of classroom positions have been allocated to each school, the principal in turn may choose to alter the pupil-teacher ratio so as to create an excess number of classroom teaching positions for the purpose of creating additional teacher supportive positions. We find that this practice aggravates the inequality that already exists in the absence of standards to guide minimum staffing at the school level.

Recommendations

We recommend that the department of education:

1. Establish one or more ad hoc committees, representing the State superintendent, to conduct a complete review of staffing in the state office and determine the need and proper classification of specific positions, including those identified in this chapter. Specifically, the committee(s) should

- *Review the duties of each educational officer position and determine the proper classification of each position, including which positions should be brought under the classified civil service.*
- *Conduct a work load survey of each position and determine the specific positions which could be eliminated or reassigned.*
- *Determine whether each incumbent possesses the qualifications for the position which he holds.*

2. Reorganize the general education branch in a manner which improves utilization of personnel, enables program specialists to be used in more than one curriculum area, and provides for broader input in curriculum review and formulation.

3. Examine the staffing and organization of the curriculum development and technology branch with a view towards clarifying its lines of authority and responsibility, strengthening its relationship to the assistant superintendent of the office of instructional services, identifying the responsibilities of the branch v. the general education branch in curriculum development, and determining the appropriate organizational placement of educational television production.

4. Complete as rapidly as possible the master plan for special education.

5. Establish standards and criteria to govern staffing in the district offices, including the number and kinds of curriculum specialists and teachers attached to the district. In addition, the positions of those teachers performing work similar to the work of curriculum and staff specialists and the positions of those teachers performing tasks similar to those performed by civil service employees should be reviewed to determine their proper classification.

6. Establish guidelines by which minimum supportive teacher positions (librarians, counselors, etc.) can be determined for each school and apply controls to assure that all such positions are properly budgeted and allocated.

7. Submit a report to the 1974 session of the legislature of the action that it has taken as a result of its review of personnel positions. The report should also identify all savings in personnel service costs and the resultant adjustments which should be made to the budget for the 1973–75 fiscal biennium.

PART IV

CURRICULUM MANAGEMENT

CHAPTER 12

INTRODUCTION

This part examines how the DOE plans, develops, designs, implements, and otherwise manages its curriculum. In this chapter we note some background and develop the framework for our discussion of this subject.

Statewide Curriculum

A statewide instructional program has always been contemplated by DOE policies. Thus, a policy existing prior to 1967, and indeed prior to statehood, prescribed the principal's responsibility as that of *carrying out* "the curriculum program of the Department . . . [and] . . . developing plans within the Territorial [state] and district framework."[1] The current policies, in existence since 1967, provide that:

> "The *Department of Education* shall develop, select, adapt, and disseminate the curriculum *for the public school system*. Recommendations relative to courses, content, materials, and equipment shall be transmitted to the Superintendent of the Office of Instructional Services. Recommendations requiring action by the Board of Education shall be conveyed by the Superintendent."[2] (Emphases added)

The function of the office of instructional services at the state office is described as:

> ". . . to provide curricula and instructional services such as general education, special education and programs, *curriculum development* and technology."[3] (Emphasis added)

And the function of a district office is described as that of

> "Administering and supervising *the programs of the department* . . . in all public schools within the district."[4] (Emphasis added)

The duties of the principal and the district superintendent are prescribed as "planning, organizing, staffing, directing and controlling of the educational programs, finances, personnel and facilities of" his school or district.[5]

Despite these policies, principals and faculties have traditionally been the "chief architects and custodians" of their school curricula. They decided for their respective schools what was to be taught and how it was to be taught. They operated under some generally recognized and accepted needs—for example, that English, social studies, and math should be taught. But, the principals and teachers determined the objectives, expectations, scope, and content of these subjects, the additional

[1] Department of Public Instructions, *Instructional Policies and Implementing Programs for the Public Schools of Hawaii*, 1958. See Johnson, Ronald L., *Curriculum Development in the Department of Education – The Past Twenty-Three Years: A Historical Commentary* (DOE research report no. 47), September 5, 1967, p. 8.

[2] *Department of Education Code, Policies and Regulations: Instructions* (Series 2000), 1970, Policy No. 2110.

[3] *Department of Education Code, Policies and Regulations: Administration* (1000 Series), 1971 edition, Policy No. 1400–12.

[4] *Ibid.*, Policy No. 1500–10.

[5] *Ibid.*, Policy No. 1700–2; Policy No. 1500–11.

courses to be offered, and the manner of delivering the various courses to students.

As a result of this traditional practice fragmentation and inequalities (in terms of the kinds, number, content, and quality of courses offered) inevitably developed among the various schools. Thus, over the years, both the legislators and the professionals have expressed concern over this fragmentation and inequality and sought after a statewide curriculum. Indeed, one of the advantages and opportunities (and purposes) of a single educational system has been felt to be the improvement of curriculum and the advancement of equality in the treatment of students on a statewide basis.

Efforts Toward a Statewide Curriculum

There have been three major cycles since the mid-1940's to develop a statewide instructional program: 1940–47, 1949–62, and 1965 to the present. The first two cycles are described in a paper authored by Ronald L. Johnson, entitled, *Curriculum Development in the Department of Education–The Past Twenty-Three Years: A Historical Commentary*, September 5, 1967.[6] The following summarizes the paper's description of the first two cycles. The quotes are, of course, from Johnson's paper.

1940–47. In 1944–45, a curriculum survey known as the Draper-Hayden study was conducted. The study report recommended that ". . . a course of study be developed for all fields or areas extending from kindergarten through high school" and that program specialists be introduced "to promote the realization of desirable standards and reasonable uniformity throughout the Territory of Hawaii."

In response to the above, the department hired a consultant who developed a handbook for elementary teachers containing guides in several subject matter areas, which was to be *the* program of the elementary schools. The handbook "acknowledged the need for a unified, structured program in elementary education that would find expression in all public schools of the Territory, providing equal educational opportunity for all students and furnishing a common core of learning experiences." However, with the departure of the consultant, the handbook "slipped into limbo, apparently no longer used as [it] had been intended."

1949–62. In 1949, the second cycle began with a request by a curriculum conference for some unifying "over-all statement of educational policy for the public school system of Hawaii." In August 1952, the then commissioner of public instruction approved a four-page document entitled, *Educational Policy of the Public School System of Hawaii.* This document took nearly two years to prepare. It was based on extensive discussions had with lay advisory committees in all seven districts and on the reactions of all public schools to an initial draft of the document. The document contained but a brief overall statement of educational policy for the public school system in Hawaii.

It was later recognized that something more was needed if the policy statement was to have "functional meaning and specific relevance" at the school level, and in 1954 a committee was formed for the task. After four years and "thousands of man-hours" involving teachers, parents, and community leaders, the *Instructional Policies and Implementing Programs for the Public Schools of Hawaii* was published and distributed to the public schools of Hawaii in 1958. "Historically, it appears that this was the first concerted effort to bring together the fundamental purposes of both administration and instruction in a comprehensive and meaningful whole which clearly identified the total effort of the Department, its goals and objectives, and the direction the entire school system should move as a single unit to achieve those goals and objectives." But, again, "something more was needed . . . to fully implement policies and programs, because frequent reference [was] made throughout the . . . document to the development and use of curriculum guides for the various elementary grade levels and subject areas of the secondary school level."

Apparently, ". . . curriculum guides were to provide the 'meat' for the Department's program framework–the essence of appropriate grade

[6]DOE, Research Report No. 47.

level and subject matter instruction. But Instructional Policies and Implementing Programs [did] not define what a curriculum guide is, its format, its content and its function." Moreover, at the time the *Instructional Policies and Implementing Programs for the Public Schools of Hawaii* was published, curriculum guides were not available for all grades and subject areas. Thus, the "Policies" provided "... a preview of the 'desirable' direction ... and skeletal framework for a systemwide program [to] be developed over an unstated span of time ... as the implementing tools (curriculum guides and other curriculum materials) were designed, developed and placed in the hands of the teachers to give specific form and substance to the State instructional program."

The department did not proceed in accordance with its planned schedule of the completion of guides between 1957 to 1962 and those that were completed revealed "a variety of format, detail, and content" and an "apparent lack of uniformity of effort and standardization in planning, organization, and development of curriculum guides." Furthermore, the guides lacked "a policy statement which established the authority for their existence, define[d] their purpose, and prescribe[d] and describe[d] their use as an essential tool in the total instructional or curricular scheme."

In 1959, the department initiated a "School Self-Study Program," involving teachers, principals, and district and state staff personnel, to study the curriculum activities of each school and to determine "the relationship existing between those activities and the Department's systemwide goals ... and to give thought to specific plans for improving the quality of their efforts." But the study terminated after three years, and the *Instructional Policies and Implementing Programs,* "though still officially in force, faded and was all but forgotten ... and the sense of urgency once felt in the matter of completing all scheduled curriculum guides also passed, leaving several guides for important curriculum areas unfinished." From 1962 to September 1965, there was little noticeable activity in the area of curriculum development and improvement.

Mid-1960's to present. The mid-1960's marks the beginning of the present cycle. In 1966, the legislature departed from its traditional line item budget to lump sum budgeting to enable the department to operate with considerably more flexibility than before. However, along with this increased flexibility went a number of policy directives called the "Nineteen Guidelines." The guidelines were intended to serve as a framework within which the department was "to develop the total educational program and expend the sum appropriated to it."[7] In essence, the guidelines called for "proper planning," encompassing the whole of the department's efforts in public education. They directed the DOE to formulate an "educational blueprint" which "integrates manpower, finance, facilities, materials, pedagogy, and organization in a new curriculum design" and to establish "workable operational program plans" which specify the "specific long and short range goals, the means of accomplishing such goals ... and the basis on which the progress and achievements of each program can be identified and assessed."

The results under lump sum budgeting proved to be disappointing to the legislature. The 1967 conference committee on the appropriations bill found "little overall progress in the development of educational programs." Despite this finding, the legislature at its 1967 session provided the department with even broader flexibility by allowing the department to (1) create and fill as many positions as it desired, without limitation as to number, (2) carry over unexpended and unencumbered funds from one fiscal year to the next, and (3) accept federal funds on a matching basis without the necessity of securing specific approval of the legislature as had been the requirement previously. The legislature, however, reaffirmed the "Nineteen Guidelines" of the previous year and, in addition, directed the department to utilize the analytical concepts embodied in the

[7]Conference Committee Report No. 2, March 1966.

planning-programming-budgeting system (PPBS) in developing educational programs.[8]

Pursuant to this mandate, beginning with language arts in 1967, the DOE has sought to develop statewide curricula for the public education system by subjecting the various curriculum areas to analysis as called for in a PPB system. To date, analytic documents have been produced in the following subject matter areas: language arts, social studies, mathematics, art, music, foreign languages, health, vocational-technical, practical arts, science, special education, guidance, school lunch, student affairs, and educational television.[9]

Summary of Findings

The recent efforts have not prevented schools from continuing to shape their own curricula. It is true that, in recent years, greater effort has been expended to provide uniform course offerings in the various schools via the approved course list and minimum elective list prepared in advance of each school year. However, in a large sense, the course list merely recognizes what is going on in the schools and is thus no more than a compilation of courses known to the state office as already being offered in various schools, and the minimum elective list is an attempt to require every school to offer those courses already being provided in some schools. These lists do not preclude schools from developing new or different programs as they see fit. Further, the minimum elective requirement often finds schools, not yet offering the courses, ill-prepared to offer them either because they lack understanding of what is being sought by these courses or because they lack the resources necessary which schools already offering them have. The result is continuing disparities and inequalities among the schools.

A number of reasons account for this current status:

1. The roles and responsibilities of the state office, the districts, and the schools in curriculum have not been defined.

2. In areas where attempts have been made to formulate a statewide program, the program has been inadequately defined as to lead to uncertainty as to what is the program. Inadequate program definition has resulted in part from:

   a. Poor program analysis

   b. Insufficient and poor pilot-testing

   c. Insufficient attention to program details

3. Implementation of state programs has been sought on indefinite, ill-thought-out, and inadequate schedules.

4. There has been poor articulation by the state office to districts and schools regarding the definition of the statewide program and the character of the state and district program framework.

5. Supervision and evaluation to ensure implementation of the statewide program is nonexistent.[10]

[8]Specifically, the DOE was directed to (1) formulate statements of objectives for all areas of educational endeavors; (2) devise programs designed to accomplish the end result of those objectives; (3) estimate the total resources–personnel, supplies and equipment–in monetary terms required for each program over a multi-year period; (4) specify measures by which success or failure in attaining objectives may be assessed; (5) present the alternatives considered and evaluated and the analysis performed of those alternatives; and (6) identify the distribution of the functional responsibilities of each program within the organizational structure. Conference Committee Report No. 22, April 1967.

[9]The quality of these analyses and the process used in developing statewide curricula have been criticized by the legislature. See other parts of this report for a discussion of these matters.

[10]Note that Johnson in his 1967 paper identifies these reasons as the prime causes for school autonomy in fashioning curriculum. He states that school authority in curriculum development is determined "by the degree of specificity of the 'curriculum program of the Department,' . . . the definitive character of 'the [state] and district framework,' . . . how effectively both are communicated to and understood by the school level, and how closely their implementation is supervised and evaluated." Johnson, *Curriculum Development in the Department of Education – The Past Twenty-Three Years*, p. 20.

We explore these deficiencies in the chapters which follow.

A preliminary note is needed here. Numerous examples are used in the chapters following to illustrate the points being attempted to be made. These examples are drawn from the various curricular programs now being administered by the DOE. The use of these programs as examples should not be construed to mean that the programs lack merit. They are used simply to illustrate deficiencies in the *management* of curricular programs.

CHAPTER 13

ROLE DEFINITION: CURRICULUM DEVELOPMENT

A statewide curriculum suggests leadership at the top in its development. Leadership at the top provides that breadth, depth, scope, and perspective commensurate with the statewide nature of such curriculum. However, what that leadership should consist of and how it should be exercised are not all clear. So long as the department made little or no effort toward the development of a statewide program, in the practical sense there was no reason for anyone to be concerned about defining the roles and responsibilities of the state office, the districts, and the schools in curriculum development—the schools exercised exclusive control. But, as the department sought to formulate such statewide program (and its efforts since the mid-1960's must be viewed as aimed in that direction), the need to clarify roles became urgent. Yet, there has been no specification of the roles to be played and the responsibilities to be borne by the state office, the districts, and the schools. This lack of definition of roles and responsibilities in curriculum development has been unsettling, even to those within the DOE.

Summary of Findings

Specifically, we find as follows:

1. There is ambivalence in the department's attitude toward responsibility for curriculum development.

2. Curriculum is developed by both the state office and schools. Programs, whether school-developed or developed elsewhere, have the tendency to proliferate rapidly among schools and to become ongoing programs throughout the school system, even before official state determination of their placement appropriateness within the total state program framework.

Ambivalence in Defining Roles

From time to time, DOE officials at the state level have expressed the opinion that curriculum *planning* should be done by the state office and that *implementation* should be the primary task of the districts and schools. For example, in 1967, the then head of research published a pair of papers[1] which described the existing curriculum and instructional system as "largely unplanned" and voiced the belief that the curriculum responsibilities of the state office, the districts, and the schools should be as follows:

State office (office of instructional services)

- Describe the program and courses to be offered in the schools, including identification of the goals, objectives, and general activities.
- Prepare an approved book list, specifying the textbooks and other supporting collections of books, films, etc., that schools may use in a course.
- Prepare guides to student materials, handbooks on teaching methodology and on subject matter

[1] Savard, William G., *The Hierarchy of Curriculum and Instruction System Documentation* and *The Cycle of Curriculum and Instruction Functions*, DOE, September 20, 1967.

techniques, and the tests and other evaluative devices to be used.

- Provide special programmatic training for teachers and other staff.
- Prepare guides to student materials, handbooks on teaching methodology and on subject matter techniques, and tests and other evaluative devices to be used.
- Evaluate programs and courses.

Districts

- Install programs and courses.
- Provide consultant help to teachers and principals.

Schools

- Principal supervise teachers.
- Teachers conduct programs and courses, prepare lesson plans.

Similarly, a former assistant superintendent perceived the roles of the state, districts, and schools in curriculum as follows:[2]

State	Structure	i.e., theorize, plan, design, develop, disseminate
District	Implement	i.e., test, coordinate, articulate, explain, reinforce
School	Utilize	i.e., adopt, administer, adapt, supervise, teach
All levels	Evaluate	

Others within the DOE have from time to time expressed the same thoughts.

These utterances were seemingly reduced to more formal terms in a document entitled, *Plan of Organization.*[3] In that document, the role of the state office is described as identifying educational needs, developing educational programs and related services, and carrying out other activities to ensure quality and effectiveness of these programs which are administered on a statewide basis. More specifically, the *Plan* prescribes the following functions for the state office:[4]

- Develop a wide scope of statewide curriculum plans for various areas subsumed in the learning programs, including the academic program, the counseling and guidance program, and the student affairs program. Prepare and select outlines, guides, resource materials, and media for use throughout the school system.
- Develop educational policies, regulations, and program standards for systemwide application and administration.
- Initiate, support, monitor, and evaluate innovative projects and experimental programs to develop and test new instructional materials, organizational patterns, and instructional strategies to meet the changing needs of education.
- Plan and develop programs for upgrading the skills and knowledge of educational officers, teachers, and para-professional personnel.

The role of the districts is said by the *Plan of Organization* to be that of implementing or

[2]Mann, Arthur F., *A Blueprint for Inspection*, September 3, 1968.

[3]DOE, November 1969; February 1971.

[4]DOE, *Plan of Organization*, February 1971, p. E–8.

facilitating the implementation of state programs, including curriculum activities such as the following:[5]

- Assisting in the implementation of curriculum programs through interpretation, articulation, and modification of DOE policies and programs.[6]
- Supervise, monitor, and evaluate curriculum programs, instructional strategies, and materials in the schools.
- Provide technical consultation and advise principals, teachers, and community groups.
- Direct or coordinate in-service activities for the district and its schools.
- Maintain liaison between the state office and the schools and between the community and the DOE.

Notwithstanding this *Plan of Organization,* the roles and responsibilities of the various hierarchical levels within the DOE for curriculum remain obscure. It appears that the DOE is reluctant to follow its own prescription of roles set forth in the *Plan of Organization* and to more specifically clarify the roles and responsibilities of the state office, districts, and schools. This hesitation is reflected in official DOE documents and practices and is often manifested in the context of curriculum development and through expressions of uncertainty about "centralization-decentralization" of curriculum authority.

For example, the *Master Plan for Public Education in Hawaii* identifies as one of the major goals of the public education system the improvement of curriculum, instructional strategy, and organizational patterns on a "system-wide" basis. The plan states:

> "The people of Hawaii and their elected representatives contemplated a comprehensive approach to program development when they established Hawaii's state-wide school system. Moreover, the original state-wide concept makes increasingly good sense as our society rapidly ceases to be a rural and local one and evolves toward a complex, urban form."[7]

The *Master Plan,* however, at the same time expresses some reservation about centralized curriculum development. It states:

> "Centralization is no panacea and often not even the right way to proceed. Uniformity in education is not necessarily a desirable objective and in fact, can bring about conformity, disinterest in new ideas and an overpowering and successful urge to be 'average.' Decentralization and lack of uniformity, in turn, can bring on chaos and uncertainty. Somewhere between the two poles must lie the optimal point."[8]

It further states:

> "Because of our diverse student body, our insular condition, and the many variations between and among communities and cultures in our state, we also are committed strongly to the premise that a single statewide educational program will not provide the educational flexibility that we require. Therefore, we need to not

[5] *Ibid.*, pp. I–4, J–2, K–2, L–2, M–3, N–2, O–2.

[6] This function is identified for all districts except the Honolulu district. For the Honolulu district only, the following function is specified in lieu of that stated in the text: "Direct and coordinate the planning and implementation of district curriculum program within DOE policies and programs to meet the specific needs and interests of the Honolulu schools." This is coupled, however, with another functional statement which does not appear for other districts: "Facilitate the implementation of curricular programs in the schools through consultative services, guidelines, workshops, etc." See p. I–4, cf p. J–2.

[7] DOE, *Master Plan for Public Education in Hawaii,* Honolulu: 1969, p. 59.

[8] *Ibid.*, p. 21.

> only tailor our program to individual students but we must also recognize different educational and social needs in different parts of our state—and shape our program consciously to meet such needs."[9]

The plan thus encourages "school-level experimentation in practices and media that promise improvements in learning,"[10] and exhorts school administrators to envision "change and improvement" as one of their major responsibilities.[11]

This ambivalence is reflected in other DOE documents. For example, the *Authorized Courses and Code Numbers, 1972–73,* purports to prescribe the courses *required* of all students at each grade level, the courses that *must* be offered in all schools on an elective basis, and the courses which *may* be offered by schools on an elective basis. Yet, in the introduction to the *Authorized Courses,* it is stated that schools may deviate from the prescribed program and design or adopt courses other than those included in the document, with the approval of the district superintendent. No review of changes by the state office is apparently necessary. Further, no guidelines or standards are furnished in the document to assist the schools and the district superintendent in determining whether and how the courses and programs that schools may contemplate developing or adopting will fit within the fabric of the state program.

In addition to the documents themselves, utterances of state office personnel add to the confusion regarding the role and responsibility of schools in curriculum. For example, statements such as the following are not uncommon:

> "Teachers, together with students, are given the responsibility of selecting the activities and the resources that will best help them in achieving planned objectives. Any course that proposes to achieve objectives already in our AUTHORIZED COURSES AND CODE NUMBERS, but using different activities and resources, both human and material, does not need approval, since such responsibility resides with teachers. The State has collected resource material in the form of units, individualized packets, and the like, but this is merely to assist busy teachers."[12]

It is not, of course, entirely clear as to what is meant by "planned objectives" and "activities and resources." Whose (state, district, school) and what planned objectives are obscure, and what is included within "activities" and "resources" and the extent to which they are subject to school manipulation are undefined.

The Practices

The *Master Plan*'s vacillation mirrors what is going on in practice. Curriculum is being shaped by both the state office and schools. In some areas, the state office has exercised leadership in researching, analyzing, and developing statewide curriculum. However, schools have continued to fashion or implement programs on their own. School development or implementation has been without controls, notwithstanding state policies or the existence of statewide programs.

In some cases, school-fashioned or -implemented programs have become statewide programs through adoption by the state office. In these cases, a program initiated or implemented by a single school has proliferated to other schools, and state office adoption has been an ex post facto recognition of what had then in fact become the prevailing or common program among schools—that is, state office adoption has been the legitimization of an otherwise illegitimate but ongoing program of

[9] *Ibid.*, p. 28.

[10] *Ibid.*, p. 52.

[11] *Ibid.*, p. 53.

[12] DOE, *Proceedings, conference on Authorized Courses and Code Numbers, June 1–2, 1971,* pp. 22, 23.

the schools. The following illustrate these diverse ways in which curriculum takes hold within the DOE.

School development of programs. That schools are developing curriculum on their own, without state office sanction or involvement, is acknowledged within the DOE.[13] Programs officially approved by the state office are annually compiled in a DOE document entitled, *Authorized Courses and Code Numbers.* A random perusal of the 1972–73 course listings of various intermediate and high schools reveals that a number of courses are being offered in individual schools which have no counterpart in the listings of the 1972–73 *Authorized Courses.* Thus, schools are offering such courses as *theatre craft, freedom to read, creative talent, short story, fiction,* and *non-fiction* in language arts; *martial arts (judo)* and *martial arts (kendo)* in fine arts; and *classical civilization, revolutionary Europe, you and the law,* and *the family in primitive society,* in social studies. Where and how these courses fit into the total state curriculum framework and whether they are in accord with the basic approaches and philosophy of the statewide programs in language arts, fine arts, and social studies, are not clear at all. Sometimes, schools assign to school-developed courses those course titles and numbers which the state office reserved in the *Authorized Courses and Code Numbers* for other courses.

Sometimes, school-developed courses and programs do become statewide programs through adoption by the state office. More often than not such adoption is simply a recognition of what is already going on in one or more schools. Rarely are these programs subjected to analysis to determine whether they should indeed be made a part of the statewide program. In most cases, what is happening in the schools is adopted by the state office for inclusion in the list of "specialized electives"—that is, courses which schools *may* offer. Once in a while, particularly where a program has proliferated widely among schools, the state office adopts a school-developed program, not simply for inclusion in the list of elective courses which schools may offer, but for statewide implementation. An example of this is the *elective, secondary language arts* program.

The elective, secondary language arts program that is currently supposed to be in implementation statewide had its genesis in the schools. Even before 1968, first one and then several high schools began offering semester-elective courses in lieu of the traditional, basic language arts program. Although this elective program had proliferated to many high schools, the state office, until at least 1970, continued to insist that the state's secondary language arts program consisted of the traditional, basic English program. Thus, each of the language arts analytic documents issued in January 1968, February 1969, and January 1970 (describing the analysis performed by the state office during the years 1967, 1968, and 1969, respectively) reflected no change (except for alterations in course titles and clarification of subject-matter goals) from the traditional program for the State's secondary schools. The only hint of changes to come were references to expected new HEP programs in the "language" and "literature" portions of the secondary language arts program. However, that various high schools in the State were offering the elective program was probably not totally unknown to the state office as early as 1968. The 1968 secondary language arts curriculum guide,[14] although it did not mention the elective program at all, seemingly gave oblique recognition to what was going on in the schools. The guide noted the outcomes desired in the five components of the language arts program (listening and speaking, language, reading, literature, and writing), but left to the discretion of each individual school the task of developing courses and further guides.

Official recognition and approval of the elective program came with the adoption by the board of education of *The Foundation Program for the Public Schools of Hawaii* in October 1970. The *Foundation Program* requires English in each of the high school years, but permits

[13] See, for example, memorandum dated March 18, 1971, to the superintendent of education from the Honolulu district superintendent on the subject, "Authorized Courses and Code Numbers, 1971–72."

[14] DOE, *English Language Arts, Grades 7–12,* 1968.

fulfillment of the requirement through courses on the "specialized elective list." The *Foundation Program*'s adoption of the elective program appears to have been simply a recognition of what was already the common practice among the schools—that is, the substitution of electives for the traditional, basic English program. That this was so is manifested by the following.

First, no analysis preceding the adoption of the elective program is evident. The *Foundation Program* reveals no such analysis. The fourth language arts analytic document issued subsequently in December 1971 (in draft form), simply notes (without any analytic explanation) under a paragraph entitled, "Changes Implemented," that the elective program is now the statewide program. *Second,* the December 1971 analytic document presents a table showing that only eight of the 34 high schools in the State were then on the traditional program and that 20 were partially, and five were completely on the elective program. *Third,* an examination of the "specialized elective list," which was not included in the *Foundation Program* but was later compiled,[15] reveals that the list consists of those courses then being offered on an elective basis in various high schools.[16] *Fourth,* the December 1971 analytic document notes that the elective program is "transitional" until the secondary HEP program is developed. This statement, coupled with the acknowledgement that state guides for many of the elective courses are yet to be prepared, appears to indicate that the DOE was reluctantly facing up to facts—that the basic program was then virtually non-existent in schools.

School adoption of available programs. Not only do schools develop programs on their own, but they also adopt, from time to time without official approval, programs which are available here or nationally. There appears to be a strong tendency on the part of schools to latch on to programs "popularly acclaimed," even though such programs substantially differ from the objectives, philosophy, directions, or emphases prescribed by the department. It may well be that schools are much more alert to trends than the state office, but the manner in which programs proliferate throughout the system before the state office officially acts and often even before the new programs are subjected to intensive analysis and evaluation, is a cause for concern.

The program known as the *Foundational Approaches to Science Teaching* (FAST) is an example of how programs proliferate before official adoption by the department. Moreover, it is an example of how programs spread even though they are ostensibly still being tested and are under consideration by the department.

FAST is a science curriculum intended for the intermediate schools (grades 7 to 9). It is an entirely new curriculum (much like HEP) and is being developed by the curriculum research and development group at the university of Hawaii. The curriculum emphasizes the physical sciences and ecology and is sequentially structured—that is, FAST I (grade 7) is a necessary prerequisite for FAST II (grade 8) and FAST I and II are necessary prerequisites for FAST III (grade 9).

The windward Oahu district intermediate schools have been designated as the pilot schools to test the curriculum. In 1970–71, the 7th grade materials were tested. In 1971–72, the 7th grade materials were in the final phases of revision and testing, and testing of the 8th grade materials were supposed to commence. In 1972–73, testing of 9th grade materials are supposedly in progress.[17]

In November 1971, upon the recommendation of the superintendent, the board of education deferred decision on the

[15] See DOE, *Authorized Courses and Code Numbers 1971–1972: Intermediate and Senior High Schools,* December 1970, and *Authorized Courses and Code Numbers 1972–73,* October 1971.

[16] The list includes: reading improvement; speed reading; independent study; systems of grammar; local dialect; semantics; applied semantics; creative writing; expository writing; the film as art; science fiction; modern drama; poetry; oriental literature; Shakespeare; Polynesian literature; comparative folklore; re-examination of children's classics; literature from the Bible; humanistic view of communication; humanities in the language arts–love; humanities–the language of war; humanities–philosophy and thinking.

[17] Minutes, board of education, November 18, 1971. The DOE, *Project Management and Reporting System, Summary Report on the Status of OIS Projects as of January 31, 1972,* reports that pilot-testing of FAST, other than FAST I, is not on schedule and conditions are worsening.

implementation of FAST as a statewide curriculum until an evaluation of the total package (FAST I, II, and III) was completed.[18] However, even as the board made this decision to defer, FAST I had already proliferated to other intermediate schools.[19] In school year 1972–73, FAST I is being taught in nearly all intermediate schools on Oahu and in one school apiece on Maui and Hawaii.[20]

As an aside, we note that the wording of the board's decision probably contributed to this spreading. The board's decision to defer was followed by the words, "and to consider the seventh grade materials as one of the valuable curriculum alternatives at the present time."[21] Whether these words were added as a recognition of the fact that FAST I had already spread to other than pilot schools is unclear. However, they appear to be susceptible to the interpretation that intermediate schools may, at their option, offer FAST I. If this interpretation is correct, the board's decision in effect encourages further proliferation of a program as yet not officially adopted as a statewide curriculum.

The possible consequences of this proliferation are substantial. By the time a final evaluation of the entire FAST program is had, a countless number of students would have gone through at least FAST I. Since FAST is a sequential curriculum, each succeeding level being built upon the preceding levels, the ease with which these students may be assimilated at grades 8 and 9 into another science program very unlike FAST II and III, is likely to be a major consideration in the board's final decision. If the prospects of future science curriculum for these students is even remotely negative,[22] the board may very well have little option but to permit FAST II and III for at least these students. The spreading of FAST I, then, may well preclude the board from reaching a decision other than to adopt the entire FAST curriculum as the state program.

School-state concurrent development of programs. The origin of the current "inquiry-conceptual" social studies program for secondary schools and the answer to the question, who led whom in its development, are a little difficult to trace. It appears that this new program also had its roots in the schools. However, unlike the secondary language arts program, before the program fully developed and proliferated among schools, the state office asserted its leadership. State office leadership, however, did not preclude schools from continuing to develop their own programs independently of the state office. An explanation follows.

The traditional social studies program for the secondary schools consisted of the following:[23]

Grade 7:	Hawaii and Geography
8:	U.S. History and Government
9:	Asia, Africa, & Latin America
10:	World History
11:	U.S. History
12:	American Problems

In 1968 or even before, Hilo High School embarked upon the inquiry-conceptual approach. This approach depends heavily upon

[18]Minutes, board of education, November 18, 1971. This decision was reached even though there were strong recommendations from groups such as the state ESEA advisory council that the board of education adopt FAST I and endorse the completion of FAST II and III.

[19]*Ibid.*

[20]About 20 out of 25 intermediate schools on Oahu. Memorandum, dated October 19, 1972, from director FAST project to director Hawaii curriculum center, DOE.

[21]Minutes, board of education, November 18, 1971.

[22]Memorandum, dated October 19, 1972, from director, FAST project, to director, Hawaii curriculum center, DOE, hints that this indeed may be the case. The memo does not face this question squarely. It vaguely alleges that experience with students' transferring after FAST I to a science program other than FAST II "has been reasonably positive," but it quickly points out that "continuance in the program [FAST II and III] militates to the advantage of the student."

[23]DOE, *Teachers' Guide in Social Studies, Grades 7–12,* 1964.

the use of various materials (selected by the teacher) related to the concept (or concepts)[24] being studied by the class. The materials necessary are limited only by the setting or settings[25] within which the concepts are studied. Although concepts are studied within specified settings, what is really being sought, from the standpoint of the student, is a mastery of the several modes and processes of inquiry—analytic, integrative, and policy. Thus, the inquiry-conceptual approach is distinguishable from the traditional program which relies heavily on a single textbook—a textbook which is arranged in chronological order and stresses memory of facts.[26] Because various materials are used rather than a single textbook, a material resource center is said to be essential for the inquiry-conceptual approach. At the time that Hilo High embarked upon this new program, Kailua High School was also beginning to implement the inquiry-conceptual program and was establishing a model resource center.

When Hilo High began formulating its inquiry-conceptual program, the program specialist at the state office recommended the adoption of the Hilo High program as a "pilot" program to be tested. However, in the development of the program at Hilo High, there was little, if any, input—assistance or supervision—by the state office. Then, in early 1969, although the Hilo High program had hardly begun and although the program had not been evaluated in the sense that the word "pilot" suggested, the program specialist at the state office recommended via the *Analytic Document, Social Studies,* February 1969, that the inquiry-conceptual approach be implemented in all high schools. The shape of this new program approach was not, however, entirely clear when the recommendation was made. Thus, the analytic document, while pointing out the general direction of the new program, candidly recognized that the program configuration was yet to be developed. It estimated that full development and implementation of the program would span a period of six to seven years:

> "The recommended program involves development and implementation of an Inquiry Conceptual Advanced Program which spans over a period of 6 to 7 years. Six levels are expected to be identified and at least 1 year will be devoted to the development of each one. Demonstration of each level's program of studies, evaluation, revision, and implementation, will continue for 2 years after the development phase of each level."
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> " . . .
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> "During the 1968—69 school year, outlines of the various courses of study in the proposed program should be developed . . . . Beginning in the fall of 1969, development of the courses of study should commence with what is presently the grade 7 course. Draft versions should be demonstrated during the following school year, at which time development can commence for another course of study. Partial implementation of the first phase of a new program can therefore begin in the fall of 1970."[27]

Pending full development of the program, the analytic document recommended that the ongoing, secondary social studies program should be supplemented by the Harvard Social Studies Project materials and the Pacific and Asian Affairs Council (PAAC) program.

The issuance of the analytic document of February 1969 marked the beginning of intensive efforts on the part of the state office to shape the inquiry-conceptual social studies program for secondary schools. It appears that although the state office took active leadership

[24] By "concept" is meant socio-economic-political ideas. For example. "value," "individuality," "myth," "religion," and "freedom are concepts.

[25] By "setting" is meant the backdrop or environment. For example, "Hawaii," "the United States," "families around the world," and "Asia" are settings.

[26] For example, a textbook on U.S. history traces the history of this country from the earliest to the most recent times.

[27] DOE, *Vol. III: Analytic Document, Social Studies,* February 1969, p. 19.

in formulating this program for the state as a whole, Hilo High School continued its efforts in developing the inquiry-conceptual program for itself. It further appears that, although both the state office and Hilo High worked simultaneously in developing the program, their efforts were independent of each other. The following strongly indicates this. *First,* the analytic document made no mention of the program development then going on at Hilo High School. *Second,* Hilo High School reported to the house education committee on February 5, 1971 as follows:[28]

> "Ours was a grass roots project to improve social studies instruction and learning. We are continually encouraged by the department to be 'innovative and creative.' Even after we had amply proved by working long hours and during summers and vacations that ours was not an impulsive fly by night effort, we continued to receive little support from the state, and until last spring, from the district, beyond 'pats on the back.' Concrete support of the type described above [ed. note: e.g., completion of resource center] were continually denied us on the basis that ours was not a state, or even district, initiated project. We submitted what we were instructed to well before stipulated deadlines, to no avail."

The second analytic document issued in January 1970 affirmed the earlier recommendation that the state implement the inquiry-conceptual program in the State's secondary schools. It noted that no program guide was then in existence and that one would have to be developed. It stated that teachers and schools would be given flexibility in selecting those materials they consider best suited for their students from various sources, but that the state office would have the responsibility for providing a list of recommended materials. The document explained that for such selected materials to be recommended the materials would have to be "pilot-tested," that each set of materials would be pilot-tested for a period of two years, at the end of which an evaluation would be conducted and a determination made to either expand or terminate the use of the materials, that one set of materials would be tested in no more than three schools, and that in any one school year, no more than five sets of materials would be undergoing pilot-testing. No reference was made to the earlier recommendation that the ongoing program be continued, supplemented by the Harvard Social Studies Project materials and the PAAC program, nor was any mention made of the time period required for full implementation. And, again, except for a brief note to the fact that pilot-testing of materials was then taking place at Hilo High, the 1970 analytic document gave no indication that the efforts of Hilo High and those of the state office were being coordinated.

The *Foundation Program* issued in September and adopted by the board of education in October 1970 makes no specific reference to the inquiry-conceptual approach to the study of social studies in the secondary schools. It merely indicates that social studies is required in each of the secondary school years, except that social studies in the last two years may consist of courses from "specialized electives in Humanities or Environmental Studies."[29] It further notes that every high school must offer on an elective basis American Studies, Economics, and "one other course" in social studies.

The configuration of the inquiry-conceptual, secondary social studies program began to emerge with the issuance of the *Authorized Courses and Code Numbers, 1971–72, Intermediate and Senior High Schools,* December 1970, and the *Secondary Social Studies Program Guide,* 1971. As explained in these documents, the *total* social studies program is divided into four "levels." Levels I and II comprise the *elementary* social studies program. Levels III and IV comprise the *secondary* program. Level III corresponds to the traditional grades 7, 8, 9, and 10, and level IV corresponds to grades 11 and 12. For level III,

[28]Testimony of the Hilo High School social studies department chairman before the house education committee, February 5, 1971.

[29]DOE, *The Foundation Program for the Public Schools of Hawaii,* September 1970, p. 13.

there are four "themes," one for each grade level in the following sequence:

Theme I:	Our Cultural Heritage
Theme II:	Basic Issues and Problems in the United States
Theme III:	World Cultures
Theme IV:	American Studies

In essence, the "themes" correspond to the traditional "courses." In fact, there is much likeness between the themes and the traditional basic courses that were required in the past, to-wit:

Grade	Themes	Traditional Courses
7	Our Cultural Heritage	Hawaii and Geography
8	Basic Issues and Problems in the United States	United States History and Government
9	World Cultures	Asia, Africa and Latin America
10	American Studies	World History
11	--	United States History
12	--	American Problems

Both the *Authorized Courses* and the *Program Guide* specify Hawaii as the setting for theme I, "Our Cultural Heritage," and the United States for theme II, "Basic Issues and Problems in the United States." The *Program Guide* specifically mentions Asia and Africa, along with Middle and Western Europe, as possible settings in the study of certain concepts for theme III, "World Cultures." According to the program specialist at the state office, the traditional course and course titles could have been retained, but were changed to assist in effecting a change in teachers' and students' attitudes from fact memorization to "inquiry" and "concepts" stressed by the new program.

The level IV program (grades 11 and 12) consists of electives. Every high school must, at a minimum, offer the following courses on an elective basis to juniors and seniors: United States History, American Problems, and Economics. In addition, a high school may offer as specialized electives any or all of 20 listed courses.[30] Most, if not all, of these minimum and specialized electives are courses which the various high schools had been offering before the adoption of the inquiry-conceptual approach.[31] The minimum electives will cease to be required when "full implementation of the revised secondary social studies program takes place."[32]

Since the issuance of the *Secondary Social Studies Program Guide* in 1971, the state office began to issue "curriculum resource guides" for the themes and the elective courses. These guides purport to *suggest* a way of teaching the various courses. Each guide breaks the course into units and each unit into lessons and activities. It identifies the behavioral (cognitive and affective) objectives to be sought from each unit, lesson, and activity, and for each lesson and activity notes the concepts to be covered and the resource materials that are available for use by teachers and students. It appears that such guides for themes I and IV have been completed, but not for all specialized courses.

What needs to be noted is that these efforts on the part of the state office have occurred independently of the efforts also being expended by Hilo High School. Upon the issuance of the *Secondary Social Studies Program Guide,* 1971, Hilo High found that it needed to revise its course sequence in order to conform to the state curriculum. But Hilo High chose not to follow the state program in every respect. For example, it found it desirable to deliver the new program by altering its instructional methods and strategies and has instituted team-teaching for secondary social studies. Further, the curriculum resource guides

[30]Hawaiiana; History of the Pacific; Political Science: Government of the United States; Psychology; Anthropology; Sociology; World Geography; International Affairs; Asian Studies; European Studies; Advanced Placement U.S. History; Advanced Placement European History; Humanities in the Social Sciences; Introduction to the Behavioral Sciences; Ethnic Studies; Urban Geography; Environmental Planning; Consumer Education; Historiography and Historical Method; Independent Reading and Research.

[31]The following were identified as being offered in the various high schools in the social studies analytic document, February 1969, and January 1970: World Geography; Sociology; Economics; Psychology; Hawaiiana; International Affairs; Government of the United States; Asian Studies; Survey of the Social Sciences; Advanced Placement U.S. History; and Advanced Placement European History.

[32]DOE, *Secondary Social Studies Program Guide,* 1971, p. 32; *Authorized Courses and Code Numbers 1971-72: Intermediate and Senior High Schools,* December 1970, p. 80; *Authorized Courses and Code Numbers 1972-73,* October 1971, p. 188.

issued by the state office are used by Hilo High only as "guides"; for example, the units prescribed in the state guides are not necessarily the same as those units followed by Hilo High, although "the philosophy is the same."[33]

State development of programs. In contrast to language arts and social studies, elementary HEP and SHES (health education program) are programs developed or initiated exclusively at the state office level.

The *Hawaii English Program* developed in this fashion. By the mid-60's there was increasing documentation of weaknesses in verbal facility among Hawaii's students.[34] By fortunate coincidence, federal funds for the establishment of curriculum development centers had then become available under Title III of the Elementary and Secondary Education Act. Also by fortunate coincidence, the university of Hawaii laboratory schools were seeking a new function in educational research and demonstration. The DOE applied for and successfully secured Title III funds, and the DOE and the UH jointly established the Hawaii Curriculum Center in 1966 for the primary purpose of developing a new language arts program. The UH was to provide all the personnel and facilities of the laboratory schools plus other staff support, and the DOE was to provide all of its Title III grant, some administrative personnel, and facilities and staff for field- and pilot-testing.

A systems approach and PERT (program evaluation and review technique), a management device for logically planning and monitoring any large-scale project, were utilized in the development of HEP. The PERT network displayed the phases, completion dates, and performance measures for the design and evaluation of curricular plans and materials and for the training of laboratory school, field-test, and pilot-test teachers.[35]

[33]Our interview notes.

[34]DOE, *Curriculum Survey of 1965;* standardized test batteries of the minimum testing program.

[35]"Hawaii Curriculum Center: A Unique Concept in Curriculum Development," The Hawaii Curriculum Center (n.d.), pp. 18–19.

The Hawaii English program that resulted was field-tested from 1967 and pilot-tested from 1969 in selected schools. Dissemination to all schools was originally scheduled for September 1971. In spring 1969, however, the legislature became concerned that HCC had become overcommitted in too many projects, and requested that the center concentrate on the completion of HEP for the elementary grades and prepare it for installation by September 1970.[36] In addition, the legislature requested that the HCC be placed under the sole jurisdiction of the DOE.[37]

As a result, the curriculum development and technology branch of the office of instructional services has since been responsible for the completion of the developmental phase and the installation of HEP in the schools. Once the program becomes ongoing, jurisdiction will shift to the general education branch.

The board of education's sanction of HEP was given in January 1970 when the board officially adopted HEP as the language arts curriculum for the public schools. For grades K–6 HEP consists of three subcurricula: language skills for grades K–6, literature for grades K–6, and language systems for grades 4–6. Installation, which began in the fall of 1970 for 45 percent of the K–1 enrollment, has been centrally controlled. Materials procurement, in-service training, supervision and assistance through installation teachers, have all been state office-conducted. Where responsibilities have been delegated to the districts, the state office has maintained supervisory control. Development of the secondary HEP curriculum is still in progress—again, in the hands of the state office.

In the case of *SHES*, the state office subjected the health education program to PPB analysis in 1969. At that time, the health education program in the schools consisted of textbooks selected by individual schools from a list of approved books included in the 1960 guide entitled, "Health and Safety Education in

[36]Conference Committee Report No. 23, 1969, p. 11.

[37]New music and science curricula were also under development when joint administration of HCC was discontinued; these became UH projects.

the Public Schools of Hawaii." The guide itself simply noted the concepts to be taught. This textbook program of the schools was supplemented during the period of the analysis by an ETV series entitled, "A Time of Your Life," for grades 5 and 6, and by another ETV series entitled, "It's Your Health," for the secondary schools.

In the analysis, the state office reviewed commercially available health education programs as options to the ongoing program and recommended the adoption of "School Health Education Study" (SHES) as the curriculum for all schools. SHES is a commercially available, packaged program which includes curriculum and resource materials, audio-visual aids, teacher guides, manuals, and a plan for in-service education of teachers, and is said to be designed in a sequential and cumulative manner. It consists of ten concepts covering a wide range of subjects in health education[38] and is developed in four levels: level I for grades K–3, level II for grades 4–6, level III for grades 7–9, and level IV for grades 10–12.

The selection of SHES was essentially an OIS effort. Its implementation in the schools began in October 1969.

In summary. These diverse ways in which curriculum is developed and gets installed in schools raise questions about whether or not there can ever truly be a statewide program in any of the subject-matter areas. If schools may indeed develop or install curriculum at their whim, what force do officially sanctioned programs have? May schools, for example, notwithstanding the adoption of elementary HEP and SHES for statewide implementation, simply ignore these programs should they be attracted to another program?[39]

Confusion as to who may and who may not develop curriculum is evident in the following statement made to us by a district curriculum specialist during our audit:

> "Innovations are usually initiated by the State or at the school level. The District curriculum staff develop and implement the State's innovative program plans. They work directly with principals who in turn work with their teachers. When innovation is initiated at the school level, a principal requests the assistance of the district curriculum staff members."[40]

The Problem

The reasons why the DOE is in a quandary in delineating roles in and responsibilities for curriculum development are twofold. *First*, state development of curriculum is a break from past tradition and the resistance of schools to such assumption of responsibility by the state office (whether conscious or not) is real. This attitude on the part of schools is revealed in a report on HEP, a state-imposed language arts program.[41] The report notes much concern by teachers, administrators, and installation teachers about the "restrictions" imposed against deviating from the highly prescribed form of HEP. In explanation of the cause of this concern, the report states:

> "The need to deviate from HEP may be a backlash of the DOE's philosophy in curriculum development. In the past, teachers were asked to develop programs based on their professional judgment. Thus, the imposition of the new HEP curriculum created negative feelings among some teachers."[42]

[38]The ten concepts include anatomy, growth patterns (similarities and differences among individuals), health responsibilities (individual, community, international), hazards and accidents, environmental health (relationships between man, disease, environment), family and sex education, personal health practices, consumer health, mood modifiers (drugs, alcohol, narcotics), and nutrition.

[39]Note that schools are constantly bombarded by new concepts evolving locally and nationally.

[40]Honolulu District Visitation Report, Jarrett Intermediate, on October 29, 1970 and November 10, 1970.

[41]From "Summary of Findings," HCC, *On-Site Visitations in May and June*, dated July 2, 1971.

[42]*Ibid.*, p.-5.

The second, and the more important reason, is the inability of the DOE to pierce through the fog of "centralization-decentralization" and to think of roles and responsibilities in managerial terms. It equates state leadership and involvement in curriculum development to a centralized system, and innovation in curriculum by schools to a decentralized system. It confuses "role" with "responsibility." Thus, it thinks state leadership means no innovation by schools.

Responsibility for curriculum development. As we pointed out in chapter 9, "centralization" and "decentralization" are terms used to denote the hierarchical level at which decisions are made. To comprehend any centralization-decentralization characterization, however, one must focus on *what decisions* are being centralized and *what decisions* are being decentralized.

As we noted, given the constitutional language, it does not appear that autonomous districts or schools were envisioned by the framers of the Hawaii Constitution. As such, matters pertaining to strategic decisions are the responsibility of the state office, the top level of the management hierarchy. Ultimately, the board of education must make strategic decisions. However, it is the state office which must be responsible for and make recommendations of a strategic nature to the board of education. Strategic matters are those relating to the objectives of the organization and the programs necessary for achieving those objectives. Since curriculum lies at the core of education, the determining of the ends to be sought by the school system as a whole and the shaping and forming of the statewide curriculum are the responsibility of the state office.

Roles in curriculum development. We have also said that the specification of what decisions are centralized and what decisions are decentralized says nothing about the process by which such centralized or decentralized decisions are made. The fact that curriculum development *responsibility* is lodged in the state office does not mean that schools and districts cannot have an input. Indeed, these operating units do (and should) have a *role* in strategic planning. Ideas about curriculum which start the development process going may originate at the school and district levels. The staff units at the state office ought to work with the districts and schools, particularly in light of the fact that curriculum decisions must often be "sold" to the districts and schools if the decisions are to be successfully implemented. Such involvement of districts and schools in the past curriculum development efforts of the state office has been negligible.

In social studies, for example, the analysis and development of the shape of the secondary, inquiry-conceptual program was basically a state OIS effort. There was some involvement of people outside the OIS, but only minimally. The desire of districts and schools to be involved was expressed at an OIS-sponsored, three-day leadership institute for secondary social studies department chairmen held in the summer of 1970. At that institute, the department chairmen raised the following questions: Who developed the secondary social studies program? Why was the field not consulted in the planning of the program? Why were principals not notified of the new program?

What is needed is a system by which ideas may flow from the bottom to the top and from the top to the bottom. A task force, made up of personnel from the districts, schools, and the state office (a device which is used to some extent within the DOE), is one of the ways to enhance this free flow of ideas.

However, *responsibility* in the state office means that ultimate decisions on curriculum must be made there. It means that whenever a new curriculum idea is initiated and pilot-tested by schools, the state office must exercise management supervision and control to ensure that the new idea is in keeping with the objectives and overall policies of the DOE and does not become an on-going program without the benefit of analysis and evaluation. In secondary language arts, for example, the state office exercised little of this managerial supervision and control.

It should be further noted that state prescription of the curriculum programs does not necessarily mean uniformity of programs throughout the school system in every detail. Some discretion and flexibility in schools may (and should) be allowed in order that schools

may deliver that program in a fashion best suited to the needs of the school community and to the variability in student abilities and accomplishments. What it does mean, however, is that the state must ensure that schools adhere to universalistic criteria in exercising that discretion.

Drawing the responsibility line between state, district, school. There is no sharp line which separates state responsibility from district and school responsibilities. In assigning responsibilities, the whole spectrum of activities involved in curriculum development and implementation must be viewed from the standpoint of strategic planning, management control, and operational control. As stated many times, *strategic decisions* are the responsibility of top management. This means the objectives to be sought in a program, the system context of the program, and the essential structure of the program to be implemented in the schools, must be specified by the state office. On the other hand, *operational control* is the responsibility of the schools—that is, the day-to-day execution of the state program.

Management control decisions relate to the acquiring and using of resources effectively and efficiently in accomplishing objectives. Both top management and line are involved in management control. Since management control decisions focus on program execution, a large portion of management control decisions may be delegated to or made in "partnership" with districts and schools. The state office's responsibility is to communicate the state's objectives, programs, policies, guidelines, decisions, and results throughout the DOE system, lay down general procedures and practices governing program execution which are of statewide applicability, and monitor performance by districts and schools. Within the policies, programs, and guidelines established by the state office, the districts and schools can and should be permitted to make discretionary judgments. Specifically, the districts and schools may be permitted, within overall financial, personnel, and other constraints, to trade-off between and among the resources necessary to execute the program and to devise means and procedures that would most effectively and efficiently implement the state program in light of student and community differences. Districts and schools, however, must be held accountable for program results and the efficient utilization of resources.

We believe that the DOE should without delay delineate the roles and responsibilities of the state office, the districts, and the schools in curriculum development. So long as the roles and responsibilities remain fuzzy, a meaningful statewide curriculum is impossible.

Recommendations

We recommend that the board of education formulate and adopt policies which will

1. Fix responsibility on the state office for curriculum development; communicating the state's objectives, programs, policies, guidelines, decisions, and results throughout the department of education system; establishing general procedures and guidelines for program execution; and monitoring the performance of districts and schools.

2. Provide for district and school participation (but not responsibility) in curriculum development.

3. Permit districts and schools, within the resource constraints, policies, and guidelines established by the state office, to take into account local conditions and to make discretionary judgments in the execution of programs.

CHAPTER 14

PROGRAM ANALYSIS

All new programs and their design should be the product of analysis. By analysis we mean a systematic comparison of alternative means of attaining desired objectives. Underlying any analysis is the concern for the most efficient and effective use of scarce resources. Analyses run the gamut of the broad to the very narrow. A broad analysis fully considers all of the following elements:

- A clear definition of the issues.
- Specification of the objectives being sought.
- Identification of the measures by which to ascertain attainment or non-attainment of the objectives.
- Determination of the alternative means by which the objectives may be reached.
- Identification of the full costs and potential benefits of each alternative.
- Identification and specification of the associated assumptions, risks, and uncertainties.
- Development of a model linking inputs to outputs.
- Comparison of the alternatives in light of the costs, benefits, assumptions, risks, and uncertainties.
- Testing the sensitivity of the results to changes in assumptions, conditions, etc.

Consideration of the above elements is appropriate for both the development of an entirely new program or the development simply of a new program design, although the depth to which each element must be considered may differ in each case. Indeed, in the development of an entirely new program, an analysis of the optimal configurations of the different parts of each alternative is usually required.

Analysis, as defined here, lies at the core of the planning-programming-budgeting system incorporated in Act 185, SLH 1970. The DOE began shifting to this new budgeting system in 1967. Since then, it has attempted to subject its various curriculum areas to the kind of analysis described here. However, despite several years of experience with the new system, the department has yet to reach that level of proficiency which will allow the products of its analysis to command the confidence of high-level decision-makers.

Summary of Findings

In summary, we find that:

1. New programs are developed without having undergone rigorous analysis.

2. Such analysis as the DOE conducts is of poor quality.

3. The department has made little effort to upgrade its analytical capabilities.

Quality of Analysis

The DOE's analytical efforts to date have shown a marked need for upgrading. The

shortcomings of these analytic efforts have been discussed in detail in past legislative reports.[1] We do not think it necessary to repeat the many findings included in these reports. It is sufficient for our purposes here merely to summarize some of the more glaring weaknesses in the department's analytical efforts and to illustrate them by using one of the recent analyses conducted by the department.

The analysis used for illustrative purposes is that analysis conducted on early childhood education.[2] The DOE is currently designing a program for early childhood education based on that analysis. Early childhood education is defined by the DOE as programs and activities to provide children "with the full range of challenging and stimulating experiences" from birth through age eight with a focus on the period between birth through age four. The development of this program represents a fundamental redirection of the public education system which, up to now, has been concerned primarily with the education of children from kindergarten through high school. With such a fundamental change, the magnitude of which can only be guessed at, it should reasonably be expected that the department would have subjected early childhood education to rigorous in-depth analysis before even embarking on the design of the program. This has not been the case. Like other DOE programs, the early childhood education program is being designed and developed without any prior formulation of program objectives, establishment of criteria to measure attainment, development of alternatives, and systematic comparison of their effects, benefits, and costs. In short, a commitment to launch a program has been made without the analytical base to support even its design. The development of the early childhood education program has the approval of the board of education.

[1]See Special Committee Report No. 2, February 2, 1968; Special Committee Report No. 2, February 24, 1969; Special Committee Report No. 3, March 2, 1970; and Special Committee Report No. 3, February 23, 1971.

[2]DOE, *A Study on Early Childhood Education* (preliminary draft for discussion only), November 1971; in June 1972, a revised version of the study was published which amended certain portions of the preliminary draft but added no analytical substance to it.

Objectives. The DOE has had difficulty stating objectives in a clear, simple, precise form. The statements of objectives are often so vaguely, broadly, and imprecisely stated as to make it difficult to discern exactly what end result the programs are intended to achieve. Sometimes, the real objectives are obscured and, at other times, the statements are nothing more than descriptions of the activities to be encompassed by the program.

In the case of early childhood education, the analysis avoids the problem of having to state clear program objectives. It does so by not stating *any* objectives. The closest the report comes to identifying what the program is intended to accomplish is its statement that the "goal" for early childhood *development* is "THE FULL AND SAFE DEVELOPMENT OF THE CHILD IN AN ENVIRONMENT OF LOVE AND JOY."[3] No broad, unarguable statement of this type can serve as a sufficient basis for program analysis. It should be noted also that the "goal" is related to childhood *development*; it does not say anthing about what *end results* the department proposes to achieve through early childhood *education.*

The omission of program objectives is associated with the omission of any substantive discussion of program issues. The specific problem to be solved by early childhood education is not defined. The analysis does make references to studies which stress the importance of early childhood development, and the inference could be drawn that, because parents are not doing a very good job in raising their children or as good a job as they should be doing, the intervention of government is necessary. If this is the case, the dimensions of the problem to be solved by government should be explicitly defined in the analysis. Moreover, the consequences of not solving the problem should be identified.

There are data and discussion in the analysis that, in the coming years, the demand for *child care services* may escalate sharply. It points out the high percentage of married women in the national labor market and that, in Hawaii with its high costs of living, mothers will

[3]*Ibid,* p. 5a of the November 1971 report.

increasingly enter the labor market. However, the analysis does not identify the condition of increasing demand for child care services as a problem to be met through early childhood education. Therefore, as noted in our discussion of alternatives, no options to meet the increasing demand for child care services are analyzed.

The lack of a rigorous analysis of what's wrong (problem identification), coupled with the omission of explicit statements of what should be (problem objectives), makes the analysis shaky from the beginning. Predictably, what follows in the rest of the study is not analysis at all but merely the mustering of information and opinions to support a set of program recommendations.

Measures of effectiveness. A fundamental step in analysis is that in making program selection decisions, program alternatives should be evaluated against criteria that reflect as closely as possible the objectives of the program. This requires the prior formulation of measures to assess the attainment of objectives. In some of the DOE's analytical efforts, the measures are incomplete. In other cases, the measures are inappropriate or of questionable relevancy. Because of these shortcomings, analysis of alternatives is weak. In addition, when the program is ultimately implemented, the program is without appropriate criteria by which its effectiveness can be *evaluated*, as we point out in chapter 20.

In the preceding section, we noted that the study of early childhood education does not contain any explicit statements of program objectives. Objectives and measures of effectiveness should be two sides of the same coin. But, with the omission of program objectives, measures of effectiveness are likewise omitted. The result is that, again, the DOE is developing a new program without its having been analyzed against defined criteria. There is not even the slightest recognition that measures of effectiveness for early childhood education need to be developed.

Alternatives. The DOE has been particularly weak in the identification and generation of alternatives. Often, only one program other than the ongoing is identified. Sometimes, no real alternatives are presented. It is not unusual for the DOE, for example, to identify as alternatives "the development of a new program" and the ongoing program, without a clear description of what the new program is going to look like. In other cases, the DOE confuses program alternatives (alternative programs to achieve the objective) with program components (the parts which make up a program).

The latter is the case in the early childhood education study. Rather than formulating alternative ways to achieve objectives in early childhood education and subjecting the alternatives to systematic analysis for the purpose of arriving at the best program alternative, the study presents, instead, the *components* of the program, *all* of which are recommended. Basically, the recommended components of early childhood education are (1) an information dissemination service to parents and others; (2) a child development social work service; (3) service to upgrade personnel of private day care centers; and (4) free educational service to all four-year olds classified as handicapped or "disadvantaged."

Note that none of these program components deals with the one condition suggestive of a problem, i.e., the increasing demand for child care services in Hawaii because of the increase of mothers entering the labor market. If the study had included an analysis of this particular condition, such alternatives as government-operated child care centers, subsidy to private child care centers, and leasing of idle school facilities to private operators, etc., would have been analyzed. For all that the study says about the importance of government involvement in providing comprehensive child care and development services, it is difficult to see how the study can omit an analysis of the basic options in meeting the demand for child care services.

Costs. Program analysis requires *total* costs to be calculated for each alternative. These costs include not only the direct costs to government for the particular alternative but the cost impact, or spillover costs, that the alternative might have on other programs. In the DOE's analytic documents, spillover costs are seldom

considered; the department has trouble enough identifying the *direct* government costs.

The result is that the costs of even the selected alternative cannot be relied upon as representing the total, direct costs to government. Such costs surface not from the analysis conducted but usually only when the new program is being installed. This was the case with the Hawaii English program. As late as 1970, the DOE's analysis of language arts claimed that there would be no additional costs for personnel to assist in the installation of the Hawaii English program. Installation support would come from the eight existing district coordinators and from the redeployment of existing language arts resource teachers.[4] But a year later, the legislature was presented with a budget request to hire HEP installation teachers. The biennial request amounted to $740,000, not an inconsequential cost which analysis might easily have overlooked.

A part of the problem in arriving at reasonably accurate cost estimates is the lack of understanding of the DOE's analysts of a system view of costs and the categories of costs which comprise full system costs. Costs should be grouped and categorized into the following categories:[5]

1. ***Research and development costs.*** These costs are one-time costs associated with the development of a new program, system, or capability to the point where capital and/or non-capital investments are required to introduce the program, system, or capability into operational use. Such costs include the costs of program design, and test and evaluation.

2. ***Capital investment costs.*** These are one-time costs, beyond the research and development phase, associated with capital improvements, including the acquisition and development of land, the design and construction of new facilities, and the making of renovations or additions to existing facilities, which are required for a new program, system, or capability to be introduced into use.

3. ***Non-capital investment costs.*** These are one-time costs, beyond the research and development phase, other than investment costs for capital improvements, which are required for a new program, system, or capability to be introduced into use. Such costs as the costs of installation teachers for the Hawaii English program would fall under this cost category.

4. ***Operating costs.*** These are the recurring costs of operating, supporting, and maintaining programs, including costs for personnel salaries and wages, employee fringe benefits, supplies, materials, equipment, and motor vehicles.

The four cost categories are structured to facilitate arriving at total costs. They represent "life cycle" costs, the total costs over the life of the program. What is important in analysis is not just the program design cost or the initial, start-up cost, but the full cost over time.

In the early childhood education study, these fundamental concepts of costs are completely ignored. It identifies only what it calls the "starter" or initial first-year installation costs for the components comprising the program. These "starter" costs amount to $1.5 million. Just as no estimates are presented of the ultimate size of the program, no estimates are made of the total costs of the program.

Our comments on the early childhood education study do not imply that such a program might not be worthwhile. But we have focused on that study for two basic reasons. *First,* it illustrates some of the more glaring shortcomings in the DOE's analytical efforts. *Second,* the early childhood education program is currently being designed and developed. It is not too late to redo the analysis before proceeding further with program development. What appears to be in the making is a multi-million dollar program of unknown benefits and effects. With these uncertainties, we do not think that such fundamental aspects of analysis as problem or issue identification, program objectives, measures of program effectiveness, formulation of viable alternatives,

[4] DOE, *Analytic Document, Language Arts,* January 1970, pp. 64–66.

[5] These are the same cost categories required by Act 185 for the budget and program and financial plans. The department does as poorly in categorizing costs in those documents as it does in program analysis.

and the calculation of full system costs are matters to be treated lightly or ignored.

Reasons for Inadequate Analysis

It appears that the reasons why past analytic efforts of the DOE have not been of acceptable quality are: (1) the lack of competencies in the DOE to do analysis, and (2) the failure on the part of the DOE to provide for greater involvement of people in the analytic stage of developing curriculum.

Competencies. Past analytic efforts in the curriculum area have depended heavily on the program specialists at the state office. As noted in chapter 10, except during the early years of the DOE efforts, the role of the office of planning has been minimal in analysis. The relationship of superior–subordinate prevailed rather than the relationship of peers. Technical assistance has been rarely rendered during the period of analysis, the office of planning reserving unto itself the role of a critic and reviewer of analysis.

If program specialists are indeed expected to analyze curricular programs, it alters the previously existing qualification requirements for one to become a program specialist. For those already in office as program specialists, this means intensive training to permit them to perform that kind of analysis expected of them. Our review of the training records, however, showed that training in analysis has been minimal. As late as October 1971, the one PPB training session attended by most program specialists had been a three-hour orientation devoted to instructions for filling in forms.

Indeed, it appears that training throughout the department has been minimal, including those in the office of research and planning. Most of the individuals who have gone through training have proceeded no further than the introductory program in PPB in general.

Articulation of PPB throughout the DOE system. Although ultimate responsibility for formulating and recommending statewide programs rests in the state office, teachers and administrators at the district and school levels have a role in curriculum development. If curriculum development means analysis (as it does under Act 185's PPB system), then all those participating in curriculum development must become acquainted with the concepts and underlying emphasis of PPB and program analysis. Further, if curriculum development and implementation developed by the state office is to have any meaning for the department as a whole, the development of the state's lower education program and financial plan and variance report require the participation of districts and schools. That is, a program or a plan cannot truly be a state program and a state plan unless all segments of the DOE hierarchy are involved in such programs and plans.

We believe also that analysts in the department of education have little incentive to improve their analytical efforts, because the board of education has too easily "bought" their analytical studies. Also, by transmitting analytical documents to the legislature with little or no review, the board seems not to be aware of the policy implications of analysis. In chapter 10, we recommended an independent unit, reporting directly to the superintendent, to establish guidelines for analysis and to evaluate analysis. This would contribute to some improvement, but until the board, as the primary consumer of analysis in education, insists on being presented with quality analysis, the incentive to improve will be lacking.

Recommendations

1. We recommend that the board of education recognize the importance of analytical reports and, as appropriate, insist that they be presented with quality analysis.

2. We recommend that the department of education:

- *Establish a system of program analysis review to assure quality analysis. An appropriate system would include the establishment of an analysis review and evaluation unit, reporting directly to the superintendent, as recommended in chapter 10.*

Identify the analytical training needs of personnel engaged in analysis and provide for appropriate training to all such personnel, and particularly to the program specialists in the office of instructional services.

Involve personnel from the districts and schools in analytical efforts in the curriculum areas and articulate to them the fundamental concepts of PPB.

With respect to early childhood education, suspend further program design and development until the analytical shortcomings identified in this chapter have been corrected.

CHAPTER 15

PROGRAM DESIGN

In any rational planning process, during or upon the selection of a program, the next logical step is usually the design of the selected program that details the program components and configuration. A system view is required in design in order that all components are identified and each component in turn is properly and adequately patterned.

Summary of Findings

In the DOE, statewide programs are often implemented or attempts are made to implement them without a clear notion of what the program looks like in totality and what is involved with respect to the components and sub-components of the program.

Summary of Results of Implementing Programs Without Proper Design

The results of implementing a program without a proper design are predictable. Among them are the following:

1. Each school interprets the state program in its own way and different versions of the program surface throughout the DOE system. The confusion is compounded when the state office, through accident or design, evolves a more definitive design of the program after schools have begun to implement the program. Schools then find themselves needing to alter directions, modify plans, and add to or substract from the program that they had begun to implement.

2. The program is badly implemented, if at all. This is particularly so when the program design fails to identify or fully explore the resources required for implementation and they become evident only as schools attempt at implementation. In such cases, schools are compelled to scramble about to lay their hands on whatever resources that may be available within their budgetary constraints.

3. The objectives of the state program are not realized. This occurs when the program design fails to fully shape an essential component of the program. The implemented program hobbles along under the handicap and never reaches its full potential until sometime later when the defect is corrected, if at all.

4. The program either tends to become more costly than originally thought or incurs costs that could have been avoided if the program had been properly designed. Costs are multiplied if the resources required for the program are uncovered only as the program is implemented. Costs are added when backtracking, direction alterations, and plan modifications are made necessary by the state office evolvement of more definitive designs after program implementation has begun. And, costs are unnecessarily incurred when a new program, more costly than the old, is implemented but expected results are not forthcoming because a component essential to the success of the program has not yet been thoroughly examined and shaped.

In the following sections we illustrate the kinds of difficulties that are encountered by implementing programs without proper design. We illustrate them by relating the DOE's experiences in implementing the inquiry-conceptual, secondary social studies program, the elective secondary language arts program, the 3 on 2 concept, and the individualized education program.

Social Studies

The secondary, inquiry-conceptual social studies program is an example where the DOE did not fully consider the resources required before proceeding to implementation. The inquiry-conceptual approach to social studies for the secondary schools in the State was first proposed in an analytic document issued in February 1969. However, neither that document nor the subsequent one issued in January 1970 spelled out the configuration of the program. The first hint of the shape of the program came with the issuance of the *Authorized Courses and Code Numbers, 1971–72, Intermediate and Senior High Schools,* December 1970, and a fuller description was supplied in 1971 with the publication of the *Secondary Social Studies Program Guide.* The guide spells out the general concepts to be taught and the learning objectives to be sought.

An essential component of this social studies program is the eclectic approach to instructional materials–that is, the flexibility given to teachers and students in selecting from a variety of materials of various kinds (e.g., pictures, maps, filmstrips, films, tapes, transparencies, and books, periodicals, and other written material) those which will assist in learning the concepts included in the program. To support this eclectic approach, a resource room is required in each school to house these materials. That such a room is indeed required for the program was indicated in the analytic documents and was confirmed in interviews conducted by this office in the field. However, neither during the development of the program nor subsequently but prior to implementation by schools did the DOE explore fully the extent of the need for resource rooms in the State and the implications flowing from providing such rooms to each secondary school in the State.

Thus, during implementation, it became evident that at least 50 percent of the secondary schools were without resource rooms of any kind.[1] It further became evident that there were a number of unsettled questions regarding resource rooms. For example, what is the minimum resource requirement necessary to support the program? how large should a resource room be? who is to man the resource room to provide such services as arranging materials, putting them away, assisting students, and monitoring the use of the room?[2] where is the money coming from to pay for the resource room, the materials, and the personnel needed to man the room?[3]

Since none of these matters had been adequately considered before the program was implemented, schools were required to make do the best they could within their budgetary constraints. How much of the funds ostensibly allotted to schools for other purposes was diverted for the purpose of making available resource rooms, purchasing materials, and manning the room, is not known. What is known, however, is that inevitably inequities developed among the schools with respect to resource rooms, and program expectations have been hampered in those schools which lacked and could not acquire a resource room, purchase necessary materials in sufficient quantity, and acquire the necessary personnel to properly man the resource room.

The inequities and non-attainment of objectives have been compounded by a later change in DOE's stance from a single-discipline resource room to a multi-discipline resource room,[4] a change which was also not accompanied by a full examination of the cost and other implications flowing from such decision.

[1]Per program specialist, social studies. It appears that when the decision was made to adopt the inquiry-conceptual approach, at least the following schools already had resource rooms: Kaimuki Intermediate, McKinley High, Kailua Intermediate, and Kapaa High; and that at least the following did not: Central Intermediate, Waipahu Intermediate, Puunene Intermediate, Laupahoehoe Intermediate, and Wheeler Intermediate.

[2]The social studies department chairman of Hilo High School testified before the house education committee on February 5, 1971 that there was an urgent need for a two-room resource center and three para-professional aides to assist in manning the center and for relieving teachers engaged in the assembling and production of materials.

[3]Some schools estimated their resource requirements to be double or more than that under the former program (Campbell High, Waialua High, McKinley High).

[4]DOE, *Educational Specification and Standards for Facilities,* April 1970, pp. 58, 66.

Language Arts

The semester elective, secondary language arts program is one of those programs that emanated from the schools themselves. This program, which is now in vogue among the high schools, received state office sanction in late 1970. It replaced the traditional basic English courses for grades 10, 11, and 12.

Counseling and guidance of students in course selections are said to be an essential ingredient of this program.[5] Counseling and guidance apparently are necessary to ensure that a student's course selections are not confined to a very narrow area but are spread out among various areas in the field of English and are in some logical sequence. Despite this recognized need, counseling and guidance are not now being provided students on a systematic basis. Indeed, a vast number of students are currently making course selections without any counseling or guidance at all.

The cause of the present situation lies in the fact that at no time has the system of delivering this necessary counseling and guidance to students ever been fully examined and designed. Thus, there are no precise specifications as to who renders counsel and guidance, what skills such persons must have, the guidelines and standards to follow, and the mechanism for flowing students through counseling and guidance.

If counseling and guidance are an essential ingredient of the program, then surely a system must be designed for them. Without such a system design, achievement of the objectives of the program cannot be expected. Undoubtedly, student freedom to select courses in and of itself is not the objective of the program.

3 on 2

The 3 on 2 program, unlike others within the DOE, is not concerned with a particular instructional subject but rather with instructional delivery method and grouping of students. It is a part of a much larger program within the DOE called "individualized instruction." (The section which follows this section discusses the individualized instructional program as a whole.)

This program originated with the legislature when at the 1968 session certain legislators and educators conceived of and proposed the program as a means of improving the quality of education in the public school system.[6] As envisioned, the plan places three teachers where two have been traditionally assigned (i.e., three teachers, two classrooms), focuses on the early years of a child's education (K–3), and combines two grade levels for each team of three teachers (e.g., K and 1; 1 and 2, 2 and 3). Among the benefits expected from this program are the lowering of pupil-teacher ratio on a selective basis and allowing variable teaching groups of 60 to 1, 20 to 1, and even 1 to 1, as the need dictates; the advancement of team-teaching; the vertical articulation of skills between grades through ungraded activities; peer learning; preparation and duty-free lunch periods for teachers; and counseling and other individualized attention to children.[7]

The legislature funded the program for implementation on a limited basis in school year 1968–69. During the period between the end of the session and September 1968, the state office issued several documents on 3 on 2 to guide its implementation: *An Administrative Guide for the K–3 (3 on 2) Program,* May 15, 1968; *Program Design: 3 on 2,* 1968; and *3 on 2 Program Administrative Guide and Implementation Handbook,* August 1968. As envisioned in these documents, 40 percent of the state's K–3 classes were to be covered by the 3 on 2 program during school years 1968–69, 1969–70, and 1970–71, with the hiring of some 218 additional teachers beginning in September 1968. The three years were deemed to be the "experimental" stage for the 3 on 2 program. If the program proved to be

[5] DOE, *Analytic Document, for English Language Arts,* December 1971; DOE, *Authorized Courses and Code Numbers 1972–73,* October 1971.

[6] Conference Committee Report No. 3, March 29, 1968, pp. 9–10.

[7] *Ibid.*

successful, it was anticipated that all grades K and 1 classes would be on 3 on 2 in the fourth year, all grade 2 classes in the fifth year and all grade 3 classes in the sixth year. In addition, in the sixth year, it was expected that a start would be made to place grades 4, 5, and 6 on 3 on 2 with a 5 percent sample. The employment of 1047 additional teachers over the six-year span was projected.

Implementation of 3 on 2 began in September 1968. It immediately ran into difficulties attributable in the main to deficiencies in program design. Two classes of problems arose—those dealing with the programmatic aspect of 3 on 2 and those relating to the resources necessary to support the program.

Program problems. Programmatic problems were of various kinds. In essence, these problems bore upon the question of fashioning 3 on 2 in such a manner that the benefits anticipated from the program might be realized. The 3 on 2 publications published prior to September 1968 provided little guidance, criteria, and standards to assist the schools in this respect. Thus, schools were left to grapple with and resolve on their own many complex issues regarding 3 on 2. There was, thus, a period of confusion and uncertainty. To some degree, this confusion and uncertainty still persists today.

Among the issues left unresolved at the time of implementation were the following:[8]

- The criteria and standards to be used in teaming teachers and grouping students.
- The impact of 3 on 2 on existing curriculum that had been designed for various grade levels to be taught in a self-contained classroom (rather than for ungraded, team-teaching situations).
- The effect on students and instruction in advancing from a 3 on 2 third grade to a self-contained fourth grade classroom.
- The philosophy underlying individualized instruction and its impact on teaching methodology.
- The procedures, instruments, and standards to be used in diagnosing and evaluating individual student needs.
- The impact of the program on roles and responsibilities of teachers, principals, grade-level chairmen, and department chairmen.

The following explains in greater detail the nature and extent of some of these issues and illustrates the consequences of an inadequate program design.

Among the basic aims of 3 on 2 was said to be the improvement of the teaching-learning situation through the utilization of the strengths of three teachers combined into a team.[9] However, aside from instructions that participants to the program be voluntary, the pre-September 1968 publications contained no policies concerning the criteria to be used in forming teaching teams. Consequently, teaching strength was not considered in the formation of a significant number of 3 on 2 teams—40 percent in 1968–69 and 44 percent in 1969–70.[10] Moreover, as 3 on 2 was implemented, incompatibility of members on some teams became evident. Although the DOE has never been able to identify the exact number of incompatible teams, they were in sufficient number for districts and the state office to become aware of the existence of dysfunctional teams.[11] It has been suggested that incompatibility arose probably from differences in philosophy and views regarding individualization or simply from personality conflicts.

[8]Most of these problems were recognized as being unresolved by the DOE 3 on 2 program steering committee at its meeting in September 1968. See "Summary of Discussion and Agreements," September 19, 1968.

[9]DOE, *Program Design: 3 on 2,* 1968, p. 4; DOE, *3 on 2 Program Administrative Guide and Implementation Handbook,* 1968 (p. 2 of memorandum attached); 1969 Handbook (p. 9); 1970 Handbook (p. 9).

[10]DOE, *3 on 2 Evaluation 1968–70,* January 1971, p. 59.

[11]*Ibid.*, p. 57.

Another purpose identified for 3 on 2 was to facilitate the movement toward individualized instruction. 3 on 2 is but an organizational pattern intended to make possible such things as ungradedness which are said to be essential to individualized instruction. Thus, it was not unreasonable to expect that before implementing the 3 on 2 organizational change, the program for individualized instruction would be carefully thought out and designed. However, such was not the case. At the time of 3 on 2 implementation, except for the statement that, under individualization a student progresses at his own speed based on his ability, achievement, and interests, the meaning and philosophy of individualized instruction were not fully articulated, the impact of individualization on curriculum had not been fully explored, and the changes to existing curriculum which had been designed for a graded, self-contained classroom situation had not been fully fashioned.

As a result, schools were left on their own to interpret individualization and to explore the revisions required to be made to the existing curriculum to suit it for individualized instruction. The development of a variety of instructional materials geared to varying student abilities and interests is said to be a principal component of individualized instruction. In the absence of state-fashioned materials or even guidelines for their design, a considerable amount of time and effort was required to be expended by schools in planning, assembling,and formulating instructional materials. It is said that as many as 80 percent of the teachers used teacher-made materials.[12] Whether such instructional materials put together by schools were appropriate is doubtful. In a survey taken by the DOE, 75 percent of the teachers felt that individualized instructional materials were inadequate. They complained that there was a lack of programmed materials and a lack of know-how to begin making instructional packets.[13]

The extent of the success of schools in shaping individualized instruction and in melding individualization with the new 3 on 2 organizational pattern is not clear from the documents available in the DOE. However, it appears that not all schools utilized 3 on 2 for the purpose of advancing individualization. It seems that in some cases, 3 on 2 was used primarily to resolve administrative and teacher-oriented problems rather than to effectuate individualized instruction. Thus, in some cases, 3 on 2 was used simply to reduce the pupil-teacher ratio (for example from 30 to 1 to 20 to 1) by dividing the entire 3 on 2 class into three groups of equal number of pupils, with one teacher almost exclusively in charge of each group. In other cases, the responsibility for teaching was divided equally among the three teachers, with each one teaching one or more subjects to the entire 3 on 2 class, with minimal, if any, assistance from the other two teachers. In these cases, the concept of all three teachers assisting one another in all subject areas (whether or not one of them is designated as the lead teacher in any subject area) and rendering counseling and guidance to students on the basis of individual needs regardless of the subject area, was not implemented.

The difficulties and burdens placed upon schools by the lack of an adequate program design are aptly summarized in the following excerpt from an article which appeared in a district newsletter in October 1968:

> "Our most worrisome problems are precisely due to the fact that we are implementing a program that in several critical respects are still in the developmental stage; that is we are doing a number of things simultaneously which in fact should be done in sequence.
>
> "We are being asked to non-grade our combined grades without a continuous progress curriculum to guide us. We are urged to employ flexible grouping practices without the diagnostic instruments upon which to base our groupings. We are asked to team teach without the necessary collection of prepared materials to draw from to provide effective large group instruction, independent study, and self-instruction. We are urged to do

[12] DOE, *3 on 2 Evaluation 1968–70,* January 1971, p. 64.

[13] *Ibid.*, p. 65.

> our best in helping to make this program succeed with only a faint idea as to how it will be evaluated.
>
> "The outstanding problems are *not* due to your lack of imagination or conscientiousness, but are due to the limitation of the conditions under which you are required to work. In short, it is more our fault than yours."[14]

Resources. Central to the design of a program is the identification of all resources (and their costs) required to support the program. In 3 on 2, such resource identification was incomplete. Some examples follow.

In authorizing the 3 on 2 program, the legislature included the costs of removing walls between rooms and of portable classrooms. However, the legislature noted that non-removal of walls "should not be a barrier to the [implementation of the 3 on 2] concept if children can be moved and teachers would move around." Further, except for teacher furniture, additional classroom supplies and equipment were not deemed necessary, for these costs were "already budgeted to an anticipated number of children."[15] The DOE in its implementation directive to schools limited renovations of classrooms to "removal of walls where feasible" and urged schools to utilize their own funds to purchase equipment.[16]

Shortly after the commencement of the implementation of 3 on 2, resources and costs over and beyond those anticipated by the legislature began to surface. The removal of walls for all 3 on 2 classrooms, carpeting of floors to dampen noise, additions of furniture to provide greater flexibility in room use, and additions of supplies, equipment, and materials to facilitate individualization have since become "necessary" for the program. Further, in transforming program theory into operational reality, the costs initially estimated proved to be wide off the mark. For example, while the initial estimate of the cost of workshops and consultant services to train 100 percent of the 3 on 2 teachers over a six-year period was $27,000,[17] the program in fact incurred $101,000 over a period of three years to train approximately 57 percent of all 3 on 2 teachers.[18]

Individualized Instruction

The implementation of 3 on 2 without a proper design is said by the DOE to have occurred because of legislative mandate to implement the program in the school year immediately following the session at which money for the program was appropriated (that is, the school year 1968–69). However, it is doubtful that the legislature would have authorized the program for implementation in that school year but for DOE representation of its readiness to install the program. The conference committee report attached to the 1968 appropriations measure notes that the program was arrived at after discussion with the DOE and upon the DOE's agreement that the plan was feasible.[19]

Indeed, the concept of individualization and the ideas of team-teaching and non-gradedness as means of furthering individualization, all of which concepts and ideas were embodied in and intended to be facilitated by the 3 on 2 program, were not new but had been talked about within the DOE and practiced to a limited extent by certain teachers in different schools prior to 1968.[20] Thus, legislative authorization to implement the program in school year 1968–69 was based in part on the assumption that the DOE had

[14] Hawaii district *3 on 2 Newsletter,* October 17, 1968.

[15] Conference Committee Report No. 3, March 1968, p. 10.

[16] DOE, *3 on 2 Program Administrative and Implementation Handbook,* August 1968, p. 18.

[17] DOE, *Comprehensive Plan, Vol. II: Worktables and Recommended Program Plans, Part I,* June 28, 1968, p. I–43.

[18] DOE, *3 on 2 Positions,* October 19, 1971.

[19] Conference Committee Report No. 3, March 29, 1968, pp. 9–10.

[20] DOE, *Curriculum Survey Reports,* 1966, reports some of these "innovations" in organizing for instruction. See pp. B–4, C–3, D–7, E–9.

thought about individualization, team-teaching, and non-gradedness to a sufficient degree to permit early installation of 3 on 2 and individualized instruction in the schools. The only hitch to full implementation of the 3 on 2 program and its allied activities was thought to be constraints on funding other programs and the time needed to secure additional teachers which the program requires.[21] In fact, however, the DOE was far from prepared to implement individualized instruction, which lies at the core of 3 on 2.

Perhaps the DOE felt that, with the installation of 3 on 2, individualized instruction would naturally flow, for the DOE documents subsequently issued kept insisting and encouraging schools to individualize instruction.[22] If such was the expectation, the DOE was to be sorely disappointed. As 3 on 2 began to be implemented, numerous questions were posed by districts and schools specifically on individualized instruction. For example, one district pointedly asked, "What is the State's direction in individualization?"[23] Other questions and concerns raised by schools and districts related to such pertinent matters as state documentation for individualized instruction,[24] statewide framework to guide districts in planning for individualization,[25] state policies on staffing for individualized instruction,[26] state programs for training teachers,[27] and funding the purchase or development of instructional materials, equipment, and other support items.[28] Answers to these questions and concerns were hard in coming. About the only specific responses were those relating to questions about state commitment to individualization and funding for the purchase of supplies, equipment, and material. To the first, the answer was that the state *Master Plan* indicates individualization as one of DOE's commitments. To the second, the districts and schools were told to "live with what you have."[29]

Variety of approaches and problems in the absence of design. In the absence of a state program design, but under persistent pressures from the state office to individualize instruction, the districts and schools were left with the task of interpreting individualization and they sought to plan for individualization and to install individualized instructional programs according to their own respective notions about individualization. Lacking any other source, districts and schools based their activities on the authority of the *Master Plan* and the *Foundation Program* (then only in a draft form), neither of which can be said to be a specification or design of the individualized instructional program. A variety of approaches have been taken and activities undertaken by the districts and schools. While most districts sought to concentrate their efforts to the K–6 level,[30] at least one district (Kauai)[31] sought to emphasize individualization throughout the K–12 system. Some districts sought to approach individualization on some systematic basis; others lacked a rational plan.

[21]Conference Committee Report No. 3, March 29, 1968, p. 10.

[22]See for example such documents as DOE, *Approved Instructional Materials Book I and IIA*. "Foreword," submitted to the field May 5, 1970; DOE, *Educational Specifications and Standards for Facilities*, April 1970, pp. 9–12; DOE, *Budget Request for 1970–71*, p. xiii, received January 29, 1970.

[23]Minutes, Honolulu district staff, October 23, 1970.

[24]DOE memorandum dated April 14, 1970, from general education branch re meeting of state continuing education committee (comprised of representatives of districts) held on April 7, 1970.

[25]Leeward district memorandum dated March 12, 1971, to superintendent re organizing changes in grades 4, 5, 6.

[26]DOE memorandum dated April 14, 1970, from general education branch re meeting of state continuing education committee (comprised of representatives of districts) held on April 7, 1970; Honolulu district school visitation report, Aina Haina, September 28, 1970.

[27]Honolulu district weekly status report, curriculum specialist, elementary education, March 29 to April 2, 1971.

[28]Leeward district memorandum dated March 12, 1971, to superintendent re organizing changes in grades 4, 5, 6; Honolulu district summary report of visitation to Hokulani Elementary School, December 8, 1970.

[29]Per curriculum specialist, upper elementary, leeward district, May 17, 1971.

[30]For example, leeward and windward. See leeward district memorandum dated January 8, 1971, to acting superintendent re accommodating individual differences in grades 4–6; windward Oahu district, *Summary of Programs*, and *Summary on Strategies*.

[31]Kauai district document, dated September 21, 1970.

Left to their own devices, the districts and schools encountered numerous problems in implementing individualization. The memoranda and documents that emanated from district offices describing their attempts at individualization are quite revealing about the nature of these problems. The substance of some of these documents is as follows:

- "Schools are attempting to individualize instruction within the constraints peculiar to each school, such as administrations' and teachers' knowledge of and willingness to implement the concepts of individualized instruction, sufficient and flexible facilities, and sufficient and adequate instructional material."[32]

- "While attempting to individualize instruction, school administration and teachers find constraints taxing, handicapping, and frustrating. Needs that have been expressed include: facilities—carpeting, workrooms, wall removal, etc.; funding—for instructional material, servicing of equipment, etc.; curriculum—in-service, guidelines for materials, resources, continuum, models for individualization, etc.; personnel—educational assistant, visitation time, team planning time, etc.; miscellaneous—coordination of all areas towards system approach, etc."[33]

- "This is the next level of in-servicing we need to consider. Unless teachers understand what's entailed in individualization, namely, the learning task, learner's behavior and teacher behavior, and the application of the learning theory to these attributes, we will continue to have unproductive teaching. We need to help teachers focus their teaching, so, within a given time, effective teaching could be conducted."[34]

- "Teachers have not really grasped 'individualization.'"[35]

The bulk of these problems would have been attended to had the program for individualization been properly designed before implementation. The state continuing education committee, comprised of representatives of districts, laid its finger on the root of the problems when it cited the "lack of synthesis of the various aspects of individualization of instruction." It noted that this lack of synthesis was leading to field interpretation of the various activities associated with individualization as discrete and unrelated activities and field feeling of being bombarded and snowed under by too many new ideas.[36]

Incomplete subsequent attempts at design. Although affirmative steps toward implementation of individualization were taken with the installation of 3 on 2 in 1968, it was not until 1970 that the configuration of the program began to take shape. In August 1970, the state office issued a document entitled, *Administrator's Guide on Individualized Education.* The document represents the first real attempt to define "individualized education,"[37] to describe the different types of individualization,[38] and to identify the

[32]Windward Oahu district, *Summary on Strategies.*

[33]*Ibid.*

[34]Honolulu district weekly status report, curriculum specialist, elementary education, March 29 to April 2, 1971.

[35]Honolulu district school visitation report, Kalihi Elementary.

[36]DOE memorandum dated April 14, 1970, from general education branch re state continuing education committee meeting held on April 7, 1970.

[37]"Individualized education may be defined as education that is appropriate for a particular student."

[38]Type A, "Individually Diagnosed and Prescribed"—the school or system specifies the learning objectives and prescribes the materials and methods of instruction. Type B, "Self-Directed"—the teacher establishes the objectives and the student, under the guidance of the teacher, selects the materials and method. Type C, "Personalized"—the student identifies his personal learning objectives; once selected, the student follows a directed program with specified materials. Type D, "Independent Study"—the student independently determines both the learning objectives and the means to attain them.

components of an individualized learning system. Among the components of individualization identified in the document are: staffing, facilities, class scheduling, student groupings, instructional materials, diagnosis and testing, and guidance and counseling. It is evident from this list (if the list is correct) that a full implementation of the program of individualized instruction calls for a rather massive restructuring of the current system of instruction, only a small part of which is the change in the organizational framework from self-contained classrooms to such arrangements as 3 on 2.

The *Administrator's Guide* is an appropriate beginning, but it is ambivalent and it is incomplete in many respects to serve as a full design of the system. In describing the various components of individualization, the document makes the following, among other, statements:

- "The teacher becomes a diagnostician and a prescriber of learning activities . . . [and an appraiser] of student success."
- "Baseline for teaming are suggested as follows:
  - "3 on 2—60 students with 3 teachers.
  - "Upper Elementary—90 students (grades 4—5—6) with 3 teachers and a team of specialists in art, music, and/or P.E.
  - "Intermediate—approximately 120 students with 4 to 5 teachers (2 groups of 60 each) and specialized teachers in electives.
  - "High School—120-150 students with 4 to 5 teachers and specialized teachers in electives."
- "[I]t is suggested that a team coordinator be designated for a pod of from 90 to 150 students . . . . He should be a master teacher and as such, provides a model for the less experienced members in the team."
- "In addition to the teams, educational aides, one per team in intermediate and high, and one per two teams in the elementary grades will enhance the operations of the teams."
- "There should be a wide variety of instructional materials available to accommodate the different learning styles."
- "Learning centers should be a part of the library or located in strategic places in school."
- "In-service should be provided teachers on the large room concept with all its ramifications."
- "In addition to norm-referenced tests for statewide evaluation, criterion-referenced tests are necessary for teacher use in the classroom."

What is ambivalent about the document is that on the one hand it seems to infer that it is the DOE policy to move in these directions. Thus, the preface to the document states,

> "How does the Hawaii School System define individualized education? Why is there a state direction towards individualization? What are the components in a total system of individualization? What are the functions of the State, District, and Schools in implementing this process?
>
> "This Handbook is a Guide for administrators to use in implementing individualized education."[39]

[39]DOE, *Administrator's Guide on Individualized Education*, August 1970 (working paper), p. i.

On the other hand, the document is labeled, "working paper," the meaning of which is not clear but strongly indicative that the directions noted in the document are not necessarily official. Further, throughout the document, the term, "it is suggested," is used, implying that the schools and districts may move in other directions in implementing individualization. In this connection, we note that the document has not received any official approval by the board of education, leaving open the question whether the directions contained in the document are indeed the policy of the department.

The document is incomplete as a program design because it does not go far enough in describing the configuration of some of the components of individualized instruction. For example, the document is silent as to why there should be 120–150 students with 4 to 5 teachers in the secondary schools. What is being expected by such large groupings and how are the teachers expected to relate to one another? What is the impact of 4 and 5 teachers on instructional curriculum, on student diagnosis, and on course prescription? Another example is counseling and guidance. The document does not spell out the counseling and guidance program. What constitutes counseling and guidance? What should the staffing pattern for counseling and guidance be in each school? Can one of the team teachers serve as a counselor or is a separate counseling service envisioned?

Still another example. The document notes that to provide flexibility, provisions must be made for "the formation and operation of a variety of teams or models of teams, including librarians, media specialists, and educational assistants if they are staff members." What is being contemplated as a minimum staffing pattern for schools to accommodate individualization? The document also states that "learning centers should be a part of the library or located in strategic places in school." What is the impact of this on existing libraries in terms of physical space, manpower, etc.? What is the minimum specification of learning centers for each school?

Yet, another example. The document provides that "[a] computer should be installed eventually which will hold in its memory bank at least two sets of data: first, all that is known about the student and his school progress, and second, materials specifically programmed for individualized learning. At any point the teacher should be able to obtain data on each student. This makes for systematic diagnosis with minimum requirement of teacher's time for recording student progress manually." The document, however, is silent as to how diagnosis, course prescription, and monitoring of student progress should be accomplished for the purpose of developing data which can be fed into the computer when it is eventually installed.

Above all, the document says nothing about the costs of doing any and all of the things enumerated therein and how schools are to be funded for the purpose of accomplishing any of them. Further, as discussed in greater detail in the next section, there is no timetable or schedule for implementation of these changes. The *Administrator's Guide* provides that "[t]he school or complex [should list] its needs according to priority." Yet, little guidance is given as to how priority may be established from among the variety of activities that must be undertaken for a full effectuation of individualized instruction.

Shortly after the publication of the *Administrator's Guide,* the state office issued another document entitled, *Instructional Organization Patterns for Upper Elementary (4–6),* dated March 1971. This document is in draft form,[40] and its official status at the writing of this report is unknown. At least, it does not appear that any approval has been given to this document by the board of education. This 16-page document is essentially concerned with proposing the establishment of 4 on 3 or 5 on 4 classrooms for upper elementary and intermediate schools and 5 on 4 classrooms for high schools. In some narrow and limited way, it says a little more than the *Administrator's Guide.* For example, it notes that 4 on 3 or 5 on 4 for intermediate schools is for "general studies areas (English–social studies or English, social studies, math)" and 5 on 4 for high schools is for "English–social science," and that team coordinators are grade level chairmen

[40] An earlier draft was issued on November 27, 1970. The draft dated March 1971 is said to be a "revised draft."

converted to coordinators. However, in the main, the document falls short in the same manner as does the *Administrator's Guide.*

The insufficiency of these documents to serve as a program design has been attested to by the continuing difficulties schools and districts have encountered since the publication of these documents. In April 1972, the state office issued another document on individualization in draft form. This document entitled, *Teacher's Guide to Individualized Education,* is for teachers to assist them in the delivery of individualized instruction. While it may be helpful to the teachers in understanding individualization, the document is not a design of the program. It assumes the existence of the system which permits teachers to do what the document says they should do. Thus, the guide tells the teacher to monitor student progress, use a variety of materials, work together with other members of the team, and utilize audio-video, television, programmed instruction, and other learning media.

Facility design without program design. Although a full system design for individualized instruction has yet to be formulated, the DOE is installing not only 3 on 2 but also organizational patterns beyond 3 on 2. As noted above, both the *Administrator's Guide on Individualized Education* and the *Instructional Organization Patterns for Upper Elementary (4–6)* suggest such organizational patterns as 4 on 3 and 5 on 4 for upper elementary and secondary schools. We observed that whether such additional classroom combinations constitute official DOE policy is in doubt. Yet, the 1970 edition of the DOE *Educational Specifications and Standards for Facilities* completely eliminates the traditional single classroom and calls for standard classrooms the size of not only two (which accommodates 3 on 2) but also three and four former single classrooms, and new school buildings constructed in recent years conform to these new specifications. Moreover, schools have in fact installed 5 on 4, 6 on 4, and even 9 on 6 classroom combinations. In the last instance (9 on 6), the size of the room is not even listed in the *Educational Specifications.*

The effective use of large classrooms depends upon the readiness and capability of the teaching staff to individualize. But, in the absence of a program design for individualization, such readiness and capability have not been apparent. In fact, it appears that there have been great difficulties in utilizing these large classrooms for individualization and these large classrooms have not been effectively used to individualize instruction. It is said that the use of 5 on 4, 6 on 4, 9 on 6, etc., merely constitutes a higher level of sophistication in team-teaching and individualization than 3 on 2, but considering the difficulties experienced in implementing a much simpler and more structured arrangement of 3 on 2, the practice of using such larger combinations in the absence of a proper program design appears to be formidable. The DOE admits this. In a testimony before the legislature, the DOE noted that vertical combinations of more than two grade levels will be a more complex situation, and the use of such combinations as 5 on 4 requested by some schools requires "greater sophistication in diagnosing needs and prescribing activities and such a group may become unwieldy for all except the most proficient team of five teachers to effect meaningful activities for students."[41]

Recommendation

We recommend that the department of education establish a system whereby a complete program design is formulated and reviewed (and revised, as necessary) prior to the implementation of any program. Such a program design should include details of all program components; personnel, equipment, and facilities requirements; and the specific roles and responsibilities of organizational units in implementing the program.

[41]DOE, *Report on House Bill No. 1260* (relating to the 3 on 2 program), January 8, 1971, pp. 15, 16.

CHAPTER 16

PILOT-TESTING

Within the DOE, new programs have the tendency to proliferate without the benefit of testing and evaluation. Many of the problems associated with program installation and implementation on a statewide basis can be detected, anticipated, and alleviated if the program is pilot-tested before full-scale implementation commences. The purposes of pilot-testing are twofold: (1) to ascertain whether the program itself is as cost-effective as originally believed; and (2) to determine whether the program design and configuration are such as to permit implementation of the program as efficiently and effectively as desired.

Pilot-testing involves experimenting with the program in a few selected schools for a predetermined period of time, at the end of which the program and its design are evaluated. The selection of the schools is largely determined by the objective of the program and the clientele the program is intended to serve. On occasions, it may be necessary to designate certain other schools not involved in experimenting with the new program as a "control group" for the purpose of comparing the results of the new program against those of the ongoing program.

Pilot-testing is particularly useful where the new program is significantly different from that which is on-going or if there is some uncertainty regarding a program's configuration. A DOE policy includes within the purview of programs that are amenable to piloting those that are "new curricula, new materials, new methodology, new instructional arrangements, or new facilities."[1]

[1] DOE, *Policies and Regulations, Instruction (Series 2000)*, Policy No. 2430.

Summary of Findings

Although pilot-testing is useful, it is used only minimally by the DOE. There appears to be a strong tendency on the part of the people within the DOE to implement, as rapidly as possible, every new program or idea that appears to hold promise, to be novel, or to be desirable. Thus,

1. Pilot-testing almost never precedes the installation of a new program on a statewide basis.

2. In those rare instances when pilot-testing does occur, it is poorly managed and performed. In some cases, pilot-testing is deceptive and deliberately skewed to justify or or lead to desired conclusions.

Lack of Pilot-Testing

Most new programs within the DOE get implemented without pilot-testing of any kind. This is true whether the new program begins as an innovative project at the school level or is proposed by the state office.

School-initiated programs. In a prior chapter, we noted how school "innovative programs" consistently become ongoing programs, with little or no control exercised by the districts or the state office. These school-initiated, innovative programs may begin, at least in name, as pilot projects, but they tend to become ongoing and spread to other schools without the rigors of test and evaluation.

DOE regulation 2430.1[2] requires all innovative projects to be grounded on a

[2] *Ibid.*

developmental plan which includes a specification of the objectives, time limits, resource inputs, anticipated benefits, and criteria for evaluation. It further requires that all school-initiated, innovative projects receive the approval of the district superintendent and also of the office of instructional services "if the project has implications beyond the local school or district." The regulation also states that "periodic evaluation and reporting of work progress shall be submitted as requested."

This regulation is apparently not enforced. Schools continue to innovate without following the requirements of the regulation, and accounting through periodic evaluation and reporting of work progress is seldom requested. Indeed, it is doubtful that those at the upper levels of the DOE organizational hierarchy are even aware of the number and kinds of innovative projects being undertaken by schools. Past DOE responses to legislative requests directed to the state office for an accounting of all innovative programs then ongoing in schools have been less than satisfactory.

The manner in which the *elective, secondary language arts program* has become a statewide program is illustrative of how school-initiated, innovative programs end-up as statewide programs without the benefit of pilot-testing. It also illustrates how school-initiated, innovative programs spread among schools without the state office's being aware that such spreading is occurring or the rate at which they are occurring. It is otherwise difficult to explain why the analytic documents of January 1968, February 1969, and January 1970, failed to mention this program. It was not until late 1970 that the state office showed any awareness of what schools were doing in the secondary language arts program, thus the cryptic announcement in the 1971 analytic document that the elective program is now the statewide program.

State-developed programs. Not only are school-initiated, innovative projects not subjected to pilot - testing, but programs developed at the state level are also seldom pilot-tested prior to statewide implementation.

Over the years, the state office has caused to be implemented or installed many new programs. A number of these have significantly altered the content, approach, and instructional materials, methodology, and activities that were formerly ongoing. However, the implementation of only a few of these new programs has been preceded by a pilot test. Note, for example, such new programs as the inquiry-conceptual social studies program, the SHES program, the 3 on 2 program, the multi-disciplinary resource centers, the pre-industrial preparation program, and the occupational skills program, all of which have been implemented or are being implemented without the benefit of a pilot test.

At least two of these recent new programs started out as programs for pilot-testing, but became on-going without any testing. These are the secondary, inquiry-conceptual social studies program and the 3 on 2 program.

The *secondary, inquiry-conceptual social studies program* was, in 1968, recommended by the state program specialist for pilot-testing at Hilo High. Less than a year later, however, the program was recommended for implementation in all high schools.[3] This recommendation was made even though the pilot test at Hilo High had hardly begun and the program and the configuration and design of the program had not yet been developed and evaluated. This 1969 recommendation conceded that program outlines were yet to be designed, and it proposed the development of such outlines for each of the 7 to 12 grade levels in sequential order, one per year, beginning with the 7th grade in the fall of 1969. It expected that at least one year would be required to develop the outlines for each level and that two years would be required after completion of development to demonstrate, evaluate, revise, and implement the program for each grade level. At this rate, it expected that development and implementation of the entire secondary, inquiry-conceptual program would span over a period of six to seven years.

Still another year later, even this development-demonstration-evaluation-revision-implementation procedure was cast

[3]DOE, *Vol. III: Analytic Document, Social Studies,* February 1969.

aside. The February 1970 analytic document spoke only of the need to pilot-test instructional materials and proposed that each set of materials be pilot-tested over a two-year period.[4] Evidently, however, pilot-testing of materials was not a pre-condition for implementation of the program itself but rather an ongoing activity in support of the program, for the document recommended immediate installation of the program in schools. Accordingly, another year later, via a memorandum, the assistant superintendent of the office of instructional services notified all district superintendents and principals that the secondary social studies program guide (but not grade level course outlines) would be completed and distributed by spring 1971, that implementation of the program would commence in the fall of 1971, and that full implementation of the program in all schools was expected by fiscal year 1973.[5]

Pursuant to the memorandum, official implementation of the secondary, inquiry-conceptual social studies program began in the fall of 1971. However, in fact, implementation of the program began in some schools in school year 1970–71[6] and at Hilo High even earlier than that. Implementation, thus, was had without piloting of any kind and even before course outlines had been developed.

3 on 2 is another example where the program began with the idea that it would be piloted and tested. It was intended that the program would be experimented with 40 percent of the State's K–3 classes for three years, at the end of which the results would be evaluated and a decision made as to further implementation in the school system.[7] Within a few months after the 3 on 2 installation began, "experimentation" was no longer talked about and discussion revolved around the rate at which 3 on 2 should be expanded. In other words, 3 on 2 became an accepted, ongoing program of the department.

The problems which arose in the implementation of these two programs are documented in other chapters of this report. Among the problems were those related to program design, such as appropriate instructional materials, in-service instructions, and guidelines. In addition, the effectiveness of these programs currently remains very much in doubt. Early promises in terms of potential levels of educational achievements have yet to be demonstrated.

Recommendations. *We recommend that the department of education*

1. Prepare an inventory of all innovative and pilot projects being carried on in the schools as the first step in bringing all such projects under management controls.

2. Suspend all projects where there is sufficient evidence to indicate that program objectives are not being met or where the benefits are not justified by the costs.

3. Subject all remaining projects to the controls of pilot-testing, including establishing time limits for each project and a firm deadline for evaluation.

Poor Testing

In those rare instances where the DOE does attempt to pilot-test, it does not test well. In fact, it pilot-tests so poorly that there is room to doubt whether the DOE is really serious about pilot-testing. The deficiencies of those pilot tests that the DOE has conducted in the past have ranged from poor operational procedures to inadequate pilot design. Examples follow.

SHES. It appears reasonable to expect that, in any pilot-testing, the purpose of the pilot test, the time period for the test, and appropriate guidelines to ensure proper testing in light of the objective of the test, would be clarified and the

[4]DOE, *Vol. III: Analytic Document, Social Studies,* February 1970.

[5]DOE memorandum dated April 21, 1971, from assistant superintendent, office of instructional services, to district superintendents and principals.

[6]Kaimuki Intermediate, Kailua Intermediate, Moanalua Intermediate, Niu Intermediate, Kailua High, Kapaa High, Hilo High.

[7]DOE, *An Administrative Guide for the K–3 (3 on 2) Program,* May 15, 1968; *Program Design: 3 on 2,* 1968; and *3 on 2 Program Administrative Guide and Implementation Handbook,* August 1968; *Departmental Comprehensive Plan, Vol. II: Worktables and Recommended Program Plans,* June 1968, p. I–35.

schools and people involved informed accordingly. But such was not the case in *SHES* where some testing of instructional materials was attempted.

Two schools were selected for the test. Each of the two schools was provided with SHES materials and given funds of $500 to purchase additional materials.[8] However, why and how the two schools were selected, why the test was limited to only two schools, what was expected of the schools, and when the pilot test was to commence and conclude, were never made clear, even to the schools themselves. The principal of one of the schools wrote to his district superintendent as follows:[9]

> "What is expected of us as a pilot school in implementing the School Health Program (SHES)?. There certainly seemed to be a lot of concerns regarding purpose, material, finance, etc., even after two of our teachers . . . attended a workshop on the program.
>
> "No definite starting date has been set, except to say that the program should start in the second semester."

Not only were the purpose, expectations, and time schedule of pilot-testing unknown to the principal, they were equally unknown to the elementary curriculum specialist of that district. Moreover, the four teachers who were assigned to teach the pilot materials were not among those who attended workshops given the prior November. Further, the results of pilot-testing have never been determined or, if determined, not revealed, not even to the participating schools and districts.

3 on 2. *3 on 2* was initially installed under a plan to test and experiment with the program for a three-year period. (It was after installation had started that the plan to test and evaluate was cast aside.) It would appear that one of the reasons why a three-year period was selected was the importance of following students through more than one year of experience under a 3 on 2 classroom situation. Thus, if full advantage was to be taken of the experiment, policies governing grade level assignment to ensure that students could be followed through for two or three years was not unreasonable to expect. However, no such policies were issued. In fact, no policy of any kind, except to require vertical combinations, was ever issued to guide districts and schools in determining class combinations. Grade combinations were in essence left up to districts and schools. Results of the first year showed that 36 percent of the 3 on 2 teams consisted of the grades 2–3 combination. Of course, most if not all of the grade 3 students in the program would have been out of the program after one year. What the impact of this would have been on the validity of the test conducted, if the plan to test and evaluate had been continued, is unclear.

Kailua modular schedule. "Pilot - test" means to test - out a program to determine whether the program or its design achieves a certain specified purpose. It is thus appropriate to assume that such questions as "test - out what," "test it out for what purpose," "test it out against what standards," and "test it how," would be resolved *before* the program is tried. That is, a properly designed pilot test would specify *before* actual piloting begins the program and the program configuration to be tested, the objectives being pursued, the measures to be used in evaluating success or lack of success in achieving the objectives, and the instrument, device, or method to be used in such an evaluation. These should be pre-conditions to any piloting for at least two reasons: (1) to determine whether the program is worth piloting at all; and (2) to ensure that the program is evaluated and that the evaluation is objective, valid, and reliable. The existing DOE regulation appears to recognize these elements as pre-conditions. It provides that for any pilot project there shall be "a developmental plan" which specifies the "specific program objectives, time limits, resource inputs, anticipated benefits, and criteria for evaluation."[10]

[8] DOE memorandum dated January 15, 1970, from general education branch to business office.

[9] DOE memorandum dated January 22, 1970, from Pohakea School principal to leeward district superintendent.

[10] DOE, *Policies and Regulations, Instruction (Series 2000)*, Regulation 2430.1.

However, the DOE has pilot-tested programs with only vague notions about what it is that was intended to be piloted and without clarifying at the outset the specific objectives being pursued, the criteria for evaluation, and the means or instrument for conducting the evaluation. As a consequence, pilot projects have floundered about without clear directions and they have either failed to be evaluated or have been evaluated poorly. The Kailua High School modular schedule (or flexible schedule) is an example.

1. ***Project proposal.*** The Kailua High School modular schedule was authorized in 1966 as a five-year pilot.[11] At the inception of the pilot, the project was without a clear statement of the specific objectives the program was intended to achieve. The proposal to pilot this project[12] contained no explicit statement of objectives. The purpose of the project could only be surmised, and then only vaguely, from the proposal's quote of a passage from a prior accreditation study.[13] The quoted passage contained such statements as "Kailua High School must make the pupil the focal point of the efforts and activities of the school," "The school's endeavors . . . must recognize student individuality, provide for program flexibility, and create a climate for constant evaluation," and "The student must actively participate in the learning process . . . ." Without an explicit statement of the objectives, of course, measures by which to evaluate the success or lack of success of the project could not be identified, and the proposal cited none.

Not only was the proposal without an explicit statement of the objectives, but it contained little of the configuration and cost of the program. The proposal essentially was a listing of things which Kailua High School proposed to do. For example, among the 17 different things, the following were listed:

- the institution of a 20-module day comprised of 20-minute modules;
- the creation of three stages of independent study—structured self-study, semi-structured self-study, and non-structured self-study;
- planning for a student body of 5,000 to 6,000 students; and
- studying the organizational structure known as "school within a school."

Because the configuration was not sharply drawn at the outset, the first year (1966–67) was spent on "planning." The primary concern, however, was on the establishment of a "flexible schedule," and the "planning" made the objectives no clearer than they were at the outset.

2. ***1968 and 1969 evaluations.*** There were two evaluations conducted during the second year. However, in light of the obscurity of the objectives being pursued, the evaluations were of questionable value. For example, the evaluation report issued in February 1968[14] said very little about the objectives of the program except to quote again from the prior accreditation study. The bulk of the report was concerned with the "flexible schedule" developed for Kailua High School. It explained how the schedule was developed and the difficulties encountered in putting the schedule to work. It reported incidentally and generally that 98 percent of the students' requests were met, that an "open" atmosphere had been maintained between the administration and the teachers, that the general tone of teacher-enthusiasm for the project was great, that the staff and students at Kailua High School were pleased with flexible scheduling, that students were responding well to the new program and using the library and resource centers, that disciplinary action had almost dropped to nothing, that students were taking more courses, etc.

[11] The pilot period was later extended to the end of school year 1975. DOE, minutes, board of education, February 5, 1970. It became an ongoing program pursuant to board action in January 1973.

[12] "A Plan for Design, Kailua High School, 1966–71," submitted by the principal of Kailua High School.

[13] Western Association of Schools and Colleges, *Accreditation Study School Report, Kailua High School, Kailua, Hawaii,* April 1965, p. 42.

[14] DOE, *Kailua High School Report on Flexible Scheduling,* February 1968.

The evaluation report issued in June 1968[15] singled out the following as the goal established by Kailua High School: "more meaningful and individualized learning experiences."[16] What specifically "more meaningful and individualized learning experiences" meant was not discussed, nor did the report identify the appropriate measures for evaluating the achievement of this goal. Like the first evaluation report, this June report made generalized statements such as, "many teachers and students have reported numerous exciting and challenging experiences that were made possible by the program," "teachers have adjusted well to the concept of team teaching," and "the program has not only provided a framework for self-evaluation by teachers, but it has also exposed the whole school, including the curriculum."

The June 1968 report also included the results of surveys taken of students and teachers. One survey taken of students before the implementation of the flexible scheduling was compared with another survey taken a year after the scheduling went into effect. The questionnaire used in the surveys asked students to agree or disagree with statements such as,

- "School work is boring and uninteresting for me."
- "I feel free to discuss problems with my counselor."
- "I want to keep my grades about the same as my group."
- "I feel high school does the most for those who want to go on to college."
- "I have thought seriously about dropping out."

Significant changes, all favorable, were registered in 15 of the 51 questions asked.[17] The favorable results of other surveys were also cited by the June 1968 report, such as surveys asking students whether they preferred the traditional or the flexible scheduling, whether they felt that they were learning more, less, or about the same under flexible scheduling as compared against the traditional schedule, etc.

The two 1968 evaluation reports illustrate the danger of piloting without a pre-pilot specification of the objectives and the measures by which the evaluation is to be conducted. The results of both evaluations were favorable to the Kailua High School modular schedule. But, the results said little or nothing about the real objectives being pursued by the project. The generalized statements were essentially self-serving, and the attainment of what objective was being measured by the series of statements contained in the 1967 and 1968 surveys (to which students were asked to agree or disagree) could not be discerned. Pilot projects in which the evaluation design is developed after, rather than before, the pilot gets under way run the risk of the evaluation being designed to fit the project to lead to the desired conclusions.

3. ***1970 evaluation.*** Although the program had been under pilot since 1966, it was not until three years later (midpoint of the pilot) that the objectives of the project began to be made more specific. In the face of mounting pressures

[15] DOE, *Kailua High School Report on Flexible Scheduling*, June 12, 1968.

[16] *Ibid.*, p. 6.

[17] A significantly larger percentage of students responded "agree" in 1968 than in 1967 to the following statements: "I feel free to discuss problems with my counselor" (67.6% to 56.0%); "I like most of my subjects" (87.2% to 78.0%); "It is important for me to come to see and be with other kids" (77.6% to 68.1%); "I have never cheated in my classes" (48.8% to 33.9%); "Counselors can be trusted" (84.0% to 75.6%); "My teachers listen to me and my explanations" (82.8% to 67.7%); "I like most of my teachers" (90.0% to 79.8%); "My teachers are fair" (86.0% to 78.1%). A significantly larger percentage of students responded "disagree" in 1968 than in 1967 to the following statements: "I like school work in which I can use my hands as in metal shop, wood shop, and homemaking" (47.2% to 32.4%); "I don't have a chance to see the counselor as much as I want to" (72.4% to 55.2%); "I feel high school does most for those who want to go on to college" (26.4% to 17.7%); "I believe I don't need to see my counselor" (72.0% to 55.8%); "I feel that students should have a better chance to join clubs (28.0% to 16.5%); "As long as I am not in trouble, I believe I do not need to see the counselor" (60.8% to 38.4%); "It appears that some of my teachers don't enjoy teaching" (60.4% to 50.8%).

(largely legislative)[18] for an appropriate evaluation of the project, the task of evaluating the project was assigned to the evaluation section of the office of instructional services.

a. ***Objectives.*** The evaluator found that for him to adequately evaluate the project he needed first to discern the specific objectives of the project. As noted in the January 1970 evaluation report,[19] he identified the "goal" of the project as: "nurturing more effective students who accept the responsibility for learning by providing a learning environment which promotes individualized education." He then broke this goal statement down into three elements, "effective students," "students who accept the responsibility for learning," and "a learning environment which promotes individualized education," and stated for each element the following objectives (which, in the words of the evaluator, "comprise indicators of [the] element"):

(1) To nurture more effective students

- (a) To increase students' academic effectiveness.
- (b) To increase the proportion of students with plans after high school.
- (c) To increase the proportion of students obtaining gainful employment one year after graduation.
- (d) To increase the proportion of students enrolling in business and technical schools.
- (e) To increase the proportion of students matriculating at college.
- (f) To improve interpersonal relationships.

(2) Students who accept the responsibility for learning

- (a) To decrease truancy and disciplinary problems.
- (b) To decrease dropouts.
- (c) To encourage independent studying.
- (d) To assist students in accepting the responsibility for learning.

(3) To provide a learning environment which promotes individualized education

- (a) To organize classes according to purposes.
- (b) To provide time for independent study.
- (c) To provide facilities which enhance individualized education.
- (d) To increase individual attention by teachers.
- (e) To increase individual attention by counselors.
- (f) To provide for more effective use of teachers' time.
- (g) To provide increased opportunities for remediation.
- (h) To provide increased opportunities for enrichment.
- (i) To meet student course requests.
- (j) To engender parental support.

b. ***Measures.*** The evaluator then proceeded to identify the means by which to measure the attainment or non-attainment of each objective and to evaluate the program. For the first element "to nurture more effective students," direct measures were applied to each of the first five objectives. Thus, STEP test

[18] Conference Committee Report No. 23, May 1969, requested "[a] progress report to the 1970 session of the Legislature on the cost-benefit implications and evaluation of [the project]."

[19] DOE, *Kailua High School, Evaluation of Modular Scheduling, 1968–1969,* January 31, 1970.

scores for school years 1965–66 to 1968–69 and grade point averages for school years 1964–65 to 1968–69 were compared for the objective "to increase students' academic effectiveness," and for the succeeding four objectives, employment rates, college enrollment rates, etc., of years after were compared with those of years before the installation of the modular schedule. Questionnaires to elicit reactions from students and parents were used for the sixth objective.

For the second element, a direct measure was used for the objective, "to decrease dropouts," and the dropout rates of the years under modular scheduling were compared with those of prior years. For the objective, "to decrease truancy and disciplinary problems," a proxy measure was used–the number of dismissals and suspensions. The numbers before and after installation of modular scheduling were compared. The evaluator acknowledged that this was an imperfect measure since any number of reasons other than the modular schedule may contribute to an increase or decrease in dismissals and suspensions and since the number of dismissals and suspensions reflected only the severe cases and a small part of the total truancy and disciplinary problem. The third objective, "encouraging independent study" was also measured by a proxy–the percentage of utilization of the library, laboratory, and resource center facilities. This, too, was acknowledged to be an imperfect measure and of doubtful reliability since the percentages reflected only the fact that students reported to these facilities and not that they remained during the entire modules. Further, it measured only in gross terms and did not attempt to determine whether the same students were consistently utilizing the facilities. The fourth objective, "to assist students in accepting the responsibility for learning," was measured through questionnaires structured to secure responses from students, teachers, and parents as to whether they *felt* students were accepting more responsibility.

For the third element, "to provide a learning environment which promotes individualized education," objectives d, e, f, g, h, and j were measured largely on the bases of questionnaires and interviews. The objective, "to organize classes according to purposes," was measured in terms of the extent of the variations in class sizes–large, medium, and small. The second objective, "to provide time for independent study," was determined on the basis of the schedule itself–that is, the extent to which modular scheduling "made available" to students time for independent study (on the assumption that students used the available time in independent study) as compared to the time made available under the traditional schedule. The third objective, "to provide facilities which enhance individualized education," was measured in terms of the number of new classrooms, resource rooms, and other facilities made available after modular scheduling was put into effect. The objective, "to meet student course requests" was measured in terms of the number of students who got all the courses they desired and the number of courses that modular scheduling made possible for students to take.

c. ***Data gathered.*** The data gathered revealed the following:

- For the first element, "to nurture more effective students," the first five objectives (students' academic effectiveness, students with plans for after high school, gainful employment, and enrollment in business and technical schools and colleges) showed no increase under modular scheduling and in some respects showed a decrease from years prior to modular scheduling. With respect to the last objective, the survey revealed that 59 percent of the students and 46 percent of the parents felt that modular scheduling assisted in students' getting along better with their friends, 25 percent of the students and 43 percent of the parents felt that modular scheduling contributed toward easing the discourse between parent and student, and 85 percent of the students and 58 percent of the parents felt that students were more aware of other points of view.

- For the second element, there was a drop in the number of suspensions and dismissals of students from school but there was a significant increase in the rate of dropout since the

installation of modular scheduling—from 2.7 in 1965–66 to 5.2 in 1967–68 and 6.3 in 1968–69. For the third objective, "encouraging independent study," the data showed students "utilizing" the library and resource centers at the following rates, measured in terms of "capacity":

> English resource center, 44.3 percent;
> social studies resource center, 54.3 percent;
> language laboratory, 29.4 percent;
> business resource center, 24.0 percent;
> science resource center, 63.0 percent; and
> library, 71.4 percent.

For the last objective, "accepting responsibility for learning," the survey showed that 65 percent of the students, 63 percent of the teachers, and 51 percent of the parents felt that under modular scheduling students were accepting more responsibility.

For the third element, the objective, "to organize classes according to purposes," showed as follows: students participated in different combinations of large group, medium group, and small group classes and, in the second year of the project, sophomores especially were scheduled for an increased number of small group classes. For the objective, "to provide time for independent study," the data showed that in 1967–68, under modular scheduling, all sophomores averaged 41.6 percent, all juniors averaged 50 percent, and all seniors averaged 55 percent of the school day "available" for independent study; and in 1968–69 all sophomores averaged 41.6 percent, all juniors averaged 43.3 percent, and all seniors averaged 50 percent of the school day "available" for independent study, as compared to the 1966–67 pre-modular average of 16.7 percent of the school day for 16 percent of the average sophomore, 18 percent of the average junior, and 34 percent of the average senior.

With respect to the third objective, "to provide facilities which enhance individualized education," data showed that the number of large classrooms increased from 0 in 1966–67 to 12 in 1967–68 and then decreased to 10 in 1968–69; medium group classrooms decreased from 77 in 1966–67 to 66 in 1967–68, and then increased to 73 in 1968–69; resource centers increased from 0 in 1966–67 to 6 in 1967–68 and 7 in 1968–69; and a language lab, a reading room, an activity center, and a snack bar were added to the Kailua High School facilities during the period 1967 to 1969.

With respect to the ninth objective, "to meet student course requests," the data showed that all of the students' course requests were met and that 50 percent of the students were scheduled for six courses, 20 percent were enrolled in five, and 20 percent were enrolled in seven courses. With respect to the other objectives, the responses of students, teachers, and parents were favorable—that is, they felt that modular scheduling increased individual attention by teachers and counselors, provided more effective use of teachers' time, and provided increased opportunities for remediation and enrichment.

d. ***Conclusions reached.*** Based on the above statistics, the evaluator concluded that the objectives of the first element, "to nurture more effective students," were not attained, that the objectives of the second element, "students accepting responsibility for learning," "generally appear to have been attained," that the objectives of the third element, "to provide a learning environment which promotes individualized education," "appear to have been attained," and that overall "the modular scheduling program at Kailua High School is generally successful.[20] These conclusions are questionable.

[20] *Ibid.*, pp. 116, 117.

That the objectives of the first element were not attained is clear. That the objectives of the second element "generally appear to have been attained," is contrary to fact, particularly in light of the increase in the dropout rate and the questionable reliability of the suspensions, dismissals, and facility utilization measures. That the objectives of the third element, "appear to have been attained," may be granted, although there are questions with respect to the relevancy and reliability of some of the measures used. But, to conclude overall that "the modular scheduling program at Kailua High School is generally successful," distorts the results of the evaluation. Such a statement can only be made if the objectives which the program failed to attain are not essential to the program. The evaluation report attempted to discount the nonattainment of these objectives, thusly:

> "It is important to note that objective nonattainment does not necessarily mean that students have been harmed. With the possible exception of the objective to decrease dropouts, objective nonattainment indicates no discernible differences in student performance under modular scheduling as compared to traditional scheduling. This may be interpreted positively as students seem to be doing as well as in previous years even though attending formal classes only half of the time as the former students did. In other words, modular scheduling has not hindered students at the expense of attaining (with the specified qualifications) the other objectives discussed in this study."[21]

In effect, the evaluation report's reasoning is that since nonattainment of the objectives of the first and second elements did the students no more harm than when they were under the traditional scheduling, in light of the attainment of the objectives of the third element, the modular scheduling program is a success. This reasoning is specious; it is intended to justify the program. It raises serious questions about the real and primary objectives of the program. The report itself notes that such things as organizing classes according to purposes, providing time for independent study, providing facilities for independent study, providing individual attention by teachers and counselors, providing remedial and enrichment activities, and meeting student course selection requests (third element objectives) "contribute to" the attainment of the objectives for the first two elements, particularly the first element, "to nurture more effective students." If this is so, the objectives of the first two elements, particularly the first element, are the primary objectives, and the crucial question is, having provided those things enumerated under the third element, are the objectives under the first two elements thereby advanced? The answer is obviously no. To conclude that, since the attainment of the objectives of the first two elements was no less than under the traditional schedule the program is effective because it provided all those things enumerated under the third element, is to shift the priority of the objectives initially specified.[22]

Whether the evaluator who prepared the 1970 report was constrained in any way as to

[21] *Ibid.*, p. 117.

[22] If the Kailua modular schedule is really not intended, in and of itself, to accomplish the first two elements noted in the 1970 evaluation report, to-wit, "to nurture more effective students" and "students who accept the responsibility for learning," but is suitable for accomplishing some other objectives, a re-analysis to determine the objectives to which the program may contribute and a comparison of the program against other alternatives in terms of the cost-benefits of each option for the accomplishment of the newly specified objectives would be in order.

A brief diversionary comment is appropriate here on the hierarchy of objectives enumerated for the Kailua modular schedule. Note that the third element is stated as, "to provide a learning environment *which promotes individualized education.*" (Emphasis supplied) Query, is the real objective of the modular schedule "individualized education"? Note that "individualized education" is susceptible to varying meanings: "independent learning" or self-education; varying the rate of learning according to student ability and accomplishment; allowing students to select their own courses of study; etc. DOE literature uses the term "individualized education" in one or more of these varying senses. But, the shape of the program to support "individualized education" will depend on which of these meanings is being emphasized. If "individualized education" is the real objective of the modular schedule, depending on what its precise meaning is, some of the items listed under the third element may not be relevant. Further, if "individualized education" is indeed the real objective, Kailua modular schedule ought to compete, on the basis of cost-benefit studies, with other optional ways of achieving this result. Of course, ultimately, "individualized education" should fit somewhere in the broader system which has as its objective the advancement of student academic achievement.

require him to report favorably on the program is not clear. However, it is interesting to note that the report in the introduction commends highly the two previous reports issued on the modular schedule. In any event, the 1970 report illustrates again the danger of attempting to specify objectives and identify measures of effectiveness after the pilot begins, rather than before. Chances of bias and the issuance of evaluation reports in favor of a program (which people become accustomed to and subjectively like) are immeasurably heightened when the design of the evaluation is formulated after the pilot begins.

Recommendations. *We recommend that the department of education*

1. Fully inform the schools and people involved as to the purpose of any pilot test, the time period of the test, and appropriate guidelines for conducting the test, prior to the commencement of a pilot project.

2. Establish internal control and review procedures to assure the existence of an adequate pilot-test design before beginning any pilot project.

Deceptive Pilot-Testing: Modified 3 on 2, Educational Assistants

At its 1969 session, in light of the teacher shortage then facing the department and the cost of the 3 on 2 program, the legislature requested the DOE to initiate a two-year project to explore the merits of utilizing para-professionals in the K–3 grade levels.[23] The intent was to determine the cost-effectiveness of utilizing one educational assistant and two teachers, rather than three teachers, on a 3 on 2 team.[24] For this purpose, the legislature authorized and funded 65 full-time educational assistant positions. Pursuant to the authorization and funding, the department recruited 65 educational assistants in the fall of 1969.[25] The subsequent administration of this two-year project can best be described as self-serving and deceptive.

From the very inception of the two-year experiment, the DOE was intent upon maintaining the existing three-teacher make-up of the K–3, 3 on 2 teams and upon utilizing the authorized positions and funding as the first step in the installation throughout the school system (K–12) of educational assistants, *not* to displace a teacher on any team teaching situation but *as additional bodies* to relieve teachers of clerical duties and to provide them with duty-free lunch and preparation periods. All actions of the DOE flowing from this authorization of 65 educational assistants were designed to accomplish this purpose. Note the following.

a. In September 1969, when the experiment to determine the effectiveness of utilizing an educational assistant in lieu of a teacher on a 3 on 2 team was supposed to commence, the DOE issued a handbook entitled, *An Evaluation Handbook for the Educational Assistant Program, 1969–70.* This handbook purported to outline the procedure by which the effectiveness of educational assistants was to be measured. At the time the handbook was issued, there were no authorized educational assistant positions other than those 65 provided for the experimental project and those in schools in model cities areas where educational assistant positions were being funded by the federal government. Yet, the handbook did not attempt to address itself to the K–3, 3 on 2 experiment or the model cities projects. To the contrary, it spoke of the educational assistant program generally and expressly described the program as encompassing grades K–6.[26] Thus, by early September 1969, the intent of the DOE to utilize the authorized 65 positions for purposes other than that intended by the legislature had already crystalized. This intent was carried out in the 1969–70 school year by the assignment

[23] Conference Committee Report No. 23, May 1969.

[24] *Ibid.;* DOE, *Progress Report, Educational Assistant Project (1969–71),* presented to the senate education committee, March 3, 1971.

[25] DOE, *Report on H.B. 1260–70 re General Aides,* September 14, 1970, presented to the 1971 session of the legislature.

[26] DOE, *An Evaluation Handbook for the Educational Assistant Program, 1969–70,* September 1969, p. 26.

of all 65 positions to the 4–6 level, and none to the K–3 level.[27] The assignment was made to "experiment" to determine the effectiveness of educational assistants as "members of teams" in providing continuous progress and individualized education to students.[28]

b. At the 1970 session, the legislature expressed concern over this diversion in the use of the 65 positions. Therefore, for the school year 1970–71, the DOE assigned 29 of these authorized positions to the K–3 level, but retained the remaining 36 at the 4–6 level.[29] Each of those assigned to the K–3 level displaced a teacher on 3 on 2 teams, and these teams have thereafter been referred to by the DOE as "modified 3 on 2 teams." Although 29 educational assistants were assigned to grade levels K–3, 3 on 2 teams, *only ten* modified 3 on 2 teams were matched against ten regular 3 on 2 teams (on the basis of similar socio-economic background and past achievement scores of students) for purposes of pre- and post-experiment effectiveness comparison. Thus, all subsequent reports on the progress and results of the modified 3 on 2 experiment contained information only with respect to these ten modified 3 on 2 teams. What role was intended for the remaining 19 modified 3 on 2 teams in the experiment has never been made clear. What is clear is that this series of actions reduced the size of the modified 3 on 2 team experiment from the initial 65 to ten.

c. The students included in the ten matched 3 on 2 and modified 3 on 2 teams were pre-tested in October 1970, and a post-test was scheduled for May 1971.[30] However, in spring of 1971, even before the post-test was administered, the department concluded and recommended to the legislature that the modified 3 on 2 in K–3 should be discontinued in favor of 3 on 2 and that the educational assistant positions should be transferred to the 4–6 level. It represented that a progress report showed 3 on 2 to be "more beneficial" to students than the modified 3 on 2.[31] That the DOE would recommend such a course of action before the completion of the post-test (which the DOE had deemed essential in assessing the effectiveness of the modified 3 on 2 team in promoting educational achievement) is disturbing, particularly in light of the fact that the report on "the modified 3 on 2 versus the 3 on 2 program" subsequently issued in November 1971 contradicted the March 1971 representation of the DOE. The evaluation report found that:[32]

> "1. for the K–1 combination, the 3 on 2 is more effective,
>
> "2. for the 1–2 combination, the 3 on 2 is more effective, and
>
> "3. for the 2–3 combination, the Modified pattern is more effective."

And it concluded that:[33]

> "a. for the K–1 students the 3 on 2 is more effective in providing increased achievement and individualized instruction,

[27]Per general education branch, December 8, 1972. The report on the evaluation of the educational assistant program for the year 1969–70, conducted pursuant to the evaluation handbook, reports the results of the experiences of fifth graders and notes in the summary that the educational assistants included in the program are those 65 authorized by the legislature in 1969. DOE, *Educational Assistant Program, First Year Evaluation, 1969–70,* July 1970, p. 1.

[28]DOE, *Progress Report, Educational Assistant Project (1969–71),* presented to the senate education committee, March 3, 1971.

[29]DOE, *Progress Report, Educational Assistant Project (1969–71),* presented to the senate education committee, March 3, 1971. This progress report does not reveal that in school year 1969–70, all 65 had been assigned to grade levels 4–6; it only states that of the 65, 29 were assigned to K–3, and 36 to 4–6. However, the general education branch acknowledges that none of the 65 positions was used in K–3 during the 1969–70 school year. There is a discrepancy between the 29 the report notes as having been assigned to K–3 and the 19 reported to us by the general education branch as having been assigned to K–3 in school year 1970–71.

[30]DOE, *Report on House Bill No. 1260 re 3 on 2 Program,* January 8, 1971, presented to the 1971 legislature.

[31]DOE, *Progress Report, Educational Assistant Project (1969–71)* to senate education committee, March 3, 1971.

[32]DOE, *Evaluation Report: The Modified 3 on 2 vs. the 3 on 2 Program* (Evaluation report no. 81), November 1971, p. 3.

[33]*Ibid.*, p. 5.

"b. for the 1–2 students the 3 on 2 is more effective in providing increased achievement and individualized instruction, and

"c. for the 2–3 students the Modified (EA) program is more effective in providing increased achievement and individualized instruction."

d. In December 1971, in its *Supplemental Display, Program Plan Details, 3 on 2,* the department conveyed the findings and conclusions of the November 1971 evaluation report to the legislature. However, in doing so, it significantly reworded the third finding and conclusion relating to the effectiveness of the modified 3 on 2 for grade level 2–3 combination, thusly:[34]

> "students in the 2–3 level did *as well or better* in the Modified 3 on 2 than in the 3 on 2 *but the difference is not statistically significant.*" (Emphases supplied.)

The department did the same thing when testifying before the senate education committee on March 8, 1972, when it stated that[35]

> "At the 2–3 level, numerical change from pre- to post-test favor the Modified 3 on 2 *although with the exception of reading and math, there is no statistically significant difference.*" (Emphasis supplied.)

An examination of the evaluation report of November 1971 shows that similar statements can be made with respect to the effectiveness of 3 on 2 over modified 3 on 2 for grade levels K–1 and 1–2. That is, for grade level K–1, although numerical change from pre- to post-test favors 3 on 2, except for "word meaning" and "numbers" there is no statistically significant difference between 3 on 2 and modified 3 on 2. Likewise for grade level 1–2, although generally 3 on 2 is favored over modified 3 on 2, there is no statistically significant difference between the two; in fact, here, for "math," there is a significant difference in favor of modified 3 on 2.[36] Obviously, the DOE has attempted here to interpret the results of evaluation in favor of retaining three teachers for 3 on 2, thus freeing the authorized educational assistant positions for the upper grades.

e. In both the *Supplemental Display Program Plan Details, 3 on 2,* December 1971, and in the testimony before the senate education committee on March 8, 1972, the DOE recommended that the pilot-testing of the modified 3 on 2 be continued for another year. In the testimony before the senate education committee, it further recommended that the study be expanded to compare the effectiveness of modified 3 on 2 against self-contained classes as well as against 3 on 2 classes and to increase the size of the sample, ten teams being too small a size for comparative evaluation purposes. The sincerity of these recommendations is suspect. *First,* the purpose of comparing modified 3 on 2 against self-contained classes is obscure, particularly in the light of the reason why the legislature authorized the experiment in the first place—to determine the cost-effectiveness of substituting an educational assistant for a teacher on a 3 on 2 team. *Second,* pilot-testing for another year is reasonable, but the necessity for this arose because of the DOE's failure to commence testing this program during its first year of authorization—1969–70. *Third,* the need to increase the sample size is befuddling, since all 65 educational assistants were supposed to have been used for K-3 and included in the experiment in the first place. In light of the DOE's demonstrated desire to retain three teachers on 3 on 2 teams and to effectuate the educational assistants program generally throughout the system, it appears that the recommendation to expand the experiment to self-contained

[34]DOE, *Supplemental Display: Program Plan Details, 3 on 2,* December 16, 1971, p. 6.

[35]DOE testimony on 3 on 2 before the senate education committee, March 8, 1972.

[36]DOE, *Evaluation Report: The Modified 3 on 2 vs. the 3 on 2 Program* (Evaluation report no. 81), November 1971, p. 4.

classrooms was intended to expand the general educational assistant program, and the recommendation to extend the experiment for another year was to provide the DOE with further opportunity to find 3 on 2 more effective than the modified 3 on 2.

f. In September 1969, when all 65 positions were assigned to grade levels 4–6, the assignment was made ostensibly to "experiment" to determine the effectiveness of educational assistants as members of teams in providing continuous progress and individualized education to students.[37] But this experiment was an experiment in name only.

First, the 65 educational assistants were not assigned to work with teams of teachers as the ostensible purpose of the "experiment" seemed to indicate. Rather, they were assigned to teachers not teaching as a team but individually. The assignment was usually one educational assistant per two classroom teachers. Each educational assistant thus traveled from one teacher to another and worked with each separately according to the time arrangement agreed to by the two teachers to whom the assistant was assigned.[38]

Second, as an experiment, it could not possibly fail, for the immediate and real objective of educational assistants was, as stated in *An Evaluation Handbook for the Educational Assistant Program, 1969–70*, issued in September 1969, to provide teachers with duty-free recess and lunch periods and relief from clerical duties. As the handbook put it, the accomplishment of this immediate objective was expected to contribute to the accomplishment of the next higher level objective of teachers' spending more time in planning, preparation, conferences with colleagues, parents, and students, searching and reading, and other professional growth activities. Accomplishment of this higher level objective was in turn expected to contribute to the accomplishment of the ultimate objective of quality instruction and individualization of instruction.[39] As an experiment to determine whether teachers would be provided duty-free lunch periods and recess and relief from clerical duties by educational assistants, it could hardly fail, for almost any additional manpower would be of assistance to teachers in this respect. Thus, it is not surprising that evaluations conducted during 1969–70 showed that teachers aided by educational assistants reported that the educational assistants gave them "very significant assistance" in the areas of clerical and routine work, lunch period supervision, and recess duty.[40]

Finally, the results of the evaluations conducted in 1969–70 were predictable. The evaluation instrument used was that specified in the evaluation handbook. It relied heavily and almost exclusively on responses to various questionnaires directed to those teachers to whom educational assistants were assigned. The questionnaires asked for the teachers' assessment of the time spent on what activity by educational assistants and by the teachers themselves and of the effect the use of educational assistants had on student behavior. Since having educational assistants is very desirable from the standpoint of freeing teachers from clerical duties, supervising students, etc., positive responses were unavoidable. Since 1969–70, no further evaluation has been conducted.

It appears that the 1969–70 evaluation was used for the purpose of securing legislative approval for the installation of educational assistants in the school system. At the 1970 session, the DOE submitted to the legislature various proposals for providing preparation periods for teachers. The legislature authorized 55 educational assistants and general aides for grades 7–9, and 11 assistants and aides for grades 10–12. In addition, the legislature

[37] DOE, *Progress Report, Educational Assistant Project (1969–71)*, presented to the senate education committee, March 3, 1971.

[38] DOE, *Progress Report, Educational Assistant Program Evaluation*, January 1970, pp. 47–49; *Educational Assistant Program, First Year Evaluation, 1969–70*, July 1970, pp. 94–95.

[39] DOE, *An Evaluation Handbook for the Educational Assistant Program, 1969–70*, September 1969, pp. 1–10.

[40] DOE, *Progress Report, Educational Assistant Program Evaluation*, January 1970, p. 15; *Educational Assistant Program, First Year Evaluation, 1969–70*, July 1970, p. 37.

authorized an additional 26 general aides to perform noneducational tasks that would free teachers, counselors, public librarians, school librarians, and other educational professionals to perform their professional duties.[41] These positions were over and above the 65 authorized in the previous year for the K–3, 3 on 2 experimental project.

g. Since 1969–70, the 55 educational assistants whose positions were among the 65 authorized in 1969 for the K–3, 3 on 2 program continued to be used for the upper grades. What representation was made by the DOE at the 1970 session regarding the use of these 55 positions is not clear. However, even as late as September 1970, the DOE, in its official communications, indicated that all 65 educational assistants authorized in 1969 "will continue to be used in the manner originally approved,"[42] although such was not the fact. The first official communication that all 65 educational assistants had not indeed been used as intended by the legislature appeared in a progress report submitted to the senate education committee in March 1971.[43] The budget requests for fiscal years 1971–72 and 1972–73 noted 146 educational assistant positions as "current services." Considering that the legislature had authorized 92 general educational assistant positions in 1970, the remainder of the 146 obviously consisted of those positions which had been authorized in 1969 for the experimental project. In essence, then, what had been intended for the experimental project in 1969 had become a part of the ongoing general assistant program.

Recommendations. *We recommend that the department of education*

1. Adhere to legislative policy in the utilization of resources authorized for experimental projects, such as the modified 3 on 2 project, and that it establish management controls to assure that such resources are not used for any other purpose.

2. Re-examine its findings with respect to the modified 3 on 2 project in the context of the assessment presented in this report of its evaluation.

System for Pilot-Testing

The need to pilot-test new programs and new program designs and the need to exercise control over pilot projects have long been recognized. As recently as 1971, the State legislature requested the department to "develop a plan along the lines of which all innovative projects may be structured and which will include length of project, total funding required, method of evaluation, and the basis upon which the decision of whether to implement a project will be made."[44]

In this section, we discuss what we believe to be among the important aspects of any appropriate system for the management and control of pilot projects. The discussion is structured around the five distinct phases in pilot-testing: project initiation, pilot-test design, piloting, evaluation, and implementation decision.

Before turning to that discussion, however, we observe two items of some importance. *First,* we note that in June 1971, spurred by the above 1971 legislative request, the department developed and issued an operating manual entitled, *Project Management and Reporting System, Operating Manual* (hereinafter referred to as the *Operating Manual*). It was issued in draft form for trial within the office of instructional services. The manual attempts to spell out the procedure by which projects within the DOE may be initiated, progress monitored, and project status reviewed. This manual is intended to control not only pilot projects but *all* projects of whatever kind within the DOE. As the legislature at the 1972 session observed,[45]

[41] Conference Committee Report No. 20, May 4, 1970, p. 6.

[42] DOE, *Report on House Bill No. 1260–70, Conference Committee Report No. 20 Relating to General Aides,* September 14, 1970, p. 1.

[43] DOE, *Progress Report, Educational Assistant Project (1969–71),* March 3, 1971.

[44] Conference Committee Report No. 1, April 7, 1971.

[45] Senate Standing Committee Report No. 875–72, April 14, 1972.

the system prescribed in the manual is incomplete with respect to the management and control of pilot projects. The shortcomings of the *Operating Manual* for the purposes of managing and controlling pilot projects are included in the discussion below.

Second, in the remainder of this chapter, we often shift from the use of the term, "project," to the use of the term, "program," and vice versa. We do so deliberately. "Project" means a planned undertaking, and "pilot project" means the act of testing something out within a limited setting (e.g., one school). That something which is being tested out is the soundness of a program or program design, more particularly, the soundness of a *new* program or *new* program design. This distinction is important, particularly when we talk about things like "objective." The *objective of a pilot project* is to determine whether a program or program design is sound. The *objective of a program*, on the other hand, is to reach some specific situation or condition. It is because there is this distinction that the shift from the use of the term, "project," to the use of the term, "program," is necessary.

One other terminology problem: The term, "program," as used in the rest of the chapter includes "program design," unless the context indicates otherwise.

Project initiation. Project initiation is concerned with getting a pilot project under way. There are at least two questions which need resolution in this phase. The first is concerned with who should approve proposals for pilot projects, and the second deals with what information should be required to be submitted in seeking approval of pilot projects.

*1. **Who approves; the criterion problem.*** Currently, there appears to be a conflict among three different sets of documents as to who has authority to approve proposals for pilot projects. The DOE policy reads as follows:[46]

> "The superintendent may recommend to the Board of Education that any school shall be designated to pilot or carry on an innovative project relative to new curricula, new materials, new methodology, new instructional arrangements, or new facilities. The Board of Education shall maintain the authority to accept, reject, or request alterations in any pilot or innovative project which requires additional budgeting and to request an evaluative report at any point."

There are some ambiguities in this policy statement. However, on the face of it, the policy seems to require that *all* pilot and innovative projects be approved by the board of education. The wording of the policy, "the superintendent may recommend to the Board of Education," seems to indicate that the superintendent may, in the first instance, determine whether a program should be pilot-tested, but that, if he decides in the affirmative, he should present his recommendation to the board of education. It does not seem to permit the superintendent to choose from among the various pilot projects he approves those to be presented to the board.

However, DOE regulations,[47] presumably promulgated pursuant to the policy, require board approval of only those projects which "drastically alter the current or projected budget." Where the current or projected budget is not "drastically altered," the regulations authorize the superintendent (in cases of state- or district-initiated projects), the district superintendent (in cases of school-initiated projects), and the office of instructional services (in cases of school-initiated projects which have implications beyond the local school or district) to approve pilot projects. Then, the *Operating Manual* authorizes projects requiring less than four months to be approved by assistant superintendents or district superintendents, but provides that the approval of both the superintendent and the board of education is necessary for projects requiring four or more months and for projects requiring less than four months but determined by the superintendent or the board of education to be "major undertakings."

[46] DOE, *School Code, Policies and Regulations, Instructions,* (2000 Series), 1970, Policy No. 2430.

[47] *Ibid.*, Regulation No. 2430.1.

Obviously, these conflicts must be resolved. We do not think it is essential for the board of education to approve every pilot project, as the policy seems to imply. On the other hand, we do not think the amount of impact on the current or projected budget and the source from which the proposal is initiated (as indicated in the regulations) and the length of the proposed project (as set forth in the *Operating Manual*) in and of themselves are adequate criteria for determining who should approve what pilot project proposal.

We believe that a more appropriate criterion is the nature of the project being proposed. If a project is one which, upon its conclusion, would require a *strategic* decision to be made, that project should secure the approval of the superintendent and the board of education. On the other hand, if a project is one which, upon its conclusion, would require a *managerial* decision to be made, then the project may well be approved by the district superintendent or by an assistant superintendent. To state this another way, if that which is proposed to be pilot-tested contemplates no change to the existing statewide framework (i.e., state policies, state objectives, state directions, state philosophy, state emphasis, state priorities, essential state program design, etc.), the authority to approve or disapprove the project may be delegated to a district superintendent or an assistant superintendent, but if that which is proposed to be pilot-tested contemplates changes to the existing statewide framework, the approval of the superintendent and the board of education should be required. An example of a project which does not affect the existing statewide framework is testing the substitution of certain instructional materials for those currently in use, without affecting either the objective of the program or the essential structure of the program's design.

Another appropriate criterion (which should be applied in conjunction with the criterion discussed above) is the need for funding the pilot project. Note that the cost of pilot-testing is a "research and development" cost under Act 185. If a pilot project requires the expenditure of funds not specifically appropriated and allotted to the project, the approval of at least the superintendent and the board of education should be sought. This is because, if the project is not specifically funded by existing appropriation and allotment, moneys for it must necessarily come from those funds appropriated and allotted for other purposes (i.e., for investment or operating) or for other programs, and such shifting of funds from one cost category to another or from one program to another affects the state program and financial plan. The sufficiency of the superintendent's and the board's approval in such instances presupposes that the legislature has given the department (either directly through the board of education or indirectly through the governor) the authority to shift funds from one category to another and from one program to another.[48]

This second criterion may be qualified. If the department seeks and secures legislative approval for a "kitty" out of which the DOE may fund any pilot project during the year and if in the scheme of things districts (and schools) are themselves allotted such a "kitty," no such prior superintendent's and board's approval may be necessary, provided the project is not one which, upon its conclusion, would require a strategic decision to be made. A word of caution, however, is in order. It does not appear wise from the standpoint of management and control to allot large sums of money to districts (or schools) for the purpose of funding such pilot projects as they may desire. Perhaps a small amount may be justifiable, but then only to pilot-test those items which are managerial and operational in nature. Note that this exception differs from the criterion stated in the DOE regulations. The regulations require the approval of the board of education if the project "drastically alters the current or projected budget." The term, "drastically alters," is vague and indefinite and difficult to apply.

*2. **Information in support of project proposal.*** The DOE regulations require the development of project plans, which include specification of the "program objectives, time limits, resource inputs, anticipated benefits, and criteria for evaluation." They also provide that

[48]Section 13(d) of Act 185 provides that "no appropriation transfers or changes between programs or agencies shall be made without legislative authorization. Authorized transfers or changes, when made, shall be reported to the legislature."

the costs of initiating the project and of the long-range benefits and of disseminating the program throughout the school system be projected. The regulations are not clear whether both the plans and the projections must accompany the proposal in the first instance or whether approval can be given contingent upon the subsequent development of such plans and projections. We note, however, that requiring a projection of the costs "of disseminating the program throughout the school system" is probably premature at this stage of pilot-testing. It appears that such projection is appropriate only after the pilot project has run its course and if the evaluation upon the completion of the pilot points to adoption of the program on an ongoing basis.

In contrast to the regulations, the *Operating Manual* distinguishes two kinds of documents: project specification and project plan. The *Operating Manual* acknowledges that both the specification and the plan may be combined in the early stages of implementation of the manual, particularly for smaller projects, but encourages the use of both documents for the larger and complex projects. Project specification in essence is the project proposal. It outlines the reason for the project (i.e., the source of the request for the project and the need for it), the program objectives (i.e., what the program being pilot-tested seeks to accomplish), the nature and scope of the project, an estimate of the commencement and completion date of the project, and an estimate of the resources required to carry out the project. The purpose of the project specification is stated to be

> "(1) to reach explicit agreement on the objectives and scope of a proposed project, and (2) to provide a basis for the development of a detailed plan of project implementation in accordance with the objectives and scope of the Project Specification. The approval of a Project Specification does not constitute an authorization to implement the project. Although its approval means that the project is an endorsed activity of the Department of Education, actual project implementation is dependent upon approval of a detailed plan of implementation."[49]

The project plan is a much more detailed document which "identifies and integrates all project requirements into a time schedule for project accomplishment." The focus of the project plan is on "*how* the project is to be implemented, administered and ultimately completed given the resources and time period of its implementation."[50]

We agree that a distinction should be made between a proposal and a subsequent plan. In our view, a proposal to pilot a project should include the following, some of which are specified in the DOE regulations and the *Operating Manual*:

- the objectives of the program proposed to be pilot-tested;
- the nature and scope of the program and the project;
- an estimate of the project commencement and completion date;
- an estimate of the resources required for the project;
- the anticipated benefits;
- the criteria for evaluating the effectiveness of the program in attaining the objectives specified;
- the criteria by which to determine the adequacy of the program design.

The necessity for specifying the measures by which to assess the program and the program design at this early stage cannot be overstressed if a fair and objective evaluation at the end of the pilot period is to be assured.

[49] DOE, *Project Management and Reporting System: Operating Manual*, June 1971 (Draft, revised July 9, 1971 for use in OIS pilot test), p. D–1.

[50] *Ibid.*, p. E–1.

Proposals to pilot-test programs generally emanate from analysis—that is, from some hard thinking by someone about the costs and potential results of the program or program design as compared to the costs and benefits of other programs or other designs. Projects are piloted to test out one's conclusions about the program and its design. This being so, any proposal for a pilot project should be accompanied at least by a summary of the analysis which led to the conclusions about the program.

Pilot project design. This phase of a pilot project is the "plan" phase referred to in the *Operating Manual*. As stated in the manual, in this phase, all project requirements are more specifically detailed and integrated into a time schedule for project accomplishment—that is, it focuses on how the program is to be implemented, administered, and ultimately completed. Thus, the costs of the project by kinds of resources required (personnel, supplies, etc.), the various phases of the project, and the specific tasks and the time requirements of each phase should be identified in detail. In addition to the above, it should delineate clearly the configuration of the program to be tested, the sample population to be included in the pilot, the geographic location of the pilot, and the evaluation framework to be utilized, including the specification of the evaluation instruments and procedures. The pilot project design should be approved by that same authority which approved the project's initial proposal.

Piloting: status and progress reports. Once the pilot project design has been approved, the project is ready for actual piloting. The essential focus in this phase, from the managerial point of view, is exercising control to ensure that the piloting progresses according to schedule, in terms of time, money, and efforts. This means a system of reporting.

The *Operating Manual* outlines in some detail this reporting system. It requires the submission on a monthly basis of a "project status report" which highlights where the project is in terms of its initial schedule. It also requires the submission of "progress reports" from time to time which note the "result of project activities." In addition, the manual establishes a "project status board" which presents a visual picture of where the various DOE projects stand at any given moment. The *Manual* provides for appropriate reviews of the status and progress reports by the various levels of the organizational hierarchy.

While the efficacy of the reporting system prescribed in the *Manual* is still to be determined, this attempt to establish a reporting system deserves support. We suggest, however, that a complete progress report (as that term is defined in the *Operating Manual*) be required at least upon the completion of each major phase of the project.

Evaluation. At the conclusion of piloting, a final evaluation of the project is in order. We noted in this chapter the general lack of objectivity on the part of DOE in conducting an evaluation of a pilot project. The desire on the part of those who initiate any pilot project to secure results which favor the project is understandable. However, it is precisely because of this that we think the measures to determine success or lack of success and the measuring instruments should be identified and specified in the early stages of the pilot project. To further ensure a fair and objective evaluation, the evaluation design and the results of the evaluation should be reviewed by persons independent of those responsible for the formulation of the program, the program design, and the evaluation design.

Implementation decision. A decision to implement or not implement the program is the final phase of pilot-testing. This decision, of course, is made by that level of authority authorized to make that decision, based on the final evaluation report. It is only after a decision to implement the program on an ongoing basis has been reached that thoughts about how the program should be installed in the schools are appropriate.

Recommendations. *We recommend that the department of education establish a system for pilot-testing. In establishing the system, the department should*

1. Clarify through policy and regulations which types of projects require approval by the superintendent and the board and which types do not require their approval. An appropriate

guideline would be to require superintendent and board approval of all pilot projects which contemplate a change to the existing statewide framework or which require funding.

2. Specify the purpose, contents, and requirements for submission of (a) pilot project proposals, and (b) pilot project designs. The specifications should require the formulation of measures to assess program effectiveness and the adequacy of program design during the project proposal phase and the development of a complete evaluation framework during the project design phase.

3. Require status and progress reports of each pilot test, including a complete progress report at the end of each major phase of the project.

4. Provide for independent review of evaluation designs and evaluation results to ensure fair and objective evaluations.

5. In the manner recommended in chapter 20, assign responsibility for the conduct of pilot project evaluations to persons not connected with the project or the program to which the project relates.

CHAPTER 17

PROGRAMMING

Once it is decided that a program should be implemented and its design is fixed, the next logical task is to lay out a schedule for implementation over a period of time. This is called "programming." Programming establishes what part or parts of a program are to be implemented when, how they are to be implemented, and what they are estimated to cost. If the program is intended to replace an old one, programming shows how the old program is to be phased out and the new program phased in. Programming covers as many years as are necessary for full implementation of the program.

Programming requires a systematic approach. The interdependence of the various parts or components of the program and organizational capability are important factors to consider in programming. Thus, if the program requires re-training of teachers, programming would schedule in-service training as one of the first things to be undertaken. If the substantive portion of the program relies heavily on counseling and guidance, programming would ensure the existence of adequate counseling and guidance before the substantive portion is implemented. The acquisition of necessary materials and equipment and the construction of required facilities would also be appropriately timed by programming. This means, then, that programming relies heavily on the program design. Nonprogramming or poor programming can result if the program design is insufficient—that is, if the various parts or components of the program, their configurations, and their interrelationships, are not properly identified or understood.

Summary of Findings

In summary, our findings are as follows.

1. Although new programs usually require some time period for full implementation,[1] the DOE either does not plan out the installation of new programs or does it badly. More often than not, program installation is left entirely up to schools and districts without a state plan for implementation, and the schools and districts, in turn, attempt to implement the program without programming of any kind or under poorly formulated schedules.

2. As a result, full installation of a new program is often immediately sought. But snags and difficulties crop up because the interrelated parts of the program are not installed on a systematic basis. Ultimately, installation breaks down and the program ends up being installed on a piecemeal basis, and inequities between and among schools and districts develop and the benefits of the program that had been anticipated are either not fully realized or are a long time in coming. Sometimes, due to nonprogramming or poor programming, a program fails to be implemented.

The following are some examples of the DOE's efforts to implement programs without programming or under poor programming and their results.

Social Studies

The elementary and secondary, inquiry-conceptual social studies programs are examples of DOE's attempts to implement programs without programming of any kind. Full implementation of these programs in the

[1]Some program specialists within the DOE estimate that it takes at least two years for schools to gear-up through training and acquisition of necessary materials and equipment for any new program.

manner intended has been frustrated by the failure to properly sequence the installation of the various components of the programs. In particular, such components as teacher training in the new concept and the acquisition or identification of appropriate instructional materials, which are essential to the success of the program, did not precede actual implementation. All things, including actual teaching of the new program, were sought to be done at once. The consequences were inevitable. The elementary program, the implementation of which began in the 1968–69 school year, has not been implemented in all schools. The secondary program, the implementation of which officially began in the 1971–72 school year and which is still in the process of implementation, appears also to be headed for nonimplementation in some schools.

Oddly enough, during the early stages when these programs were proposed for adoption, some rudiments of programming had existed. However, subsequent DOE actions completely eliminated all vestiges of programming. Details follow.

Elementary. The elementary, inquiry-conceptual social studies program came into being with the issuance of the 1968 *Elementary Social Studies Program Guide.* The 1969 social studies analytic document noted that there were difficulties in implementing the 1968 guide and mentioned two major problems which were detracting from a full and effective implementation of the program: (1) the lack of teacher knowledge (in substance and content) of the new curriculum and the lack of teacher adeptness at teaching through the inquiry approach, and (2) the lack of identification of appropriate instructional materials and the lack of information on how and with what kinds of students they can be used.[2] The 1969 document (although it recommended the immediate implementation of the inquiry-conceptual program) proposed that these problems be met by a series of in-service training institutes, each of five days' duration, spread over five summers, and by pilot-testing "exemplary" teaching materials on an ongoing basis. The 1970 analytic document reaffirmed the continuing existence of these problems,[3] but, unlike the 1969 document, proposed no in-service training activities and recommended pilot-testing of a limited amount of materials each year.

The adverse result of implementing this program without programming to accommodate the need for teacher training and instructional materials came to light in 1971, when a revised elementary program guide was issued. It was then learned that some schools had as yet to commence implementing the new inquiry-conceptual program.[4]

Secondary. The secondary, inquiry-conceptual social studies program was first proposed for adoption via the 1969 social studies analytic document.[5] At the time of this initial recommendation, the design of the program had not been determined. The document acknowledged the absence of a design and envisioned that development and implementation of the program would span over a period of six to seven years. It anticipated that a program would be developed for each of the six secondary grade levels in sequential order, beginning with the 7th grade, and that it would take one year for the development of each grade level program. It expected that implementation, as well as demonstration, evaluation, and revision of each grade level program, would take two years after completion of the development of the program. It felt that partial implementation of the first phase—i.e., the 7th grade level program—could begin in the fall of 1970.[6] Until the full implementation of the inquiry-conceptual program in all secondary schools, the 1969 analytic document recommended that the Harvard Social Studies Project materials be purchased and installed in the schools and the Pacific and Asian Affairs Council (PAAC) program be expanded. This layout of how the program should be developed

[2]DOE, *Vol. III: Analytic Document, Social Studies,* February 1969, p. 10.

[3]DOE, *Vol. III: Analytic Document, Social Studies,* January 1970, pp. 12–13.

[4]Information from central district.

[5]DOE, *Vol. III: Analytic Document, Social Studies,* February 1969.

[6]*Ibid.*, p. 19.

and implemented constituted programming of a sort. It fell short of complete programming in at least the following respect.

Its primary focus was on the development of the program, rather than on implementation. Thus, the costs expected to be incurred in each of the five fiscal years, commencing in fiscal year 1970, were costs associated with the development of a program for each of the grade levels—that is, costs for the personnel necessary to develop the curriculum and for the development, demonstration, revision, and printing of each grade level program. No plan was included to indicate how each grade level program, as it was developed, was to be implemented in the schools and how the ongoing program was to be phased-out. Likewise, the costs of the Harvard project materials and the costs associated with the expansion of the PAAC program for each of the five fiscal years were included in the document. But, how the Harvard project materials and the PAAC program would be phased-out as the inquiry-conceptual program was developed, was not indicated.

However, even this rudimentary programming did not last long. The 1970 analytic document[7] took a different tack from the 1969 document. The 1970 document no longer spoke of the need for six or seven years for development and implementation of the inquiry-conceptual program, nor of the need to introduce any interim program (such as the Harvard Social Studies Project materials and an expanded PAAC program) pending full implementation of the inquiry-conceptual program. Instead of grade-level programs, the 1970 analytic document proposed an eclectic approach within the inquiry-conceptual framework. Its discussion was thus centered about the development of instructional materials and the establishment of resource centers in the schools. It proposed a two-year pilot-testing of each set of proposed instructional materials on an ongoing basis. It noted that one set of materials would be tested in no more than three schools and no more than five sets of materials would be pilot-tested in any one school year.

[7]DOE, *Vol. III: Analytic Document, Social Studies,* January 1970.

The 1970 analytic document estimated the yearly costs for six fiscal years, beginning with fiscal year 1971. The costs estimated were for pilot-testing instructional materials and for furnishing instructional materials to resource centers in two schools or complexes per year. But the 1970 document failed to note how the program which was recommended for immediate implementation was to be installed. It did not even indicate when and how successfully pilot-tested instructional materials would be introduced into schools, what resource centers would be constructed, when and how each resource center would be equipped, and in what time sequence the old program would be phased-out. Nor were the costs associated with the various implementation activities identified.

Pursuant to the recommendation of the 1970 analytic document that the program be immediately implemented, the assistant superintendent, office of instructional services, informed the district superintendents and principals, via a memorandum dated April 21, 1971, that a secondary social studies program guide would be developed, printed, and distributed in the spring of 1971, that implementation of the program would begin in the fall of 1971, and that the program would be in implementation in all schools by fiscal year 1973. Neither the memorandum nor any subsequent document provided any guideline to schools as to how the program might be phased-in.[8]

Without any state schedule for implementation, confusion was inevitable when schools and districts began to implement the new, eclectic, inquiry-conceptual program in 1970–71. Schools and districts quickly discovered that the program was difficult, if not impossible, to implement in the sense intended without resource rooms, instructional materials, equipment, personnel, and the training of teachers. Schools and districts inquired of the state office as to how the needed resources might be

[8]In fact, some schools had already begun implementation in school year 1970–71, despite the fact that schools and districts were allotted funds for that school year not on the basis of the new program but on the ongoing program (Kaimuki Intermediate, Kailua Intermediate, Moanalua Intermediate, Niu Intermediate, Kailua High, Kapaa High, Hilo High). DOE, *Planning, Budgeting and Resource Allocation, FY 1970–71,* June 18, 1970, p. 16.

acquired and how teachers might be trained. All such queries resulted in a response that schools and districts should live within the budget—that is, within the allocation made on the basis of the existing, ongoing program. Under this state of affairs, implementation was quite unsystematic, and implementation efforts differed from school to school. Some schools had to make do without resource rooms, although others had them. Some schools did a reasonably fair job at putting together instructional materials, while others were less successful. In the view of the state program specialist, most of these materials put together by schools were teacher, rather than student, resource materials. The frustration of schools is exemplified by the testimony of one group of social studies teachers, thus:

> "We have been mandated to implement the new social studies program as soon as possible. We are willing to do so. We are trying. But we need help."[9]

This group voiced the need for the retraining of teachers, the need for substitute teachers in order that teachers may observe the various facets of the program in operation in other schools, and the need for para-professional assistance because of the demands brought on by the multi-material approach. As one district summed the problem, the program was mandated as a system but the implementation was governed by current services.[10]

The expectation that schools could and would implement the new program without a proper scheduling for installation was highly unrealistic. The state office has since attempted in various ways to alleviate the problems as they arose. For example, the state office distributed resource guides for the various areas encompassed by the secondary, inquiry-conceptual program: Theme III: World Cultures (grade 9), November 1971; Theme I: Our Cultural Heritage (grade 7), January 1972; Theme II: Basic Issues and Problems in the United States (grade 8), August 1972. Guides for other areas are yet to be developed, for example for Theme IV: American Studies (grade 10).[11]

These efforts on the part of the state office are commendable, but none of them had been programmed to be performed, and the apparent necessity for resource guides, the need for training in their use, and how their use might be installed in schools in some orderly fashion, were not considered in urging schools to implement the secondary social studies program beginning in 1971. About the only hint that some preliminary and intermediate steps were necessary before the program could be successfully implemented were contained in the 1971–72 and 1972–73 *Authorized Courses and Code Numbers* for intermediate and senior high schools.[12] Both documents noted:

> "The new Secondary Social Studies Guide will make Theme IV, American Studies, mandatory in the sophomore year, following Themes I, II and III in the intermediate school years.
>
> "However, during the two-year transition period [presumably 1971–72 and 1972–73], schools are requested to offer American Studies to those juniors and seniors who have not yet taken this course."

The extent and status of implementation of the secondary, inquiry-conceptual social studies program in the schools today are not really known. However, it is doubtful that the initial objectives of the program are being met.

[9] Testimony before the house education committee by the Big Island Council for Social Studies, February 5, 1971.

[10] Hawaii district.

[11] Similarly, the state office sought to alleviate the problems associated with implementing the elementary, inquiry-conceptual, social studies program. For example, it conducted a leadership institute in the summer of 1971 for the purpose of developing social studies "leaders" who could assist in the effective implementation of the program. This effort, however, fell short in attracting, in sufficient numbers, the kinds of personnel that were sought. Per program specialist, social studies, November 1971.

[12] DOE, *Authorized Courses and Code Numbers 1971–72, Intermediate and Senior High Schools,* December 1970, p. 77; *Authorized Courses and Code Numbers 1972–73,* October 1971, p. 179.

Health Education

SHES is an example where programming was unrealistic. As originally conceived, SHES was to have been implemented at the rate of two concepts per year in both the elementary and secondary schools, beginning in school year 1970–71, with full implementation of all ten concepts of SHES in five years.[13] The 1970 legislature appropriated the necessary funds,and health education was allotted its full request for the implementation of two SHES concepts in school year 1970–71.[14] The two concepts selected for installation in that school year were concept 6 (family life and sex education) and concept 9 (mood modifiers: drugs, alcohol, narcotics).[15]

The components of SHES as originally identified consisted of instructional, resource, and evaluation materials (all to be purchased) and teacher training (to be accomplished via two-day summer institutes for two participants per school per year).[16] On the surface, at least, the rather simple lines of the SHES program lent themselves to ease in programming its implementation. Thus, the original proposal to adopt the SHES program was accompanied by an installation schedule calling for implementation of two concepts per year in all schools through the purchase of necessary materials and the training of teachers at summer institutes prior to the school year in which the concepts were to be installed.[17] There were a few shortcomings in the installation schedule included in the original proposal. For example, it did not identify which concepts were to be introduced in what year (the choice of installing concepts 6 and 9 was made after appropriation by the legislature), and it failed to disclose how and what costs of the ongoing program were to be displaced by the new program (in projecting the implementation, the cost of the new program was merely added on to that of the program being replaced).[18]

The more serious problem in programming the implementation of SHES, however, was its lack of realism, stemming primarily from its underestimation of teacher acceptance of the program and teacher ability to grasp the concepts embodied in SHES. As it turned out, the DOE was unable to fully implement even one concept during the 1970–71 school year. Implementation of concept 6 was negligible, and concept 9 failed to reach most of the estimated 129,000 students[19] who were expected to receive it. In-service training, running for two days, proved to be insufficient to prepare teachers (who generally had little training in teaching health) to teach the SHES concepts, and training consisting of 32 to 64 hours was found to be necessary.[20]

Difficulties in implementing the SHES program led to a revision of the installation schedule. In January 1971, the office of instructional services notified the district superintendents and principals that a single concept (rather than two) would be introduced each year and that a period of two years (rather than one) would be allowed for full implementation of each concept, to-wit:[21]

1970–72: Concept 9 – Mood modifiers including dangerous drugs
1970–73: Concept 6 – Family life and sex education
1972–74: Concept 5 – Man, his environment and diseases

This schedule in turn was amended in August 1971, "due to lack of funding by the 1971 legislature." The amendment provided for

[13] DOE, *Vol. III: Analytic Document, Health,* January 1970; DOE, *A Report of Program and Financial Plans for the Period 1971 to 1977,* February 1, 1971, p. 121.

[14] DOE, *Planning, Budgeting and Resource Allocation, FY 1970–71,* June 18, 1970, p. 16.

[15] Implementation of concept 9 had actually begun in the 1969–70 school year.

[16] DOE, *Vol. III: Analytic Document, Health,* January 1970.

[17] *Ibid.*

[18] See *Vol. III: Analytic Document, Health,* January 1970, p.42.

[19] DOE, *Vol. III: Analytic Document, Health,* January 1970.

[20] DOE, *School Health Education Analysis,* December 1971, pp. 25–26; testimony of program specialist, health education, before the senate education committee, March 1, 1971.

[21] Informational memorandum, dated January 19, 1971, from director, general education, to district superintendents and principals, subject: "Long Range Plans for Health Education."

installation of one concept per year, with full implementation of each concept spread over three (rather than two) years:[22]

1970–73: Concept 9 – All schools
1971–74: Concept 6 – Intermediate and high schools
1972–75: Concept 6 – Elementary schools
1973–76: Concept 5 – Intermediate and high schools

It is estimated that, at this rate, it would take the DOE some 16 years to phase-in all parts of the SHES program.[23]

This reprogramming of SHES implementation contains the same shortcomings as the original schedule—that is, it does not identify which concepts are to be introduced in what year (except for concepts 9, 6, and 5), and it fails to disclose how and what costs of the on-going program are to be displaced by the new program as it is installed in phases. And, like the original schedule, the new programming poses a serious problem, although of a different kind. If, indeed, full implementation of SHES is going to take some 16 years, the viability of SHES as a program for the DOE is placed in question. If SHES is the program that the DOE should pursue, how it might be installed sooner must be thought anew or the worth of taking the risk that the program would be outdated within 16 years must be weighed. On the other hand, if the program cannot be implemented sooner due to continuing fiscal or other constraints and the risk of an outdated program is not worth taking, then the DOE should begin consideration of other options to attain the objectives of the health program.

3 on 2 and Individualized Instruction

3 on 2 and individualized instruction, which the organizational pattern of 3 on 2 is intended to facilitate, are, unlike the SHES program, complex programs containing many facets. The lack of an adequate design for 3 on 2 and individualized instruction was discussed earlier in this report. Largely due to the lack of an appropriate design, proper programming for the installation of 3 on 2 and individualized instruction was not accomplished.

Confusion, uncertainty, and fragmentation characterize the implementation of 3 on 2 and individualized instruction. Implementation was attempted in the absence of the necessary support items, such as facilities, equipment, material, training, and personnel, the presence of which would have been attended to by proper design and programming. The lack of orderliness in the installation of these programs is attested to by the following.

Facilities. There has been a substantial gap between program implementation and facilities readiness. The problems concerning inadequacy of facilities have been mentioned in numerous DOE reports.[24]

For example, a report on a poll taken of the first year teams cited physical facilities as one of the major problems of the program.[25] Another report indicated that "renovations are taking longer than anticipated. By November 1969, only one-half of the rooms were renovated."[26] Yet another report noted, "In 1970, facilities in some of the schools were not completely renovated before school opened. The new teams are still waiting for their carpets."[27] Additionally, most of the principals interviewed in a survey in fall 1970 indicated that in their schools facilities were not fully ready before the program began each September.[28] Although operational procedures contributed to some of the delays, most of the delays are attributed to the lack of lead time necessary for the renovation of facilities.[29]

[22]Memorandum, dated August 17, 1971, from assistant superintendent, office of instructional services, to district superintendents, subject: "Amendment to Long-Range Plans for Health Education."

[23]DOE, *School Health Education Analysis,* December 1971, p. 29.

[24]DOE, *Survey of Common Bases of the 3 on 2 Program,* December 1968; DOE, *Progress Report 3 on 2,* April 1969, pp. 3, 6; DOE, *3 on 2 Progress Report,* January 1970, p. 18; DOE, *Progress Report 1968–69,* November 1969, pp. 3, 27; DOE, *3 on 2 Evaluation 1968–1970,* January 1971, p. 60; DOE, *Report on House Bill No. 1260,* January 8, 1971, p. 14.

[25]DOE, *Progress Report 1968–69,* November 1969, p. 29.

[26]DOE, *DOE Report, K–3 Program: 3 on 2,* p. 6.

[27]DOE, *3 on 2 Evaluation 1968–70,* January 1971, p. vii.

[28]DOE, *3 on 2 Principal Interviews,* fall 1970.

[29]DOE, *K–3 Program Report,* 1970 session, p. 6.

Equipment and materials. Individualization of instruction calls for the use of a variety of media approaches, instructional materials,[30] and audio-visual equipment.[31] In these respects, accommodation to program needs was also wanting. Reports indicated insufficient equipment[32] and insufficient and inadequate materials in the classroom,[33] and teachers' expending too much time in making materials.[34]

Training. At the inception of the 3 on 2 program, there were an insufficient number of people knowledgeable in the program and it was a case of the leaders' learning with the learners.[35] Two extractions from the first progress report are illustrative of this:[36]

> "Program too widespread—district and state should select schools and concentrate assistance there." (p. 7)
>
> "There seems to be a feeling of inadequacy, not only among the teachers but also among the principals, who, although have a desire to help, and know the need for help exists, have not the knowledge to help." (p. 15)

Year-to-year planning. Without proper programming, the installation of 3 on 2 and the attendant individualized education has been accomplished on a year-to-year basis. When the program was first installed, it was intended to be "experimental" for the first three years. The results of the experiment were then expected to influence the implementation levels in succeeding years. The installation schedule developed in June 1968 is shown in table 17.1.

However, shortly after 3 on 2 installation began, "experimentation" ceased to remain an issue, and the major decisions concerning 3 on 2 thereafter revolved around the rate at which 3 on 2 should be expanded. In the ensuing months and years, numerous proposals for expansion were advanced. These proposals, when viewed together, reflect a lack of deliberate planning for 3 on 2 implementation—that is, a well-thought-out scheme by which 3 on 2 might be implemented to ensure efficient and effective management and operation of the program. The proposals, even within the same year, varied considerably one from another. Consider the following.

Table 17.1
3 on 2 Installation Schedule, June 1968
No. of Additional Teachers Needed Each Year

	1968–69	1969–70	1970–71	1971–72	1972–73	1973–74	Total
K–3	216	---	---	326	240	234	1,016 (100%)
4–6	---	---	---	---	---	31	31 (5%)

Source: DOE *Departmental Comprehensive Plan, Volume II: Worktables and Recommended Program Plans, Part I,* June 28, 1968, p. I–35.

[30]DOE, *3 on 2 Program Administrative Guide and Implementation Handbook,* revised August 1969, p. 2.

[31]DOE, *3 on 2 Program Administrative Guide and Implementation Handbook,* August 1968, p. 18.

[32]DOE, *Progress Report 3 on 2,* April 18, 1969, p. 3.

[33]DOE, *3 on 2 Progress Report,* January 1970, p. 31; DOE, *3 on 2 Evaluation 1968–70,* January 1971, pp. 59, 65.

[34]DOE, *3 on 2 Progress Report,* January 1970, p. vi.

[35]Per Hawaii district curriculum specialist, elementary, May 24, 1971.

[36]DOE, *Progress Report on 3 on 2,* April 1969.

As early as mid-November 1968 (just five months after the initial schedule had been drawn), the general education branch of the office of instructional services developed three options for the expansion of the 3 on 2 program as follows:[37]

Proposal	1969–70	1970–71
No. 1	55	275
No. 2	109	219
No. 3	166	166

(Figures are incremental additions each year.)

However, the department's budget request for 1969–70, submitted in December 1968, failed to indicate any desire for expansion, noting, "Any request for adjustment of this innovation through expansion or deletion will be made after an appraisal is made."[38]

In April 1969, the DOE submitted to the legislature then in session, two alternative proposals for expansion of 3 on 2, thus:[39]

Proposal	1969-70	1970-71	1971-72	1972-73	1973-74	
A	178	175	175	175	100	(100%)
B	100	150	150	200	203	(100%)

(Figures are incremental additions each year.)

The 1969 legislature, following the department's proposal B, authorized 100 positions for 1969–70 and urged the department to use savings from the lump sum appropriation to accelerate progress toward statewide coverage of 3 on 2.[40]

For the school year 1970–71, based on the DOE projected figure of 150 contained in proposal B (above), the districts submitted to the state office expansion requests totaling 250. The state office, however, determined that the program should be expanded by at least 250 positions in 1970–71, and, by a memorandum dated December 16, 1969, urged the districts to review and possibly increase their requests.[41] The revised district expansion request totaled 350.[42] (The practice of requesting more than what the department really wants is a common practice, on the theory that the legislature will authorize less than that requested.) Thus, for 1970–71, the department asked for 350 additional positions and noted that with another 350 in 1971–72, 3 on 2 coverage for all K–3 would be complete.[43]

The 1970 legislature authorized up to 350 additional 3 on 2 classes (as requested by the department) for school year 1970–71,[44] but funded only 150 of these positions with the proviso that supplemental appropriations may be requested at the 1971 session as the department may require for the remaining 200 teachers.[45] No request for supplemental appropriations was made at the 1971 session.

In February 1971, the DOE asked the legislature for 300 additional positions in school year 1971–72 and 81 additional positions in school year 1972–73 to complete the installation of 3 on 2 for all K–3.[46] The legislature, however, authorized 100 additional positions for 1971–72 and another 100 for 1972–73 and funded an additional 125–3 on 2 positions previously authorized in 1970.[47] Soon

[37] DOE, general education branch, *Program Expansion Proposal 3 on 2,* November 15, 1968.

[38] DOE, *Budget Request 1969–70,* December 1968, p. ii.

[39] DOE, *Five-Year Projection for K–3 Program (3 on 2), Alternative Plans A & B,* April 19, 1969.

[40] Conference Committee Report No. 23, May 1969, p. 9.

[41] Memorandum, dated December 16, 1969, from general education branch, office of instructional services, to district superintendents.

[42] DOE, *List B 3 on 2 Program 1970–71 Expansion Request* (attached to memorandum dated February 20, 1970 from general education branch to facilities and auxiliary services branch).

[43] DOE, *K–3 Program: 3 on 2,* p. 7; DOE, *Budget Request 1970–71,* p. x.

[44] Conference Committee Report No. 20, May 4, 1970, p. 5.

[45] Act 175, SLH 1970 (H.B. No. 1260–70, C.D. 1).

[46] DOE, *A Report of Program and Financial Plans for the Period 1971 to 1977,* February 1, 1971, pp. 51, 52.

[47] Conference Committee Report No. 1, April 7, 1971, Act 68, SLH 1971.

thereafter, the DOE issued an installation schedule for the future as follows:[48]

1971–72	1972–73	1973–74	1974–75
100	100	100	81 (100%)

Due to an administrative freeze on new hires, no new 3 on 2 position was installed in September 1971.

A composite picture of the various proposals for the expansion of 3 on 2 is noted in table 17.2.

A review of these various DOE proposals reveals no rational basis for any of them. The justification given each of the proposals is similar. Generally, the reasons for expansion include statements to the effect that there is positive acceptance of the program by parents, students, and teachers; the districts are requesting expansion; and there is a strong promise for the pupil's progressing as rapidly as possible in both academic and personal growth.[49] But why the rate of expansion should vary so widely and suddenly is never clear. None of the proposals appears to have taken into account the various components of 3 on 2 and individualization which 3 on 2 supports and the

Table 17.2

Proposals for 3 on 2 Expansion
1968 to 1971

Proposals	1968 –69	1969 –70	1970 –71	1971 –72	1972 –73	1973 –74	1974 –75
June 1968	216			326	240	234 (100%)	
November 1968							
Proposal No. 1		55	275				
Proposal No. 2		109	219				
Proposal No. 3		166	166				
April 1969							
Plan A		178	175	175	175	100 (100%)	
Plan B		100	150	150	200	203 (100%)	
February 1970			350	350 (100%)			
February 1971				300	81 (100%)		
April 1971				100	100	100	100 (100%)
Legislative Authorization	216	100	350*	100	100		
Actual Installation[1]	203	107	150 (1st sem.) 125 (2nd sem.)				
Budgeted Positions			275				

[1]DOE report on 3 on 2 positions, October 19, 1971.

* 150 funded in 1970 (Act 175, SLH 1970); 125 funded in 1971 (Act 68, SLH 1971).

[48]DOE, general education branch, April 20, 1971.

[49]DOE, general education branch, *Program Expansion Proposal 3 on 2*, November 15, 1968; *K–3 Program: 3 on 2*, 1970.

need for some order in the implementation of the various components. Thus, even as the proposals for expansion were being made, numerous problems relating to facilities, equipment, instructional materials, the implementation timetable, teacher training, and the state's direction in individualization continued to surface.[50] The readiness and ability of the schools to implement the proposals were questionable. Yet, the DOE continued to represent to the State legislature of its ability to implement 3 on 2 in an accelerated fashion noted in the proposals.

[50]See, for example, Conference Committee Report No. 20, May 4, 1970; DOE, *Vol. II: Worktables and Program Plans, Part I*, July 18, 1969, p. 3.3.

Recommendation

We recommend that the department of education establish a system to assure realistic programming in the implementation of any new program. Such programming should consider financial and other constraints, the readiness of districts and schools to undertake implementation, and all of the interrelationships of the different parts of the total program to be installed. It should include details of ***what*** *components of the new program are to be installed* ***when;*** ***what*** *portions of the old program are to be phased-out* ***when;*** *the order in which the program is to be installed in specific districts, schools, and grades; and the sequence in which personnel are to be trained and resources acquired and utilized to support implementation.*

CHAPTER 18

PROGRAM ARTICULATION

If schools are expected to implement state programs, not only must they be given a reasonable timetable for implementation, but the state programs must be properly articulated to schools. Schools cannot be expected to perform in the manner intended if they are not informed as to what the state programs are.

Summary of Findings

Our audit disclosed that, where the department has sought to prescribe a statewide curriculum, there has been much uncertainty as to exactly what the state program is. A part of the problem in articulation is that the program configuration is not always settled prior to the issuance of instructions to implement. But, there are other reasons why articulation is poor. Among these other reasons are:

1. There is a lack of clarity with which program decisions are made by the state office.

2. State programs are poorly documented.

3. Teacher training sessions are inadequate or are poorly attended, and teachers receiving training are either improperly used or do not apply the training they receive.

Lack of Clarity in Decision

Decisions, in cases where they are purportedly made by the state office, are often lacking in precision. In a large measure, this is due to the fact that the system for state office curriculum decision-making is so ill-defined.

Examples. Take the case of *SHES*. In 1969, the program specialist assigned to analyze the health program of the state recommended that SHES be adopted as the health program of the state.[1] He recommended that two concepts of SHES per year be implemented beginning in the 1970–71 school year, leading to the full implementation of SHES (ten concepts) over a five-year period for grades K–12.

The superintendent, in his *PPB Memorandum*, dated December 1969,[2] did not agree fully with the analyst's recommendation. The superintendent agreed that SHES should be implemented in the secondary schools (grades 7–9) but chose the "revised on-going" program, rather than SHES, for the elementary schools. (The revised ongoing program consisted of the existing health program represented by the 1960 curriculum guide entitled, *Health and Safety Education in the Public Schools of Hawaii*, plus the addition of various instructional materials and other resources.) No reason was given for this decision, but lower costs were a likely factor. However, even before (and in spite of) the superintendent's decision, the general education branch of the office of instructional services issued a memorandum that the state health program was being revised to include "a comprehensive K–12 program, utilizing the

[1] DOE, *Vol. III: Analytic Document, Health,* January 1970, pp. 5, 35.

[2] The issuance of the *Superintendent's Program Memorandum* is no longer followed in the DOE. The memorandum was intended to summarize the superintendent's recommendations arrived at after reviewing the program specialists' analyses. The recommendations were intended for the board of education, although, in fact, the board never acted on them.

basic design and guide in the School Health Education Study."[3] And, subsequent to the superintendent's decision, various pronouncements were made that SHES was the departmental health education program.[4]

At the 1970 session of the legislature, representation was presumably made that SHES for both elementary and secondary schools was the department's program decision, for the legislature appropriated funds for implementation in school year 1970–71 of two SHES concepts throughout the school system. But, apparently this purported DOE decision was not firm, for the superintendent, in his *PPB Memorandum* of January 1971,[5] noted that *both* the revised ongoing program and the modified school health education study program levels I and II were being recommended for the elementary schools. The revised ongoing program and SHES are mutually exclusive programs–at least, the analytic document treats them as such. Hence, the superintendent's recommendation of both these programs was probably a recognition on his part that some schools were offering the revised ongoing program and others were already on or ready to implement at least portions of the SHES program. But even as the superintendent was making this recommendation, the DOE's presentation to the legislature was being formulated on the basis of SHES, and not the revised on-going program, for both the elementary and secondary schools.[6] At the 1971 session, SHES, and not the revised on-going program, was represented as the department's program.

Confusion in the field was inevitable. Districts and schools expressed doubt as to what health education program they were supposed to implement. The state of perplexity of principals and teachers of one district as to whether the K–12 SHES curriculum took the place of all other health programs and guides that had been in effect was related to the board of education by a member of the board representing that district.[7] A high school principal in another district wrote to his district office and the district office in turn wrote to the state office to inquire whether the state was carrying on two health programs at the same time (SHES and the state ETV health program), whether the schools should use two programs or one, and, if the latter, which had priority.[8] Numerous other inquiries were made by the field for clarification of the state program in health education.[9]

There is continuing uncertainty about the current and future health education programs. The present health education program is reported to be based on the 1960 *Health and Safety Education Guide,* supplemented by ETV programs in health education introduced in 1969 and by two SHES concepts (concept 6–family life and sex education; concept 9–drug education) introduced in the secondary schools in spring of 1970 and in the elementary schools in fall, 1970.[10] This is confirmed by the analytic document on health education issued in December 1971. It is reported that SHES concept installation[11] is now scheduled as follows:

[3]DOE memorandum dated October 21, 1969, from the general education branch to district superintendents, re "Implementation of Drug Abuse Education as Part of Health Education."

[4]Minutes, board of education, April 2, 1970. At this meeting, the board received a report from the general education branch that SHES was adopted on four levels, K–12. The minutes reveal no official action on the part of the board.

[5]*Superintendent's PPB Memorandum (FY 1972–1977),* January 1971, p. 50.

[6]DOE, *A Report of Program and Financial Plans for the Period 1971 to 1977,* February 1, 1971, p. 121. This report noted that SHES implementation for both elementary and secondary levels began in fiscal year 1970–71. It further noted that SHES for both levels was "accepted" by the board of education; the minutes of the board, however, do not substantiate this representation.

[7]Minutes, board of education, February 19, 1970, p. ll.

[8]Letter from Lanai High to Maui district, October 5, 1970; letter from Maui district to state office, October 8, 1970.

[9]DOE memorandum, dated December 9, 1970, re health education in Hawaii presentation scheduled on ETV, January 6 and 13, 1971.

See some questions raised by the field on DOE publication *Hawaii Teacher,* Vol. 1, No. 2, February 1971.

[10]Per program specialist, health education; DOE presentation to house education committee, February 4, 1971.

[11]DOE memorandum, dated August 17, 1971, from assistant superintendent, office of instructional services, to district superintendents, re: "Amendment to Long-Range Plans for Health Education."

1970–73:	Concept 9 (Mood Modifiers, including dangerous drugs)
1971–74:	Concept 6 (Family Life and Sex Education) Secondary
1972–75:	Concept 6 (Family Life and Sex Education) Elementary
1973–76:	Concept 5 (Man, His Environment and Diseases)

The 1971 analytic document decries the present fragmented health education program, notes that the phasing-in of SHES at the present rate will take 16 years (in contrast to the five years, commencing in 1970, envisioned in an earlier analytic document), and urges full implementation of SHES through the purchase of necessary resources and guides during the period 1973–75.

Two other examples of the lack of precision in curriculum decisions are the elective *secondary language arts* program and the *science* program. Official approval of the elective, secondary language arts program can only be implied from the list of courses authorized for the school year 1972–73. Neither the minutes of the board of education nor any other document reveals when, how, and why this decision was reached. The 1971 analytic document which announced abruptly that the elective English program had been implemented in the high schools was devoid of the rationale for this action. Further, the analytic document was issued and circulated only in "draft" form. No "official" version of the analytic document has ever been issued.

The science analytic document issued in February 1969 noted the ongoing program in grades 7, 8, and 9 as that program described in the *Science Guide for Grades 7, 8, and 9*, issued in 1968, which calls for a sequence of life science in grade 7, earth-space science in grade 8, and physical science in grade 9. After purportedly evaluating two options to this ongoing program, one of which was FAST (Foundation Approaches in Science Teaching) then being developed by the Hawaii Curriculum Center, the document concluded that the ongoing program was the best and recommended its continuance for grades 7, 8, and 9. Yet, an examination of the *Science Guide for Grades 7, 8, and 9*, 1968, on which the program is allegedly based, does not represent that the life science, earth-space science, and physical science sequence is the state program for grades 7, 8, and 9, but only *recommends* that it be implemented in lieu of the former general science survey approach. Presumably, the program specialist's recommendation contained in the 1969 analytic document was approved, but how that decision was transmitted to schools or whether it was ever transmitted to schools is in doubt.

Who decides. At the outset of this section, we noted that the lack of clarity as to the decisions reached regarding curriculum is in a large measure due to the fact that the system for curriculum decision-making is ill-defined. Who makes decisions and how they are made are not defined within the DOE. We noted in a previous chapter that decisions regarding the curriculum of the state are strategic planning decisions, and strategic planning decisions are the responsibility of the DOE's top decision-makers. The DOE's top decision-making body is the board of education. However, we noted that the board of education makes very few curriculum decisions–at least, the board of education's minutes indicate that this is the case.[12] Thus, new programs, such as SHES, the inquiry-conceptual social studies, and the elective, secondary language arts curriculum, have never been officially approved by the board of education, even though these programs represent new objectives, directions, and emphases from the old or previously ongoing programs. The minutes of the meetings of the board over the past few years reveal that the board has given official approval only to the elementary HEP and the family life and sex education programs. In a few other cases, the board has approved the programs "in principle."

It might be argued that the board of education takes official action on programs via the departmental budget which is submitted to the governor for transmission to the legislature. However, this argument falls short. In the first place, departmental budgets in the past have not always reflected the true programs then being implemented in the schools (e.g., the secondary language arts program). Second, the budget details contain very little in terms of information and analysis necessary for

[12] See chapter 5, *supra*.

intelligent decisions to be made. Third, the board's review of the budget before submission to the governor does not always occur. For example, the departmental operating budget for 1970–71 was submitted to the governor before clearance by the board of education.[13]

In the absence of board action, decisions regarding state programs ostensibly rest in the superintendent. However, as noted in the case of SHES, that the superintendent makes these decisions in all cases is doubtful. The office of instructional services appears to make some of these decisions independently, requiring the superintendent to compromise his earlier decisions, and thus creating confusion.

Recommendation. *We recommend that the board of education establish policies to assure that all proposed curriculum changes are made known to them by the department of education and are reviewed and approved by the board prior to requesting funding, or, in the event no funding is required, prior to implementation of the program change. Such policies should also provide that once a curriculum decision is recommended by the state superintendent and approved by the board, departmental representations of the program shall reflect that decision unless it is subsequently amended or rescinded by the board itself.*

Poor Documentation

Any statewide program, once formulated, should be documented (that is expressed in some form) in order that districts and schools (and the public) may clearly perceive and understand what the state program is. At a minimum, such documentation should provide the rationale for the program, specify the ends being sought, define the system, describe the configuration of the program in sufficient detail, specify the expectations in terms of student performance, define the constraints within which flexibility, if any, is permitted schools and, where the program is a new one, delineate the steps or phases in which the program is intended for implementation on a statewide basis. Currently, that documentation is inadequate.

The DOE issues numerous kinds of documents relating to curriculum. Among them are: subject matter analytic documents, superintendent's memorandum, program and financial plan, budget, master plan, foundation program, listing of authorized courses, curriculum guides, resource guides, and an abundance of other papers and documents. However, none of these kinds of documents are currently sufficient and useful for the purpose of enabling districts and schools to understand the state program. In some cases, the documents are not intended for communicating the state program. In other cases, the documents are not meant to be definitive. In still other cases, the documents simply fall short in conveying information.

It is sometimes possible to gain some understanding of the state program by reviewing all or some of these various documents together. However, there are several factors which militate against this practice. *First,* such a method is time-consuming and onerous, particularly where a myriad of documents must be consulted, and it is unreasonable to expect teachers and others interested in the state curriculum to pull the documents together. *Second,* it is never certain that one would gain an understanding of the state program in all cases by consulting a variety of documents. The various kinds of documents are often limited either by their nature, as will be pointed out below, or by their quality. *Third,* in some instances, the documents pertaining to the same subject matter contradict one another.

We examine here some of these kinds of documents and point out their limitations which prevent them from serving as instruments to convey comprehension of the state program.

Analytic document. An analytic document is essentially a description of the analysis performed by the analyst. It results in program recommendations. But, the recommendations may or may not be approved. A disapproval of the recommendations does not necessarily result in a revision of the analytic document, since the document represents (or is at least supposed to represent) analysis and not justification for the

[13] Minutes, board of education, December 4, 1969, December 18, 1969.

program decided upon. Thus, an analytic document and its recommendations may validly continue to stand despite the fact that the adopted state program differs from that contained in the document. This means that districts and schools cannot rely upon the analytic document for a statement of the state program. Moreover, by its nature, an analytic document contains technical matters of little utility to districts and schools.

Program and financial plan; budget. The program and financial plan and the budget are supposed to reflect the programs of the department. They are subject to change as changes are made to the state program by both the department and by the governor and the legislature. Thus, they are, or are supposed to be, at any given point in time, reflective of the state program as it then exists. However, to districts and schools, and particularly to teachers, their utility as an explanation or description of the state program is limited. The plan and budget narratives are brief and in summary form and tell little about the rationale and configuration of the program. Moreover, the sheer physical size of the plan and budget poses practical difficulties for districts and schools in using them.

Superintendent's memorandum. The superintendent's memorandum, as that term is used here, refers to the summary document prepared by the superintendent after reviewing the recommendations of analysts and which summarizes his decisions. It is, in effect, the superintendent's recommendations. Like the analytic document, the superintendent's memorandum may validly stand despite the adoption of a state program (by the board of education, the governor, and the legislature) contrary to that recommended in the memorandum. Further, the narratives in the memorandum, like those in the program and financial plan and the budget, are brief and in summary form and provide insufficient information about the program. Thus, the utility of the memorandum, like that of the analytic document, the program and financial plan, and the budget, is limited. Moreover, it appears that the practice of preparing the superintendent's memorandum has been discontinued since the publication of one in 1970 and another in 1971.

The master plan. The master plan is a document which outlines broadly the direction in which the state educational system should be headed. In the language of the master plan, its purpose "is first to identify the broad-scale changes that should occur in the educational system and, second, to set forth the appropriate steps to bring about such changes."[14] It is thus wide in scope, covering many facets of education, including curriculum. The master plan was not intended to provide a description of the state curriculum and cannot be used to gain an understanding of what is the state program.

The foundation program. The foundation program is a curriculum document. However, it attempts to do no more than to outline broadly what the DOE considers to be the necessary components of the state curriculum. It thus notes that the state curriculum should encompass the following three broad areas: communications, environmental studies, and humanities. It then proceeds to list the subareas of study for each of these major areas. In communications, it specifies language arts and mathematics; under environmental studies, it lists science, economics, geography, physical education, and health; and for humanities, it identifies music, art, literature, and history. The specifics of these components are not provided; the document was not intended to furnish them. Thus, the foundation program, in and of itself, does not provide a document of sufficient depth for an understanding of the state curriculum.

Authorized courses and code numbers. Annually, the state office issues a document listing the courses "authorized" to be offered to students in the ensuing school year by intermediate and high schools. This document is exactly what it says it is—a list of authorized courses. In the first few pages, it quotes from the *Foundation Program,* but the remainder of the document is a listing and summary description of the courses authorized. For each course, behavioral and activity objectives are noted (which, in many instances, are statements of major activities to be performed within the courses). The document is conspicuously absent

[14]DOE, *Master Plan for Public Education in Hawaii,* 1969, p. 1.

of a system view of the programs encompassed within the authorized courses, the purposes and rationale of the courses authorized, and description and prescription of the courses as an essential tool in the total instructional or curriculum scheme.[15]

Curriculum guides. Of all the documents relating to curriculum published by the DOE, the curriculum guides are the documents to which primary attention is devoted by the state office in its educational program "planning" efforts. There are, however, a number of difficulties with the present curriculum guides which prevent them from serving as a useful medium for communicating the state program. The difficulties are as follows:

- The role and purpose of curriculum guides are not clearly and firmly established.
- There is no systematic approach to the publication and issuance of curriculum guides.
- As a result of the foregoing, schools give varying treatments to the guides issued by the state office.

1. ***Role and purpose of guides; lack of a system.*** Presently, there is no common understanding within the DOE as to what a guide is all about. In some cases, the guides purport to *represent* the state program; in other cases, they describe programs which are *recommended* for implementation by schools; in still other cases, they merely serve to *guide* the teacher, in the procedural sense, in teaching a course or courses; in yet other cases, they point out *general directions* or attempt to provide a *framework* or *standards* for evaluating or developing programs. Note the following statements contained in the currently existing curriculum guides (emphases in all cases are supplied):

. ***Secondary science***

> "The teaching of a science area in depth such as Life Science in grade 7, Earth-Space Science in grade 8, and Physical Science in grade 9 is *recommended* instead of the former general science survey approach.[16]

. ***Secondary language arts***

> "This document attempts to bring together many practices now going on in our classrooms and the direction Hawaii schools *should* be moving toward in secondary English Language Arts.[17]
>
> "What follows is a broad, conceptual *framework* which will provide you and your school with *guidelines in developing a guide for your own school,* with the particular needs of your own students in mind. Such a guide will delineate for your own school specific objectives, teaching methods, instructional materials, supplementary materials, specific activities, and resource plans which the State Guide does not provide.[18]

. ***Secondary social studies***

> "The program guide *presents* the secondary social studies program within the context of a K–12 program.[19]

. ***Elementary mathematics***

> "The guide, developed for grades K–6, *defines* the instructional

[15] Concerns along these lines were expressed by teachers at a conference called to discuss the 1971–72 *Authorized Courses and Code Numbers* in June 1971. See "Proceedings: Conference on Authorized Courses and Code Numbers, June 1–2, 1971."

[16] DOE, *Science Guide for Grades 7, 8, and 9 for the Schools of Hawaii,* 1968, p. ii.

[17] DOE, *English Language Arts Grades 7–12,* 1968, p. i.

[18] *Ibid.,* p. iv.

[19] DOE, *Secondary Social Studies Program Guide,* 1971, p. i.

program of the elementary school students. *It is an instrument which can be used by the school community in evaluating the content and objectives in the on-going school program.*[20]

. ***Foreign language***

> "These statements will serve both as *standards* for today and as *points of departure for developing* a better statewide system of public education in Hawaii. They contain some performance level objectives that can become a *measuring rod* against which we may determine program effectiveness."[21]

Because the purpose is not clear, there is no rational system for the issuance of curriculum guides.

a. ***The guides that currently exist differ markedly in content, focus, emphasis and depth.*** Some guides simply specify the general behavioral objectives for and lists in summary fashion the scope and content of the *courses* included within the subject matter. The *Secondary Mathematics Outline* (draft), January 1972, is an example of this. A page and a half is devoted to each course included in secondary mathematics (i.e., Basic Mathematics II, General Mathematics, Algebra I, Algebra II, Plane Geometry, Calculus, etc.). For each course, the behavioral objectives and the scope and content are listed.[22] The document essentially is a compilation of these papers.

Other guides identify the major components and subcomponents of the program, provide some general direction to teachers, and state behavioral objectives by components and subcomponents. For example, the *English Language Arts, Grades 7–12,* 1968, is divided into four major sections, each section corresponding to the four components of secondary language arts: developmental reading, composition, language, and literature. Each component is further subdivided into subsections headed, "Teacher Understandings," "Concepts for the Teacher," "Goals," "Objectives for the Student," and "Scope." The first two subsections numerically list some general instructions to teachers.[23] "Goals" and

[20]DOE, *Mathematics Curriculum Guide,* K–6, 1968.

[21]DOE, *Curriculum Outlines for French, Spanish, German,* 1968.

[22]For example, for Algebra I, the following are noted:

"*Specific Objectives:*

"The development of a foundation in algebra to prepare for further mathematics courses.

"The development of a better understanding of a real number system.

". . .

"*SCOPE AND CONTENT*

"I. THE LANGUAGE AND STRUCTURE OF ALGEBRA.

"II. THE REAL NUMBER SYSTEM: Natural Numbers; Integers; Rational Numbers; Irrational Numbers.

"III. FIRST DEGREE EQUATIONS AND INEQUALITIES IN ONE VARIABLE.

". . ."

[23]For example,

"Teacher Understandings

"Certain basic understandings on the part of the teacher are necessary to a purposeful program in secondary composition:

". . .

"2. A student needs help *before, during,* and *after* his writing experience, especially help during the time he is in class. To provide this help, most writing should be done in class.

". . .

"9. In order to teach writing well, the *teacher* himself must participate in *disciplined writing* frequently.

". . .

"Concepts for the Teacher

"1. Composing is the selecting and ordering of oral and written language which is clear, orderly, and effective for purposes of communication.

The resources of grammar, usage, mechanics, and diction are brought into appropriate use.

". . .

"3. Thinking, reading, discussion, and writing are activities which complement each other.

Each of these activities does not operate in isolation, each affects the others, or results from the other."

"Objectives for the Student" enumerate the behavioral objectives for the component.[24] The "Scope" further details the behavioral objectives being sought, but by subcomponents.[25]

Still other guides are essentially sets of learning packets—that is, the assignments and tests to be given to students. An example of this is the *Guidance Curriculum Guide: Career Development, Intermediate Level,* 1971. This document provides outlines on various topics to assist the teacher in leading class or group discussions and lists some guidance concepts. The bulk of the document, however, is a sequentially arranged series of learning packets and tests. Each learning packet tells the student what he will be able to do upon completion of the packet (learning objective), why the learning objective is important (idea to be learned), and the activities that the student should perform.[26]

The guides also differ in terms of coverage of the subject matter. For example, the *Secondary Mathematics Outline* (draft), January 1972, attempts to cover in 28 pages all of the courses included in secondary math. In secondary English language arts and secondary social studies, the approach is different. In each of these subject areas, one document is devoted to the secondary program as a whole and each course included therein is treated separately in another document. See, for example, in language

[24]For example, for "composition," the "goal" is stated as follows:

> "The goal of the Composition Program is to provide instructions for the student so that he can produce writing which is a response to significant problems in the study of literature, language, or other well-defined subjects. Such writing should reveal precise reasoning and/or imaginative rendering in language that observes the conventions of the particular type of writing and which has a tone and style appropriate to audience, purpose, and occasion." (p. 18)

Among the objectives stated are:

> "1. To define, analyze, and record a variety of experiences of significance to him,
>
> "...
>
> "4. To identify for writing a subject which has origin in imagination and which serves to project his ideas in a non-discursive manner."

[25]For example, for "composition," the subcomponents identified are sentences, paragraphs, and voice and tone. The scope introductory statement states:

> "The following emphases should be learned by the student. The English department and teachers should decide at what time certain emphases might be properly taught. Target emphases should be identified for each writing assignment, accumulating as they are mastered to accommodate new ones."

The scope then notes what a student should be able to do by the end of the ninth grade and by the end of the twelfth grade in each of the subcomponent areas. For instance:

> *"By the end of the ninth grade,* a student should be able to:
>
> *"SENTENCES*
>
> "Convey effectively and with clarity a major idea.
>
> "...
>
> "Demonstrate variety in length and structure.
>
> "...
>
> *"PARAGRAPHS*
>
> "Make a commitment in his introductory sentence.
>
> "...
>
> *"VOICE AND TONE*
>
> "Be consistent in tone.
>
> "...
>
> "Write with freshness and distinctive individuality."

[26]For example, Occupational Exploration learning packet No. 1 contains the following:

> *"IDEA TO BE LEARNED.*
>
> "Most subjects in school will in some way help you in your future vocation.
>
> *"LEARNING OBJECTIVE*
>
> "You will be able to explain in short paragraphs how each of your present courses can aid you in a prospective vocation of your choice.
>
> *"LEARNING ACTIVITIES.* (The following activities are suggested as ways to achieve the objective. Ask the teacher for the test when you feel that you can do the objective.)
>
> "1. LISTEN to tape OE 503, part 1, with filmstrip OE 428 'Preparing for the World of Work.'
>
> "...
>
> "4. READ OE 267–B *Rising Level of Education.*
>
> "...
>
> *"QUEST SUGGESTION.* (After you have passed the test, you may wish to do something else of your own choosing to explore this area further.)
>
> "WRITE a theme on the subject of education in the year 2000."

Another example of a guide which is essentially a learning packet for students is the two-volume document entitled, *Mathematics Continuum K–3* and *Mathematics Continuum 4–6.* The mathematics documents differ from the guidance document in that the math documents do not purport to be complete assignment sheets or tests to be given to students. The assignments and tests are intended to be *examples* only.

arts, the following different documents: *English Language Arts, Grades 7–12,* 1968; *Humanities: Philosophy and Thinking,* July 1972; and *Humanities: Love,* July 1972. See also: *Secondary Social Studies Program Guide,* 1971; *Basic Issues and Problems in the United States,* August 1972; *World Cultures Curriculum Resource Guide,* 1971; *Our Cultural Heritage Resource Curriculum Guide,* 1972.

Where the subject matter is covered in several documents, the lower level or course documents tend to be quite specific. However, even here, content coverage differs from one subject matter area to another. In some areas, the lower level documents outline step-by-step how the teacher should or may deliver the course to students and include also materials and lessons for students. In other cases, the lower level documents are by and large learning packets for students.

b. ***Where multiple guides are issued within a subject area, the order, level, sequence, and interrelationships of the documents are not always clear.*** Particularly, the guides of the lower order or level, or guides concerned with a narrow component of a broader subject area rarely, if ever, refer to documents of a higher order or to documents treating the broader subject area or to other related documents of the same order. Thus, the system within which these guides operate is unexplained. For example, in February 1971, the high schools of the Honolulu district, commenting on the recently issued guide on a consumer education course to be offered to all 12th grade students beginning with the second semester of the 1970–71 school year, raised the following questions: how does the course relate to other consumer education courses? is it mandatory that all seniors take the course? how can this be enforced? who should teach the course?[27]

That there is confusion regarding the order, sequence, and interrelationships of the various documents within a subject area, evidently is known to the state office. In 1971, the state office found it necessary to devote some time at a conference of teachers to the subject of the relationship of DOE documents. A description of the relationship was attempted by using two examples—science and home economics—as follows:

Science

> "If one examines the three documents together—the AUTHORIZED COURSES AND CODE NUMBERS, the SECONDARY SCIENCE CURRICULUM OUTLINE, and the SECONDARY SCIENCE GUIDE, one can see the conceptual framework of our science program.[28]

Home economics

> "In Home Economics, there are three documents to supplement the AUTHORIZED COURSES AND CODE NUMBERS. The first, called the CONCEPTUAL STRUCTURE FOR EACH AREA OF STUDY IN HOME ECONOMICS gives the concept in outline form. The second document, called HOME ECONOMICS CURRICULUM GUIDE FOR HAWAII, lists general objectives and basic generalizations. The third, one of six resource units for Home Economics, is called RESOURCE UNIT IN THE AREA OF MANAGEMENT AND FAMILY ECONOMICS. This last document lists suggested resources and activities for each specific objective emerging from the general objectives, and is the document most useful to teachers as a teaching tool. Needless to say, the activities and resources range from simple to

[27] Honolulu district memorandum to superintendent, February 24, 1971.

[28] DOE, Proceedings: Conference on Authorized Courses and Code Numbers, June 1–2, 1971, p. 21.

> difficult, to accommodate the wide range of students who may elect this course."[29]

The explanation given in the quotes above, of course, explains very little about the interrelationship of documents in science and home economics.

Note that science and home economics apparently operate under two different systems. In home economics, it appears that the conceptual framework can be secured from one document; whereas, in science, three different documents must be consulted for one to be able to see the conceptual framework of the science program. Further, the home economics "curriculum guide" is quite a different document, in terms of purpose, scope, depth, coverage, from the secondary science "curriculum outline" and "guide."

Since the systems for the two examples apparently differ, generalizations cannot be made which would be applicable to other subject areas. This means that, for each subject area, separate statements must be made to describe the relationship between and among the different documents as may exist within the subject area. Such statements do not currently exist within the DOE.

c. ***The term, "guide," is loosely applied to curriculum documents of not only different levels but of different kinds; however, there is currently no way to distinguish them one from another.*** The different levels of documents have been explained above. Among the different *kinds* of documents are: (a) those which outline and describe the curriculum and assist the teacher in *teaching*, (b) documents which assist the teacher in *learning*, and (c) documents which are primarily for *information* purposes.

Although documents differ in kind and level, sometimes the same term, such as "guide," is used to describe them all. On the other hand, different terms are sometimes used to describe documents of the same class. In still other instances, no term at all is used to describe the nature of the documents. Note the following examples.

The *Teacher's Guide: Perceiving, Behaving, Becoming* is a different kind of document from the *Secondary Social Studies Program Guide*, although both documents use the term, "guide." The former is not a teaching document; it is rather a *learner's* workbook—the teacher being the learner in an ETV in-service course. The latter document is a *teaching* document, describing generally the scope and emphasis of social studies to be taught. Similarly, the *Pre-Industrial Preparation Program Handbook* and the *Handbook of Community Agencies and Resources with Functional Index by Exceptionalities* both use the descriptive term, "handbook." However, these two documents differ considerably in purpose. The *Pre-Industrial Preparation Program Handbook* appears to be a program implementation guide but the other document consists largely of a listing of organizations and a description of their field trip services and thus appears to be for general information purpose only. Note, too, the difference between the following two documents, although both use the term, "curriculum guide": *Curriculum Guide: Career Development, Intermediate Level* and *Mathematics Curriculum Guide, K–6*. The first document is essentially a compendium of learning packets and tests to be given to students. The latter document describes the key mathematical concepts to be covered and lists the behavioral objectives to be sought for each concept in each grade level from kindergarten to 6th grade. The learning packets for mathematics, K–6 are contained in two other documents entitled, *Mathematics Continuum K–3*, and *Mathematics Continuum 4–6*.

Examples of the use of dissimilar terms to describe similar kinds of documents are as follows. The *Secondary Social Studies Program Guide, Secondary Physical Education Guidebook, Mathematics Curriculum Guide, K–6*, and *Science Guide for Grades 7, 8, and 9 for the Schools of Hawaii* use varying forms of the term, "guide," although they all appear to be documents of the same kind. *English Language Arts, Grades 7–12* appears to belong to the same class of documents as the *Secondary*

[29] *Ibid.*, p. 22.

Social Studies Program Guide and others mentioned above, although its title does not contain any form of the term, "guide."

Not only are varying forms of the term, "guide," used to describe essentially similar kinds of documents, but other terms, such as "outline," "manual," and "handbook," are used to describe what seemingly are documents of the same kind. Compare, for example, the *Secondary Social Studies Program Guide; Mathematics Curriculum Guide, K–6; Secondary Mathematics Outline; Curriculum Outlines for French, Spanish, German; Pre-Industrial Preparation Program Handbook;* and *Occupational Skills Program Handbook.* All of these documents appear to belong in the same class, although they are varyingly described as "guide," "outline," and "handbook."

Compare, also, *Hawaii at Work: A Manual of Educational Field Trips to Business and Industry for Hawaii's School Teachers and Students* and *Handbook of Community Agencies and Resources with Functional Index by Exceptionalities.* Although one is called a "manual" and the other a "handbook," both documents are of a similar kind; they both present lists of organizations and their field trip services.

The use of dissimilar terms to refer to documents of the same kind occurs even within a subject matter group. For example, in the inquiry-conceptual social studies curriculum for the intermediate grades, the following documents have been issued: a *curriculum resource guide* for the 9th grade, a *resource curriculum guide* and a *complementary curriculum resource guide* for the 7th grade, and a document for the 8th grade which is not identified as a resource guide until the "foreword"–i.e., neither the cover nor the title page indicates what it is.

The use of similar terms to describe dissimilar documents and dissimilar terms to describe similar documents lead to confusion in comprehending the purpose, scope, and level of the various curriculum documents issued by the state office.

d. ***The documents describe courses and parts of courses in various ways.*** Traditionally, in education, a "unit" has been an identifiable subpart of a course. Social studies course documents for grades 7, 8, and 9 use the term, "unit," in this way. Thus, the 7th grade social studies course (*Our Cultural Heritage*) is divided into five units, the 8th grade course (*Basic Issues and Problems in the United States*) into six units, and the 9th grade course (*World Cultures*) into five units. However, "unit" has been used in the same sense as "course" in several DOE documents. Thus, the documents entitled, *Humanities: Philosophy and Thinking* and *Literature of the Bible* are both subtitled, "A Unit for Senior High School English." The prefaces of both documents, however, clearly refer to these titles as titles of semester courses. Then there is a document entitled, *Mini-Course on Consumer Education*. The meaning of "mini-course" is not entirely clear–whether it is a semester or less than a semester course or a unit of another course.

e. ***Documents are issued variously labeled–"trial unit," "trial edition," "draft," "draft–for limited use," "limited distribution," "unofficial," "official,"–or without any label at all, without a clear definition of these terms and without any visible mechanism for control in the use of documents carrying less than an "official" label.*** Whether a teacher should or should not use any of the documents not labeled "official" and the effect of their usage or nonusage are fuzzy.

An example of documents labeled "trial unit" is the set of ten multidisciplinary documents entitled, *Getting There is Half the Fun, The Plane, Ala Moana Shopping Center*, etc.[30] Each of the ten documents represents a "unit." Each document is addressed to the *student* (not teacher) "who may be exploring his own island or who may be traveling to another island in the Hawaiian chain." It is a combination text and workbook for students. There is, however, no indication of what "trial" means and what school or schools may use these documents for what purpose and what "trial period."

[30]Other titles in sequence are: *Fuel and Electricity; Fuel for Humans; Fuel for Transportation; West Maui; Haleakala; Kauai-Kokee;* and *Kauai.*

Hawaii's Economy: Curriculum Resource Guide, 1972, is an example of a document issued "unofficial." Neither the memorandum of February 14, 1972, distributing the document to district superintendents, curriculum specialists, secondary school principals, and teachers of social studies nor the document itself explains what is meant by "unofficial."

An example of a document issued, "Draft–For Limited Use," is *Literature of the Bible* (undated). Again, the term, "draft–for limited use," is not defined. However, unlike the multidisciplinary documents labeled, "trial units," and *Hawaii's Economy*, labeled "unofficial," its meaning can be implied from a reading of the preface and the last two pages of the document. The preface states,

> "Teachers who use this unit are requested to fill in the evaluation form upon completion of the unit. Add pages if necessary, for detailed comments. On the basis of these comments, this draft will be revised."

The last two pages of the document constitute the evaluation form. This form asks the teacher "upon completion of this unit" to fill in the form and to "return the unit" to the state office "with whatever marginal and terminal notes made in the way of criticism, comments, and recommendations." It asks for comments on the following points: appropriateness of material; adequacy of the unit (objectives, activities, evaluation, etc.); opportunities for self-instruction and individualized instruction; accommodation of multimedia, multitexts, and multilearning approaches; and "others." It notes that comments on these points would be especially helpful "when this unit is revised for final printing next year." From the preface and the evaluation form, it can be implied that all teachers are authorized to use the document, that the document is on trial, that a teacher is to use it but once, that the trial period is one year. The term, "Limited Use," in this sense then means that the document is experimental and its use is "limited" to once in a period of one year, per teacher. Whether the same meaning is to be attributed to terms such as "trial units" and "unofficial" is open to conjecture.

When a document is issued without any label whatsoever, it can only be assumed that it is "official," particularly when the preface, introduction, or letter of transmittal to the field bears the signature of the superintendent, the assistant superintendent of the office of instructional services, or the director of general education. However, even in these cases, sometimes there is room for doubt. For example, the *Secondary Social Studies Program Guide,* 1971, contains a memorandum from the director of general education distributing the guide to district superintendents, curriculum specialists, principals, and secondary social studies teachers, dated February 5, 1971. This memorandum, however, is labeled "Information Only." Why it is so labeled is not clear. If the label was intended to convey the meaning that the document was being distributed for information only to be used at the option of the schools, it contradicts the statement in the foreword of the document which states that the guide *"presents* the secondary social studies program."

f. ***It is difficult to determine from the guides themselves the extent to which each of the various kinds and levels of state-issued curriculum guides is binding upon the schools.*** Some guides expressly state that they *represent* the state program and thus imply that the guides are binding on schools. At other times, however, the guides note that they are *suggestive.* In at least one case–the secondary English language arts–the guide expressly states that schools are expected to design guides of their own. Where state guides are *suggestive* or where the state guide expects schools to design guides of their own, it is not clear whether schools can expect further guide development by the state office or the effect of the issuance of further state guides on school-developed guides. Note, for example, that subsequent to the issuance of the *English Language Arts Guide, Grades 7–12,* 1968, the state office developed further guides in the various courses included within the secondary program. Yet, as illustrated below, some schools had already issued guides of their own pursuant to the instructions of the 1968 state guide. What effect the subsequent state guides have on the school-developed guides is unclear.

Another example is in secondary social studies. Shortly after the state office announced the

adoption of the inquiry-conceptual approach to secondary social studies, much activity sprang in the secondary schools in developing, assembling, and reproducing the materials to be used. Although the program was "eclectic," meaning that the teacher would select what appears to be best from many sources, the state office, at a later date, began developing and issuing to elementary and secondary schools individualized instructional packets on various subjects, the purpose and use of which, however, were not fully understood by some schools.[31]

The issuance of guides is closely tied to the question of the role and responsibility for curriculum development and implementation in general. If this question is not clarified, confusion as to the binding nature of the various kinds and levels of guides is to be expected.

2. ***Effect of the lack of guide issuance system on schools.*** The absence of clarity regarding the purpose of guides has had the following adverse effects:

a. ***It has led to differing attitudes toward and differing treatments given by schools to state guides.*** Some schools apply the state guides directly; others prepare school guides based on state guides; and still others simply ignore the state guides and prepare their own. The last situation is particularly indicative of the attitude among schools that state guides are not intended to be expressions of the state program; that state guides are simply and literally just that—*guides*—to be followed or not at the discretion of schools. The Hawaii district, for example, has developed its own guides for use of schools in that district for secondary English language arts, elementary science, and elementary mathematics. The English language arts guide is a "prototype" guide from which all secondary schools in the district fashioned specific school guides. It was developed pursuant to the 1968 state office-issued, *English Language Arts, Grades 7–12,* which expressly suggested that schools develop their own guides. However, the science and math guides were developed on the grounds that the existing state guides were either outdated or inadequate. The elementary mathematics guide is still being used by schools in the Hawaii district even after the publication and dissemination of the state mathematics guide in 1968.[32]

b. ***Duplication of efforts has occurred in guide development—i.e., the schools and the state office have often issued similar documents.*** The case of the Hawaii district has been illustrated above. Other districts have also published guides and curriculum outlines in areas where the state office also issued guides both before and after the publication of school guides. For example, in 1970, a task force of teachers, under the direction of the state office, developed a document entitled, *Continuum for Elementary Education, Mathematics K–3,* which was issued in early 1971.[33] The continuum provides for each strand (i.e., reasoning, number and operations, numeration, computation, geometry, and measurement) and each substrand (e.g., description, analysis, synthesis in reasoning) examples of the kinds of problems to be given to students. However, similar kinds of curriculum activities had been going on at the school levels.[34] One district complained:

> "One school in Maui District during the 69–70 school year devoted countless hours and manpower to developing a similar document for this one school to bring about better articulation. To prevent duplication of efforts such as the foregoing, I would appreciate information on whether the Office of Instructional Services will be developing other curriculum documents in the future."[35]

Teachers in another district voiced their concern in this way:

[31] Honolulu district memorandum to office of instructional services, dated March 4, 1971, re "Individualized Instructional Packets"; Pauoa School, Makaha School; leeward district, says only Highland knew what to do.

[32] Hilo Union Elementary, Mountain View Elementary.

[33] Task Force Report, Mathematics Education.

[34] For example, Aina Haina Elementary School and Pauoa School.

[35] DOE memorandum dated March 9, 1971, from Maui district to office of instructional services, re "Curriculum Continuums."

"What is the purpose of State Guides? Here at _____, we are working for supplementary guides only for our school in all areas.

"Why can't we learn to use our State Guides before making or using special supplements for _____ that are written and planned by teachers. We feel that this is just busy work as well as imposed clerical burden."[36]

This practice of curriculum guide development occurring at various levels of the hierarchy prompted the legislature to observe that there was ". . . no clear cut division of functional responsibility for the development of these guides, as attested to by the wide but somewhat fragmented involvement of the state and district administration staffs."[37]

3. ***Guide potential.*** The need to clearly and firmly define the role and purpose of curriculum guides and the roles and responsibility for developing them has long been recognized. The State legislature in 1967 noted that

"Despite the stated needs for current curriculum guide, . . . there is only limited agreement among departmental personnel as to the definition and role of a 'curriculum guide' in our educational system . . . ."[38]

However, over the years, little, if any, effort has been expended to clarifying the purpose of guides and defining the roles of the state office, the districts, and the schools in developing them.

It appears that the guide is potentially the most suitable medium through which districts and schools (and the general public) may gain an understanding of the state's curriculum. This is because, of all documents, the guide is distributed widely and is the document which teachers more readily consult. If the curriculum guide (or any other document) is to serve as the medium by which the state program is to be expressed and clarified for districts and schools (and the general public), as stated at the outset of this section, it must at a minimum provide the rationale for the program, specify the ends (objectives) being sought, define the system, describe the configuration of the program in sufficient detail, specify the expectations in terms of student performance, define the constraints within which flexibility, if any, is to be permitted schools, and, where the program is a new one, delineate the steps or phases in which the program is intended for implementation on a statewide basis. In this connection, we note the following expression of the State legislature:

"[The] guides should include, according to general professional agreement, well-formulated goals, objectives, and expectations of student performance, set forth in such a fashion as to give guidance and direction to the classroom teacher and, at the same time, provide for the unified development of the subject matter throughout the school system."[39]

Pertinent also is the following statement:

". . . the various guides themselves reveal a variety of formats, detail and content. And there is an apparent lack of uniformity of effort and standardization in planning, organization, and development of curriculum guides. Noticeably absent in the guides is a policy statement which established the authority for their existence, defines their purpose, and prescribes and describes their use as an essential tool in the total instructional or curricular scheme."[40]

[36] Honolulu district visitation report, November 10, 1970.

[37] Conference Committee Report No. 22, April 29, 1967.

[38] *Ibid.*

[39] *Ibid.*

[40] Johnson, Ronald L., "Curriculum Development in the Department of Education—The Past Twenty-Three Years: A Historical Commentary," DOE, September 5, 1967 (research report no. 47), p. 12.

Further, we believe that the scope and depth of documentation and the roles and responsibility of the state office, the districts, and the schools in fashioning materials to aid the classroom teacher must converge. Unless there is such a convergence, duplication of efforts by all three levels will continue to exist. In addition, the documentation and its supplements must be issued in some systematic manner. Without a system, various curriculum documents will continue to proliferate without any discernible connection between one and another.

Recommendation. *We recommend that the department of education establish a system for the preparation and issuance of curriculum documents. In establishing the system, the department should*

1. Conduct an inventory of all "guides," "handbooks," "manuals," "outlines," "trial units," and other documents pertaining to curriculum by whatever labels such documents were issued. All such curriculum documents should be reviewed for their continuing relevancy and applicability to the curriculum. Decisions should then be made and communicated to units of the state office, districts, and schools as to which documents constitute "official" guides and which documents have no official standing.

2. Develop specifications to be followed hereafter in the preparation of curriculum documents. Such specifications should define the different types of documents which are determined to be essential for implementing the curriculum; assign standardized titles to each type of document; delineate the purposes of the documents; and prescribe the content, scope, focus, emphasis, and level of detail of each document.

3. Eliminate the confusion of such labels as "draft," "trial edition," "unofficial," "limited distribution," etc., by limiting and defining the editions which may be issued and assigning common labels to each edition. Ordinarily, curriculum documents should fall in one of only two categories: (a) those which are preliminary in nature and are being circulated for review and comment or are being tested in the field; and (b) those which have been adopted as official guides to be used throughout the school system.

4. Communicate to the districts and schools information concerning any curriculum documents currently under preparation by the state office and establish procedures for continuously informing districts and schools of new documents being prepared.

5. Define the roles of the state office, districts, and schools in the development of curriculum documents, including the guidelines under which districts and schools might develop supplemental documents.

Inadequate Training of Teachers

Another medium through which state programs can be articulated is in-service training. A new program almost invariably requires that teachers who are to instruct in the program be trained in the new concept, methodology, content, and techniques embodied in the program, if the program is to attain any measure of success in implementation. Although the department attempts to schedule in-service training for teachers and administrators who are expected to be involved in implementing a new program: (1) in-service training sessions are sometimes inadequately conducted; (2) not all teachers who need the training attend, the department lacking control over attendance by teachers; and (3) those who are trained do not always apply the training they have received and sometimes are assigned to tasks other than teaching the course for which they were trained.

Social studies. The inquiry-conceptual approach to the teaching and learning of social studies was admittedly a new approach, unfamiliar to most teachers of social studies. Thus, the DOE's implementation strategy was heavily premised upon in-service training and upon teachers' undertaking professional, self-improvement activities, such as enrolling in courses in the new approach at the university of Hawaii. Accordingly, the department sponsored a number of institutes and workshops and recommended certain university courses to teachers as a means of preparing themselves for the program.[41] However, between 1969 and

[41]DOE, general education branch memo, dated February 5, 1971, attached to secondary social studies program guide, recommended enrollment in Education 540, practicum in social studies.

1971, of the approximately 4500 teachers (4000 elementary and 500 secondary),[42] only a small portion underwent training.

For example, during the summers of 1969 and 1970, there was a series of five state-sponsored institutes and, during the 1970–71 school year, there were five district workshops, all for elementary school teachers. Of the 4000 potential teachers, only about 150 attended the state institutes and 95 attended the district workshops.[43] Not only was the number attending these training sessions less than the potential, but it was also less than that expected by the DOE. In fiscal year 1970–71, approximately 400+ out of 4500 elementary *and* secondary teachers teaching social studies enrolled in courses designed to assist in understanding the new social studies program.[44] While this number was more than expected,[45] it was nevertheless considerably less than the number of teachers in the program.

The DOE sought to correct this training deficiency with the publication of the new elementary social studies program guide in 1971 and with a program of developing social studies "leaders" who could assist in the effective implementation of the program. However, a leadership institute held for this purpose during the summer of 1971 fell short of attracting in sufficient numbers the kinds of personnel that were sought.[46]

This inability of the DOE to attract teachers to in-service training is exemplified by another social studies program—consumer education. Consumer education was established by the DOE during the 1970–71 school year in response to a legislative request. A survey taken before the end of the school year showed general acceptance of the substance of the course by students and teachers, but noted problems in implementation. Not the least of the problems was in-service training. The survey revealed that more than 50 percent of the 48 teachers polled had not viewed all of the in-service television series,[47] although DOE's claim to the legislature was that the ETV in-service series would be viewed by all teachers who are to teach the consumer education course.[48]

SHES. The SHES program, it will be recalled, was a new program developed entirely by the state office. The installation of two SHES concepts per year (for a total of ten concepts over a five-year period) was initially planned. The installation of the first two concepts—concept 9 on mood modifiers (drugs, narcotics, alcoholism) and concept 6 on family life and sex education—officially commenced in the fall of 1970, although some schools had begun to implement concept 9 in the 1969–70 school year.[49]

Teacher training was vital to the success of this program, particularly the training of elementary school teachers, since most (if not all) teachers were not versed in the field of health education, much less in SHES.[50] But teacher training for this program was frustrated by not only the lack of attendance at training sessions sponsored by the department, but also

[42] Based on 1967 count of teachers.

[43] DOE, *Semi Annual Report, Report of In-Service B Credit Activity.*

[44] DOE, *The Social Studies Program Variance Report, FY 1970–71,* July 1971.

[45] DOE, *Analytic Document, Social Studies,* January 1970, proposed that annually at least 250 elementary and secondary teachers teaching social studies undergo in-service training or enroll in courses. The *Analytic Document, Social Studies,* February 1969, had suggested that 1000 elementary teachers be put through a training program in each of five summers. This proposal was deleted from the 1970 document presumably because the number of participants programmed was not realistic and due to the high cost of such extensive training.

[46] Program specialist, social studies, November 1971.

[47] DOE, Consumer Questionnaire Teachers, taken in 1971.

[48] DOE, Report on House Resolution No. 359 to the State legislature, 1971 session.

[49] Even before the SHES program had been officially adopted by the DOE, the general education branch issued a memorandum to districts calling for the implementation of concept 9. See memorandum, dated October 21, 1969, from the general education branch, office of instructional services, to district superintendents, re: "Implementation of Drug Abuse Education as Part of Health Education."

[50] A survey conducted by the DOE in November 1970 revealed that some teachers and principals were not aware that there was a difference between health education and physical education. See, DOE, *"Concept 9" and San Diego (DANE) Drug Education Report.*

by the failure of teachers who went through training programs to utilize the training experience.

The number of training sessions held during 1969–70 and the number attending each were as follows:

- *November 1969. A one-day workshop on concept 9 for secondary school teachers.* All secondary schools were invited to send one teacher responsible for health education. Each teacher trained was expected to instruct others in his school involved in teaching a unit in drug education.[51] Training was given during school hours and schools were to be reimbursed for hiring substitute teachers to free regular teachers to attend the session. Attendance at this workshop numbered 87.

- *March 1970. A one-day workshop on concept 9 similar to the November workshop.* Attendance numbered 89.

- *Summer 1970. A series of one-week workshops covering concepts 6 and 9.* These workshops were to prepare schools to implement during school year 1970–71 concept 9 throughout the school system (K-12) and concept 6 at the intermediate school level.[52] *All* intermediate and high school health education teachers and one third grade and one sixth grade teacher from each elementary school were requested to attend. The elementary teachers who attended were then expected to train other elementary teachers in their schools. Attendance at this series of workshops numbered 151 out of a potential 400+ teachers and 95 out of 200+ schools.

For the entire series of workshops held in 1969 and 1970, there were 329 participants, although the actual number of people who received training was 251 as some 67 attended more than one session. This was far below expectation. A variety of reasons have been advanced for this poor response, among them being: (1) teachers cannot be compelled to attend in-service training sessions; (2) schools were unaware that the SHES program was a "mandatory" program for schools; and (3) with respect to the 1970 summer workshops, the notice of the workshops was issued late (on April 23 and May 5, 1970)[53]—many of the teachers had already made other plans for the summer.

More astonishingly, according to a survey conducted by the DOE in November 1970 to determine the extent of the use of SHES in drug education,[54] of the 251 persons who attended the workshops in 1969 and 1970, only 90 (or 36 percent) actually used SHES. Of the 87 who attended the November 1969 workshop, only 42 (48 percent) taught concept 9; of the 89 who attended the March 1970 workshop, only 42 (47 percent) taught concept 9; and of the 151 who attended the 1970 summer workshops, only 56 (37 percent) actually taught SHES.

What is particularly distressing about the above statistics is that, in that same survey, a large majority of the teachers teaching SHES believed that SHES was an updated and modern approach to the teaching of drug education and knew of no other program which would be more appropriate. Further, they expressed their agreement that training was necessary for the successful implementation of SHES.

Several reasons have been given for the failure of teachers' undergoing training to use SHES. Among them are:[55] insufficient hours of

[51] DOE, memorandum, dated November 5, 1969, from program specialist.

[52] DOE, memorandum, dated April 23, 1970, from general education branch, re: "Summer Institute on the SHES Program—Concepts Nos. 9 and 6."

[53] A follow-up memorandum to that issued on April 23, 1970, was issued on May 5, 1970, by the general education branch, health education.

[54] See DOE, *"Concept 9" and San Diego (DANE) Drug Education Report.* The survey was conducted pursuant to a memorandum from the office of instructional services, dated October 12, 1970. See also Concept 9 Checklist.

[55] DOE, *Constraints and Suggested Means to Overcome Them,* (draft).

training,[56] inappropriateness of some materials, difficulty in securing films, student indifference to instruction, crowded curriculum, too many students, and inadequate facilities. The nub of the problem, however, has been identified by the health program specialist as insufficient assistance to teachers in implementation beyond training and the divergence of trained teachers to responsibilities other than the teaching of health education:

> "I think the basic need is for principals to encourage teachers who have had this training to use it and to seek assistance from their districts if they feel further preparation is necessary. Another problem, of course, is that many of those who have the training are not being used in the instructional program for a variety of reasons."[57]

School year 1970–71 was not much better than 1969–70, although there were considerably more in-service activities sponsored by the state office during school year 1970–71 than in 1969–70. In the first semester, nearly a dozen workshops or seminars on drug education were held in all districts. However, implementation of the program in schools continued to lag.

Of the reported 751 teachers who had training in concept 9 during 1970–71, many did not teach the program. In one district (windward Oahu), less than 60 out of 206 teachers trained in concept 9 taught the program during that school year.[58] Moreover, during the second semester of that year, 22 Oahu elementary schools were without teachers trained in concept 9,[59] while the coverage in the neighbor island schools was not known.[60] The situation was so disturbing, that the state office called a special training session in April 1971 to meet the problems at the high school level. The session was billed as a session for the purpose of achieving "more effective implementation of Concept 9."[61] Those invited were teachers who had taught or who were expected to teach concept 9 or who could provide leadership in training others, and included some with prior training in concept 9.[62]

At least one district was equally disturbed by the situation existing in 1970–71. It moved the district superintendent to communicate to his principals at the beginning of the 1971–72 school year as follows:[63]

> "As a district, we are not progressing as well as we should be according to legislative mandate. Only one-third of our students are being reached.
>
> "Schools are urged to have more teachers and students use the program in order to meet the goals. This is of high priority."

3 on 2. 3 on 2 is a program, the implementation of which was not preceded by sufficient training of teachers in individualized instruction. A two- to three-day orientation session was held by the DOE before the program began in September 1968, but the extent to which teachers new to the program undertook the training before entering the 3 on 2 program

[56] DOE, *Vol. III: Analytic Document, Health,* January 1970, proposed two-day sessions (16 hours). Later, DOE learned that two-day sessions were insufficient to prepare teachers and that training courses should consist of 32 to 64 hours. See, DOE, *School Health Education Analysis,* December 1971, pp. 25–26; testimony of DOE program specialist, health education, before the senate education committee, March 1, 1971.

[57] DOE memorandum, dated March 17, 1971, from program specialist, health education, to director, general education branch.

[58] Windward district survey, Health Education School Summary, School Year 1970–71, October 15, 1971.

[59] DOE memorandum, dated March 5, 1971, from program specialist, health education, to director, general education branch.

[60] DOE memorandum, dated March 17, 1971, from program specialist, health education, to director, general education branch.

[61] DOE memorandum, dated April 2, 1971, from general education branch, re: "Session on Concept 9, SHES, Level IV, Friday, April 23, 1971."

[62] DOE memorandum, dated April 8, 1971, from office of instructional services, re: "Session on Concept 9 for April 23, 1971."

[63] Central district memorandum, dated October 18, 1971, Inst. 71–18.

is not clear. It was recognized and acknowledged, however, that this orientation session was inadequate, and further training was scheduled during the school year 1968–69.

During the school year 1968–69, 401 teachers participated in DOE-sponsored workshops.[64] Considering that there were nearly 220[65] new 3 on 2 teams the first year, it can readily be observed that a large number of participants had little or no training when they entered the program. If we are to assume that proper training is essential to adequately prepare teachers for the program, we can further conclude that the implementation of the program from a personnel standpoint was neither efficient nor effective. This conclusion is supported by the department's own survey of the 3 on 2 program which indicated that teachers, schools, and facilities were not properly prepared for the program during the first year.[66]

In the years following, other workshops were conducted (particularly by districts) and some teachers enrolled in the university of Hawaii-sponsored courses in individualization offered on all major islands.[67] But, either because not all teachers attended these workshops and courses or because the workshops and courses did not fully cover all aspects of individualization, in-service training continued to be a major recognized need. Thus, a survey of the second year of implementation reported:[68]

> "Continued in-service education is needed to orient all new teachers to 3 on 2. This orientation should take place long before actual teaching in a 3 on 2 situation occurs. All teachers should be exposed to techniques of individualized instruction, especially on how to diagnose needs of learners and what to prescribe."

A survey conducted at the beginning of the third year of implementation, covering the period 1968–70, reported that:[69]

> "District personnel felt that [one of the] difficulties encountered in implementing the 3 on 2 Program [was the] need for greater understanding of individualization of instruction by principals as well as teachers.
>
> "When teachers were asked for their suggestions about future workshops, the most frequently mentioned need for in-service was a refocusing upon individualization of instruction.
>
> "[One of the] [m]ajor problems in implementing the 3 on 2 Program [was] . . . need for greater understanding of individualization of instruction . . . ."

The general inadequacy of in-service training, at least in the early years of installing 3 on 2 in the schools, is illustrated by an instance where a district was moved to arrange for an out-of-state team of teachers to come to Hawaii to provide the basic training to teachers.[70] Generally speaking, in-service responsibilities were left to districts; that is, districts were

[64] Recalculated from DOE data assembled on calendar-year basis. See DOE memorandum, dated December 4, 1970, from evaluation branch to general education branch, re: "In-service Attendance."

[65] In addition to 203 budgeted 3 on 2 teams, there were approximately 15 teams financed by other funds, such as federal and district.

[66] DOE, *Progress Report, 3 on 2,* April 1969, pp. 3, 6, 15; *Progress Report 1968–69,* November 1969, pp. 5, 10.

[67] DOE, *3 on 2 Evaluation 1968–1970,* January 1971, reports that there were 236 participants in the summer of 1969 and 494 in the summer of 1970 at these university-sponsored courses.

[68] DOE, *3 on 2 Progress Report,* January 1970, p. 25.

[69] DOE, *3 on 2 Evaluation 1968–1970,* January 1971, pp. 60, 63, 80.

[70] See central district memorandum, dated April 8, 1970, re: "Workshop on 'Open Space' Classrooms." The importation of the mainland team was ostensibly to assist the district in implementing the "large class" facility concept. The crux of the training, however, was on individualization, which is the basic purpose of 3 on 2. That training by this out-of-state team was successful is doubtful, since we are informed that the team's experience had been with horizontal or single grade level combination of classes and it had not expected a multi-grade level concept being implemented in Hawaii.

required to plan and carry on training workshops.[71] In the early years, at least, there were little guidance and support from the state office. In most cases, districts themselves were unfamiliar with the concept of individualization. Thus, some districts and schools within a district sought the assistance of other districts in providing the resources necessary in conducting in-service training programs.[72]

The general inadequacy of in-service training for implementing individualization and 3 on 2 is apparently recognized by the DOE. For the school year 1971–72, the state office proposed to provide a cadre of leaders in each district who could provide in-service, demonstrate team approach, and provide leadership in individualization for grades K–6.[73] This program, however, has not been carried out because of the collective bargaining implications in holding summer training and using teachers for purposes other than instruction.

HEP. The installation of the Hawaii English program on a statewide basis began in the 1970–71 school year with funding provided by the legislature of approximately 1.5 million dollars for 160–3 on 2 classes at the K-1 level and 80 self-contained K classes.[74] To prepare for the installation of this program, the department took the route of training installation teachers. Installation teachers are those who act as full-time supervisors and train classroom teachers for the installation of the program. Installation teachers are assigned to districts to work under curriculum specialists. Installation teachers work with all schools within a district, except schools in the remote areas.

During June and July of 1970, the department held a five-week training institute for installation teachers. Attending were 41 installation teachers, seven district curriculum specialists, and ten teachers from schools in remote areas.[75] These teachers from schools in the remote areas were invited because those schools would not receive the benefit of supervision and assistance from installation teachers. These teachers were expected to teach HEP, but also serve as resource to other HEP teachers in their respective schools. The objective of the institute was the development of a cadre of district personnel capable of supervising the installation of HEP, providing workshop training to teachers in the district on the use of HEP materials, and following the program through to the classroom.[76]

The installation teachers' institute was followed by a series of 72-hour workshops in each district in August, conducted by the installation teachers and district curriculum specialists, assisted by the members of the HEP staff. The workshops were intended to provide the basic training in the utilization of HEP materials. A total of 16 workshops were held, attended by 512 teachers.

There have been two problems associated with this system of training teachers. *First,* although the legislature recommended that in-service training be a requirement for teaching HEP,[77] not all teachers of HEP attended the training sessions. The department does not maintain precise data as to the number of trained and untrained teachers utilizing HEP materials, but the number of untrained teachers has been placed at about 15 percent.[78] New teachers hired just before the school year began accounted for some of these untrained teachers, but not all. Some attempts were made by installation teachers to provide brief orientations on an informal basis or short, introductory

[71] See DOE, *3 on 2 Evaluation 1968–70,* January 1971, p. 63.

[72] For example, leeward curriculum specialists were used by the Honolulu, central, Hawaii, Maui, and Kauai districts or schools.

[73] DOE memorandum, dated April 22, 1971, re: "Institute on Team Approach to Teaching"; DOE memorandum, dated June 14, 1971, re: "Cadre Plan for Health and Personalized Education."

[74] Conference Committee Report No. 20, May 4, 1970, p. 6. Legislative funding was one-half million dollars more than requested by DOE.

[75] DOE, *Report on H.B. 1260 re HEP.*

[76] DOE, *Progress Report of Installation of HEP,* p. 11.

[77] Conference Committee Report No. 20, May 4, 1970.

[78] DOE memorandum, dated October 1, 1971, from program specialist, HEP.

workshops to those who failed to attend the training sessions, but even then attendance was not as hoped for. Note, for example, the following quote with respect to new teachers:

> "There was some administrative concern in providing formal in-service training for new teachers to HEP who will not be able to attend the teacher workshops (e.g., late summer hires). During the past year ITs oriented the new, non-trained teacher informally through classroom visitations and meetings. Some schools attempt to provide formal in-service training through after-school or Saturday sessions. Participation was not as good as hoped for, and the fall-out rate was very high."[79]

That attendance at workshop training sessions is vital to the program is revealed in the following findings of on-site visitations conducted for the program.[80]

> "All [teachers] concerned felt that teachers entering the program for the first time must have a good understanding of the HEP philosophy prior to teaching in it.
>
> "Generally, teachers who did not attend the HEP workshop had the most difficulty in the program and had the most doubts or differences in philosophy with HEP."

The *second* problem associated with the system of training HEP teachers has been the use of installation teachers. As noted, installation teachers were expected to train classroom teachers, supervise the installation of HEP in classrooms, and assist teachers in implementing HEP. However, an evaluation report noted that installation teachers spent more time on administration and paperwork than with assisting the classroom teachers.

Need for improvements in teacher training. To summarize, the problems associated with in-service training of teachers are threefold: (1) the lack of proper training prior to installation of a new program (for example, 3 on 2); (2) the inability to require teachers to attend training sessions (for example, social studies, 3 on 2, SHES, HEP); and (3) the failure to utilize trained personnel for the purposes intended (for example, SHES, HEP installation teachers).

With respect to the first of these problems, the question is essentially one of program design and programming. The DOE recognizes the need for training of teachers for implementation of new programs. However, on occasion, pressed by a desire to get the program going, it either fails to provide for preinstallation training or conducts training inadequately.

With respect to the second problem, the State legislature has from time to time expressed concern that teachers are not *required* to attend training sessions. Thus, on at least two new programs (3 on 2 and HEP), the legislature expressly recommended that the department make training compulsory rather than voluntary.[81] On another program (SHES), the senate education committee discussed extensively with the department of education the issue of requiring a minimum amount of in-service training as a condition of employment and the possibility of extending the work hours of teachers from the present 35 to 40 to accommodate training needs.[82] However, the department's stance on whether training should be compulsory is not firm. With regard to 3 on 2, although a memo was issued that training was required for new teams beginning the second semester of the 1970–71 school year,[83] the department's report to the 1971 legislature indicated that the department would continue its policy of voluntary in-service training on the ground that most teachers in the program had

[79] HCC memorandum, dated July 2, 1971, from specialist, HCC, re: "Summary of Findings from the On-Site Visitations in May and June."

[80] *Ibid.*, p. 11.

[81] Conference Committee Report No. 20, May 1970.

[82] Senate education committee meeting, March 1, 1971.

[83] DOE memorandum, dated November 6, 1970, from acting superintendent to district superintendents re: "3 on 2 Additions."

voluntarily taken in-service training afforded for the program.[84]

It appears that the advent of collective bargaining is causing some hesitation in making in-service training a requirement. The collective bargaining agreement entered into with the Hawaii State Teachers Association[85] does not specifically mention in-service training of teachers. However, some doubts have been raised as to whether or not teachers attending in-service training sessions must be paid additional compensation for attendance.

In May 1972, the DOE issued a memorandum cancelling all 1972 summer institutes and training sessions. The memorandum expressed concern over the possibility that, under the collective bargaining agreement, teachers attending the summer institutes and sessions would need to be paid extra compensation. The Hawaii State Teachers Association reportedly contends that no such additional compensation needs to be paid if the institutes and sessions are purely "voluntary." However, it believes that any attendance resulting from the DOE's "urging" teachers to attend would not be voluntary. It contends that extra compensation is in order, if the institute or session is one where:[86]

- A teacher is "required" or "urged" by the DOE to attend;
- The professional improvement activity is an extension of the teacher's normal work year;
- The activity covers programs in which the teacher will be involved and he cannot receive training at any other time; and
- The activity results in the development of school curriculum or programs, the registering of students, or conducting evaluations of school programs.

Whether all of the above factors must exist or the presence of only one is sufficient for the teacher to merit extra compensation is not clear. Presumably, however, this requiring of teachers to attend training sessions during the normal work year and during regular working hours would not require additional compensation, although the DOE would then be required to hire substitute teachers to fill the gap while the regular teachers attend such sessions.

The determination of the issue, whether or not teachers must be paid extra compensation for attending training sessions, is not dispositive of the question, should in-service training be made mandatory whenever a new program is sought to be implemented on a statewide basis. If, indeed, the success of a program is heavily dependent upon trained teachers, attendance of teachers at training workshops and sessions must somehow be assured. In light of past experiences with "voluntary" attendance (including cases where attendance has been "urged"), it appears that nothing short of compulsory attendance will enable the DOE to be assured of implementation by teachers trained in the new program. Of course, the collective bargaining agreement and its interpretation are relevant in planning training sessions at which attendance is compulsory. If the HSTA is correct in its reading of the collective bargaining agreement, it compels the DOE to consider more carefully than it has done before the various optional ways of delivering in-service training to teachers. It would require the DOE to weigh the costs and benefits of such options as a two-day seminar versus a two-week institute and a summer institute versus Saturday workshops during the school year versus a program during regular school hours.

The *third* problem—the inappropriate use of the people trained and the nonapplication of the skills and knowledge acquired in training—illustrates the looseness with which

[84] DOE, *Report on House Bill No. 1260* (relating to 3 on 2 program), January 8, 1971.

[85] *Agreement Between State of Hawaii Department of Education and Hawaii Teachers Association, February 29, 1972–August 31, 1974,* dated February 29, 1972.

[86] See DOE memorandum, dated May 22, 1972, from the superintendent to all department of education personnel, re: "Suspension of In-Service Training Activities."

people are selected for training and assigned and supervised after training. Currently, the selection of classroom teachers for training and their assignments are handled at the school level. In the case of HEP installation teachers, selection and assignment are the district responsibility. This is as it should be. However, there is a need for a system by which the department can be assured, as nearly as possible, that those selected will in fact be used to teach (or install) and will use the skills and knowledge acquired from training.

Recommendation. *We recommend that the department of education establish a system to*

1. Identify, design, schedule, and conduct the training required prior to the installation of a program.

2. Require personnel to undergo training when training is determined to be necessary for the successful implementation of a program. If additional compensation must be paid to personnel for mandatory training, the department should first analyze the various options available in delivering training and select the least-cost alternative.

3. Assure that the training acquired by personnel is, in fact, applied to the program for which the training was designed.

CHAPTER 19

SUPERVISION AND CONTROL: ROLES IN CURRICULUM IMPLEMENTATION

In earlier chapters, we noted how schools develop programs of their own, how they latch on to "popular" programs, and how programs proliferate among schools, all without state approval or control. In this chapter, we are concerned with the apparent lack of departmental supervision and control over implementation of programs adopted by the department for statewide implementation.

The term, "supervision and control," as used here means monitoring (i.e., keeping track of, observing, and watching over), regulating (i.e., exercising, restraining, or directing influence over), and testing (i.e., inspecting, examining, and verifying). The purposes of supervision and control are (1) to ensure that state programs are implemented and that they are implemented in the manner intended and (2) to assist in determining (through either quick or intensive analysis) the changes that should be made to the programs, their designs, or their implementation schedules.

Summary of Findings

Supervision and control are inadequately exercised in the DOE. Thus, program implementation is generally left in the hands of teachers and principals. The DOE is unable to exercise supervision and control because it lacks:

1. A system of reporting from schools to enable the state and district offices to exercise their regulatory functions.

2. Clarity in the roles of the state office and districts in program implementation.

Reporting System

One of the key sub-functions of supervision and control is monitoring—that is, keeping track of program implementation in the schools. The other sub-functions, regulating and testing, depend heavily on information about the status of programs. It should be obvious that regulating in the sense of directing or influencing implementation actions and testing in the sense of evaluating programs, their designs, or their implementation schedules, cannot be properly performed without such information. However, the DOE currently has no system by which the state and district offices are kept informed on a routine and regular basis as to the progress, status, and condition of programs in the schools.

Lack of a system. That this is so has been demonstrated in the previous chapters where we noted how unaware the state office and districts generally are about programs in the schools.

Thus, for instance, we noted that although the implementation of the elementary, inquiry-conceptual social studies program commenced with the publication of a program guide in 1968, neither the state office nor the district offices knew that some schools had not even begun to put the program into effect until the state office sought to implement an updated guide in 1971. We noted, too, that the DOE had no idea as to the extent of VD education in the schools when the legislature requested the DOE in 1971 to establish a venereal disease program for statewide implementation as a part of the department's health education program. Then, too, when the DOE, pursuant to legislative request for information, reported in 1971 that

the course on consumer education would be offered to *all* graduating seniors,[1] it had very little precise information concerning the extent of implementation of the course. We also noted that the state office was unaware of the extent of the proliferation of the elective, secondary language arts programs until late 1970, when it adopted the program as the state's program, apparently only because schools were already conducting the program on a wide basis.

Effect on implementation of Act 185, SLH 1970. Not only is the DOE unaware of program status, but the lack of a reporting system has had a deleterious effect on the department's effort to comply with the requirements of Act 185, SLH 1970. Act 185 prescribes a new budgeting system focused on programs. The act requires that proposed expenditures be related to objectives and the programs to accomplish those objectives. Among the documents required by Act 185 to be issued by the DOE (and other state agencies) are the program and financial plan and the variance report. Both are required to be issued annually.

The *variance report* is a document which reports, among other things, the differences (and the reasons for the differences) between what was planned and what actually happened in a given fiscal year with respect to program expenditures, program size, and program effectiveness. It is a report, in essence, on the status of program implementation and program results. Because programs are implemented at the school level, for the DOE to be able to put together the variance report, it must secure information from the field. Without information from the school level, the variance report, put together by the state office, is likely to be misleading. Take, for example, the variance report which the DOE submitted to the legislature in 1972, covering the fiscal year 1970–71.[2] This report was not only misleading, but, in some instances, simply erroneous. It did not accurately reflect the status of programs.

For instance, the variance report indicated that all pupils received the beginning (elementary) social studies program. Note, that the beginning social studies program, during school year 1970–71, consisted of the inquiry-conceptual program as embodied in the 1968 elementary social studies program guide. Note also, as already reported, that, in spring 1971, when an updated elementary social studies program guide was issued, some schools had not as yet begun to implement the inquiry-conceptual program. Thus, the variance report's representation that all students received the beginning social studies program was clearly in error.

Likewise for health education, the variance report noted that both the beginning (elementary) program and the advanced (secondary) program reached 100 percent of the students. The health program as adopted by the department and funded by the legislature for school year 1970–71 called for the implementation of two SHES concepts (concept 6–family life and sex education–and concept 9–mood modifiers, including drug education). Again, as noted in a prior chapter, in fact, implementation of concept 6 was negligible and concept 9 failed to reach most (67 percent to 80 percent) of the estimated 129,000 students who were expected to receive it during 1970–71. Thus, the total coverage of the state health program was not as complete as the variance report represented.

In various other ways the variance report for the school year 1970–71 was misleading and less than illuminating in explaining the actual status of programs. Where there were variances between the estimated and actual (e.g., levels of effectiveness, expenditures), the reasons for the differences revealed very little. The DOE simply could not supply the reasons and account for the variances because it lacked information from schools and districts.

The *program and financial plan* is a document which highlights program issues and problems and notes how they are to be met. It contains information about how programs have been selected for implementation, how the selected programs are "programmed" for implementation over a six-year period, and what results are anticipated by the programs and

[1] DOE, *Report on House Resolution No. 359* (relating to consumer education), 1971 session.

[2] Under Act 185, SLH 1970, the first full variance report from all agencies is not due until December 1974. However, in the case of the DOE, the legislature requested that a variance report be submitted for fiscal year 1970–71 since the DOE had had more than a year of experience with Act 185's PPB system.

implementation schedules. An essential part of the program and financial plan is scheduling program implementation. As pointed out in the chapter on "programming," for the department to realistically schedule program implementation, the department must consider the capabilities and management and operational problems at the school level where implementation takes place. Information of this sort, of course, must rise from the schools themselves.

Note, too, that a program and financial plan is not a static document, but is revised from time to time. It should be updated at least annually in order that the plan always encompasses a six-year period. It should be revised oftener, however, as changes in the plan become necessary. One of the causes making alterations necessary is actual program experience as revealed, in a major way, by the variance report. As we noted, the variance report itself cannot be properly developed without information from the schools.

Although it appears axiomatic that a reporting system must be in operation for the department to be able to properly formulate the department-wide program and financial plan, that system is not in existence. This, despite the fact that the DOE has ostensibly been on Act 185's planning-programming-budgeting system during the last few years.[3] Without such a reporting system, the program and financial plans submitted by the DOE during the past years have been no more than guesswork, hope, or desire on the part of the state office, with little or no relationship to the situation in the field. As a consequence, legislative appropriations, made on the basis of the department's PPB submissions, have not always been disbursed to districts and schools in a manner which would further implementation of programs as represented in the department's program and financial plan. Appropriated funds have generally been allocated to districts and schools not on any planned basis (considering the capabilities of and status of program implementation in individual schools), but on the basis of formulas agreed to by the district superintendents.

Reliance on surveys. The DOE knows so little about what is occurring in the schools that it is compelled to resort to surveys and questionnaires directed to schools whenever a specific need for program information arises. A chief source of such specific need is the legislature, which from time to time requests the DOE for information on particular programs. Thus, in the fall of 1970, the state office distributed questionnaires to schools to determine the implementation status of SHES concept 9 because the legislature specifically asked for that information. In 1971, it was necessary for the DOE to take quick stock of its program in venereal disease education, because the legislature, via House Resolution No. 319, 1971, requested a comprehensive state program to combat venereal diseases, including the establishment by the DOE of a statewide venereal disease program to be incorporated into the health education program. Then, during the period 1968 to 1970, the DOE took quick surveys to determine the status of programs in the schools in various subject matter areas in order to comply with legislative requests that the DOE subject the various subject matter areas to PPB analysis. There are difficulties in quick surveys of this sort. Sometimes, due to time pressures generated by the immediacy of the need for information, questionnaires are not well structured to elicit the responses desired. At other times, responses tend to be spotty and incomplete.

Structuring a system. Act 185, SLH 1970, provides a basis for structuring a system of reporting. While the act is intended primarily to provide information to the legislature for purposes of making appropriations decisions, the requirements of the act are equally useful in fashioning an internal system for reporting on programs by schools to the districts and by the districts to the state office. In fact, the nature of the documents (particularly the program and financial plan and the variance report) required by Act 185 to be submitted for departmental programs as a whole is such that proper implementation of the act would and should naturally lead to the shaping of an appropriate internal reporting system.

[3]Act 185, SLH 1970, becomes operational as to all agencies commencing with the 1973–75 biennium. However, with respect to the DOE, the legislature requested implementation of the planning-programming-budgeting system since 1966.

Thus, schools and districts should be required to submit a variance report on a regular and routine basis, comparing, for each program, the budgeted expenditures and the actual expenditures (by cost categories and cost elements),[4] the budgeted positions and the positions actually filled, the anticipated program size and the size actually realized, and the anticipated effectiveness level and the effectiveness level actually achieved, together with a narrative explanation of the reasons for differences, if any, and the issues and problems faced by the schools and districts in implementing programs.

Likewise, the schools and districts should be provided with the opportunity of developing program implementation schedules, determining program size, and establishing effectiveness levels for their respective schools and districts, taking into account, among other things, the level of achievement, the level of program familiarity, the resource and other capabilities, and the character of the schools and districts. This school and district input should be taken into account in developing the program and financial plan for the department as a whole. Of course, ultimate control over the program and financial plan, including the program implementation schedule, should reside in the state office; but in the exercise of this control function, the state office should work with the schools and districts to ensure that local conditions are properly reflected in the plan that is finally put together. Only in this fashion can the department produce a program and financial plan that is reasonable and realistic. Moreover, such input by schools and districts appears to be only fair, if schools and districts are going to be required to submit variance reports which provide explanations for differences between what was planned and what was accomplished. Reporting by schools and districts for the purpose of both the program and financial plan and the variance report would be a meaningful step toward making schools and districts accountable for the moneys allotted to them.

Recommendation. *We recommend that the department of education establish a reporting system which routinely provides the state office and districts with information concerning the progress, status, and condition of programs in the schools. Such a system should serve the dual purposes of providing the legislature with the information required by Act 185, SLH 1970, as well as providing the department of education with the information required for realistic programming and effective monitoring of programs. In developing the reporting system, the department of education should restrict its information needs to only those kinds of information determined to be essential for the supervision and control of programs and avoid needlessly burdening the schools with extraneous information requirements.*

Role and Responsibility for Program Implementation

As in the case of curriculum development, the roles and responsibility of the state office, districts, and schools in program implementation are confused. The implementation activities and the actions vary from program to program, making it difficult to determine who has the primary responsibility for what. The lack of clarity in roles and responsibility is a source of irritation to schools, districts, and the state office. Often it results in blame-shifting for implementation problems from level to level. Ultimately, schools decide individually whether state programs are to be implemented, how state programs are to be interpreted, and how they are to be carried out.

Policy statement inadequacies. Existing DOE policies are of little help in clarifying roles and responsibility. The state office function is said to be that of *disseminating* the state program and of *providing* curriculum and instructional *services.*[5] The district office

[4]Act 185, SLH 1970, as amended by Act 72, SLH 1972, defines "cost categories" as "the major types of costs," including "research and development, capital investment, non-capital investment, and operating." It defines "cost elements" as "the major subdivisions of a cost category," including: "program design and test and evaluation" for the category, "research and development"; "land acquisition, design, and construction" for the category, "capital investment"; "such items as in-service training, books, etc." for the category, "non-capital investment"; and "personal services, other current expenses, equipment, and motor vehicle" for the category, "operating."

[5]DOE, *School Code, Policies and Regulations, Instructions,* (2000 Series), 1970, Policy No. 2110; *Administration* (1000 Series), 1971 edition, Policy No. 1400–12.

function is described as that of *administering and supervising* the programs of the department.[6] The duties of the district superintendent and those of the school principal are described as that of *planning, organizing, staffing, directing, and controlling* the educational programs of the district or school.[7] What these italicized terms mean and what is the precise nature of the role and responsibility of each of the three levels of organization are obviously foggy.

Equally unilluminating is the DOE's *Plan of Organization.*[8] The state office function is described in the plan as that of *developing standards and guides, providing professional assistance* to districts and schools in the instruction of general circular subjects, and *monitoring* the activities of schools *to ensure conformance* to minimum program standards, established instructional policies, and legal and administrative directions.[9] The function of the district office is stated to be that of *facilitating*[10] or *assisting in*[11] the implementation of curriculum programs; *supervising, monitoring, and evaluating* curriculum programs, instructional strategies, and materials in the schools; and *providing technical consultation and advice* to principals and teachers.[12] But, again, who has the primary responsibility for ensuring that statewide programs are in fact implemented in the schools and for monitoring and controlling implementation is difficult to discern.

Confusion illustrated. The extent of the difficulty in determining the respective roles and responsibility of the state office, districts, and schools, can best be appreciated by considering some specific management and control functions involved in program implementation.

1. ***Ensuring program installation.*** The DOE's *Plan of Organization* states that one of the functions of the districts is to facilitate or assist in implementing curriculum programs. What do these terms, "facilitate" and "assist," mean? Whom are the districts supposed to assist in implementing statewide programs—the state office or the schools? To pose the question another way, do the terms mean that districts have no real responsibility for ensuring that statewide programs are implemented in the schools within their respective districts? If so, who does—the state office or schools?

Note that the *Plan of Organization* states that one of the functions of the state office is to monitor "the activities of schools to ensure conformance to minimum program standards, established instructional policies, and legal and administrative directions." In light of this provision, if "facilitate" and "assist" mean that districts have no real responsibility for ensuring that statewide programs are implemented, what then do the terms, "supervise" and "monitor," mean, both of which are also said to be functions of the districts?

Apparently, in practice, neither the state office nor the districts assume primary responsibility for ensuring that statewide programs are implemented by schools. The implementation of the inquiry-conceptual social studies program, for example, has been left almost exclusively to the schools. Indeed, although the elementary, inquiry-conceptual program was supposed to have been implemented beginning in the fall of 1968, not all schools implemented the program. Neither the state office nor the districts were aware of this lack of implementation until attempts were made to implement the 1971 updated guide. Since the issuance of the updated elementary guide, another guide for the secondary, inquiry-conceptual social studies program has been issued. The extent of the implementation of both the 1971 updated elementary guide and the 1971 secondary guide is currently unknown. It has been reported that, in the implementation of the inquiry-conceptual approach to social

[6] DOE, *School Code, Policies and Regulations, Administration* (1000 Series), 1971 edition, Policy No. 1500–10.

[7] *Ibid.*, Policy No. 1700–2; Policy No. 1500–11.

[8] DOE, *Plan of Organization,* November 1960; February 1971.

[9] DOE, *Plan of Organization,* February 1971, pp. E–9, E–10.

[10] *Ibid.*, p. I–4 (Honolulu district only).

[11] *Ibid.*, pp. J–2, K–2, L–2, M–3, N–2, O–2.

[12] *Ibid.*, pp. I–4, J–2, K–2, L–2, M–3, N–2, O–2.

studies, heavy reliance has been placed on department chairmen to transmit and "sell" the program in the schools. Whether this reliance was intended by program planners or simply developed because there was no other means, is not clear.

In 3 on 2, one of the early reports on progress reported that one of the conditions obstructing progress of the program was "unclear directions for implementation," such as the lack of state leadership.[13] This observation seems to imply that direction and control over program implementation were expected to be exercised by the state office. But, the state office has consistently indicated that it is not responsible for ensuring that programs are implemented in the schools, and that the districts are responsible for installation of programs. Talk is also common at the state office that it does not have "line" responsibility. But districts themselves have not exercised supervisory control. Note the manner in which schools have disregarded state and even district guidelines in implementing the 3 on 2 program:

- In the first two years of implementation, 3 on 2 teams were supposed to consist of teachers who volunteered to teach as a team.[14] However, in those two years, 7 percent of the schools disregarded this guideline, and 14 percent of the teachers on 3 on 2 teams were not voluntary participants.[15]

- 3 on 2 was stipulated for grades K to 3, and grade or class level combinations were restricted to two vertical classes such as K–1, 1–2, and 2–3.[16] However, some schools created class level combinations 1–2–3, 2–2–2, and 1–2–3–4.[17]

- 3 on 2 was specified for relatively large schools.[18] However, some very small schools participated in the program.[19]

- One district informed the schools to utilize the services of three teachers for "approximately 60 pupils."[20] But, shortly after the program began, there appeared "a wide variation as well as an imbalance in the teacher-pupil ratio among some teams."[21]

Who within the DOE is to be faulted for this situation? Neither the state office nor the districts are willing to admit responsibility.

2. ***In-service training.*** The state policy reads that the function of the state office is to disseminate the state program and to provide curriculum and instructional services. The term, "disseminate," here seems to mean more than simply distributing guides and other documents describing the program. It appears to include the act of "explaining" the program. But, in practice, both the districts and the state office sponsor, operate, and conduct in-service training sessions, and it is impossible to pinpoint who has primary responsibility for ensuring the proper training of teachers. Statements such as the following appear from time to time:

[13] DOE, *Progress Report, 3 on 2,* distributed to district superintendents via memorandum, dated April 1, 1969, from administrator, evaluation branch, p. 6.

[14] DOE, *3 on 2 Program Administrative and Implementation Handbook,* August 1968, revised August 1969.

[15] DOE, *Survey of Common Bases of the 3 on 2 Program, 1968–69.*

[16] DOE, *An Administrative Guide for the K–3 (3 on 2) Program,* May 15, 1968.

[17] DOE, *Survey of Common Bases of the 3 on 2 Program, 1968–69;* Hawaii district memo, dated January 6, 1969, "Justification for 'Unusual' Grade Combinations in the 3 on 2 Program"; DOE, *Digest of Operating Budget Request, 1969–70,* p. A–8.

[18] DOE, *An Administrative Guide for the K–3 (3 on 2) Program,* May 15, 1968.

[19] Hawaii district, *Status Report on 3 on 2 Program,* September 1968, listing schools such as Hakalau, Hookena, Keakealani, Mt. View, with elementary enrollments of less than 200. Other schools with less than 200 enrollments with 3 on 2 were Kaaawa (windward district); Kaumakani (Kauai district); Waihee, Maunaloa, and Puunene (Maui district).

[20] Honolulu district memorandum, dated May 5, 1968, re: "3 on 2 Program Implementation Proposal."

[21] Honolulu district 3 on 2 steering committee meeting, October 3, 1968.

> "The responsibilities of the state [office] for in-service are to provide general guidelines for content and resources for workshops and to render general assistance to districts. The role of the district is to plan, schedule and conduct the in-service."[22]

Does this passage mean that the districts are primarily responsible for ensuring that teachers are properly trained and that the state office is making its personnel and know-how available to districts and responding to assist the districts only upon their requests? Or does it mean that the state office is primarily responsible for in-service training with the districts only standing by to set up the time and place at the direction of the state office?

The above quote appeared in an evaluation of the 3 on 2 program. 3 on 2 is the program which encountered numerous difficulties in implementation, not the least of which was insufficient training of teachers in individualization, a concept which the 3 on 2 program was intended to support. It is pertinent to ask here whether, as a part of its function to "disseminate" this program, the state office had the primary responsibility for training teachers in individualization or whether the responsibility for ensuring that teachers were sufficiently trained lodged in the districts. As noted elsewhere, in the absence of adequate guides, some schools and some districts themselves were moved to seek the assistance of other districts in learning about individualization.[23] Further, in one instance, a district, to implement the open classroom concept dictated by new "large class" facilities that were being built, had to arrange for an out-of-state team of teachers to come to Hawaii to provide the basic training to teachers.[24]

3. ***Providing assistance to schools.*** The DOE *Plan of Organization* states that "providing professional assistance to districts and schools in the instruction of general curricula subjects" is a function of the state office and "providing technical consultation and advice to principals and teachers" is a function of districts. Query, is there any real, significant difference between the "professional assistance" to be rendered by the state office and the "technical consultation and advice" to be rendered by the districts? If so, what is the difference–i.e., who is responsible for what? If not, who has the primary responsibility for rendering assistance, consultation, and advice to schools?

In some cases, both the state office and districts supply the same assistance and consultation. In other cases, one, but not both, renders assistance and consultative services to schools. In many other cases, neither provides the assistance that the schools desire. For 3 on 2, there appears to have been a substantial lack of assistance to schools. An early report issued in December 1968 noted that 68 percent of the 3 on 2 teams received no professional aid outside of the school itself.[25] The first progress report issued in April 1969 reported that communication was inadequate from the state and district offices.[26] Another report issued in late 1969 reported that, of the teams responding to a questionnaire, 40 percent responded that they received no outside professional aid.[27] The progress report issued in January 1970 noted that "there is a lack of enough trained people to follow through on the in-service" and that "[t]he curriculum specialists are physically unable to give the continued and intensive help necessary."[28]

Likewise in the implementation of the inquiry-conceptual social studies program,

[22]DOE, *3 on 2 Evaluation, 1968–1970,* January 1971, p. 63.

[23]Use of leeward curriculum specialist by Honolulu, central, Hawaii, Maui, and Kauai schools and districts.

[24]Central district memorandum, dated April 8, 1970, re: "Workshop on 'Open Space' Classrooms."

[25]DOE, *Survey of Common Bases of the 3 on 2 Program,* distributed to district superintendents via memorandum, dated December 19, 1968, from administrator, evaluation branch, p. 1.

[26]DOE, *Progress Report, 3 on 2,* distributed to all district superintendents via memorandum, dated April 1, 1969, from administrator, evaluation branch, p. 3.

[27]DOE, *Survey of Common Bases of the 3 on 2 Program,* distributed to district superintendents via memorandum from administrator, evaluation branch. Fifty percent did not respond; thirty percent reported having had outside aid; and twenty percent reporting having received no outside aid.

[28]DOE, *3 on 2 Progress Report,* January 1970, pp. 26, 28.

although the secondary program relied heavily on the eclectic approach—that is, a wide range of instructional materials—who was responsible for making such materials available and what assistance schools could secure in developing materials of their own were never clarified.[29] Schools, thus, were left to scramble about on their own. There were, of course, differences in readiness and capability to implement the inquiry-conceptual program among the schools. Some schools lacked the manpower to assemble the kinds of materials needed. Indeed, one of the complaints later lodged about the program was the enormous amount of time required of teachers to put materials together.[30] In implementing this program, one school inquired of its district office, "What support can the intermediate school receive for its social studies program?" The reply was:

> "We depend upon the initiative of the teachers at the school level to identify their concerns, problems, and the desire to work as a team to bring about program change. The District will assist the principal in whatever way possible."[31]

The implementation of the social studies program may aptly be described as a case of the blind leading the blind.

In the face of a mounting need for assistance in the implementation of state programs, despite its assertion that it has no line responsibility, the state office has frequently stepped in to attempt to alleviate these problems. Thus, for example, in the case of 3 on 2, the state office has recently developed a plan by which a cadre of leaders would be developed in each district to assist the district staff in the initial stages of program implementation by participating in in-service activities and by providing consultative services to schools.[32] In the case of social studies, the state office provided the leadership in forming an evaluating committee of teachers to identify, develop, and select appropriate instructional materials for inclusion in the DOE's *Approved Instructional Materials Book.*[33] In addition, the state office developed and issued to elementary and secondary schools individualized instructional packets on various subjects, the purpose and use of which, however, have not been fully understood by some schools.[34]

Whether state office activities, such as those in 3 on 2 and social studies, occur because providing such assistance is the responsibility of the state office in the first place or because of default or inability (as in the case of 3 on 2) of the districts to do so, is not clear. It is, However, so far as the districts are concerned, assistance to schools is rendered, if at all, on an "exception" basis—that is, districts assist if called upon by the school.

Past concerns for clarity. In the absence of clarity in the roles and responsibility of the state office, districts, and schools in curriculum implementation, the bulk of the implementation responsibility inevitably falls on the schools. Thus, schools interpret state programs the best they can, they seek assistance wherever it can be found, and they manage the program as reasonably as they are able. The success of program implementation ultimately rests upon the expertise of the principals and grade-level or department chairmen, and, lacking such, upon the knowledgeability and resourcefulness of teachers.

[29] DOE, *Vol. III: Analytic Document, Social Studies,* January 1970, noted that the state office has the responsibility of preparing a list of recommended materials. But this was not made known to schools, and, in any event, the document noted two-year pilot-testing of state-developed materials. What assistance schools were to be given by whom in preparing instructional materials, pending state office development of them, was not articulated.

[30] Waipahu Intermediate, Wheeler Intermediate, Hilo High, among others.

[31] Honolulu district summary report of district visitation to Jarrett Intermediate School, dated October 29, 1970.

[32] DOE memorandum, dated June 14, 1971, re: "Cadre Plan for Health and Personalized Education." The plan is not yet operational as of the beginning of the 1971–72 school year.

[33] General education section memorandum, dated May 5, 1970, indicating *Approved Instructional Materials* (AIM) replacing the former *Approved Booklist.*

[34] Honolulu district memorandum, dated March 4, 1971, to office of instructional services, re: "Individualized Instructional Packets," Pauoa School, Makaha School. Leeward district says only Highland knew what to do with the instructional packages.

The concern over the lack of clarity of roles and responsibility is not new. It has been expressed in prior surveys of curriculum.[35] It has been expressed by the legislature.[36] It is expressed time and time again by people within the DOE itself whenever a new state program is sought to be implemented. Thus, in the 3 on 2 program, a district superintendent at a district meeting called for clarification of the responsibilities between the state office and the districts;[37] and in social studies, secondary social studies department chairmen at a leadership institute discussed the need for clarifying not only the roles and responsibility of the state office and districts, but those of the department chairmen as well.[38]

However, whenever a call is issued to clarify roles and responsibility, the stock reply given is that the state office should be responsible for setting up policies and guidelines and districts and schools should implement.[39] Such stock answers, of course, are of little help. When specifics are pressed for, opinions vary widely among principals, district curriculum specialists, district superintendents, and the personnel at the state office over what the roles are or ought to be. It appears that one of the chief difficulties in coming to grips with the task of clarifying roles and responsibility is the failure to identify and isolate in some logical manner the various functions and sub-functions necessary to be performed in the implementation of state programs effectively and efficiently.[40]

Recommendation. *We recommend that the department of education identify and structure the functions and sub-functions which are necessary for the implementation of programs, and, having done so, proceed to define the roles and responsibilities of the state office, districts, and schools with respect to each of the implementation functions and sub-functions.*

[35] DOE, *Curriculum Survey Reports,* 1966; *Social Studies Survey,* 1967.

[36] See, for example, Conference Committee Report No. 22, April 29, 1967, wherein the legislature specified that the DOE's new (PPB) accounting format include "An identification of the distribution of the various functional responsibilities for each program throughout the State school system (state, districts and schools."

[37] Honolulu district 3 on 2 steering committee meeting, October 3, 1968.

[38] A proposal from an ad hoc committee of the state social studies department chairmen's institute, sponsored by the office of instructional services, held in summer, 1970.

[39] See, for example, the recommendation of a district superintendent expressed at the Honolulu district 3 on 2 steering committee meeting on October 3, 1968.

[40] See, for example, one summary of expectations reported in DOE *Progress Report, 3 on 2,* April 1969, pp. 9–14.

CHAPTER 20

PROGRAM EVALUATION

A program is implemented for the generation of those benefits which are expected to flow from the program. Whether or not the program is producing the results expected and, if not, why not, cannot be known unless the program is evaluated. Evaluation is also necessary to determine whether the design of the program is adequate, whether the intended beneficiaries are being reached by the program, and whether the installation of the program is on schedule. Poor program design, failure to reach intended beneficiaries, and a faulty installation schedule may affect the program's ability to produce the results expected.

"Evaluation" is distinguished from "analysis." Analysis means considering options. Thus, program analysis consists of determining whether existing objectives are still relevant and, if not, what objectives ought to be pursued, what options there are (in addition to the existing program) which may lead to the attainment of the objectives, and which option ought to be adopted in light of the costs and potential effectiveness of each alternative. An analysis may also consist of simply determining which of the various ways of designing a given program is the most suitable. Analysis requires creativity. Evaluation, on the other hand, is an activity which simply seeks to determine what is.

The results of an evaluation may lead to analysis, but not always. Where the evaluation places the program itself in question, an analysis may be in order, particularly if the program has been running for some time with no appreciable attainment of program objectives. Also, if the program design is at issue, an analysis may be in order. But, where the evaluation reveals simple deficiencies in the implementation schedule (e.g., overestimating school and district capability), a corrective course of action may be obvious.[1]

In this chapter, we are concerned with evaluation. In a prior chapter, we discussed some aspects of evaluation in connection with pilot-testing. Here, we are primarily concerned with the evaluation of ongoing programs. However, matters treated in the pilot-testing chapter are equally applicable here and are worth repeating.

Summary of Findings

In general, we find that:

1. The department of education lacks a system for conducting evaluation.

2. Where the department has conducted evaluations, they have been poorly conducted and have tended to be biased.

Lack of an Evaluation System

The *School Code* provides as follows:

> "Educational research and program evaluation shall be considered to be the major tools for continuing curricular and instructional reform and improvement. A portion of the Department of Education's

[1]Conversely, an analysis may be conducted even if the program, its design, and its implementation are apparently in order. An on-going program, no matter how well it may be working, may nevertheless be subject to analysis if, for example, another competing program is proposed as a viable option or an expansion of the on-going program is sought.

> energies and resources shall be committed by the Board of Education and the Superintendent to research and evaluation in order that the education system remains in balance with emerging needs of youth and society."[2]

It is not very clear whether the *Code* is treating "educational research" and "program evaluation" as two separate and distinct activities or whether it is treating them together in the sense of "analysis." However, program evaluation, as that term is used in this chapter, does not now occur within the DOE on a planned and systematic basis. This is not to say that no evaluation occurs. Some amount of it does. But it is not performed on an orderly or rational basis.

Levels of evaluation. There are two kinds or levels of evaluation: (1) an evaluation that is routine and conducted on a regular basis and that does little more than assess the apparent reasons for any differences between what was planned and what actually happened; and (2) an evaluation that is in-depth or extensive and thus is conducted on a periodic or selective basis. An in-depth evaluation can occur either on a scheduled but periodic basis (e.g., once every five years) or it can be undertaken if routine evaluation surfaces conditions which appear to require further examination.

For evaluation of either kind to occur on a systematic basis, the measures and instruments for evaluation must exist and a conscious effort must be made to evaluate. Currently, the measures and instruments necessary for evaluation are incomplete and there appears to be little real effort to evaluate on a systematic basis.

Measures. As pointed out at the beginning of this chapter, evaluation is necessary at least to determine (1) attainment or nonattainment of program objectives, (2) the adequacy of the program design, (3) the reach of the program to intended beneficiaries, and (4) adherence to the program installation schedule. Such assessments, however, must be made and indeed can only be made against some standards or measures. In the absence of such standards or measures, evaluation cannot occur.

1. ***Effectiveness measures.*** For some years now, the DOE has been on the planning-programming-budgeting system. As called for by that system, the DOE has grouped all of its programs by objectives into a program structure, the main categories of which are:

Intellectual learnings
Social-personal learnings
Economic learnings
Administration
Support

However, it has yet to complete identifying, for each program or program grouping, the measures by which objective attainment or nonattainment may be assessed. Effectiveness measures are still to be developed, for example, for the foreign language program[3] and the health education program.[4] For some other programs, effectiveness measures require further refinement. For example, for the program grouping, "intellectual learnings," the measure identified is "reduction in the percentage of students in designated grades who, in the opinion of teacher(s), have failed (grade of 'F') to reach a prescribed minimum in intellectual learnings at the end of year."[5] This measure hardly assesses the attainment or nonattainment of the objective of "intellectual learnings," which is stated as "to develop skills that are essential to understanding, analyzing, generalizing and communicating ideas effectively."[6] Further, this measure is troublesome in at least two aspects. *First,* virtually no student in the educational system is ever failed and prevented from being promoted

[2]DOE, *School Code, Policies and Regulations, Instructions* (2000 Series), 1970, Policy No. 2500.

[3]DOE, *A Report of Program and Financial Plans for the Period 1971 to 1977,* February 1, 1971, p. 63.

[4]DOE, School Health Education Analysis, December 1971, p. 45; *Variance Reports,* submitted to the department of budget and finance and 1972 legislature, December 1971, p. 67.

[5]DOE, *A Report of Program and Financial Plans for the Period 1971 to 1977,* February 1, 1971, p. 91.

[6]*Ibid.*

to the next grade level. Thus, the measure appears to be unrealistic. *Second,* measures sometimes influence behavior—that is, people tend to behave in the manner expected by a measure in order to make themselves and the program look good. If success or lack of success is measured by the student failure rate, it can be expected that a teacher would fail no one, lest the failure of even one student be construed to be a reflection on his performance.

Further examples of where effectiveness measures require further refinement are those measures identified for the program, "economic learnings." The measures are said to be: (a) "reduction in number and percentage of individuals dependent on public welfare within one year after graduation from high school" and (b) "reduction in number and percentage of graduates who are not employed or not in school."[7] The objective of the program, however, is stated as "to develop an understanding of the procedures used by government and industry to create services and goals, and the skills and talents to strengthen these institutions."[8] The relevance of the measures, in light of the objective, is in question. Perhaps the objective itself requires refinement.

2. ***Program design measures.*** Standards to determine the adequacy of the program design are even less in evidence. Such standards are particularly relevant when a new program is being sought to be implemented or pilot-tested. For a fair evaluation of the adequacy of the program design, these standards should be identified before attempts are made to shape the program configuration. But this does not happen within the DOE.

We noted in the chapter on program design that the DOE frequently implements a new program before its design has been carefully thought through; the design emerges as the program is implemented. But at no time prior to the emergence of the design does the DOE establish the standards against which the design may be evaluated. These standards, if developed at all, surface simultaneously as or after the design takes shape. Standards which are identified as or after the design takes shape are apt to be tailored to the design that emerges rather than being objective standards against which various design potentials may be measured.

The inquiry-conceptual social studies program is an example where no standards for determining the adequacy of the program design was established. Even today, there exists no standards against which the adequacy of resource rooms (in terms of size, access, configuration, etc.) and the adequacy of resource materials (in terms of scope, content, focus, etc.) can be measured. So also with 3 on 2 and individualized education, the standards against which the design of the various components (e.g., teaching teams, counseling and guidance, learning centers)[9] may be assessed are yet to be developed.

3. ***Intended beneficiaries.*** The intended beneficiaries of most of the programs in the DOE are the total student population, either of a particular grade level (or grade levels) or of the entire school system (e.g., social studies, mathematics, language arts). However, there are a number of programs which are intended for a particular segment of the total student population. Compensatory education, special education, and the free lunch programs are examples. In these cases, the DOE has as yet to identify the total potential size of the clientele groups. It is thus unable to state to what extent the intended population group is being reached by the programs.

4. ***Program installation schedule.*** As far as progress in program installation is concerned, the program and financial plan, if properly formulated, serves as the standard against which installation progress may be measured. However, as we noted in the last chapter, the DOE in formulating its program and financial plan does not take into account the situation and capabilities at the school and district levels in scheduling implementation of programs. The department's program and financial plan,

[7] *Ibid.*, p. 153.

[8] *Ibid.*

[9] DOE, *Administrator's Guide on Individualized Education,* August 1970.

therefore, is unrealistic and currently inadequate as a standard by which to assess progress in program implementation.

Evaluation effort. Even if the DOE proceeds to identify and complete all of the standards and measures necessary for evaluation, that in itself will not assure that evaluation will occur. A conscious effort to evaluate is required.

The DOE today does gather data on the effectiveness of some of its programs. For example, as a part of its "minimum testing program," it annually administers nationally standardized tests to students. Included among these tests are the Sequential Tests of Educational Progress (STEP). The STEP results are identified in the education program structure as measures of effectiveness for language arts, social studies, mathematics, and science.[10] But the results of these tests are today hardly used to evaluate the effectiveness of programs.

The DOE publishes the statewide averages scored on these tests.[11] This alone, of course, does not constitute evaluation. *First,* "averages" say very little about the effectiveness of programs with respect to the varying segments of the student population. A program may be effective as to some but not all segments of the student population. *Second,* test results alone offer no explanation for any differences that may exist between actual results and the results that had been anticipated or planned for. *Third,* the reasons for differences at the state level can only be understood in light of the reasons for differences that exist at the school and district levels at which the programs are implemented.

Evaluation then means comparing actual against planned levels of effectiveness and ascertaining the reasons for any differences, and making such comparisons and ascertaining reasons for differences at the school and district levels. Such efforts are not now being expended by the DOE. To the contrary, the DOE has shown extreme reluctance to ascertain the effectiveness of programs at the school and district levels. *First,* the DOE has made no effort to establish levels of expectation for schools and districts. Without such levels, there is nothing against which actual results may be evaluated. *Second,* the DOE has refused to publish results of the nationally standardized tests on a school-by-school basis. The reason given is that test scores may be misinterpreted. However, so long as test scores remain the means by which to assess effectiveness, the publication of test scores on a school-by-school (and district-by-district) basis is unavoidable.

Act 185's requirement of a program and financial plan and an annual variance report provides a basis for the establishment of an evaluation system. Expected levels of effectiveness, the target population intended to be served, and the intended schedule of implementation of programs are required to be specified in the program and financial plan. In the variance report, the actual level of effectiveness, the actual reach of the program, and the actual implementation are required to be reported and compared against those planned for the year. Full implementation of these requirements, particularly that of preparing an annual variance report, would virtually constitute a system for *routine* evaluation. One of the requirements of a variance report is the reporting of apparent reasons for any differences between planned and actual results. *In-depth* evaluations can proceed from the variance report. Programs can be scheduled for in-depth evaluations over a period of time and additional in-depth evaluations can be conducted of those programs revealed by the variance report to require immediate, full evaluation. However, as noted earlier, neither the program and financial plan nor the variance report is currently being put together in the manner it should. The program and financial plan and the variance

[10] The effectiveness measures are identified in terms of equaling or exceeding national norms. The *Sequential Tests* in reading, mathematics, and writing are administered annually to grades 4, 6, 8, 10, and 12; the *Sequential Tests* in science, social studies, and listening are administered annually to grades 5, 7, 9, 11, and 12.

The other nationally standardized tests which are administered annually are: the *California (Short-Form) Test of Mental Maturity* and *California Reading Test, Upper Primary* administered to grade 2 students; the *Cooperative School and College Ability Test* (SCAT) administered to students in grades 4, 6, 8, 10, and 12; and the *Differential Aptitude Test Battery, Revised* administered to grade 9 students. DOE, *Summary Report of Minimum Testing Program 1970–71* (Evaluation Report No. 80), December 1971.

[11] The individual scores of students are also furnished to parents for information purpose and to teachers, presumably for counseling and guidance purposes. To what extent the scores are indeed used by teachers to counsel students is unknown.

report are not now surfacing from the school and district levels.

Poor Evaluation

In the absence of a system for evaluation, the DOE from time to time evaluates programs on a fragmented basis. Often these evaluations occur because of legislative interest in the progress of particular programs. However, in those instances where the DOE evaluates programs, it performs poorly.

In the chapter on pilot-testing, we noted how the DOE structures an evaluation of a pilot project and interprets results to lead to those conclusions which the DOE wishes to reach—that is, to install the program under pilot test as an ongoing program in schools. Similarly, in the evaluation of ongoing programs, the objectivity of the evaluations is suspect. The outcomes desired are sought through various means.

First, although a program is clearly recognized and appears in the state education program structure, it is evaluated outside that program structure framework.

The existing education program structure groups all public education programs (and their objectives) under the following five major categories:

Intellectual learnings
Social-personal learnings
Economic learnings
Administration
Support

All subjects and courses taught in the public schools fall within one of the first three categories. Of course, no single structure can be expected to deal with all questions, and thus sometimes issues will arise that necessitate the examination of programs grouped in a way other than that displayed in the program structure. For example, the existing program structure does not surface such programs as compensatory education and 3 on 2. All aspects of these programs are subsumed within the various parts of the existing structure. In evaluating program groupings which differ from those of the program structure, the objectives and measures for the new program groupings would need to be identified. However, when such new groupings are not necessary, the existing program structure, including the objectives and measures specified in the structure, provides the framework for evaluation.

Disregarding that framework and evaluating programs in light of objectives and measures other than those specified in the program structure raise serious questions about the efficacy of the structure. Either the structure represents the objectives of the programs or it does not. If it does not, a new structure is in order. More often, however, it appears that the existing structure is disregarded to permit stating objectives and designing measures specially suited to the outcome desired from the evaluation. The following paragraphs describe the questionable ways in which objectives are formulated and measures identified.

Second, a variety of objectives are identified for the program without specifying which is the primary objective and further without distinguishing between and among the various kinds of objectives—i.e., program effectiveness, program design, and program installation. Often the objectives are stated vaguely, broadly, and in an all-inclusive fashion, such that the real objective is obscured. Muddling objectives in this fashion permits the program to be deemed a success on the attainment of any one of the objectives, even though the primary and real objective may not be attained.

Third, measures by which the program is evaluated are ill-defined. They are frequently of questionable validity and reliability. Heavy reliance is had on subjective measures—i.e., on judgmental responses of students and teachers involved in the program to surveys and questionnaires. Often measures are specifically devised for the program being evaluated and lack that objectivity which enables other competing programs to be evaluated against the same measures. At other times, a variety of measures are used (for a single objective) without differentiating the relative importance of each and without assigning weights accordingly. These practices make it possible to bias the evaluation toward desired conclusions.

Fourth, the results of the application of the various measures are interpreted to reach the conclusion desired. Unfavorable results are explained away, downplayed, or "interpreted positively."

The following examples illustrate the above findings.

High school ROTC. In 1972, the DOE purported to evaluate the effectiveness of the high school ROTC program as a part of an analysis performed to determine whether or not existing policies with respect to the program should be changed.[12] The existing policies provided that ROTC should be limited to only four schools—Roosevelt, Farrington, Leilehua, and McKinley—that it should not be expanded to any other school, and that in the four schools, the program should be voluntary. These policies had been initially adopted by the board of education in 1966 and reaffirmed in 1968.

ROTC is a recognizable and distinct course, just as social studies, language arts, music, etc., are recognizable and distinct courses. All such courses fall within one of the three major program categories included in the education program structure: intellectual learnings, social-personal learnings, and economic learnings. ROTC, thus, falls under one of these categories, and assessments of the effectiveness of the program should properly be made in light of the objectives and measures identified in the structure for the program grouping to which ROTC belongs. However, in the evaluation and analysis, ROTC was not viewed as falling within the framework of the education program structure and none of the objectives and measures explicitly specified for the three categories of learning was used.

The evaluation concluded that the objectives of ROTC are "still consistent with the purposes of the school system" as enunciated in the *Master Plan,*[13] that the program is effective, and that it should be expanded to other schools. The methodology utilized could not help but lead to those conclusions. Note the following.

1. ***Objectives.*** As objectives of ROTC, the department adopted those statements of objectives supplied by the army, navy, and air force. These objectives were broadly and all-inclusively stated. Two general kinds of objectives were evident: those concerned with the development of desirable character traits and those more militarily oriented. These two kinds of objectives were not separately identified but intermixed. Among those objectives relating to the development of character were the following:[14]

- ability to live and work cooperatively with others;
- a strong sense of integrity and responsibility;
- increased insight into ethical values and principles;
- leadership potential;
- habits of orderliness and precision;
- ability to communicate effectively, both orally and in writing;
- patriotism;
- a high degree of personal honor and self-reliance; and
- discipline and respect for authority.

Among the militarily-oriented objectives were such things as the development of:

- basic military skills necessary to function effectively as a member of a military team;
- familiarity with the history, purpose, and structure of the defense establishment;

[12]DOE, *An Analysis of High School ROTC Program,* March 1972.

[13]DOE, *Master Plan for Public Education in Hawaii,* September 1969.

[14]DOE, *An Analysis of High School ROTC,* March 1972, pp. 27–28.

- an appreciation of the role of the U.S. army in support of national objectives;
- knowledge of the U.S. navy surface ships, submarines, and aircraft;
- knowledge of and appreciation for the traditions of the navy;
- an interest in the U.S. navy as a career; and
- knowledge of the challenges and opportunities of aerospace.

No attempt was made in the evaluation report to identify from among the various objective statements the *primary* objective of the ROTC program and, as necessary, to state it in a more precise form. Moreover, the *real* objective of the program was obscured. The evaluation report contained a number of clues seemingly suggesting what the real objective of the program might be. Thus, the report noted that the chief features distinguishing ROTC from any other program are those militarily-oriented objectives such as, "familiarizing and equipping students with basic military skills necessary to function effectively as a member of a military team." Indeed, the report acknowledged that these militarily-oriented objectives give the ROTC program much of its uniqueness. The report further noted (in describing the historical background of the ROTC program) that Congress enacted the ROTC Vitalization Act of 1964 as a dropout prevention program and as a program to stem growing student unrest, and that President Lyndon B. Johnson signed the act with reservation, stating, "Even though the (junior) program fulfills no direct military requirement, it continues to occupy the full time of hundreds of our active military personnel." From these, one might speculate whether the real objective of the high school ROTC program is to impart military skills or to prevent dropouts or to stem student unrest or to provide a livelihood for persons retired from active military service.

By stating objectives in such a broad and all-inclusive fashion without identifying the primary and real objective, the evaluation report was able to accomplish two things. *First,* as more fully explained later, the report was able to conclude that the program is effective based on the achievement of some but not all of the objectives, although, even as to these, the measures used were highly questionable. *Second,* the report was able to *justify* ROTC as a viable program. This justification was accomplished by flashing the broad and all-inclusive objectives against the *Master Plan*'s equally broad 11 statements of purpose of public education.[15] With both the objective statements and the purpose statements being as broad as they are, they could not miss being (as the report concluded) "consistent with" each other.

In fact, some of the ROTC objectives bore a striking resemblance to some of the *Master Plan*'s statements of purpose, as if the objectives were lifted from the statements. Note, for example, the following statements of purpose:[16]

- To encourage the individual student to acquire the attitudes and skills of intelligent leadership, cooperation, and service;
- To ensure that the individual student understands and appreciates other individuals belonging to social, cultural, and ethnic groups different from his own;
- To make certain that each individual student acquires sound habits of mental and physical health;
- To assure that the individual student acquires the understanding of ethical and moral questions that will enable him to consider and adopt a set of values which will guide his behavior.

Stating objectives in a broad and all-inclusive fashion was a subtle way in which to

[15]The broadness of the *Master Plan*'s statements of purpose permits almost any program, particularly those whose objectives are stated in an equally broad fashion (as in the case of ROTC), to be brought within the scope of the *Master Plan.*

[16]DOE, *Master Plan for Public Education in Hawaii,* September 1969, pp. 43–47.

attract support for the program, rather than to subject the program to evaluation.[17]

2. *Measures.* The ROTC program was evaluated in terms of its effectiveness. In determining program effectiveness, however, no attempt was made to identify neutral and objective measures. Rather, course grades and attitude surveys directed to schools, principals, teachers, students, and parents of students involved in the program were used, although the report itself acknowledged that these measures lacked objectivity and precision.[18] Six specific measures were used:

- Assessment of the program's worth by principals of the four high schools with the ROTC program.

  This measure consisted essentially of statements of the principals indicating how they liked the ROTC program.

- Assessment of the program's worth by teachers of the four high schools with the ROTC program.

  Under this measure, the teachers responded to a questionnaire which asked them to indicate whether they felt there was an improvement, no change, or deterioration in the standards of student dress, self-discipline, school spirit, courtesy, and classroom discipline since the ROTC program became voluntary in 1967.

- Assessment of ROTC by the community.

  This measure simply sought to determine public sentiments for or against ROTC.

- Assessment of the number of high schools without ROTC but with 100 or more interested students and sufficient physical facilities to support the program.

  This measure consisted of questionnaires to schools to which principals were asked to respond. The questionnaires also asked the principals to indicate the benefits they thought would accrue to students from the program.

- Assessment of the program's worth by students and parents of students enrolled in the ROTC program.

  This measure relied on a questionnaire directed to the students and their parents which asked them to indicate whether they observed any change for the better with respect to the following items since the students enrolled in the ROTC program: acceptance of responsibility, self-confidence, respect for parents and elders, general conduct and attitude, sense of loyalty to America and to the American way of life (patriotism), and respect for constituted authority.

- Grades earned by students in the ROTC program.

Not surprisingly, principals with the ROTC program wrote generally in favor of the program, 75 percent of the students and parents of students enrolled in ROTC responded affirmatively that they observed changes for the better with respect to those character traits enumerated in the questionnaire, and the average grade earned by ROTC students over a period of three years was a "B," with no student ever failing the course.

With respect to the other measures, the report noted that the community was divided in its sentiments about ROTC, that there were 100 or more students interested in army ROTC at

[17] The attainment of such character traits as "citizenship," "leadership," "integrity," "cooperation," etc., is desirable, but it appears that it should pervade the entire spectrum of curriculum and activities within the public education system.

[18] DOE, *An Analysis of the High School ROTC Program*, March 1972, p. 56a.

four high schools, in air force ROTC at seven high schools, and in navy ROTC at one high school, and that responses of teachers at the four high schools having ROTC were about evenly divided between "deteriorated" and "no change" with regard to the effect of the program becoming voluntary on the enumerated character traits of students.[19] Of course, these measures and the results of their application contributed little to determining the effectiveness of the ROTC program. Community sentiments and the presence of high schools with students interested in the program said nothing about the effectiveness of the program; they only indicated that some people like ROTC. Teachers' responses to the questionnaires were not only highly subjective but also inconclusive, and, even worse, irrelevant, since the focus of the questionnaire was on the mandatory versus voluntary aspect of the program.

3. ***Skewing results.*** On the basis of the above, the report concluded as follows: [20]

> "Is the program effective? If pupil self-appraisal can be considered as a valid way to evaluate a program's worth, then the program appears to be of worth to its students as well as to the parents of those students. Course grades indicate too that pupils are, in the judgment of ROTC instructors, meeting the objectives of the course with an average of a 'B' grade."

Of course, pupil self-appraisal was not a valid way to evaluate this program's worth. The ROTC program is voluntary and only those students who like the program enroll. Course grades are of doubtful validity, since it is extremely unlikely that instructors would fail any student lest student failure be construed as a reflection on the instructors' performance.

What is interesting to note, however, is that the effectiveness conclusion was based only on pupil self-appraisal and course grades. This despite the fact that the report listed other measures as well. Clearly, the report could not report favorably on the basis of these other measures for the reasons noted above. Whether consciously or not, what the report in effect did was to select from among the various measures only those producing the results desired (that is, favoring the program) on which to base its conclusion. Multiple measures, including those relying heavily on the subjective judgment of people, without appropriate distinction as to their relative value, importance, and reliability, make it possible for an evaluation to reach that conclusion desired by allowing the evaluator to pick and choose those measures the results of which support the desired conclusion.

Hawaii English Program (HEP). In 1970–71, the DOE evaluated (or caused to be evaluated) the Hawaii English program.[21] HEP is a language arts program which was adopted by both the board of education and the legislature to replace the existing language arts program for grade levels K–6. The installation of this program has been phased over a period of years.

The language arts program is a subject which falls under the category, "intellectual learnings." As stated in the existing program structure, the objectives of "intellectual learnings" and of "language arts" are as follows:

Intellectual learnings:

> To develop skills that are essential to understandings, analyzing, generalizing and communicating ideas effectively.

Language arts:

> To equip the student with the skills of using the English language effectively and of understanding the nature and structure of the English language.

[19] The results were as follows:

Character trait	Improved	Deteriorated	No Change
Student dress	6.5%	62.0%	31.3%
Self-discipline	6.5	53.5	40.0
School spirit	7.9	24.0	68.1
Courtesy	7.2	40.0	51.2
Classroom discipline	4.8	44.6	50.6

[20] DOE, *An Analysis of the High School ROTC Program,* March 1972, p. 56f.

[21] DOE, *Hawaii English Program: Project End Annual Evaluation Report, 1970–71,* 1971.

The measures of effectiveness identified in the structure for language arts are as follows:

- Percentage of students exceeding national average on STEP writing, STEP reading, STEP listening.
- Percentage of students who attain satisfactory scores on the DOE speech proficiency test.

Clearly, then, HEP is a program which is accorded visibility in the existing program structure, and any evaluation of that program in terms of its effectiveness should be conducted within the framework of the program structure (that is, in light of the objectives and measures specified for language arts). However, the 1970–71 evaluation of HEP was not conducted within that framework. In evaluating HEP, a variety of objectives and measures, differing from those specified in the program structure, were formulated and designed. Further, the evaluation did not attempt to ascertain whether HEP students were performing at a level equal to or exceeding those attained by their contemporaries throughout the nation, as the effectiveness measures specified in the program structure appear to suggest. Rather, in trying to determine the effectiveness of the program, the HEP evaluation compared the performance of Hawaii's HEP students against the performance of Hawaii's non-HEP students.[22]

The evaluation concluded that HEP was performing favorably and recommended that the program be continued. As in the case of the high school ROTC program, the methodology utilized could not help but lead to that conclusion and recommendation. Note the following.

1. ***Objectives.*** Numerous "objectives" were identified for HEP in the evaluation report. Some of the "objectives" were descriptive of the activities encompassed in the program, others were statements of a desirable program design, still others were concerned with the schedule for program installation, and yet others were of the kind normally thought of as program objectives. These objectives were considerably muddled.

Under a section labeled, "program development,"[23] the report noted that the English project team was charged with accounting for various aspects in a program designed for maximum language growth for all children and youth, including such things as:

- carrying out the State's policy that man's capacity for language be enhanced to the fullest degree,
- clearly defining the field of English,
- developing a carefully sequenced curriculum plan which will be cumulative in effect and will reduce repetition, and
- providing a set of learning materials designed to respect individuality to the highest degree and not to inhibit individual progress.

Then, under a section labeled, "Emphases in the Hawaii English Program,"[24] the reports noted that the planning team tried to consider the nature of a sound curriculum in language and literature in "the larger perspective of what good elementary and secondary education should be for the 70's; of what is the true professional role of the teacher; of the kinds of learning environments and instructional strategies that would accommodate individual differences and pass the initiative for learning to the child." The

[22]The relevance of such comparison is seriously in question. The decision to install HEP as the program of the state was made in 1968 by the board of education with the concurrence of the legislature. This decision was presumably made on the basis of an analysis of the language arts program conducted during 1967, which compared the costs and potential effectiveness of HEP and the then on-going non-HEP program (see DOE, *Vol. III: Analytic Document, English,* January 1968). Presumably, too, the effectiveness potential of HEP was demonstrated when it was pilot- and field-tested prior to the 1968 decision. The superiority of HEP over non-HEP was then assumed when the decision to substitute HEP for the non-HEP program was made. If these presumptions and assumptions are correct, then the 1970–71 evaluation should have been concerned with whether HEP was indeed producing the results expected from it and whether installation of the program was on schedule, and not with how favorably it compared with non-HEP.

[23]DOE, *Hawaii English Program: Project End Annual Evaluation Report 1970–71,* 1971, pp. 22–23.

[24]*Ibid.*, pp. 23–24.

result, the report said, is a curriculum characterized by a detailed list of features, including such things as:

- indivualized instruction,
- precise instructional objectives,
- systematization of the benefits of peer-tutoring,
- activity-centered learning,
- greater use of non-text modes of educational presentation, and
- a shift to effective early education and away from reliance upon remedial instruction.

Under a section labeled, "Program Goals,"[25] the report defined English as consisting of two major parts: language and literature. Language in turn was said to consist of two subparts: language skills and language system. The report stated that English engages students in three different ways (paralleling the three segments):

- with the acquisition of proficiency in communication skills,
- with the study of the nature and structure of the language itself, and
- with the artistic uses of language in literature.

It then stated that the "goals" of HEP with respect to each of the three segments were as follows:

language skills:

> "to help the student toward progressively greater synthesized control of his language performance,"

language systems:

> "to give the student some insight into the creative nature of language behavior and the grammatical rules such behavior presupposes, and to provide some perspectives on the varieties of and changes in language behavior through time and across cultures and societies,"

literature:

> "to help the student enjoy literature and to discover his own responses to individual works, to feel and understand both the sources and the process by which he evolves as a reader and student of literature in and beyond school."

The report then treated each of the three segments separately. In that section on the *language skills* program,[26] the "overall goal" of the program was stated as:

> "to help each child progress from his entry level in each subprogram to the state of independent learning in the language arts."

The "state of independent learning" was identified as that state "generally acknowledged as sixth grade achievement levels." The report then indicated that "specific goals" for the skills program have been established within and across two basic areas: listening and reading skills "contributing to a perceptive repertory," and oral and writing skills "leading to a productive repertory." Parallel with these goals, the report stated, are "some important aspects of approach," and it referred to such things as "differentiated learning," "independent learning," and "peer-tutoring." Then, in addition to trying to measure such things as reading, writing, listening, and speaking, the

[25] *Ibid.*, pp. 24–26.

[26] *Ibid.*, pp. 41–43.

evaluation also attempted to measure "self-direction" and "self-concept, motivation, and attitudes."

In that section of the evaluation report on the *literature* program,[27] the "overall goals" of the program were stated to be:

- "to establish literature as an essential part of the curriculum from K to 12," and
- "to teach it in ways which are faithful to the nature of both literature and children."

Then, in that section of the report on the *language systems* program,[28] the report cited "four main goals" in order of priority, thus:

- "Not to make the student into a practitioner [of language systems], but rather to have him learn something about himself.
- "To give the student factual information about language in general and English in particular which can make some claim to humanistic value.
- "To give some understanding of the discipline as the practitioners see it: its organization, theory of science and actual practices.
- "To affect language skills."

In summary, the report said a great deal about goals and objectives, but the way in which they were stated and the intermixing of the varying kinds of objectives—program effectiveness, program design, installation progress—made it extremely difficult to sort out the various points and to come up with any clear statement of the objectives of HEP. Further, they made it difficult to secure a clear picture of the primary focus of the evaluation. Although high scores were given HEP in the evaluation report, it is uncertain as to whether these high scores were grounded on the effectiveness of the program, the adequacy of the program design, or something else. It appears reasonably clear, however, that this whole array of objectives, without distinction and clarification as to the focus of evaluation, enhanced the report's opportunity to reach the conclusion that the program is performing well.

Measures. In measuring the performance of HEP, a multitude of measures were used. For example, for the language skills subprogram (reading, writing, listening, and speaking), some 22 measuring instruments were used. Five of these were nationally standardized tests and 17 were developed by the HEP staff.[29] The HEP-developed measures were:

- Reading diagnostic stack to diagnose initial and terminal reading levels.
- Handwriting exercise to assess handwriting ability in cursive script, manuscript, and spelling.
- Taped listening exercise to assess listening skills, particularly in following directions.
- Speaking test to assess speaking/listening skills.
- Classroom observation form to assess the degree of self-directed behavioral characteristics demonstrated by selected sample pupils and the total sample class.
- Classroom teacher rating form on 14 behavioral characteristics considered to be indicators of pupil self-direction.
- Anecdotal records to be submitted by all HEP teachers on a voluntary basis relating anecdotes of student behavior indicating self-directed or independent behavior.

[27] *Ibid.*, pp. 236–237.

[28] *Ibid.*, p. 262.

[29] *Ibid.*, pp. 50–54.

- Survey to assess attitudes toward school and school activities.
- Interviews to obtain student and parent opinions and attitudes about the new English program.
- Classroom teacher, school principal, and installation teacher questionnaires to determine attitudes and opinions toward HEP.
- Questionnaire to determine attitudes and opinions of visitors to HEP classrooms.
- On-site interviews and classroom visitations to assess the impact of the new English program at the local school and district levels.
- Demographic data form to obtain socio-economic status of parents/guardians of sample grades K–3 population.
- System adherence log (form) to determine the degree of adherence to the HEP system in all classrooms.
- Installation teacher log (form) to determine the role played by installation teachers in the statewide implementation of HEP.

The standardized tests used were:

- The Gates-MacGinities Reading Tests to assess reading vocabulary and comprehension.
- The Cooperative Primary Listening Test, Form 23A, to assess listening skills in comprehension, recall, and interpretation in everyday school situations.
- Self-Concept and Motivation Inventory (SCAMIN), Early Elementary Form, to assess student self-concept and motivation toward school.
- California Test of Mental Maturity (CTMM) (for second graders) to stratify pupils into ability subgroupings in the analysis in test data.
- The Kuhlmann-Anderson Tests, Forms K and A, to determine aptitude of pupils and to stratify pupils into ability subgroupings in the analysis of test data.

When contrasting these various instruments, the report stated that the following factors were considered:[30]

- Objectivity of the test
- Degree to which each test was "fair" to the experimental (HEP) and control (non-HEP) groups
- Time and training required for administration
- Reliability and validity of the instrument
- Suitability of the test for the age of students tested
- Costs of tests and test administration
- Availability of the test

Just how much consideration was given each of these factors is not known. However, despite what may have been the best of intentions to maintain fairness and objectivity in the measures, it appears that that objectivity and fairness were not maintained and that the evaluation was significantly biased in favor of HEP. All of the measures were selected or developed by the HEP staff and none by non-HEP personnel. Some were designed specifically for HEP but none for non-HEP. Some measures were highly subjective, consisting of responses to interviews, surveys, and questionnaires directed to HEP students, parents, teachers, principals, and installation

[30] *Ibid.*, p. 55.

teachers, asking them for their attitudes toward and opinions about HEP. Discussion about the limitations of the measures related exclusively to the nationally standardized tests and centered on how these tests placed HEP students at a disadvantage relative to non-HEP students.[31]

Moreover, with respect to program effectiveness measures, the evaluation report made no differentiation between the various measures in terms of their relative value, validity, and importance. In fact, evidence indicates that they were all treated as if they were of equal value and importance. For example, in a summary for the language skills subprogram, the results of the application of the various measures were added up to provide a total effectiveness score for HEP and for non-HEP with HEP showing up better than non-HEP.[32] Considering the fact that some of the measures developed for and used in the evaluation were highly subjective (e.g., the rating by teachers of self-direction in students according to a 14-point rating scale), it would seem that some sort of guidance would have been provided as to how much weight should be given to the various measures. However, this does not seem to have been the case. If all of the measures used were indeed of equal value and validity, then a better case should have been made to this effect than appears to have been made. If they were not of equal validity and significance, then some sort of ranking or differentiation should have been made and appropriately pointed out in the evaluation report. The failure to do either cast a cloud over all of the results.

3. ***Skewing results.*** Upon application of the varying measures, it appeared that there was no real, significant difference between HEP and non-HEP students with respect to achievement in English. This result, however, was not deemed to be controlling by the evaluation report. *First,* the report sought to downplay this result by pointing out that, although there was no significant difference on the adjusted scores, the "raw" scores favored HEP over non-HEP among some classes of students.[33] No discussion was included in the report as to the relevance, value, and usefulness of "raw" scores vis-a-vis the adjusted scores that were used throughout the evaluation. Without such discussion, the appropriateness of qualifying results by citing "raw" score results is questionable. Either the "raw" scores were the appropriate indicators and thus should have been used, or they were not the appropriate indicators and thus should not have been used.

Second, the report interpreted this otherwise unfavorable result "positively." It noted that the non-HEP control group had a slight advantage over the HEP experimental group so far as IQ scores and socio-economic criteria were concerned. In view of this difference, the report noted, the test results suggest substantial progress under HEP.[34] Yet, elsewhere in the report, it was noted that attempts were made to match up evenly the HEP experimental and non-HEP control groups and that the differences between the two groups were at least partially compensated for through statistical techniques employed in the evaluation so that the two groups were more comparable.[35] If indeed the two groups were made more comparable through statistical techniques, the differences in IQ and socio-economic background should not have been cited to qualify or explain the test results.

Third, the report sought to explain away the less than hoped for HEP results by noting that the installation schedule for HEP was thrown off considerably by the late arrival of equipment and supplies and by breakdowns and defects in various materials that were received. Moreover, it noted that not all of the HEP

[31] *Ibid.*, pp. 55–57. Note, that of the five standardized tests used only two were used for the purpose of measuring effectiveness in terms of academic achievement (then only in a limited way), one was used for the purpose of measuring effectiveness in terms of student self-concept and motivation toward schools, and the remaining two were used essentially for the purpose of stratifying students into ability subgroups in the analysis of test data.

[32] *Ibid.*, p. 156.

[33] See *Ibid.*, pp. 5–7, for examples.

[34] *Ibid.*, p. 159.

[35] *Ibid.*, p. 74.

teachers had the benefit of in-service training prior to the time they started teaching HEP classes. Thus, the report said,[36]

> "Although the comparisons favored HEP children only mildly in three of the four skills areas and in the ability subgroupings, the large number of statistically non-significant differences between the experimental and control groups and the achievement gains by HEP pupils reflect accomplishments over a relatively shorter period of time and under more demanding circumstances."

The assumption here is that the problems of installation probably had a serious negative effect on the performance of HEP students. This may be a correct assumption, but is not necessarily the case. For example, it is conceivable that the need for teachers to improvise, to draw upon their own resources, and to exercise more of their own judgments may have been advantageous to the HEP children, rather than a disadvantage. Moreover, if indeed the problems in installation were a hindrance to the success of HEP, the evaluation should not have proceeded in 1970–71.

Fourth, although in terms of achievement HEP showed no significant difference from non-HEP, the evalution report discussed extensively how the design of the program met expectations. Thus, it noted that the HEP language skills subprogram offers an individualized approach to learning, that the new skills program was being used as intended in the majority of classrooms using HEP, that the literature subprogram is adequately flexible to provide for participation in varying grouping patterns, that the majority of teachers were of the opinion that the teachers manuals for each unit were generally useful for classroom instruction, that there are indications that the sequence of units taught is an important factor in the effectiveness of learning taking place, etc.[37] It appears that the overall conclusion that the program is performing as well as expected was based chiefly on the basis of the program having met design expectations, rather than on the basis of its achievement. The question, of course, is what was the focus of the evaluation—to determine program effectiveness or program design adequacy?

The whole thrust of the HEP evaluation appears to have been to justify the installation of HEP as rapidly as possible, rather than to determine the effectiveness of the program. Thus, such possible "contamination" of the evaluation results as may have flowed from the fact that the 3 on 2 program was being installed at the same time as HEP in many classes, although acknowledged,[38] was not a serious impediment in the evaluation in reaching the conclusion the report reached. Of course, in view of the likely significant impact of two such fundamental changes in the classroom, it would appear that extreme efforts would have been made to separate the two and to find some means of differentiating their effects. The failure to do this cast serious question over the evaluation results for either of the new programs.

Independent Evaluation

Earlier in this chapter we distinguished between "routine evaluations" and in-depth evaluations." Routine evaluations which seek to determine only a little more than *apparent* reasons for attainment or non-attainment of the results being pursued may well be performed by those administering programs due to their routine and regular nature. However, in-depth evaluations are a breed of another kind. Because of their intense nature, they are not the kind of evaluations that can be conducted regularly on a routine basis for every program. Further, because of their intensity, in-depth evaluations require utmost care in ensuring their objectivity. We do not believe that such in-depth evaluations should be the responsibility of those who administer the programs being evaluated or of those who assisted in their design. Objectivity is difficult to maintain if one has a hand in running

[36] *Ibid.*, p. 159.

[37] *Ibid.*, pp. 2–19.

[38] *Ibid.*, p. 58.

the program or has had a hand in designing the program that is being evaluated.

Sufficient examples of questionable objectivity have been noted in this chapter and in the chapter on pilot-testing. In the main, the evaluations on which objectivity has been questioned in this report were performed by those responsible either for administering the program or for designing them. We think that in-depth evaluations should be conducted by an independent unit, completely separated from these people. In-depth evaluations are, after all, in the nature of post-audits (examinations after-the-fact) and those involved in the performance of the program should not be examining their own performance.

In our view, objectivity in in-depth evaluations can best be maintained, if the evaluations are conducted by a unit in the office of the superintendent which reports directly to the superintendent. The unit would be responsible for in-depth evaluations of ongoing programs as well as pilot projects. This means that most of the functions of the testing and evaluation section of the special program branch in the office of instructional services should be transferred to the office of the superintendent. This does not mean, of course, that the office of instructional services should not continue to perform "routine evaluations" or to assist in in-depth evaluations by administering the necessary tests or collecting the data necessary for such evaluations. But, the leadership and responsibility for objective in-depth evaluations would be provided by the evaluation unit in the office of the superintendent.

In-depth evaluations, of course, should be conducted by this independent unit according to pre-determined standards and measures. It is recognized that the responsibility for identifying or devising measures by which to evaluate programs and program designs are generally shouldered by those formulating programs. However, to ensure objectivity in these measures, the evaluation unit should prescribe the guidelines to be followed in selecting or devising these measures and measuring instruments, and any measures and measuring instruments finally selected or devised by program designers should be subject to approval by the evaluation unit.

Recommendation

We recommend that the department of education:

1. Establish a system for the evaluation of ongoing programs. In establishing the system, the department of education should develop relevant measures for all of its programs. Such measures should include the different kinds of measures which are intended to determine (a) level of attainment of program objectives, (b) adequacy of program design, (c) extent to which the program is reaching the intended beneficiaries, and (d) adherence to the program installation schedule. The utilization of the different kinds of measures would depend on what particular aspects of the program are being evaluated.

2. Provide for the performance of routine and regular evaluation by those responsible for administering the program and for the review of routine evaluations and the performance of objective in-depth evaluations by an independent evaluation unit situated in the office of the superintendent. This independent evaluation unit should report directly to the superintendent.

3. Require the independent evaluation unit to prescribe guidelines in the selection or devising of evaluation measures and evaluation instruments by program designers to assure the objectivity of the measures and instruments.

PART V

PERSONNEL MANAGEMENT

CHAPTER 21

INTRODUCTION

There are approximately 15,220 employees in the department of education. Of these 3,626 are classified under the civil service laws of the State and 11,594 are exempt from the civil service classification system. Of the latter, 1,948 are non-certificated personnel and 9,646 are certificated. Of those certificated, 9,020 are teachers and 626 are educational officers.[1]

This part discusses the management of personnel programs within the department of education. Chapter 22 discusses some general personnel management problems in the DOE. Chapters 23 to 27 are concerned with the classification, recruitment, promotion, training, and evaluation of teachers and educational officers. Chapter 28 covers some problems with respect to certification and exempt positions within the DOE.

Summary of Findings

Our major findings with respect to personnel management are:

1. Personnel records are inadequately maintained in the department of education.

2. The DOE does not have an adequate classification, recruitment, promotion, training, and evaluation program for teachers and educational officers. There are a number of shortcomings in each of these program areas. Generally speaking, we find that the current system does not assure fairness and objectivity in the recruitment and selection and equality in the treatment of personnel, particularly of educational officers. To the contrary, there are indicators which suggest unfairness in the treatment of people.

3. "Certification" is used to employ more non-certificated administrative, professional, and technical employees, outside the classified civil service system, than the number (20) authorized by statute.

We are cognizant that personnel management is a subject of great interest to the unions representing teachers and educational officers. Some items are undoubtedly subject to collective bargaining agreement. Where particularly evident, we have noted such fact.

[1]Figures from DOE payroll as of September 1, 1972. Figures supplied to us in January 1973 differ substantially. For example, the January figures show 3,427 classified, civil service personnel. See our comments in chapter 22.

CHAPTER 22

PERSONNEL RECORDS MANAGEMENT

A key support element in the development of program plans, including plans for personnel programs, and in accounting for the use of personnel resources is the personnel records. Personnel records tell what employees are on board, where they are, what they are doing, how much pay they are receiving, what positions they had previously held, what training they have received, etc. The key role that personnel records play requires that such records be maintained properly and on a current basis such that information may be made readily available when the need arises.

Summary of Findings

Although the importance of properly maintained personnel records is self-evident, the DOE currently does not maintain records of its personnel in a manner which readily supplies information for decision-making in developing program plans or for accounting for the use of its personnel resources. What it has is simply a maze of files and listings of various kinds scattered over several offices. This maze of records may provide specific *data* but not in a form usable for program planning and accounting purposes. The lack of a proper record maintenance system made our audit of the personnel program extremely difficult.

A Myriad of Disjointed Records

Three operating units within the recruitment and employment branch in the office of personnel services–the records and transaction unit, the certification unit, and the employment unit–are vested with the responsibility for maintaining the personnel records of the department's certificated employees. Table 22.1 identifies and describes the various kinds of personnel files maintained by each unit. As noted in table 22.1, of the three units, the recruitment and transaction unit processes and maintains most of the working files.

Each of these varieties of files serves basically a single purpose and is maintained primarily for a specific, day-to-day operational purpose. No file is designed to serve a variety of purposes and for informational and accounting use. Thus, out of all of these different kinds of files, there is no pulling together of the varieties of data contained in the various files to form an informational base.

Because each file serves a single, specific operational purpose, many of the files maintained in the various units duplicate one another. Such duplication occurs even within the same unit. For example, the data contained on the master card file, the SF–5A document file, and the salary card file maintained in the records and transaction unit and the certification file maintained in the certification unit are duplicates of the data contained in the personnel document maintained in the records and transactions unit. In addition, the data contained in the certification file maintained by the certification unit are also contained in the salary card file kept by the records and transaction unit.

Further, the specific use to which some of these files are put raises serious questions about the worth of the efforts expended in maintaining them. For example, the various card files are used primarily for "quick reference" when inquiries are made by interested parties such as bank loan officers about specific employees.

Table 22.1

Types of Personnel Records Maintained by the Office of Personnel Services Recruitment and Employment Branch

Name of File or List	Data Document Description	Purpose of File or List
Records and Transactions Unit		
Personnel document file	A personnel folder of each certificated employee, including copies of certificates and SF–5A, evaluation, personnel action, and transaction forms.	Employee profile.
Master card file	Chronological record of assignment (location) including the date of assignment, salary, classification and service award record for each certificated employee. (File also includes inactive employees.) (File is updated manually on a yearly basis.)	Serves as a "quick reference" for tracing certificated employees.
SF–5A document file	A copy of each certificated employee's current SF–5A. (Filed by districts and schools, alphabetically.)	Serves as a reference file for the current school year. Used to input employment changes and to update IBM records.
SF–5A IBM file	Computer print-out of all information (including changes from previous year) contained on employee's SF–5A. (Eight copies of each employee's SF–5A printed at same time–one copy retained in the SF–5A document file.)	Print-out used as a basis for updating SF–5A's for next school year.
Salary card file	A card for each certificated employee on which is recorded name, school, social security number, type of certificate, pay class, monthly salary, and a cumulative tally of years of service. (Cards are updated manually on an annual basis and/or during the processing of personnel transactions that necessitate a change on the salary card.)	File serves as the control for auditing salary transactions recorded on SF–5A. History of employee's salary.
School list	List by name, position number and position title of regular assignment of personnel by school and district and by office at the state level. (Prepared in April of each year.)	Serves as the initial basis for issuance of notification of personnel action form SF–5A. Means of identifying persons and used as a reference for tracing vacancies.
Contractual services file	Independent Contract File (Form 15) (Contracts processed by calendar year.) Short-Term Appointment Agreement File (Form 133) (Short-term appointments by projects by calendar year.) Honorarium Service File (Honorarium service agreements by districts and offices by calendar year.) Memoranda of Agreement File (Memoranda of agreements processed in alphabetical order for each calendar year.)	Serves as a record of all contracts awarded by the department.
Card file for professional and sabbatical leave	Listing of all employees on professional and sabbatical leave including credits received.	Serves as the basis for determining whether employee (1) meets educational requirement for increment if on professional improvement leave and (2) if employee remains with department for at least two years after return from sabbatical leave.

Types on Personnel Records Maintained by the Office of Personnel Services, Recruitment and Employment Branch (continued)

Name of File or List	Data Document Description	Purpose of File or List
Change of name file	Name changes due to marriage or legal action.	Serves as a cross reference for identifying individuals.
Differential pay listing	Listing of teachers and other employees qualifying for differential pay by position; i.e., grade level chairmen and department heads.	Differential pay.
Certification Unit		
Correspondence and reports file	Board of Education minutes and all correspondence not related to individual employees; reports generated by office.	Reference file for correspondence (miscellaneous file).
Certification file Teachers EO's	A card for each employee filed in alphabetical order with the following information: college(s) attended and degrees conferred, with dates. Type of certificate held by employee.	Reference – summary of certificated records.
Form 16 file	Form 16 (Updated only upon request from teachers.)	Reclassification of teachers.
Employment Section		
Applicant file Document file	List of all applicants, recommendations, transcripts, applications for teaching or administrative positions.	Filing applications.
Advertisement file DOE advertisement	List of all educational officer positions and dates advertised.	
IBM applicant file by area of qualification	List of all eligible teachers by name, social security number, available dates, area desired, resident status, field of study. (Print-out once a week during the months of December, January, June, July, and August, and once a month during the remaining months.)	Summarizes application file.

Inadequacies of Records to Supply Information Illustrated

During the course of our audit, we sought certain fundamental kinds of information which one would normally expect the office of personnel services' recruitment and employment branch to be concerned with. Our requests were directed towards securing those kinds of information generally associated with deciding budget and manpower requirements. Specifically, in order to gain some perspective of the department's growth, we asked the recruitment and employment branch to furnish this office with the total number of educational officer positions for the fiscal years 1965–66 through 1971–72. We requested that the information include the number of filled and vacant positions, newly authorized vacant positions, and federal-funded positions.

Because the DOE's personnel records are kept in a myriad of files and lists, the branch was unable to provide us with an accurate and complete listing of positions for the years requested. It submitted two separate lists, each of which revealed different position counts.

In the absence of an accurate accounting by the DOE of its educational officer positions, for the purposes of this audit, we utilized the "list of positions" subsequently supplied to us by the branch. This list was based on the "school list," maintained by the records and transaction unit. The school list, however, is not entirely accurate. It is supposed to reflect the number of teachers by school and the number of educational officers by office for each school year. But, it may or may not reflect a true accounting of vacancies and new hires which occur during any year, and it does not reflect newly authorized vacant positions. The school list, although inadequate, is probably the only readily accessible document for identifying positions within the department.

Record-Keeping Orientation

The reason why the personnel records are kept in the manner they are is because of the orientation of the office of personnel services toward personnel record-keeping. This orientation is reflected in the response of the employment section of the office of personnel services to our question as to why the office has been unable to readily identify the number of EO positions within the department. The response was that records are maintained "to keep track of persons" rather than positions. What is meant by "keeping track of persons" is not entirely clear. However, it appears that data and records are currently being generated as end products rather than to serve as a means for generating the kind of information relevant for purposes of decision-making. All efforts of the units in the recruitment and employment branch appear to be concentrated in "keeping records" in the strictest sense. The purposes for which records are kept appear to be of little concern. The consequences of this approach are appalling. For example, it appears inconceivable that the department can forecast manpower requirements in its budget requests without knowing the number and types of vacant positions in existence. Forecasting without an adequate information base raises doubts about the requests which are included in the budget for education. In the absence of such an information base, it appears that manpower requests are made on some vague notions of "need" rather than on a rational basis.

The department's concern for record-keeping for its own sake has led not only to questionable decision-making, but also to practices which further confuse rather than clarify the department's personnel picture. For example, the department indiscriminately changes position numbers at will, such that position numbers have no significance in relation to a specific position; i.e., they are not "tied" either to a position or to an office. For instance, a position number of an existing position, if vacant, is often reassigned to another position with a different position title in another office, or assigned to an employee on sabbatical or professional improvement leave. Such practices make it extremely difficult to trace positions in the DOE.

Recommendation

We recommend that the department of education review its personnel records management, including the kinds of information which are being recorded and maintained, the purposes of the information, and the operational responsibilities of the various units in record-keeping. Such a review should be conducted for the purpose of:

- *Identifying the kinds of personnel information necessary for personnel planning, program planning, and accounting purposes, and designing records and procedures by which such information can be easily recorded and retrieved.*
- *Integrating records and record-keeping.*
- *Eliminating non-essential and duplicate information.*

CHAPTER 23

CLASSIFICATION

Classification means a systematic arrangement of jobs and positions into categories or groups according to similarities and dissimilarities in duties and qualification requirements. A classification system reduces to manageable proportions the variety of occupations and positions in an organization. It serves as the foundation for other aspects of the personnel program and assists the organization in carrying out its missions:

- It provides a rational basis upon which an equitable and logical pay plan may be built.
- It defines job duties against which performance may be evaluated.
- It furnishes information upon which training programs may be formulated.
- It provides a systematic view of promotional opportunities.
- It clarifies the relationship of one position to another.
- It establishes uniform job terminology.
- It assists in identifying organization problems such as duplication and inconsistency of work.

A classification system generally consists of three components:

- A job description for each position
- A statement of the minimum qualifications required for each position
- A grouping of positions into classes

Summary of Findings

Despite legislative prodding and DOE plans, the department of education has yet to come up with a meaningful classification system for both teachers and educational officers. The system under which it is currently operating is many years old and in essence is no system at all. The lack of a meaningful system is a primary cause of the department's difficulties in other areas of its personnel program (note the findings in subsequent chapters). Most disturbing, there is currently very little activity devoted to the establishment of a meaningful classification system and no clear and definite plan or commitment to its development.

Specifically, we find that currently:

1. A job description is lacking for each position.

2. Statements of minimum qualifications for the various positions are inadequate.

3. Positions are not logically and meaningfully grouped into classes.

Lack of a Classification System

Statute. HRS, chapter 297 (the State's compensation statute for the department of education), recognizes three broad categories of people within the department of education: teachers, educational officers, and educational assistants. The teacher category is broken down into seven "classes," according to years of education and college degrees earned. There are

22 "classes" of educational officers, to-wit: one class each of assistant superintendents, state program directors, state program administrators/psychologists, and district staff specialists; two classes each of district superintendents, deputy district superintendents, vice-principals, state program specialists, state staff specialists, and curriculum specialists; and six classes of principals. Principals and vice-principals are classified according to pupil enrollment. Educational assistants are made subject to the State civil service laws.

1. Educational officers. Teachers, principals, and vice-principals have traditionally been "classified" in the State's compensation statute. However, educational officers, other than principals and vice-principals, were not classified and their pay not determined by statute until 1962. Until then, the statute expressly left it to the board of education to determine the classification and pay of these officers. In 1962, through Act 28, the legislature established a statutory salary schedule for educational officers and assigned each of the various educational officer positions then existing in the department to a salary range. Subsequent legislations have made no substantial change in the practice of designating educational officer positions to salary ranges, except to conform position titles to those actually being used by the department of education.

At first glance, Act 28, SLH 1962, appears to have attempted to classify educational officers in the traditional sense, for one of the new subsections added by the act to the then RLH 1955, section 38–30 (currently, HRS, section 297–31), began with the clause, "Classification of educational officers shall be as follows: . . . ." However, what followed was not a specification of the classes of educational officers, but a definition of what an educational officer is and the educational qualifications which must be possessed by an educational officer:

> "Educational officers shall include teaching principals, vice-principals and professional officers and employees in the state and district offices of the department of education. Educational officers shall (i) meet the requirements for admission to Class III [teachers]; (ii) have twenty additional credits beyond the credits required for admission to Class III; and (iii) have a minimum of five years of teaching experience; . . . ."

Indeed, Act 174, SLH 1965, recognized that the statute itself was not "classifying" educational officers and amended the above-quoted subsection inserted by Act 28 to read as follows:

> "Educational officers shall be classified according to their duties and responsibilities and shall meet such requirements as may be determined by the department." [HRS sec. 297–31(e)]

A committee report supporting Act 174 makes it abundantly clear that what was intended by this amendment was to require the department of education to establish a classification system for educational officers and that the classification system was to be based on duties and responsibilities.

2. Teachers. HRS, chapter 297's "classification" of teachers, like that for educational officers, is not a true classification. The only criterion for the seven "classes" of teachers is years of education and college degrees earned. It says nothing about what teachers do. In recent years, teachers have filled a variety of positions other than teaching and other than those reserved for educational officers.

In summary, then, the classification of educational employees in the compensation statute is not "classification" in the usual sense. The statutory "classification" is simply the assignment of existing and known educational employee positions by position titles to salary ranges. It serves no purpose other than to specify the compensation to be received by persons occupying those positions.

Need for a classification plan. The need to review the existing system and to develop a meaningful classification system for both educational officers and teachers was brought sharply into focus in September 1968 by a

special ad hoc committee created by the department of education in February of that year. That committee studied the department's classification system and compensation plan and recommended a reorientation of the system and plan to recognize differences in relative values of work and different rates of compensation appropriate for work performed. Pursuant to the recommendation of this special ad hoc committee, the legislature in 1969 adopted House Concurrent Resolution No. 7, requesting the board of education to formulate plans for the reorientation of the existing classification system and compensation plan "toward adequate position descriptions and evaluations so that salary in the main can reflect position, duties, and responsibilities rather than years of training and service and additional credits earned . . . ." The resolution directed the board to submit a report on its findings and recommendations to the legislature at its 1971 session.

During this same period, the DOE was also preparing the *Master Plan for Public Education in Hawaii,* commonly called the *Master Plan*. This document, issued in September 1969, was intended to represent "only a first step in the planning process,"[1] "a prelude to action and progress."[2] In a section on educational support, a subsection was devoted to personnel development. Among the four major commitments and recommendations contained in this subsection was the following:[3]

> "This school system will prepare and maintain a salary schedule and classification system which are based on an estimate of the value of each position to the accomplishment of the purposes of the department.
>
> "Recommendation: The department should actively support the effort now underway to adjust its classification and compensation plans in accordance with the recommendations of the ad hoc salary study committee (September 1968). The ad hoc committee has already evaluated the existing salary and compensation plans of the department, and, in addition, has proposed several principles to reconstruct the plans now in use."

Classification studies. Since the adoption of HCR 7, two major classification studies were undertaken by the DOE: the Jacobs study and the NEPA study.

*1. **Jacobs study.*** In May 1969, in partial response to HCR 7, the board of education entered into a contract with the Jacobs Company to carry out a classification and salary study of educational officers, department heads, and grade-level chairmen. In October 1969, the study was completed.[4] Among other things, the study made specific recommendations as to:

- the number and kinds of classes to be included in a classification plan for educational officers, department heads, and grade-level chairmen;
- the specifications for each class, including the minimum qualifications required;
- the compensation schedule; and
- a performance evaluation program based on performance.

The ad hoc committee appointed by the board of education to monitor the work of the Jacobs Company generally endorsed the results of the Jacobs study.[5] However, the ad hoc committee recommended, among other things, that action covering the classification of grade-level chairmen and department heads be

[1]Hawaii Department of Education, *Master Plan for Public Education in Hawaii,* September 1969, p. ii.

[2]*Ibid.*, p. v.

[3]*Ibid.*, pp. 74, 76.

[4]The Jacobs Company, Inc., *The Hawaii Department of Education: Report on the Classification and Salary Study of Educational Officer Positions and Related Matters,* October 1969.

[5]*Tentative Report of the Ad Hoc Classification, Compensation and Performance Evaluation Committee to the Board of Education, Department of Education,* December 1969.

deferred "until such time as the department has completed its review of the organizational structure which should exist at the school level" and that the board ask the superintendent to engage a consultant to undertake, "as soon as practicable," a classification and compensation study covering "all other certificated positions [teachers]" in the DOE. The ad hoc committee further recommended that the board of education propose to the legislature the passage of a bill authorizing the DOE to classify educational officers, including "assistant superintendents, district superintendents, complex managers, principals, vice-principals, other certificated professional employees, *except teachers*, in the state and district offices of the department, and non-certificated administrative, professional, and technical personnel of the department not in the classified service." (Emphasis supplied) At its meeting on February 5, 1970, the board of education upon the urging of the superintendent, accepted the Jacobs study and the report of the ad hoc committee.[6]

The DOE submitted to the legislature at its 1970 session a bill to authorize the DOE to classify *all* certificated employees of the department, *including* teachers. This, despite the fact that the Jacobs study did not include all teachers and the recommendations of the ad hoc committee and the action of the board at its February 5, 1970 meeting were to exclude teachers from the bill.[7] The 1970 legislature did not pass the bill. It appears that one of the overriding reasons for the non-passage of the bill was the fact that the Jacobs study did not cover teachers.

2. ***NEPA study.*** In July 1970, pursuant to the recommendation of the ad hoc committee on the Jacobs study, the DOE contracted with the National Educational Planning Associates (NEPA) of California to study and propose a classification and compensation plan for teachers. The NEPA study was completed in November 1970.[8] The study recommended a classification and compensation plan based on responsibility levels, currency of training, academic credits, length of service, etc. The board of education accepted the NEPA report at its meeting on December 17, 1970, and asked the superintendent to:[9]

- utilize whatever recommendations in the study as would be useful in fulfilling the legislative mandate of House Concurrent Resolution No. 7, 1969 session;
- prepare an administration bill for a classification plan based on the new concepts included in the NEPA report; and
- implement, as possible (legislation, funding, and staff permitting), beginning in September 1971.

By March of 1971, however, teacher groups had voiced strong disapproval of the NEPA plan. At a meeting of the board of education on March 18, 1971, the chairman of the ad hoc committee, appointed by the board to study the recommendations of the consultants, said that the report was just a study and [the board] "has no intention of bulldozing it into reality."[10]

Current status of development of classification plan. Since the Jacobs and NEPA studies, there has been very little activity in the DOE toward the development of a classification plan for educational officers and teachers. Moreover, it appears that no serious efforts are currently contemplated.

Responsibility for the administration and maintenance of the department's classification and compensation program are lodged in the office of personnel services in general, and in the personnel relations, welfare, and benefits branch

[6]DOE, board of education minutes, February 5, 1970.

[7]At the February 5, 1970 meeting, the board defeated a move on the part of a board member to delete the words, "educational officers," and to insert "certificated personnel."

[8]National Educational Planning Associates in association with The Consulting Organization, *The Hawaii Plan: Design For A Comprehensive Personnel Plan and System*, 1971.

[9]DOE, board of education minutes, December 17, 1970.

[10]DOE, board of education minutes, March 18, 1971.

in particular. A manual developed for the use of the branch contains but a general description of the classification program for the DOE and states that plans to accomplish the programs are to be finalized at a later date. However, presently, the DOE has no time frame for the completion of such plans. In addition, only one person is presently specifically assigned to classification plans and program.

In the absence of a new classification system, the DOE continues to rely on the "classification" set forth in the compensation statute. The specific deficiencies of the existing "system" are noted in the remainder of this chapter.

Recommendation. *We recommend that the board of education direct the department of education to develop a new classification system for educational officers and teachers and inform the department of a firm deadline for the submission of its proposed system.*

Lack of Position Descriptions

A sound classification system is necessarily based on the existence of accurate position descriptions for every job in the organization. Accurate and complete position descriptions, based on analysis, provide the "raw material" from which to build a classification system. If adequate position descriptions are available for every job, like positions may be identified and grouped into classes, relationships between positions may be established, the hierarchy of the organization may be laid out, salary ranges may be fairly established, and the minimum qualifications for each position may uniformly and logically be established.

Our examination of DOE's records shows that the department in general and the office of personnel services in particular do not maintain official position descriptions for every teacher and educational officer position in the department. What descriptions as may exist are unofficial, do not cover all positions, and are grossly inadequate.

Lack of position descriptions for EO's There are within the DOE over 661 educational officer positions. However, there is no official position description for any of them. What exist are a variety of documents, scattered throughout the department. These documents purport to describe the duties and responsibilities of positions, but the descriptions contained in them are not official. Moreover, these documents do not exist for all positions, for they are generated only as need for some personnel action arises. Included among these documents are:

- vacancy announcements,
- position request justifications, and
- responses to the Jacobs survey of DOE's personnel roles and functions.

As descriptions of positions, these documents are grossly inadequate. They are so inadequate that they cannot serve as the basis upon which a classification system can be built. Among others, the deficiencies include the following:

- The scope of the work performed, the amount of independent judgment exercised, the degree of difficulty of the work, and the amount of supervision and guidance given and received, are either vaguely stated or not expressed at all.
- Significantly different minimum qualifications are required for positions which are identical in scope, responsibilities, degree of difficulty, title, etc.
- Identical titles and descriptions of the scope of responsibilities are assigned to positions which do significantly different work.
- Position descriptions do not accurately reflect the kinds of work performed by the incumbents.
- The format of the position descriptions varies, making it difficult to compare positions, to group them, and to classify them.

Lack of position descriptions for teachers. Unlike perhaps in the past, today not all teachers perform work which consists exclusively of teaching. Within the DOE, there are counselors, TV teachers, beginning teacher supervisors, liaison teachers, traveling teachers, visiting teachers, resource teachers, Art Academy and Bishop Museum teachers, diagnostic teachers, classroom teachers, and a host of other kinds of teachers who perform significantly different work, with different teaching requirements, different creative, administrative, and supervisory responsibilities, and different degrees of difficulty (see section below on classes). These varieties of teaching positions have been created in recent years as new programs and new teaching methodologies have been implemented. However, there are no position descriptions to distinguish each of these various kinds of positions. There are no clear statements for any of them as to the content of the job, the nature and purpose of the work, the major duties being performed, the supervision and guidance received and exercised, and the extent to which independent judgment is exercised.

Recommendation. *We recommend that the department of education develop official position descriptions for each educational officer and teacher position. Such official position descriptions should be developed upon an analysis of the value of the position to meet the educational objectives of the department.*

Inadequate Minimum Qualification Requirements

Minimum qualification requirements are intended to identify the minimum training and experience needed to perform the work of a position successfully. Minimum qualifications should support the classification system by systematically requiring progressively more training and experience as one moves up the career ladder. Used properly, minimum qualifications support other personnel administration programs such as promotion, training, evaluation, and recruitment.

The DOE has yet to establish official minimum qualification requirements for each position. None exists for the various kinds of teaching positions, not even unofficial ones. For educational officers, as in the case of position descriptions, minimum qualifications are specified only as such specifications are required for some personnel action (e.g., to request creation of a position; to announce position vacancy; and to solicit applications to fill the vacancy). But even these are grossly inadequate.

Invalid minimum qualifications. The training and experience specified as minimum qualification requirements in requests for the creation of positions or in announcements of position vacancies are often unrelated to the work required to be performed. This is particularly true in the areas of business, accounting, facilities, and personnel, although it also occurs in other areas. In a vast majority of cases, the DOE either specifies an academic degree in the field of education and teaching experience or a teaching certificate as the minimum qualification standard or permits a degree in education and teaching experience to be substituted even though the nature of the work to be performed calls for knowledge, skills, and experience quite different from those for teaching. Note the following examples taken randomly from a vast array of position justification statements and position vacancy announcements:

Case No. 1

Position. Staff specialist I, office of personnel services, welfare and benefits branch.

Duties. Perform a full range of activities in providing technical and administrative services in all personnel areas—recruitment and employment, career management and development, personnel relations, welfare and benefits, classified personnel. Assist in planning and conducting systematic and continuous studies of departmental and state policies, rules, procedures, and regulations to analyze, identify, and recommend areas for improvement and revision. Specifically, concentrate on duties regarding internal information dissemination and be responsible for the composition, editing, evaluating, publishing, and updating of

departmental policies, practices, and procedures.

Minimum qualifications. Master's degree, or five years of equivalent college or university education and three years of teaching experience or equivalent work experience.

Case No. 2

Position. Staff specialist II, office of business services.

Duties. Plan, organize, and supervise the administrative business functions of the payroll section; be responsible for all business activities of the payroll section; issue periodic reports on disbursement and other related fiscal matters; provide guidelines and technical assistance to schools and other offices for their preparation of payroll reporting; supervise and coordinate all activities in payroll matters; advise personnel at all levels on problems, policies, regulations, and procedures in the area of payroll administration.

Minimum qualifications. Department of education professional teacher certificate plus 20 additional graduate credits beyond the credits required for the professional certificate; Master's degree or equivalent, with concentrations in school or public administration with courses in business administration desirable; five years of educational experience, minimum of one year of school and/or business administration experience.

Case No. 3

Position. Staff specialist II, facilities, office of business services.

Duties. Establish statewide design concepts and criteria, site selection, and land area requirements and develop long-range goals for physical facilities; maintain a close-working relationship with the curriculum program planners and implementors to review and update the educational specifications to accommodate changing educational requirements; review and evaluate proposed changes in school organizational structures in terms of land requirements, construction costs, traffic problems, and facilities requirements; serve as the department's liaison in all matters pertaining to land acquisition; work with curriculum planners, etc., in translating space requirements into an architectural program; review and evaluate alternative designs in terms of economies in construction and maintenance, efficiency of operations, and aesthetics.

Minimum qualifications. Graduate in architecture, engineering, planning, or education from an accredited college or university, with a certification of registration as an engineer or architect or with a Master's degree in education or planning; five years of engineering, architectural or planning experience of which one year has been as a registered engineer or architect, or two years in a responsible capacity as a planner, two years of educational experience and certified administrator in the department of education with competent knowledge in school planning. Professional experience in project management, facility planning, and long-range planning may be substituted for professional training described above on a year-for-year basis.

Case No. 4

Position. Administrator, office of business services, accounting branch.

Duties. Manage and direct staff on matters pertaining to administration of procurement contracts, other negotiated purchases and computing stockage requirements for DOE storeroom supplies; manage and direct the staff on matters pertaining to the

administration of the state fleet insurance program and the management of all state-owned vehicles, processing of all tort claims against the department, processing of lease agreements between the department and real estate firms, and administration of the student accident insurance program; manage and direct the staff on the establishment of equipment standards and adequate controls to ensure that departmental resources are effectively utilized and expended; manage and direct the operation of a central mailroom; manage the DOE storeroom; act as principal advisor to the director, accounting branch, on purchasing, contracts, inventory management, and disposal and transfer procedures and, as such, maintain a high degree of knowledge of current commercial market conditions.

Minimum qualifications. Bachelor's degree in business administration, education, public administration, or in the social sciences from an accredited college or university; ten years experience in business administration, educational administration, property management, procurement, or related work. Professional experience in administrative or management work in the above experience categories may be substituted for professional training described on a year-for-year basis.

The foregoing practice has resulted in the appointment of people, although perhaps well-qualified in the field of education, to positions where their training and experience were less than adequate for the work required to be performed. The pervasiveness of educators filling essentially non-educational positions may be gleaned when one considers that 16 of the 25 educational officer positions in the office of personnel services and 5 of the 20 educational officer positions (including positions in the facilities branch) in the office of business services are filled by educators. The following are some typical examples.

- The acting director of the career management and development branch, office of personnel services, has an impressive background as an educational administrator in the DOE; however, he has no previous training or experience in career management.

- The administrator of the personnel, welfare and benefits section, office personnel services, has spent four months as a specialist in the section before becoming an administrator. His employment and educational history shows no experience in the area of employee welfare and benefits prior to his serving as a specialist.

- A staff specialist in the personnel relations, welfare and benefits branch, welfare and benefits section, office of personnel services has had no experience in *any* personnel management area prior to his appointment. He was a DOE media specialist before acquiring his current position.

- A staff specialist in the personnel relations, welfare and benefits branch, personnel relations section, office of personnel services, was a beginning teacher supervisor in a school immediately before she obtained a summer fellowship to work in the personnel relations, welfare, and benefits branch. She was hired immediately after the completion of the fellowship as a staff specialist II. She has had no other personnel management experience.

- A staff specialist in the classified employees branch, office of personnel services, has had no experience in personnel management, much less specifically in the personnel management of classified employees, except for his participation in the administrative intern program.

- A staff specialist in the career management and development branch, classified employee training section, office of personnel services, has had

no prior experience in the personnel management area. He was a school administrator before assuming the specialist position.

Indeed, our examination of the duties and responsibilities of the personnel, business, and facilities, and educational officer positions revealed that, except for two instances where educational experience may be desirable, there is no valid reason to use training and experience in the field of education as a minimum qualification standard or to allow them as substitutes for training and experience in personnel, business, and facilities. Inasmuch as personnel, business, and facilities management functions are technical rather than educational in nature, it is the technical training and experience that are crucial for personnel, business, and facilities positions. The argument that the DOE's personnel, business, and facilities systems are unique to the department is weak in light of the fact that (1) the extent of the need for knowledge of educational programs by business and personnel specialists is no greater than that expected of staff personnel in other State departments whose employees are under the classified civil service system or of personnel in the departments of personnel services and accounting and general services who handle all the departments; (2) the ministration of certain activities such as employee welfare and benefits, the processing of applications for employment, employees' promotion, pay, leaves, etc., is common to all State departments; and (3), as previously discussed, the purpose of minimum qualification standards is to assure that persons employed will possess the minimum skills to do the work assigned. The employment of educational officers with limited, and sometimes inadequate, training and experience in personnel, business, and facilities management but with educational experience, provides little assurance that they will adequately perform the work required.

Stating minimum qualifications by "classes." Minimum qualification requirements have sometimes been stated for a "class" as a whole, rather than for the varying positions within that class. Case No. 3 above is an example of this. There, a minimum qualification requirement was stated for several staff specialist II positions in the facilities branch of the office of business services. Such blanket statements are, of course, inappropriate, unless every position in the "class" performs the same kind of work. In Case No. 3, the various positions do not perform identical work. One position is filled by an architect who does architectural work for the department, such as designing classroom buildings and translating educational program needs into architectural concepts, and another position is filled by a professional planner, who is concerned with planning for future facilities. The work of these two positions are markedly different from one another and they in turn differ from the work of other positions in this class of staff specialist II. A statement covering several positions in a "class" cannot thus serve as a minimum standard by which to assure that individual employees will possess a minimum level of competency to perform the work required of a position included in the "class."

Overspecification of minimum qualifications. The minimum qualification requirements stated for some positions appear to be excessive. Consider Case No. 2 above. There, for the position of staff specialist II in the payroll section of the business office, the minimum qualifications are stated to be a DOE professional teacher certificate plus 20 additional graduate credits beyond the credits required for the professional certificate and five years of educational experience, with one year of it in school and/or business administration. It is further stated that a Master's degree or its equivalent, with concentrations in school or public administration and with courses in business administration is desirable.

An examination of the work performed by this position revealed that any person with payroll or business training or experience should be able to qualify for the job. We compared the actual work performed by this position with that performed by a civil service position—that of a pre-audit clerk in the vouchering section of the DOE's business office. Both positions appeared to have almost similar duties and functions. Both perform supervisory functions as heads of units. Although the unit which each heads may have its own unique problems, the functions of the two units are generally similar or comparable in terms of workload and difficulty. Both units are involved with payment of funds and the work is relatively routine and

clerical in nature. Both positions spend about 40 percent of their time handling inquiries about their respective units. Although the work appears to be the same, for the position of the pre-audit clerk in the vouchering section, the training qualifications make no mention of any educational requirements in terms of schooling. Note that the staff specialist II in the payroll section commands pay the equivalent of an SR–25, while the pre-audit clerk in the vouchering section is paid at an SR-15 rate.

Inconsistent application of minimum qualifications. One of the evils of the current system of no official minimum qualification requirements and of establishing one as a personnel action need arises is that minimum qualification requirements can be designed to fit the person the DOE desires to hire, although the nature of the work required remains the same. The overspecification of the minimum qualifications required in Case No. 2 above may well have occurred because of the desire to hire a particular person the DOE had in mind. Thus, the minimum qualification specification may have been designed to fit the actual qualifications possessed by that person. At least such suspicions are raised since the DOE engages in the practice of specifying differing minimum qualification requirements in announcements of vacancies for positions which essentially perform the same or comparable kinds of work and require the same or comparable levels of skills, knowledge, and experience.

Table 23.1 contains examples. As noted in the table, in the office of personnel services, announcements were made of vacancies in staff specialist II positions during the year 1971. All of these positions perform similar or comparable kinds of work and require similar levels of skills, knowledge, and experience. Yet, as the table shows, for each announcement, a different set of minimum qualifications were specified. The educational requirements fluctuated from a *required* BA to a *requested* MA, to a *required* MA, and the experience requirement ranged from an unspecified number of years to one year of experience. Note, too, the incongruity in the case of an announcement of a vacancy in a staff specialist I position in June 1971. For this position, the minimum experience requirement was greater than that for a staff specialist II position (which is higher in rank than the staff

Table 23.1

Variations in Education and Experience Requirements For Staff Specialists

Title	Salary Range	Announcement Date	Requirements	
			Education	Experience
Staff Specialist II	EO6	2/11/71	*Should have MA* or equivalent with concentration in public or personnel administration	Must have personnel work experience with administrative and supervisory responsibilities in the area of position classification and compensation
Staff Specialist II	EO6	8/5/71	*Must have MA* or equivalent with concentration in school, public or personnel administration	Must have class teaching experience, have extensive background in all phases of personnel administration, emphasis in the area of career management and development
Staff Specialist II	EO6	8/26/71	Must possess *BA* with concentration in school, public or personnel administration	Must have 1 year experience in area of personnel relations
Staff Specialist I	EO5	6/10/71	Must possess BA with courses in business *and* personnel administration and a wide range of courses in social sciences and humanities	At least 2 years of experience in personnel administration, manpower justification reporting or management analysis

specialist I position) announced in August 1971, although the educational degree requirement was the same.

Minimum qualifications characterized by such inconsistencies are of no value. Further, all requirements should be real minimum qualification standards and not simply desired qualifications. In addition, they should be logically established so that the minimum requirements are commensurate with the level of the position within a class.

Tentative minimum qualifications. In October 1971, the DOE issued a document entitled, *Tentative Minimum Requirements for Department of Education Educational Officers.*[11] This document was put together because of an expectation in the HGEA contract with the DOE, covering educational officers, that the DOE would establish and supply to HGEA minimum qualifications for all educational officers before the execution of the labor contract.[12]

The *Tentative Minimum Requirements* are, as the title indicates, tentative and not final. No further action on this *Tentative Minimum Requirements* has been taken since its issuance in October 1971. However, the following observation about this document is in order. The establishment of the tentative minimum requirements for each position was not the product of job analysis. Rather, it was formulated perfunctorily to meet the conditions of the labor contract. What the DOE did was simply to state as minimum qualification requirements for each position those training and experience qualifications then possessed by the incumbent. No analysis was made to determine in specific terms the kind of education and work experience actually necessary for the positions. No attempt was made to ensure that the minimum qualifications established were in fact valid and job-related. Consequently, the tentative minimum qualifications are inadequate.

Recommendations. *We recommend that*

1. Official minimum qualification requirements be established for each position.

2. Minimum qualification requirements be job-related.

3. Minimum qualification requirements be consistently applied.

Inadequate Classes

A class is a group of positions sufficiently alike in respect to duties and responsibilities to justify common treatment in the various employment processes and sufficiently different from positions of other classes to justify different treatment in one or more respects. A class may consist of only one position where there are no others of the same kind. To each class is assigned a distinguishing title. A class is created by first describing every job in the organization, then identifying the occupational groups (e.g., attorneys, accountants) to which the individual job descriptions may be distributed, and then breaking down each occupational group into levels or zones of difficulty.

The statute lists 22 educational officer and seven teacher classes. We find the use of these 29 classes by the DOE to be inadequate in the following respects.

Lack organizational parallelism. The DOE's method of classifying EO's lacks organizational parallelism. Organizational parallelism refers to the concept of establishing classes and class titles according to the place a

[11] Dated October 29, 1971.

[12] Article XI, section 5, of the agreement between the Hawaii State Board of Education and HGEA, dated October 29, 1971, provides, "The educational officer must meet the minimum qualification requirements for the position in which he is to be placed. The minimum qualification requirement for all educational officer positions will be established and supplied to the Union no later than on the execution date of the agreement." Note, that article XIX of the agreement states that "the parties discussed and failed to resolve the Union's demand relating to classification problems of educational officers covered by this agreement. The Union is free to invoke the procedures provided by law for the resolution of a dispute which has reached an impasse in collective bargaining, with the right to strike at the end thereof in accordance with the provisions of Chapter 89, Hawaii Revised Statutes." The meaning of this article is not clear. Perhaps this article is simply a recognition that the DOE has come up with only "tentative" minimum qualification statements which are still subject to change by the board of education.

position holds in the organization. Thus, in the state office of the DOE, heads of branches are directors and heads of sections are administrators. According to an interview with the acting director of the personnel relations, welfare, and benefits branch, the DOE uses the concept of organizational parallelism when classifying 12-month EO's. Yet, we found directors with no real branches to direct and administrators with no sections to administer. Examples follow.

1. *Directors not directing:*

   - The director of federal programs has no branch to manage. He serves primarily in a staff capacity for federal programs in the department with such functions as providing technical assistance to others who are directly involved in specific federal programs, providing guidelines to federal programs, preparing and reviewing reports and proposals, and coordinating a variety of activities of federal programs. His staff consists of one stenographer.

   - The position of director of administrative services was originally created to handle business and budget matters in the OIS. However, since there is no administrative services branch, the director has no formal unit to manage and has a staff consisting of one staff specialist.

2. *Administrators not administering:*

   - The administrator of the DOE family court works alone. He has no supervisory responsibilities, no staff, and no section to administer.

   - The administrator in the planning services branch in the office of research and planning has no section. His primary function has been to do research or conduct studies.

   - The two administrators in the budget services branch in the office of research and planning function primarily as budget analysts in collating and preparing the department budget. They have no sections to manage.

   - The two administrators in the management services branch in the office of research and planning function as management analysts. They also have no responsibility for sections and no staff to supervise.

Thus, we find that, although the DOE professes to classify EO's according to the concept of organizational parallelism, organizational parallelism does not exist.

Like positions not classed together. A major consideration in forming a class is that positions sufficiently alike in duties and responsibilities are grouped together into the same class. Within the DOE, we find that duties and responsibilities of some positions are identical but classed differently. Most notable are the following.

Teachers—educational officers. The duties and responsibilities of some teaching positions are akin to the duties and responsibilities of certain educational officer positions, but the positions are classified differently.

- Two teachers, called Title I coordinators, in the central and leeward districts, do substantially the same work as those educational officers called compensatory education curriculum specialists in the windward and Honolulu districts.

- A traveling music teacher position was initiated in 1967 in the windward district as a district music resource teacher for the Castle complex to assist the schools in assessing and

setting up a music program, to assist individual teachers in developing lesson plans, to conduct demonstration classes and workshops, and to evaluate the program. This current year, the traveling music teacher's emphasis has shifted from direct classroom and individual teacher assistance to administration and assistance to teachers collectively. Thus, this music teacher compiles and prepares guides and other resource materials for use by teachers generally and has special music programs to coordinate. Thus, the nature and scope of work of this teacher are now identical to those of some district curriculum specialists who are educational officers.

While classed as a teacher, the ESEA Title I coordinator in the leeward district coordinates all Title I activities within the district which consist of 15 school projects, one district project, and six summer projects. Duties attendant to the position are: write-up of project proposals and keeping accounts of personnel, materials, and supplies of the projects; preparing reports; attending meetings; assisting projects in various ways; etc. His activities are similar to those of the district curriculum specialist for compensatory education and also the central district Title I coordinator, both of whom are educational officers. During the summers, he has a special contract to continue his work.

The TESOL coordinator in the leeward district provides functional supervision to five TESOL teachers in the leeward district as well as providing consultant services to teachers and school administrators having TESOL students. Like a curriculum specialist, she also prepares or assists in the preparation of TESOL guides, materials, and reports.

The teacher-coordinator, Title VI, special education projects section, works with certain federal projects in special education. Most of his time is spent in gathering data for report purposes, providing consultation services, and coordinating work with certain district curriculum specialists and special schools, and attending meetings. An attempt was made to get the position reclassified as an educational officer position but this did not materialize.

A visiting teacher in the special education projects section has spent most of her time on the writing of a guide entitled, "State Plan for Special Services Team." She performs other tasks such as developing data-gathering forms, assisting in legislative report preparation, and attending various inter-unit or agency meetings. It was indicated that attempts are being made to create a program specialist position involving some of the tasks she now performs.

A teacher in the special education programs section at the state office spent most of his time with program specialists in the development of guidelines and standards for special education. He was the coordinator of phase I which involved writing-up the report from parts turned in by other program specialists and he reviewed other documents generated internally by program specialists.

A teacher/planner is a member of a curriculum development team in the curriculum development and technology branch of the office of instructional services. The team is developing a curriculum for unsuccessful teachers. This is the first year of a three-year project. Her time is spent in writing, reading, research, and conceptualizing, and doing what other curriculum specialists do. We note that, according to the director of the curriculum development and technology branch, curriculum specialists and teachers may perform similar kinds of work at the branch except that curriculum specialists are

generally "senior" planners, and teachers, "junior." However, he indicated that there are teachers functioning as senior planners due to their competency.

Teachers—civil servants. The duties and responsibilities of some teaching positions and certain classified civil service positions are identical, yet, the positions are treated differently.

- The social work functions of diagnostic teams in districts and school complexes are being performed by both social workers, who are under the State's civil service classification system, and by visiting teachers who are under the DOE teacher classification system. According to our interviews, the only substantive difference between the work of the social workers and the visiting teachers is that the social workers handle "more serious" cases than do the teachers. Yet, we find that, since the visiting teachers are classified as teachers, they work seven hours per day, nine months of the year, while the social workers work eight hours per day, all year. We also note that the social workers are classed at the SR—21 level (SW IV), while visiting teachers may be classed higher or lower than the social workers at whatever level they qualify.

- A teacher in the central district media assist center has the primary task of assisting teachers in the preparation of instructional materials. However, one-half of his time is devoted to the production of photographic material. This function is similar to the work performed by a classified employee in the curriculum development and technology branch whose job title is "illustrator—graphics preparation."

Educational officers—civil servants. Some educational officers perform the same duties and responsibilities as classified civil servants. For example:

- A staff specialist II supervises a payroll unit while a pre-audit clerk II (SR—15) supervises a vouchering unit in the same branch. Hence, although the duties and responsibilities of the two units are substantially alike, one position is occupied by a classified employee and the other by an educational officer. It should be noted that the staff specialist II position was originally a classified position parallel with the pre-audit clerk position. It should also be noted that the pre-audit clerk is classed at the SR—15 level while the staff specialist II is rated at the DOESR 6 level which is equivalent to an SR—25.

- The functions and responsibilities of a staff specialist II and an accountant V, SR—24, in the accounting section of the office of business services are the same. In fact, the operational workload and supervisory responsibilities of the section are divided between these two individuals.

Different positions classed together. Not only are like positions not classified together, but the converse also exists—that is, unlike positions are grouped together.

1. ***Educational officers.*** The lowest level of educational officers, in terms of rank, is the "specialist." Specialists are distinguished in terms of where they work. Those in the office of instructional services at the state office are known as "program specialists," those concerned with curriculum in the district offices are called "curriculum specialists," and all others in other organizational units at the state and district offices are titled, "staff specialists." However, each of these terms, "program specialists," "curriculum specialists," and "staff specialists," encompass positions which are not the same in terms of duties and responsibilities. Note the following.

a. ***Program specialists.*** The largest block of positions included in this class are those concerned with various aspects of the school curriculum. But, it also includes such positions

as those whose primary work is serving, for example, as the executive secretary of the Oahu Interscholastic Association.

b. Staff specialists. Indiscriminately mixed in this class are those positions whose duties and responsibilities are substantially different. It includes such diverse positions as accounting, architecture, and planning.

2. Teachers. All teachers are presently classified together. The compensation statute distinguishes teachers only in terms of years of education, college degrees, and credits earned. These criteria tell nothing about the duties and responsibilities of the various classes of teachers. They assume that all teachers perform the same duties and discharge the same responsibilities. Perhaps such an assumption was warranted many years ago. However, in recent times, teachers have been assigned to duties and responsibilities for other than classroom teaching, warranting, perhaps, new or different classes. We have noted some of these in the section above. Other examples of the differing kinds of duties and responsibilities being assumed by teachers are the following:

- A Bishop Museum liaison teacher in the Honolulu district (a) schedules public and private school visits to the Bishop Museum, (b) lectures and demonstrates to visiting classes or acts as resource to the teachers, and (c) does research of materials sent to teachers.

- An Academy of Arts liaison teacher in the Honolulu district (a) conducts classes and tours of the academy by public school children, (b) conducts workshops for art teachers, (c) handles special art projects for the Honolulu district, and (d) does other work for the academy as a member of its staff. She works directly with the academy staff, with little supervision from the district.

- Two language arts TV teachers develop TV programs in language arts by (a) researching and planning for the series, (b) writing the scripts for the series, and (c) producing and editing the films. They also determine the materials and talent needed for the program and arrange for their availability at time of production.

Provisional classes. There are two classes of program, curriculum, and staff specialists: class I and class II. Theoretically, classes I and II constitute the "class series" for program, curriculum, and staff specialists. A "class series" is a group of classes similar as to subject matter of work, but differing in level of difficulty, responsibility and qualifications required. In practice, however, the class I category is not a true class within a series. It is not a permanent class in the sense that one enters the class series by filling a position at the first class level and then be promoted, as a vacancy occurs, to fill another position at the class II level. In most instances, the class I category is used primarily for entry into the specialist class as a whole. When a person cannot be found to fill a class II position, the DOE downgrades the position to a class I position. A year after, or sooner, the position is reclassified to a class II position and the class I employee automatically becomes a specialist II. Thus, the class I category in most instances serves only as a provisional entry class for educational and staff specialists.

Recommendation. *We recommend that the department of education revise or develop new classes for teachers and educational officers to correct the deficiencies noted. In particular, we recommend that the new classes treat each position in a comparable manner, to-wit:*

1. Make positions of similar class and title organizationally parallel.

2. Group like positions together.

3. Class different positions differently.

4. Either utilize the class I category for program, curriculum, and staff specialist positions as a permanent class or eliminate it altogether.

CHAPTER 24

RECRUITMENT AND SELECTION

No government agency can assume that technically competent people will naturally seek work in its organization. There must be a planned program to aggressively seek out and encourage a sufficient number of qualified individuals to work for government. This means that all departments, including the department of education, must have a positive recruitment program which ensures the reception of a sufficient number of applications for teaching and educational officer positions.

The Present Program

Responsibility for the department of education's recruitment program is lodged with the recruitment and employment branch of the office of personnel services. To carry out this responsibility, the branch, with its staff of 26,

- plans and carries out recruitment programs,
- publishes and disseminates announcements of job openings,
- screens applications to ensure compliance with qualifications as stated for a particular position,
- notifies applicants who do not meet requirements,
- transmits copies of candidate applications to requesting assistant superintendent or district superintendent,
- processes board of education appointments, and
- notifies candidates who are not selected.

Summary of Findings

We find the recruitment and selection program of the DOE to be deficient in the following respects:

1. The DOE has failed to develop a unified plan to guide its recruitment and selection program for the coming years.

2. The present program functions with operational deficiencies. They include the following: (a) failure to announce position vacancies, (b) flagrant disregard of policies, (c) failure to comply with procedures, and (d) lack of uniform selection criteria.

Lack of Program Plans

A recruitment program necessarily begins with a plan. There are numerous documents, such as the DOE's *Master Plan, School Code,* and *Budget,* which affect the manner in which recruitment is conducted in the DOE. None, however, on a comprehensive basis, identifies issues, establishes objectives in specific and measurable terms, considers alternative methods of attracting and selecting the kinds and number of people the department must recruit, compares the costs of the various alternatives, fixes the timetable for performing key operations, and provides a system to assess the effectiveness of the recruitment program. Thus, a plan as such to guide the DOE's recruitment program over a period of years does not exist. Without such a plan, the present recruitment

program functions without direction and purpose. It simply reacts to needs as they arise. Some of the more crucial elements of a plan are noted below.

Determining needs: collecting and appraising information. In order to plan a recruitment program, the department of education must determine its long- and short-range personnel requirements. This means that the department must have a system to identify changing manpower needs. The department must be able to ascertain the kinds and levels of occupational skills and the number of and the time when people will need to be recruited. This means that the department must systematically, if not scientifically, forecast manpower needs.

We find that the DOE does not forecast manpower requirements for its recruitment program. At best, the department annually estimates the total number of teachers the State will need for the coming year. Such estimates, however, are made only in general terms based on the number of students and the student-teacher ratio desired. Little effort is exerted to determine the specific kinds of teachers that are required and much less effort is exerted to forecast future needs for talents and competencies other than for teaching.

One of the clear indices of this is the absence of a sufficient data base (over which manpower needs might be forecast). The DOE has not systematically accumulated and developed data on such things as the length of employment, turnover rate, and recruitment response time, by occupational areas. Such data indicate which jobs will likely become vacant, when they will become vacant, and at what time the recruitment machinery should start to fill expected vacancies on a timely basis. Other relevant information which the DOE does not systematically gather are those relating to labor market conditions and trends, particularly in critical skill areas. It is not that these data are not available; they are. What the DOE has failed to do is to gather them in some systematic and meaningful fashion.

Alternative methods of recruitment and selection. The establishment of long- and short-range needs are followed by setting specific and measurable recruitment and selection objectives and identifying the optional ways by which such objectives may be attained. With regard to the latter, the alternative sources of candidate supply (including the question of in-house recruitment versus recruitment outside), the alternative means of attracting candidates, and the alternative tests and selection criteria to be applied require consideration. The DOE currently carries on little or no activity in this regard.

Programming. All results of planning must end in programming—that is, setting the timetable for performing key recruitment and selection operations. The current program and financial plan for education reflects little of programming for recruitment and selection. This is understandable since the department lacks a comprehensive plan for the program. But, lacking such programming, recruitment and selection tend to be crisis-oriented rather than systematic.

Evaluation. The success or lack of success in attaining recruitment and selection objectives is rarely evaluated. This is not surprising, since the DOE has not established specific objectives for the program and identified the measures, standards, and criteria by which to assess the effectiveness of its program. The DOE seems content to simply fill vacancies as best it can, as they arise. Whether it is indeed attracting a sufficient number and kind of personnel needed and whether its selection process is fair, valid, and reliable appear to be of little concern. The recruitment and selection practices currently followed by the DOE and which are illustrated in the remainder of this chapter, evidence this apparent unconcern.

Recommendation. *We recommend that the department of education develop a program plan for recruitment and selection. Such a plan should include, among other things:*

- *a proper data base for forecasting recruitment needs;*
- *objectives in specific and measurable terms;*

. *alternative strategies for attracting and selecting (including testing and appraising) the kinds and number of people needed, together with estimates of the costs and probable results of each alternative; and*

. *a system for the evaluation of the effectiveness of the program.*

Recruitment and Selection Processes in Practice

The DOE *School Code* states:[1]

> "One of the primary concerns of the personnel series is to assure that employees are treated in a comparable manner. To this end, the department of education's personnel regulations and procedures are predicated on the philosophy that they should be standard and uniformly applied throughout the State, unless a cogent reason exists for exception."

Our review of the recruitment, selection, and appointment practices of the DOE reveals that the spirit, if not the letter, of this policy is being violated. The DOE is administering its recruitment, selection, and appointment program in disregard of its own regulations adopted pursuant to the philosophy stated in the policy and is engaging in practices which suggest unfairness and favoritism in the appointment of educational officers.

Failure to announce position vacancy. DOE regulation no. 5101 states, "The department shall announce vacant educational officer positions." Announcing vacant positions in part satisfies DOE's desire to treat all employees in a comparable manner by providing them an equal chance to compete for better jobs. In part, it serves the department's personnel program by providing a pool of competent candidates from which the most qualified may be selected.

We find that the DOE does not always announce vacancies in educational officer positions as required by its regulation. In fiscal year 1970–71, of 66 new appointments made to educational officer positions, seven of them were made without an announcement of vacancy.[2] In fiscal year 1971–72, between July 1, 1971 and March 1972, 39 new appointments were made. Of these only 28 appear to have been preceded by vacancy announcements.[3]

This practice of not announcing vacancies exists for positions in virtually all of the state and district offices. Table 24.1 notes the number of appointments made and the number of vacancy announcements issued for positions filled during the period July 1, 1971 to March 1972 in the various offices. Clearly, from this table, the practice is prevalent throughout the school system.

Table 24.1

Total Number of Appointments Made During July 1, 1971 to March 1972 And the Number of Appointments Made During the Same Period for Which No Vacancy Announcements Were Issued

Offices	No. of appointments	No. of appointments for which vacancy announcements issued	No. of appointments for which no vacancy announcements issued
Superintendent	0	0	0
Research & Planning*	0	0	0
Business Services	3	1	2
Personnel Services	4	2	2
Instructional Services	6	5	1
Library Services	10	10	0
Honolulu district	4	3	1
Central district	0	0	0
Leeward district	5	3	2
Windward district	3	2	1
Hawaii district	2	1	1
Kauai district	1	1	0
Maui district	1	0	1

*Exclusive of administrative intern positions and positions reclassified due to a reorganization of the office of research and planning.

[1]DOE, *School Code, Certificated Personnel Policies and Regulations* (5000 Series), No. 5001.

[2]Source of data: Position vacancy and new hire list, supplied by recruitment branch, office of personnel services; vacancy announcement list, supplied by employment branch, office of personnel services.

[3]*Ibid.* 39 less 28 leaves 11 appointments for which no vacancy announcements were made. In this calculation, we have given the DOE the benefit of any doubt.

This practice is engaged in deliberately and knowingly by the DOE. On June 16, 1970, for example, a vacant administrator's position in the office of research and planning was filled without announcement. A letter from the assistant superintendent, office of research and planning, to the school superintendent stated:

> "I am aware of the fact that the Personnel Office has been told by the Board to make public announcements of all vacancies to assure selection of the ablest candidates. However, in ____'s case, his credentials are well known to the Board, and I'm sure that his appointment will not be challenged by them."

We believe that regulation no. 5101 exists for two basic reasons: to provide equal opportunity to qualified individuals to compete for jobs and to assure the selection of the ablest candidate. The selective disregard of the policy serves neither of the two purposes. Instead, it raises questions about unfairness and favoritism.

All of the more serious, however, we find that violations occur not only with the consent, but often through the initiation, of top administrators in the department.

Lack of visible selection criteria. An integral part of the selection process is the evaluation of candidates. There are four commonly used methods for evaluating candidates:

- appraising applicant's training and experience,
- written test,
- oral test, and
- performance test.

In the DOE, in selecting a candidate for a position, written, oral, or performance tests are not employed. At most, an interview is conducted by a selection committee appointed on a case-by-case basis. More often, a subjective judgment is made by a person with authority to make the initial selection. His selection is rarely, if ever, overturned on subsequent higher level review.

Regardless of the method used, the purpose of an evaluation is to determine how well the candidate is likely to perform when he is actually on the job. This requires criteria or measures which are objective, valid, and reliable. "Objective" means to rule out such factors as race, sex, politics, etc., which have no bearing on the job to be performed and to discriminate only those characteristics necessary to the position. "Validity" refers to whether the criteria used actually do measure or predict later job performance, and "reliability" refers to whether the criteria do this consistently and regularly, and not by chance.

Currently, the DOE prepares no written criteria by which to evaluate candidates. It is said that, where a selection committee is formed, the committee itself determines these criteria. However, inasmuch as the selection committees rarely, if ever, document the basis for their decisions, we could find no record to identify and determine the appropriateness of the selection criteria used. Where the selection is performed by an individual rather than a committee, the criteria are even more obscure.

We think it necessary that, in every case, the selection criteria be documented. It should be written for the following reasons:

- To assure uniformity of criteria for similar kinds of positions;
- To make it clear to all concerned (particularly the candidates) the bases upon which selection will be made; and
- To serve as the basis for an evaluation of the effectiveness of its selection program—that is, the effectiveness of the department's programs, methodology, and standards in reasonably matching people to the jobs to be performed.

The first two purposes further the intent of the policy statement that all persons be treated fairly and equally. Hidden criteria raise serious

questions about the fairness and objectivity with which the DOE selects its educational officers.

Failure to appoint selection committees. DOE policies and regulation no. 5101.1, pertaining to the recruitment and appointment of educational officers in the department of education, require the establishment of a selection committee comprised of at least three educational officers. The purpose of this committee is ostensibly to assess all applicants and to recommend to the department the most qualified candidate to fill a particular vacancy.

There are two important benefits of a selection committee. *First,* a group of people brings a wider range of knowledge and experience into the selection process; *second,* the use of a selection committee, if the members are fairly and properly chosen, contributes to fairness and objectivity in the selection of a candidate, much more so than if the selection were to be made by a single person.

The DOE does not always comply with this procedure. Selection committees are not always established and educational officers are being hired without the advice of selection committees. A random sample of 47 educational officer positions currently occupied revealed that at least 19 of them (42 percent) were filled without the advice of selection committees. With respect to the remaining 28, although a selection committee was purportedly appointed for each, the identification of the members of the committee could not be discerned for at least 21 of them.

Selection of ineligible and unqualified candidate. The DOE does not always appoint one of the eligible candidates applying for a position. For example, on August 12, 1970, a vacancy announcement was made for an administrator's position in the management audit and review branch. There were 21 applicants for the position. In September, a selection committee interviewed the ten top candidates and recommended the names of the three most qualified for final consideration. On October 16, 1970, an administrator was hired. However, the person hired was not among the 21 applicants who applied for the job. We further found no evidence that he was among those on the eligibility list, was ever interviewed or evaluated by the selection committee, or was among the persons recommended by the selection committee for consideration. Finally, we found that the person hired did not have the necessary educational qualifications as announced.

Recommendations. *We recommend that the board of education direct the department to*

1. Cease those practices which undermine fair treatment in the recruitment and selection of employees.

2. Establish controls to assure that in all instances, departmental policies and fair procedures are followed in recruitment and selection. Such controls should guarantee that:

- *Position vacancy announcements are made for all vacant positions which are to be filled.*
- *Documented criteria are used in evaluating candidates for appointment to positions.*
- *Selection committees are established and used, in compliance with the department of education's own regulations, to advise on appointments.*
- *Only eligible and qualified candidates are selected for appointments.*

CHAPTER 25

PROMOTION

An integral part of any system designed to provide careers in the service is a program which assures that those who are talented and who have demonstrated their capabilities will be able to assume positions of higher level work and responsibility. One of the responsibilities of the DOE is to establish a promotional system based upon merit and fitness.

The term, "promotion," is defined in DOE regulations as "a movement from a position in a lower salary range to a position in a higher salary range."[1] In this chapter, promotion is viewed broadly as any movement to a position of increased rank and responsibility, with the attendant prestige and increase in compensation.

Summary of Findings

We find as follows:

1. The DOE does not have a promotional system and it presently has no plans to establish one.

2. In the absence of a promotional system, the DOE has engaged in questionable promotional practices. It has promoted employees in violation of its own regulations.

Lack of a Promotional System

There is currently in the DOE no system for placement through promotions in consonance with established principles of merit and fitness. This is not to say that no promotional activities currently occur. They do, but they occur outside a rational system. The presence of at least five key elements is necessary for a promotional system to exist. They are: policies and standards to guide promotional activities, a classification system which is based on work to be performed, a system of training for higher level work, a system by which performance of work of employees may be evaluated, and an employee data base. Currently, none of these key elements is present in any adequate form.

Policies and standards. Except for policies and regulations defining "promotion" and describing the effects of promotion on compensation, the DOE policies and regulations are silent on promotion in general. Thus, presently, there are no standards to govern promotions. Without such policies and standards, promotions based on merit and fitness, rather than on some irrelevant and purely subjective basis, cannot be assured.

Classification system. A promotional system assumes the presence of a classification system which describes the work to be performed in the various positions and which charts out the relationship of one job to another. The interrelationship of jobs provides a clear view of the channels of natural movement from one position to another.

In classification, positions are adjusted and rearranged so that one prepares workers for another, to the end that blind alleys are reduced in number and a natural course of advancement throughout the whole organization or, more commonly, each major division, is provided. Where blind-alley positions are unavoidable, in that such jobs cannot be so arranged as to be

[1] DOE, *School Code: Certificated Personnel Policies and Regulations* (5000 Series), Regulation No. 5206.

preparatory for anything better, these positions should be filled with workers who do not expect advancement, either because of their mental and temperamental characteristics or because of recognized physical or other handicaps. As noted in an earlier chapter, however, an adequate classification system does not currently exist in the DOE.

Training. In a promotional system, employees are made fully aware of the classification plan and are encouraged to expect advancement and to realize management's interest in their advancement. At the same time, they are clearly informed of management's expectation that they prepare themselves for such promotions. Naturally, once the avenue of promotion is clarified by the classification system and employees are encouraged to seek after promotions, training programs need to be instituted to improve and prepare them for such advancement. As will be seen in the chapter on training, the current training program leaves much to be desired in this regard.

Performance evaluation. Employee performance evaluation is closely related to a promotional system. Employee ratings, together with training results and scores of various sorts, are necessary ingredients in the selection of promotional material and in gauging the desirable rapidity of promotion. However, here again, as will be seen in a later chapter, the DOE does not have an adequate employee performance evaluation system as to enable it to ascertain potential promotional material.

Data base. One of the important objectives of a positive promotion program is to give adequate consideration to all employees who are qualified for promotion. A chief source of information as to which employees qualify for promotions is the personnel record. However, currently, there are no specific policies to maintain and use such records for promotion.

Moreover, the records that do exist are woefully inadequate to support a promotion program. Personnel records to be of any utility for a promotional program should accurately describe each employee, including his occupational history and experiences, employment experience, evaluation ratings, special abilities, education and training, and other data that may be considered relevant from the standpoint of promotional and placement policies. However, the personnel records currently fall short of this standard. Employment experiences are recorded only in the most general terms, noting only whether the employee was a teacher, an intern, or a specialist, and the number of years in a position and the location. In many instances, records are not up-to-date and in others, inaccurate. Further, it appears that the whole burden of keeping personnel records up-to-date is placed on the employee himself.

No current plans. In the absence of a promotion system, whatever promotional opportunities that do arise are the result of chance and not design. Moreover, promotions are currently occurring without assurance that the best qualified employees are receiving them. Yet, there is currently no plans to develop a promotional system and no staff time appears to be devoted to the development of one.

Recommendation. *We recommend that the department of education establish a promotional system based on the following elements:*

- *Policies and standards to guide promotional activities,*
- *A classification system based on work to be performed and structured to provide workers with reasonable opportunities for advancement,*
- *Training programs to prepare employees for advancement,*
- *An adequate employee performance evaluation system that will enable the department to identify those employees who should be considered for promotions, and*
- *An adequate employee data base which provides useful information for promotion considerations and decisions.*

Promotional Practices

In this section we examine some practices that are occurring in promotions in the absence of a system. Two practices in particular are of concern: (1) the practice of reclassifying positions to accomplish promotions and (2) the practice of promoting individuals unqualified for higher positions.

Reclassification. At the outset two DOE regulations should be noted. One regulation defines "promotion" as follows:[2]

> "A movement from a position in a lower salary range to a position in a higher salary range."

The other regulation defines "position reclassification" thusly:[3]

> "A position reclassification is an action taken to change an existing position because of change in duties and responsibilities which may result in a lower or higher classification owing to internal reorganization of an office or district within the Department approved by the Superintendent and the Board of Education."

Reclassification commonly occurs in two areas within the DOE. *First,* staff specialist I positions are reclassified to staff specialist II. An individual being appointed as a staff specialist for the first time is usually appointed initially as a staff specialist I. To accomplish this, a staff specialist II position may be downgraded (reclassified) to staff specialist I. After the individual has served as a staff specialist I for about a year, the position is routinely reclassified upward to staff specialist II, resulting in a promotion for the individual. This reclassification action is taken without the approval of the board of education. Board action (and even the superintendent's approval) is deemed unnecessary because "there is no change in title"—that is, the incumbent is still a "staff specialist." Typically, this reclassification action is taken via a memorandum. For example, a reclassification of two staff specialist I positions to staff specialist II positions in the recruitment and employment branch was accomplished via a memo from the director of the branch to the assistant superintendent of the office of personnel services thus:

> " . . . inasmuch as both Mr. ____and Mr. ____have been doing very well in their positions, the following are recommended:
>
> "1. Reclassify Mr. ____in his present position to that of staff specialist II in the employment section effective May 1, 1970.
>
> "2. Reclassify Mr. ____ and reassign him as staff specialist II to the employment section effective May 1, 1970.
>
> "In effect, both recommendations are promotions.
>
> "This memo is being submitted in strict confidence so if you are not in total agreement, we may discuss other alternatives. Please let me know. (Is Board approval required?)"

Second, a State classified civil service position is converted into an educational officer position paying a higher salary than if the position remained a classified position, resulting in a promotion for the incumbent. It appears that in these instances, board approval is secured. There are a number of educational officer positions currently in the DOE which were once classified civil service positions but which had been converted to educational officer positions for the purpose of granting promotions to the then incumbents. Once converted, these positions have continued to remain educational officer positions, although the employees occupying the positions may have changed. Examples of these converted positions are noted on table 25.1.

[2]DOE, *School Code: Certificated Personnel Policies and Regulations* (5000 Series), Regulation No. 5206.

[3]*Ibid.*

Table 25.1

Examples: Classified Civil Service Positions Converted to EO Positions

Date of Conversion	Office	Former Position Title	Annual Salary	New Position Title	Annual Salary
10/16/70	Business Services	Accountant	12,552	Staff Specialist II	13,488
7/1/71	Business Services	Personnel Technician VI	11,856	Staff Specialist II	12,396
7/31/71	Business Services	Research Statistician IV	12,552	Staff Specialist II	13,488
7/1/71	Research & Planning	Budget Analyst IV	12,552	Staff Specialist II	13,488
8/3/70	Superintendent	Information Specialist III	8,508	Staff Specialist II	11,424
7/2/70	Library Services	Librarian III	8,100	Program Specialist I	10,968

We note the following problems with respect to such reclassification actions.

1. ***No change in duties and responsibilities.*** The DOE regulations specify that reclassification actions occur when there are *changes* in the duties and responsibilities of the position "owing to internal reorganization of an office or district." Reclassification actions of the kind described above, however, occur even though there are no changes in the duties and responsibilities of the position and there has been no internal reorganization. They occur simply because of the desire to increase the compensation of the incumbent. Moreover, with respect to the staff specialist positions, class I is being treated at most as a "probationary" status. By these actions, the DOE confuses "classification" and "promotion." Classification is concerned with ordering the various positions in an organization and relating them, one to another, in terms of their respective duties and responsibilities. Promotion is concerned with advancing a person from one position to another. The use of reclassification to achieve promotion is improper, particularly when the duties and responsibilities of the position have not been changed.

2. ***Superintendent and board approval.*** The regulations further provide that any reclassification action must be approved by the superintendent and the board of education. In the case of reclassifying a staff specialist I position to a staff specialist II position, board approval and even the superintendent's approval, in some cases, are not secured. The excuse given is that "there is no change in title," and the action is simply a promotion action. We do not believe that change in title has anything to do with the need for securing approval. The change from staff specialist I to staff specialist II is either a reclassification or it is not. If it is, the regulations require the approval of both the superintendent and the board of education. Again, the confusion is in interpreting the action as both a promotion and as a reclassification.

3. ***Effect on civil service.*** In the cases cited in table 25.1, not only did the conversions from classified civil service to educational officers occur with no material change in the positions' duties and responsibilities, but they were also accomplished even though other classified civil service positions performing similar duties and responsibilities were not converted but left with the classified service. The conversion of a classified civil service position to an educational officer position, without like conversion of other civil service positions performing similar duties and responsibilities, raises serious questions about the equity in the treatment of employees. Positions under the classified civil service system and positions under the educational officer system are paid differently, and often the minimum qualification requirements stated for educational officer positions are higher than those stated for the classified civil service. Yet, if both positions perform essentially the same duties and responsibilities, there is inequity in the treatment of the people occupying those

positions. Indeed, it would appear that,if two or more positions perform the same duties and responsibilities, they should all be a part of the same system—that is, either the classified civil service system or the educational officer system.

Promotion of unqualified employee. DOE regulation no. 5200 states, "(e) Educational officers shall be classified according to their duties and responsibilities and shall meet such requirements as may be determined by the department. Any educational officer who does not meet the requirements of the department may continue to serve in his position, but shall not be advanced to a higher position until he meets the requirements for the higher position." The DOE has not always adhered to this regulation. An example follows.

According to a vacancy announcement for the position of an administrator, the minimum qualification requirement was specified as follows: "Applicants must possess a Bachelor's degree in business administration, education, public administration, engineering, math, economics, the social sciences or other related fields from an accredited college or university." The position was finally filled by way of a promotion of an employee who did not possess the necessary academic requirement. The promotion was granted even though there were persons on the eligibility list with the necessary credentials and even though the promoted employee was not among these qualified applicants. We were informed by those in the recruitment and employment branch that, while they were aware of the employee's deficiencies, they were powerless to do anything about it in view of the fact that the promotion was effectuated by "higher-ups."

We find that this knowing and deliberate violation of DOE's own regulations is inexcusable. More disturbing is the fact that such action occurs at the initiative not of people at the lower levels of the department but at the initiative of those at the highest levels. Top management, the very people responsible to ensure that regulations are adhered to, intentionally violate departmental policies and regulations. While we made no study as to the effect of such practices on the morale of the staff and on educational programs of the department, we can only conclude that such irresponsible actions by top managers of the department will eventually result in a serious and pervasively bad impact on the entire department.

Recommendation. *We recommend that the department of education establish a promotional system based on the following elements:*

1. Cease those practices which circumvent departmental regulations and undermine fair treatment in promotions, including the practices of:

- *reclassifying positions to higher-paying positions with the same duties and responsibilities, and*
- *promoting unqualified employees.*

2. Establish controls to assure that such practices will not recur.

CHAPTER 26

TRAINING

This chapter reports on our findings regarding the adequacy of the DOE's training program. A training program seeks to attain three basic objectives:

- To develop the competency of employees for promotion.
- To develop the competency of the person in the job.
- To impart new techniques and knowledge to employees to improve their performance.

Summary of Findings

We find that the department of education's training program is deficient in the following respects:

1. The DOE has not developed a comprehensive plan for the training of its employees, and there is no indication that the department is making any effort to develop one. Training programs that do exist are fragmented and not conducted as a part of an overall design.

2. The effectiveness of those training programs that the DOE conducts cannot be evaluated due to the lack of measures of effectiveness. Further these programs are, in the main, inadequately managed.

Lack of a Comprehensive Plan

The department of education conducts and sponsors a wide variety of training programs and activities each year. However, these various programs and activities are not integrated into a cohesive whole so as to provide a sense of direction in achieving the department's training objectives. Each of the various programs and activities is being carried out in a fragmented fashion. Witness the following.

Lack of a system. Neither the DOE policy on training nor the regulations that support that policy view training in a systematic way. The DOE policy on training recognizes but a single objective: "to attain increased competencies and performance to prepare for advancement to higher levels."[1] No other objective is identified. Thus, such training objectives as the development of competency of employees to perform the job they hold and the development of employee proficiency up to standards where it is not at that point and maintaining it at that level in the face of new techniques and developments that affect work performance are not explicitly recognized by the policy. Under this single objective, the policy provides that the department "shall establish" three broad categories of programs:

- Performance appraisal program;
- Management training program; and
- Continuing education program.

It is readily apparent that the programs listed are capable of achieving much more than the single objective stated in the policy. Indeed, other than stating that these programs shall be established, the policy says very little about any of them. How each is supposed to aid in achieving the stated, overall objective and what are the specific objectives of each of these classes of programs are left unclear.

[1]DOE, *School Code: Certified Personnel Policies and Regulations* (5000 Series), Policy No. 5600.

The DOE regulations further confuse the picture. There is a separate regulation for each of the following programs and activities.[2]

- Continuing education
- Out-service training
- Professional self-directed activities
- Educational travel
- School-initiated workshops and other in-service activities
- Visitation day
- Probation
- Performance evaluation
- Administrative intern program
- Administrative service intern program
- Summer fellowship program

For none of the programs and activities is there an adequate statement of objectives, and the programs and activities are not related or tied to each other by commonality of the end-results being sought by them, nor are they tied to any of the three broad categories of programs enumerated in the policy. The regulations say very little about the programs themselves and simply indicate who is eligible to apply for the programs or activities, the conditions under which a person may qualify, whether or not "B" credits are available by participating in the programs or activities, and the fact that an application must be submitted to get into the programs.

In practice, there are other kinds of programs and activities being carried on in the name of training. These other kinds include courses at the university of Hawaii (arranged specially for teachers), an exchange program, and a federal administrative intern program. Then for some of the programs mentioned in the regulations, papers have been generated to explain the purpose of and to describe the programs. But, again, how all of these programs and activities relate to each other in terms of their program objectives is not made clear. Note, for example, the following three programs: the administrative intern program, the federally-funded administrative service intern program, and the federal administrative intern program. The objectives stated in the papers developed for each of these programs are strikingly similar. About the only differences are: (1) the administrative intern program ostensibly seeks to train people for vice-principal and principal positions, (2) the administrative services intern programs are intended for college students to fill district and state office positions, and (3) the federal administrative intern program is to develop people to fill district and state office positions, with apparent emphasis on the state level. Yet these three programs are never related to one another.

In the absence of cohesion, the programs and activities are being carried out in isolation one from another and as a thing unto itself, and trade-off possibilities between and among the various programs and activities are hidden rather than surfaced.

Lack of guidelines. Not only are the specific objectives of the various programs and activities unclarified, but there are also lacking appropriate guidelines by which to determine whether any given set of activities constitutes a training program within the meaning of the regulations. For example, the regulation on "educational travel credit" notes that "the benefits of travel must be directly beneficial to the individual's performance of his duties."[3] However, there are no guidelines by which to determine whether a particular travel would indeed be directly beneficial to the individual's performance of his duties. Another example: the regulation on "school-initiated workshops" states that "all certificated employees may apply for school-initiated workshops" and that "B" credits will be granted to individuals "on the

[2] *Ibid.*, Regulation No. 5600 to No. 5610.

[3] *Ibid.*. Regulation No. 5603.

basis of full participation and successful completion of the activity."[4] But, the regulation does not spell out what kinds of workshops would qualify as a *training* program. Indeed, the regulation says nothing about participating in workshops for the purpose of improving work performance or qualifying for promotions. Its main concern appears to be to make it clear that "B" credits may be earned by participating in workshops.

Then, the regulation on "out-service training" defines "out-service training" as "any training activity which is not sponsored by a state government agency and when the department of education pays for registration, tuition, travel, books, per diem, or other related costs for attending the training activity."[5] Yet, the regulation is silent as to when and what kind of "out-service training" would qualify for payment by the DOE.

In the absence of appropriate guidelines, almost any activity carried out in the name of training appears to qualify as a training program. Thus, for example, a variety of workshops are held by the DOE during a school year. Included among these are instructional workshops on new state programs, workshops on political process, conferences to discuss DOE administrative or program problems, and participation in testing programs. To what specific training objective these various kinds of workshops contribute remains obscure.

In this connection, we note that in at least four (and perhaps five) of the programs and activities enumerated by DOE regulations, "B" credits are granted for participating in the program or activity. Although there is perhaps some connection between the receipt of "B" credits and promotion (that is, qualifying for an educational officer's position which requires the accumulation of some credits beyond the fifth year college certificate or master's degree), it appears that the essential purpose of getting "B" credits is to qualify for higher pay. Whether or not the receipt of "B" credits by participation in educational activities indeed represents the acquisition of those skills required to perform a particular job (job of a current position or of a higher position) is not at all clear. The purpose of granting "B" credits and the purpose of the varying programs and activities carried out in the name of training are not properly distinguished, but confused.

Lack of need assessment. Any comprehensive plan is based on an assessment of needs. But, needs are not being currently assessed in the DOE. In part, this is due to the absence of an adequate program evaluation and employee performance evaluation systems,[6] and the consequent lack of a systematic generation of information upon which needs may be assessed. But even a rudimentary assessment of needs is not currently being conducted. Thus, there is no attempt, for example, to match an employee's background with the job he is supposed to be performing or to detect prolonged lack of movement of personnel from a lower paying position to a higher one.

Instead of need assessment, the department continuously encourages its employees to participate in the various workshops, institutes, and courses offered by or through the department, without distinction as to who would benefit from any of them and benefit to what end-result. Indeed, we find that the department sponsors most of these programs because of requests from employees and others. In effect, the DOE reacts to demands rather than planning in light of needs.

Lack of plan documentation. That the DOE has no real training plan is clearly evidenced by its conspicuous absence from the department's program and financial plans. Act 85, SLH 1970, requires that all departmental program plans be programmed out for a period of at least six years. The DOE's program and financial plans developed over the past few years contained nothing specific either in the program and financial display or in the narratives with respect to personnel training except those training in connection with the dissemination of information about new

[4] *Ibid.*. Regulation No. 5604.

[5] *Ibid.*, Regulation No. 5601.

[6] See chapters 20 and 27.

curricular programs that the DOE intends to implement).

Need for a comprehensive plan. In the absence of a comprehensive plan, the various programs and activities are being carried out in isolation from each other and with little sense of purpose. We believe that the various programs and activities now being carried on by the DOE should be pulled together by objectives into a comprehensive plan, needs assessed, options considered, and a course of action laid out to guide the DOE over a period of time.

Some beginnings in the development of such a comprehensive plan was made back in April 1970, when the career management and development branch developed a manual for the training of educational officers.[7] This manual attempts to establish a framework for the training of educational officers and to provide some basic rationale for the various activities being carried on by the DOE for career management training. This manual, however, has not been officially adopted by the DOE, and it is incomplete. It has yet to pull together all of the various programs and activities now being carried out by the DOE (a few of them are included in the manual only as "attachments"). Further, the manual provides but a framework and then only for educational officers and not for teachers, and meaningful programs are yet to be developed through the analytical process. We find that since the publication of the manual, little, if any, effort has been exerted by the DOE toward the development of a comprehensive plan.

Lack of Assessment of Adequacy of Program

The effectiveness of the various kinds of training programs and activities currently carried on by the DOE in increasing worker competency, acquiring skills, and preparing for higher level positions is not systematically evaluated. The only DOE efforts at evaluation consist of counting the number of participants in the various activities and taking surveys of participants' opinions about the success or non-success of workshops, institutes, courses, and conferences. These measures, of course, say almost nothing about effectiveness. The number of participants merely indicates the size of an activity. Participants' opinions are unreliable; they are highly subjective and are easily influenced by such extraneous factors as the speaker's mannerism and speaking ability and likes and dislikes about the workshop, institute, and course or conference leaders. Moreover, since the objectives that the activities are intended to contribute toward are without precision, it is difficult to ascertain the basis upon which participants evaluate success or non-success of the activities. At no time has the DOE systematically sought to determine the performance or competency levels of employees before and after training.

Not only is the effectiveness of the training programs and activities not measured, but the cost-effectiveness of the various programs and activities is not evaluated. By "cost-effectiveness," we mean whether the effectiveness levels being achieved are worth the cost. A part of the reason why the cost-effectiveness of the various programs and activities is not being evaluated is because the DOE has not "planned" its training programs. Proper planning entails weighing optional ways of achieving program objectives in terms of their respective costs and potential benefits.

The seriousness of this lack of analysis with respect to the cost-effectiveness of programs is evident from the following. The DOE spends more than $1.0 million annually for training programs. Of this amount, 63 percent is spent on sabbatical leaves and the administrative intern program. Yet, these two programs serve only about 0.8 percent of the total number of DOE employees going through the various training programs and activities. In fiscal year 1970–71, for example, only 94 of the total 12,575 DOE employees receiving training were included in these two programs.

Inadequate Management of Programs

The various training programs and activities currently offered by the DOE are in the main not well managed. Among the kinds of problems encountered are changing objectives as the

[7] DOE, *Career Management and Development Program for Educational Officers,* April 1970.

programs are run, lack of interest in participating in programs, and inadequate controls over program operations which detract from accomplishing program objectives. We note some of these below. Most, if not all, of these deficiencies arise because the DOE does not focus seriously on the objectives to be pursued by these training programs and activities and pays insufficient attention to planning.

Administrative intern program. A DOE report issued in draft form entitled, *Administrative Intern Program: Implementation Plan* (undated), states in that section labeled, "Overview," as follows:

> "The Administrative Intern Program is designed to establish a pool of qualified vice-principal and principal candidates by identifying potential educational leaders and providing them with a program of instruction that will provide them with practical experience and theoretical knowledge relevant to positions of leadership."

This section is followed immediately by a section labeled, "Objectives." There, the report lists the following:

- To identify candidates with the aptitude and ability for educational leadership.
- To provide interns with a program of instruction that will be relevant to positions of leadership.
- To establish a pool of qualified vice-principal and principal candidates.

It appears reasonably clear from the report cited above that the administrative intern program is "to establish a pool of qualified vice-principal and principal candidates." The other two items noted under "Objectives" are merely inputs to this end-objective. Several other documents existing within the DOE appear to agree that the establishment of a pool of qualified vice-principal and principal candidates is the prime objective of the administrative intern program.

However, in practice, it appears that this objective is not controlling. As administered, this program seems to be a *promotional program* for selecting and training people to fill actual or impending vacancies in the ranks of vice-principals and principals, rather than for the purpose of *creating a pool* of qualified vice-principal and principal candidates from which a person may be selected to fill vacancies as they occur. Note the following.

First, although the announcements to recruit candidates into the program make no mention of existing or impending vacancies in vice-principal or principal positions, in the selection of the interns, the procedure specified for the purpose of selecting people to fill vacant higher level positions is used. The use of this promotional procedure in itself does not detract from the intent of creating a pool of qualified candidates, but when it is coupled with other operational elements, it is indicative of the intent to select people for immediate promotion rather than for the creation of a pool or reservoir of talents. *Second,* no person selected for the intern program is ever returned to the classroom from which he came; all persons going through the program are placed in higher level positions immediately upon the completion of the program. There is no residual pool created by the number of persons going through the program. *Third,* this program is operative only when there is a vacancy or an impending vacancy in the vice-principal and principal ranks. Thus, for the 1972–73 school year, the career management and development branch cancelled this program because, in the words of the branch, "it did not make sense to conduct the program if there [are]no vacant principal and vice-principal positions." Similar expressions are contained in the manual, entitled, *Career Management and Development Program for Educational Officers,*[8] thusly: "A selection [into the administrative intern program] is not made for an individual to participate in a training course; but to assume an actual or anticipated vacancy."

[8] *Ibid.*

Clearly, then, there are conflicting objectives for this administrative intern program, one theoretical and one operational.

Administrative service intern program. The administrative service intern program is a federally-funded program designed to expose college seniors "in good standing" to the department of education activities as well as to train them for possible future employment with the DOE. The objectives of the program are stated to be:

- To provide annual internships to outstanding college seniors who are interested in careers related to administrative services activities.
- To expose college seniors to the DOE activities as well as to train them for possible future employment with the DOE.
- To establish a pool of qualified personnel for state and district positions.
- To utilize potential talent in strengthening various programs at the state level.

The essence of this program appears to be to develop a pool of qualified persons for state and district positions. An intern who successfully completes the program and has demonstrated "excellent potential" and a desire for work with the DOE is given consideration for appointment to a permanent DOE position or to another DOE internship in which the intern may receive further training.

This program has attracted only four persons since its inception. All four participated in 1969, the first year of the program. It does not appear that the DOE is serious about this program. The only reason this program began appears to be the promise of availability of federal funds. In our view, the creation of a program simply to qualify for federal funds indicates gross neglect of planning programs in terms of need. Since 1969, due to federal funding problems, this program has been assigned a "low priority," and has had no activity. It is, however, still on the books of the DOE. We think that the DOE ought to reconsider this program in terms of the benefits to be derived and to make a decision as to its abolition or retention.

Although this program is largely inoperative, we note inadequacies in the method of evaluating candidate performance under this program. The evaluation called for in this program requires the intern advisor to evaluate the intern in a narrative form. The standard form used for this purpose provides blank spaces in which the advisor is to jot his findings. The form calls for narratives relating to: objectives, experience, and evaluation. No other information is required and no instructions or guidelines are given as to what is meant by "experience" or "evaluation." Such a general evaluation is inadequate in determining whether an intern should be given a position in the department. It leaves the evaluator with an unlimited option as to what each of these terms means, the evaluation criteria to use, and the standard upon which to judge the adequacies and potential of the intern. Consequently, there is no assurance that interns will be assessed uniformly and objectively.

Federal administrative intern program. The objectives of the federal administrative intern program are stated to be:

- To provide for continuing development opportunities for teachers and potential educational officers.
- To identify qualified DOE personnel and to expose them to state and/or district activities.
- To establish a pool of qualified personnel for state-level positions.

A plan for this program was drafted in September 1970. However, the plan was never approved by the board of education, and, consequently, to this date, there is no official plan for the DOE's federal administrative intern program. Despite the absence of a plan, this program is in operation. We think this is placing "the cart before the horse."

There are at least two problems associated with the operation of this program. *First,* although interns are assigned to various offices at the state office (the office of business services, the office of research and planning, the office of instructional services, the office of personnel services, and the office of library services) entailing different nature and scope of training received, the DOE does not systematically prepare a "lesson plan" which identifies the training objectives, how these objectives are to be achieved, and the time schedule for each intern. In our examination of the records of seven people employed as interns in this program, only one lesson plan was found.

Second, although the plan developed for this program was never officially adopted by the board of education, we note that in provision III B of the plan, it is provided that "the intern's period of assignment generally runs from July through June and should not exceed a period of one year." We find, however, that three of the 13 participants have had their internships extended to two years. We also find that the three interns were given an extension because (1) permanent positions were not available and (2) the interns lacked the required two years of experience to fill existing positions. The implication here is that the DOE's selection of an intern means a promise of a job at the state office. But this is not what the stated objective says. The stated objective speaks of establishing a *pool* of persons qualified for state-level positions. Either the stated objective is wrong or the practice is in error. The practice is obviously not to create a pool but to immediately place a person in a higher level job. Note, that granting of extensions means, in effect, that other qualified candidates cannot participate, and the objective of creating a pool is thus negated. Note also that the federal administrative intern program plan makes no provision for extending the term of the internship.

Sabbatical leaves. HRS, section 297–22, provides that the department of education may grant a year's or six months' sabbatical leave of absence to any teacher or educational officer who has served seven years in the public shools of the State. Ostensibly, the purpose of sabbatical leaves is to further professional growth and development and to enhance the effectiveness of teachers and educational officers upon their return to service. In 1970–71, 12 educational officers and 43 teachers were granted sabbatical leaves at a cost of about $323,000. We note the following with respect to sabbatical leaves.

1. ***A criterion problem.*** HRS, section 297–24, requires a teacher or an educational officer on sabbatical leave to devote one-half of his total leave to professional educational course work, research, or other professiqnal activity approved by the department. To carry out this requirement, the law mandates the department of education to "establish guidelines and criteria of professional educational course work, research or other professional activity." We find that the department has not established such criteria and guidelines. Consequently, the decision as to what constitutes professional educational course work, research, or other professional activity is made on a case-by-case basis after the application for sabbatical leave is received.

One of the four *selection* criteria mentioned in the DOE's application form for sabbatical leaves[9] is "the degree of the relevancy of the proposed study to the grantee's job assignment. That is an evaluation of the worth of the program to the Department as well as the individual." If this criterion is meant as a guideline as to what "professional educational course work, research or other professional activity" is, it fails miserably. It is vague and uncertain and leaves much discretion in the DOE to decide on a case-by-case method as to whether the course of work an applicant proposes to pursue would be of "relevance to his job assignment" or of any "worth to the department." There is no way for an applicant to judge before he submits his application the chances of his proposed course work's being approved by the DOE.

2. ***Selection.*** In the DOE application form for sabbatical leaves, the department states four criteria for selection as follows:

[9]DOE personnel form 705a (revised September 1970).

"A. **RELATION.** Relation as a selection factor is defined as the degree of the relevancy of the proposed study to the grantee's job assignment. This is an evaluation of the worth of the program to the Department as well as the individual.

"B. **INVOLVEMENT.** Involvement is the factor which considers the degree to which this individual is engaged in a planned program of studies.

"C. **SENIORITY.** The years of service in the Department shall be counted as ONE of the criteria for the selection of sabbatical grantees.

"D. **GRANTS.** Grants are favorably considered; i.e., an applicant with a grant is given more favorable consideration than one without any so that he will be able to afford to accept this grant."

Sabbatical leaves are granted at the discretion of the DOE—that is, the DOE is not required to grant sabbatical leaves upon an applicant's meeting certain specified conditions. This means that selection criteria should be such as to ensure an objective and fair selection of those to be granted such leaves. The four criteria as presently described and structured do not appear to ensure all applicants of equitable treatment. Such general criteria as "relation" and "involvement" are too vague. They provide no information as to the degrees of "relevancy" and "involvement" that will assure the granting of a sabbatical leave and, at the other extreme, will result in a denial of such a leave. Further, the relative importance (or weight) of each criterion is not specified. Consequently, there is no way of assuring a uniform and consistent application of each criterion.

3. ***Evaluation.*** The DOE application form for sabbatical leaves indicates that the proposed course of study must be "of worth to the department." Yet, no assessment is ever made of whether the leaves granted have in fact been "of worth" to the DOE. The need for such an evaluation is evident by the fact that a considerable sum of money is expended for this program annually. In 1970–71, approximately $323,000 was spent on sabbatical leaves for just 55 teachers and educational officers. This amounts to an average cost of about $5,873 per person per year.

Upon the return of an employee from a sabbatical leave, the department makes no attempt to gather the kinds of data and information which may be used to assess the effectiveness of the program. At best, the office of personnel services sends a letter to remind the employee to forward a copy of his transcript or research report to the department. However, such transcripts and research reports serve only to verify that the employee earned the 15 semester credit hours required and not to assess the success of the program.

Recommendations

We recommend that the department of education:

1. Develop a comprehensive training plan. Such a plan should

- *establish objectives for the different categories of training programs,*
- *identify the relationship of the various training programs and activities,*
- *set guidelines as to what kinds of activities qualify as training, and*
- *provide a process for assessing training needs and formulating options to meet those needs.*

2. Establish a system for measuring the effectiveness of training, evaluating the cost-effectiveness of training, and feeding back evaluation results into the planning of subsequent training.

3. Re-examine the objectives and review the operations of its intern programs. The examination and review should

- *determine whether the real objective of the intern program is to create a pool of qualified personnel or to train interns for specific, available positions, and*
- *assure that each intern is guided by specific training objectives and a plan as to how the objectives are to be achieved.*

4. Improve the administration of sabbatical leaves by:

- *establishing guidelines and criteria as to the kinds of professional educational course work, research, or other professional activity which constitute acceptable pursuits for sabbatical leaves,*
- *formulating more specific criteria to ensure objective and fair selection in the granting of sabbatical leaves, and*
- *providing for the evaluation of the effectiveness of the program.*

CHAPTER 27

EMPLOYEE PERFORMANCE EVALUATION

The evaluation of employee job performance represents the closing of the circle in a personnel management program. The immediate objective of an employee performance evaluation is an assessment of the actual level of performance in light of predetermined, desired, or essential productivity and performance levels and an identification of the areas in which employees are meeting or failing to meet the desired levels of performance. More broadly, however, employee performance evaluation supports other personnel programs. The results of evaluation provide information about employee and organizational strengths, weaknesses, and needs. They, thus, provide the base for formulating recruitment programs; identifying promotional potential; taking disciplinary, transfer, and promotional actions; and developing training programs.

Both the law and DOE policy recognize the need for employee performance evaluation. The law thus states:[1]

> "The department of education shall establish an evaluation program for all teachers and educational officers. The evaluation shall be performed at least once in each school year. The program shall define the criteria for evaluation and assign responsibilities for the application of the criteria. The evaluation of a teacher or educational officer shall be on the basis of efficiency, ability, and such other criteria as the department shall determine."

[1]HRS, section 297–46.

A DOE policy provides as follows:[2]

> "The Department shall establish an appraisal program which shall be an inherent part of the career management and development program. The program shall define the criteria for appraisal and assign responsibilities for the application of the criteria. The appraisal of a teacher or educational officer shall be based on performance objectives of the Department of Education."

Then, the DOE *Master Plan* expressly recognizes the need for "identification and analysis of performance on the job."[3]

Summary of Findings

We find that the DOE does carry on an evaluation program. However, the program as now implemented is inadequate in the following ways:

1. Evaluation is conducted without meaningful standards against which performance may be evaluated.

2. The rating scales used are inadequate.

3. The organization in the schools makes evaluation unworkable.

[2]DOE, *School Code: Certificated Personnel Policies and Regulations* (5000 Series), Policy No. 5600.

[3]DOE, *Master Plan for Public Education in Hawaii*, September 1969, p. 74.

4. As a consequence of the above, employee performance evaluation is presently perfunctory at best.

The Present Program

1. Teacher performance evaluation. Teachers are currently evaluated by their principals under a program known as the "interim teacher evaluation program." Both probationary and tenured teachers are evaluated. There are two parts to this evaluation. The first part consists of observations of a teacher's performance by the principal and a conference between the principal and the teacher based on that observation. A standard form (worksheet) is provided the principal to record his observations and to make notes on the conference.[4] The form provides for the signatures of both the principal and the teacher evaluated. The second part of the program consists of an evaluation report. Again, a standard form is supplied.[5] The completion of the evaluation report is preceded by observation and conference. The evaluation report form, like the observation and conference worksheet, provides for the signatures of both the principal and the teacher evaluated.

Both the observation and conference worksheet and the evaluation report form purport to evaluate the teacher in three major areas: (a) instructional skills (i.e., classroom control, planning and organization, methods and techniques, knowledge of subject matter, room environment); (b) professional attitudes and growth (i.e., staff relations and responsibility, student relations, parent relations, professional responsibilities, ethics, professional improvement); and (c) personal characteristics (i.e., physical health, emotional stability, personal appearance and grooming, voice, enthusiasm for teaching).

The evaluation report provides for rating a teacher as "satisfactory" or "unsatisfactory" in all of the three areas and their subcomponents. However, the observation and conference worksheet calls for rating a teacher as "satisfactory" or "unsatisfactory" only in the instructional skills area and its subcomponents. For each instructional skills subcomponent, the worksheet provides short phrases such as "well established routines," "positive behavior controls," "planned daily program," "variety and appropriateness of materials," "flexible grouping," "concepts appropriate for level of pupils," "display of pupil materials," etc., apparently to suggest the kinds of things which reflect upon instructional skills. For the other two major areas of evaluation–professional attitudes and growth and personal characteristics–the observation and conference worksheet provides blank spaces for jotting notes. Blank spaces are also provided for the principal to note the specific competencies or incompetencies of the teacher and to record the specific suggestions for improvement discussed with the teacher.

During the 1970–71 school year, the department tested another evaluation program known as the "performance improvement program" (PIP) in three schools. Upon completion of the pilot test, the teachers participating were surveyed as to their opinions about the PIP.[6] The results were generally favorable. Based on this favorable response, during the 1971–72 school year, the DOE pilot-tested the PIP in 21 schools, while concurrently planning for its full implementation in the 1972–73 school year. The DOE's plans for full implementation of the PIP in school year 1972–73 were, however, aborted by the collective bargaining agreement entered into by the DOE and the teachers' union on February 29, 1972. That agreement specifically provides that evaluation of teachers be conducted pursuant to the program in effect on the execution date of the agreement–that is, the interim teacher evaluation program.[7]

[4]Personnel Form 750, Revised August 1971. See appendix A.

[5]Personnel Form 751, Revised September 1972. See appendix B.

[6]Teachers participating in the test were given DOE B credits for cooperating in the program.

[7]Agreement between State of Hawaii Department of Education and Hawaii State Teachers Association, February 29, 1972, article VIII, section B.

2. Educational officers. Educational officers are evaluated by their supervisors on one of three forms: one form is for vice-principals,[8] one form for principals,[9] and one for other state and district officers.[10] These forms are more generalized than the forms for teacher evaluation. The forms for vice-principals and for principals are identical except that the principal's form includes "staff relations with classified employees" as an additional item for evaluation. Basically, the two forms purport to evaluate principals and vice-principals on an overall basis and on the following specific items: (a) instructional program (i.e., supervision and evaluation of teachers, assignment of teachers and scheduling of classes, knowledge of curriculum, etc.); (b) pupil personnel program (i.e., guidance program, discipline, attendance, health and safety program); (c) staff relations (with teachers and employee organizations); (d) management functions (i.e., physical plant, office management, finance); (e) community relations (with parents, PTA, other organizations, and other individuals); (f) departmental relations (i.e., knowledge of the functions of other schools and parts of the department, knowledge of departmental policy and regulations, cooperation with other parts of the department); and (g) efforts toward professional improvement. Principals and vice-principals are rated on each of these areas and subareas as "excellent," "good," "satisfactory," "fair," or "poor."

The form for evaluating state and district officers other than principals and vice-principals is in two parts. The first part rates an educational officer as "excellent," "good," "average," "fair," or "not satisfactory" (a) on an overall basis and (b) on each of three characteristics: professional and/or technical competence; administrative and supervisory skills; and potential for growth. Short phrases such as "knowledge of departmental procedures," "ability to plan and organize," "keeps abreast with developments in his field," "initiates changes that result in improvement," and "can work under pressure," are provided to suggest the kinds of things which reflect upon professional and/or technical competence, administrative and supervisory skills, and potential for growth. The second part of the form provides blank spaces in which the evaluator is to explain the ratings given in terms of "points of strength," "areas for development," and "recommendation."

All three of these forms provide for the signatures of both the evaluator and the employee evaluated. The collective bargaining agreement between the department and the union representing educational officers makes no specific mention of performance evaluation of educational officers.[11]

Inadequate Performance Standards

Performance evaluation presupposes the existence of some predetermined standards against which performance may be measured. That is, evaluation is not possible unless the levels of performance desired or acceptable for each kind of work have been established. We find, however, that evaluation currently occurs in the absence of these standards or on standards that are inadequate.

1. Omnibus standards. The current program attempts to evaluate all employees of a given, broad category (i.e., teachers, vice-principals and principals, and other educational officers) on a single form, regardless of the differing nature of work and levels of complexity of each position. Thus, all teachers are evaluated on the same standards, although there are differing kinds of teachers who are expected to exhibit differing kinds of knowledge and skills (e.g., classroom teachers, department chairmen, counselors, and resource teachers). Then, principals and vice-principals are evaluated on the same standards, although the scope of responsibility of the jobs differs. And, the

[8] Personnel Form 752, Revised February 1971. See appendix C.

[9] Personnel Form 753, Revised February 1971. See appendix D.

[10] Personnel Form 754, Revised January 1971. See appendix E.

[11] Agreement between Hawaii State Board of Education and Hawaii Government Employees' Association, October 29, 1971.

performance of all other educational officers is measured on the same yardstick although there are differing kinds of officers who require dissimilar background, knowledge, and skills and who face differing demands in their work (e.g., staff specialists, administrators, directors, accountants, curriculum developers, and planners). We do not think that an evaluation of the performance of such diverse kinds of employees on omnibus standards is fruitful. The levels of expectation of the various kinds of positions surely differ, and any evaluation of performance to be useful should be based on standards applicable to the position filled by the employee to be evaluated.[12]

2. ***Lack of specificity in standards.*** The forms that are used to evaluate employees contain standards that are undefined. The teacher observation and conference worksheet and the teacher evaluation report form, for example, list such things as "well-established routines," "wholesome classroom atmosphere," "personally and professionally ethical," and "wholesome philosophy of life" which are undefined. The principal and vice-principal evaluation report forms contain terms which are even more vague. Ratings are expected to be given principals and vice-principals on such things as "quality of program planning," "health and safety program," and "office management," without a definition of what constitutes *good* quality in program planning, *adequate* health and safety program, and *competent* office management. Vague or undefined terms provide little basis for a supervisor to reach conclusions about individual employees.

Lack of standards geared to purpose. As noted at the outset of this chapter, employee performance evaluation serves a multitude of purposes, including identification of the need for training and identification of those employees with potential for promotion. This means then that an evaluation program must consider these various purposes in setting forth the standards by which employee performance is to be measured. The current standards do not reflect the various purposes to which evaluation may be used. For example, the teacher evaluation format contains no standards which might assist in identifying those teachers with potential for appointments to higher level positions. The format now used focuses primarily on classroom instructional skills, relationships with students and parents, and personal characteristics like personal appearance, and fails to consider evaluating teachers for supervisory and managerial skills.

[12]One of the basic sources in establishing levels of performance is of course the position descriptions of the various kinds of positions. But, as we have already noted, such descriptions do not currently exist for all positions.

Insufficient Rating Scale

For teacher evaluation, there are only two ratings: satisfactory and unsatisfactory. On the other hand, for principals, vice-principals, and other educational officers, there are five ratings: poor (or not satisfactory), fair, satisfactory (or average), good, and excellent. We think that the range of ratings provided for principals, vice-principals, and other educational officers impose a tremendous burden on the evaluator to distinguish between and among the various levels of performance. The line which separates one from another is not clear and perhaps cannot be clearly drawn. It thus requires heavy judgment on the part of the evaluator.

On the other hand, the two-rating system for teachers presents problems of other dimensions. *First,* in light of the fact that the principal must rate a teacher on an "overall" basis as well as on each of the different items listed on the evaluation form, the two-rating system makes possible such anomalous situations as that shown on table 27.1. As the table shows, teachers 1 and 2 were judged to be less than satisfactory or marginal in numerous areas. Teacher 3, on the other hand, was rated less than satisfactory in only two areas. However, the overall rating for teachers 1 and 2 were satisfactory (i.e., "progressing towards the department standards") while the overall rating for teacher 3 was unsatisfactory (i.e., "did not meet the department standards").

These anomalous results occur because, in the first place, what is satisfactory and what is unsatisfactory are not clear. Most human traits follow a normal distribution pattern resembling a bell-shaped curve. The limiting of the

evaluation to simply satisfactory or unsatisfactory, without guidelines, forces the evaluator to decide in his mind as to where on the bell-shaped curve is "satisfactory" performance. These anomalous results also occur because the basis for the overall judgment is not defined. For example, what of the various items on which a teacher is evaluated, if any, is predominant in determining the overall rating?

Table 27.1

Summary of Teachers' Evaluation Report

	Teacher 1	Teacher 2	Teacher 3
Instructional skills			
Classroom control	U		U
Planning and organization	U		
Methods and techniques	U		
Knowledge of subject matter			
Room environment			
Other (specify)			
Professional attitudes and growth			
Staff relations & responsibility		U	
Student relations	M	U	U
Parent relations		U	
Professional responsibilities			
Ethics			
Professional improvement	M		
Other (specify)			
Personal characteristics			
Physical health			
Emotional stability	M	U	
Personal appearance & grooming			
Voice			
Enthusiasm for teaching	M		
Other (specify)			
Department standards[a]	2	2	3

[a] *1 – Is meeting standards.*
2 – Is progressing toward the standards.
3 – Does not meet the standards.

U = unsatisfactory.
M = marginal.

Second, the two-rating system, while it may note (assuming adequate standards) whether the teacher is performing as expected or at the level deemed acceptable, does not readily reveal whether the teacher has any potential for assuming higher level positions. The term, "satisfactory," may be descriptive of either performance at acceptable levels or performance which exceeds those levels. We think that at least one other rating suggestive of performance beyond expectations on those standards relating to skills necessary for occupying higher level positions may be necessary in identifying those with potential for higher level positions.

Organization for Evaluation

The principal of each school evaluates all teachers and staff personnel assigned to his school. In many schools, this means that the principal must evaluate from 100 to 200 employees at least once within the 178-day school year. It is readily evident and readily acknowledged by principals that this is far too large a number of persons for the principal to evaluate. While the vice-principal and supervisory classified employees may assist the principal in evaluating personnel, the responsibility is nevertheless vested in the principal.

Usually in an organization, there are one or more tiers or levels of authority and responsibility between the head of the organization and the lowest of workers. Within a school, however, such intermediary levels of real authority do not exist. It is true that schools do have grade level and department chairmen, and DOE regulations provide that they shall be responsible for "participating in the supervision and evaluation of teachers."[13] But, in fact, grade level and department chairmen rarely, if ever, evaluate. They are reluctant to do so for they consider themselves and their fellow teachers as peers. Indeed, they are included as "teachers" in the compensation schedule and for collective bargaining purposes. Whether grade level and department chairmen should be utilized for the purpose of assisting the principal in evaluating teachers appears to be a subject of arbitration under the collective bargaining agreement entered into by the teachers' union and the department of education.[14]

[13] DOE, *School Code: Policies and Regulations, Administration* (1000 Series), Regulation No. 1800–1.1.

[14] Agreement between the State of Hawaii Department of Education and Hawaii State Teachers Association, February 29, 1972, Appendix IX: "The parties have agreed to submit to final and binding arbitration, the subject of Job Responsibilities of Department and Grade Level Chairmen. Upon receipt of the arbitrator's decision, it shall be attached hereto as Appendix IX."

Perfunctory Evaluation

In the presence of its deficiencies, the current employee performance evaluation program is no more than a perfunctory task performed each year only to meet the requirements for granting salary increments to each employee. It serves little purpose in advancing productivity and performance and in furthering the objectives of other personnel programs.

Take the case of teacher evaluation, where the problem is particularly acute. The need to fill out the observation and conference worksheets and evaluation report forms for all of the teachers, numbering over 100 in many cases, is considered by principals to be another instance of red tape, the formality of which must be gone through in order for their staff members to receive their annual pay increments. The conferences which are held with teachers are held simply to meet departmental requirements rather than to improve teachers' performance. A conference lasts from 15 to 30 minutes. Within that time, at best, the principal might inform the teacher on what he is doing wrong and suggest that the teacher seek to improve his performance. No discussion is had as to when the teacher is expected to correct his shortcomings, how best he might take corrective action, and whether there will be a re-evaluation. At worst, the principal simply informs the teacher that he has performed satisfactorily so as to indicate that improvement in any area is unnecessary.

This casual treatment given to evaluation results in equally casual treatment given to it by the employees. The evaluation system in the end does nothing to provide any incentive to people to improve their performance or to pursue excellence in the performance of their jobs.

Improbable substandard rating experience. Data collected during our audit bear out our conclusion that the system is simply perfunctory. Less than satisfactory performance is very rarely identified. See table 27.2 for the record on teachers. In the light of the size of the department's work force, the gross figures on the number of less than satisfactory rating indicate to us that true evaluations are not being made. Such a degree of satisfactory service as indicated in table 27.2 is simply not probable. Such a level of competency might be possible if the department excelled in its recruitment and training programs, but, as we found, this is not so.

Table 27.2

No. of Substandard Ratings
1968 to 1971

Year	No. of Tenured Teachers	No. of Unsatisfactory Ratings
1968–69	?	4
1969–70	?	4
1970–71	9,500	7

Toward an Adequate Evaluation System

That there is a need to improve the DOE's performance evaluation system is beyond question. Some steps toward the construction of an adequate system was taken by the DOE with the introduction of the "performance improvement program" (PIP) for teachers. We noted, however, that this movement has been curtailed by the collective bargaining agreement between the department and the teachers' union. With respect to educational officers, a small but important step toward an improvement in the evaluation system was made with the establishment of DOE form 752a.[15] This form requires the officer to explain his own training needs and the steps he intends to take during the year to fulfill these needs. This form, however, is currently not in use. We were informed that the district superintendents were to discuss and adopt this plan, but have not done so as yet.

We mention these developments, for we note in them two important aspects which require careful consideration in any future effort to improve the system for evaluating employee performance. *First,* it does not appear that

[15]Personnel Form 752a, Revised September 1969. See appendix F.

changes in the evaluation system can come about without consultation with and agreement of the unions representing the DOE employees. In the teachers' union contract, this point is expressly covered. In the educational officers' union contract, the point is not covered, but it is unlikely that any changes can occur without union concurrence.

Second, Form 752a, although it does not expressly purport to do so, appears to point out a seemingly desirable direction in which the evaluation system should be headed; that is, that the evaluation system be one in which the levels of performance and work expectations toward which each employee may aspire each year be mutually determined between the employer and the employee concerned, based on the job held by the employee. The Jacobs' report states this concept in this fashion:[16]

> "Performance objectives are goals or targets of performance which the supervisor and the employee identify and set, to be accomplished during the rating period. Ideally the job or performance objectives for the rating period should be established mutually by the supervisor and the employee within the broad objectives that may be set forth for the unit by Department management. This approach encourages an interchange of ideas to arrive at objectives that can be reached and that are reasonable and meaningful."

[16]The Jacobs Company, Inc., *Hawaii Department of Education: Report on the Classification and Salary Study of Educational Officer Positions and Related Matters,* October 1969, p. 41.

Recommendation

We recommend that the department of education develop improvements to employee performance evaluation and as appropriate, propose such improvements to the employee unions concerned. Improvements should be derived from:

- *Performance standards which are specific and appropriate to the varying kinds of work and responsibilities associated with different positions.*
- *A rating scale for teachers which at least recognizes performance beyond expectations, particularly for those skills necessary for higher-level positions.*
- *The structuring of teacher rating responsibilities in a way that relieves principals of having to assume total responsibility for rating every single teacher in their schools.*
- *Evaluation of the improbable substandard rating experience of the past few years.*
- *A focus upon levels of performance and work expectations which are mutually determined each year by the employer and the employee concerned.*

CHAPTER 28

CERTIFICATION AND EXEMPTION

Chapter 76 of the Hawaii Revised Statutes contains the civil service law for the State of Hawaii. All employees of the State are under the civil service system unless specifically exempted. Section 76–16 of the Hawaii Revised Statutes provides such an exemption for certain department of education employees. Essentially, there are seven types of DOE positions exempted under HRS, section 76–16. They are as follows:

- Positions filled by popular votes such as the members of the board of education (HRS 76–16(6)).
- Teachers, principals, vice-principals, district superintendents, chief deputy superintendents, and other certificated personnel (HRS 76–16(11)).
- Not more than 20 non-certificated administrative, professional, and technical personnel not engaged in instructional work in the department (HRS 76–16(11)).
- Positions filled by persons employed by contract where the director of personnel services has certified that the service is special or unique, is essential to the public interest, and that, because of circumstances surrounding its fulfillment, personnel to perform such services cannot be obtained through normal civil service recruitment procedures (HRS 76–16(2)).
- Positions of a temporary nature needed in the public interest (HRS 76–16(3)).
- Employees engaged in research projects approved by the governor, for which projects federal funds are available (HRS 76–16(12)).
- Positions filled by persons employed on a fee, contract, or piecework basis who may lawfully perform their duties concurrently with their private business or profession or other private employment and whose duties require only a portion of their time, if it is impracticable to ascertain or anticipate the portion of time to be devoted to the service of the State (HRS 76–16(16)).

The department of education presently employs some 15,200 people, of whom 76 percent are exempted from the civil service law. This chapter deals with the legality and appropriateness with which the department of education exempts its employees under the provisions of HRS, section 76–16.

Summary of Findings

We find that

1. There is insufficient control over exempt positions within the DOE.

2. The DOE is utilizing the device of educational officer certification to employ more than 20 non-certificated administrative, professional, and technical personnel, in violation of statute.

3. The DOE has a number of exempt positions, the legal bases for which are questionable.

4. Part-time student helpers in the DOE are classified in a questionable manner and are recruited in ways which do not provide equal opportunity to all those who may wish to be so employed.

Lack of Control of Exempt Positions by the Department of Personnel Services

Under the personnel rules and regulations of the State of Hawaii, the department of personnel services is charged with the responsibility, among others, of:

- reviewing any recommendation of an appointing authority that a particular position should be exempt and of determining whether a position is exempt under applicable laws;[1] and
- establishing and maintaining a register of those positions which make up the exempt service.[2]

We find that the department of personnel services currently is not aware of the number of exempt positions in the DOE. Two practices of the department of personnel services lead to this result.

First, since October 28, 1969, the department of personnel services dispensed with its practice of maintaining individual position cards for student helpers, graduate student aides, and college student aides. *Second,* the department of personnel services does not retain a copy of State standard form 5, "Notification of Personnel Action," in its permanent files for temporary positions. All personnel actions, including appointments, are initiated through this form. Under current practice, after the department of personnel services has completed its review of standard form 5, it is signed by the director or his deputy and *all* copies are routed back to the DOE with the original forwarded to the department of accounting and general services for payroll purposes.

[1]State of Hawaii, *Personnel Rules and Regulations,* January 1972, regulation 13.102a, 13.103.

[2]*Ibid.*, regulation 13.102b.

The result of these actions is that the department of personnel services is unable to provide an accurate accounting of the number and types of temporary positions which exist within the DOE. This inability to account appears to be contrary to the State's personnel rules and regulations.

During the course of our audit, we attempted to procure a complete list of all exempt positions in the DOE from the department of personnel services. We were provided with a computer print-out, but the transmittal memo to us noted that the IBM run was as of November 1, 1971, and that for an up-to-date listing we should contact the department of education. We did so and received a list purporting to be a complete list of all exempt positions in the department of education. A comparison of the two lists showed that there were at least 74 positions on the department of personnel services' list which were not on the department of education's list and 21 positions on the DOE's list which were not on the department of personnel services' list. Our requests for the lists were made in early March 1972. It appears inconceivable that during a period of four months there could have been such drastic changes in the lists furnished to us by the department of personnel services and the department of education.

We believe that the department of personnel services, as the central agency of the State responsible for monitoring all positions, should continuously maintain an up-to-date list of all exempt positions in the State. Currently, the department of personnel services relies on the classified branch of the DOE to maintain such a list. It is not at all certain, of course, in light of our findings later in this chapter and elsewhere in this part, that even the list maintained by the DOE's classified branch is accurate.

Recommendations. *We recommend that the department of personnel services:*

1. Prepare and maintain an up-to-date listing of all exempt positions in the State, including those of the department of education.

2. Establish controls to assure that no positions are exempted without its prior review and approval.

Administrative, Professional, and Technical Personnel

HRS, section 76–16(11), exempts "teachers, principals, vice-principals, district superintendents, chief deputy superintendents, other certificated personnel, and *not more than twenty non-certificated administrative, professional, and technical personnel not engaged in instructional work* in the department of education . . ." from the requirements of the State classified civil service laws. (Emphasis supplied) We find that the department of education deliberately circumvents the limitation of "not more than twenty" non-certificated administrative, professional, and technical personnel. It does so through the device of issuing to administrative, professional, and technical personnel, not otherwise qualified for teaching or principal's certificates, "professional administrator's certificates" or "temporary administrator's certificates." By issuing such "professional administrator's certificates" and "temporary administrator's certificates," the DOE deems these personnel to be "certificated" and thus not to be counted in determining whether the number "twenty" has been exceeded or not.

There is currently in the DOE, a number of administrative, professional, and technical personnel who do not otherwise qualify for teaching or principal's certificates but who hold these "professional administrator's certificates" and "temporary administrator's certificates." If this number were added to the number of other administrative, professional, and technical personnel within the DOE who hold no certificate at all and who are not within the State's classified civil service system, the statutory limitation of 20 is clearly exceeded.

That the DOE issues these administrator's certificates simply to circumvent the requirements of the statute is clear from the following:

1. ***Meaning of "certification."*** A review of the history of the current statute clearly indicates that the word, "certificated personnel," as used in the statute means those with certificates allowing them to teach in the schools and those with teaching background occupying educationally-oriented positions, such as school principals. HRS, chapter 297, part I, which specifically deals with the question of certification, talks about certification only in terms of teachers, to-wit:

> "No person shall serve as a teacher in any school without first having obtained a certificate from the department of education, which certificate shall be issued without cost to the teacher, in such form as the department determines. The department shall establish types of certificates in the educational field and the requirements to qualify for those certificates." HRS, sec. 297–2.

All references to "certificated personnel" in all other parts of the statutes relating to education must be read in the light of the above-quoted section.

That this is indeed the correct reading of the statute has been acknowledged as recently as November 1972 by the school superintendent when in a letter to the governor he stated:[3]

> "Our certification program, as you probably know, was intended primarily to establish standards for certification of teachers and educationally-oriented administrators. This is evident by the fact that the standards for professional administrators call for the same training requirement as a fully-professional Class III teacher . . . ."

2. ***Origin of "professional administrator's certificate."*** Prior to September 1, 1969, the department issued only teaching-oriented certificates: the "teacher's certificate," the "professional school administrator's certificate,"

[3]Letter dated November 1, 1972, from the superintendent to the governor.

and the "temporary school administrator's certificate." The latter two were issued to school principals and vice-principals. For educational officers other than principals and vice-principals, no special certificates were issued, but they were required, like school principals and vice-principals, to hold teaching certificates and have in addition 20 additional credits and five years of teaching experience. Certification thus was focused on teaching.

In February 1969, this office issued an audit report on the department of personnel services.[4] In it we noted that 11 positions in the DOE were being filled by persons who were not certificated and who were not civil service employees. We noted that the employment of these 11 non-certificated personnel as educational officers was in violation of HRS, section 76–16(11), which then simply read that "teachers, principals, vice-principals, district superintendents, chief deputy superintendents, and other certificated personnel in the department of education, not engaged in instructional work" are exempted from the classified civil service system.[5]

In May 1969, based on the findings of this office, the legislature amended HRS, section 76–16(11), by adding the exemption of "not more than twenty non-certificated administrative, professional, and technical personnel."[6] This exemption was added presumably to retain the 11 non-certificated personnel in their then positions and to provide some flexibility to the department in securing administrative, professional, and technical personnel not otherwise qualified for teaching certificates. It is significant to note that the legislature did not exempt *all* administrative, professional, and technical personnel in the DOE from the requirements of the State's civil service laws as it had previously done with respect to similar personnel at the university of Hawaii.

Then, in September 1969, the DOE revised its regulations on certification. As revised, the professional school administrator's certificate was retained for principals and vice-principals, but a new certificate–the "professional administrator's certificate"–was created. The requirements for this new certificate were specified as (a) a master's degree "or five years of equivalent college or university education" and (b) three years of teaching experience "or equivalent work experience as determined by the department." Either of these two requirements may be waived, according to the regulations, on the basis of "equivalent qualification or experience upon recommendation of the Superintendent and approval of the Board of Education."[7] Then, the "temporary school administrator's certificate" was eliminated and, in its place, a new certificate called the "temporary administrator's certificate" was substituted. This temporary certificate may be issued "to those who do not meet the requirements for" either of the two kinds of administrator's certificate–the school administrator's certificate or the professional administrator's certificate.[8] Under current practices, a temporary certificate is valid for one year, but is renewable indefinitely on a year-to-year basis.

Although a teaching orientation is emphasized for the professional administrator's certificate, the waiver provision and the provision for the issuance of the temporary administrator's certificate make it easy for the department to employ people other than educators as educational officers. Coming on the heels of the audit report and the enactment of the amendatory legislation, these actions on the part of the DOE can only be construed as an effort to provide itself with flexibility to employ administrative, professional, and technical personnel, outside the civil service system, in numbers greater than that specified by the legislature. There appears to be no other purpose for the issuance of the professional administrator's and the temporary administrator's certificates.

[4]Legislative auditor, State of Hawaii, *General Audit of the Department of Personnel Services* (audit report no. 69–4), February 1969.

[5]*Ibid.*, pp. 90–91.

[6]Act 127, SLH 1969.

[7]DOE, *School Code: Certificated Personnel Policies and Regulations* (5000 Series), Regulation No. 5303.

[8]*Ibid.*

First, if the purpose of the professional administrator's and the temporary administrator's certificates is to ensure competency in the job, this can be accomplished through the minimum qualification requirements. *Second,* the holding of such certificates does nothing for the non-educator administrative, professional, and technical personnel in terms of qualifying for a job anywhere else, private or public. For instance, an accountant or architect does not qualify for a job as an accountant or architect simply because he holds a DOE-issued "professional administrator's certificate." In this respect, it is different from holding a teaching certificate to qualify for a teaching job. *Third,* if the legislature intended to allow the DOE to engage as many administrative, professional, and technical personnel as it chooses, outside the classified civil service system, it would not have imposed such a ceiling as 20 in the hiring of these people. It would have imposed no ceiling at all, just as it did for the university of Hawaii. But, this, the legislature did not do.

Looseness in the issuance of certificates. That the professional administrator's certificate constitutes a deliberate effort to circumvent the intent of the statute is further indicated by the looseness with which the newly created certificates are issued. Those newly hired are automatically issued professional administrator's certificates, if they possess the necessary requisites. If not, they automatically qualify for and are as a matter of course issued (if there is a need to do so to stay within the statutory limit of 20) temporary administrator's certificates. There is nothing that the applicant needs to do to get either of these certificates. For the temporary certificate, there are no standards to be met.

The ease with which the certificates are issued is illustrated by the following example. During the course of our audit, we found that the DOE had in its employ 33 non-certificated educational officers. When informed that there were non-certificated educational officers, the DOE immediately issued temporary administrator's certificates to all employees it found to be without certificates. What is interesting, however, is the fact that, soon thereafter, the DOE proceeded to loosen even further the requirements for the professional administrator's certificate. It established "guidelines" to permit the substitution of work experience in management or administration (in a field "similar in difficulty and responsibility to that required for the position for which the individual is being considered") for the educational requirement above the bachelor's degree, on the basis of two years of experience for one year of educational requirement. In addition, the guidelines permit the substitution of advanced college education above the master's degree (or fifth year) for the experience requirement on a year-for-year basis.[9] Clearly, this change in requirements was to enable 19 of the uncertificated personnel to qualify for the professional administrator's certificates. This was acknowledged by the superintendent in his memorandum to the board of education requesting approval of the changes:[10]

> "Attachment E is a listing of all those educational officers in the Department of Education who are not currently recipients of the Professional Administrator's Certificate. You will note that the Department has exceeded the twenty. At this point, once the 'Equivalency Requirements for the Professional Administrator's Certificate' have been approved by the Board of Education, the list will definitely fall below the twenty as indicated in Section 76–16(11) of the Hawaii Revised Statutes."

Recommendations. *We recommend that the department of education:*

1. Cease the practice of issuing professional administrator's certificates for the purpose of evading the statutory limitation of

[9]DOE, "Equivalency Requirements for the Professional Administrator's Certificate," attached as attachment 2 to letter dated November 1, 1972 from the superintendent to the governor.

[10]Memorandum, dated November 28, 1972, from the superintendent to the chairman, board of education, re: "Equivalency Requirements for the Professional Administrator's Certificate." The list of educational officers mentioned in the quote in the text contained the names of 29 EOs with temporary administrator's certificates, 22 of whom had no certificate during our audit in March. We believe that another 11 DOE employees are without even temporary certificates.

employing not more than 20 non-education certificated administrative, professional, and technical personnel outside the civil service system.

2. Examine the appropriateness of the civil service laws in general and HRS, section 76–16(11), in particular, in meeting the needs of the department for such non-educator administrative, professional, and technical employees and propose such amendatory legislation as necessary to the State legislature.

Temporary Help

Another group of positions which would normally be within the classified civil service system but are exempt from that system are:

- "Positions filled by persons employed by contract where the director of personnel services has certified that the service is special or unique, is essential to the public interest and that, because of circumstances surrounding its fulfillment, personnel to perform such service cannot be obtained through normal civil service recruitment procedures." Any such contract is good for any period not exceeding one year. (HRS, sec. 76–16(2))

- "Positions of a temporary nature needed in the public interest where the need for the same does not exceed ninety days," provided the director of personnel services certifies "that the service is of a temporary nature and that recruitment through normal civil service recruitment procedures is not practicable." The employment of any person for service of a temporary nature "may be extended for good cause for an additional period not to exceed ninety days upon similar certification by the director." (HRS, sec. 76–16(3))

These positions are known as category "D" positions in the personnel rules and regulations of the State of Hawaii, issued by the State department of personnel services.[11]

There are certain category "D" exempt positions in the DOE whose exemption status is highly questionable.

1. ***Ninety-day temporary positions.*** For a position to be exempt under HRS, section 76–16(3), the statute requires that:

- the position be of a temporary nature;
- the position be needed in the public interest;
- the need for the position not exceed 90 days; and
- recruitment through normal civil service recruitment procedures be impracticable.

There is a janitress position in the DOE which was exempted from the civil service laws by the department of personnel services pursuant to HRS, section 76–16(3), although the position does not meet the requirements of the section. *First,* this position is not of a "temporary nature." The occupant of this position has been continuously on board since May 16, 1969–that is, for a period longer than the 90 days prescribed by statute and longer than the 90 days plus an additional 90 days permitted by statute.[12] *Second,* since there are other janitress positions within the classified civil service law, it is difficult to believe that recruitment for this position through normal civil service recruitment procedures is "not practicable."

In this connection, we note that the initial employment of the janitress by the DOE was illegal. The janitress was hired some 180 days

[11] State of Hawaii, *Personnel Rules and Regulations,* January 1972.

[12] It appears that, in approving the exemption, the department of personnel services failed to stipulate the exemption expiration date. The DOE took advantage of this and continued the employment of the janitress over the years. Although no exemption expiration date was stipulated, the DOE is bound by the statutory limitation.

before the department of personnel services approved the exemption of the position from the civil service laws.

2. ***Contract for "special" or "unique" services.*** For a position to be exempt under HRS, section 76–16(2), the statute requires that:

- the service rendered in the position be special or unique;
- the service be essential to the public interest; and
- because of circumstances surrounding its fulfillment, personnel to perform such service be unobtainable through normal civil service recruitment procedures.

The statute further provides that, if the required conditions are met, the position may be filled by contract, provided the contract does not exceed a period of one year.

There are a number of positions in the DOE which are exempt under the provisions of HRS, section 76–16(2). Included in these positions are such positions as TESOL tutors, student helpers, college student aides, graduate student aides, evening office clerk, registration clerk, office aide, clerk, departmental assistant, etc. Those who fill these positions are in essence part-time workers. There are as many as 420 of these positions in the DOE, some of which were created as far back as 1964. There are several reasons to believe that these positions are improperly exempted under HRS, section 76–16(2).

a. ***"Special" or "unique."*** None of these positions can be said to provide services that are special or unique. The services provided by TESOL tutors consist essentially of teaching English to non-English-speaking students. It appears that even the department of personnel services seems to think that these positions should not be exempt under HRS, section 76–16(2). In approving the exempt status of these positions, it expressed its belief that the services provided by TESOL tutors "fall within the certificated area," and it thus requested that the DOE, after expiration of the period of exempt status, include these positions within the DOE's certificated system.[13]

The services provided by student helpers, college student aides, and graduate student aides are essentially clerical in nature–typing, filing, collating, xeroxing, answering the telephone, sorting mail, running errands, etc. Such tasks are hardly "special" or "unique." The services provided by the other positions–evening office clerk, office aide, clerk, registration clerk, etc.–are also essentially clerical and thus not "special" or "unique."

b. ***Normal civil service recruitment procedure.*** Not only do these positions fail to provide services that are "special" or "unique," but it does not appear that any of them has been shown to be impossible to fill through normal civil service recruitment procedures, much less because of circumstances surrounding the fulfillment of those services. At least, we have found none in the records of the department of personnel services and in the records of the department of education.

c. ***No contract.*** The positions exempt under section 76–16(2) are those which are filled by *contracts*. Category "D" positions currently filled under this section are, however, not filled by contracts. Those appointed to these positions fill out the standard personnel action forms like any other regular employee of the State.

d. ***One year.*** The statute provides that the contract by which a position, exempt under HRS, section 76–16(2), is filled shall not extend beyond one year. Unlike section 76–16(3), section 76–16(2) does not provide for an extension of the time period. However, on occasions, the DOE, with the concurrence of the

[13] Letter, dated August 10, 1971, from the deputy director, department of personnel services, to the superintendent, department of education.

department of personnel services, has extended an individual's employment beyond the first year. In at least one case, an individual's employment was extended at least twice, each of a year's duration.[14] It appears that the DOE routinely asks for a continuance of exempt status whenever the period of exemption expires, particularly when the DOE has funds available to continue filling a position, and the department of personnel services, as a matter of course, grants such a continuance.

From the above we conclude that section 76–16(2) is currently being misused. We believe that the positions of TESOL tutors, student helpers, college aides, evening office clerks, office aides, clerks, etc., should be hired through the normal civil service recruitment procedures.

Note that these positions do not qualify for exemption under HRS, section 76–16(3), for they are not positions of a "temporary nature" needed in the public interest for a period "not exceeding ninety days." Rather, these are positions which are, as a matter of course, filled for periods ranging longer than 90 days. Moreover, these positions are not ones which are filled to meet some sudden work load or other problems in the DOE requiring immediate help, making it "impracticable" to recruit people through normal recruitment procedures. Further, although these positions are often referred to by both the department of personnel services and the DOE as "temporary" positions, they are in fact permanent, rather than temporary, positions. These positions are never abolished. Whenever an incumbent's services in any of these positions is terminated, the position continues to be carried on the books of the DOE. Later, when desired or when moneys become available, that position is "reactivated," and, if at that time, the time period of the exempt status has expired, an *extension* of the exempt status is asked for and granted. No new justification for the position is apparently required; that is, the procedure prescribed for the creation of a new position is not followed.

[14]This is not to imply that, when a contract expires at the end of one year, another contract with *another person* might not be permissible. The statute is silent in this regard.

Recommendations. *We recommend that:*

1. The department of education submit to the department of personnel services an inventory of all positions which have ostensibly been exempted from the classified civil service system under the provisions of HRS, section 76–16(2), and HRS, section 76–16(3).

2. The department of personnel services review the inventory of positions and determine which positions have been improperly exempted under the applicable laws, which positions should be included in the classified civil service system, and which positions should be certificated.

Student Helpers

The DOE employs approximately 175 persons during the year as student helpers at a cost of about $1 million a year.[15] There are four categories of student helpers: (1) student helper I ($1.60 per hour), (2) student helper II ($1.87 per hour), (3) college student aide ($2.39 per hour), and (4) graduate student aide ($2.77 per hour). Students hired as student helpers I are usually freshmen and sophomores in college. Students employed as student helpers II are usually college juniors and seniors, although juniors and seniors may also be employed as college student aides if they are able to apply their "scholastic knowledge and . . . talent to an actual work situation." Students working towards master's degrees are hired as graduate student aides.

The questionable practice of hiring student helpers on an exempt status under HRS, section 76–16(2), (contracts for special or unique services) has been discussed above. We note here three additional aspects of this student helper program.

Classification without distinction. Although student helpers are grouped into four

[15]In fiscal year 1970–71, the department spent a total of $1,020,000 for student help. Of this amount, $557,265 came from the State general fund, $458,982 from federal sources, $3,463 from special funds, and $300 from trust and agency fund.

categories, there appears to be no real distinction in the work performed by three of the four categories of student helpers: student helpers I, student helpers II, and college student aides.

The job descriptions contained in the forms[16] used to hire these three categories of student helpers are as follows:

- ***Student helper I.*** "The student is expected to perform the kinds of simple tasks which he may learn to do in a short period of time through brief oral instructions, by watching others, and by repetition . . ." The supervision is direct and the work completed is inspected quickly and without difficulty.

- ***Student helper II.*** "At this level the student is expected to perform a small number of simple tasks which conform to an obvious pattern with little deviation." The student's success in the performance of these work tasks is related to the degree to which he is able (1) to apply some bit of elementary knowledge to a work task, or (2) to apply some rudimentary, manual ability to a work process. The supervision is direct and the work completed is inspected without difficulty.

- ***College student aide.*** "The emphasis at this level is the performance of a part of the basic duties of an entry-level class of work in an occupational grouping. After orientation and with daily guidance, the college student aide will apply, within limits, certain scholastic knowledges and his talents to an actual work situation. Depending on the department concerned and the occupational grouping, the work may be in administrative, professional, technical, or other activities. University, college, community college students who are well on the way towards completing their major courses of study are included in this level."

[16]"Request to Hire Student Helper."

The job descriptions of student helpers I and student helpers II are difficult to distinguish. There appears, however, to be some distinction between student helpers I and II and college student aides.

In practice, the actual work performed by each of these three categories of student helpers is essentially the same. There is no difference between and among the categories as to the difficulty of task or degree of knowledge which an individual must possess to be able to perform his work. Basically, all student helpers perform the same type of clerical tasks: typing, filing, xeroxing, printing, collating, cutting paper, answering the telephone, sorting mail, and running errands.

Since the type of work performed by all student helpers in these three categories is basically the same, there is no basis for distinguishing between and among them at all. Perhaps a more equitable categorization of student helpers is the one employed at the university of Hawaii where all undergraduate students are grouped together and all graduate students are grouped together. In this connection, however, note the sections which follow.

Questionable qualification requirements. The department of education professes to require the skills of college and graduate students and thus restricts the employment of part-time student helpers to students at accredited two- or four-year colleges. Yet, student helpers are currently used to perform such clerical tasks as typing, filing, xeroxing, running errands, collating, etc. These are tasks which students enrolled in secretarial programs at business schools can perform. Indeed, in light of the nature of work actually performed, it would appear that, in terms of future vocation, students enrolled in secretarial programs in business schools stand to gain more from the work experience than college students majoring in engineering, science, social work, etc.

We believe that, if student helpers are to be limited to performing only clerical tasks, the requirement that they be college students is unreasonable. On the other hand, if they are intended to be used in a manner which requires the application of skills and knowledge of college students, then they must begin to be assigned commensurate tasks. We are informed that the immediate supervisors of these student helpers (usually classified civil service clerks and stenographers) are reluctant to utilize student helpers but for such menial tasks as xeroxing, running errands, answering telephones, etc. Perhaps the intent to utilize college students is not being achieved because of the lack of training of these immediate supervisors as to how they may utilize the students commensurate with their skills and knowledge. On the other hand, perhaps the answer lies in assigning persons other than clerks and stenographers as immediate supervisors of these student helpers. In any event, so long as only menial and clerical tasks are to be assigned to student helpers, there appears to be no reason to restrict recruitment only to those students who are enrolled in two- or four-year colleges.

Lack of an open recruitment process. Each office within the department recruits its own student helpers. These students are selected for employment, not through any open recruitment process, but through referrals. Most of the referrals are made by DOE employees. For example, out of a sample of 16 students, 11 heard of the job openings through either a friend or relative employed by the DOE, three heard of the jobs from the Kapiolani community college, and two from the office of financial aid at the university of Hawaii, Manoa campus. The only offices which recruit students from sources other than simply DOE employee referrals are the office of personnel services and the curriculum development and technology branch (formerly the Hawaii curriculum center).

The office of personnel services has an agreement with the Kapiolani community college, whereby the college may refer students from a general business course offered by the college.[17] The curriculum development and technology branch, physically situated at the university of Hawaii, utilizes the university's office of financial aid as a source of student helpers. However, in both cases, these other sources are secondary to DOE employee referrals.

There is much to be said in favor of employing students as part-time helpers if the need for part-time assistance indeed exists. It benefits students financially and provides them with work experience. However, we believe that the opportunity to apply and to be considered for these part-time jobs should be available on a fair and equal basis to all qualified students who may desire such employment. We do not believe that the current practice of referrals by DOE employees assures the employment of students on a fair and equitable basis.

Recommendation. *We recommend that the department of education re-examine its classification, utilization, and recruitment practices with respect to student helpers and that it establish a system which will:*

- *distinguish the tasks which are to be performed by the student helper I position from those of the student helper II position, or, alternatively, if the tasks are not distinguishable, establish a single student helper position;*
- *assure that college student aides are utilized in work commensurate with their skills and knowledge; and*
- *open up positions to students from business schools as well as colleges and solicit applications through an open and publicized recruitment process.*

[17] The Kapiolani community college offers an elective course in its two-year secretarial program entitled "Business 55." Through a verbal agreement reached in 1971 between the college and the office of personnel services, the office agreed to notify the college of available positions. Students are informed by their course instructor that positions are available, and interested persons contact the office. At the present time, four students (out of a class of 67 students) are employed by the department.

PART VI

RESPONSES OF AFFECTED AGENCIES

COMMENTS ON AGENCY RESPONSES

In accordance with our customary practice, on February 10, 1973, we transmitted to each agency affected by our examination a copy of the preliminary draft of this report. In our transmittal letter, we requested each agency to submit in writing its comments on the audit recommendations, indicating the specific actions it has taken or will take with respect to the recommendations. Separate requests for comments were made of the superintendent of education, the board of education, each of the district school advisory councils, and the department of personnel services. A copy of the transmittal letter sent to the board of education is attached as attachment no. 1. Similar letters were sent to each of the other parties, except that with respect to the department of personnel services, we directed the department's attention to chapter 28 of the report, which is the only chapter which affects that department.

All but the central Oahu district school advisory council responded to our request for comments. The board of education and the superintendent of education submitted a single, joint response. The district school advisory councils, except the Honolulu district school advisory council, routed their responses through the superintendent of education. The Honolulu district school advisory council submitted its response directly to our office. The Kauai district school advisory council submitted two responses, one directly to our office and another through the superintendent of education. All of these responses are attached as follows:

Attachment No.	Agency
2	Board of education; superintendent of education
3	Kauai district school advisory council (sent directly to this office)
4	Kauai district school advisory council (sent through the superintendent of education)
5	Maui district school advisory council
6	Hawaii district school advisory council
7	Windward district school advisory council
8	Leeward district school advisory council
9	Honolulu district school advisory council
10	Department of personnel services

GENERAL EVALUATION OF THE AGENCY RESPONSES

The district school advisory councils in the main confined their comments to the recommendations contained in chapter 6, relating to advisory councils. The department of personnel services limited its comments to the recommendations contained in chapter 28, relating to exempt positions in the DOE. The board of education and the superintendent of education commented on all of the recommendations contained in the report.

In general, the responses are positive and assurances have been given that steps will be taken (if not now already being taken) to implement the recommendations contained in our report. All of the district school advisory councils, except the Kauai council, are in agreement with all of the recommendations contained in chapter 6. The department of personnel services agrees with our recommendations contained in chapter 28. The board of education and the superintendent of education agree with all of our recommendations, except one—that relating to the early childhood education program.

Although all parties are in general agreement with our recommendations, there are a few issues raised in the responses which require our comment.

AUDIT METHODOLOGY

The department of education (the response of the board and the superintendent of education) questions our audit methodology and techniques used in fact-gathering and analysis, particularly with respect to our findings in chapter 11 on staffing.

However, the department does not contest our findings and recommendations. That the DOE should question our methodology and techniques is not particularly alarming. When an agency is presented with an audit report which casts an unfavorable light on its management and operations, it can react in one of two alternative ways. *First,* there is something wrong with the audit. *Second,* there is indeed something wrong with the agency's management and operations. It is reasonable to expect that the initial reaction will be along the lines of the first alternative rather than the second. We believe, however, that, having agreed with virtually all of the audit recommendations, the department will now, upon reflection, more fully explore the second alternative.

COMPLEXITY OF THE AUDIT

In chapter 1, we noted that this audit was an unusually complex one to conduct. We said that what made the audit complex was the lack of those kinds of data and documentation which one would reasonably expect a large organization such as the DOE to develop and maintain. The department in its response suggests that perhaps the complexity arose from this office's work load problems. This response reveals very little understanding on the part of the DOE as to what an audit is all about. Work load problems, while they may contribute to a delay in the completion of an audit, do not make an audit itself complex. An audit becomes complex when the facts necessary for analysis are hard to come by. Contrary to the intimation of the department's response that the DOE's lack of data is no greater than that experienced by most large and geographically dispersed organizations, we have found that the DOE lacks even the most elementary data necessary for the successful management of its affairs.

EXECUTIVE v. BOARD OF EDUCATION

The Honolulu district school advisory council expresses disappointment that our audit report makes no recommendation with respect to whether the department of education should be headed by a single executive, an appointed board, or an elected board. We noted

in our report that this question is one which must initially be determined by the legislature or a constitutional convention and ultimately by the people. We did so deliberately because (1) there are just as many valid arguments for one of these options as there are for the others, and (2) contrary to the suggestions of the Honolulu district school advisory council, efficiency and effectiveness of management do not necessarily turn on whether the head of the department is a single executive, an appointed board, or an elected board.

Whether or not the department of education is headed by a single executive, an appointed board, or an elected board has a bearing on the extent to which the policy decisions of the head of the department are *final.* However, it does not determine whether the head of the department can or must make policy decisions. The head of the department, whether a single executive, and whether appointed or elected, must by nature of its office, make policy decisions. In addition, the recommendations made throughout our report are managerial recommendations and thus equally applicable, whether the department of education is headed by a single executive, an appointed board, or an elected board.

BOARD OF EDUCATION

The department of education states that, by confining our focus on the kinds of decisions made by the board via the board minutes, we have presented "an unbalanced picture" of the kinds and amount of work the board engages in. The department notes that the board's activities include committee meetings, study sessions, conferences, legislative efforts, PTA, advisory council meetings, visits to schools, districts and state office, public hearings and meetings, and collective bargaining negotiations.

Nowhere in our report did we intimate that the board is not busy. Our concern has been one of whether the board is carrying out its principal function of making policies for the department. On that score we found that the board is not meeting the expectations of the State Constitution. Throughout our report we cited numerous examples of instances where policy matters were not being acted upon by the board of education. The countless hours spent are for naught unless the board develops, in the words of the department's response, "appropriate strategies . . . [which are] in tune with real needs."

STAFFING GENERALLY

As expected, a great portion of the department of education's comments deal with our chapter on staffing at the state office. We think it appropriate to dispose of some of the points raised in the response.

1. The department of education notes that the 87.3 percent increase in the number of educational officers is "only remotely connected with student enrollment growth or new school construction," and that "this growth can be attributed to the thrust of the entire state government to improve its capability in such areas as planning, budgeting, personnel administration, information systems, evaluation and . . . the continuous demand for the development of new educational programs and methods of instruction—the responsibility for which rests primarily on the state office staff." The response then cites and attaches an excerpt of a report issued in 1962 which pointed out the need to strengthen the state-level staff of the DOE "if Hawaii's educational system is to remain viable."

These are the very arguments which the DOE has consistently used in seeking expansions in the state office staff. Yet, even with such an increase in the number of

educational officers at the state office, as noted in our report, the functions of planning, budgeting, personnel administration, information systems, evaluation, and curriculum development are not being performed as they should. Excellence in the performance of these functions does not depend solely on the number of people employed. Proper selection, placement, training, supervision, management, and control of personnel and proper managerial processes are essential ingredients. Our report is replete with examples of educational officers (1) not performing the tasks they are supposed to be performing, (2) performing tasks which are clerical in nature and thus better left to classified civil service personnel, and (3) performing tasks the nature of which does not justify the continued existence of their positions. If any reason needs to be given for the growth in the staff of the department of education, it would appear to be this: poor managerial practices and inefficiency.

2. The department of education finds it "strange" that we would compare an employee's current assignments against the duties and responsibilities reflected in a description of his position when we noted in chapter 23 that the DOE does not maintain official position descriptions for every teacher and educational officer and that what descriptions as may exist are unofficial, do not cover all positions, and are grossly inadequate. We find nothing strange about this.

In the first place, we compared current assignments not only against whatever available descriptions of positions, but also against descriptions of missions contained in the DOE policies and *Plan of Organization* of the section, branch, and office to which the position belongs. In the second place, no matter how unofficial or how inadequate available documents pertaining to a position may be, they nevertheless provide some hints as to what work was intended to be performed by the position.

3. The department states that it is grossly unfair to overlook such matters as overtime in the course of our examination of staffing. It notes that educational officers work at nights, holidays, and weekends, particularly during the hectic period when the legislature is in session. We acknowledge that there are people in the DOE who work overtime, at nights, on weekends, and on holidays, especially during legislative sessions. But we also observe that often such overtime work is necessary, particularly during legislative sessions, because the DOE's system does not make it possible for the DOE to supply needed information readily, thus requiring the input of additional manhours to cull out the needed data. The lack of adequate data within the DOE is covered in our report.

4. The department notes that collective bargaining has had an impact on the work load of the DOE staff and on the duties and responsibilities of the staff. We note that staff work is often required to support collective bargaining because of the DOE's insufficient record-keeping and information systems. Surely time must be spent to collect the necessary information when such data as the number of positions within the DOE are not readily available. We further note that the DOE specifically budgets for collective bargaining administration. For example, for the fiscal biennium 1973–75, the sum of $87,253 is budgeted for each of the fiscal years included in the biennium for a biennium total of $174,506.

5. The department states that our report presents a "paradox" in that the chapter on staffing points to a need for a reduction of work force in the state office, while the balance of our report "calls for a heavy agenda of what needs to be done by the department in order to attain management excellence." It then notes that much of the work suggested by the report would have to be shouldered by the state office and that "it would be difficult to reduce [the DOE's] work force and carry out all that is suggested in [the audit] report."

We see no paradox. The mere fact that our report notes the need for much work to achieve managerial excellence does not in and of itself justify the continuance of the number of educational officer positions which exists today. In our report, we noted where certain positions appear to be unnecessary in light of the work performed and the work expected of the positions. We also noted positions where a re-direction of the people occupying those positions toward work which is expected of those positions is required (e.g., recruitment branch). By and large, we believe that it is this re-direction of efforts which is required rather than additional personnel. Of course, there may be some instances where in order to carry out our recommendations additional manpower may be necessary. However, in such cases, it is a question of reallocation of positions. But, even then, the continued necessity of all existing positions is doubtful. In any event, we believe it to be extremely premature for the DOE to claim the need to retain the same number of educational officer positions as it now has, without the benefit of analysis recommended in chapter 11 of our report.

A COMPARISON OF OPS AND DPS

In chapter 11, we compared the total manpower of the office of personnel services in the department of education with the total manpower of the department of personnel services. We noted that the DOE's 66 employees in the office of personnel services service about 9,700 DOE certificated employees for a ratio of 147 certificated employees to one employee in the office of personnel services; and that the department of personnel services' 65 employees service over 14,137 civil service and certain exempt civil service employees for a ratio of 217 civil service and exempt civil service employees to one department of personnel services' employee. We said that these ratios clearly show that the department of personnel services with its 65 employees handles 50 percent more employees than the DOE's office of personnel services with its 66 employees.

The department of education states that this is not an accurate comparison because we have "excluded over 5,500 civil servants who are serviced by DOE's Office of Personnel Services." It then notes that if this number of civil servants are added to the 9,700 certificated employees, we will have "a more accurate ratio of 231:1 as compared with 217:1 for the State Department of Personnel Services." The department claims that without this correction, the report "distorts the picture."

We disagree. The 66 employees in the DOE's office of personnel services do not *service* the 5,500 civil servants in the department of education. If at all, there are at most about nine in the classified branch who work on classified civil service employee matters. But, even then, they do not really *service* classified civil service employees in the DOE. The responsibility for *servicing* all classified civil service employees of the State, regardless of where they may be situated, is in the State department of personnel services. Thus, it is the department of personnel services that recruits, trains, and promotes the civil service employees in the DOE. The department of education, like all other agencies, does not and cannot render decisions regarding civil service personnel matters. At most, the DOE, like any other agency, simply processes and routes required personnel forms to the department of personnel services and retains the personnel data of the civil servants situated in the DOE.

PROGRAM SPECIALISTS

In chapter 11, we noted the need for a reorganization of the general education branch. We suggested that the basic unit for organizational purposes be less oriented towards

curriculum areas and activities and that a pool of program specialists be created enabling specialists to move from one curricular area to another.

The department states that it fails "to fathom" why we do not see the need for experts in such areas as science, mathematics, social studies or language arts. It states that the desirability of having curricula developed through a team effort "does not obviate the need for curriculum subject experts in the state office."

We think the department misreads our report. We suggested that "the slotting of program specialists into particular curriculum areas should be kept to a minimum." This does not mean that there should be no subject matter experts in the state office. Our finding is that the current method of organizing the general education branch—that is, using subject matter areas as the basis for organization—leads to a proliferation of program specialist positions as new curriculum areas and new sets of activities become implemented. Note, the appointment of such program specialists as those for TESOL, early childhood education, and artmobile. Since curriculum development by task forces or commissions, rather than by a single individual, is desirable, what is needed in the general education branch are people with leadership qualities to lead such task forces and commissions.

MIDDLE MANAGEMENT

The department states that our failure to discuss the operational processes or the functional relationship between the supervisory middle management and the program and staff specialists "leaves a most glaring and serious gap in the audit!" It notes that "over the years, it is middle management which is the relatively stable management layer, and, therefore, is a most critically important body of managers deserving careful attention."

We agree that the function of middle management is an important subject of discussion. We believe, however, that this question of the role of middle management is raised in the department's response because there is a misreading of our report. Throughout our report, we noted deficiencies in managerial processes. For example, in part IV, "Curriculum Management," we noted deficiencies in program analysis, program design, pilot-testing, evaluation, etc. A substantial amount of work in these areas is performed by program specialists—that is, by those at the lowest level of the organizational hierarchy in the DOE. The DOE, thus, apparently assumes that we are being critical *only* of the program specialists. This, of course, is not the case.

Our approach in writing the report was one of focusing on the processes employed in doing these various things. All persons in the DOE hierarchy who have operational and managerial roles in doing any of these things must share in the responsibility for deficiencies. This means that directors and administrators (who constitute middle management) must assume equal or more responsibility with program and staff specialists for failures and inadequacies (as well as for successes) in the work and products produced by the specialists whom the directors and administrators supervise.

Although we think our report is sufficiently clear in this regard, to avoid any misunderstanding, we have added appropriate paragraphs in chapter 11 describing the responsibilities of directors and administrators.

PROGRAM ANALYSIS: EARLY CHILDHOOD EDUCATION

The one recommendation with which the department of education expressly disagrees is our recommendation on early childhood education contained in chapter 14, "Program Analysis." In that chapter we noted that program analysis is not now being performed in the manner it should. We used as our example the early childhood education study which was conducted by the DOE in 1971. We noted that the study did not properly and adequately identify the issues, the program objectives, the measures of program effectiveness, and the viable options to attain the program objectives and that it did not calculate the full system costs of the recommended program. We further noted that, despite this lack of adequate analysis, the DOE is proceeding to design and develop an early childhood education program. We recommended that further design and development of this program be suspended until the analytical shortcomings identified in the chapter have been corrected.

The DOE in its response states,

> "The Board of Education feels program designing and development does not imply implementation. Budgetary implications will be a result of designing and development from which implementation priority will be developed. Here we do not agree with the recommendation."

This response reveals a lack of understanding and appreciation of the purpose and importance of program analysis and its relationship to program design. Program analysis requires, among other things, explicitness in the statement of the objectives to be attained and a comparison of the cost-benefits of various optional means of attaining those objectives. Program design, on the other hand, is a task in which the components and configurations of the program selected on the basis of analysis are specified in detail. An *adequate* program analysis must, thus, *precede* program design.

To permit the design and development of early childhood education program to continue without re-analysis means the design of a program selected without the benefit of proper analysis of the costs, benefits, and effects of various optional ways of achieving the objectives (yet to be defined) for early childhood education.

RECRUITMENT: VACANCY ANNOUNCEMENTS

In chapter 24, we stated that the DOE does not always announce vacancies in educational officer positions to enable all people interested to compete on an equal basis for the positions. We noted that this failure to announce vacancies is in violation of DOE's own regulations. The department of education does not dispute our findings and recommendations. It reports, however, that the accuracy of our table included in chapter 24 (table 24.1, showing the number of positions filled during the period July 1, 1971 to March 1972 for which no vacancy announcements were issued) is in question. It notes in its response what it believes to be the proper figures which should be noted in the table.

In light of this response, we re-examined our figures in table 24.1 and found that our table was indeed in error. The error occurred in transferring raw data into the tabular format. We have thus corrected our table. In correcting the table, we have given the DOE the benefit of any doubt. As corrected, however, our figures still do not agree with the figures supplied by the DOE in its response to our report. The difference in the figures is the result of several things which we note here.

1. Our figures, as corrected, are based on data supplied to us by the DOE during the course of our audit. The fact that the DOE's new set of figures differ from those supplied us earlier confirms our findings set forth in our report that the DOE's record-keeping system is such that it is unable to furnish the same information in any consistent fashion.

2. The DOE's latest figures exclude reclassified positions which were filled at the time of the reclassification actions. Even accounting for reclassified positions, the figures supplied by the DOE in its response do not jibe with the figures furnished us earlier by the DOE. More important, the exclusion of all reclassified positions which were filled at the time of the reclassification actions distorts the picture. We noted, in chapter 25 on promotions, that the DOE often uses reclassification as a device to promote individuals to higher paying positions. For example, staff specialist I positions are often reclassified to staff specialist II, and classified positions are reclassified to educational officer positions. We believe that these positions should be included in counting the number of positions which are subject to vacancy announcements, for such reclassifications are not *true* reclassifications at all, but promotions to new positions. The only true reclassification (which should, thus, not be counted) is as stated in the DOE's own regulations, that which changes an existing position because of changes in duties and responsibilities owing to internal reorganization of an office.

3. The DOE's figures inconsistently include some and exclude other positions filled on a "temporary" basis. Our figures include positions filled on a "temporary" basis, except those which are *truly* temporary—e.g., positions filled by a lower level personnel pending the return of the incumbent from a sabbatical.

4. The DOE's figures also contain the following error. The number of vacancy announcements appear to be those announcements made during the period July 1, 1971 to March 1972, and not necessarily those announcements made with respect to the positions listed as having been filled during July 1, 1971 to March 1972. In other words, the figures in the "vacancy announcement" column are not related to the figures in the "positions filled" column.

CERTIFICATION AND EXEMPTION

The department of personnel services, although in general agreement with our recommendations contained in chapter 28, raises a number of issues with respect to certification and exempt positions in the DOE. We discuss these issues here. We do so in light of our recommendations to which the issues apply.

1. We recommended that the department of personnel services establish controls to assure that no positions are exempted from the civil service laws without the prior review and approval of the department.

The department notes that there are two categories of exempt positions: (a) those which are *by law* exempt, such as positions filled by elected officials, department heads, teachers, principals, legislative employees, justices, judges, notaries public, jurors, etc., and (b) those which are exempted due to unique employment conditions, such as positions which are special or unique, temporary, impractical to fill through normal civil service recruitment procedures, etc. As to the first of these categories, the department states that no controls are needed. We agree. Our focus in chapter 28 has been with those positions of the second category over which controls are required.

As to the second category of exempt positions, the department states that it has "always had a system for the approval and management" of these positions and that under a *new* system established jointly with the department of budget and finance in May 1972, the controls over initial exemptions and extensions will be improved. The department acknowledges, however, that the control procedures had not in the past been applied to the 20 non-certificated, administrative, professional, and technical employees in the DOE. It states that these positions will in the future be included in the control procedures.

Our findings indicate, of course, that the controls which the department of personnel services states it "always had" has not prevented violations of statutes from occurring. We noted in our report that positions in the DOE have been granted exempt status when they should not have been. Further, we do not believe that the so-called "new" procedure will *in and of itself* improve the control mechanism. The new procedure in essence consists simply of a revised form. A conscious effort must be made to review all requests for exempt positions if controls are to be meaningfully exercised.

2. We recommended that the department of personnel services maintain an up-to-date listing of all exempt positions in the State, including those of the department of education, in accordance with the State's personnel rules and regulations.

The department of personnel services in its response states that it does maintain a register of the exempt positions of the second category—i.e., positions which are unique, temporary, impractical to fill through normal civil service recruitment procedures, etc.—but relies on the line agencies to maintain a register of exempt positions of the first category—judges, jurors, elected officials, teachers, etc. With respect to the first category of exempt positions, the department notes that there are thousands of such positions in the State and that, without an automated system, the sheer number makes it unreasonable to require the department to maintain a register of these positions. We note, however, that the State regulation imposes the responsibility for the maintenance of such a register on the department of personnel services. It would appear that unless each line agency does indeed maintain a register of these positions which is accurate and up-to-date as to permit the department of personnel services to rely thereon, the department of personnel services must itself maintain one. We noted in our report that the DOE does not maintain such an accurate, reliable, up-to-date register.

With respect to the first category of employees, contrary to its representation, the department of personnel services does not maintain a register of all positions included in this category. We noted in our report that we were unable to secure an up-to-date listing of all DOE positions falling within this category from either the department of personnel services or the department of education. Indeed, we pointed out that the department of personnel services, as of October 28, 1969, dispensed with its practice of maintaining individual position cards for certain classes of exempt positions which fall within this first category and that it does not maintain a file of DOE's temporary positions.

3. We recommended that the department of education submit to the department of personnel services an inventory of all DOE temporary positions and that the department of personnel services review the inventory to determine which positions have been improperly exempted under applicable laws, which positions should be included in the classified civil service system, and which positions should be certificated.

These recommendations were made in light of our findings that positions in the DOE were being improperly exempted from the classified civil service system under those statutory provisions granting exemptions to positions of a temporary nature and positions which are special or unique.

The department of personnel services states in its response that, while it does not object to the submission of such an inventory for its review, it does not believe that it is necessary since work to reduce the number of such temporary, exempt positions is already under way. We are uncertain as to how this work is being carried out, but we believe that our recommendation should be followed, unless the department of personnel services has in fact received an up-to-date inventory from the DOE.

4. In our report we noted that student helper positions in the DOE are being improperly exempted under the provisions of HRS section 76–16(2). This statutory section exempts from the usual civil service laws positions which provide services which are "special or unique" and are essential in the public interest, and which, because of circumstances surrounding their fulfillment, personnel to perform such services cannot be obtained through normal civil service recruitment procedures. We noted that the work of the student helpers is not special or unique and the services to be provided by these positions are performable by persons who can be recruited through normal civil service procedures. We further noted that student helpers are from two- and four-year colleges but not from business colleges and are being recruited through referrals by DOE employees rather than through open recruitment. We recommended that student helper positions be opened up to students from business colleges as well as from two- and four-year colleges and that applications to fill these positions be solicited through an open and publicized recruitment process to enable all those interested an opportunity to apply for the jobs.

The department of personnel services in its response interprets our recommendation to mean that these student helper positions should be civil service positions and states that, if this interpretation is correct, it means that these positions would have to be opened to the general public and could not legally be limited to students. The department, however, notes and agrees with our statement contained in chapter 28 that there is much to be said in favor of employing students as part-time helpers, and states that in the absence of specific and clear legislation and "unless further direction is received," it will continue to approve the hiring of student helpers under section 76–16(2) as it has always done in the past.

Evidently, the department feels that it cannot continue to hire students if student helper positions must be filled through normal civil service procedures. We agree that if the normal civil service procedures are followed these positions cannot be limited to students. However, as a practical matter, we think that following civil service procedures will have little adverse effect on students. The relatively low-level, clerical work required of these positions, the low wages paid for the work, and the short-term nature of the positions would attract mostly students, even if the normal civil service procedures were to be followed. Further, open recruitment would enable all students, whether in two- or four-year colleges or in business schools, to compete on an equal basis for the jobs.

If the department of personnel services feels that a specific legislation relating to student employment is desirable, then it should formulate such legislation and present it to the legislature for enactment.

IN CONCLUSION

As stated at the outset, the responses of the agencies are generally positive. The few issues raised by both the department of education and the department of personnel services do not in any way alter our findings and recommendations. It is to be hoped that in the months ahead, the recommendations will be vigorously pursued.

ATTACHMENT NO. 1

THE OFFICE OF THE AUDITOR
STATE OF HAWAII
STATE CAPITOL
HONOLULU, HAWAII 96813

CLINTON T. TANIMURA
AUDITOR

YUKIO NAITO
DEPUTY AUDITOR

February 10, 1973

COPY

Mr. Hiroshi Yamashita
Chairman, Board of Education
Department of Education
P.O. Box 44
Keaau, Hawaii 96749

Dear Mr. Yamashita:

Enclosed is a copy of our preliminary report on the *Management Audit of the Department of Education.*

The term "preliminary" indicates that the report has not been released for general distribution. However, copies of this report have been forwarded to the Governor and the presiding officers of both houses of the Seventh State Legislature. In addition, we have forwarded copies of the report to the superintendent of education and the advisory councils.

The report contains a number of recommendations. I would appreciate receiving your written comments on them, including information as to the specific actions that have been taken or will be taken with respect to the recommendations. Please have your written comments submitted to us by February 26, 1973. Your comments will be incorporated into the report and the report will be finalized and released shortly thereafter.

If you wish to discuss the report with us, we will be pleased to meet with you, at our office, on or before February 19, 1973. Please call our office to fix an appointment. A "no call" will be assumed to mean that a meeting is not required.

We appreciate your assistance and cooperation.

Sincerely,

Clinton T. Tanimura

Clinton T. Tanimura
Legislative Auditor

Encl.

Note: Similar letters were sent to the superintendent, the school advisory councils, and to the department of personnel services.

ATTACHMENT NO. 2

STATE OF HAWAII
BOARD OF EDUCATION
P. O. BOX 2360
HONOLULU, HAWAII 96804

RECEIVED
MAR 6 1973
OFFICE OF THE AUDITOR
STATE OF HAWAII

March 5, 1973

Mr. Clinton T. Tanimura
Legislative Auditor
State of Hawaii
State Capitol
Honolulu, Hawaii 96813

Dear Mr. Tanimura:

We have reviewed your preliminary report on a Management Audit of the Department of Education and appreciate your efforts to compile this report and the opportunity to react to it.

We are in agreement with nearly all of the recommendations. This does not mean, however, that even with those recommendations with which we do agree, we necessarily concur with all of the assumptions, premises, findings, or depiction and interpretations of illustrative incidents contained in your report.

Furthermore, the question of their implementation is necessarily conditioned by the magnitude of the many tasks involved and by priorities, manpower, and finances. Some of the recommendations have already been implemented. Others are readily implementable. Still others are complex and difficult and will require considerable analysis and involvement of people before implementation is possible or wise.

In reviewing your report, we find, first, that we are hamstrung from the very outset to adequately critique it. Although your office has spent considerable time and effort between 1969 and 1973 to be able to produce such a voluminous report, you must realize, we are sure, that the time allotted to us to react to it was far from adequate to properly critique a document as important as this. Thus, we will provide you with our reactions to the extent

[Note: The response refers to the pagination contained in the preliminary report which was distributed to agencies concerned. Page numbering in the final report differs from that of the preliminary report. For the convenience of the readers, all page references contained in the agency's response have been altered to conform to the numbering in the final report.]

possible within the time constraint. On the other hand, the Board of Education intends to hold a series of study sessions in the coming months to review your analysis, findings and recommendations with the Superintendent and his staff for the purpose of setting priorities and a course of action to strengthen the Department of Education.

Second, the lack of adequate documentation of the audit methodology and techniques which were used in fact-gathering and analysis also inhibits our ability to give you a full critique. The lack of description forces one to either assume the validity and reliability of the audit methodology or to view the analysis and conclusions with less confidence. The subject matter of your audit report is too important to leave the question of methodology unanswered or, worse, to make an assumption of its validity and reliability.

At any rate, without appearing to discredit the enormous value of the audit as a management tool, we wish to express our concern over a number of errors of facts and omissions in the report, apparent misunderstanding of some events and curriculum or educational matters, and what we fear may be questionable methodology in some cases. Perhaps, most of these details may not change the general recommendations but may lead to substantially altering some of the specific recommendations. These specific recommendations are of major importance because they do, in essence, identify corrective steps to carry out the general recommendations. We do not intend to be exhaustive in citing examples from your report to support our concerns since time precludes doing so. However, the following are some glaring examples:

1. PART I, CHAPTER 1, PAGE [4]

   You state on this page that the audit was an unusually complex audit to conduct and that the principal problem was the lack of data and documentation in the Department of Education. We have no argument with this statement per se since lack of data and documentation is a common problem of most large and geographically

Part I, Chapter 1, Page [4](continued)

dispersed organizations. But if you feel obliged to explain why the audit was complex and carried out over a period of four years, a sense of fairness should lead you to explain also what problems, if any, your office had encountered by reason of other intruding workload, the period of time it took to fashion the audit scope and methodology, and the ability to get the necessary professional expertise assigned to the audit. This is an omission which needs to be corrected in order to provide a complete and fair explanation.

2. PART II, CHAPTER 3, PAGE [9]
PART II, CHAPTER 5, PAGE [23]

Your finding in both chapters--that the Board of Education expends more of its efforts toward managing and controlling the operations of the Department of Education rather than formulating policies and overall strategies for public education--is based upon seemingly inadequate methodology. We question the validity of tallying decisions in the Board's minutes to arrive at that conclusion. By confining your data gathering to the contents of the Board's business minutes, your staff obtained and presented an unbalanced picture of the kinds and amount of work the Board engages in. Your methodology assumes no other Board activites except what transpires in its formal business meetings. Ignored were the Board's committee meetings, study sessions, conferences, legislative efforts, PTA, advisory council meetings, visits to schools, districts and state offices, and public hearings and meetings. Moreover, only a brief mention is made of collective bargaining. There have been profound changes in policies before, during and after negotiations with the various collective bargaining units. The countless hours spent by Board members in policy revisions to accommodate collective bargaining agreements are not reflected in the Board minutes. Surely not all of these activities lead to immediate "strategic" decisions but one must understand that strategies are not made, and strategic decisions are not arrived at, in a vacuum. One of the underlying purposes of all of the Board's activities is to understand the needs of the public school system so that the appropriate strategies can be developed in tune with real needs.

3. PART III, CHAPTER 7, PAGE [39]
PART III, CHAPTER 11, PAGE [67]

We find that your findings in both chapters--that the state office has more employees than work appears to justify--are based upon inappropriate comparisons, questionable methodology, and omissions of important areas of scrutiny.

First, the statistical comparisons presented on pages 2, 3, and 4 of Chapter 11 are inappropriate and misleading inasmuch as the increase in the number of educational officers and teachers are due to different growth factors. The 38.6% growth in the number of teachers is largely due to increases in school enrollment and innovations in school programs. The 12.8% increase in the number of principals and vice principals is very much related to school enrollment growth but also affected by the number of new schools which are constructed. On the other hand, the 87.3% increase in the number of educational officers is only remotely connected with student enrollment growth or new school construction. Rather, this growth can be attributed to the thrust of the entire state government to improve its capability in such areas as planning, budgeting, personnel administration, information systems, evaluation and, in the case of education, the continuous demand for the development of new educational programs and methods of instruction--the responsibility for which rests primarily on the state office staff. As far back as 1962, when the state government commissioned a study on state and local government relationships, the study pointed out the need to strengthen the state-level staff of the DOE if Hawaii's educational system is to remain viable. An excerpt of that report is appended for your information. It is unfortunate that no attempt was made in your audit report to analyze or explain the reasons for the growth in staff of the Department of Education.

We need to point out further that the tables presented on page 4 show the growth in staffing for each of the state offices and district offices without establishing the adequacy or inadequacy of the staffing levels in the base year (FY1965-66). Without this assessment the percentage increase for each office over the seven-year period is not meaningful.

Part III, Chapter 7, Page [39] (continued)
Part III, Chapter 11, Page [67] (continued)

Second, your report has gone to great length to identify which positions in the state office seem justified or unjustified. We commend you for this effort but we would be interested to know exactly what methodology was used to arrive at these individual conclusions. A quick reading of our staff indicates that your audit staff relied heavily on personal interviews to ascertain how much time each employee spent on his job and what activities he was engaged in. As you know, this sort of information is often given from the "top of the head" and needs to be verified by supervisors and through other means in order to give it any credence. We also believe that your audit staff utilized whatever position descriptions that were available to compare an employee's current assignments against the duties and responsibilities reflected by the position description. We find this to be a strange methodology when, in chapter 23, page 7 of your audit report, you claim that the DOE does not maintain official position descriptions for every teacher and educational officer, and that what descriptions as may exist are unofficial, do not cover all positions, and are grossly inadequate.

Third, it is grossly unfair to overlook such a matter as overtime in the course of your examination of staffing. Our educational officers do not receive extra compensation for overtime work and yet Board members frequently observe our people working at nights, holidays and weekends, particularly during the hectic period when the legislature is in session. Although you state at the outset of the audit report that you do not intend to discredit the efforts of our employees, we need to be mindful that there is no greater responsibility for presenting a fair picture than when judgments are made about people.

Fourth, it is unfortunate that no real attempt was made to assess the impact of collective bargaining on the workload of the DOE staff,

Part III, Chapter 7, Page [39] (continued)
Part III, Chapter 11, Page [67] (continued)

or the extent to which it has changed the nature of the duties and responsibilities of the staff. Collective bargaining is a new and major demand on our work force and your study on staffing should have analyzed this impact on staffing to the extent possible.

Fifth, your report presents us with a paradox in that the chapter on staffing points to a need for a reduction of work force in the state office while the balance of your report calls for a heavy agenda of what needs to be done by the department in order to attain management excellence. As you may readily surmise, much of the work suggested by the audit report would have to be shouldered by the state staff. It would be difficult to reduce our work force and carry out all that is suggested in your report.

4. PART III, CHAPTER 11, PAGE [70]

The comparative ratios presented on page [70]of the audit report--showing the ratio of number of staff to number of employees serviced between the Department of Personnel Services and the DOE's Personnel Office--are not an accurate comparison because the report has excluded over 5,500 civil servants who are serviced by DOE's Office of Personnel Services. If this number of civil servants were added to the 9,700 certificated employees, you will have a more accurate ratio of 231:1 as compared with 217:1 for the State Department of Personnel Services. We hope that this error is corrected in your final report as it distorts the picture.

5. PART III, CHAPTER 11, PAGES [95–97]

In your analysis of the General Education Branch, Office of Instructional Services, the observation is made that the creation of separate program specialist positions for each curriculum area fosters the establishment of rigid enclaves, making coordination across discipline and activity lines difficult. Your report then proceeds to the conclusion that the General Education Branch should be reorganized and that the establishment of program specialists for particular curriculum areas should be kept to a minimum. The audit report further suggests that a pool of program specialists should be created so that the specialists are able to move from one curricular area to another.

The creation of a cadre of people who can attend to the needs which cut across curriculum areas is an interesting idea that we would like to explore. But we fail to fathom why you do not see the need for experts in such areas as science, mathematics, social studies or language arts. To suggest that a single individual should be able to move from science to social studies to mathematics lead us to question whether the auditors have sufficient knowledge and understanding of curricular development requirements to make such a suggestion. Your report is correct in that program and curriculum guides should not be fashioned by a single person. Because of this conviction, our program specialists have worked on subject-matter task forces and on inter-disciplinary groups whenever a matter requires the contribution of individuals with different expertise. We are also exploring the concept of curriculum commissions to gain greater participation by teachers, district curriculum specialists, university faculty and citizens in fashioning the curriculum of our public schools. This thrust, however, does not obviate the need for curriculum subject experts in the state office.

6. PART III, CHAPTER 11, STAFFING
PART IV, CHAPTER 14, PROGRAM ANALYSIS

Chapters 11 and 14 of the audit fail to emphasize the critical importance of middle managers.

The inadequacy--even omission--of hard analysis of the operational processes or the functional relationship (as against the decisional processes) between the supervisory middle management and the program and staff specialists, for example, leaves a most glaring and serious gap in the audit! Over the years, it is middle management which is the relatively stable management layer, and, therefore, is a most critically important body of managers deserving careful attention. What is, for example, the role and responsibility of middle management to make that critical professional or intellectual input with those whom they supervise to assure quality analysis, products, and services?

It should be explained that "middle management" constitutes every employee who supervises others and who is responsible to a higher management personage at the same time. Thus, the applicability of "middle management" to specific positions will vary depending upon which level of the organizational hierarchy it is applied.

7. PART V, CHAPTER 24, PAGE [267]

The data presented in your report on the number of appointments and number of vacancy announcements made for the period July 1, 1971, through March 31, 1972, are questionable. Our records show that there was a total of 34 new appointments (as against 51 shown in the audit report) and 33 vacancy announcements (as against 15) during this period. Apparently, the number of appointments shown in your report include a number of position reclassifications where the positions were filled at the time of the reclassification action. These transactions require Board approval but do not involve position vacancies. Thus, no vacancy announcements are made. Perhaps your office

Part V, Chapter 24, Page [267] (continued)

and our personnel office should review the data in greater depth to attain a reconciliation. For your information, our data for your table on page [267] of your audit report are as follows:

Appointments From July 1, 1971, to March 31, 1972

	No. of New Appointments	No. of Vacancy Announcements
Superintendent's Office	0	2
Research and Planning	0	0
Business Services	1	1
Personnel Services	3	2
Instructional Services	6	6
Library Services	10	10
Honolulu District	4	3
Central District	0	1
Leeward District	4	4
Windward District	3	1
Hawaii District	1	1
Maui District	1	1
Kauai District	1	1
TOTAL	34	33

The foregoing examples are intended to illustrate that your audit report would be of greater assistance to the Department of Education if the errors, omissions and questionable methodology were not present. However, we do want to consider your report in a constructive vein and build upon your salient observations of the department's organization, management processes, and personnel administration.

Thus, our specific reactions to your audit recommendations follow. You will note that we concur with nearly all of your recommendations insomuch as they are presented at a level of generality which few will find it possible to refute. Our concurrence with most of the general recommendations points to the Department's cognizance of existing major problems with which there have been continuing efforts for a number of years. Public education, by its very nature, requires concerted total community effort and support. We regard this Audit as a major contribution to assist the Department in bringing about the desired improvements in its management and operation.

Though we agree with the majority of your recommendations, their implementation is a question that this Department must fully examine in the coming months for we must realistically assess our ability to do what needs to be done, as well as reconsider the Department's priorities on many other important tasks. It is within this context that our response to your recommendations is forwarded.

Sincerely,

Hiroshi Yamashita

HIROSHI YAMASHITA
Chairman
Board of Education

Shiro Amioka

SHIRO AMIOKA
Superintendent

ATTACHMENT

COPY

An Enlarged Supervisory Service*

Second, the supervisory staff of the State department should be enlarged and strengthened. Considerable responsibility for planning and adapting the educational program to local needs should be placed in the offices of the District Superintendents and other local school officials. But at the state level there ought to be experts in all phases of the operation of the elementary and high schools. These persons should be familiar with latest developments in their respective fields and competent to work with principals and teachers in the constant improvement of educational practices. The present staff in the State department does not seem adequate in numbers to render the full complement of advisory and supervisory services required. Nor are the specialist services in the various instructional fields adequate in the offices of the District Superintendents. In terms of many of the best manned State Departments of Public Instruction, the Hawaii department needs strengthening. Unless this expanded service is provided to the local schools, the centralized system proposed will leave the principals and teachers without the outside professional stimulation and leadership needed in any growing and improving school system.

*Public Administration Service, State and Local Government Relationships in the State of Hawaii, 1313 East Sixtieth Street, Chicago, Illinois, November 20, 1962, p. 186.

PART II, CHAPTER 4, PAGE[S 21–22]

1. *The Board of Education direct the Department of Education to design the management processes and develop the capabilities necessary to accommodate a system of aggregate fiscal and manpower controls and to submit its design to the Legislature at the convening of the 1974 legislative session.*

COMMENT

We will explore this recommendation further.

The Board of Education agrees that the Governor is fiscally responsible to balance the State budget. In the absence of a ceiling the BOE has felt the Governor should be aware of all the needs of the DOE. He has always given the highest priority and highest degree of support to the DOE. The years when expansion was possible the Governor was in agreement with BOE priorities as was the Legislature in both Operating and CIP budgets. However, the BOE has consistently taken the position that it should be the one to make cuts in specific areas when it was necessary.

2. *The Legislature clarify the roles and responsibilities of the Board of Education v. the Executive by following the guidelines and concepts concerning aggregate fiscal and manpower controls.*

COMMENT

We will explore this recommendation further.

We should add that the BOE's relationship with the Governor is based on the good faith of both parties and we feel that we have developed a good relationship.

The Board of Education recognizes that the single important enterprise of any society is the education of its youth. The Board also recognizes that if our nation is to survive, we must be ready to commit our resources to the preparation of our youth for responsible living.

The Board feels that although the major agency for education is the Department of Education, the total process of education requires the cooperative efforts of all state branches, agencies, commissions, etc. The success of this integrated effort will depend on how well the whole educative process can be articulated.

The Board recognizes this need. A Committee on Communication was recently organized and is in the process of drafting a policy statement and procedures to help bring about closer articulation.

The state constitution and laws are not too clear and may require legislative clarification. The Board feels that greater articulation and closer relationships among all concerned can be brought about by adopting an attitude of mutuality as a base and establishing constant, concerned communication. The Board is moving in this direction.

PART II, CHAPTER 5, PAGE [27]

Recommend that the Board of Education strengthen the policy-making role intended for it by the State Constitution. The Board should accomplish this by:

- *Re-focusing its attention on matters which relate to strategic planning and devoting its principal efforts to the formulation of policies and the establishment of overall organizational strategy for public education.*

  COMMENT

  We are in the process of refocusing our attention on matters which relate to the formulation of policies and the establishment of overall organizational strategy for public education.

- *Developing appropriate policies and guidelines for the kinds of management decisions (heretofore reserved by the Board which the Department will now be permitted to make).*

  COMMENT

  We will be re-examining present policies and guidelines for management decisions mentioned in the report.

- *Reviewing the decisions of departmental management from time to time to ensure adherence to Board policies and guidelines.*

  COMMENT

  This has been a standard practice of the Board of Education.

PART II, CHAPTER 6, PAGE [S 31–32]

1. *HRS, section 296-7, numbered paragraph (6), be amended by deleting the phrase, "as the board of education may request from time to time," so that, as amended, the numbered paragraph (6) will read: "(6) advise the board of education in the development of policies."*

   COMMENT

   We agree with this recommendation.

Part II, Chapter 6, Page[s 31–32] (continued)

2. *All proposals of a strategic planning nature to be presented to the Board of Education for discussion or action be transmitted to the district school advisory councils at the same time as they are transmitted to the Board and, except perhaps in cases of emergency, the councils be provided with a sufficient time interval (between the receipt of the proposals and the board meeting at which the proposals are to be discussed or acted upon) for the councils to seek clarification and explanation of the proposals from the DOE staff, as appropriate; for the councils to solicit public reactions to the proposals among themselves.*

COMMENT

The Board does seek public reaction through the advisory councils as necessary and practicable. Presently all necessary materials are transmitted simultaneously to the advisory council chairman and the Board. Moreover, recognizing the need for advanced planning the Board has established a master calendar which contains future agenda items. Every effort will be made to distribute necessary agenda materials to provide sufficient time for the councils to receive public input prior to Board action.

3. *The councils be permitted to discuss and render advice as to all matters before the Board as they are taken up by the Board in accordance with the Board's agenda, rather than limiting the councils to make their presentations during the block of time allotted to the councils at the start of board meetings.*

COMMENT

It is difficult to glean from the opinions and seeming hearsay just what methodology was used to draw conclusions. The BOE agrees that there is some merit in the narrative but that the wrong conclusions have been drawn because of lack of depth in the investigation.

Council chairmen have been specially invited and specially seated from the inception of the elected Board.

Council chairmen have always been allowed to enter discussions during Board meetings but have no vote. They are frequently reminded of this. The time allotted to the councils on the agenda is intended as additional encouragement for participation.

By statute the BOE members are ex-officio members of the councils and one or more members are present at almost every meeting of each council.

Reports and letters are other channels which are used by the councils to reach the BOE.

The BOE does not hold "executive sessions" except on matters related to personnel and collective bargaining. STUDY SESSIONS, held prior to Board action which the Board has held regularly since 1966 have dealt with the categories of organizational strategy and policy formulation, but no minutes of these meetings have been kept. These are public meetings.

Part II, Chapter 6, Page[s 31–32] (continued)

4. *All proposals of the councils relating to matters over which the Board of Education exercises decisional function be placed on the Board's agenda as an item for discussion and decision, and that the council proposing such measures be provided an opportunity to discuss the matter when the time is taken up for discussion by the Board in accordance with its agenda.*

COMMENT

This recommendation is moot in that it is already in practice as provided in the Board's amended by-laws.

PART II, CHAPTER 6, PAGE [32]

We recommend that the district advisory councils meet with the respective district superintendents for the purpose of establishing an understanding and formulating guidelines as to the matters which the councils should focus upon in discharging their advisory responsibilities to the district superintendents.

COMMENT

We defer to the reaction of the School Advisory Councils.

PART II, CHAPTER 6, PAGE [33]

We recommend that the district advisory councils review their liaison functions and, in consultation with the respective district superintendents, determine what school and district resources might be available and how they might be used to assist the councils in disseminating information and assessing local public reactions and concerns over educational policy and regulations.

COMMENT

We defer to the reaction of the School Advisory Councils.

PART II, CHAPTER 6, PAGE [35]

1. *A public information program concerning the school advisory councils be developed and implemented by the Department of Education, with emphasis on the importance of the councils as the mechanism through which the public can have an input in educational policy-making.*

COMMENT

The Board of Education agrees that the councils need help. We now have a Communication Committee working in this area for the DOE as a whole.

2. *The membership of the councils be expanded, particularly in the case of the Honolulu district council, which should have a minimum of seven members.*

COMMENT

It is a good idea not only to expand the Honolulu Council but also to investigate the need of other councils due to geographical and other factors.

PART III, CHAPTER 8, PAGE [49]

1. *Develop an overall organizational strategy to direct the future organizational development of the Department. Such a strategy should take into account:*

   a. *The objectives which the Department is seeking to attain.*

   b. *The management processes which are to be employed in achieving organizational objectives.*

   c. *The organizational structure which facilitates the management processes necessary to accomplish the Department's objectives.*

   COMMENT

   We agree that an overall organizational strategy should be developed taking into account, among those factors cited in the audit report, the problems presented by:

   - movement of personnel
   - classification
   - financial implications
   - problems relating to collective bargaining

2. *Defer implementation of the "middle school" concept until the present grade organization patterns of the public schools can be examined, evaluated, and, if appropriate, reorganized under the overall organizational strategy of the Department.*

   COMMENT

   We agree. A task force of in-house personnel from all levels is currently examining and analyzing the present grade organization patterns from the standpoint of (1) developmental needs of learners, (2) instructional program implications, (3) space requirements of educational approaches and instructional methodologies for the educational programs, and (4) economic implications. The results of the work of this task force should serve as the basis for recommending an organization pattern for an instructional delivery system.

PART III, CHAPTER 9, PAGE [55]

We recommend that, as a part of formulating an organizational strategy for the Department of Education, the Department fully consider the question of centralization-decentralization, and, if decentralization is to be pursued, the Board of Education (1) formulate explicit policies in this regard, outlining the guidelines within which decisions may be made by major organizational units at the lower levels of the organizational hierarchy and specifying the kinds of decisions and the level to which such decisions may be made by such major units and (2) establish a system by which such lower level units may properly account for their actions.

COMMENT *

We agree.

PART III, CHAPTER 10, PAGE [65]

We recommend that the Board of Education, through its Superintendent, clarify the roles and responsibilities of the major state offices by:

1. *Assigning responsibility for the performance of analysis to the office responsible for the subject matter which is to be analyzed. This means that the responsibility for analysis in the curriculum area should rest with the Office of Instructional Services.*

COMMENT *

The Board of Education agrees that clarification of roles and responsibilities by the Superintendent is in order.

PART III, CHAPTER 10, PAGE [65]

We recommend that the Board of Education, through its Superintendent, clarify the roles and responsibilities of the major state offices by:

2. *Assigning responsibility to the Office of Research and Planning for analysis of programs which transcend organizational lines or which have not been assigned to any particular office. In addition, the Office of Research and Planning should provide technical assistance to other units engaged in the conduct of analysis.*

COMMENT *

We agree.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

Part III, Chapter 10, Page [65] (continued)

3. *Establishing a unit, reporting directly to the Superintendent, which would develop guidelines and standards for analysis and evaluation designs, review analyses for the Superintendent and the Board, and conduct in-depth program evaluations. This recommendation in no way requires or implies additional staffing. With the removal of analysis review from the Office of Research and Planning and the removal of program evaluation from that office and the Office of Instructional Services, sufficient existing positions in the two offices should be available to establish the new unit.*

COMMENT

We will take this recommendation under advisement and review its feasibility with the Superintendent.

4. *Requiring the Office of Instructional Services and the facilities branch of the Office of Business Services to establish a mechanism for continuing consultation on all matters related to the planning and design of facilities which support education programs.*

COMMENT *

We agree. The existing procedure could be improved.

5. *Reorienting the Office of Personnel Services from its current focus on individual personnel transactions to the broader perspective of developing its personnel programs to support other units in accomplishing educational objectives.*

COMMENT *

We agree.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

PART III, CHAPTER 11, PAGE [119]

1. *Establish one or more ad hoc committees, representing the State Superintendent, to conduct a complete review of staffing in the state office and determine the need and proper classification of specific positions, including those identified in this chapter. Specifically, the committee(s) should:*

   a. *Review the duties of each educational officer position and determine the proper classification of each position, including which positions should be brought under the classified civil service.*

   b. *Conduct a workload survey of each position and determine the specific positions which could be eliminated or reassigned.*

   c. *Determine whether each incumbent possesses the qualifications for the positions which he holds.*

   COMMENT *

   We concur with the need for review but we do not believe the ad hoc committee approach is necessarily the best.

2. *Reorganize the general education branch in a manner which improves utilization of personnel, enables program specialists to be used in more than one curriculum area, and provides for broader input in curriculum review and formulation.*

   COMMENT *

   We agree on the need for a review. However, we do not necessarily agree to the suggestions made in the report, nor with the basis upon which the recommendation is made.

3. *Examine the staffing and organization of the curriculum development and technology branch with a view towards clarifying its lines of authority and responsibility, strengthening its relationship to the assistant superintendent of the Office of Instructional Services, identifying the responsibilities of the branch v. the general education branch in curriculum development, and determining the appropriate organization placement of educational television production.*

   COMMENT *

   We agree with the need for a review.

4. *Complete as rapidly as possible the master plan for special education.*

   COMMENT *

   We agree.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

Part III, Chapter 11, Page [119] (continued)

5. *Establish standards and criteria to govern staffing in the district offices, including the number and kinds of curriculum specialists and teachers attached to the district. In addition, the positions of those teachers performing work similar to the work of curriculum and staff specialists and the positions of those teachers performing tasks similar to those performed by civil service employees should be reviewed to determine their proper classification.*

COMMENT *

We agree.

6. *Establish guidelines by which minimum supportive teacher positions (librarians, counselors, etc.) can be determined for each school and apply controls to assure that all such positions are properly budgeted and allocated.*

COMMENT *

We agree.

7. *Submit a report to the 1974 session of the Legislature of the action that it has taken as a result of its review of personnel positions. The report should also identify all savings in personnel service costs and the resultant adjustments which should be made to the budget for the 1973-75 fiscal biennium.*

COMMENT *

The Board of Education will take this recommendation into consideration.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

PART IV, CHAPTER 13, PAGE [142]

We recommend that the Board of Education formulate and adopt policies which will:

1. *Fix responsibility on the state office for curriculum development; communicating the state's objectives, programs, policies, guidelines, decisions, and results throughout the Department of Education system; establishing general procedures and guidelines for program execution; and monitoring the performance of districts and schools.*

2. *Provide for district and school participation (but not responsibility) in curriculum development.*

3. *Permit districts and schools, within the resource constraints, policies, and guidelines established by the state office, to take into account local conditions and to make discretionary judgments in the execution of programs.*

COMMENT*

We agree that there is proliferation of efforts. In order to resolve this problem the Board of Education intends to work with the Superintendent to unify all curriculum development and to delineate the roles and responsibilities of each level of educational participation while accommodating local school needs.

PART IV, CHAPTER 14, PAGE[s 147–148]

1. *We recommend that the Board of Education recognize the importance of analytical reports and, as appropriate, insist that they be presented with quality analysis.*

COMMENT

The Board of Education has always insisted on quality analysis.

2. *We recommend that the Department of Education:*

   . *Establish a system of program analysis review to assure quality analysis. An appropriate system would include the establishment of an analysis review and evaluation unit, reporting directly to the Superintendent, as recommended in chapter 10.*

COMMENT

We will take this recommendation under advisement and review its feasibility with the Superintendent.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

Part IV, Chapter 14, Page[s 147–148] (continued)

- *Identify the analytical training needs of personnel engaged in analysis and provide for appropriate training to all such personnel, and particularly to the program specialists in the Office of Instructional Services.*

  COMMENT *

  We agree.

- *Involve personnel from the districts and schools in analytical efforts in the curriculum areas and articulate to them the fundamental concepts of PPB.*

  COMMENT *

  We agree.

- *With respect to early childhood education, suspend further program design and development until the analytical shortcomings identified in this chapter have been corrected.*

  COMMENT

  The Board of Education feels program designing and development does not imply implementation. Budgetary implications will be a result of designing and development from which implementation priority will be developed. Here we do not agree with the recommendation.

PART IV, CHAPTER 15, PAGE [159]

We recommend that the Department of Education establish a system whereby a complete program design is formulated and reviewed (and revised, as necessary) prior to the implementation of any program. Such a program design should include details of all program components; personnel, equipment and facilities requirements; and the specific roles and responsibilities of organizational units in implementing the program.

COMMENT *

We agree.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

PART IV, CHAPTER 16, PAGES [163, 171, 175, 179–180]

- Prepare an inventory of all innovative and pilot projects being carried on in the schools as the first step in bringing all such projects under management controls.

- Suspend all projects where there is sufficient evidence to indicate that program objectives are not being met or where the benefits are not justified by the costs.

- Subject all remaining projects to the controls of pilot-testing, including establishing time limits for each project and a firm deadline for evaluation.

- Fully inform the schools and people involved as to the purpose of any pilot test, the time period of the test, and appropriate guidelines for conducting the test, prior to the commencement of a pilot project.

- Establish internal control and review procedures to assure the existence of an adequate pilot test design before beginning any pilot project.

- Adhere to legislative policy in the utilization of resources authorized for experimental projects, such as the modified 3-on-2 project, and that it establish management controls to assure that such resources are not used for any other purpose.

- Clarify through policy and regulations which types of projects require approval by the Superintendent and the Board and which types do not require their approval. An appropriate guideline would be to require Superintendent and Board approval of all pilot projects which contemplate a change to the existing statewide framework or which require funding.

- Specify the purpose, contents, and requirements for submission of (a) pilot project proposals, and (b) pilot project designs. The specifications should require the formulation of measures to assess program effectiveness and the adequacy of program design during the project proposal phase and the development of a complete evaluation framework during the project design phase.

- Require status and progress reports of each pilot test, including a complete progress report at the end of each major phase of the project.

- Provide for independent review of evaluation designs and evaluation results to ensure fair and objective evaluations.

- In the manner recommended in chapter 20, assign responsibility for the conduct of pilot project evaluations to persons not connected with the project or the program to which the project relates.

Part IV, Chapter 16, Pages [163, 171, 175, 179–180] (continued)

COMMENT

Since the summer of 1971, the Department has been engaged in an effort to develop a project management system. This effort was not started as a result of legislative exhortation as claimed in the audit report but rather as a result of recognition of a need by the Board of Education and the Superintendent. A preliminary system has undergone trial experience in the Office of Instructional Services and the system is undergoing major revision as a result of that trial experience and evolving insights of the Department's project management needs. All of the recommendations in the audit report on pilot projects will be attended to by the project management system we are developing.

. *Re-examine its findings with respect to the modified 3-on-2 project in the context of the assessment presented in this report of its evaluation.*

COMMENT *

We agree.

PART IV, CHAPTER 17, PAGE [190]

We recommend that the Department of Education establish a system to assure realistic programming in the implementation of any new program. Such programming should consider financial and other constraints, the readiness of districts and schools to undertake implementation, and all of the interrelationships of the different parts of the total program to be installed. It should include details of what components of the new program are to be installed when; what portions of the old program are to be phased-out when; the order in which the program is to be installed in specific districts, schools, and grades; and the sequence in which personnel are to be trained and resources acquired and utilized to support implementation.

COMMENT *

We agree.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

PART IV, CHAPTER 18, PAGE [194]

We recommend that the Board of Education establish policies to assure that all proposed curriculum changes are made known to them by the Department of Education and are reviewed and approved by the Board prior to requesting funding, or, in the event no funding is required, prior to implementation of the program change. Such policies should also provide that once a curriculum decision is recommended by the State Superintendent and approved by the Board, departmental representations of the program shall reflect that decision unless it is subsequently amended or rescinded by the Board itself.

COMMENT *

We agree.

PART IV, CHAPTER 18, PAGE [205]

We recommend that the Department of Education establish a system for the preparation and issuance of curriculum documents. In establishing the system, the Department should:

1. *Conduct an inventory of all "guides," "handbooks," "manuals," "outlines," "trial units," and other documents pertaining to curriculum by whatever labels such documents were issued. All such curriculum documents should be reviewed for their continuing relevancy and applicability to the curriculum. Decisions should then be made and communicated to units of the state office, districts, and schools as to which documents constitute "official" guides and which documents have no official standing.*

   COMMENT *

   We concur with this recommendation. However, it should be pointed out that there is a directive in effect requiring that all curriculum documents be designated either "OFFICIAL" or "UNOFFICIAL." A current list (Inventory) published by the Department of Education, Publications of the Department of Education lists all documents printed up to June, 1972. However, the Department should review the adequacy of this publication for its information about each document and its currency.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

2. *Develop specifications to be followed hereafter in the preparation of curriculum documents. Such specifications should define the different types of documents which are determined to be essential for implementing the curriculum; assign standardized titles to each type of document; delineate the purposes of the documents; and prescribe the content, scope, focus, emphasis, and level of detail of each document.*

   COMMENT*

   We agree.

3. *Eliminate the confusion of such labels as "draft," trial edition," "unofficial," "limited distribution," etc., by limiting and defining the editions which may be issued and assigning common labels to each edition. Ordinarily, curriculum documents should fall in one of only two categories: (a) those which are preliminary in nature and are being circulated for review and comment or are being tested in the field; and (b) those which have been adopted as official guides to be used throughout the school system.*

   COMMENT*

   We agree.

4. *Communicate to the districts and schools information concerning any curriculum documents currently under preparation by the state office and establish procedures for continuously informing districts and schools of new documents being prepared.*

   COMMENT*

   We agree.

5. *Define the roles of the state office, districts, and schools in the development of curriculum documents, including the guidelines under which districts and schools might develop supplemental documents.*

   COMMENT*

   We agree.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

PART IV, CHAPTER 18, PAGE [213]

We recommend that the Department of Education establish a system to:

1. *Identify, design, schedule, and conduct the training required prior to the installation of a program.*

2. *Require personnel to undergo training when training is determined to be necessary for the successful implementation of a program. If additional compensation must be paid to personnel for mandatory training, the Department should first analyze the various options available in delivering training and select the least-cost alternative.*

3. *Assure that the training acquired by personnel is, in fact, applied to the program for which the training was designed.*

COMMENT *

We agree.

PART IV, CHAPTER 19, PAGE [218]

We recommend that the Department of Education establish a reporting system which routinely provides the state office and districts with information concerning the progress, status, and condition of programs in the schools. Such a system should serve the dual purposes of providing the Legislature with the information required by Act 185, SLH 1970, as well as providing the Department of Education with the information required for realistic programming and effective monitoring of programs. In developing the reporting system, the Department of Education should restrict its information needs to only those kinds of information determined to be essential for the supervision and control of programs and avoid needlessly burdening the schools with extraneous information requirements.

COMMENT*

We agree with the need.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

PART IV, CHAPTER 19, PAGE [223]

We recommend that the Department of Education identify and structure the functions and sub-functions which are necessary for the implementation of programs, and, having done so, proceed to define the roles and responsibilities of the state office, districts, and schools with respect to each of the implementation functions and sub-functions.

COMMENT*

We agree.

PART IV, CHAPTER 20, PAGE [240]

1. *Establish a system for the evaluation of ongoing programs. In establishing the system, the Department of Education should develop relevant measures for all of its programs. Such measures should include the different kinds of measures which are intended to determine (a) level of attainment of program objectives, (b) adequacy of program design, (c) extent to which the program is reaching the intended beneficiaries, and (d) adherence to the program installation schedule. The utilization of the different kinds of measures would depend on what particular aspects of the program are being evaluated.*

COMMENT*

We agree.

2. *Provide for the performance of routine and regular evaluation by those responsible for administering the program and for the review of routine evaluations and the performance of objective in-depth evaluations by an independent evaluation unit situated in the Office of the Superintendent. This independent evaluation unit should report directly to the Superintendent.*

COMMENT

We will consider this recommendation further.

3. *Require the independent evaluation unit to prescribe guidelines in the selection or devising of evaluation measures and evaluation instruments by program designers to assure the objectivity of the measures and instruments.*

COMMENT

The Board of Education will take this recommendation into consideration.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

PART V, CHAPTER 22, PAGE [248]

We recommend that the Department of Education review its personnel records management, including the kinds of information which are being recorded and maintained, the purposes of the information, and the operational responsibilities of the various units in recordkeeping. Such a review should be conducted for the purpose of:

- *Identifying the kinds of personnel information necessary for personnel planning, program planning, and accounting purposes, and designing records and procedures by which such information can be easily recorded and retrieved.*
- *Integrating records and record-keeping.*
- *Eliminating non-essential and duplicate information.*

COMMENT *

We agree.

PART V, CHAPTER 23, PAGES [253, 254, 259, 263]

1. *We recommend that the Board of Education direct the Department of Education to develop a new classification system for educational officers and teachers and inform the department of a firm deadline for the submission of its proposed system.*
2. *We recommend that the Department of Education develop official position descriptions for each educational officer and teacher position. Such official position description should be developed upon an analysis of the value of the position to meet the educational objectives of the Department.*
3. *Official minimum qualification requirements be established for each position.*
4. *Minimum qualification requirements be job-related.*
5. *Minimum qualification requirements be consistently applied.*
6. *We recommend that the Department of Education revise or develop new classes for teachers and educational officers to correct the deficiencies noted. In particular, we recommend that the new classes treat each position in a comparable manner, to-wit:*
   a. *Make positions of similar class and title organizationally parallel.*
   b. *Group like positions together.*

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

Part V, Chapter 23, Pages [253, 254, 259, 263] (continued)

c. *Class different positions differently.*

d. *Either utilize the Class I category for program, curriculum, and staff specialist positions as a permanent class or eliminate it altogether.*

COMMENT

The Board of Education is willing to develop a new classification system but because of statutory and collective bargaining restriction this proposal requires in-depth analysis and investigation. It should be noted that the DOE has available classification system studies for educational officers and teachers.

PART V, CHAPTER 24, PAGES [266 – 267]

1. *We recommend that the Department of Education develop a program plan for recruitment and selection. Such a plan should include, among other things:*

   - *A proper data base for forecasting recruitment needs.*
   - *Objectives in specific and measurable terms.*
   - *Alternative strategies for attracting and selecting (including testing and appraising) the kinds and number of people needed, together with estimates of the costs and probable results of each alternative.*
   - *A system for the evaluation of the effectiveness of the program.*

COMMENT

The present recruitment and selection program is being reviewed and revised to incorporate the recommendations of this report.

PART V, CHAPTER 24, PAGE [269]

We recommend that the Board of Education direct the Department to:

1. *Cease those practices which undermine fair treatment in the recruitment and selection of employees.*

2. *Establish controls to assure that in all instances, departmental policies and fair procedures are followed in recruitment and selection. Such controls should guarantee that:*

   - *Position vacancy announcements are made for all vacant positions which are to be filled.*
   - *Documented criteria are used in evaluating candidates for appointment to positions.*
   - *Selection committees are established and used, in compliance with the DOE's own regulations, to advise on appointments.*
   - *Only eligible and qualified candidates are selected for appointment.*

COMMENT

The Board of Education will continue to insist upon fair and impartial treatment in all personnel transactions. The BOE doubts the accuracy of the summary of findings which led to the recommendations. Nevertheless, the BOE will take the recommendations under advisement.

PART V, CHAPTER 25, PAGE [272]

We recommend that the Department of Education establish a promotional system based on the following elements:

- *Policies and standards to guide promotional activities.*
- *A classification system based on work to be performed and structured to provide workers with reasonable opportunities for advancement.*
- *Training programs to prepare employees for advancement.*
- *An adequate employee performance evaluation system that will enable the department to identify those employees who should be considered for promotions, and*
- *An adequate employee data base which provides useful information for promotion considerations and decisions.*

COMMENT*

We agree.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

PART V, CHAPTER 25, PAGE [275]

We recommend that the Board of Education direct the Department to:

1. *Cease those practices which circumvent departmental regulations and undermine fair treatment in promotions, including the practices of:*
   - *Reclassifying positions to higher-paying positions with the same duties and responsibilities.*
   - *Promoting unqualified employees.*
2. *Establish controls to assure that such practices will not recur.*

COMMENT

The Board of Education requires the Department of Education to adhere to its regulations and procedures related to reclassifications and promotions.

PART V, CHAPTER 26, PAGES [284–285]

We recommend that the Department of Education:

1. *Develop a comprehensive training plan. Such a plan should:*
   - *Establish objectives for the different categories of training programs.*
   - *Identify the relationship of the various training programs and activities.*
   - *Set guidelines as to what kinds of activities qualify as training.*
   - *Provide a process for assessing training needs and formulating options to meet those needs.*

COMMENT*

We agree.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

Part V, Chapter 26, Pages [284–285] (continued)

2. *Establish a system for measuring the effectiveness of training, evaluating the cost-effectiveness of training, and feeding back evaluation results into the planning of subsequent training.*

COMMENT

We recognize the need to establish a more effective system for measuring the effectiveness of training, evaluating the cost-effectiveness of training, and feeding back evaluation results into the planning of subsequent training.

We are in a continuous process to develop such a system.

3. *Re-examine the objectives and review the operations of its intern programs. The examination and review should:*

   - *Determine whether the real objective of the intern program is to create a pool of qualified personnel or to train interns for specific, available positions.*
   - *Assure that each intern is guided by specific training objectives and a plan as to how the objectives are to be achieved.*

COMMENT*

We agree.

4. *Improve the administration of sabbatical leaves by:*

   - *Establishing guidelines and criteria as to the kinds of professional educational course work, research, or other professional activity which constitute acceptable pursuits for sabbatical leaves.*
   - *Formulating more specific criteria to ensure objective and fair selection in the granting of sabbatical leaves.*
   - *Providing for the evaluation of the effectiveness of the program.*

COMMENT*

We agree.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

PART V, CHAPTER 27, PAGE [293]

We recommend that the Department of Education develop improvements to employee performance evaluation, and as appropriate, propose such improvements to the employee unions concerned. Improvements should be derived from:

- *Performance standards which are specific and appropriate to the varying kinds of work and responsibilities associated with different positions.*
- *A rating scale for teachers which at least recognizes performance beyond expectations, particularly for those skills necessary for higher-level positions.*
- *The structuring of teacher rating responsibilities in a way that relieves principals of having to assume total responsibility for rating every single teacher in their schools.*
- *Evaluation of the improbable substandard rating experience of the past few years.*
- *A focus upon levels of performance and work expectations which are mutually determined each year by the employer and the employee concerned.*

COMMENT*

We agree to the need for improvements and the types of improvements suggested in the audit report will be taken into consideration.

PART V, CHAPTER 28, PAGE[S 296–297]

We recommend that the Department of Personnel Services:

1. *Prepare and maintain an up-to-date listing of all exempt positions in the State, including those of the Department of Education.*
2. *Establish controls to assure that no positions are exempted without its prior review and approval.*

COMMENT

We agree.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

PART V, CHAPTER 28, PAGE[S 299–300]

We recommend that the DOE:

1. *Cease the practice of issuing professional administrator's certificates for the purpose of evading the statutory limitation of employing not more than 20 non-education-certificated administrative, professional, and technical personnel outside the civil service system.*

2. *Examine the appropriateness of the civil service laws in general and HRS, section 76-16(11), in particular, in meeting the needs of the department for such non-educator administrative, professional, and technical employees, and propose such amendatory legislation as necessary to the State Legislature.*

COMMENT

The Board of Education will examine this matter in greater depth.

PART V, CHAPTER 28, PAGE [302]

1. *The Department of Education submit to the Department of Personnel Services an inventory of all positions which have ostensibly been exempted from the classified civil service system under the provisions of HRS, section 76-16(2), and HRS, section 76-16(3).*

COMMENT

We have been working closely with the Department of Personnel Services since mid 1972 to review the positions exempted under HRS, Sections 76-16(2), 76-16(3) and 76-16(16) and have since initiated steps to include a number of positions in the civil service.

Part V, Chapter 28, Page [302] (continued)

2. *The Department of Personnel Services review the inventory of positions and determine which positions have been improperly exempted under the applicable laws, which positions should be included in the classified civil service system, and which positions should be certificated.*

COMMENT

We defer to Department of Personnel Services. The Department of Education will cooperate fully.

PART V, CHAPTER 28, PAGE [304]

We recommend that the Department of Education re-examine its classification, utilization, and recruitment practices with respect to student helpers and that it establish a system which will:

- *Distinguish the tasks which are to be performed by the Student Helper I position from those of the Student Helper II position, or, alternatively, if the tasks are not distinguishable, establish a single, Student Helper position.*
- *Assure that college student aides are utilized in work commensurate with their skills and knowledge.*
- *Open up positions to students from business schools as well as colleges and solicit applications through an open and publicized recruitment process.*

COMMENT *

We agree.

*SEE PAGE 10 OF LETTER FOR A STATEMENT ON IMPLEMENTATION

*****END*****

ATTACHMENT NO. 3

RECEIVED
FEB 22 1973
OFFICE OF THE AUDITOR
STATE OF HAWAII

STATE OF HAWAII
DEPARTMENT OF EDUCATION
OFFICE OF THE DISTRICT SUPERINTENDENT
KAUAI SCHOOLS
P. O. BOX 1307
LIHUE, HAWAII 96766

February 21, 1973

Mr. Clinton T. Tanimura, Auditor
Office of the Legislative Auditor
State Capitol
Honolulu, Hawaii

Dear Mr. Tanimura:

Thank you for a copy of your preliminary report on Management Audit of the Department of Education.

May I inform you that our relationship with the Board of Education members and the District Superintendent is very close on Kauai and I feel that this situation does not apply to the other districts.

I feel also that I have the opportunity to express my concerns and advice on any subject on the agenda of the BOE except appointments.

As far as the Department of Education staff is concerned, I feel that they are doing a good job with their limited personnel. I have seen the result of their work in their reports to the Legislature and the Board of Education. Compared to the highly paid "pedigreed" leaders of the University of Hawaii, I feel that the DOE is really doing an excellent job.

It strikes me that the Legislature is always demanding evaluation prior to the opening of the session and yet when you look at their performance, it really disturbs me. Crime, water transportation, eight varieties of no fault insurance and a "bum" job on the penal code all point to the shortcomings of the Legislature.

Sincerely yours,

Masashi Arinaga

Masashi Arinaga, Chairman
Kauai School Advisory Council

MA:fc

ATTACHMENT NO. 4

FEB 22 1973
DEPT. OF EDUCATION
SUPT'S. OFFICE
1973 FEB 22 AM 10 45

STATE OF HAWAII
DEPARTMENT OF EDUCATION
OFFICE OF THE DISTRICT SUPERINTENDENT
KAUAI SCHOOLS
P. O. BOX 1307
LIHUE, HAWAII 96766

RECEIVED
MAR 6 1973
OFFICE OF THE AUDITOR
STATE OF HAWAII

February 21, 1973

Dr. Shiro Amioka
Superintendent
Department of Education
P. O. Box 2360
Honolulu, Hawaii 96804

Dear Dr. Amioka:

I am attaching my responses to the recommendations contained in the Management Audit of the Department of Education. As you can see, I do not agree with most of the recommendations of the auditor for we, on Kauai, have a close relationship with the BOE members and the District Superintendent and his staff.

Sincerely yours,

Masashi Arinaga

Masashi Arinaga, Chairman
Kauai School Advisory Council

MA:fc

Attach.

Recommendation 1 [31]:

COPY

Amendment is not necessary. With the new chairman of BOE, the Council representatives will have a chance to advise the BOE in the development of policies. Because we are not appointed by the BOE, but by the Governor, we are independent in our thinking and expression on educational matters.

Recommendation 2 [32]:

We do not agree. We do feel that the agenda materials are sent to us in sufficient time. Whenever we feel it appropriate, we do hold public hearings to get the public's reaction and discuss the items among ourselves.

Recommendation 3 [32]:

We do have a chance to discuss and render advice except on personnel appointments. Most of our comments do not appear in the minutes of the BOE. We are not limited to only a five minutes presentation at the beginning of the meeting. Whenever we feel like speaking on a subject, we are always recognized by the chairman of BOE.

Recommendation 4 [32]

This is just what we are doing under the present set-up; therefore, there is no need to change. The chairman of Kauai School Advisory Council has very close contact with the Kauai BOE member and other members.

Recommendation 5 [32]

We are doing this already. The district Superintendent discusses all important matters with the members of the Kauai School Advisory Council. Areas such as dropout programs, advanced placement at Kauai Community College, appointments, student affairs, CIP, curriculum matters, etc. are brought to the Council for reactions and advice. The chairman of the Council yearly participates in the graduation ceremony in one of the three high schools on a rotation basis. He is one of the three individuals who presents diplomas to the graduates. The others being the BOE member for Kauai and the District Superintendent.

Recommendation 6 [33]

All resources are available at the present time. There has been no time when district resources have been withheld.

Recommendation 7 [35]

We agree with this recommendation. It should be developed quickly.

Recommendation 8 [35]:

We agree with this recommendation that membership of the councils should be expanded in the larger districts.

FEB 26 1973
DEPT. OF EDUCATION
SUPT'S OFFICE

ATTACHMENT NO. 5

MAUI DISTRICT SCHOOL ADVISORY COUNCIL

WAILUKU P. O. BOX 305-1070
KAHULUI, MAUI, HAWAII 96732 96793

1973 FEB 26 PM 1 38
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MAR 6 1973
OFFICE OF THE AUDITOR
STATE OF HAWAII

February 22, 1973

Dr. Shiro Amioka
Superintendent
Department of Education
P. O. Box 2360
Honolulu, Hawaii 96804

Dear Dr. Amioka:

Please find attached the responses from the Maui District School Advisory Council to the recommendations of the Management Audit of the Department of Education. These responses were agreed to at our meeting of the Council on Wednesday, February 21, 1973.

Sincerely,

R. Lewis Fry

R. Lewis Fry
Chairman
Maui District School Advisory Council

Attachments

Recommendation 1 - Page reference [31] *COPY*

The Maui District School Advisory Council concurs with this recommendation.

Recommendation 2 - Page reference [32]

The Maui District School Advisory Council concurs with this recommendation. However, we foresee the need for more than a monthly meeting should this recommendation be accepted. The Maui District School Advisory Council presently meets once a month. Also, adequate funding must be provided such that additional meetings may be held. We are presently working on a limited budget and must constantly watch our expenditures. The Maui District School Advisory Council is unique in that air transportation must be provided for the Molokai-Lanai members.

Recommendation 3 - Page reference [32]

The Maui District School Advisory Council agrees with this recommendation. However, this recommendation is already in practice.

Recommendation 4 - Page reference [32]

The Maui District School Advisory Council concurs with this recommendation.

Recommendation 5 - Page reference [32]

The Maui District School Advisory Council concurs with this recommendation.

Recommendation 6 - Page reference [33]

The Maui District School Advisory Council concurs with this recommendation.

Recommendation 7 - Page reference [35]

The Maui District School Advisory Council concurs with this recommendation. However, the words IN CONSULTATION WITH SAC REPRESENTATIVES should be inserted after DEPARTMENT OF EDUCATION.

Recommendation 8 - Page reference [35]

The Maui District School Advisory Council concurs with this recommendation. There must be adequate financing to support the increase in membership. The recommendation is made that the Maui District School Advisory Council be increased to a total membership of seven (7) accordingly:

Maui	–	5
Molokai	–	1
Lanai	–	1

ATTACHMENT NO. 6

FEB 23 1973

ARRY C. CHUCK
ITRICT SUPERINTENDENT

DEPT. OF EDUCATION
SUPT'S. OFFICE

1973 FEB 23 PM 12 43

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MAR 6 1973
OFFICE OF THE AUDITOR
STATE OF HAWAII

STATE OF HAWAII
DEPARTMENT OF EDUCATION
OFFICE OF THE DISTRICT SUPERINTENDENT
HAWAII SCHOOLS
75 AUPUNI STREET
P. O. BOX 1922
HILO, HAWAII 96720

February 21, 1973

Dr. Shiro Amioka, Superintendent
Department of Education
P. O. Box 2360
Honolulu, Hawaii 96804

Dear Dr. Amioka:

Enclosed you will find our responses to the Legislative Auditor's Preliminary Report on a Management Audit of the Department of Education. Our responses include some of the areas encompassed in your guide questions.

Also included is the response submitted by the Hawaii School Advisory Council.

Sincerely yours,

HARRY C. CHUCK
DISTRICT SUPERINTENDENT
HAWAII DISTRICT

HCC:so

Encls.

RECEIVED
FEB 23 1973
RESEARCH & PLANNING

DISTRICT SCHOOL ADVISORY COUNCILS

Prepared by: Hawaii School Adv.Council
2/20/73

Page Reference	Do you agree with the recommendation:	Do you agree with the basis which the recommendation was made? Explain	How soon can the recommendation be implemented	What obstacles or problems do you foresee in carrying out the recommendation
[31]	Yes	Yes	N/A. Through legislative action	N/A
[32]	Yes	Yes. To be familiar with input of material to be discussed.	Immediately	None
[32]	Yes	Yes. This is in practice at this time. Presentations during the block of time allotted to the SACs are for the purpose of expressing concerns or items of interest that is not specified on the Agenda.	Immediately	None
[32]	Yes	Yes	Immediately	None
[32]	Yes	Yes Note: Hawaii SAC has been doing this.	Immediately	None.
[33]	Yes	Yes Note: Hawaii SAC has been doing this.	Immediately	None.
[35]	Yes	Yes Note: One of the easiest ways to introduce the concept of an educational system is to utilize the social studies curriculum in the public schools.	Immediately	None.
[35]	Yes	Yes. Workload appears to be disproportionately larger.	Legislative action	Finding qualified and/or interested people to serve

ATTACHMENT NO. 7

MAR 1 1973

STATE OF HAWAII
DEPARTMENT OF EDUCATION—WINDWARD OAHU DISTRICT
WINDWARD SCHOOL ADVISORY COUNCIL
45-955 KAMEHAMEHA HWY.
KANEOHE, HAWAII 96744

RECEIVED
MAR 6 1973
OFFICE OF THE AUDITOR
STATE OF HAWAII

February 28, 1973

To: Dr. Shiro Amioka, Superintendent

From: Momi Noa by Lyle H. Cox
Momi Noa, Chairman, Windward School Advisory Council

Subject: Responses to the Legislative Auditor's Preliminary Report on a Management Audit of the Department of Education

We have reviewed the preliminary report on a management audit of the Department of Education conducted by the Legislative Auditor and our general comments are as follows. Specific comments are attached.

We appreciate the overall purpose of the audit which is to provide the basis upon which improvements can be considered. We also appreciate the intent of the auditor's recommendation which is generally intended to strengthen the position of the school advisory councils. However, we are not totally in agreement with the observations upon which the recommendations are based.

We do wish to state that we feel that our role as an advisory body to the Board of Education and the District Superintendent calls for a thorough study of matters such as this management audit. Although we intend to examine this report more in depth, we find it extremely difficult to make specific comments at this time for several reasons. The severe limitation on the time allowed to respond to a document that took three years to prepare and which has such far reaching implications as well as being provided only one copy of the report make a rational response by the Advisory Council, in depth, an impossible one.

Our cursory review of the audit indicates that it could serve as a useful tool for further discussions which may lead to improvement of the Department of Education's management practices.

We would appreciate it if you would transmit these comments and concerns expressed above to the Legislative Auditor's office with the hope that future audits of this nature will be handled with better discretion.

Attachment

Auditor's Recommendation *COPY*

1. HRS, section 296-7, numbered paragraph (6), be amended by deleting the phrase, "as the board of education may request from time to time," so that, as amended, the numbered paragraph (6) will read: "(6) advise the board of education in the development of policies." [31]

Windward School Advisory Council's Response

We concur with the recommendation.

Although the wording of HRS, section 296-7 indicates that School Advisory Councils may advise the Board at the request of the Board, in practice we find that Councils are generally given the opportunity to take the initiative in providing advice to the Board. However, we feel that it is a good idea to amend section 296-7 as recommended to bring it in line with present practice.

We do not see any problem in implementing this recommendation.

Auditor's Recommendation

2. All proposals of a strategic planning nature to be presented to the Board of Education for discussion or action be transmitted to the district school advisory councils at the same time as they are transmitted to the Board and, except perhaps in cases of emergency, the councils be provided with a sufficient time interval (between the receipt of the proposals and the board meeting at which the proposals are to be discussed or acted upon) for the councils to seek clarification and explanation of the proposals from the DOE staff, as appropriate; for the councils to solicit public reactions to the proposals, as necessary; and for the members of each council to discuss the prooposals among themselves. [32]

Windward School Advisory Council's Response

We concur with the recommendation.

It would help each Council member in taking a more active role in the deliberations of the Board if he is provided with the information that is now being given only to the Council chairman. At times, we find that Council members who are attending Board meetings in lieu of the chairman do not have access to the agenda until the very night of the meeting.

Although we do foresee some problems, including the need to do much advance planning in implementing this recommendation, we feel that the Board of Education will be in a better position to comment on them.

Auditor's Recommendation

3. The councils be permitted to discuss and render advice as to all matters before the Board as they are taken up by the Board in accordance with the Board's agenda, [32]

rather than limiting the councils to make their presentations during the block of time allotted to the councils at the start of board meetings.

Windward School Adivsory Council's Response

We concur with the recommendation.

In practice we do not feel that constraints are being placed by the Board in permitting Council members to render advice to the Board on matters that may concern us.

We do not see any problem in implementing this recommendation since in essence it is being practiced [at] present.

Auditor's Recommendation

4. All proposals of the councils relating to matters over which the Board of Education exercises decisional function be placed on the Board's agenda as an item for discussion and decision, and that the council proposing such measures be provided an opportunity to discuss the matter when the item is taken up for discussion by the Board in accordance with its agenda. [32]

Windward School Advisory Council's Response

We concur with the recommendation.

We feel that the recommended practice is being carried out at present. At least we do not feel that the Board of Education is in any way preventing the Councils from placing items on the Board's agenda, nor that we are prevented from voicing our opinions on matters that concern us.

We do not see any problem in implementing this recommendation since in essence it is being practiced at present.

Auditor's Recommendation

5. We recommend that the district advisory councils meet with the respective district superintendents for the purpose of establishing an understanding and formulating guidelines as to the matters which the councils should focus upon in discharging their advisory responsibilities to the district superintendents. [32]

Windward School Advisory Council's Response

We concur with the above recommendation.

It should be noted that we have had discussions with our district superintendent regarding matters which our council should focus upon in discharging our advisory responsibilities. We have no objection to continue to pursue the re-examination of our role and functions with the purpose of developing a better understanding and formulating guidelines that would help in sharpening and strengthening our advisory responsibilities to the district superintendent.

Auditor's Recommendation

6. We recommend that the district advisory councils review their liaison functions and, in consultation with the respective district superintendents, determine what school and district resources might be available and how they might be used to assist the councils in disseminating information and assessing local public reactions and concerns over educational policy and regulations. [33]

Windward School Advisory Council's Response

We concur with the above recommendation.

It should be pointed out that we do make provisions for student representatives, citizens groups, PTA officers, and the public in general to participate in our deliberations and react to educational policies and regulations.

Very often we experience public apathy and disinterest in dealing with educational issues.

The function of disseminating information about our school system could better be handled by various units of the Department of Education. We do wish to state that we have had excellent cooperation and assistance from our district superintendent and his staff.

Auditor's Recommendation

7. A public information program concerning the school advisory councils be developed and implemented by the Department of Education, with emphasis on the importance of the councils as the mechanism through which the public can have an input in educational policy-making. [35]

Windward School Advisory Council's Response

We concur with the recommendation.

Although many attempts have been made by our Council to inform the general public about its existence and its roles and functions, we have not been successful in obtaining community participation at our meetings as we hoped to.

Implementation of this recommendation should be left to the Department of Education. May we suggest that more extensive use of ETV be considered in implementing the above recommendation.

Although we do not foresee any problem in implementing the recommendation, we may experience some problems with public apathy.

Auditor's Recommendation

8. The membership of the councils be expanded, particularly in the case of the Honolulu district council, which should have a minimum of seven members. [35]

Windward School Advisory Council's Response

We generally concur with this recommendation.

Although it is true that the representation of the Honolulu School Advisory Council is disproportionate in relation to student enrollment and number of schools, if the Council is to serve as an advisory body to the district superintendent and the Board of Education, student enrollment and number of schools should not be the primary basis for the determination of the size of the Council.

If the intent of the recommendation is to bring the Council closer to its schools, parents and the general public, we should consider the alternative of dividing Honolulu district into two, each to be served by a five member Council.

We do not foresee any particular problem in implementing the recommendation.

ATTACHMENT NO. 8

FEB 28 1973

RECEIVED
MAR 6 1973
OFFICE OF THE AUDITOR
STATE OF HAWAII

STATE OF HAWAII
LEEWARD SCHOOL ADVISORY COUNCIL
LEEWARD SCHOOL DISTRICT
94-366 PUPUPANI STREET
WAIPAHU, HAWAII 96797

MRS. EDITH CLEMENTS
MRS. MARY P. GREGORY
MR. RICHARD REMLEY
MR. EDWARD M. SAKAMOTO
MR. YASUTADA SATO

MEMORANDUM
February 27, 1973

TO: Dr. Shiro Amioka, Superintendent

FROM: Rae Clements RC, Chairman

SUBJECT: Response to the Legislative Auditor's Preliminary Report on a Management Audit of the D. O. E.

Attached are our written responses to the appropriate recommendations of the Legislative Auditor's Preliminary Report on a Management Audit of the Department of Education.

Attachments

Item: 1. HRS, section 296-7, numbered paragraph (6), be amended by deleting the phrase, "as the board of education may request from time to time," so that, as amended, the numbered paragraph (6) will read: "(6) advise the board of education in the development of policies."

1. Do you agree with the recommendation? Yes

2. Do you agree with the basis upon which the recommendation was made? Yes

   Explain:

   The SAC members seem to play an insignificant role in the eyes of the general community. SAC members have felt the Board to be condescending in some instances.

3. How soon can be recommendation be implemented?

   Immediately

4. What obstacles or problems do you foresee in carrying out the recommendation or realizing the end objective of the recommendation?

   None

Item: 2. All proposals of a strategic planning nature to be presented to the Board of Education for discussion or action be transmitted to the district school advisory councils at the same time as they are transmitted to the Board and, except perhaps in cases of emergency, the councils be provided with a sufficient time interval (between the receipt of the proposals and the board meeting at which the proposals are to be discussed or acted upon) for the councils to seek clarification and explanation of the proposals from the DOE staff, as appropriate; for the councils to solicit public reactions to the proposals, as necessary; and for the members of each council to discuss the proposals among themselves.

1. Do you agree with the recommendation? Yes

2. Do you agree with the basis upon which the recommendation was made? Yes

   Explain:

   None

3. How soon can the recommendation be implemented?

   Immediately

4. What obstacles or problems do you foresee in carrying out the recommendation or realizing the end objective of the recommendation?

   a. Educating the various publics as to functions of the School Advisory Council.

   b. Identifying the various publics within the district that the School Advisory Council should communicate with.

c. Recognizing the role of the School Advisory Council by all members of the district staff.

Item: 3. The councils be permitted to discuss and render advice as to all matters before the Board as they are taken up by the Board in accordance with the Board's agenda, rather than limiting the councils to make their presentations during the block of time allotted to the councils at the start of board meetings.

1. Do you agree with the recommendation? Yes

2. Do you agree with the basis upon which the recommendation was made? Yes

   Explain:

   None

3. How soon can the recommendation be implemented?

   Immediately

4. What obstacles or problems do you foresee in carrying out the recommendation or realizing the end objective of the recommendation?

   a. Time lag in receiving information to get School Advisory Council's consensus that can be relayed to the Board at appropriate times.

   b. Establishing better communication with the district BOE member and district superintendent.

Item 4. All proposals of the councils relating to matters over which the Board of Education exercises decisional function be placed on the Board's agenda as an item for discussion and decision, and that the council proposing such measures be provided an opportunity to discuss the matter when the item is taken up for discussion by the Board in accordance with its agenda.

1. Do you agree with the recommendation? Yes

2. Do you agree with the basis upon which the recommendation was made? Yes

   Explain:

   None

3. How soon can the recommendation be implemented?

   Immediately

4. What obstacles or problems do you foresee in carrying out the recommendation or realizing the end objective of the recommendation?

   None

Item 7. A public information program concerning the school advisory councils be developed and implemented by the Department of Education, with emphasis on the importance of the councils as the mechanism through which the public can have an input in educational policy-making.

1. Do you agree with the recommendation? Yes

2. Do you agree with the basis upon which the recommendation was made? Yes

   Explain:

   None

3. How soon can the recommendation be implemented?

   Immediately

4. What obstacles or problems do you foresee in carrying out the recommendation or realizing the end objective of the recommendation?

   None

Item 8. The membership of the councils be expanded, particularly in the case of the Honolulu District Council, which should have a minimum of seven members.

1. Do you agree with the recommendation? Yes

2. Do you agree with the basis upon which the recommendation was made? Yes

   Explain:

   None

3. How soon can the recommendation be implemented?

   Immediately

4. What obstacles or problems do you foresee in carrying out the recommendation or realizing the end objective of the recommendation?

   As additional complexes are established within the district, new SAC member(s) be added.

STATE OF HAWAII
DEPARTMENT OF EDUCATION-HONOLULU DISTRICT
SCHOOL ADVISORY COUNCIL
1037 SOUTH BERETANIA STREET
HONOLULU, HAWAII 94814

February 23, 1973

C O P Y

Mr. Clinton T. Tanimura
Auditor
The Office of the Auditor
State of Hawaii
State Capitol
Honolulu 96813

Dear Mr. Tanimura:

Mr. Elroy J. Chun, the current chairman of the Honolulu District School Advisory Council has provided me with a copy of your preliminary report on the "Management Audit of the Department of Education." I have appreciated the opportunity to review this preliminary report and comment on it. I sincerely hope that the observations I make will be taken in the spirit in which they are given: as one who already has two children in Hawaii's public school system and wants to see the system gain greater accountability and excellence. Although these comments do not necessarily reflect the official position of the Honolulu council at this time, I make them as one who has been closely acquainted with the organizational structure of the Department of Education as a working journalist, as a member of the Honolulu District School Advisory Council since 1969, as a candidate for the Board of Education and as an employee of the State of Hawaii.

Generally speaking, I concur with your audit and the recommendations you make in three of the four areas you have analyzed: organization and management, curriculum and personnel management. Once again you have shown the great lengths that the Office of the Auditor has gone to pinpoint the serious weaknesses that do exist in a centralized government such as we have in Hawaii. The legislature and the people of Hawaii are fortunate to have such an office as yours to serve as an objective "watchdog" over departments which are failing to meet the letter of the law as well as failing in other responsibilities.

There are a few serious omissions in your audit, however. At the risk of distracting attention from an otherwise fine preliminary report, I would like to refer to them and discuss how your failure to come to grips with them tends to weaken the overall impact of the audit.

On page [16] you discuss the three decisions that must be made if the present (constitutional) conflict between the Board of Education and the Governor is to be resolved: (1.) whether the department of education should be headed by a single executive or by a board (2.) if the department is to be headed by a board, whether the board should continue to remain elective or whether it should revert to its former status as an appointed board; and (3.) what the relationship between the executive (governor) and the department of education should be and what changes, if any, should be made to existing statutes or practices to effectuate such as relationship.

In focusing attention on these three alternatives you have got down to the real heart of the problem which is preventing our department of education from becoming more accountable and responsible than it is today. In your subsequent recommendations you even come up with what you suggest are alternatives to the "anomalous" situation which exists and which you claim can be applied to all of the alternatives. However, before you get to this area of recommendation, you most carefully avoid coming to grips with the most basic and overriding problem in education in Hawaii today – and one which effectively limits the rest of your study. In short, should the board of education be appointed or elected? This is a question that must be answered before the 83 recommendations you make can be meaningfully approached. But in the words of the audit: "Whether the department should be headed by a single executive or by a board, and if the department is to be headed by a board, whether the board should continue to be elected or whether it should be appointed, are political decisions to be made initially by the legislature or by a constitutional convention and ultimately by the people."

In my humble opinion, the failure to offer the Legislature and the people of Hawaii a meaningful recommendation, or at the very least, some specific direction in regard to this dilemma, detracts from an otherwise outstanding audit. What you have done, in my opinion, is analyzed one of the largest and most sprawling bureaucracies literally to death. You have also provided dozens of insights and recommendations for change. But when the time came to really provide the Legislature and the people with an answer that they might not wish to hear, you carefully sidestep the issue by describing the issue as "political" and one which can not be made by your office.

Naturally the decision of an elected versus an appointed board is a "political" decision. And what major decision facing our State, or nation or world is not a political decision to some degree? That's what government and politics – and unfortunately education in Hawaii to some degree – are all about. And that is why the political decision makers and the people of Hawaii must depend on agencies such as yours to provide us with independent and objective facts or audits upon which to base our decisions. Unfortunately, however, you have chosen to avoid this question when an answer is most desperately needed.

In short, what is needed, in addition to all the other recommendations you make is one which provides us with some direction at least as to whether the State should retain its elected board and the "uncertainty, conflict and confusion" which has become characteristic of it, or return to the more responsible system of the past with an appointed State-wide board and elected councils at the local level.

Because you do not come to grips with this decision as well as you could have, your recommendations relative to the Board and the advisory councils are also considerably weaker than they could have been had you chosen to take the initiative many of us expected you to take in the audit.

In other words, as far as the top decision making levels are concerned they will still retain the same problems, ambiguities and "anomalous" situations that have existed in the past because the same awkward relationship exists. The only way that meaningful and lasting reform can be started and carried out is by changing the status of the board to an appointed one which is responsible and accountable to the executive. This is the real root of the decision making and accountability problem. You hint at it. You dance around the edge. To paraphrase Thoreau, your audit does an outstanding job of hacking and "cutting at the branches" of the DOE bureaucracy. But you fail to help the Legislature and the people of Hawaii by telling us where we should start cutting at the rotten roots which have created this situation.

Despite my strong feeling over what I believe is a major philosophical and organization omission in your preliminary audit, I will support it and the recommendations therein as the best possible means of improving a troubled system.

Please note that in condemning the top organizational structure (the malapportioned board etc.) my remarks should not be taken to mean that the people in the system are not sincere and dedicated. Along with you, I believe that we are fortunate to have the type of teachers, administrators etc. that we have in the system today. But as good as the people and the ideas are, they can never reach their full potential nor can the Department of Education reach its goal of quality and excellence in education under the strange setup we have.

Again, I wish that you could see fit to examine this issue and face it more forcefully than you have in your preliminary report. But since you haven't I will support your recommendations – particularly those which have to do with the advisory councils – as the next best thing to resolve the many problems in a troubled system.

Thank you again for this chance to respond to your preliminary report. I also appreciated the opportunity to discuss my views with members of your staff last year.

Respectfully,

/s/ Alf Pratte
Alf Pratte
Member
Honolulu District
School Advisory Council

cc: Mr. Elroy Chun
Mr. Albert Miyasato
chairmen, All Advisory Councils
chairman, Board of Education
Dr. Shiro Amioka

ATTACHMENT NO. 10

JOHN A. BURNS
GOVERNOR OF HAWAII

JAMES H. TAKUSHI
DIRECTOR

DAVID K. LUKE, JR.
DEPUTY DIRECTOR

RECEIVED
MAR 2 1973
OFFICE OF THE AUDITOR
STATE OF HAWAII

STATE OF HAWAII
DEPARTMENT OF PERSONNEL SERVICES
825 MILILANI STREET
HONOLULU, HAWAII 96813

March 1, 1973

Mr. Clinton Tanimura
Legislative Auditor
The Office of the Auditor
State Capitol
Honolulu, Hawaii

Dear Mr. Tanimura:

Thank you for the opportunity to review and comment on the preliminary report on the Management Audit of the Department of Education.

Enclosed are our comments and information on what has and will be done by this department regarding various recommendations in Chapter 28.

We believe that much progress has already been made in implementing some of these recommendations. You may be assured that this department will continue to work closely with the Department of Education to insure continued improvements.

Sincerely,

for JAMES H. TAKUSHI
Director of Personnel Services

cc: Department of Education

MEMBER
Public Personnel Association
Since 1940

STATE OF HAWAII
DEPARTMENT OF PERSONNEL SERVICES
HONOLULU, HAWAII 96813

COMMENTS ON THE PRELIMINARY REPORT

MANAGEMENT AUDIT OF THE DEPARTMENT OF EDUCATION

INTRODUCTION

The basic problems noted in Chapter 28 of the Auditor's Report relate to the exemption of positions, including the lack of control by the Department of Personnel Services and the questionable bases for certain exemptions.

For administrative purposes, the exempt service consists of two main groups of positions. The first group consists of the great majority of cases wherein exemption is established by law; that is, the positions or groups of positions to be exempted are specifically named in the statutes. Examples of positions in this group are, positions filled by popular vote; justices; judges; district magistrates; referees; masters; notaries public; assistant and deputy attorneys general; teachers; principals; vice principals; certificated personnel of the Department of Education; positions in the State's foster grandparents program; etc.

The second group of exempt positions consists of those positions which are exempted due to unique employment conditions. Exemption is requested on an individual basis, under portions of the statute which require review and consideration of the merit of the peculiar circumstances surrounding each position. Examples of positions falling into this category are positions requiring services which are special or unique, temporary, impractical to fill through normal civil service recruitment procedures, or involving services performed

on a fee, contract or piecework basis performed concurrently with a private business or profession, and requiring only a portion of the time, and impracticable to ascertain the portion of time required for the services performed, etc.

A. General Recommendations

1. The Auditor has recommended that the Department of Personnel Services "establish controls to assure that no positions are exempted without its prior review and approval."

a. As noted in our introduction, the majority of exempt positions obviously occupy clearly identified exempt categories. To initiate procedures requiring that the director individually review and approve the exemption of each such position does not appear desirable or practical. The law clearly describes these positions and consequently no question exists as to whether they should be exempted; for example, positions filled by popular vote, department heads, teachers, principals, etc. In other instances it would appear that our review of positions would not be appropriate because of the prerogatives of the employer; for example, positions filled by the State Legislature. Further, because a large number of positions are extremely short term, individual review by the Department of Personnel Services could cause delays; for example, jurors, masters, election inspectors.

b. We have always had a system for the approval and management for the other categories of exempt employment. The Auditor has noted that system did not provide sufficient control in all instances. However, we recently (May 1972) established a new

system and issued a joint memorandum with Budget and Finance to improve the controls for initial exemptions and extensions. A copy of the memorandum and the form to be used for our review are attached. Experience has shown that this memorandum and new procedure has been very successful and we have received compliance by all departments.

In addition to these controls of position exemptions, further control over employment in these exempt positions is exercised through our audit of all employee personnel action forms.

However, our procedures did not apply to the 20 non-certificated administrative, professional and technical employees of the Department of Education who are exempted by statute. Consequently, to assure that no positions are improperly exempted under that provision, we will be sending a supplementary memorandum to include these positions in our procedures for the review of exempt positions.

In view of the above factors we believe that a system of review and approval of exemptions for the second group of exemptions is necessary, but that control of the first group is not necessary nor desirable from a cost/benefit standpoint. Therefore, we would suggest continuing our current practices with the added improvement noted above.

2. The Auditor has recommended that the Department of Personnel Services prepare and maintain an up-to-date listing of all exempt positions in the State, including those of the Department of Education.

We believe this recommendation was made to insure control, provide a source of necessary information, and because the rules and regulations state that the Director of Personnel Services shall establis

and maintain such a register. We believe that our current and proposed procedures resolve the control problems.

The Department of Personnel Services does maintain a register of the second group of exempt positions. In addition, to conform with our maintaining listings, we will add to our register any positions exempted under the provision permitting twenty (20) non-certificated administrative, professional and technical personnel in the Department of Education.

The Director of Personnel Services relies on the line departments to maintain registers for the first group of exempt positions; for example, Board of Regents appointees, instructional staff of the Department of Education, jurors, election clerks, etc. It would be impractical for the Department of Personnel Services to maintain a manual register of all of these exempt positions because of the volume of work, the high level of turnover and the added delays in establishing and/or filling of such positions. For example, there are approximately 9,718 Department of Education certificated positions and 4,462 exempt Board of Regents employees. We do not believe that the Auditor intended that the Department of Personnel Services maintain lists of such positions in his recommendation.

In summary, records of the second category of exempt positions are maintained. We believe continued delegation of maintaining registers of the first category of exempt positions should be continued at this time and we will inform departments of the need to keep such lists on a current basis. A single master list is neither feasible, nor desirable from a cost/benefit standpoint, until the Electronic Data Processing Division can establish an automated position file.

B. Specific Recommendations Concerning Administrative, Professional and Technical Personnel

The Auditor has cited numerous deficiencies in the area of granting certificates which, in effect, guarantee exemption from civil service.

The authority to certify personnel is specifically granted to the Department of Education, as is the determination as to appropriate categories of certificates and the requirements for such categories. As such, these areas are outside the purview of the Department of Personnel Services.

1. The Auditor has recommended to the Department of Education that it "cease the practice of issuing professional administrative certificates for the purpose of evading the statutory limitation of employing not more than 20 non-education certificated personnel . . ." We assume that the Department of Education will comply with the recommendations of the Legislative Auditor. Elimination of this practice will identify the positions subject to Department of Personnel Services' review. As noted above, we propose to include the review of such positions in our standard review of exemptions of positions.

2. The Auditor has further recommended to the Department of Education that they "examine the appropriateness of the civil service laws in general and HRS, Section 76-16 (11) in particular, in meeting the needs of the department for such non-educator, administrative, professional and technical employees, and propose such amendatory legislation as necessary . . ."

We also note that the Auditor has made many other recommendations

to the Department of Education in the areas of organization and personnel management. Since substantial changes may result in the Department of Education as these recommendations are reviewed and implemented, we concur with the Auditor's recommendation that the Department of Education review Section 76-16 (11), once these other studies have been conducted and conditions have stabilized. However, we would suggest that the Auditor further recommend to the Department of Education that if amendatory legislation is to be proposed, it should be submitted for review and approval to the Director of Personnel Services prior to submission to the Legislature. The Director of Personnel Services is responsible for the administration of the civil service laws and any amendatory legislation involving civil service laws should be subject to his review and comment in order to insure consistency with merit principles on a statewide, interagency basis.

C. Specific Recommendations Concerning Temporary Help

1. The Auditor has recommended that the Department of Education submit to Department of Personnel Services an inventory of all positions exempt from civil service under Chapter 76-16 (2 and 3) (contract and temporary, unique services).

2. The Auditor has recommended that the Department of Personnel Services review this inventory of positions to determine their appropriate status.

We have no objection to the submission of such an inventory. However, our present practice already resulted in a review of this area. We have been working with the Department of Education since mid-1972 to convert positions cited in the report from exempt to civil service

where appropriate. Civil service positions have already been or are in the process of being established in lieu of many previously exempt positions including departmental assistants; part-time library positions; part-time custodial and janitorial positions; follow-up aides and general aides.

Much progress has been and is being made in reducing the number of exempt positions. However, we did find that the continued exemption of some positions was appropriate under category D, Department of Personnel Services rules and regulations 13.104 which includes exemption not only of temporary positions but also those positions which involve only a few hours of work a week on an irregular as-needed-basis and consequently are exempted by H.R.S. 76-16 (16). For your information, in no case have we found positions exempted under 76-16 (2) and 76-16 (3), H.R.S., which should have been certificated.

In summary, we believe that as a result of the establishment of our revised procedures and the reviews taken and scheduled in cooperation with the Department of Education adequately assure that positions which should become civil service have been and/or will be converted. We believe that continuation of these procedures will ensure that existing and further exemptions are proper. Consequently, we do not believe that an additional inventory of all positions need be submitted and reviewed at this time.

D. Recommendations Concerning Student Helpers

1. The Auditor has recommended that the Department of Education distinguish the tasks which are to be performed by the Student Helper I position from the Student Helper II position. We agree that the differences in work between Student Helper I and Student Helper II are difficult to distinguish on the basis of the current job descriptions.

Since these are statewide definitions published by this department, we plan to revise the descriptions so as to clarify the distinction. It has been our experience that there are indeed differences in actual job content, and that the basic categories Student Helper I and II, College Student Aid, and Graduate Student Aid should be retained. Clarification of these categories will facilitate their use by the various departments in insuring that student help are assigned appropriate tasks and compensated properly.

2. The Auditor also suggests that student help are improperly exempt under Chapter 76-16 (2) and that they should be hired through normal civil service recruitment procedures. However, normal civil service recruitment procedures are used only to fill civil service positions. Consequently, this suggestion could be construed to mean that the positions should be civil service positions. If the intent of these comments was that the positions should be converted to civil service, normal civil service recruitment would require that the positions be open to the general public and such positions could not legally be limited to students. Such action would obviously severely restrict the hiring of student help.

However, we do agree with the statement also made in the report that there is much to be said in favor of employing students as part-time helpers if the need for part-time assistance indeed exists. Although specific legislation is unclear in this area, we also consider the hiring of student help desirable and in conformance with legislative intent. Consequently, unless further direction is received, we will continue to approve the hiring of student help.

STATE OF HAWAII
DEPARTMENT OF BUDGET AND FINANCE
DEPARTMENT OF PERSONNEL SERVICES
HONOLULU, HAWAII

COPY

Joint Memorandum
Number 2–72

May 11, 1972

TO: Heads of Hawaii State Departments and Agencies

FROM: Director of Budget and Finance
Director of Personnel Services

SUBJECT: Employment Outside of the State's Civil Service and Compensation Laws

This circular applies to various categories of State employment deemed by any appointing authority to be exempt; i.e., outside the personnel administration system established under the provisions of Chapter 76, Civil Service Law, Hawaii Revised Statutes. The categories of employment are as follows:

1. Positions to be filled by persons employed to render special or unique services not to exceed one year pursuant to Section 76–16(2), HRS.

2. Positions of a temporary nature not to exceed 90 days but which may be extended for 90 days for good cause pursuant to Section 76–16(3), HRS.

3. Positions located in federally-funded research projects approved by the Governor but not to exceed one year pursuant to Section 76–16(12), HRS.

4. Positions to be filled by persons employed on a contract or piecework basis concurrently with their private business pursuant to Section 76–16(16), HRS.

5. Positions specifically exempt from Section 76–16, HRS, by any other law, as noted in Section 76–16(18), HRS.

Other categories of exempt employment presently noted in Section 76–16, HRS, are not applicable under this memorandum but new categories may be added due to statutory change.

The purpose of this circular is to improve the existing system for approval and management of the several categories of State employment noted above. The following procedure will apply when an appointing authority deems a position is exempt by virtue of one of those categories:

1. Complete the following documents in accordance with their applicable procedures and send directly to the Department of Budget and Finance:

a. Standard Form 1 – Request for Position Action
b. DPS Form 150 – Request for Position Classification Exemption

2. Upon the Governor's approval of position establishment, the Department of Budget and Finance will send all of these documents to the Administrative Division, Department of Personnel Services. Otherwise, all forms will be returned to the originating department by the Department of Budget and Finance.

3. Upon completion of its review, the Department of Personnel Services will distribute the copies of all documents. In the event exemption is approved, the classification title and salary range or wage board grade of the position will also be recommended, and the bargaining unit designation given. In the event exemption is disapproved, DPS Form 150 will be returned to the originating department.

4. Upon receipt of notice of exemption, the originating department is to proceed with its own exempt hiring. If exemption is not granted, the originating department is to submit completed DPS 206, Position Classification Form, and DPS 219, Position Evaluation Form, for position classification action.

/s/ Hiram K. Kamaka
HIRAM K. KAMAKA, Director
Department of Budget and Finance

/s/ James H. Takushi
JAMES H. TAKUSHI, Director
Department of Personnel Services

STATE OF HAWAII
DEPARTMENT OF PERSONNEL SERVICES
HONOLULU, HAWAII

COPY

Departmental Circular
Number 72–52

September 27, 1972

TO: All Department Heads

FROM: James H. Takushi, Director of Personnel Services

SUBJECT: Request for Exempt Position Evaluation

Due to unit determination activities relative to collective bargaining, the Form DPS 150 has been amended. This form was adopted as part of the system for approval and management of various categories of State employment deemed to be exempt from the provisions of Chapter 76, Civil Service Law, Hawaii Revised Statutes. Establishment of that system was announced by Joint Memorandum Number 2–72, dated May 11, 1972.

The title of the Form DPS 150 has been changed from "Request for Position Classification Exemption" to "Request for Exempt Position Evaluation" consistent with its expanded use. The instructions for completing the form have been changed accordingly. However, the paper flow procedure described in Joint Memorandum Number 2–72 will continue to apply.

/s/ David K. Luke, Jr.
for James H. Takushi
Director of Personnel Services

DPS Form 150 (Rev 9/72)
Submit in four copies for each position
Instructions on reverse side

COPY

Date: _____

REQUEST FOR EXEMPT POSITION EVALUATION

1. Purpose for submittal: (check one)
   - A. ☐ Initial exemption.
   - B. ☐ Continuance of exemption.
   - C. ☐ Review of job changes.

2. Department: _____ Division or Office, Section and Unit:

   _____

3. Position No. _____ 4. Incumbent's name: _____

5. Present Job Title, Pay Rate and BU Code: _____

6. Suggested Title, Pay Rate and BU Code: _____

7. Duration of Position: _____ 8. Hours Per Work Week: _____

9. Method of Payment ☐ Payroll (A account) ☐ Voucher (B account)

10. Responsibilities and Duties of the Job: (Use attachments)

    A. Responsibilities:
    B. Non-supervisory Duties:
    C. Supervision Received and Exercised:

11. Minimum Education and Experience Requirements:

12. Legal Basis for Exemption and Pertinent Facts:

13. Requestor: _____

Director

For DPS Use Only

A. Administrative Services Division

☐ Exemption Approved; Assigned No. _____

☐ Exemption Disapproved; Submit completed DPS 206 and DPS 219

B. Classification and Pay Division
(To be completed only if exemption approved)
Class title, class code number, salary range or wage board grade, and bargaining unit designation: _____

_____

_____

Director of Personnel Services

INSTRUCTIONS

(This form is for exempt position use only)

1. Purpose for Submittal:

   . . . Check box "A" if the request is for initial exemption.
   . . . Check box "B" if the request is for continuance of an exemption.
   . . . Check box "C" if the request is for review of job changes of an established exempt position which may affect job title, pay rate and bargaining unit designation.
   . . . Check boxes "B" and "C" if both apply.

2. Department and Division or Office, Section and Unit: Enter the names of the appropriate organizational components.

3. Position No.: If box "A" is checked, leave blank. If boxes "B" and/or "C" are checked, enter the assigned position number.

4. Incumbent's Name: Enter the name of an incumbent. If box "A" is checked or the position is established but vacant, write VACANT.

5. Present Job Title, Pay Rate and BU (Bargaining Unit) Code: If box "A" is checked, write NEW. If boxes "B" and/or "C" are checked, enter the appropriate information.

6. Suggested Job Title, Pay Rate and BU Code: If boxes "A" or "C" are checked, enter the appropriate information.

7. Duration of Position: Give overall length of time, such as "90 days" or "one year". If duration is indefinite, write "indefinite".

8. Hours Per Work Week: Give the number of hours of work per week. If the hours vary from week to week, write "irregular" and give the average number of work hours per week.

9. Method of Payment: Indicate whether person-to-be-hired is being paid by payroll ("A" account) or by voucher ("B" account). Fee-for-service will be "B" account.

10. Responsibilities and Duties of the Job:
    A. Responsibilities: Provide a statement of the function(s) of the organizational component in which the position is located. State the purpose or functions of the position.
    B. Non-Supervisory Duties: Concisely describe and list each major non-supervisory duty of the position. Give the percentage of time for each duty.
    C. Supervision Received and Exercised: Give the name and title of the supervisor of the position. Give the name and title of any subordinate. Concisely describe and list each supervisory duty and give the overall percentage of time. (If there is no subordinate, state this fact.)

11. Minimum Education and Experience Requirements: Enter the minimum requirements considered necessary for satisfactory work performance.

12. Legal Basis for Exemption and Pertinent Facts: Cite the specific legal provision and the facts about the job to warrant exemption.

APPENDICES

STATE OF HAWAII
DEPARTMENT OF EDUCATION
OFFICE OF PERSONNEL SERVICES
P. O. BOX 2360
HONOLULU, HAWAII 96804

INTERIM TEACHER OBSERVATION AND CONFERENCE WORKSHEET

Date: _____

Teacher's Name: _____ Date Observed: _____

Time or period Observed: _____

Class or Grade: _____ Size: _____ Time Spent in Room: _____

CHECK ONLY AREAS OBSERVED OR PERTINENT: (1 - Satisfactory, 2 - Unsatisfactory)

	1	2
CLASSROOM CONTROL & STUDENT RELATIONS		
Pupils working toward self-direction	☐	☐
Well established routines	☐	☐
Development of good work habits	☐	☐
Teacher fairness and understanding	☐	☐
Positive behavior controls	☐	☐
Respect for individual students	☐	☐
Respects differences in pupil viewpoints	☐	☐
Encourages courtesy	☐	☐
PLANNING AND ORGANIZATION		
Planned daily program	☐	☐
Continuity of lessons	☐	☐
Research and preparation	☐	☐
Evaluation procedures	☐	☐
Variety and appropriateness of materials	☐	☐
Planned enrichment	☐	☐
METHODS AND TECHNIQUES		
Pupil motivation and interest	☐	☐
Student involvement	☐	☐

	1	2
METHODS AND TECHNIQUES (Cont'd)		
Flexible grouping	☐	☐
Provisions for individual differences	☐	☐
Use of discovery techniques	☐	☐
Concepts appropriate for level of pupils	☐	☐
Application of learned skills	☐	☐
Use of variety of teaching strategies	☐	☐
KNOWLEDGE OF SUBJECT MATTER		
Teacher knowledge of key concept	☐	☐
Identify materials to develop key concepts	☐	☐
Ability to gather appropriate materials	☐	☐
Application of knowledge	☐	☐
ROOM ENVIRONMENT		
Ventilation, light and heat control	☐	☐
Wholesome classroom atmosphere	☐	☐
Developing good housekeeping habits	☐	☐
Attractive interest centers	☐	☐
Display of pupil materials	☐	☐

Professional attitudes and growth: _____

Personal characteristics: _____

Statement of specific competencies or incompetencies: _____

Specific suggestions for improvement discussed with the teacher: _____

(Date) _____ (Time) _____ Other comments: _____

(Teacher's signature does not necessarily indicate approval but merely that he is aware of the evaluation.)

_____ _____
(Teacher's Signature) (Date) (Principal's Signature) (Date)

Distribution: Blue - Teacher, Goldenrod - School

INTERIM CRITERIA FOR OBSERVATION OF TEACHING COMPETENCY

I. Instructional Skills

A. CLASSROOM CONTROL

Evidence of:

1. Pupils working toward self-direction.
2. Well-established routines.
3. An atmosphere that encourages the use of good work habits.
4. Teacher fairness and understanding.
5. Effective use of positive behavior controls.

B. PLANNING AND ORGANIZATION

Evidence of:

1. A well-planned daily program in keeping with long range objectives.
2. Lessons built on previous lessons and bridging to lessons that follow.
3. Prior preparation of teacher and students.
4. Planned evaluation procedures during and/or following lessons as a guide to the development of the next lessons.
5. A variety of materials in use for students on a variety of levels.
6. Planned and purposeful enrichment experiences as a practice in applying taught skills.

C. METHODS AND TECHNIQUES

Evidence of:

1. Good pupil motivation and continued interest.
2. Thorough student involvement in a variety of ways.
3. Assignments, presentations, and materials geared to individual needs and capabilities.
4. Students using discovery techniques to find concepts.
5. Presenting concepts based upon previous levels of skills and achievement of the students.
6. Pupil ability to apply learned skills to solve problems and to apply knowledge gained to other problems.
7. The presentation of a variety of strategies in introducing new ideas.

D. KNOWLEDGE OF SUBJECT MATTER

Evidence of:

1. Teacher knowledge of key concepts in a given subject area.
2. Ability to select or identify materials that contain facts pertinent to the development of a key concept.
3. Ability to gather appropriate source material for pupils with varying educational capabilities.
4. Ability to apply knowledge of subject matter in a practical teaching situation.

E. ROOM ENVIRONMENT

Evidence of:

1. Maintenance of adequate ventilation, light and heat control.
2. Providing for a classroom atmosphere that reflects wholesome teacher-student relationships.
3. Teaching children to maintain good housekeeping habits.
4. Use of attractive interest centers within the classroom related to the curriculum.
5. Use of bulletin boards to display attractive pupil materials of good quality.

II. Professional Attitudes and Growth

A. STAFF RELATIONS AND RESPONSIBILITIES

1. Works harmoniously and cooperatively with others in a professional manner.
2. Is prompt and accurate in attending to administrative requests.
3. Is willing to respond to extra responsibilities.

B. STUDENT RELATIONS

1. Demonstrate a courteous attitude toward students and is sincerely interested in their growth and development.
2. Uses sound judgment in dealing with students by being fair and consistent.
3. Shows respect for the personal worth of each student.
4. Welcomes and respects differences in pupil viewpoints.
5. Encourages courtesy within the classroom.

C. PARENT RELATIONS

1. Is tactful and effective in working with and involving parents in the school program.
2. Appreciates parent concern for the student.
3. Maintains professional relationships with parents through conferences, parent meetings and community meetings.

D. PROFESSIONAL RESPONSIBILITIES

1. Makes use of recognized channels to suggest changes and improvements.
2. Accepts and implements constructive criticism.
3. Willingness to serve on school and district committee.
4. Has sincerity toward and loyalty to the teaching profession.
5. Positively interprets the objectives of the school system to the community at large.
6. Follows policies and practices as set forth by the State, the Board of Education, by the Superintendent, and by building rules and regulations.

E. ETHICS

1. Is personally and professionally ethical in all his relationships.
2. Goes through regular channels in dealing with matters affecting relationships within the school or district.
3. Utilizes all sources of data to help the child and is discreet in the use of confidential information.

F. PROFESSIONAL IMPROVEMENT

1. Avails himself of opportunities offered to improve by joining professional organizations, attending workshops, summer school, meetings and conferences; keeps abreast of professional literature.
2. Is well prepared for assigned job, is willing to experiment with improved teaching practices, and continues to grow professionally.
3. Seeks assistance of administrators and supervisors.

III. Personal Characteristics

A. Attention is given to personal appearance.
B. Physical fitness.
C. Emotional stability—freedom from tension, fear, excessive worry, moods,
D. Well modulated voice.
E. Poise—mature control in handling emergencies.
F. Interest and enthusiasm for work.
G. Wholesome philosophy of life.
H. Self-confidence and a sense of humor.

Personnel
Form 751
Rev. 9/72

STATE OF HAWAII
DEPARTMENT OF EDUCATION
OFFICE OF PERSONNEL SERVICES

APPENDIX B

INTERIM TEACHER EVALUATION REPORT

NAME_____ SCHOOL_____ GRADE OR SUBJECT_____

_____ Probationary Report No. 1 2 3 4 5 6 _____ Years Teaching Experience (Optional)
_____ Permanent (Tenure)
_____ Interim Report

I. INSTRUCTIONAL SKILLS

	SATISFACTORY	UNSATISFACTORY
a. Classroom Control		
b. Planning and Organization		
c. Methods and Techniques		
d. Knowledge of Subject Matter		
e. Room Environment		
f. Other (Specify)		

Supporting Statement(s):_____

II. PROFESSIONAL ATTITUDES AND GROWTH

	SATISFACTORY	UNSATISFACTORY
a. Staff Relations and Responsibility		
b. Student Relations		
c. Parent Relations		
d. Professional Responsibilities		
e. Ethics		
f. Professional Improvement		
g. Other (Specify)		

Supporting Statement(s):_____

III. PERSONAL CHARACTERISTICS

	SATISFACTORY	UNSATISFACTORY
a. Physical Health		
b. Emotional Stability		
c. Personal Appearance & Grooming		
d. Voice		
e. Enthusiasm for Teaching		
f. Other (Specify)		

Supporting Statement(s):_____

IV. DEPARTMENT STANDARDS

At the time of this report this teacher:

1. ☐ Is meeting the standards of the Department of Education.
2. ☐ Is progressing toward the standards of the Department of Education.
3. ☐ Does not meet the standards of the Department of Education.

I have read this report and the principal has discussed it with me. My signature does not necessarily indicate approval.

_____ _____
Teacher's Signature Date

_____ _____
Principal's Signature Date

DISTRIBUTION: Blue - Teacher
Goldenrod - School
Pink - District

TEACHER EVALUATION PHILOSOPHY

The School District staff accepts the responsibility of providing the best possible learning situation for each individual student.

This responsibility makes it necessary to employ the very best available teachers and to retain only those who:

1. Demonstrate effort to stimulate each student to achieve up to the level of his innate capacity to learn.
2. Demonstrate a satisfactory ability to teach the subject matter in the fields of their preparation.
3. Cooperate with their colleagues.
4. Accept responsibility for making their particular school and the School District successful institutions for learning.
5. Demonstrate professional standards of conduct.

The principal of a school has the direct responsibility to the Superintendent, the Board of Education and the community for the supervision and evaluation of the entire teaching staff of the school. In his evaluation, his goal is two-fold: first, he must assist teachers in their work with students by advising them of ways through which they may improve their instruction and utilize supervisory and administrative staff specialists to the fullest extent necessary. In addition, he must give them his unbiased statements concerning their strengths and weaknesses. Secondly, he must counsel those who continue to have difficulties with their professional duties and when, in his judgment, incompetency exists, recommend their dismissal to the Superintendent.

TEACHER EVALUATION TERMINOLOGY

A TEACHER WHOSE WORK IS EVALUATED AS:

SATISFACTORY: is one who is doing what is expected in terms of all criteria considered in the evaluation. This teacher has shown improvement in terms of generally expected duties and responsibilities and has the professional skill to meet the minimum standards of competencies expected by the Department.

UNSATISFACTORY: is one who is incompetent in terms of the criteria considered in evaluation of the particular category. This teacher has not shown improvement in terms of the criteria considered and does not have the professional skill to meet the minimum standards of competency expected by the Department.

TEACHER EVALUATION CRITERIA

1. Instructional Skills

a. Classroom Control

Uses student participation in establishing classroom standards. Provides an atmosphere that encourages students to work effectively and to use good work habits. Maintains good discipline and is in control of the classroom at all times.

b. Planning and Organization

Has a well planned daily program in keeping with long range objectives. Provides purposeful erperiences, activities and materials to enrich the curriculum.

c. Methods and Techniques

Uses methods and techniques that reflect awareness of individual differences and abilities. Is skillful in directing student learning and in the development of good work and study habits. Develops student understanding of methods of evaluating their work.

d. Knowledge of Subject Matter

Demonstrates thorough knowledge of subject matter and ability to apply this knowledge in a practical teaching situation.

e. Room Environment

Provides for a pleasant, orderly room with adequate ventilation, light and heat control. Provides for a classroom atmosphere that reflects wholesome teacher-student relationships.

2. Professional Attitudes and Growth

a. Staff Relations and Responsibilities

Works harmoniously and cooperatively with others in a professional manner. Is prompt and accurate in attending to administrative requests. Exercises willingness to accept his share of responsibilities.

b. Student Relations

Demonstrates a courteous attitude toward students and is sincerely interested in their growth and development. Uses sound judgment in dealing with students by being fair and consistent.

c. Parent Relations

Is tactful and effective in working with and involving parents in the school program. Appreciates parent concern for the student.

d. Professional Responsibilities

Accepts his assignment in a professional manner by demonstrating a willingness and a desire to make an effective contribution to the total school program. Makes use of recognized channels to suggest changes and improvements. Accepts and implements constructive criticism.

e. Ethics

Is personally and professionally ethical in all his relationships.

f. Professional Improvement

Participates in graduate programs, in-service training or work experience related to his teaching.

3. Personal Characteristics

a. Physical Health

Apparent state of health is good as demonstrated by observation and regularity of attendance.

b. Emotional Stability

Demonstrates ability to handle tense and difficult situations in a mature manner. Does not become involved emotionally with student problems. Recognizes the value of work performed by every member of the school staff. Keeps personal problems out of the school situation.

c. Personal Appearance and Grooming

Dress is suitable and extremes are avoided. Is neat and clean and mindful of the effect appearance has on others.

d. Voice—Voice has pleasing quality & appropriate volume.

e. Enthusiasm for Teaching

TEACHER EVALUATION SCHEDULE

For teacher evaluation schedule, see School Code Procedures 5607, 5607.1, or 5607.11.

STATE OF HAWAII
DEPARTMENT OF EDUCATION
OFFICE OF PERSONNEL SERVICES
P. O. BOX 2360
HONOLULU, HAWAII 96804

VICE PRINCIPAL EVALUATION REPORT

Vice Principal's Name: _____ School: _____

Evaluated by: _____, Principal For the period: _____

INSTRUCTIONS: Fill in the boxes to the right of the factors with the descriptive words poor, fair, satisfactory, good, or excellent. You will note that the factors are arranged in outline form. Every factor that is a heading is a summary of those subfactors specifically subsumed under it as well as those not specified but implied in the heading. Not all of the factors are of the same importance nor are identical factors of the same importance in every school. It is not intended that this form yield a "score". It is intended merely as a reminder that each of these factors needs to be considered objectively before making an overall judgment. Do not feel compelled to start at the top and work down. Start with factors about which you have the most information. If you do not have sufficient information to rate a factor, leave it blank. Individual items may be evaluated and dated during the semester.

It will be noted that this form is very similar to the principal's evaluation report. This is because the functions are similar. However, it must be recognized that in any large school there must be a division of labor in the interest of efficiency. Therefore, this sheet should be marked with the organizational pattern of the particular school in mind.

		Date
OVERALL PERFORMANCE		
1. INSTRUCTIONAL PROGRAM		
a. Supervision & evaluation of teachers		
(1) Regular teachers		
(2) Probationary teachers		
b. Assignment of teachers and scheduling of classes		
c. Knowledge of curriculum		
d. Use of instructional aids & equipment		
e. Quality of program planning		
2. PUPIL PERSONNEL PROGRAM		
a. Guidance Program		
b. Discipline		
c. Attendance		
d. Health & Safety Program		
3. STAFF RELATIONS		
a. With teachers		
(1) Individually		
(2) As a group		
(3) Relations with employee organizations		
(4) Quality of professional faculty meetings		

(Over)

(Continued)

Date

4. MANAGEMENT FUNCTIONS . . . . . [ ] . . . . . _____

   a. Physical Plant . . . . . [ ] _____

   b. Office Management . . . . . [ ] _____

   c. Finance . . . . . [ ] _____

5. COMMUNITY RELATIONS . . . . . [ ] . . . . . _____

   a. With individual parents . . . . . [ ] _____

   b. With PTA . . . . . [ ] _____

   c. With other organizations . . . . . [ ] _____

   d. With other individuals . . . . . [ ] _____

6. DEPARTMENTAL RELATIONS . . . . . [ ] . . . . . _____

   a. Knowledge of functions of other schools and parts of Department . . [ ] _____

   b. Knowledge of Departmental policy and regulations . . . . . [ ] _____

   c. Cooperation with other schools and parts of Department . . . . . [ ] _____

7. EFFORTS TOWARD PROFESSIONAL IMPROVEMENT . . . . . [ ] . . . . . _____

REMARKS BY RATER:

REMARKS BY VICE PRINCIPAL:

(Vice Principal's signature does not necessarily indicate approval but merely that he is aware of evaluation)

Vice Principal's Signature _____ Date _____

Principal's Signature _____ Date _____

Distribution: WHITE - Office of Personnel Services, GOLDENROD - School, PINK - District, BLUE - Vice Principal

STATE OF HAWAII
DEPARTMENT OF EDUCATION
OFFICE OF PERSONNEL SERVICES
P. O. BOX 2360
HONOLULU, HAWAII 96804

PRINCIPAL EVALUATION REPORT

Principal's Name: _____ School: _____

Evaluated by: _____ For the period: _____

INSTRUCTIONS: Fill in the boxes to the right of the factors with the descriptive words poor, fair, satisfactory, good, or excellent. You will note that the factors are arranged in outline form. Every factor that is a heading is a summary of those subfactors specifically subsumed under it as well as those not specified but implied in the heading. Not all of the factors are of the same importance nor are identical factors of the same importance in every school. It is not intended that this form yield a "score". It is intended merely as a reminder that each of these factors needs to be considered objectively before making an overall judgment. Do not feel compelled to start at the top and work down. Start with factors about which you have the most information. If you do not have sufficient information to rate a factor, leave it blank. Individual items may be evaluated and dated during the semester.

		Date
OVERALL PERFORMANCE		
1. INSTRUCTIONAL PROGRAM		
a. Supervision & evaluation of teachers		
(1) Regular teachers		
(2) Probationary teachers		
b. Assignment of teachers and scheduling of classes		
c. Knowledge of curriculum		
d. Use of instructional aids & equipment		
e. Quality of program planning		
2. PUPIL PERSONNEL PROGRAM		
a. Guidance Program		
b. Discipline		
c. Attendance		
d. Health & Safety Program		
3. STAFF RELATIONS		
a. With teachers		
(1) Individually		
(2) As a group		
(3) Relations with employee organizations		
(4) Quality of professional faculty meetings		
b. With classified employees		

(Over)

(Continued)

Date

4. MANAGEMENT FUNCTIONS . . . . . [ ] . . . . . ___ _____

a. Physical Plant . . . . . [ ] _____

b. Office Management . . . . . [ ] _____

c. Finance . . . . . [ ] _____

5. COMMUNITY RELATIONS . . . . . [ ] . . . . . _____

a. With individual parents . . . . . [ ] _____

b. With PTA . . . . . [ ] _____

c. With other organizations . . . . . [ ] _____

d. With other individuals . . . . . [ ] _____

6. DEPARTMENTAL RELATIONS . . . . . [ ] . . . . . _____

a. Knowledge of functions of other schools and parts of Department . . [ ] _____

b. Knowledge of Departmental policy and regulations . . . . . [ ] _____

c. Cooperation with other schools and parts of Department . . . . . [ ] _____

7. EFFORTS TOWARD PROFESSIONAL IMPROVEMENT . . . . . [ ] . . . . . _____

REMARKS BY RATER:

REMARKS BY PRINCIPAL:

(Principal's signature does not necessarily indicate approval but merely that he is aware of evaluation)

Principal's Signature _____ Date _____

District Superintendent's or Supervising Principal's Signature _____ Date _____

Distribution: WHITE - Office of Personnel Services, GOLDENROD - School, PINK - District, BLUE - Principal

STATE OF HAWAII
DEPARTMENT OF EDUCATION
OFFICE OF PERSONNEL SERVICES
P. O. BOX 2360
HONOLULU, HAWAII 96804

STATE AND DISTRICT EDUCATIONAL OFFICERS EVALUATION REPORT

Name of Employee (Last, First) _____ Title of Position _____

Ratings for the period _____ to _____

To be rated by _____ of _____

SUMMARY RATING OF PERFORMANCE

Consider both the quality and quantity of work performed.

Not Satisfactory — Fair — Average — Good — Excellent

1. PROFESSIONAL AND/OR TECHNICAL COMPETENCE

Consider: Knowledge of specialized field; knowledge of the broad field of public education; knowledge of departmental procedures; policies and organization; ability to identify and solve problems encountered on the job through the application of professional knowledge.

Not Satisfactory — Fair — Average — Good — Excellent

2. ADMINISTRATIVE AND SUPERVISORY SKILLS

Consider: Ability to: plan and organize, delegate to subordinates, direct and coordinate, train and develop subordinates and win acceptance, assistance and confidence from the public and within the department. Also consider willingness and ability to make decisions and cooperate with others.

Not Satisfactory — Fair — Average — Good — Excellent

3. POTENTIAL FOR GROWTH

Consider: Does he keep abreast with developments in his field? Is he able to assume new and different responsibilities? Does he initiate changes that result in improvements? Can he work under pressure? Can he work independently? Can he work as a team member? Is he able to supervise others?

Not Satisfactory — Fair — Average — Good — Excellent

(Over)

INSTRUCTIONS: Explain below the ratings given on the check list on Page 1.

A. POINTS OF STRENGTH:

B. AREAS FOR DEVELOPMENT:

C. RECOMMENDATION:

REMARKS BY PERSON EVALUATED:

(Employee's signature does not necessarily mean complete agreement on the part of the employee.)

Signature of Employee _____ Date _____

Signature of Evaluator _____ Date _____

Distribution: WHITE - Office of Personnel Services, PINK - District, BLUE - Educational Officer

Personnel
Form 752a
Rev. 9/69

STATE OF HAWAII
DEPARTMENT OF EDUCATION
OFFICE OF PERSONNEL SERVICES

APPENDIX F

DOE CAREER MANAGEMENT PROGRAM
ANNUAL GUIDED SELF-DEVELOPMENT PLAN
Annual Period_____

Employee's Name _____ Position _____

Supervisor _____ School/Office _____

Explanation of Training Needed	Suggested Method For Improvement e.g. a University Course	Beginning and Ending Dates of Exercise	Recommended Method of Funding

Approved: _____
(Employee) (Date)

_____
(Supervisor) (Date)

DISTRIBUTION

Goldenrod - Immediate Supervisor
Blue - Employee

PUBLISHED REPORTS OF THE LEGISLATIVE AUDITOR

Audit Reports

1966
1. Examination of the Office of the Revisor of Statutes, 66 pp. (out of print).

1967
1. Overtime in the State Government, 107 pp.
2. Management Audit of Kula Sanatorium, 136 pp.

1968
1. Financial Audit of the Department of Health for the Fiscal Year Ended June 30, 1967, v.p. (out of print).
2. Financial Audit of the Department of Planning and Economic Development for the Fiscal Year Ended June 30, 1967, v.p. (out of print).
3. Financial Audit of the Department of Regulatory Agencies for the Fiscal Year Ended June 30, 1967, v.p. (out of print).
4. Financial Audit of the Department of Hawaiian Home Lands for the Fiscal Year Ended June 30, 1967, 54 pp.
5. Financial Audit of the Oahu Transportation Study for the Period July 1, 1962 to August 31, 1967, 68 pp.
6. Financial Audit of the Hawaii Visitors Bureau for the Period July 1, 1966 to January 31, 1968, 69 pp. (out of print).
7. State Capital Improvements Planning Process, 55 pp. (out of print).
8. Financial Audit of the Hilo Hospital for the Fiscal Year Ended June 30, 1967, 43 pp. (out of print).
9. Financial Audit of the Hawaii Visitors Bureau for the Period July 1, 1967 to June 30, 1968, 42 pp.

1969
1. Financial Audit of the General Fund, State of Hawaii, for the Fiscal Year Ended June 30, 1968, v.p. (out of print).
2. Financial Audit of the Judicial Branch, State of Hawaii, for the Fiscal Year Ended June 30, 1968, v.p. (out of print).
3. Financial Audit of the State Department of Budget and Finance for the Fiscal Year Ended June 30, 1968, v.p.
4. General Audit of the Department of Personnel Services, State of Hawaii, 129 pp. (out of print).
4. A Summary of the General Audit of the Department of Personnel Services, 53 pp.
5. Financial Audit of the Samuel Mahelona Memorial Hospital for the Fiscal Year Ended June 30, 1968, 54 pp.
6. Financial Audit of the Honokaa Hospital for the Fiscal Year Ended June 30, 1968, 41 pp.
7. Financial Audit of the Kohala Hospital for the Fiscal Year Ended June 30, 1968, 34 pp.
8. Financial Audit of the Kona Hospital for the Fiscal Year Ended June 30, 1968, 44 pp.
9. Financial Audit of the Kauai Veterans Memorial Hospital for the Fiscal Year Ended June 30, 1968, 30 pp.
10. An Overview of the Audits of the Act 97 Hospitals, 18 pp.

1970
1. Management Audit of the Department of Water County of Kauai, 65 pp.
2. Audit of the Kamehameha Day Celebration Commission, 47 pp.
3. Audit of the Medical Assistance Program of the State of Hawaii, 392 pp.

1971
1. Financial Audit of the State School Lunch Services Program, Department of Education, for the Fiscal Year Ended June 30, 1970, v.p. (out of print).
2. Audit of the County/State Hospital Program, 124 pp.
3. Audit of the State Vendor Payment Process, 63 pp.
4. Audit of the Hawaii Educational Television System, 153 pp.

1972
1. Audit of the Office of the Public Defender, 39 pp.
2. Financial Audit of the Department of Agriculture for the Fiscal Year Ended June 30, 1971, v.p.
3. Financial Audit of the Department of Labor and Industrial Relations for the Fiscal Year Ended June 30, 1971, v.p.
4. Audit of Utility Facility Relocation in Street Widening Projects, 73 pp.
5. Audit of the School Construction Program of the State of Hawaii, 297 pp.

Special Reports

1965
1. Long and Short Range Programs of the Office of the Auditor, 48 pp. (out of print).
2. A Preliminary Survey of the Problem of Hospital Care in Low Popoulation Areas in the State of Hawaii, 17 pp.

1966
1. Procedural Changes for Expediting Implementation of Capital Improvement Projects, 9 pp.

1967
1. The Large School: A Preliminary Survey of Its Educational Feasibility for Hawaii, 15 pp.
2. State-City Relationships in Highway Maintenance, and Traffic Control Functions, 28 pp.
3. Manual of Guides of the Office of the Legislative Auditor, v.p.

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1. Transcript of Seminar in Planning-Programming-Budgeting for the State of Hawaii, 256 pp.
2. Airports System Financing Through Revenue Bonds, 9 pp (out of print)
3. Second Annual Status Report on the Implementation of Act 203, Session Laws of Hawaii 1967 (Relating to State-County Relationships), 13 pp. (out of print).
4. An Overview of the Governor's 1969-70 Capital Improvements Budget, 61 pp. (out of print)
5. A Supplementary Report on the Audit of the Hawaii Visitors Bureau, 2 pp. (out of print)

1970
1. A Study of the Compensation of Coaches of Interscholastic Athletics of the State Department of Education, 31 pp.

1971
1. A Study of the State Highway Special Fund, 14 pp.

1972
1. A Study of Hawaii's Motor Vehicle Insurance Program, 226 pp.

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