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November 26, 1984

Marilyn Rauth, Executive Director
Educational Issues Department
American Federation of Teachers
11 Dupont Circle, N. W.
Washington, D.C. 20001

Dear Marilyn:

A note of thanks about the materials you continually send to us upon request. We are using many of them now in preparation for a variety of school board presentations.

Enclosed is a proposal being presented to the school board on Thursday, Nov. 29, 1984, regarding establishing a new evaluation system. I would appreciate someone reading it (such as yourself) to let me know what pitfalls they see. If it's possible to call me by Thursday, it would be appreciated.

Sincerely,

Maureen Peters

Maureen Peters
President

cc: Edgar Crook

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*Texas
Tchs. Eval.*

Office

RESEARCH PROPOSAL

DALLAS FEDERATION OF TEACHERS
3631 CEDAR SPRINGS
SUITE 100
DALLAS, TX 75219

Submitted to: The Dallas Independent School District

Mr. Linus Wright
General Superintendent
3807 Ross Avenue
Dallas, Texas 75204
Telephone number 214/824-1620

Proposal Initiators: Richard P. Manatt, Professor
Shirley B. Stow, Associate Professor
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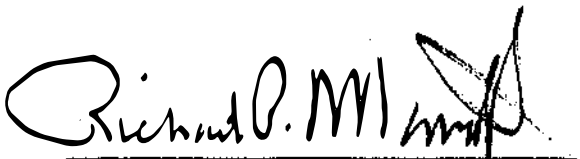
Title of Project: A Focused, Total-Systems
Approach to Evaluating and
Improving the Performance of
Educational Professionals

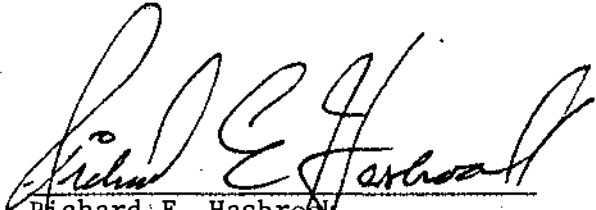
Proposed Starting Date: January 1, 1985

Proposed Duration: 42 months

Proposed Budget: \$415,437

Endorsements:


Richard P. Manatt
Director and Principal
Investigator
515/294-5521


Richard E. Hasbrook
Contracts and Grants Officer
515/294-5225 11-5-84



Shirley B. Stow
Co-Director
515/294-9995

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EXECUTIVE SUMMARY

Successful management of schools is greatly affected by the nature and size of the organization in which they are situated (Harrison and Cage, 1984). Just as effective classrooms are nested in effective schools, effective schools are more likely to exist in well-managed school districts. Researchers and management practitioners have long known that educational organizations are unique (Campbell, 1958; Miles, 1969). Weick (1976, 1982) has made much of the notion that educational organizations are tied together frequently and loosely, rather than tightly or densely. Such loose coupling arises from a lack of consensus on educational goals, a low level of faculty interdependence and, most significantly for this project, a lack of systematic monitoring and evaluation in schools. Of course, loose coupling also occurs because of input variability arising primarily from differences in student ability. Loosely coupled systems promote adaptations, giving stability to the system but also limiting the benefits of coordination.

Thus, boards of education, general and area superintendents, and various instructional change agents face the problem of how to facilitate instructional improvement in an organization which, by its very nature, limits the impact of their efforts toward coordination and systematization (Harrison and Cage, 1984).

This specifically was the felt need of the leaders of the Dallas Independent School District when they sought to join forces with the School Improvement Model researchers at Iowa State University. Over the past decade, professors Manatt and Stow and their colleagues have helped

numerous districts and independent schools improve their performance appraisal procedures and management information systems; in short, creating a more tightly coupled or highly focused effort (Manatt and Stow, 1984; Stow and Sweeney, 1981; Look and Manatt, 1984). See Exhibit for a display of Computer-Assisted Teacher Evaluation/Supervision (CATE/S).

The proposed project is intended to provide a focused, total-systems approach to evaluating and improving the performance of educational professionals for a district of 445 administrators and 6900 teachers via the following components:

1. Short-term and temporary modification of existing evaluation procedures for the next year,
2. Consulting advice and creation of instruments and procedures mandated by House Bill 72 (Texas Legislature, 1984),
3. Creation of a completely new, total-systems approach to performance appraisal which is data-based, hooked to compensation, and which can be operated using microcomputers at the campus level with data transmission via modems to the district's mainframe computer,
4. Finally, and perhaps most important, training all levels of management and selected teachers to operate the system and improve performance of all educational personnel.

This is a massive undertaking, hence the timeline for the project will be 42 months.

INTRODUCTION

The Dallas Independent Schools, in common with many large, urban school districts, was confronted with a great number of problems in the late sixties and most of the decade of the seventies. The twin issues of excellence and equity have always been intertwined with the concerns of a rapidly shifting population, student achievement declines, and the continuing search for the financial resources to provide a sound education for all children. The Dallas Independent Schools are uncommon, however, in their continuing determination and success in meeting and solving these problems. Dallas is always experimenting, always striving, and always in the vanguard of public education, both in Texas and nationwide. It was that tradition, plus the opportunities and challenges inherent in the new Texas School Reform Law (H.B. 72, 1984), that led the district to enter into a dialog with the School Improvement Model team at the Research Institute for Studies in Education (RISE) at Iowa State University. After preliminary discussions between Professor Manatt and John Santillo, Assistant Superintendent for Personnel Services, a group of Dallas School leaders met with the RISE personnel and Virgil Lagomarcino, Dean of the College of Education, to discuss the feasibility of a joint effort to develop a Focused, Total-Systems Approach to Evaluating and Improving the Performance of Educational Professionals in the district (October 1-2, 1984). During the meeting, the Dallas team outlined the existing performance evaluation and compensation procedures and described the anticipated changes in the

appraisal process components and the career ladder provisions resulting from the passage of H.B. 72.

The RISE personnel, on their part, described the progress made in the past decade by their researchers in developing valid, reliable, and legally discriminating performance appraisal systems. (See Exhibit.) Professors Manatt, Stow, Sweeney, and others at RISE were not unacquainted with career ladders, merit pay, and incentive plans either, having worked with the states of Tennessee, North Carolina, Kentucky, California, New York; the Department of Defense Dependent Schools; and the Fairfax County Schools in Virginia on just such endeavors. Moreover, all of the Iowa State University professors and staff personally work under a differentiated compensation and/or merit system.

Subsequent to that meeting and further exploration of the issues by the district personnel, a request for a proposal was made. Specifically, the project was to respond to the following perceived needs of the school district.

1. Short-term and temporary modification of the existing teacher performance evaluation instrument and procedures for the 1984-85 school year. Similar changes are needed for administrator evaluation and the instruments for evaluating 23 other job specialties.
2. Consulting and advice regarding the changes needed to comply with the dictates of H.B. 72 that involve performance appraisal, training, and certification of appraisers and career ladder screening and differentiated compensation.

3. The specification of, and provisions for, a replacement for the existing performance evaluation system. The new mechanism is to be a total systems approach with a data base, a focus that overcomes the usual loose coupling of a school organization's management, and be centered in microcomputers at the campus level and mainframe computer-based at the central administration level.
4. Training for all personnel involved was considered of paramount importance; training for the Board of Trustees and the Council to use the Management Information System to be developed; training for area offices to be sure the system is applied properly at the building level; and training for principals and other teacher evaluators so they could evaluate, determine compensation differentials, set career ladder promotions, and provide remediation where needed.

In regard to performance evaluation of professionals and career ladder provisions, each of the above needs must be met within the mandates of Texas law. The project envisions going much beyond those minimums, however, to reach the status of a data-based, total system for evaluation, compensation, and remediation or removal of those personnel performing below district standards.

The proposed project is more than just an updating of an appraisal system; it is an articulated administrator and teacher performance evaluation system coupled with powerful training components designed to

upgrade the performance of all professional employees in order to improve the district's instructional outcomes. As such, the 42-month endeavor is a total-systems approach based upon five years of basic research in the School Improvement Model (SIM) project directed by Dick Manatt and Shirley Stow (Manatt et al., Occasional Papers, 1980-84).

Several basic questions must be answered in order to determine what approach, or combination of approaches, for performance appraisal will be appropriate for this dynamic and striving public school district; viz.,

1. What are the criteria for effective teaching? administration? other specialties?
2. How can the evaluation system enhance the existing staff development and curriculum improvement activities?
3. How shall the district monitor, measure, and report performance?
4. How does the district plan to help administrators and teachers improve after evaluation?
5. How can such massive amounts of performance information best be captured, stored, transmitted, analyzed, and used for decision-making?

The rationale for the entire project may be best explained by the functions of the mutual-benefit evaluation systems previously developed by the RISE team. They are:

1. To improve teaching and administration through the identification of ways to change teaching systems, management systems, teaching environments, or teaching behaviors.
2. To supply information that will lead to the modification of assignments, such as placements in other positions, promotions, and terminations.
3. To protect students from incompetence, and teachers from unprofessional administrators.
4. To reward superior performance.
5. To validate the school system's teacher/administrator selection process.
6. To provide a basis for teachers' and administrators' career planning and professional development.

Methodology created by Dick Manatt and his team of performance appraisal consultants will be used to answer the performance evaluation questions. The methods will include, but will not be limited to, advisory committee planning of system specifications; development of three philosophies for the district--evaluation, administration, and education; critical work activities (CWAs) identified for each administrative role via systems analysis; position descriptions updated and situational status determined by interview teams and evaluation; supervisory skills enhanced by in-district interventions provided by the consulting team.

The proposed Dallas Independent School District Performance Evaluation System would be unique in two very important ways. First, a strong commitment to participative planning and involvement will be necessary. This helps all professionals grow, but, more important, it provides "ownership" of the components created. The second unique feature of this endeavor is the provision of staff development activities to ensure that district administrators can operate the program after the consultants leave. Board members, teachers, and administrators alike will be given common opportunities to "try" each subsystem in a nonthreatening learning mode before implementation and after the first trial cycle. This should provide a model process and system which will be recognized in Texas and nationally as a better way to do the always difficult task of evaluating performance and determining compensation in a school district.

Although it is proposed that a consulting team headed by Dick Manatt will assist the Dallas Independent School District in the development of the various evaluation systems, this project is seen as a joint effort in which the district provides on-site coordination for the development of all activities, with writing, training, and data processing support provided by the consulting team. The RISE team will be responsible for the delivery of research data, gathering of demographic data, computer analysis of field test data, development of training protocols, training of evaluators, orientation of teachers and administrative staff, and such other duties as may be mutually agreed

upon by both parties. Maximum use will be made of Iowa State University airplanes to reduce costs of travel.

The following plan has been developed on the premise that high-level performance by all professional groups is absolutely essential if the district's goals are to be achieved. Since the district's future goals are important to performance appraisal and compensation, it is imperative that all changes correspond to the long-range planning the district intends to do on its own.

PROJECT PHASES (PROCEDURES)

A 42-month timeline is envisioned. Three distinct phases will be necessary, viz., preparational, developmental, and operational. Project priorities are to include (in rank order):

1. A six-month, intensive endeavor to upgrade existing practice and to help Dallas contribute to the state initiatives (H.B. 72)
2. Teacher performance evaluation
3. Administrator performance evaluation
4. Superintendent and Board Performance Evaluation
5. Creation of the data processing system to maintain and report information for all of the above

Training, assessment, and feedback to improve all of these components will be absolutely essential.

PHASE I--PREPARATIONAL

1. Richard P. Manatt will be designated project director.
Shirley Stow will be Co-director and Supervisor of
Consultants. Ellen Look, Jim Sweeney, and other will serve
as lead consultants.
2. All instrument development and data analysis will be under
the direction of Libby Bilyeu.
3. Research assistants will be selected to add racial balance to
the team.
4. The project coordinator will be a district administrator.
5. Planning and implementation of the project will be
accomplished through the formation of a district
stakeholders' committee. The committee will be chaired by
the project coordinator and will include (but not be limited
to) the following members:
 - a. one member of the Board of Education,
 - b. three citizens,
 - c. four administrators,
 - d. six classroom teachers, and
 - e. two students.

The committee shall be empowered to adjust its membership and
to designate subcommittees as the circumstances demand. It
will be responsible for the review and modification of the
district's existing plans and implementation of all committee

TABLE 1. Stakeholders' Committee Plan

Phase	Activity	Question/Topics
I	Select committees*	Steering Committee (Subcommittee Chairpersons) SUBCOMMITTEES;
	Survey and interview to determine administrative and instructional "situation"	1. Philosophy and Objectives 2. Performance Areas and Criteria 3. Operational Procedures 4. Forms and Records 5. Compensation/ladder 6. Test and Field Test
II	Subcommittees set specifications for teacher and administrator performance evaluation	
	1. Steering Committee	a. Create/manage timeline b. Inform/consult superintendent and Board c. Determine consultant usage d. Determine performance <u>vs.</u> input-output evaluation e. Inform/consult staff
	2. Philosophy and Objectives	a. Why evaluate administrators? teachers? b. Shall we use multiple evaluators? c. What constitutes good administration in this district? effective teaching?
	3. Performance Areas and Criteria	Aids administration in determining: a. What performance areas count? b. What about leadership <u>vs.</u> management? c. What specific criteria with these areas? d. Benchmark of teaching effectiveness

*All committee activities must be guided by the constraints of Texas Statutes.

Table 1 (Continued)

Phase	Activity	Question/Topics
	4. Operational Procedures	<ul style="list-style-type: none"> a. If we use multiple evaluators, how do we do it? b. What should the cycle be? c. What should constitute an appraisal conference? d. How should feedback and help be provided? e. How do we use climate data? f. How do we meet the state's guidelines from H.B. 72?
	5. Forms and Records	<ul style="list-style-type: none"> a. Analysis of system b. How do we streamline paperwork? c. Do we need separate documents for formative and summative data? d. Should there be a program evaluation form? e. How do we transmit and store data? f. What separate reports do we need for compensation/career ladder?
	6. Test and Field Test	<ul style="list-style-type: none"> a. What constitutes an appropriate test of the new system? b. What are our criteria of validity, reliability, discrimination power? c. When should we begin the field test? d. How high shall our standards be? e. What orientation and training is needed for the evaluators?
III	Set philosophies; determine criteria to be used	Inform all subcommittees of guidelines. Strive for agreement: teachers, administrators, Board, students, community. Orient evaluators and evaluatees.
	Describe cycle to be used Draft forms and records	Conferences, observations, coaching. How to document what happens--specify performance changes needed, give credit for success!
	Plan cut-and-try experiment	Who? What? When? Where? Why? For how many dollars?

Table 1 (Continued)

Phase	Activity	Question/Topics
	Field test, review, rewrite	What worked? What did not? What more do we need? What should be area based? central office based?
	Establish and improve	Operate staff interventions: skills training for evaluators, improve teacher/administrator performance, check against previous evaluation; orient, orient, and reorient!

*All committee activities must be guided by the constraints of Texas Statutes.

TABLE 2. Suggested Activities for Years 0 and 1

TO JULY 1, 1985 ACTIVITIES	PERSON/WORK DAYS	
	IN DISTRICT	ON CAMPUS
1. Plan the creation of a stakeholders' committee	2	2
2. Provide liaison and advice to Texas education office planners	2	2
3. Plan the articulation with the Texas plan (H.B. 72)		
4. Modify existing DISD instruments and activities to serve for this school year	4	20
5. Plan for the creation of a new data-based total systems approach to performance appraisal and compensation (DISD and Texas specifications)	4	20
6. Train Council, Area Offices, and principals to operate the enhanced system	2	10
7. Conduct stakeholders meetings	4	4
8. Provide progress reports to council and board	1	2

JULY 1, 1985-JUNE 30, 1986 (YEAR 1)		

9. Complete plan for new data-based, total systems approach to performance appraisal and compensation. The components to include but not be limited to:	10	40
a. Custom-tailored appraisal instruments using the Texas specifications for categories and response modes (e.g., "unsatisfactory" to "clearly outstanding").		
b. Procedures of appraisal to meet the district-specific needs of Dallas but to also serve the career ladder requirements of H.B. 72 (viz., not fewer than two appraisers, the use of master teachers, the specified conferences with the appraisee.)	2	5
c. Compensation differentials as desired by DISD Board of Trustees.	2	10

Table 2 (Continued)

JULY 1, 1985-JUNE 30, 1986 (YEAR 1)	PERSON/WORK DAYS	
	IN DISTRICT	ON CAMPUS
10. Development of training programs for all administrators and teacher evaluators to operate the system (conferencing, diagnosing, remedial activities, identification of the required performance to the next level)	2	10
11. Development of training programs for evaluation and improving the performance of special categories of employees not detailed in H. B. 72, e.g., counselors, media specialists, nurses.	2	10
12. Development of a refined system for evaluating the Board of Trustees and superintendents	1	4
13. Development and creation of an evaluation system for all administrators (445)	4	10
14. Planning and development of a data base (both micro and mainframe computers) for maintaining all performance data and report making	2	40
15. Planning and development of procedures to measure all building climates (183 buildings)	2	10
16. Continue progress reports to the stakeholders' committee, council, and Board of Trustees	1	2

responsibilities designated in the plan (see Table 1). Dr. Manatt will serve as chief consultant for the steering committee. See Table 2 for Year 1 activities.

6. Planning data will be gathered by selected members of the consulting team following the acceptance of this proposal. Subjects to be included in all training, administrative systems analysis, and interviewing include those holding all administrative positions from the rank of assistant principal through general superintendent. Role incumbents to be evaluated include: Board of Trustees--9; Administrators--445; Counselors--221; Social workers--56; Psychologists--34; Media specialists/librarians--186; and 6,900 teachers. The planning stage will not be free standing; some training, data processing, and instrument modification will be necessary from the outset to serve the district during the state-influenced changes of spring 1985. Table 2 contains anticipated, early developmental stages above the broken line (Year "0").

7. Subsequent to the acceptance of this proposal, workshop sessions with the stakeholders' committee will be devoted to the topic, Performance Appraisal of Educational Professionals. Additional sessions (to be held as soon as feasible) will include an overview of the philosophy and objectives of evaluation for the improvement of educational

*Training
for
teachers
in
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most*

performance, behaviors to be evaluated, and specific criteria to be used. Participants will be trained to function as systems planning team members. Ground rules for reaching agreement will be set. A thorough review of H.B. 72 will be provided. Administrative staff may be involved as desired. On-site leadership for the activities will be provided by Dr. Manatt and/or members of the consulting team.

8. The spring of 1985 will be devoted to initial planning with the steering committee with on-site responsibilities for the consultants as needed. Some Saturday work may be essential for a prompt start-up of the project. A concentrated period of work will be necessary in the summer of 1985 and each subsequent summer.

PHASE II--DEVELOPMENTAL

1. During the 1985-86 school year, preliminary drafts of the performance evaluation plan, philosophy, objectives, performance areas, and criteria will be developed. The operational procedures and prototypic forms and records for evaluation/compensation will be created.
2. During the spring of 1986, a full array of administrative systems-analysis techniques will be brought to bear on the problems of administrator performance evaluation.

1. It's January and the next election campaign will be in full swing soon. It's anticipated that the EA will be flooding the schools with flyers warning teachers that the AFT supports merit pay for teachers. How can building stewards neutralize this allegation?

DISCUSSION:

- a. Steward needs to anticipate the issue and decide the appropriate time to address it.
- b. Steward must know the following:
 - What is AFT's position on merit pay and career ladders and what's the difference?
 - What is the rationale for this position (how can it be "sold" to teachers in terms of what's to be gained and lost through different strategies)?
- c. What are the negative results of NEA positions?
- d. How can this information best be presented to teachers and how will timing affect its impact?

2. A second-year teacher walks into the teachers' lounge on the verge of "losing it." She announces to anyone who will listen that she knows she is a good teacher, but she can't take it anymore. In her last class Johnny was doing a balancing act on the radiator, Mary and Cindy talked throughout the lesson, a paper airplane hit her in the back of the neck, and on and on. She is going to turn in her resignation tomorrow. What, if anything, should the building steward do?

DISCUSSION:

- a. Many people will respond that the steward should sit down and talk to the person. However, the person's problems persist and without help, the teacher has little chance of recovering discipline in the classroom and surviving.
- b. In addition to compassion, help has to be provided. In an ER&D site, expertise is immediately available. In others, the steward could find a compatible teacher effective in this area to work with the teacher or seek out a college faculty person who may provide assistance.
- c. Stewards should be aware that excellent resources are available from the Educational Issues Department
- d. The conclusion should be that rather than walking out of the room or simply lending an ear, assistance should be provided.

3. It's April and the next closely contested CB election will be held in mid-May. The building steward on Tuesday noticed that the Federation bulletin board consisted only of campaign flyers, while the Association bulletin board also included slick posters and statements on professional issues. This difference in school bulletin boards had existed so long, the steward noticed and thought about it for the first time. What should be done, considering a call to a busy union office evoked only a reply that no similar posters were available?

DISCUSSION:

- a. Is this bulletin board situation acceptable or unacceptable and why?

- b. Creativity:
 - 1. A quick thinker knows AFT-QuEST promotional materials are available and uses them on bulletin boards, even if it's unlikely teachers in this school will attend.
 - 2. AFT professional issues booklets can be posted or left on tables stamped "Compliments of the CFT Professional Issues Committee."
 - 3. The building steward can collect professional articles, charts, etc. and use the same stamp.
 - c. Persistence may be important here in convincing the local leadership that this need should be addressed in all schools and, if necessary, the local should become involved in developing bullet board kits on professional issues/image.
 - d. A case can be built for foresight. A school committee could develop attractive postings specific to faculty concerns.
4. In September, the principal approached a very good regular teacher and asked to place three disabled students in his classroom. The teacher was more than willing. Since that time, eight more disabled children were added to the class. The teacher's pleas to the principal that the range of special needs in this class now made learning for any students impossible was met with a shrug of the shoulders and advice "to do your best." Other teachers, according to the principal, couldn't handle it. Hearing of this teacher's anxiety and despair, what short-term and long-term solutions might the building steward offer?

- DISCUSSION:
- a. Short term: Provide appropriate AFT booklets which include a series on how to handle various disabilities in the regular classroom; if children with learning disabilities are involved, have a group meet, view and discuss AFT's film/videotape, "The ACB's of Teaching the Learning Disabled Child;" set up a small problem-solving group of a few excellent teachers who brainstorm with the affected teacher on how to cope with the situation until real relief comes; seek assistance from college of education faculty.
 - b. Long term: Consider grievance possibilities; use IEP process and requirements to your benefit (consult various levels of AFT, if necessary); union contacts with administrators, parents and disability advocacy groups.

5. Reading is not a systemwide problem, but in your middle school many students are reading at pre-primer to fourth grade reading levels. As the building steward, you've heard many teachers express concern about this situation but the principal believes in social promotion and feels it would damage the school's public image if parents discovered their children could not read. Is the building steward powerless to address this concern of teachers? If not, what action should be taken?

- DISCUSSION: a. Is it the union's, and therefore the steward's, responsibility to intervene? Why or why not?

- b. A union faculty committee is the best vehicle for dealing with this problem.
 - c. Teachers can assess the extent of the reading deficiencies, what conditions would be necessary to remediate, what is in their power to do as individuals and as a faculty and what would require administrative action and then devise strategies for ending the status quo. They can also gather information on the negative consequences of social promotion.
 - d. What are possible sources of support for resources? For political action?
6. A new evaluation system has been established in your school system. Special teacher training sessions were provided prior to implementation, and most teachers were satisfied that procedurally the system was fair and equitable. As the building steward, you've picked up that teachers, however, don't really understand the criteria on which they'll be judged and are very anxious about the meaning of new terms, such as overlapping, momentum, smoothness, thrusts and dangles. What, if anything, should you do as building steward?

DISCUSSION: An exploratory committee would be useful here. What is the basis of the new criteria and terminology? (The likely answer is educational research.) Is it likely that our staff is doing these things but the terms are new to them? (Yes.) What could we do to make our staff comfortable with the new jargon? (Workshops by knowledgeable people, articles, AFT publications, etc.) Following this, would ongoing teacher discussions of what these criteria mean and how they can best be implemented be useful?

7. As you start school in September, you know that a referendum will be held in the spring to float a new tax levy for the "starving school system" and that even if it passes, some schools may have to be closed. Your own school has suffered from poor community and business relationships and may be a prime candidate for closure. Is this problem bigger than a single school or is there something you as building steward could do to increase the odds you and your colleagues can return to this preferred site next year?

DISCUSSION: Obviously the union needs to be heavily involved in seeing the tax levy passes but in this situation these teachers may be benefitted by going an extra mile. A faculty union committee could be established to develop strategies to improve the image and support of this school. Questions:

- How do we reach out to the immediate community and business?
- Can we do a needs assessment of their concerns?
- How can we mobilize our faculty to address these needs, e.g., speaking at organizational meetings, devising innovative programs to bring additional resources into the schools, holding open hearings, making more phone contacts, etc.
- Are there other union-initiated programs our school could plug into?