

KANSAS SCHOOL DISTRICT LEADERS' HANDBOOK FOR MAXIMIZING  
NONTRADITIONAL DONATIONS AND GRANT FUNDING

By

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B.A., Fort Hays State University, 1997  
M.S., Kansas State University, 2003

AN ABSTRACT OF A DISSERTATION

Submitted in fulfillment of the requirements for the degree

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## Abstract

The purpose of this study was to research, develop, and validate a handbook of effective strategies that Kansas school district leaders can use to increase their ability to maximize their school districts' nontraditional funding. *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding* was developed using the research and development methodology as recommended by Gall, Borg, and Gall (2007) through a seven-step development cycle.

The review of the literature, the needs assessment, and the proof of concept survey provided information for developing the outline and initial prototype for the final handbook. Non-educators in Kansas who had significant success in acquiring nontraditional funding and fostering entrepreneurial leadership throughout the state served as experts for the preliminary field test. Revisions were then made based on their feedback. The main field test was conducted with a representative group of Kansas superintendents, who were the potential users of the guide. These two groups of experts provided feedback by using a Likert scale and survey responses about the content and format of the handbook. Final revisions were based on the main field test evaluators' feedback.

The conclusions from the research project were: (1) there was a strong need for Kansas school district leaders to be educated regarding the proactive steps they can take in order to increase the possibilities for additional grant and donation funding for their school districts; (2) since Kansas' state educational funding had been significantly reduced in Kansas during the years between 2008-2012, schools districts were forced to look at non-traditional options that could ease the strain on the districts' general fund or provide additional resources for the schools during a downturn in the economy; (3) the development of a comprehensive handbook that

blended theory, research, and practice for instructional leaders on how to conduct effective campaigns on acquiring additional revenue could be used to develop a mindset for Kansas school leaders to one that was focused more on the principles of entrepreneurial leadership.

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## **Dedication**

Through the process of writing this dissertation, I have learned the simple reality that it is impossible to complete a dissertation project completely alone. Instead, each individual who completes the project is always surrounded by a team of individuals (colleagues, friends, family, advisors, and editors) from whom the individual gains encouragement, strength, and help during the process. This was certainly true of my process as well. From this statement, I would like dedicate this work to these people:

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## **Chapter 1 - Introduction to the Study**

The major issues studied for this dissertation related to the effect that the drop of traditional educational funding had on Kansas schools, and how school district leaders needed a handbook to learn new skills for acquiring nontraditional funding. This research was intended to provide Kansas school district leaders with necessary resources within the framework of entrepreneurial theory and practice to help them maximize nontraditional funding. This chapter specifically discussed these important concepts: (a) overview of the issues, (b) statement of the problem, (c) purpose of the study, (d) methodology, (e) target audience, (f) research questions, (g) significance of the study, (h) role of the researcher, (i) scope and limitations, (j) organization of the study, (k) definitions of terms, and (l) summary.

### **Overview of the Issues**

From 2008-2012, there were significant reductions in the amount of funding the Kansas Legislature provided to its schools. These changes resulted in school districts in Kansas becoming deeply underfunded (Robb, 2012). Although these reductions in revenue were significant, public school districts have also been underfunded throughout Kansas and United States history (Thompson, 2008). Therefore, an overview of the issues regarding school finance and nontraditional funding must start with a review of a history and framework of school finance in the United States. From this historical review of the material, certain trends, themes, and ideas about the possible acquisition of nontraditional funding in schools within Kansas were noted, as well as how Kansas school leaders' thinking needed to change in order to reflect a more entrepreneurial nature in the future.

## *A Brief History of School Finance in the United States*

When the Boston Latin School was founded in 1635 as the first official public school at that time, the issues regarding the funding for educational services were at the local level. This model continued as schools spread throughout the American Colonies (Cremin, 2009). After the American Revolution and the ratification of the United States Constitution, a strong emphasis was placed on the value of education, and the states took a much more active and focused role in funding education. United States President John Adams (1854) mentioned this focus on education and the importance of educational funding by stating: “The whole people must take upon themselves the education of the whole people and be willing to bear the expenses of it” (p. 540). Adams further stated that “there should not be a district of one mile square without a school in it, and it should be maintained at the public expense of the people themselves” (p. 540). Between the time of the American Revolution and the American Civil War, state leaders sought to rapidly expand the number of free public schools until all of the states had tax-supported public elementary schools by 1870. Additionally, the United States population experienced one of the highest literacy rates of all time (Barker, 2002).

As states continued the development of more public schools, an age of reforms in public education and educational finance began. This change started by an influx of prominent European educational reformers like Pestalozzi (1801), Hergart (1776), and Montessori (1906) whose ideas took root in schools throughout the United States. These individuals stressed more research-based programming and services in schools, which also meant providing the needed resources and funding in order to reach these goals. However, state funding for these innovative programs was extremely minimal and inconsistent at best (Herbst, 1996).

Further reforms came from educators Dewey (1900) and Wirt (1911) in the early 20<sup>th</sup> century when each introduced similar progressive educational methods for students in different areas that allowed students to learn and explore based on early brain-development research and vocational programs. Although resources were provided from states that encouraged these early job-ready education programs, most states had dropped this funding with the advent of the Great Depression in 1929 (Ravitch, 2000).

During the Great Depression, educational funding significantly dropped for schools and children. Since salaries for teachers also dropped, the National Education Association (NEA) and the American Federation for Teachers (AFT) were organized in order to protect teacher rights and better mobilize teachers as a united force against a constantly shifting financial picture of state and local educational funding (Murphy, 2002). Although funding dropped for public schools during this time, there were some notable exceptions with certain school districts that acquired nontraditional funding through some major philanthropic organizations at the time. The Rockefeller Foundation, the Rosenwald Foundation, and the Jeanes Foundation donated funds for various progressive programs based on Dewey's innovative ideas in extremely impoverished urban and rural areas on a wide-scale for schools who took advantage of these nontraditional funds (Generals, 2000).

Near the end of the Second World War in 1944, the United States Congress rejected education advocates' pleas for large-scale aid to help fund K-12 education, and put money into creating the GI Bill for returning veterans of the Second World War. Although this money helped create a widespread belief in the necessity of college education by allowing the veterans the ability to attend college tuition-free, few women were covered by the law, and it did nothing to help fund K-12 public education institutions (Altschuler, 2009).

When education advocates regained control of the United States Congress in 1964, the Elementary and Secondary Education Act of 1965 began pumping federal money into local school districts through a variety of Title programs and services (ESEA, 1965). Although these services were beneficial, subsequent rulings made the acquisition of these funds much more burdensome for K-12 education agencies by their usage of reporting measures and federal mandates (Bernstein, 2004).

In addition, federal and state accountability of educational funding and educational mandates of schools continued to increase as a result of the controversial “Coleman Report” (Coleman, 1966). In the report, University of Chicago Professor Coleman fueled debate on the effects of school funding that has continued ever since. At the time, the report was widely seen as evidence that school funding had little effect on student achievement (Hanushek, 2008). However, a more precise reading of the Coleman Report was that student background and socioeconomic status were much more important in determining educational outcomes than were measured differences in school resources (Wolters, 2009).

Nevertheless, the controversy over academic funding contributed to more state and federal accountability with its limited use of funds for education (Hanushek, 2008). This change may have had a profound effect on the next federal mandates that states imposed on local schools, which included:

- In 1975, Congress passed the Education for All Handicapped Children Act, which later became the Individuals with Disabilities Education Act (IDEA, 1990). The legislation required specific mandates regarding the use of certain education dollars for certain students with disabilities.

- In 1983, the National Commission on Excellence in Education released the report titled, *A Nation at Risk*. The report caused the federal and state governments to increase academic rigor, increase the amount of school days per year, require more hours of the school day, and require a greater emphasis on standardized tests. However, no additional money was given to schools (Longmore, 2009).
- In 2000, No Child Left Behind (NCLB) legislation was passed requiring 100% proficiency in reading and math on state assessments by 2014. From the advent of the legislation, school districts had to increase services in various capacities and show continuous improvement through effective research-driven interventions in order to reach the needs of all students. These increased the costs of educational services, curriculum, and personnel on local school districts, and this became increasingly burdensome (“Education Advocates See Dangers, Opportunity Ahead for 2012,” 2011).

These federal legislation guidelines (IDEA, 1990; NCEE, 1983; NCLB, 2000) and subsequent state mandates (Augenblick & Myers, 2001; Kansas Legislative Post Audit, 2006) had profound impacts on the type and manner of finance for education that the states and the federal government gave their respective schools. Since many of these reforms were not backed up with traditional state or federal dollars, the money for the services had to be taken from the funding that would have been going to other services (Wolters, 2009).

As schools moved away from the NCLB legislation towards the new Common Core Standards Initiative (2010) that focused on college and career readiness, the accountability increased with no promise of more traditional funds or resources. Compounding these increases

in educational demands were the very real problems with rising inflation and declining funding for school districts in the state of Kansas. Therefore, research was needed to help school leaders evaluate options for the use of nontraditional funding and entrepreneurial thinking for Kansas Schools in the future (Robb, 2011).

### ***A Brief History of School Finance in Kansas***

When evaluating the possible need for nontraditional funding and entrepreneurial leadership in Kansas schools, a brief history of school finance in Kansas was helpful. In addition, it was also beneficial to describe the traditional method for funding schools in Kansas. From this context, one can fully identify not only the impact of the cuts to traditional school finance, but also possible long-term consequences.

The history of Kansas school finance was similar to the histories of other states as well (Hanusheck, 2008; Herbst, 2006). Although Kansas public schools were often started with only local funding, the state gradually increased its role, support, and mandates on the public schools in the state. Slowly, the state influence on Kansas public schools became a larger component in funding the general fund, and the local school districts could then assess themselves based on what the community and school district would allow for supplemental funding (Baker, 2005).

Although this was a good idea on paper, it caused widespread disparities between high assessed-valuation school districts (the very rich) where the land was worth much more, and low assessed-valuation school districts (the very poor) where the land was worth much less. These past disparities came to life by contrasting the assessed valuation of the richest district in the Kansas (Shawnee Mission School District) at \$2.92 billion, with the poorest district in Kansas (Fort Leavenworth) at only \$2.45 million and measuring the difference in taxable revenue (KSDE Assessed Valuation Report, 2012). During this time across the state, poor districts were



found to assess themselves much higher than rich school districts, yet still received less revenue to work with during the school year to pay teachers, operate buildings, improve curriculum, and provide student services (Baker, 2003).

These problems eventually led to creative discussions in the 1980s and early 1990s regarding restructuring the Kansas school finance formula into one that was much more equitable for everyone. Eventually, these discussions led to a change in the formula where all school districts' communities were uniformly assessed 20 mills through their general fund, and the money was then sent to Topeka and redistributed to the school districts based on a weighted enrollment numbers of students in the district (Duncombe, 2004).

This weighted enrollment of students was known as the Full Time Equivalent (FTE) number, and would come to include at-risk students, students of declining-enrollment districts, and bilingual students (Kansas Department of Education, 2011). The state financial officers would then multiply this FTE number by the Base State Aid Per Pupil (BSAPP) that was set by the Kansas legislature each year (Dennis, 2011). As the system grew over the years, it developed into a much more equitable system for funding schools (when it was properly funded). However, since the Kansas legislature often changed this number each year at the very end of the legislative session (and sometimes changed the number during the fiscal year), it was difficult for school districts to completely and specifically plan budgets with traditional funding streams from year to year (Baker, 2003).

In addition to the General Fund, the Local Option Budget (LOB) was created in 1965 as a smaller avenue for school funding as well. It was based on the amount that a school district would allow itself to be taxed locally. This money was assessed through a mill-levy system through the county, and the money was meant to be a supplement to the general fund. Although

the money was levied locally, the state legislature eventually came to assist certain low income districts based on the low assessed valuation. However, the state of Kansas only allowed districts to assess themselves to 30% of their general fund (without an election), and the money that they used to assist poorer districts had been “prorated” in later years (Duncombe, 2006).

As inflation rose significantly in the early 1990s, the state legislature’s BSAPP number never was allowed to rise at the same rate. This meant that going into the 21<sup>st</sup> Century, there was a large disparity from what the BSAPP should be (based on the Consumer Price Index calculations on inflation) and what the funding number actually came to represent (Baker, 2005).

As the Kansas State School Board members heard from Kansas school district leaders about this inequity, they agreed to commission the Augenblick and Myers study in 2001 in order to statistically identify how much money was needed to educate a child in Kansas. When the study was finished, the authors concluded that the BSAPP was significantly underfunded.

From the Augenblick and Myers study (2001), some Kansas school district leaders began a series of court cases that led to the Kansas Supreme Court declaring that the BSAPP funding in Kansas schools was too low (Montoy vs. State of Kansas, 2005). This ruling required the Kansas state legislature to begin to provide more funding in order to reach the students of the state from 2005-2008. As the result of these court cases, the Kansas legislature increased funding to Kansas schools from 2005-2008 (Green, 2005). Although the money never reached the recommended payment from the Augenblick and Myers study, the effort to fund schools was directed in a progressive and positive direction. However, these increases were short-lived (Baker, 2006).

Unfortunately, from fiscal year 2009 to fiscal year 2012, there was a steady decline in traditional revenue streams from the State of Kansas to K-12 public education. Starting in fiscal

year 2009 with \$2.8 billion in revenue, and ending in fiscal year 2012 with \$2.5 billion in revenue, the state cut school districts' general funds by \$280 million across the state. The cuts came in waves of \$168 million after the first year, a \$12 million cut after the second year, and another \$100 million cut after the third year. This made the total cumulative losses in educational funding to Kansas school districts \$628 million over a short four-year period (Kansas Department of Education, 2011).

### ***Evaluating Nontraditional Funding Options for Kansas Schools***

The financial outlook for Kansas school districts changed greatly from the 2008-2009 school year to fiscal year 2012. Not only had Kansas school districts dealt with drastic economic reductions during this time, but the cuts continued to happen as waves of economic shortfall hit the state (Dennis, 2011). School districts were forced to cut personnel and other needed services because of these changes, but there was a limit to how much more school districts could cut without impacting student academic development (“KSBE to Legislature: Fund the Law,” 2011).

As the financial outlook turned negative, some proactive school leaders started looking elsewhere for options (“Districts Using Only Small Portion of Carryover Fund Balances,” 2011). During these desperate times in school finance, the severe cuts caused some Kansas educators and community members to realize the need for new possible sources of funding through nontraditional venues (Plumlee, 2010).

These nontraditional sources of revenue were found through searching and applying for donations and grants for public schools in a number of ways (Stallings, 1999). Although there were general resources available to help educators locate nontraditional funding options, there were only very limited guides for Kansas school district leaders to follow that was specific to the

state. From this perspective, there were guides to help educators locate corporate and foundational givers (e.g., Grantsmanship Center, 2011), guides to help educators write effective grants (e.g., Barbato, 2000; Blackburn, 2003; Browning, 2004; Geever, 2007; Hall, 2003), guides to help schools increase their donations through better public relations (e.g., Chaplin, 2011), and guides that taught schools strategies for effective fundraising strategies (e.g., Weisman, 2000). However, there was a lack of one comprehensive guide for Kansas school leaders. In addition, little was known regarding models of school districts in Kansas that were successful at nontraditional funding acquisition. Finally, there was little knowledge regarding the most philanthropic and education-friendly corporations and foundations in Kansas.

During this period of difficult school finances, school districts continued to provide services to their communities and students as best they could, but the atmosphere changed greatly as a result of the severe cuts to school finance in Kansas (“KSBE to Legislature: Fund the Law,” 2011). In addition to the change in the atmosphere, there was an alarming change in the services that school districts provided to the students (Hancock, 2011). Kansas school districts were forced to cut a variety of services and a great vacuum in student programs was created due to greatly diminished available funds (“Districts Using Only Small Portion of Carryover Fund Balances,” 2011). Some proactive, entrepreneurial concepts and strategies were needed in Kansas school districts. These nontraditional funding streams had the ability to counterbalance some of the negative cuts and negative feelings regarding the loss in school funding.

### ***Disproving “The Mathew’s Effect”***

Traditional educational research revealed the importance of “throwing out old assumptions” that acquiring additional resources through nontraditional methods was only for the “elite” or the “prestigious.” What was once termed “the Matthew Effect,” a belief that

nontraditional acquisition of funds for educators was based on rewarding the already richly funded educational institutions and hindering entry or continuous funding for others, was found to be quite false (Laudel, 2003). Although research has continued on “the possibility of having a positive feedback loop in which those who receive nontraditional funding in the past are more likely to be awarded them in the future” (Gillett, 1991, p. 245), no definite conclusions were reached according to Laudel (2003). Laudel cross-examined both “wealthy” educational institutions and “poor” institutions, as well as both “prestigious” and “common” educational grant seekers. He studied 45 German educators and 21 Australian educators for the study, and found this information:

- 11 “elite” educators from “prestigious schools” received funding.
- 11 “non-elite” educators from “prestigious schools” received funding.
- 11 “elite” educators from “non-prestigious schools” received funding.
- 33 “non-elite” educators from “non-prestigious schools” received funding. (p. 382)

From his research, he found that “the data revealed no clear pattern” (p. 382). He stated that “necessary conditions” to maximize non-traditional funding in schools had to do with “a very complex set of cognitive, social, and institutional conditions whose overlap shapes an individual’s funding situation” (p. 383). In addition, Laudel stated:

These conditions determine the opportunities for an educator [or educational institution] to actually acquire external funding, the amount of work and resources that must be invested in the creation of a funding proposal, and the likelihood that the proposal or request will be funded. (p. 383)

Laudel's (2003) research revealed important conditions about the opportunity for schools to maximize their nontraditional acquisition of funds. In addition, Laudel's research demonstrated that this opportunity was available for many, not just the wealthy and prestigious.

### ***The Entrepreneurial Mindset within Kansas School Finance***

Many examples of specific nontraditional funding programs in non-wealthy Kansas school districts demonstrated that the long-held "Matthew Principle" for additional external funding was incorrect. The USD 275 Newton School District provided one example when the district started acquiring monies in a variety of places for their charter school focus (Plumlee, 2010). Specific nontraditional funding programs of focused concentration were also seen in the USD 224 Clifton-Clyde School District when they acquired over \$500,000 in two years with their teacher grant-writing campaign and their focus on green energy (Strand, 2010). Additional and specific nontraditional funding programs were seen in the acquisition of small educational grants from USD 257 Iola School District and USD 101 Erie School District where campaigns were initiated to encourage the staff to write user-friendly educational grants as well (Sneve, 2011).

These school districts and school district leaders sought new nontraditional funding streams to either replace lost budgetary funds or create other education-worthy projects that could never have been accomplished during these difficult economic years (Sneve, 2011). Although this was a worthy goal, the process was generally a decentralized venture across the state where each school and each school district tried different strategies in order to be successful in raising more money for projects at school ("Districts Using Only Small Portion of Carryover Fund Balances," 2011).

Some school districts in Kansas during the years of 2009-2012 (e.g., USD 101 Erie School District and USD 257 Iola School District) were interested in acquiring money through increasing their endowment association fundraising efforts in order to offset some of the state losses in funding. In these school districts, the district leaders benefited from existing research guides (e.g., Stallings, 1999; Weisman, 2000; Worth, 2003).

Other school districts in Kansas during this time (e.g., USD 357 Belle Plaine School District and USD 259 Wichita School District) were interested in identifying education-friendly corporations in Kansas that might provide donations to the school districts. In these cases, the school districts benefited from existing research guides (e.g., Barbato, 2000; Berry, 2010; Grantsmanship Center, 2011).

Finally, other school districts (e.g., USD 224 Clifton-Clyde School District and USD 258 Humboldt School District) were interested in acquiring educational grants in order to offset some of these direct costs. In these cases, the school districts benefited from gaining strategies from existing educational guides (e.g., Belcher, 1992; Blackburn, 2003; Karsh, 2006).

Various resources for non-traditional funding have been available to educational leaders throughout Kansas and the country. However, there was no comprehensive guide that was focused on entrepreneurial strategies specifically related to Kansas school districts and Kansas school leaders. In addition, there was not a guide that showcased examples of proactive Kansas school districts that maximized their nontraditional funding acquisition. Finally, there was no guide available that allowed school leaders the ability to link with the most philanthropic and education-friendly corporations and foundations in Kansas.

### *Statement of the Problem*

National and state actions have continued their inconsistent patterns of traditional funding for public schools, and nontraditional funding may be a strong and reasonable option to consider for some districts in Kansas. Although the history of nontraditional funding has shown that the resources will not completely cover all of the losses from state funding, a comprehensive handbook on nontraditional funding would be extremely important for school district officials, teachers, students, board members, and community members in the future. The handbook may give hope to help offset some negative repercussions now and in the future. In addition, use of the strategies may start a trend where Kansas school leaders could be more entrepreneurial in the future regarding some aspects of school funding. Although these strategies of acquiring nontraditional funding have proven to be extremely helpful during difficult times of school finance in the state, these strategies may be equally helpful during both good financial times and poor financial times in the future (Hancock, 2011).

The past economic situation in Kansas may continue for several years and school leaders may need proactive options that provide counter-weights to offset some of the balance problems that have made this time somewhat unstable for public schools in the state. A comprehensive handbook would provide viable options to consider for the future by explaining proactive strategies which can be used to access available nontraditional funding in order to fill some possible gaps in places where the state has recently cut (Belcher, 1992). This comprehensive guide for Kansas school district leaders will be entitled: *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding*.

Although all 287 Kansas school districts in the state experienced similar educational cuts from 2008-2012, each district leader handled his or her situation differently. Since the traditional



funding streams (state and federal funding based on student count or need) were cut, many districts became interested in other options (Dennis, 2011). Although some schools and communities became reactionary in their thinking and actions by cutting back on school services and personnel, other schools took a different approach (Sneve, 2011). Proactive schools and school districts looked to venture into more nontraditional areas of funding in order to acquire more money through endowment associations, donations, and grants. Although nontraditional funding was never intended to fully replace lost traditional funding, the process proved to be rewarding for some school district leaders. For certain school leaders in Kansas, the process led to the acquisition of additional funding for the benefit of their schools (“Education Advocates See Dangers, Opportunities Ahead in 2012,” 2011).

Although handbooks existed for the purposes of (a) increasing endowment association revenue, (b) helping school districts look for education-friendly corporations, and (c) helping organizations maximize grant writing, there was currently no central comprehensive handbook for Kansas school administrators and school board members that included all three aspects of this nontraditional funding. Since these aspects of nontraditional funding were interrelated, there was a need in Kansas for a handbook that would provide a guide for school leaders to acquire more revenue in nontraditional funding through this collective and three-pronged approach. There was a need for Kansas school leaders to have help in the process of acquiring funding in order to give encouragement and support through a little-known field during a difficult time in school finance (Sneve, 2011). In addition, there was a need to change mind-sets of district leaders to see available endowment money, grant money, and donation money with a sense of abundance, instead of a sense of scarcity of resources (Warner, 1994). In conclusion, a need existed to

establish a comprehensive handbook to help these school leaders maximize their nontraditional funding for schools (Sneve, 2011).

### **Purpose of the Study**

The purpose of this study was to use the research and developmental model (Borg & Gall, 2007) to create a comprehensive handbook in order to help Kansas school district leaders and Kansas school board members acquire additional funding for their schools. In addition, these secondary goals were also accomplished:

- The handbook provided methods for school leaders to help them change the perceptions of stakeholders regarding school finance from reactionary mindsets to progressive and proactive mindsets (Senge, 2006).
- The handbook added new specific options for increasing school funding (Grantsmanship Center, 2011).
- The handbook provided strategies to help individuals see the world of school finance in abundance, be open to new ideas and concepts, and be proactive regarding funding strategies for the future (Warner, 1994).
- The handbook identified ways to expand the capacity of school districts so that school leaders can maximize their nontraditional funding, and identify themselves, as indicated by Breugst (2011), as entrepreneurial leaders.
- The handbook provided an alignment with Senge's (2006) Change Theory to enable school leaders to "continually expand the capacity of a schools in order to create a better future" (p. 17).
- The handbook included strategies to empower school leaders with a new way of thinking about nontraditional fund acquisition drawing from Laudel (2006).

## **Methodology**

The purpose of this study was to create a comprehensive step-by-step guide for Kansas school district leaders by researching best practices so they might acquire and maximize their nontraditional funding streams. This guide set in handbook form steps for implementation to bring about and sustain a successful change process focused on increasing the acquisition of funds for Kansas schools. The resulting handbook could be used by teachers, school administrators, school board members, and community members who are attempting to maximize their skills and practices as they influence the behaviors, beliefs, and norms of their school communities. Although these skills and practices are critical during times of low funding in public education (2008-2012), they are also important to learn for the benefit of school district leaders who want to focus on maximizing available money so as to impact and guide students learning during regular years of public funding for education.

The research methodology used for the study was that of research and development (R & D) as described by Gall, Borg, and Gall (2007). Dick and Carey (2001) also recommended a ten-step R & D model that included a summative evaluation of the product. However, this study was limited to the first seven steps encompassing development and formative evaluation of the handbook. The final steps of implementation and evaluation of the handbook's effectiveness were beyond the scope of this study because of extensive time and cost for the researcher, as indicated in Gall et al. (2007). Further dissemination of the final product will occur after the handbook has been completed.

## **Target Audience**

Any Kansas school official who has budgetary responsibilities within a school district may have interest in the information. However, the target audience consisted of Kansas school

district superintendents, Kansas school district central office administrators, and Kansas school board members. Others who may find benefits in the research include educational grant writers, principals, teachers, and community individuals who are involved in fundraising for their school districts through endowment associations that assist Kansas school districts. In addition to these Kansas educators, individuals from the Kansas Department of Education, the Kansas State Board of Education, the Kansas Association of School Boards, the Kansas School Superintendent Association, and the Kansas Board of Regents may be aided in their search for additional school funding. On a national scale, those interested in the research may be organizations such as the American Association of School Superintendents, the United School Administrators, and various other state educational organizations across the nation.

### **Research Questions**

For this R&D dissertation, the research was focused on the key question: What were the critical elements that would enable school leaders to maximize their ability to acquire and use nontraditional funding streams for Kansas School Districts?

The following sub-questions were answered to inform the development of the handbook:

- What strategies were needed in order to maximize nontraditional funding for Kansas school districts?
- What were important considerations affecting implementation of entrepreneurial change so that nontraditional funding streams continue to help Kansas school districts far into the future?

## **Significance of the Study**

Although nontraditional funding has had its limitations, the significance of the study was related to the fact that Kansas school district leaders need to have the ability and the skill to acquire additional revenue. Proactive strategies to gain nontraditional funding give school district leaders the best opportunity to acquire additional needed revenue streams through grants, donations, and endowments. Although nontraditional funding cannot be fully budgeted for a school district, it can have an impact on school district finances. Nontraditional funding streams can offset some of the cost of the cuts in school finance, and can provide new sources of revenue and new school projects that would have been impossible during a downturn in the economy. In this way, money can be provided for the future, and the focus can be kept on providing the best educational opportunities for Kansas students to grow and learn (Peek, 2010).

Since the researcher described an identified need throughout the literature to acquire additional funding, and there was an abundance of research articles regarding strategies for educational grant writing (e.g., Barbato, 2000; Blackburn, 2003; Browning, 2004; Hale, 1999; Hall, 2003; Hensen, 2003; Karsh, 2006; Peek, 2010), this information may prove useful from both a practitioner perspective and a research perspective. The researcher described a relationship that existed between the acquisition and use of funds for schools, and the achievement of students. Practitioners and researchers may both be able to evaluate steps to acquire non-traditional funding, and then make decisions based on the needs and goals of their particular institutions. Therefore, the researcher also collected and researched a listing of important and proactive steps that school leaders can take that may lead to maximizing nontraditional funding and creating an entrepreneurial mindset with finances in the future. Fullan (2010) referred to this process of change as “simplicity: Finding the smallest number of

high leverage, easy-to-understand actions, and unleashing stunning, powerful consequences” (p. 16).

### **Role of the Researcher**

The researcher was a current Kansas school superintendent who has faced, and will continue to face, significant budget cuts in his current school district due to cuts in the state’s finance formula. He also has had success acquiring nontraditional funding at his two most recent school districts in Kansas: USD 224 Clifton-Clyde School District, and USD 257 Iola School District. During the 2012 fiscal year, his district was able to acquire over \$1.3 million in additional nontraditional revenues (Sneve, 2012).

### **Scope and Limitations**

A limitation to this dissertation research was that this handbook was focused primarily on Kansas educators, Kansas school districts, and Kansas-friendly corporations. Although the handbook may prove useful for educators outside of Kansas, much of the material in the research will relate better to school districts in Kansas.

In addition, the study on nontraditional funding was not intended to fully replicate lost traditional funding from the state. Although the process may still be an area worth pursuing for school district leaders in order to acquire additional funding for the benefit of the schools and students in Kansas, it will not replace or take over the budget. However, use of these strategies and concepts could allow more opportunities for the acquisition of funds to replace educational financial losses and provide additional educational items and programs during times of financial uncertainty in education.

As to scope, current literature has described a need for Kansas school districts to use nontraditional funding (Deines, 2011; Robb, 2012; Sneve, 2011; Strand, 2011). A literature review showed a need to maximize the amount of these nontraditional funding streams for schools (Stallings, 1999). Although there are strategies, tips, and advice that can be acquired from reading the research on effective strategies in acquiring money through endowments, donations, and grant writing, there are limitations. Currently, there is not a collection of the most important strategies with a guide to accessing nontraditional funds in Kansas within a single user-friendly handbook (Peek, 2010). Not only will this handbook identify strategies to use, but it will give references to available monies that might go underutilized in Kansas that could be used by educational institutions.

Secondly, no handbook for Kansas educators had addressed the plight of Kansas schools. No focus had been directed toward corporations who are “Kansas-friendly” (those that have ties to Kansas) or “education-friendly” corporations (those that have given to educational causes in the past) that would benefit Kansas school districts in the future (The Grantsmanship Center, 2011). Therefore, there will continue to be a need for current school administrators and community members to use a guide to take them from the knowledge phase of nontraditional funding to the application phase of acquisition of these nontraditional funding streams (Browning, 2004). This was important not only to identify what strategies were important, but also to assure that transformational change was implemented so that the changes would be long-standing.

Gall et al. (2007) stated that the last two steps of the R&D process could be eliminated by the researcher because of excessive time and cost that would be beyond the scope of the

study. Therefore, the researcher limited the study to the first seven steps. No attempt was made to examine the effectiveness of the product.

## **Organization of the Dissertation**

Chapter one provided an introduction to the study included the introduction, overview of the issues, purpose of the study, methodology, target audience, research questions, significance of the study, role of the researcher, scope and limitations, organization of the study, definition of terms, and the summary. Chapter two provided a review of the literature. It contained the history of the decline of Kansas school funding: 2008-2012, Kansas' need for change: Nontraditional funding in schools, and the summary. Chapter three provided a research and methodology description. It described the overview of the process, ethical policies and guidelines, the research literature review, development of the needs assessment, development of the proof of concept, development of the prototype, preliminary field test of the handbook prototype, initial handbook revision, main field test, final handbook revision, and the summary. Chapter four provided the validated product. The chapter contained the validated version of the handbook entitled *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding*. Chapter five provided the conclusion. It included a summary of activities, research questions and results, reflection, conclusions, recommendations for future studies, dissemination, and summary.



## **Definitions of Terms**

### **ARRA Funding:**

The American Recovery and Reinvestment Act was started by President Barak Obama in 2009 (American Recovery & Reinvestment Act, 2010).

### **Bond and Interest Payments:**

A percentage of Kansas state funds given to schools in order to pass bond issues, construct new buildings, or improve existing structures in the school districts (Dennis, 2011).

### **BSAPP:**

Base State Aid Per Pupil for the Kansas educational finance formula (Dennis, 2011).

### **Change Process:**

Implementing educational innovations that require time and include phases and steps that can be used to plan and pace change (Hall & Hord, 2001).

### **Collective Inquiry:**

A community of learners who question the status quo, seek new methods, test those methods, and reflect on the results. It is recognized that the process of searching for the answer is more important than having the answer (Dufour & Eaker, 2002).

### **Continuous Improvement:**

Commitment in a school environment where innovation and experimentation are viewed not as tasks to accomplish or projects to complete, but as ways of conducting day-to-day business, forever (Dufour & Eaker, 2002).

### **Data:**

The quantitative and qualitative information that is related, directly or indirectly, to student success and well-being in schools (Wagner & Kegan, 2006).

**Educational Grants:**

Grants related to the school district and/or schools in general and are accessed by writing grant proposals (Peek, 2010).

**Effective Change:**

The transformation of an organization by the reinforcement of values that preserve safety, respect, time, continuity, and personal contact. Training is coherent, continuous, and personal. Clarity is provided about responsibility, authority, and decision-making. Healthy utilization of support staff is nurtured by working through conflict (Evans, 2001).

**Effective Strategies:**

Communicating a vision of what the school district could become. If encouraged by the staff and community, this vision might result. The more the school leader supports the educational community and works with them in their change efforts, the higher the implementation success (Hall & Hord, 2001).

**Endowment Association:**

A non-profit organization that is committed to the welfare of an organization that it serves. The groups raise money for the purpose of giving donations, scholarships, and matching funds to these organizations (Hall, 2003).

**Entrepreneurial Leadership:**

The process of leading others by transforming the knowledge acquired from experience and social interaction, and identifying the opportunities for personal development, new creation, growth, and success (Bagheri, 2005).

**First Order Change:**

Improved efficiency and effectiveness of what school leaders are already doing (Evans, 2001).

**FTE:**

The weighted enrollment number which the state of Kansas uses for distribution of state money to Kansas school districts (Dennis, 2011).

**Implementation Strategies:**

Strategies used by a school leader and staff to encompass a comprehensive school improvement requiring clarity of vision, breadth of view, and a determination to overcome inevitable obstacles which permit others to participate with confidence (Danielson, 2007).

**Kansas Friendly Corporations:**

Corporations having ties or links to Kansas and/or Kansas school districts. These corporations have direct giving programs, foundations, sponsorship programs, in-kind donations, product donations, volunteer programs, or matching gift programs available for Kansas school districts (Grantsmanship Center, 2011).

**Leadership Capacity:**

An organization's capacity to lead itself and to sustain that effort when key individuals leave. Key features include a multitude of skillful leaders with a shared vision based on data, collaboration, and collective responsibility, producing a high or steadily improving student achievement (Lambert, 2003).

**LOB Funds:**

Additional dollars raised by local taxes through their Local Option Budget. The state of Kansas requires that school districts may only tax their local populations 30% of their general fund (Kansas Department of Education, 2011).

**Nontraditional Funding Streams:**

A variety of endowment, donation, and/or grant monies that might benefit a school district. Traditional funding streams relate to state aid for education (Grantsmanship Center, 2011).

**Reflective Practice:**

The act of thinking about one's own practice in a way that allows one to reconsider how he/she does things and can lead to new and better approaches to one's work (Lambert, 2003).

**Research and Development (R & D):**

The use of research findings to design new products and procedures, followed by the application of research methods to field-test, evaluate, and refine the products and procedures until they meet specified criteria or effectiveness, quality, or similar standards (Gall, Borg, & Gall, 2007).

**Second Order Change:**

Changes that are systemic in nature and aim to modify the way an organization is put together, altering its assumptions, goals, structures, roles, and norms (Watzlawick, Weakland, & Fisch, 2011).

**School Leader:**

An educational leader who promotes the success of all students by (1) facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders; (2) advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth; (3) managing the organization, operation, and resources for a safe, efficient, and effective learning environment; (4) collaborating with faculty and community members, responding to diverse

community interests and needs, and mobilizing community resources; (5) acting with integrity, fairness, and in an ethical manner; and (6) understanding, responding to, and influencing the political, social, economic, legal, and cultural context (*ISLLC Standards for School Leaders*, 2010).

**Shared Vision:**

The skills of unearthing shared “pictures of the future” that foster genuine commitment and enrollment rather than compliance (Senge, 2006).

**Special Education Funds:**

State and federal money that has been designed for the purpose of aiding school districts in their costs associated with providing services for students with special needs (Kansas Department of Education, 2011).

**Systems Thinking:**

A discipline for seeing the structures that underlie complex situations. The discipline implies a conceptual framework of a body of knowledge and tools that have been developed to make the full patterns clearer and to help school leaders see how to change them effectively (Senge, 2006).

**Transformational Leadership:**

A process concerned with the relationships and engagement of individuals that entails a change in the leader-follower relationship for mutual benefit and good (Leithwood, Jantzi, & Steinback, 2000).

**Summary**

The purpose of this dissertation was to research, develop, and validate a handbook for effective strategies that Kansas school districts and communities could use to maximize their

nontraditional funding streams. The difficult financial picture in the state of Kansas was described and some of the challenges that school districts faced during this process were discussed. The resulting product, a comprehensive handbook, provided steps that school districts and school district leaders can take in order to stay proactive and offset some of these financial difficulties. Many positive fiscal strategies were shown which school district leaders can implement within their school districts and communities to provide hope during this challenging fiscal hour in education. Kansas educators must maintain a continued focus on the most important aspect of their jobs: educating Kansas students.

## **Chapter 2 - Review of the Literature**

The literature review included specific items to indicate the need for a handbook.

Although Chapter 1 covered the history of school finance in the United States and Kansas from a broad perspective, Chapter 2 focused on a specific time frame in Kansas school finance history where funding reductions proved to be extremely severe and difficult for school districts: 2008-2012. Therefore, this chapter covered (a) the history of the decline in Kansas funding for schools from 2008 to 2012; (b) Kansas' need for change through nontraditional funding in schools; and (c) the summary of the review of literature.

### **The History of the Decline in Kansas School Funding: 2008-2012**

In Chapter 1, the researcher reviewed patterns of inconsistency within educational finance history in Kansas and the United States. Although there were times in the history of school finance that funding decreased in the state of Kansas, never had the decline in school funding been as great as during the four years of 2008-2012. During this period, the loss in state funding for Kansas schools reached its greatest amount ever (Gannon vs. State of Kansas, 2012). As a result, educational funding changed in these specific ways:

- There were significant reductions in Base State Aid Per Pupil (BSAPP) during this period that eventually equaled \$500 Million less in revenue for Kansas schools.
- There were impacts felt by students, staff, and communities as a result of cuts in Kansas educational funding.
- There was a push for Kansas leaders to create a new funding formula for the future of educational finance.

### ***Significant Reductions in the Base State Aid Per Pupil in Kansas***

Starting in fiscal year 2008-2009, the state of Kansas was budgeted to pay Kansas school districts a Base State Aid Per Pupil (BSAPP) amount of \$4433 (Augenblick & Myers, 2001). This meant that each district would receive this money from the state, based on their total weighted enrollment. (The total weighted enrollment was based on each district's Full Time Equivalent, or FTE, based on their student count.) During the 2008-2009 school year, it was announced to Kansas school districts that there had to be a change in the funding of public education because of the need to balance the budget for the state. From this information, state legislators started a series of small cuts during the 2008-2009 school year in order to prepare for this crisis that they now realized was upon them ("Kansas Selected House and Senate Summaries," 2009). Although there was a general cut of 1.5% of operating budget across the state, these cuts did not alarm people as much as what the future projected in cuts "down the line" ("Kansas Selected House and Senate Summaries," 2010). Kansas Governor Parkinson stated the following: "School funding had been particularly challenging for the 2010 budget, which has been absolutely decimated by this decline in state revenue" (Gannon vs. State of Kansas, 2012, 10-C-1569).

During the next fiscal year (2009-2010), Kansas again reduced the BSAPP. Again, the state chose to reduce the BSAPP in small segments. Kansas school districts saw cuts of \$50 off of the BSAPP, and then another \$50 off of the BSAPP, and so on. These cuts continued to happen at various times during the school year. When all was completed for the fiscal year, the BSAPP had fallen to \$4012, and each Kansas school district had to cut a total of roughly 6% of the operating budgets ("Kansas Selected House and Senate Summaries," 2010).



Although state funding cuts were severe, Kansas school leaders knew that there could be worse news on the way in the future for Kansas school districts. District school leaders were faced with the eventual loss of \$488 million of ARRA stimulus funding that the state of Kansas was receiving from the federal government each year (Gannon vs. State of Kansas, 2012). Although United States President Obama signed this federal money into law on February 17, 2009, and stated: “These funds provide us an unprecedented opportunity to boost the economy in the short run while increasing student achievement in the long-term” (American Recovery and Reinvestment Act, 2009, p. 1), state legislators chose to backfill this money into the state financial plan. From this perspective, state legislators put \$200 million of this money into special education, and they put another \$200 million into the state’s general fund (Dennis, 2010). Although this strategy was effective for two years, its lifetime was very short. In March of 2010, Dale Dennis, executive director of school finance for the Kansas Department of Education, reported that 66% of the February 2010 supplemental general state aid to Kansas schools was now made up of ARRA funding. In a nutshell, Kansas lawmakers were using the ARRA stimulus money to “buy time” (because they could then subtract the needed \$200 million away from educational funding in the state during this limited two-year period). This plan, as well as the cut in BSAPP, was the state legislature’s answer to the reduced revenue that had been projected five years before (Gannon vs. State of Kansas, 2012).

During the fiscal year of 2010, the cuts to educational funding continued. The new governor (Brownback) introduced his new budget by stating: “The budget I am submitting to this legislature will provide school districts with more overall state funding,” and added “that more money needs to go to the classrooms where it belongs” (State of the State Address, p. 2). However, the money did not help the severely reduced general operating budget of most school

districts. The state government had increased funding for education more that year since the great recession started in 2008 (Saporito, 2011). Unfortunately, the “bankrupt nature” of certain educational funds in 2011 required state leaders to pour the money into these specific areas:

- KPERS (Kansas Public Employees Retirement System)
- Bond and Interest Payments
- Special Education Funds (Dennis, 2011).

Since state leaders felt like they needed to rescue the KPERS fund from almost complete collapse during this time, as well as honor their commitment to bond and interest payments and special education funds, the new money was completely used up on these three funds. In order to cover the losses to the funds, state leaders continued to cut the school districts’ general funds through another \$232 loss in the BSAPP (Gannon vs. State of Kansas, 2012).

The plight of educational funding in the state of Kansas during this time continued to go from bad to worse. This “new low” for the BSAPP made the weighted enrollment per FTE (full time equivalent) at \$3739, and it meant that school districts around the state had to cut more personnel and service programs in order to keep the doors open or decide if they could actually stay open (Gannon vs. State of Kansas, 2012).

Table 2.1 provided a good perspective of the changes in politics and school finance in Kansas during this time. One can see a comparison of the BSAPP cuts, the proposed changes in the school finance structures, and the corresponding Kansas Governors who were in power at that time in Kansas history:

**Table 2.1 School Finance Cuts/ Proposed Cuts/ KS Governor for 2008-2012**

	FY 2009	FY 2010	FY 2011	FY 2012
Starting BSAPP for KS Schools	\$4400	\$4012	\$3937	\$3780
Proposed changes to BSAPP during the year	\$388 cut announced for next fiscal year.	\$75 cut announced for next fiscal year.	\$157 cut announced for next fiscal year.	Proposed new finance formula for future years.
KS governor	Parkinson	Parkinson	Brownback	Brownback

(Kansas Department of Education, 2011).

In addition to the bad news listed in Table 2.1, what made these cuts especially difficult for some during the 2011-2012 year was that most school districts in Kansas had “maxed out” on their 30% allowable taxation rate in their school districts’ budgets (Gannon vs. State of Kansas, 2012). Although school districts had been asked to use their local option budget (LOB) to fund items, most Kansas school districts did not feel that they had that option within their arsenal. Furthermore, even if schools had the option to tax themselves more at the local level, the state’s suggestion that the local school district pay more money might have a negative effect on the ability of consumers to purchase items that might jump-start an improvement in the economy (Petrella vs Brownback, 2011). However, since most school districts simply did not have this option, they were forced to continue to cut personnel and programs in education (Deines, 2011).

***The Impacts Felt by Students, Staff, and Communities***

Cuts to education changed the funding streams that affected Kansas school districts, the culture that existed in the school districts, the atmosphere of the community that supported the

school districts, and the overall perspective of the students, staff, parents, and administration. (Gannon vs. State of Kansas, 2012). In fall of 2009, Governor Mark Parkinson apologized for the cuts that were hurting education by stating: “I am genuinely sorry; there is no way to sugarcoat this; this will have negative effects across the state in a variety of ways” (personal communication, March 10, 2013). Jennifer Schlicht, a teacher in USD 204 Bonner School District, stated that this inability to gain state funds was evident in the morale of the staff during the *Kansas Education Policy Report* when she indicated: “We’ve had a lot of what they consider nonessential staff let go: custodians and secretaries, and all of the staff is on edge all the time, waiting for the other shoe to drop” (personal communication, March 7, 2013). Nancy Kirk, USD 501 Topeka school board member, also mentioned in the journal how the inability to raise funds in the local option budget has a huge effect on the district: “USD 501 has eliminated 100 teaching positions over the last two years, and this year we are closing three elementary schools.” She added: “Meanwhile, 70 teachers are now working on one-year contracts” (personal communication, March 7, 2013). Not only had drastic economic cuts fallen hard on school districts during this time, but the cuts continued to happen as waves of economic shortfalls hit the state. Through a series of cuts from 2009-2011, many school districts in Kansas lost 10-11% of their operating budgets from what they were receiving in FY 2008 (Gannon vs. State of Kansas, 2012).

An example of these cuts for school districts was seen in USD 257 school district where more than \$2.2 million, which was 11% of their operating budget, had been lost since FY 2008 (USD 257 Board Meeting Agenda, 2011). These same cuts of 11% were seen in nearly all districts in the state. Similar cuts were also seen in the large districts of Lawrence, Kansas City Turner, and Olathe; the medium-sized districts of Wakeeney, Bonner Springs, and Fort Scott;

and, the small districts of Southern Cloud, Pretty Prairie, Frontenac, and Nemaha Valley (Kansas Department of Education, 2011).

### ***A Push in Kansas for a New Educational Funding Formula***

The future of school finance in Kansas is uncertain. Based on concern from a variety of sources about state efforts to restructure and rewrite the school finance formula (Deines, 2011; Hancock, 2011; Robb, 2012; Strand, 2011), a new series of lawsuits were filed against the State of Kansas regarding suitable educational funding including:

- Montoy vs. State of Kansas, 2005
- Petrella vs. Brownback, 2011
- Gannon vs. State of Kansas, 2012.

During these lawsuits, the plaintiffs (a selected group of Kansas School districts called “Schools for Fair Funding”) filed suit against the State of Kansas challenging the fact that the state can lower the finance formula BSAPP at will. In their suits, the plaintiffs claimed that state leaders had unconstitutionally made cuts in funding for public education in contravention of Article 6 of the Kansas Constitution: “the legislature shall make suitable provision for finance of the educational interests of the state” (Kansas Constitution § Article 6, 2012). In addition, the plaintiffs claimed that certain components of the school finance formula were unconstitutional. In accordance with Kansas law, a three-judge panel had been appointed to preside over the trial. For the defense, the State of Kansas contended that the school finance formula was constitutional and that adequate funding had been provided for Kansas’ public schools (Gannon vs. State of Kansas, 2012; Petrella vs Brownback, 2011).

However, some good news came from the state department regarding finances during this time. KSDE reported a \$167 million surplus in state revenues from April to November of 2011

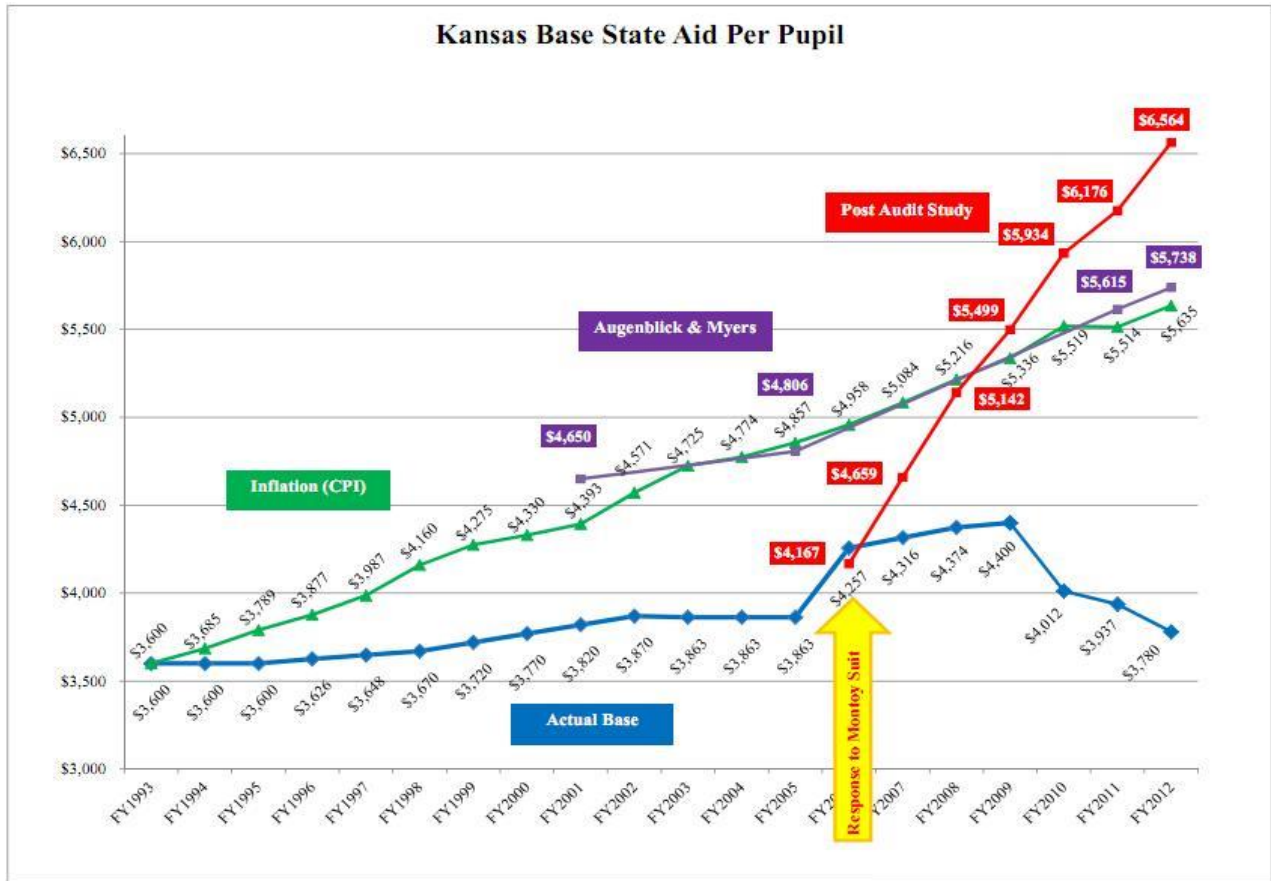
(Dennis, 2011), and the April 2012 Consensus Revenue Estimate Review Board forecasted a \$500 Million surplus for both FY 2012 and FY 2013 (Kansas Legislative Research Department, 2012).

Unfortunately, at the end of the 2012 fiscal year, ominous clouds were on the horizon for education once again with huge tax cuts and tax reforms becoming law within the state (Kansas Legislative Research Department). The April 2012 Consensus Revenue Estimate Board and the Kansas Legislative Research Department both confirmed that these estimated cuts in state revenue would equal a deficit of \$242 million in FY 2014; nearly \$1 billion in FY 2015; over \$1.5 billion in FY 2016; \$2 billion in FY 2017; and \$2.5 billion in 2018 if these tax cuts continued in the future (KLRD, 2012).

### ***Final Thoughts on the History of Educational Finance Cuts***

The decline in the state funding during this time period was summarized in Figure 2.1, and it also emphasized the trends in Kansas school finance during this time period in history. The material in this table showed the drop in the Kansas school finance BSAPP funding (Actual Base), as well as the rise in the Consumer Price Index (CPI) inflation rates during this time in Kansas' history. The figure also showed the results of two studies commissioned by the Kansas State Legislature (Augenblick & Myers, 2001; "Kansas Post Audit Study," 2006) in order to evaluate how much money is needed in Kansas to educate one child in Kansas. Both of the studies were commissioned by the Kansas State Legislature in an attempt to determine this number. It is important to note that the CPI rates, the Augenblick and Myers' study, and the Kansas Post Audit Study were all above the current Base State Aid Per Pupil that Kansas school districts receive for students (Robb, 2011).

**Figure 2.1 School Finance Funding in Kansas for the BSAPP**



(Robb, 2011, p. 4)

### **Kansas’ Need for Change: Nontraditional Funding in Schools**

The drop in funding seen in Figure 2.1, indicated a need for change in Kansas, and a need to perceive school finance situations differently. These ideas came about through a change in thinking about the use of nontraditional funding options in school districts and a more proactive and entrepreneurial approach to school funding (Frye, 2012).

#### ***The Effects on Academics: A Need for Change***

Collins (2001) urged organizations and schools to see that the first difficult step toward improvement is to “confront the brutal facts about themselves, their situation, and their

organizations” (p. 65). Additionally, Schmoker (2006) stated that “this encounter with the brutal facts is the surest, fastest path to creating the best schools we have ever had” (p. 4). Harsh budget cuts had a particularly adverse effect on academics in Kansas school districts from 2008-2012 (Dennis, 2010). Following the effect of the ongoing budget cuts, superintendents, district leaders, and district boards often stopped focusing on being curriculum leaders and started to only focus on budget, finance, and surviving this storm of bad news after bad news (“DeBacker Concerned That Kansas Won’t Meet AYP,” 2011).

Joyce (1993) noted the important role that Kansas school leaders have in being involved in doing everything possible to protect student academics during difficult financial times. Joyce stated, “We must keep students’ learning central for two reasons: First, it is the purpose of education; second, it is technically necessary for school renewal” (p. 19). Joyce (1993) contended that this was the critical mission of a self-renewing school. However, because of necessity, school districts started looking for better and cheaper ways to do everything and anything (Biles, 2011). Frequently, the ways that saved the most money for a school district regarding finance were the worst choices for districts that were trying to achieve high academic achievement (“DeBacker Concerned That Kansas Won’t Meet AYP,” 2011). The executive director of Kansas Association of School Boards, Dr. Heim, stated, “It is important for school leaders, parents, patrons, and state officials to understand the impact of the downward spiral in education funding”. He continued, “There is no way to avoid the fact these cuts will damage the programs that have helped more students reach higher levels of achievement than ever before” (Personal communication, May 23, 2013).

Kansas educators must stay focused on principles of right action and what is best for the students in the long run. Reeves (2002) emphasized the importance of staying close to core



beliefs during uncertain economic times so that the focus can remain on the betterment of the students. He stated that this will have an effect not only on how one sees the world, but also on the strategies that one can use in order to help students during difficult times. He stated important “Leadership Keys” to success in this arena: “Values endure, but procedures do not. Therefore, find your values, and decide what’s worth fighting for” (p. 175).

In January of 2006, the Kansas Legislative Division of the Post Audit found that funding for public education was “worth fighting for” for the state. During this time, the group was commissioned to conduct a study based on how much money was needed each year to educate a child in Kansas. After researching the topic, the team found “a strong association between the amounts that the districts spend on students and the outcomes they achieve” (p. 45). The team stated, “In the cost-function results, a 1% increase in district performance outcomes were strongly associated with a 0.83% increase in spending – almost a one-to-one relationship” (p. 45). The Kansas Legislative Division of the Post Audit stated “Districts that spent more had better student performance...we can be more than 99% confident there is a relationship between spending and outcomes” (Dennis, 2010, p. 45).

The data from the Kansas Legislative Division of the Post Audit showed there was a direct relation between the amount of money that school districts spent on instruction and the academic development of students. However, districts still felt compelled to cut their funding of instruction and student instructional support staff in order to make payroll. As a result, the number of teachers and support staff (e.g., paraprofessionals and/or counselors) decreased in the state. These cuts in personnel significantly affected all Kansas school districts regardless of size or location. Examples of the cross-section of some of the Kansas districts and their cuts in school personnel during this time can be seen in Table 2.2. The decline in personnel affected

larger districts (e.g., Lawrence; KC Turner; and Olathe), medium sized districts (e.g., Wakeeney; Bonner Springs; and Fort Scott), and smaller districts (e.g., Southern Cloud; Pretty Prairie; Frontenac; and Nemaha Valley) in different ways. However, these examples made it clear that all Kansas school districts (regardless of size or location) were affected by these drops in funding through reductions in their school personnel, as illustrated in Table 2.2.

**Table 2.2 Drop in Expenditures for Instruction and Support Staff in Kansas Districts:  
Between FY 2009 to FY 2010 for 10 School Districts**

Kansas School District	Expenditures for Teachers	Expenditures for Support Staff
Large District: Lawrence	-4% Loss	-2% Loss
Large District: KC Turner	-3% Loss	-9% Loss
Large District: Olathe	-2% Loss	-8% Loss
Medium District: Wakeeney	-10% Loss	-27% Loss
Medium District: Bonner Spgs	-2% Loss	-12% Loss
Medium District: Fort Scott	-1% Loss	-5% Loss
Small District: Southern Cloud	-10% Loss	-17% Loss
Small District: Pretty Prairie	-7% Loss	-17% Loss
Small District: Frontenac	-4% Loss	-2% Loss
Small District: Nemaha Valley	-1% Loss	-16% Loss

(KSDE, 2011, p. 1).

In addition, continued cuts to educational funding created the need for districts to find ways in which schools in Kansas could take days off the school calendars in order to save money. In earlier years, Kansas school districts would pride themselves on the fact that they were so far above the needed 1116 hours of “contact time” required by for the Kansas

Department of Education (KSDE, 2011). During better financial years, most Kansas school district leaders also prided themselves on the fact that they were providing the best educational opportunities for their students by giving them the most instructional seat time that they could afford in the classroom (Bush, 2009). Some school districts (e.g., Emporia, Topeka, and Kansas City, Kansas) even contemplated instituting a year-round schooling system in order to better meet the needs of students in their district (Cooper, 2003). Other districts were focused on purchasing the best curricula for focusing on the weakest indicators of math and reading on the Kansas State Assessments, achieving standard of excellence and AYP, and showing continuous improvement in all facets of their education programs (NCLB, 2002).

However, many educational leaders across the state now saw the cuts in educational funding as counter productive interventions that had done much to erode this research-based knowledge about what was good for students and good for education (Biles, 2011). Although educators in Kansas knew the research, school districts in Kansas were cutting days to the very minimum because of necessity (Bush, 2009). This meant that many school districts were trying to cut enough days out of their calendar in order to be above the 1116 contact hours required for the state, but not to be too far over this number (Bush, 2009). One school board member in Kansas stated: “Our school, USD 429, Troy, KS, started this school year by cutting nearly 15 days off the school year.” She added: “Instead of starting around August 12<sup>th</sup>, classes started September 2<sup>nd</sup>. This eliminated the costs associated with air conditioning and buses for those days...but we lost the instructional time” (Personal communication, October 15, 2013).

Wiseman (2010) discussed the need for changing the dysfunctional pattern of thinking by stating: “The time for changing our thinking and actions is now.” He mentioned, “the true foundational leader has to cut the ‘Gordian knot’ to free the school of its dysfunctional past” (p.

139). For Kansas educational finance, this “dysfunctional past” might be considered the Kansas State Legislature’s inability, lack of desire, or unwillingness to fund Kansas school districts properly in the past. However, this “dysfunctional past” can also be the school district leaders’ inability to see the world of finance differently. There may be a need to influence the preparation of aspiring superintendents to one that is more favorable to an entrepreneurial mindset.

### ***The Effects on the Kansas Economy: A Need for Change***

Along with cuts in the school calendar, Kansas district leaders were reducing many nonessential purchases. This had an adverse effect on the academic environment of the school. Not only were academic field trips, professional development time, educational supplies, and the academic curriculum limited or frozen in most school districts in Kansas, but schools which were not purchasing these items also have a profound effect on the economies that supported the schools (Biles, 2011).

Across the state, these cuts influenced hiring practices in Kansas school districts. Since funding was declining, school districts were not hiring as many new staff members to fill vacant positions (“Teacher Shortage Leads to Glut,” 2009). Many Kansas leaders predicted a continuation of this decline in hiring practices. Kansas House Minority Leader Anthony Hensley and Kansas Senate Minority Leader Paul Davis discussed their worries about the future of educational jobs in Kansas: “The educational cuts will force school boards all across Kansas to close schools, lay off teachers, not hire new teachers, and increase class sizes” (Rothschild, January 13, 2011, A1). Kansas House Republican Representative John Vratil and Lawrence Superintendent Rick Doll expressed their concern regarding Kansas’ future workforce of teachers: “These cuts are going to translate into a lot of teachers losing their current and future

jobs”, and “These cuts are deep, and they will result in fewer teachers needed and larger class sizes” (Personal communication, January, 14, 2011).

In January 2011, KSDE executive director of finance, Dale Dennis, reported to the Kansas State Board of Education that the state’s school districts cut 2,101 licensed positions and eliminated 1,603 non-licensed positions from the last school year. In response to these hiring cuts, the colleges and universities in Kansas did not have enough jobs available for the number of graduates wanting to enter the teaching profession (Dennis, 2011).

Many school districts decided to “internalize” the loss of retiring, leaving, or non-renewing staff members (“Teacher Shortage Leads to Glut,” 2009). Although “internalizing” the loss of staff members helped the school district with expenditures, it hurt the students and remaining staff through an increase in workload and larger class sizes (Dennis, 2011). This lack of available teaching positions also hurt college students who were looking for jobs. Furthermore, the few jobs that were available were intensely competitive for new teachers.

Many of the new graduates from colleges and universities were forced to make tough choices if they were unable to find a job in education within the state. These graduates could move out of the state; they could fill noncertified positions in public schools; they could stay in school and get their advanced degrees (and hope that the situation improves in the next few years); or they could pursue other options. Many Kansas superintendents feared that the state lost some of the best educational leaders because of this downturn in educational finance (“Teacher Shortage Leads to Glut,” 2009).

This was a difficult situation, and there was a need for a different way of thinking and acting. Slowly during this time, these events were building a case for the need for school leaders

to learn more about entrepreneurial mindset in order to maximize nontraditional funding streams for Kansas school districts.

### ***The Need for Change Thinking***

Collins (2001) stated: “Greatness can be achieved without increasing the numbers of hours that we work, but it must come with a restructuring of our priorities” (p. 104). It was important for Kansas educators to see the world of nontraditional funding opportunities as a priority. The effect of constant budget cuts had an adverse reaction on school finances, the Kansas economy, jobs for Kansas teachers, the morale of the staff, the role of the community in schools, and (most importantly) the students. Goleman (2004) advised that “developing a new leadership style often means fundamentally changing your thinking and how you operate with other people” (p. 226). Again, Collins (2001) indicated that leaders in difficult circumstances need to “demonstrate an unwavering resolve to do whatever must be done to produce the best long-term results, no matter how difficult” (p. 36). The case seems to have been building on the need for school districts to look into other funding options in order to either replace lost funding from the state or to expand new projects with additional funding.

Cottrell (2005) provided this statement about school leaders: “Those who positively deal with the unexpected and look for solutions and not excuses are making a conscious choice to avoid the victim mentality” (p. 7). Although Cottrell did not specifically deal with school finance situations, his thoughts on change indicated that a change of thinking may be needed in cases such as that of Kansas school leaders. This change of thinking could lead to the development of new initiatives that might lead to nontraditional funding stream acquisition in the future.

Thompson (2008) stated the need to expand educational minds regarding traditional finance schemes:

Capitalist democracy is an odd creature, in that it is uncomfortable with the consequences of brute market forces, so that it becomes capitalism tempered by guilty efforts that resemble charity, justified by a logic of self-help in which democracy and the opportunity for socioeconomic mobility are equated. (p. 382)

This statement described the change of thinking that Kansas educators may have had regarding school finance. It was important to understand the help that nontraditional funding can give to the Kansas school district leaders, but also understand the complex history of school finance within the state and nation. Thompson stated that “A realistic view of the future requires us to concede that money dominates any decision process – in the case of schools, a process driven by money supply and public attitudes and preferences” (p. 283).

Looking back at the past teaches that endowment, grant, and donation funding were not budgeted during a typical school district’s yearly budget. However, school districts that used these nontraditional services did get a chance to expand opportunities for the students that would have been unavailable during downturns in the economic cycle of the state and nation (McIlnay, 1998). Therefore, there were supplemental financing opportunities for school districts that chose to take the initiative in this area for the benefits of the students, staff, and communities.

Although many school districts continued to be reactionary in nature during these reductions in school funding, there was a proactive response to the poor educational finance perspective in the state and the nation. This response dealt with seeing the world in abundance instead of scarcity. It focused on the fact that school districts and school district leaders had an

opportunity to gain more money for their schools through progressive campaigns of educational grants, donation funding, and having an entrepreneurial mindset (Warner, 1994).

***Analytical Research on Maximizing Nontraditional Funding***

Traditional and highly analytical research regarding maximizing nontraditional funding also supported the need for change thinking (Gillett, 1991; Laudel, 1999). Laudel (2003) cross-examined both “wealthy” educational institutions and “poor” institutions, as well as both “prestigious” and “common” educational grant seekers in an effort to research the “Mathews Effect” in educational nontraditional fund acquisition. From his work, he studied 45 German educators and 21 Australian educators for the study, and found this information:

**Table 2.3 Disproving the Mathews Effect from Laudel (2003)**

Contrasting Educators and Schools Regarding Nontraditional funding acquisition	Educators who secured funding were from “Prestigious Schools” (The schools were well known.)	Educators who secured funding were from “Non-prestigious Schools” (The schools were not well known.)
“Elite” Educators (Their name and reputation are well known.)	11 educators received funding	11 educators received funding
“Non-elite” Educators (Their name and reputation are not well known.)	11 educators received funding	33 educators received funding

(p. 382)

From his research, he found that “the data revealed no clear pattern” (p. 382). He stated that “necessary conditions” to maximize non-traditional funding in schools had to do with “a



very complex set of cognitive, social, and institutional conditions whose overlap shapes an individual's funding situation" (p. 383).

Gillett (1991) mentioned that since the "Matthews Effect," which was originally suggested, was tested and "proven to reveal no clear pattern" (p. 382) among grant-seekers regarding the acquisition of nontraditional funding, nontraditional funding acquisition could be available as a viable resource to all individuals who choose this option in an educational setting. Laudel (2003) continued this review regarding nontraditional funding acquisition by laying out an "analytical approach that supported multi-level analyses of non-traditional funding acquisition, analyses of the effects of macro-structures at the individual level, and supports a synthesis of institutional and non-institutional factors" (p. 377). This research was evaluated by a "conceptual framework that was based on the neo-institutionalist analytical approach of actor-centered institutionalism regarding the nontraditional acquisition of funds" (Scharpf, 1997, p. 45). This neo-institutionalist analytical approach was based on new entrepreneurial theories that maintained that one individual or one organization (actor-centered institutionalism) can have a significant positive impact on nontraditional funding acquisition (Laudel, 2003). This research confirmed that an individual educator or school district in Kansas had very real opportunities regarding maximizing possible nontraditional funding through the correct approach.

### ***Entrepreneurial Theory and Practice***

Since information about the acquisition of nontraditional funding was not prevalent among school leaders in Kansas, the researcher chose to focus on theories of leadership that could relate to these important concepts. In order to fill this void, entrepreneurial theories and practices that were rooted in research were needed to give ideas about the concepts of the acquisition of nontraditional funding. Therefore, entrepreneurial theories were reviewed in order

to get a research-based concept regarding the starting of new school finance initiatives and the effect that good entrepreneurial leadership can have had on their success and failure.

Breugst's (2010) "Perceptions of Entrepreneurial Passion and Employees' Commitment to Entrepreneurial Ventures" provided a good sense of the positive effect that the leaders can have on the followers. Breugst drew on the theories of emotional contagion and goal setting. During her work, she proposed two mechanisms in order to study how employees' perceptions of entrepreneurial passion in their leaders influenced their commitment to entrepreneurial ventures. She started with 669 possible research subjects in a variety of fields that might qualify for the study. She then reduced the number to 124 subjects by focusing the entrepreneurial ventures on education and business-related areas since this was her main focus during the study. As a result, she found, "After testing these mechanisms with data from surveys from 124 employees, we found that employees' perceptions of their supervisor's passion for inventing, founding, and developing differentially impact commitment and motivation" (p. 2). She also stated "that while perceptions of entrepreneurs' passion for inventing and developing enhance commitment among his/her followers, not having the same passion reduces this commitment among the followers in an organization" (p. 2). This can be seen in Table 2.4.

**Table 2.4 Breugst’s (2010) Theories on Entrepreneurial Leaders’ Effects on Employees**

Type of Leader and their Effects on Employees	Positive or Negative Changes	Effects on Employees’ Perceptions
Leader (Entrepreneur) has a passion for inventing, founding and developing.	Positive Changes	Commitment and motivation are increased in employees.
Leader does not have a passion for inventing, founding, and developing.	Negative Changes	Commitment and motivation are reduced in employees.

(p. 2)

McKelvie’s (2011) work also showed important information for entrepreneurial leaders. He studied the reasons behind the lack of entrepreneurial leadership of followers and leaders. McKelvie discovered that “the major reason for a lack of development is the impatience of leaders to prematurely address the question of ‘how much?’ before adequately providing answers to the question of ‘how?’ (p. 2). He continued, “On the basis of extensive review, we suggest that the growth of [entrepreneurialism] can advance by changing focus to a growth mode” (p. 2). McKelvie’s work emphasized the need for effective guidance and training of educational leaders in order to develop successful implementation of change.

In 2011, Friedman built on the research regarding the necessity of entrepreneurial thinking and action to state “it is needed to revitalize and reverse the worrisome trends, harness all our grassroots energy, spur economic and educational growth, restore the morale, and assure leadership into the next decade and beyond” (p. 3). He indicated that entrepreneurial thinking and action was vitally important because effective leaders need it “to adapt to the new world and

the major new challenges it has thrown at us, to find a common ground between the political left and right, and to move to a higher ground” (p. 4). Friedman (2011) emphasized the need for effective leaders of the future to be guided by entrepreneurial thinking.

### ***The Need for Guidance and Training***

Buckingham (2001) outlined effective guidance and training for sustainable change for individuals learning a new skill. His research showed important elements of success that must be addressed for long-term change to result. These steps are critically important the process of teaching the skills of nontraditional funding acquisition to school staff members. He suggested that both leaders and followers need to know these important components before significant change can happen:

- What is expected of them?
- What materials and equipment are needed?
- What ability do they have to use their strengths?
- What recognition or praise will the training bring?
- Does my supervisor seem to care about my efforts?
- Does someone encourage my development at work? (p. 34)

Wagner, Kegan,& Laskow (2006) also recommended effective guidance and training for transformational and entrepreneurial leadership. These authors mentioned that successful transformational improvement processes in schools and districts required sharpening capacities in two quite different directions at the same time:

- Leaders needed to see more deeply into why it is so hard for our organizations to change.

- Leaders needed to see more deeply into why it is so hard for individuals to change (p. xvi).

Schwahn (2000) stated that educational leaders and community members who wanted to start new initiatives (such as acquiring new streams of nontraditional funding) must overcome “educentrim” which existed in the culture of the state public school. Schwahn defined this obstacle in this book as “embedded in the laws and regulations that define education; institutionalized in the structures, cultures, and practices of public education; and ingrained in the minds of all who have spent their youth (and adulthood) in schools” (p. 14). He stated that “despite this paradigm inertia, we believe that the change forces surrounding education are compelling its local and state leaders to examine and alter the most basic features and assumptions of the existing system” (p. 14). Not only did Schwahn’s comments directly relate to important change theory thinking, but his comments also related to the possible obstacles that may be present when a school district leader begins the process of starting to train and guide their educational staff (Schwahn, 2000). This was extremely important to know when district or community leaders started the process of looking for ways to acquire nontraditional funding streams for their schools.

Joyce (1993) agreed with Schwahn’s (2000) perspective. Joyce said that change in cultural patterns and roles were necessary for productive guidance and training in these new initiatives. Joyce stated, “Developing a self-renewing capability changes the culture of educators and the ways they approach their roles and relate to one another and to the organization as a structure for their work” (p. 11). Joyce confirmed that new ways of seeing educational finance would also change the actions related to acquiring new streams of donations, endowments, and grants.

Gemberling (2000) added to this by providing resources in guidance and training on the importance of developing a culture within the professional development system. Gemberling mentioned that “school boards that understand the powerful effect that climate has on the behavior and performance of teachers and students, as well as the perceptions of the community, pay attention to the human dimension of the organization” (p. 7). She reiterated the importance of acquiring nontraditional funding in schools by saying that “school boards should also strive to collaborate with business and political leaders in the community because of possible financial or political implications” (p. 7). Gemberling cited reviews regarding the importance of training staff and school leaders in nontraditional funding by mentioning that “a highly relevant community creates productive partnerships for student success as well as an increase in willingness to make political and financial decisions favorable to enabling successful schools” (p. 7). She also spoke about the importance of collaborating not only among the staff of the school district, but also with the community and financial resources outside the community in order to help the school district. Gemberling stated that “Collaboration occurs when people come together and contribute to the solution to a problem or to the creation of new and better ways of achieving desired results” (p. 8). She added: “this means taking the initiative to keep financial leaders and companies informed about school success and shortcomings” (p. 8). Gemberling continued: “it means earnestly seeking help from the business community...and it means seeking advice and review of school system business and financial management practices in order to promote greater efficiencies” (p. 8). Gemberling showed that it was not only beneficial for school districts to seek collaboration and assistance through outside sources, but that this was necessity for the school district’s survival (2000).

In addition, Joyce (1993) said that in order to help school leaders and community members change their paradigms from one of scarcity to one of abundance, a system of change needed to be implemented:

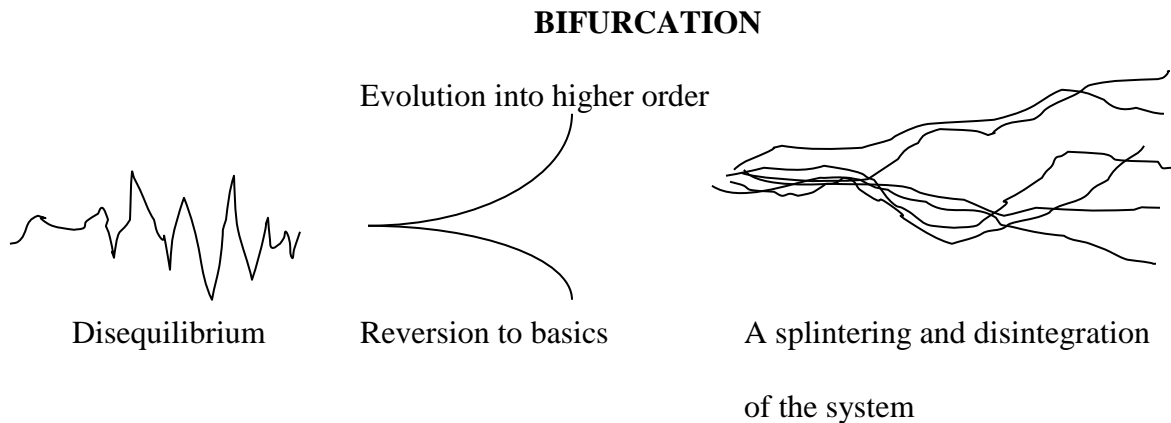
In studies of successful school renewal research, there are four significant discoveries: (a) there is good research available for change thinking, (b) effective staff development and general support systems are essential, (c) successful school improvement requires the participation of all or nearly all of the people involved, (d) embedded formative evaluation of the change is essential to successful initiatives. (p. 40)

Joyce (1993) showed that the ability to change the minds of the school leaders and school community regarding nontraditional funding was critical. Before actions of the individuals change, thinking of the individuals must change. This information, and how this information applied to nontraditional funding, was also confirmed with reviews from Barbato's (2000) work regarding how educators might acquire more additional resources through grants through a step-by-step process.

Caine (1997) stated that successful school change programs (like goals of acquiring more nontraditional funding for schools) meant to not only change a system, but to change the mind-set of the school employees and community members in the system. Caine stated: "There are at least three possible consequences for schools that venture into disequilibrium and open themselves to the process that we describe." The author indicated that these consequences occur at what can be called "bifurcation points" and that "what can be predicted is that there will be many moments of possible transition, moments bathed in uncertainty and ambiguity" (p. 245).

Caine stated that “disequilibrium might lead to reverting to traditional practice, disintegration, or evolution.” (p. 245). A visual diagram of this concept can be seen in Figure 2.5.

**Figure 2.5 Bifurcation of School Programs**



From *Education on the Edge of Possibility*, by R. Caine, 1997, Alexandria, Virginia: Association for Supervision and Curriculum Development Press. Reprinted with permission.

Caine (1997) noted three possibilities when a school district provided guidance and training on new initiatives within a district (such as training staff for acquiring nontraditional funding). These three possibilities included: (a) the process might die out in time and the school would eventually revert to the former practices, (b) the school might evolve into new practices, and (c) the school practice might disintegrate. From Caine’s research, these were the three options for a school district-wide initiative that focused on acquiring nontraditional funding.

Caine (1997) described the following possibility for a school district in the first scenario. The review showed the pitfalls of change:

In the first scenario, the stable state is just too much to deal with at the time. The burdens imposed by the district, the burnout experienced by those who wish to do more, the resistance of those who are comfortable where they are, and other factors mean that the process as a whole dies on the vine. (p. 245)



In this scenario, Caine stated that “a school like this may have pockets of enthusiasm and some teachers that are dynamic enough to be relatively self-sustaining. However, as a whole, the school will not be much different several years down the road” (p. 245).

Caine (1997) stated that the third option was not desirable either. In her review, she said this about the 3<sup>rd</sup> school district: “In this scenario, the competing demands, needs, beliefs, and values are so powerful and differences so deeply entrenched that the school initiative will fall apart” (p. 245).

Caine finally discussed the most desirable option for lasting school change was the second option from Figure 2.2. According to Caine, “a critical mass is reached such that a fundamentally more complex mode of operation emerges” (p. 245). She stated that all participants must be engaged in some form of the planning, operations, and evaluation of the new processes, and they must be committed to the process by a change of thinking one way or the other. However, she stated that when this change happened, it affected the culture of the organization in these constructive ways:

New configurations allow staff to work together in different ways, students to engage in complex projects, time to be organized, assessments and evaluation to be conducted, technology to be infused throughout the system, resources to be allocated, and so on. (p. 245)

Finally, Caine stated: “These configurations usually do not happen in a planned way” (p. 245). However, “they emerge as a consequence of the dramatically changed beliefs and ways that participants interact” (p. 245).

The training and guidance towards acquisition of nontraditional funding methods for schools would take the form of one of these three scenarios proposed by Caine. The process and

theory induced can prepare participants and the system for these moments. Capitalizing on and “managing” these bifurcation points may allow the transformation process to change a school district in a very constructive manner towards the acquisition of nontraditional funding.

### **Summary**

The literature review in this section presented information about the reduction of state educational funds to school districts in Kansas between the years of 2008-2012. The need for Kansas school districts to find additional funding streams was emphasized. Theoretical approaches of change thinking, entrepreneurial theories, and the need for guidance and training in order to teach the skills needed to acquire more nontraditional funding for Kansas were included. The literature review indicated a real need for a comprehensive handbook with proactive strategies for school leaders to use in order to acquire nontraditional funding streams for Kansas schools.

## **Chapter 3 - Research and Methodology**

Chapter 3 provided information regarding the methodology for this research proposal. A review of the research and development (R & D) model and steps that were used for this dissertation were given, and justification for their use was shared. Chapter 3 specifically covered these items (a) the introduction; (b) the overview of the process; (c) ethical policies and guidelines; (d) the research literature review; (e) the development of the needs assessment; (f) the development of the proof of concept; (g) the development of the prototype; (h) preliminary field test of the handbook prototype, (i) initial handbook revision; (j) the main field test; (k) the final handbook revision; and (l) the summary.

### **Overview of the Process**

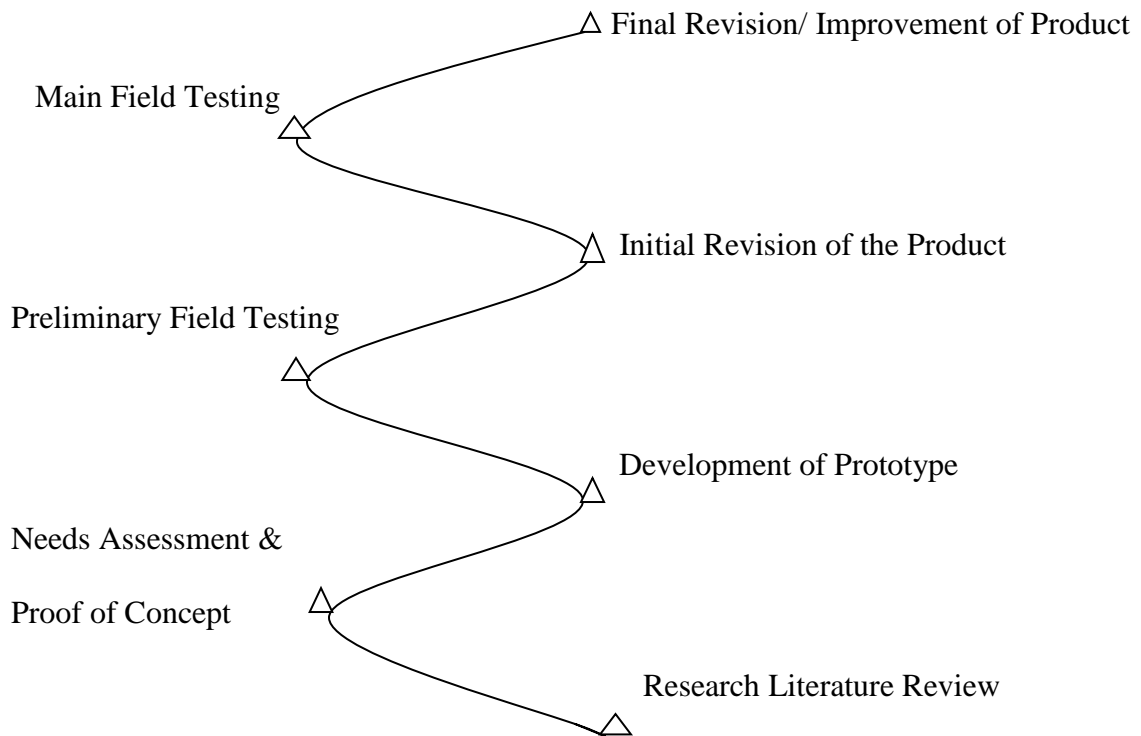
The research and development (R & D) methodology was used to develop the handbook for this project as defined by Gall, Borg, and Gall (2007) as “an industry based development model in which the findings of research are used to design new products and procedures.” (p. 712). Gall et al. (2007) stated “these procedures are then systematically field-tested, evaluated, and refined until they meet specific criteria for effectiveness, quality, and similar standards” (p. 712). The result of this process was a validated product ready for dissemination to prospective users.

The creation of an educational R & D product in the form of a handbook allowed the researcher to provide practical applications and implementation strategies to guide Kansas school district leaders in maximizing nontraditional funding. The needs assessments, proof of concept data, preliminary field tests, and main field tests were sent from the researcher to sets of experts who helped the researcher fine-tune the product at four separate times. The needs assessment

was conducted in January of 2013, the proof of concept stage followed in February of 2013, the preliminary field test was conducted in May of 2013, and the main field test followed in June of 2013. The feedback from experts allowed the researcher to produce a handbook that was researched, developed, and validated. The phases of the R & D process (See Figure 3.1) for the development of the handbook included:

1. A research literature review
2. Needs assessment and proof of concept
3. Development of the prototype
4. Preliminary field test and evaluation of the prototype
5. Initial revision of the handbook
6. Main field testing of the handbook
7. Final revision and improvement of the handbook. (Gall, Borg & Gall, 2007, p. 589)

**Figure 3.1 Phases of the R & D Process**



(Gall, Borg & Gall, 2007)

The R & D Model was used in previous research by Ojanen (2003) in *Coping with Multiple Dimensions of the R & D Performance Analysis*. Ojanen suggested key reasons for this type of research: “In order to sustain their competitive position or gain new competitive advantage in changing business and educational environments, individuals and groups need to make crucial investments through research and time via the research and development model” (p. 2).

Cooper (1993) and Tidd (2001) suggested that innovation and the R&D research model should be continued and managed as a process. The influences of the process can be manipulated to affect the outcome, which means that the process can be managed effectively as a research project. Tidd (2001) stated that managing the R&D process contributed to the effectiveness of innovation performance and made the desired impact on downstream activities.

Lee (1996) also confirmed the importance of R&D models, and stated that if the purposes were communicated throughout the organization, the employees may be more motivated and they might have a less negative attitude towards the new processes and the possible new model in the future. Additional research from Loch and Trapper (2002) confirmed Lee’s research findings as well, and mentioned that the process and the model have essential keys in motivating and rewarding workers of an organization in assessing the contribution of R&D to the organization’s business and credibility.

For this study, Gall et al. (2007) stated that a 9-step process could be beneficial. However, they also stated that the last two steps of the R&D process could be eliminated by the researcher because of excessive time and cost. Therefore, based on the Gall et al. (2007) process that can be seen in Figure 3.1, the researcher limited the study to the first 7 steps.

## **Ethical Policies and Guidelines**

The policies and guidelines established by the Institutional Review Board at Kansas State University for the study of human subjects were strictly followed. This meant that all of the needs assessment, proof of concept, preliminary field test, and main field test participants were required to sign an informed consent form before participating in the study. These consent forms will be kept safe in the researcher's office within a locked file cabinet for a period of five years. Participants involved in the study were protected through confidentiality procedures, so that the findings might become a viable piece of unbiased research.

## **The Research Literature Review**

Chapter 2 consisted of the research literature review, or a review of the history, available resources for school leaders, and existing studies regarding nontraditional funding. The chapter included the history of the decline in Kansas school funding; the significant reductions in the base state aid per pupil in Kansas; the impacts felt by students, staff, and communities; the push in Kansas for a new educational funding formula; and final thoughts on the history of educational finance cuts. The chapter then discussed Kansas' need for change and nontraditional funding because of the effects on academics; the effects on the Kansas economy; the need for change thinking; analytical research on maximizing nontraditional funding; entrepreneurial theory and practice; and the need for guidance and training. These topics were drawn from the research models of Laudel (2006) and Breugst (2011), and the researcher's own background as a superintendent in Kansas.

## **Development of the Needs Assessment**

The needs assessment (Appendix A), or validation of the concept, was developed from a review of the literature, feedback from a small group of representative superintendents, and the researcher's own background in the subject. The needs assessment was focused on important conceptual items drawn from the literature review.

Four Kansas school district leaders were surveyed by email and telephone interview in January of 2013. Superintendents were chosen for the needs assessment because of their knowledge of school finance required in their positions. The superintendents were chosen from four different areas of the state of Kansas to provide a broader perspective of responses through the "Combination Sampling" model addressed in Creswell (2007). This combination model allowed the researcher to facilitate comparisons and subgroups. It also allowed the researcher to provide "flexibility and meet multiple interests and needs" (p. 127). Therefore, four superintendents were selected from these stratified areas of Kansas through this selection process:

- One superintendent from Southwest Kansas
- One superintendent from Northwest Kansas
- One superintendent from Northeast Kansas
- One superintendent from Southeast Kansas

In order to protect their identities during the research project, the Kansas superintendents are confidentially labeled with four letters. Therefore, the Kansas superintendents are listed in the manner below:

- Southwestern Kansas Superintendent = Superintendent W
- Northwestern Kansas Superintendent = Superintendent X

- Southeastern Kansas Superintendent = Superintendent Y
- Southeastern Kansas Superintendent = Superintendent Z

The needs assessment stage provided representative superintendent responses in order to guide decisions on the research project and the format on the handbook for this initial step in the process. These responses are presented verbatim and redacted only when needed to protect the confidentiality of the participants. The information collected in the needs assessment was comprised of the following:

**Table 3.1 Needs Assessment Comments and Researcher’s Actions**

Format of the Handbook	Researcher’s Action
1. Do you feel that there is a need for the handbook: <i>Kansas School District Leaders’ Handbook for Maximizing Nontraditional Donations and Grant Funding</i> that focuses on Kansas school funding options?	
Superintendent W: Yes. Superintendent X: Yes. Superintendent Y: Yes. Superintendent Z: Yes, absolutely.	Acknowledged. Acknowledged. Acknowledged. Acknowledged.
2. Why or why not (regarding question 1)?	
Superintendent W: Decreased funding in	Acknowledged.



<p>education from the state.</p> <p>Superintendent X: The obvious answer: the state hasn't been funding education adequately.</p> <p>Superintendent Y: The cuts in education.</p> <p>Superintendent Z: Decrease in funding, there is little knowledge about this funding for schools.</p>	<p>Acknowledged, the handbook will discuss this.</p> <p>Acknowledged.</p> <p>Acknowledged, the need for this handbook is present in Kansas.</p>
<p>3. In your opinion, how has school funding/ lack of school funding impacted your job as the superintendent?</p>	
<p>Superintendent W: Makes it harder.</p> <p>Superintendent X: It makes us seek opportunities that we would not have sought.</p> <p>Superintendent Y: The lack of funding makes you do things that you don't want to do in education, like hurting the education of kids.</p> <p>Superintendent Z: I start looking for financial partners outside of the school money.</p>	<p>Acknowledged.</p> <p>Acknowledged, the handbook will talk about entrepreneurial leadership.</p> <p>Acknowledged, the handbook will cover the effect of the cuts and the changes to Kansas during this time.</p> <p>Acknowledged, the handbook will cover entrepreneurial leadership in this way.</p>
<p>4. How could such a book be helpful to you and/ or your district?</p>	
<p>Superintendent W: It would give me ideas to further explore regarding nontraditional funding.</p>	<p>Acknowledged, this will be the purpose of the handbook.</p>

<p>Superintendent X: Helpful in getting money from private and local foundations.</p> <p>Superintendent Y: Provide strategies to acquire the nontraditional funding.</p> <p>Superintendent Z: building relationships and knowing how to access the money for my district.</p>	<p>Acknowledged.</p> <p>Acknowledged, the handbook will cover this.</p> <p>Acknowledged, the handbook will cover this.</p>
<p>5. Are there key ideas that should be included in the handbook?</p>	
<p>Superintendent W: Success stories for Kansas.</p> <p>Superintendent X: Same as above.</p> <p>Superintendent Y: Strategies for nontraditional funding acquisition.</p> <p>Superintendent Z: A recipe for grant writing.</p>	<p>Acknowledged, the handbook will cover this.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged, I will address this point.</p>
<p>6. Are there any potential roadblocks or limitations that the researcher should be aware of before research is conducted on creating a handbook of this nature for Kansas school leaders?</p>	
<p>Superintendent W: Time.</p> <p>Superintendent X: Possible political roadblocks.</p> <p>Superintendent Y: Time to research.</p>	<p>Acknowledged.</p> <p>Acknowledged, we should be aware of any unforeseen consequences from the data.</p> <p>Acknowledged.</p>

Superintendent Z: No Comment.	Acknowledged.
7. How do you think your administration and staff would view this information?	
Superintendent W: Very helpful.	Acknowledged.
Superintendent X: Interested.	Acknowledged.
Superintendent Y: We would love it.	Acknowledged.
Superintendent Z: Positive, favorable.	Acknowledged.
8. What are the other groups who might make use of the information?	
Superintendent W: Site Councils.	Acknowledged.
Superintendent X: Getting teachers involved in the process.	Acknowledged, the handbook will discuss this.
Superintendent Y: Chamber, community groups, school endowment association, site councils.	Acknowledged.
Superintendent Z: Foundations, Alumni, School groups, PTO, Endowment association members, school board.	Acknowledged.

Although the responses came from representative Kansas superintendents who served in four geographical areas of Kansas, these school leaders showed commonality with their answers to the questions from the needs assessment. Responses showed that these school officials interviewed felt that there was a need for this handbook, and that they knew little about

developing goals regarding future nontraditional funding acquisition for their school districts. The responses also revealed that these individuals believed that it was important to search and acquire alternative funding sources in education at this time because of the belief that the state of Kansas had not funded education adequately. The responses changed the development of the Proof of Concept stage by incorporating these concepts into the next stage:

- A section regarding accessing money from foundations. (Superintendent X, personal communication, Jan. 13, 2013)
- A section regarding the need to build relationships with potential funders (Superintendent Z, personal communication, Jan. 12, 2013)
- A section regarding success stories from Kansas. (Superintendent W, personal communication, Jan. 13, 2013)
- Sections regarding both general and specific strategies for nontraditional funding acquisition. (Superintendent Y, personal communication, Jan. 13, 2013)
- A “recipe” for grant writing. (Superintendent Z, personal communication, Jan. 12, 2013)

This information from the needs assessment guided the researcher in developing the Proof of Concept in the next stage.

### **Development of the Proof of Concept**

The proof of concept helped to develop and edit the proposed outline for the prospective handbook. This was developed from the literature review and the needs assessment and it related to key areas of implementation strategies. The outline (Appendix B) was closely linked to the traditional research model by Laudel (2006) regarding educational acquisition of external funds,

the assumed variables, and the causal relationships. Although Laudel's (2006) model on the promoting of necessary conditions for fund acquisition was used, the outline components were flexible enough to also adapt to the responses collected from the needs assessment.

The researcher had chosen the "Stratified Purposeful" sampling model from Creswell (2007) for the proof of concept stage. The purpose of the sampling model was to identify specific needs and strategies of Kansas school district leaders regarding non-traditional funding information, and the research method "illustrated subgroups and facilitated comparisons" (p. 127).

Twelve Kansas school district superintendents were surveyed during the proof of concept stage by telephone interview and email during February of 2013. These individual superintendents were selected by classifying their school districts from these specific criteria:

1. The Kansas school districts were categorized by size by dividing them into six categories based on student enrollment of the districts' high schools within each of their districts.
2. The school districts were further divided by US Interstate I-135 in Kansas so that there was an "East Kansas" group and a "West Kansas" group.
3. Selection of individual districts within the top two categories (listed above) were then chosen by counting every 12<sup>th</sup> Kansas school district in regards to the *2012-2013 Classifications and Enrollments* document from the Kansas State High School Activity Association (KSHSAA).

The above divisions were important for the study since they allowed for a broader perspective through the "Stratified Purposeful" sampling model. Through these criteria, the

responses from the sampling had a better chance to represent a more diverse population of educational leaders in Kansas.

From the information and criteria selected, 12 superintendents were identified for the study. Although their names and districts remained confidential in the research project, these 12 Kansas school leaders were chosen and their responses were referenced in this manner regarding the proof of concept stage of the research process:

- |                            |                            |
|----------------------------|----------------------------|
| 1A East: School District A | 1A West: School District B |
| 2A East: School District C | 2A West: School District D |
| 3A East: School District E | 3A West: School District F |
| 4A East: School District G | 4A West: School District H |
| 5A East: School District I | 5A West: School District J |
| 6A East: School District K | 6A West: School District L |

The selected superintendents from these school districts were given draft copies of the proposed handbook outline (Appendix B), as well as descriptions of the research project assessment protocol for this stage (Appendix C). In addition, the selected superintendents received surveys regarding the proposed handbook (Appendix D).

The proof of concept stage provided more representative superintendent perceptions on the research project and the format of the handbook. These responses are presented verbatim and redacted only when needed to protect the confidentiality of the participants. The complete comments received from this stage, and the researcher's actions are listed below:

**Table 3.2 Proof of Concept Comments and Researcher’s Actions**

Format of the Handbook	Researcher’s Action
1. Is the outline comprehensive? Are there any key concepts omitted?	
<p>Reviewer A: Yes.</p> <p>Reviewer B: No comment.</p> <p>Reviewer C: Yes, but maybe there is too much content.</p> <p>Reviewer D: Yes.</p> <p>Reviewer E: Yes, I can’t think of anything else.</p> <p>Reviewer F: Oh, yes.</p> <p>Reviewer G: Yes.</p> <p>Reviewer H: Sure.</p> <p>Reviewer I: It seems that way.</p> <p>Reviewer J: I think so.</p> <p>Reviewer K: Yes.</p> <p>Reviewer L Yes.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Disagreed. The need for literature review and the research focus was important for the dissertation project. Later, this can be made into a more user-friendly version for superintendents.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>
2. Is there a need for this type of handbook?	

Reviewer A: Yes.	Acknowledged.
Reviewer B: Yes.	Acknowledged.
Reviewer C: Yes.	Acknowledged.
Reviewer D: Sure there is.	Acknowledged.
Reviewer E: Yes.	Acknowledged.
Reviewer F: Yes.	Acknowledged.
Reviewer G: Yes.	Acknowledged.
Reviewer H: ABSOLUTELY!	Acknowledged with enthusiasm.
Reviewer I: Yes.	Acknowledged.
Reviewer J: With the current climate: Yes.	Acknowledged, climate was addressed in the handbook.
Reviewer K: Most definitely.	Acknowledged.
Reviewer L: Yes.	Acknowledged.
3. Do you feel that school district leaders could be impacted by this research?	
Reviewer A: Yes.	Acknowledged.
Reviewer B: Yes.	Acknowledged.
Reviewer C: Yes, if they choose to be open to the handbook.	Acknowledged, openness was addressed in the handbook.
Reviewer D: Yes.	Acknowledged.
Reviewer E: Oh, yes.	Acknowledged.
Reviewer F: Yes.	Acknowledged.



<p>Reviewer G: Sure.</p> <p>Reviewer H: Yes, everyone is seeking funding.</p> <p>Reviewer I: Yes, but there is a lack of entrepreneurial spirit in educational leaders.</p> <p>Reviewer J: Yes.</p> <p>Reviewer K: Yes.</p> <p>Reviewer L: Yes.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged, entrepreneurial spirit was addressed in the handbook.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>
<p>4. What is the greatest strength of the proposed handbook?</p>	
<p>Reviewer A: Processing where sources of funding could be located.</p> <p>Reviewer B: It may list locations where to find grant funding.</p> <p>Reviewer C: Grant opportunities for small schools.</p> <p>Reviewer D: Marketing the heck out of your district.</p> <p>Reviewer E: Encouraging the entrepreneurial spirit.</p> <p>Reviewer F: It causes districts to “play the hand that they are dealt” with nontraditional funding.</p>	<p>Agreed.</p> <p>Acknowledged.</p> <p>Acknowledged, where to find grant funding was addressed by the handbook.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged with enthusiasm.</p> <p>Acknowledged.</p>

<p>Reviewer G: This is a new source of funding that we know little about.</p> <p>Reviewer H: Good concept/ needed concept.</p> <p>Reviewer I: Kansas examples are very good.</p> <p>Reviewer J: There is a need for strategies to help fellow superintendents address their own lack of entrepreneurial spirit within the area of acquisition of nontraditional funding.</p> <p>Reviewer K: Looking for funding for new programs that link to student learning.</p> <p>Reviewer L: This is always needed at a time like this.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Agreed.</p> <p>Acknowledged, entrepreneurial spirit was covered in the handbook.</p> <p>Acknowledged.</p> <p>Agreed, the timeliness of the handbook was addressed in the prototype.</p>
<p>5. What is the greatest weakness of the proposed handbook?</p>	
<p>Reviewer A: No Comment.</p> <p>Reviewer B: The ability to update the handbook over time.</p> <p>Reviewer C: Keep it simple and make it very readable for superintendents.</p> <p>Reviewer D: No comment.</p> <p>Reviewer E: None.</p> <p>Reviewer F: No comment.</p>	<p>Acknowledged.</p> <p>Acknowledged, but the handbook can be updated at a later date in the future.</p> <p>Acknowledged, but since this is a dissertation, the research piece must be included.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>

<p>Reviewer G: The political aspect.</p> <p>Reviewer H: Does it address time?</p> <p>Reviewer I: There is a lack of entrepreneurial spirit among Kansas school district leaders.</p> <p>Reviewer J: No comment.</p> <p>Reviewer K: No comment.</p> <p>Reviewer L: Some districts would rather starve than ask for money.</p>	<p>Acknowledged.</p> <p>Acknowledged, the issue of time was time included.</p> <p>Acknowledged, the entrepreneurial spirit was be addressed in the handbook.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged, but the handbook was intended to show the benefits of asking for money.</p>
<p>6. What content would you add or delete (if any)?</p>	
<p>Reviewer A: Building relationships with stakeholders, learning about ‘a recipe’ for acquiring this money, and getting teachers involved in the process are all important aspects to put into the handbook.</p> <p>Reviewer B: No Comment.</p> <p>Reviewer C: It is important to provide a detailed description of step-by-step effective strategies on how best to proceed in acquiring this money.</p> <p>Reviewer D: No comment.</p> <p>Reviewer E: Discuss the red tape regarding</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged, detailed descriptions were provided in the handbook.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>

<p>larger grants as well.</p> <p>Reviewer F: No comment.</p> <p>Reviewer G: No comment.</p> <p>Reviewer H: No comment.</p> <p>Reviewer I: Nothing, it looks great!</p> <p>Reviewer J: Training the teachers to become grant writers, knowing how to ask for money, having an idea and expressing it to a company or foundation are extremely important items to put in this handbook.</p> <p>Reviewer K: Nothing.</p> <p>Reviewer L: No comment.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged, the handbook covered training teachers in depth.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>
<p>7. What suggestions do you have for making the content more clear or understandable?</p>	
<p>Reviewer A: No comment.</p> <p>Reviewer B: None.</p> <p>Reviewer C: The first chapters are less interesting than the last chapters.</p> <p>Reviewer D: It gives me a lot of suggestions for improvement on nontraditional funding.</p> <p>Reviewer E: No comment.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged, but these chapters were necessary to provide the needed research literature and background.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>

<p>Reviewer F: Possibly change the title of the work to: <i>Maximizing Nontraditional Donations and Grant Funding: A Handbook for Kansas School District Leaders</i>. I suggest that the researcher look at the possibility of combining Chapter 1 and Chapter 2 in the handbook.</p> <p>Reviewer G: How can I get community members who are no longer associated with education to link to our schools?</p> <p>Reviewer H: No comment.</p> <p>Reviewer I: None.</p> <p>Reviewer J: We would love a handbook like this!</p> <p>Reviewer K: None.</p> <p>Reviewer L: None.</p>	<p>Acknowledged, but will keep the same title at this time since I wanted the project to be first targeted for Kansas School District Leaders and changing their mindset. Combining the two chapters was considered, but was not done because no other data supported this change.</p> <p>Acknowledged, the handbook will cover community members and their link to schools.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>
<p>8. Other suggestions:</p>	
<p>Reviewer A: It looks great.</p> <p>Reviewer B: KASB needs to send this out to all superintendents in Kansas. They all need to learn this.</p> <p>Reviewer C: Discuss the different levels of grants.</p> <p>Reviewer D: Good luck on the project!</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>

Reviewer E: My administrators would love this book.	Acknowledged.
Reviewer F: Let me know if I can help again.	Acknowledged.
Reviewer G: This handbook might open up new avenues for us to seek out sources not previously considered.	Agreed, “new avenues” for funding was a focus of the handbook.
Reviewer H: No comment.	Acknowledged.
Reviewer I: No comment.	Acknowledged.
Reviewer J: No comment.	Acknowledged.
Reviewer K: My alumni association would appreciate a handbook like this.	Acknowledged; I was pleased to hear that alumni associations would use the information.
Reviewer L: No comment.	Acknowledged.

The proof of concept stage returned the following overall responses from this representative group of Kansas superintendents: (a) the topics included in the outline were comprehensive, (b) there was a need for this type of handbook, (c) school leaders needed strategies and tools for leading this change, and (d) there was a desire expressed to have very practical steps to follow to acquire this funding. The superintendents surveyed shared both their support of the research, as well as possible suggestions on how to improve the chapters in the handbook. Although the researcher thoroughly reviewed the responses in order to protect the identity of the experts in this section, a selection of a few supportive comments and a few ways to possibly improve the handbook are listed below.

School District J Superintendent supported the research by commenting, “there is a need for strategies to help fellow superintendents address their own lack of entrepreneurial spirit within the area of acquisition of nontraditional funding.” He continued, “training the teachers to become grant writers, knowing how to ask for money, having an idea and expressing it to a company or foundation are extremely important items to put in this handbook” (Personal communication, Feb. 12, 2013). School District G Superintendent commented, “this is a new source of funding that we know little about.” He continued, “this handbook might open up new avenues for us to seek out sources not previously considered” (Personal communication, Feb. 11, 2013). School District A Superintendent stated, “building relationships with stakeholders, learning about ‘a recipe’ for acquiring this money, and getting teachers involved in the process are all important aspects to put into the handbook” (personal communication, Feb. 13, 2013).

Although all of the superintendents surveyed for this step of the process supported the research and the handbook, improvements to the possible handbook chapter outline could also be seen in some of their responses. The School District C Superintendent stated, “It is important to provide a detailed description of step-by-step effective strategies on how best to proceed in acquiring this money.” He continued, “Keep it simple and make it very readable for superintendents” (personal communications, Jan. 29, 2013). Additionally, School District F Superintendent recommended possibly changing the title of the work to: *Maximizing Nontraditional Donations and Grant Funding: A Handbook for Kansas School District Leaders* and suggested that the researcher look at the possibility of combining Chapter 1 and Chapter 2 in the handbook (personal communication, Feb. 18, 2013).

The researcher evaluated the support and possible suggestions from the field regarding this topic, the chapter outline, and the handbook development. Some suggestions regarding the

elimination of the background sections were not implemented because of the need for the project to remain a research-driven project, instead of only a practitioner-driven project. However, in the event that the handbook is published, it may be necessary to revise some of the information so that it is more practitioner-driven. Overall, the information in the proof of concept stage had proactive effects on the direction of the research by confirming a need and validating a tentative outline for a handbook on maximizing school nontraditional funding.

### **Development of the Prototype**

The comments received from the review of the literature, the needs assessment phase, the proof of concept stage, and an analysis of the format of other handbooks and guides currently on the market contributed to development of the prototype. The decision on what specific strategies should be included in the prototype were based on the literature review, Laudel's (2006) research model for acquisition of educational funding, and the results from the needs assessment and the proof of concept stages. The development of *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding* was developed using the R&D methodology as recommended by Gall et al. (2007) through a seven-step development cycle.

Although there were two minor changes in the proposed outline, most of the original outline remained the same from the proof of concept stage on all of the major parts of the handbook. The two minor changes and rationale to the tentative chapter outline plan are listed below:

1. The researcher included a section for "Reflective Questions" and "Further Recommended Reading" at the end of each chapter. The need for this was established from the proof of concept panel responses (Reviewer A, personal



communication, Feb. 26, 2013; Reviewer C, personal communication, Feb. 26, 2013; Reviewer G, personal communication, March 15, 2013).

2. A “Preface” was added to guide the reader through the type of research process that was used to create the handbook, and to explain the role that the reviewers would have in the refinement of the final handbook version. The need for this section was established from the proof of concept panel responses (Reviewer C, personal communication, Feb. 26, 2013; Reviewer F, personal communication, Feb. 27, 2013; Reviewer G, personal communication, March 15, 2013).

The data that was collected in this stage contributed to the overall development of the prototype. When the prototype development stage was completed, the preliminary field test began.

### **Preliminary Field Test of Handbook Prototype**

Experts for the preliminary field test survey were extremely high-level educational grant writing veterans, and/or leaders of very prestigious philanthropic/ nonprofit organizations. Since the researcher was using Kansas school district leaders in the needs assessments stage, the proof of concept stage, and the main field test, a selected number of non-educators were needed for the preliminary field test stage of the process. These experts served as preliminary field evaluators using a Likert scale and survey responses to provide feedback. Revisions were made based on their feedback.

Feedback regarding the general format and content of the handbook for an instructional leader was provided during the preliminary field test. Survey items were developed from a review of previous R&D product surveys. Five experts completed a preliminary field test survey (Appendix F) and evaluated the initial product. To obtain five reviewers, 15 available experts

with a proven track record of acquiring nontraditional funding were contacted in order to see if they are favorable to being a part of this research project. The researcher then selected the first five individuals who returned positive remarks about being involved in a research study of this nature. This step was aligned with the R & D Model set forth by Gall et al. (2007).

The preliminary field test experts described above were chosen from a pool of 15 individuals with a proven track record of working with and acquiring nontraditional funding and who met two or more of these criteria:

- An individual who had published three or more books or articles on topics for acquisition of nontraditional funding through grants, donation, and endowments.
- An individual who had published three or more books or articles on the topics of entrepreneurial leadership and/or school reform.
- An individual who was a highly successful grant writer who has at least a 10-year track-record of acquiring large educational grant funding.
- A leader of a very prestigious and highly successful nonprofit or philanthropic organization that deals with educational issues.

**Table 3.3 Pool of Experts used for Preliminary Field Test**

Kansas' Philanthropic and Leadership Expert Pool for Preliminary Field Tests	Title	Qualifications
Expert A	Director and/or Leader	Recognized for extensive leadership revitalization programs in Kansas; trainer of entrepreneurial leadership ventures across the state; 21-year veteran.
Expert B	Director and/or Leader	Director for one of the most philanthropic foundations in Kansas; 15-year veteran.
Expert C	Director and/or Leader	Director for one of the most philanthropic foundations in

		Kansas; 23-year veteran.
Expert D	Director and/or Leader	Director for one of the most philanthropic foundations in Kansas; 17-year veteran.
Expert E	Director and/or Leader	Recognized as successful trainer of entrepreneurial leadership skills in Kansas; 12- year veteran.

The selected experts were given copies of the proposed handbook (Chapter 4), as well as descriptions of the research project assessment protocol for this stage (Appendix E). In addition, the selected experts received surveys regarding the proposed handbook (Appendix F).

Each expert was provided an informed consent form, a letter of instruction, a survey, and a copy of the handbook. The survey included three parts:

- The usability of the book.
- The content of the book.
- Additional comments or suggestions.

When evaluating the usability of the book, the experts were asked a series of questions and statements. Each expert was asked if the content was organized in a logical sequence; if organizational components facilitated reader use; if the writing was clear, concise, and easy to read; if the book was presented in an attractive format; and if the book provided useful information.

Additional questions asked of the experts dealt with specific content. Experts were asked if the book was based on current practices; if appropriate strategies were included; if the book provided accurate information; and if the handbook was a useful tool.

The additional comments and suggestions section asked these expert panel members open-ended questions related to what revisions should be made to the writing and format of the

handbook. This section also requested suggestions for making the content more understandable, areas that need more clarification, and additional comments.

The researcher informed the experts how confidentiality would be protected in this process, and how real names and official organizations would not be used in the publication of the data results. The researcher reminded the experts how the responses would be thoroughly reviewed in order to protect the identity of the experts, and the responses would be kept in a locked file cabinet for a period of five years after the dissertation data was completed.

The first two parts of the main field test survey asked the experts to rate the usability and content of the handbook using a five-point Likert scale:

1. Strongly Disagree
2. Disagree
3. Neutral
4. Agree
5. Strongly Agree

A table was included in order to summarize the main information that was gleaned from the data as recommended in Gall et al. (2007). The information that was listed in the table is also listed below:

1. Usability of the Handbook
  - a. The book is organized in a logical sequence.
  - b. The writing is clear, concise, and easy to read.
  - c. The handbook is presented in an attractive format.
  - d. Overall, the book provides useful information.
2. Content of the Handbook

- a. The content of the handbook is relevant and timely.
- b. The content provides appropriate guidance, strategies, and resources on how to maximize nontraditional funding for Kansas school districts.
- c. The content blends theory, research, and practice into a practical resource for a Kansas educational leader.

3. Additional Comments or Suggestions

All three parts of the survey included open-ended questions that allowed the experts to provide comments and suggestions for improvement and revision of the handbook. A table on the ratings given for the responses was included in the “Preliminary Field Test Ratings” table. The comments and suggestions were contained in the “Preliminary Field Test Comments and Actions” table. The processes for these tables were based on the Research and Development framework from Gall et al. (2007). Therefore, the preliminary field test ratings are listed below:

**Table 3.4 Preliminary Field Test Ratings (Means)**

Survey Statement	Rating: from Strongly Agree (5) to Strongly Disagree (1)
The content is presented in a logical sequence.	4.6
The organizational components facilitate reader use.	4.2
The text is clear, concise, and easy to read.	4.8
Handbook is presented in an attractive format.	4
The content is based on current practices.	4.6
The appropriate strategies have been included.	4.2
The handbook provides accurate information.	4.6

Overall, the handbook will be a useful tool.	4.4
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The preliminary field test stage provided more expert panel suggestions and comments in order to make decisions on the research project and the format on the handbook with the suggestions and comments mentioned in the responses. These responses are presented verbatim and redacted only when needed to protect the confidentiality of the participants. These comments received from this stage, and the researcher’s actions are listed below:

**Table 3.5 Preliminary Field Test Comments and Researcher’s Actions**

Questions/ Comments from Experts	Researcher’s Action
1. The content is presented in a logical sequence.	
Expert A: Agree. Expert B: Strongly Agree. Expert C: Strongly Agree. Expert D: Strongly Agree. Expert E: Agree. You might consider moving Purpose of Handbook section to the beginning after the Preface.	Acknowledged. Acknowledged. Acknowledged. Acknowledged. Acknowledged. This movement was considered. However, after reviewing the “Purpose of the Handbook” section and the “Preface”, and evaluating the responses to Experts A-D, the data did not show a strong need to do this from the other experts. Therefore, this suggestion was rejected because

	<p>of the strength of the other data and the perceived awkwardness of moving the “Purpose of the Handbook” between the “Preface” and “Chapter 1”. However, if additional data confirms the move in the main field test, the researcher will consider this move at that time.</p>
<p>2. The organizational components facilitate reader use.</p>	
<p>Expert A: Agree. Expert B: Agree. Expert C: Strongly Agree. Expert D: Agree. Expert E: Agree.</p>	<p>Acknowledged. Acknowledged. Acknowledged. Acknowledged. Acknowledged.</p>
<p>3. The text is clear, concise, and easy to read.</p>	
<p>Expert A: Strongly Agree. Expert B: Strongly Agree. Expert C: Strongly Agree. Expert D: Strongly Agree. Expert E: Agree. Presents a wide variety of sources. Will non-academic readers find this approach easy to read?</p>	<p>Acknowledged. Acknowledged. Acknowledged. Acknowledged. Acknowledged. Expert E’s question will be answered in the main field test with Kansas superintendents. These superintendents will</p>

	<p>help identify if the approach is “easy to read.”</p> <p>However, the researcher will add a section regarding this question in the conclusion chapter of the handbook.</p>
<p>4. The handbook is presented in an attractive format.</p>	
<p>Expert A: Agree.</p> <p>Expert B: Strongly Agree.</p> <p>Expert C: Agree.</p> <p>Expert D: Agree.</p> <p>Expert E: Neutral.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>
<p>5. The content is based on current practices.</p>	
<p>Expert A: Agree.</p> <p>Expert B: Agree. You did a nice job of bringing the key points from many sources together to identify opportunities with various types of funding and differences to expect.</p> <p>Expert C: Strongly Agree.</p> <p>Expert D: Agree.</p> <p>Expert E: Strongly Agree.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>
<p>6. The appropriate strategies have been included.</p>	



<p>Expert A: Agree.</p> <p>Expert B: Agree. From my perspective, those included are the key strategies, though they are very general.</p> <p>Expert C: Agree. This would be hard to do considering how much time it would take, but contacting each foundation might provide within that organization what parameters they have when considering making a grant to a particular school district or school.</p> <p>Expert D: Agree.</p> <p>Expert E: Strongly Agree.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Agreed. The researcher added a section regarding the need for parameters in grant selection.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>
<p>7. The handbook provides accurate information.</p>	
<p>Expert A: Agree.</p> <p>Expert B: Strongly Agree. Although it is included in the appendix, you might want to mention on page 140 that the dollar amounts listed with foundations are for total grants awarded for the year, not necessarily grants awarded to education.</p> <p>Expert C: Strongly Agree.</p> <p>Expert D: Strongly Agree.</p>	<p>Acknowledged.</p> <p>Acknowledged. The researcher changed the description for the main field testing step.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>

<p>Expert E: Agree. Consider including information from sources that present different points of view. The author does not have to agree with or support these views, but a broader range of ideas could increase credibility outside school administrative circles.</p>	<p>Acknowledged. However, the researcher disagreed with the second statement regarding the need to have “a broader range of ideas”. Since both Expert A and B questioned whether the handbook was a little long already, and other comments from Experts A, D, and E mentioned that the handbook was “very thorough” and “comprehensive”, the data collected compelled the researcher to only make minor adjustments to the handbook. However, more data regarding these questions will be revealed from the main field test.</p>
<p>8. Overall, the handbook will be a useful tool.</p>	
<p>Expert A: Agree. Expert B: Agree. I hope it stimulates interest! School leaders will still have to do the digging, but this offers an overview and a guide in the context of the current situation in Kansas. The only problem with the emphasis on the context is that it limits the life of the handbook.</p>	<p>Acknowledged. Acknowledged. The researcher agreed with the second statement. The handbook may need to be updated in future years based on changes in technology, communications, etc. A section was added in the conclusion chapter based on the need to teach both principles (which are timeless) and strategies (which are within a certain time frame), and what readers of the</p>

<p>Expert C: Strongly Agree.</p> <p>Expert D: Agree. Very Useful.</p> <p>Expert E: Strongly Agree. Very thorough research about history of traditional and nontraditional funding practices. Presents information in a well-organized manner.</p>	<p>handbook years from now can do regarding information that may be outdated by that time.</p> <p>This paragraph should help “the life of the handbook” to be less limited for years to come.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged. The researcher agreed with the second statement. The history of traditional and nontraditional funding practices was a necessary backdrop for presenting the information.</p>
<p>9. What is the greatest strength of the handbook?</p>	
<p>Expert A: The research and appropriate presentation of the model. It is also extremely comprehensive.</p> <p>Expert B: The idea for the handbook – Making the case for including grants and donations in the menu for education funding – is in itself a strength. With the understanding that this is enhancement funding rather than core funding, it is a constructive approach. I also appreciated how the handbook brought relevant</p>	<p>Acknowledged.</p> <p>Acknowledged. The researcher agreed with the second statement regarding the uniqueness of the project being a strength and seeing nontraditional funding as “enhancement funding rather than core funding.”</p>

<p>information from several fields of study together to inform this topic.</p> <p>Expert C: This handbook would save someone a significant amount of time researching where to look for private funding to help a district. A considerable amount of time was spent researching the foundations in Kansas and finding the ones who place a significant emphasis on education.</p> <p>Expert D: This handbook could be a resource for many. It answers the questions of nontraditional funding: what, why, how, and whom to go to for the resources.</p> <p>Expert E: Amount of research and examples. The reflective questions are helpful to foster personal application.</p>	<p>Agree. This was the purpose of the research handbook.</p> <p>Acknowledged.</p> <p>Acknowledged. The researcher also thought that the reflective questions were helpful.</p>
<p>10. What is the greatest weakness of the handbook?</p>	
<p>Expert A: It might be a bit broad.</p>	<p>Acknowledged. However, since the handbook is teaching both strategies and principles, there is a necessity to be both specific and broad at times in the handbook. The principles of entrepreneurial leadership must be taught in a</p>

<p>Expert B: Although I believe that chapters on school finance, Kansas school leaders' response to current finance issues, and the history of school finance are all relevant and helpful as an introduction to the handbook, these first two chapters seemed long.</p> <p>Expert C: I don't see any real weaknesses of the handbook. It covers not only the statistics to show why the handbook is relevant, but then backs that up with a sound solution to shrinking budget cuts.</p> <p>Expert D: The quotes were good and I particularly liked the boxed quotes that introduced each chapter, but I think they could have stood more on their own and did not need as much explanation in the main text.</p> <p>Expert E: No comment.</p>	<p>broad context, while strategies are taught in specific ones.</p> <p>Acknowledged. However, the chapters on the current financial issues and the history of school finance are important for the development of the topic. This shows the need for the possible acquisition of nontraditional funding.</p> <p>Acknowledged. This was the purpose of the handbook.</p> <p>Acknowledged. The researcher reviewed the quotations and their explanations in the text. Since this was the only expert who mentioned this, more data will be collected regarding this during the main field test before a decision is made.</p> <p>Acknowledged.</p>
<p>11. What content would you add or delete?</p>	
<p>Expert A: Add strategies for adapting existing programming to new potential funding</p>	<p>Disagree. For ethical reasons regarding the need to follow grant budgets closely (not</p>

<p>agencies.</p> <p>Expert B: Nothing at this time.</p> <p>Expert C: It appears that all of the information is relevant to the project. I think that you did a fantastic job with this project.</p> <p>Expert D: The content presented looks very comprehensive.</p> <p>Expert E: Consider adding more questions about current strengths and areas for improvement to encourage deeper reflection about personal growth opportunities. The entrepreneurial leadership model is very helpful. You might consider including ideas related to resources available in Kansas related to civic leadership. See article by the Kansas Leadership Center attached in this email.</p>	<p>supplanting funds), the need to use grant money with fidelity, and the need to develop trust between the grantee and the funding agency, this suggestion was rejected.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Agreed. The researcher reviewed all reflective questions in the text. The researcher then changed a question in Chapter 7 and a section of the conclusion to allow the reader to reflect on “current strengths, areas for improvement, and personal growth opportunities” as Expert E suggested. The researcher also reviewed the article that was attached in the email sent by Expert E. However, the data presented was found to be extremely similar to that which was already presented regarding entrepreneurial leadership in the handbook. Since significant data collected mentioned that</p>
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	<p>the handbook “was comprehensive”, the researcher did not add this information into the handbook. However, more data will be coming in the main field test.</p>
<p>12. What suggestions do you have for making the content more clear or understandable?</p>	
<p>Expert A: None, Very nice work!</p> <p>Expert B: Thanks for the opportunity to review the handbook.</p> <p>Expert C: One very minor thing I noticed was on p. 179 “The Grantsmanship Center” is missing the “t”. That is just for your informational purposes. You really put a tremendous amount of time into this project. Congratulations, it is well done.</p> <p>Expert D: None, best wishes for the remaining steps. Let me know if you’d like to discuss my comments in more detail. I think it will be a great tool for school administrators in our state!</p> <p>Expert E: Congratulations on getting your dissertation to this stage. I found the handbook</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged. This will be changed for the main field test version.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>

very impressive and insightful.	
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## **Initial Handbook Revision**

The initial handbook revisions were based on the comments and ratings provided by the preliminary field test experts. The process of Research and Development (R & D) followed the recommendation of Dick and Carey (2001) that “formative evaluation should be used to collect data in order to revise the product, to make the product as effective as possible” (p. 27).

Because this process was a systematic approach to developing and revising an educational product, the researcher understood that data collected during the initial handbook revision field test stages might alter the outline and content of the book for the main field test. Therefore, the outline and the information presented were tentative and revised based on the responses from the participants.

In May of 2013, responses from the preliminary field test from Experts A – E stated that the handbook was comprehensive, insightful, and the examples listed were very beneficial to the expert panel members. In addition, all of the expert panel members rated either “agree” or “strongly agree” with these concepts regarding the handbook:

- It was presented in a presented in a logical manner.
- The organization of the handbook facilitated reader use.
- It provided accurate information.
- The text was clear, concise, and easy to read.
- The content was based on current practices.
- It was an extremely useful tool.



Although some minor suggestions in the data were reviewed thoroughly on ways to improve, the major concepts presented in the handbook were approved by Experts A – E through the preliminary field testing. This process led to editing of the handbook, and the development of the main field test.

### **Main Field Test**

The main field test for the handbook, *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding*, took place in June of 2013. The purpose of the main field test was to obtain additional information on the usability and usefulness of the handbook. After the responses were compiled from the previous stage, and revisions were made, the “Random Purposeful” sampling model from Creswell (2007) was used as the data collecting model. The purpose of the sampling model was to identify specific needs of Kansas school district leaders throughout the state regardless of location and school district size and “add to the credibility of the sample when potential maximum variation sample is too large.” (p. 127). Therefore, 12 superintendents were chosen through random purposeful sampling from all over Kansas within these specific categories:

- 6 Superintendents were chosen from districts of fewer than 1200 students
- 6 Superintendents were chosen from districts of more than 1200 students

After the superintendents were divided into these two groups, the lists of superintendents were chosen at the random rolls of 5 dice. The process of random purposeful sampling used in this way encouraged a more diverse set of experts for the next field study. Therefore, the superintendents for the random purposeful sampling were listed below:

**Table 3.6 Superintendents used in Main Field Test**

12 Superintendents Used for Main Field Test	Kansas School Districts Represented
Kansas Superintendent 1	Kansas School District 1
Kansas Superintendent 2	Kansas School District 2
Kansas Superintendent 3	Kansas School District 3
Kansas Superintendent 4	Kansas School District 4
Kansas Superintendent 5	Kansas School District 5
Kansas Superintendent 6	Kansas School District 6
Kansas Superintendent 7	Kansas School District 7
Kansas Superintendent 8	Kansas School District 8
Kansas Superintendent 9	Kansas School District 9
Kansas Superintendent 10	Kansas School District 10
Kansas Superintendent 11	Kansas School District 11
Kansas Superintendent 12	Kansas School District 12

The selected superintendents were given copies of the proposed handbook (Chapter 4), as well as descriptions of the research project assessment protocol for this stage (Appendix G). In addition, the selected experts received surveys regarding the proposed handbook (Appendix H).

Each expert was provided an informed consent form, a letter of instruction, a survey, and a copy of the revised prototype of the handbook. The survey included three parts:

- The usability of the book.
- The content of the book.
- Additional comments or suggestions.

When evaluating the usability of the book, the experts were asked a series of questions. The experts were asked if the content was organized in a logical sequence, if the writing was clear, concise, and easy to read, if the book was presented in an attractive format, and if the book provided useful information.

The experts were also asked about the content. These statements and questions asked covered whether the book was relevant and timely and if the book provided appropriate guidance, strategies and resources on how to maximize nontraditional funding streams for

Kansas school districts. The section also asked whether the content blends theory, research, and practice.

The additional comments and suggestions section asked panelists open-ended questions and comments related to what revisions should be made to the writing and format of the handbook. This section also included an opportunity to make suggestions for making the content more understandable, areas that need more clarification, and additional comments.

The researcher informed the experts how confidentiality would be protected in this process, and how real names and official organizations would not be used in the publication of the data results. The researcher reminded the experts how the responses would be thoroughly reviewed in order to protect the identity of the experts, and the responses would be kept safe in a locked file cabinet for a period of 5 years after the dissertation data was completed.

The first two parts of the main field test survey asked the experts to rate the usability and content of the handbook using a five-point Likert scale:

1. Strongly Disagree
2. Disagree
3. Neutral
4. Agree
5. Strongly Agree

A table was included in order to summarize the main information that was gleaned from the data as recommended in Gall et al. (2007). The information from the table is listed below:

4. Usability of the Handbook
  - a. The book is organized in a logical sequence.
  - b. The writing is clear, concise, and easy to read.

- c. The handbook is presented in an attractive format.
- d. Overall, the book provides useful information.

5. Content of the Handbook

- a. The content of the handbook is relevant and timely.
- b. The content provides appropriate guidance, strategies, and resources on how to maximize nontraditional funding for Kansas school districts.
- c. The content blends theory, research, and practice into a practical resource for a Kansas educational leader.

6. Additional Comments or Suggestions

All three parts of the survey included open-ended questions that allowed the experts to provide comments and suggestions for improvement and revision of the handbook. The ratings gathered from the responses were displayed in the “Main Field Test Ratings” table. The comments and suggestions were contained in a “Main Field Test Comments and Actions” table. These processes were based on the Research and Development framework from Gall et al. (2007). Therefore, the ratings from the main field test are listed below:

**Table 3.7 Main Field Test Ratings (Means)**

Survey Statement	Rating: from Strongly Agree (5) to Strongly Disagree (1)
The content is presented in a logical sequence.	4.83
The organizational components facilitate reader use.	4.5
The text is clear, concise, and easy to read.	4.58

Handbook is presented in an attractive format.	4.41
The content is based on current practices.	4.75
The appropriate strategies have been included.	4.75
The handbook provides accurate information.	4.75
Overall, the handbook will be a useful tool.	4.75

The main field test stage provided more responses in order to make decisions on the research project and the format on the final version of the handbook. These responses are presented verbatim and redacted only when needed to protect the confidentiality of the participants. These comments received from this stage, and the researcher’s actions are listed below:

**Table 3.8 Main Field Test Comments and Researcher’s Actions**

Questions/ Comments from Experts	Researcher’s Action
1. The content is presented in a logical sequence.	
Superintendent 1: Strongly Agree.	Acknowledged.
Superintendent 2: Strongly Agree.	Acknowledged.
Superintendent 3: Strongly Agree.	Acknowledged.
Superintendent 4: Strongly Agree.	Acknowledged.
Superintendent 5: Strongly Agree.	Acknowledged.
Superintendent 6: Strongly Agree.	Acknowledged.
Superintendent 7: Agree.	Acknowledged.
Superintendent 8: Strongly Agree.	Acknowledged.

Superintendent 9: Strongly Agree.	Acknowledged.
Superintendent 10: Strongly Agree.	Acknowledged.
Superintendent 11: Agree.	Acknowledged.
Superintendent 12: Strongly Agree.	Acknowledged.
2. The organizational components facilitate reader use.	
Superintendent 1: Agree.	Acknowledged.
Superintendent 2: Strongly Agree.	Acknowledged.
Superintendent 3: Agree.	Acknowledged.
Superintendent 4: Strongly Agree.	Acknowledged.
Superintendent 5: Agree. I believe them to be useful, the heading style, and the boxed quotations felt a bit awkward in this MS Word document. The structure is solid, but the typeface/font feels forced.	Acknowledged. The researcher tried other options to change the font of the boxed headings, but found that this version was the best for reading consistency. Since no other responses mentioned this, this was not changed on the final version.
Superintendent 6: Strongly Agree.	Acknowledged.
Superintendent 7: Agree.	Acknowledged.
Superintendent 8: Agree.	Acknowledged.
Superintendent 9: Strongly Agree.	Acknowledged.
Superintendent 10: Strongly Agree.	Acknowledged.
Superintendent 11: Agree.	Acknowledged.
Superintendent 12: Strongly Agree.	Acknowledged.

3. The text is clear, concise, and easy to read.	
<p>Superintendent 1: Agree.</p> <p>Superintendent 2: Strongly Agree.</p> <p>Superintendent 3: Agree.</p> <p>Superintendent 4: Strongly Agree.</p> <p>Superintendent 5: Strongly Agree.</p> <p>Superintendent 6: Agree.</p> <p>Superintendent 7: Neutral. Too wordy at times.</p> <p>Superintendent 8: Strongly Agree.</p> <p>Superintendent 9: Strongly Agree.</p> <p>Superintendent 10: Strongly Agree.</p> <p>Superintendent 11: Strongly Agree.</p> <p>Superintendent 12: Strongly Agree.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>
4. The handbook is presented in an attractive format.	
<p>Superintendent 1: Neutral.</p> <p>Superintendent 2: Agree.</p> <p>Superintendent 3: Agree.</p> <p>Superintendent 4: Strongly Agree.</p> <p>Superintendent 5: Agree.</p> <p>Superintendent 6: Strongly Agree.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>

<p>Superintendent 7: Agree.</p> <p>Superintendent 8: Strongly Agree.</p> <p>Superintendent 9: Agree. The reader always likes to see color. If published, make your charts in color to make them easier to read.</p> <p>Superintendent 10: Strongly Agree.</p> <p>Superintendent 11: Strongly Agree.</p> <p>Superintendent 12: Strongly Agree. I like the way you've broken up the text with quotations in text boxes at the beginning of various sections.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged. If published at a later date, the researcher (based on the data collected) will do this.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>
<p>5. The content is based on current practices.</p>	
<p>Superintendent 1: Strongly Agree.</p> <p>Superintendent 2: Strongly Agree.</p> <p>Superintendent 3: Strongly Agree.</p> <p>Superintendent 4: Agree.</p> <p>Superintendent 5: Agree. As a leader, this feels right to me regarding my understanding of current and best practices.</p> <p>Superintendent 6: Strongly Agree.</p> <p>Superintendent 7: Agree.</p> <p>Superintendent 8: Strongly Agree.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>



<p>Superintendent 9: Strongly Agree.</p> <p>Superintendent 10: Strongly Agree. The reason I am reading this for you is this process interests me as a district leader and I want to understand.</p> <p>Superintendent 11: Strongly Agree.</p> <p>Superintendent 12: Strongly Agree.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>
<p>6. The appropriate strategies have been included.</p>	
<p>Superintendent 1: Neutral.</p> <p>Superintendent 2: Strongly Agree.</p> <p>Superintendent 3: Strongly Agree.</p> <p>Superintendent 4: Strongly Agree.</p> <p>Superintendent 5: Agree. I value the movement from theoretical to strategic. The questions posed at the end of the chapter are highly useful for assessment and integration of the presented strategic changes in policy mindset and structure.</p> <p>Superintendent 6: Strongly Agree.</p> <p>Superintendent 7: Strongly Agree.</p> <p>Superintendent 8: Strongly Agree.</p> <p>Superintendent 9: Strongly Agree. This is a</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged. This was the purpose of the handbook. This data agreed with other data collected from this process.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>

<p>strength of your handbook.</p> <p>Superintendent 10: Strongly Agree.</p> <p>Superintendent 11: Strongly Agree.</p> <p>Superintendent 12: Strongly Agree. Yes – very practical.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>
<p>7. The handbook provides accurate information.</p>	
<p>Superintendent 1: Agree.</p> <p>Superintendent 2: Strongly Agree.</p> <p>Superintendent 3: Strongly Agree.</p> <p>Superintendent 4: Strongly Agree.</p> <p>Superintendent 5: Agree.</p> <p>Superintendent 6: Strongly Agree.</p> <p>Superintendent 7: Strongly Agree.</p> <p>Superintendent 8: Strongly Agree.</p> <p>Superintendent 9: Agree. A web link to grant templates would be nice.</p> <p>Superintendent 10: Strongly Agree. While not done, I will be honest and say I will begin putting these strategies together as we endeavor to long range plan.</p> <p>Superintendent 11: Strongly Agree.</p> <p>Superintendent 12: Strongly Agree.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>

<p>8. Overall, the handbook will be a useful tool.</p>	
<p>Superintendent 1: Agree.</p> <p>Superintendent 2: Strongly Agree.</p> <p>Superintendent 3: Agree.</p> <p>Superintendent 4: Agree.</p> <p>Superintendent 5: Strongly Agree.</p> <p>Superintendent 6: Strongly Agree.</p> <p>Superintendent 7: Strongly Agree.</p> <p>Superintendent 8: Strongly Agree. Very useful, especially to a young superintendent.</p> <p>Superintendent 9: Strongly Agree.</p> <p>Superintendent 10: Strongly Agree. This is clearly needed across the state, especially in rural schools.</p> <p>Superintendent 11: Strongly Agree.</p> <p>Superintendent 12: Strongly Agree. I would definitely use it.</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged.</p>
<p>9. What is the greatest strength of the handbook?</p>	
<p>Superintendent 1: It presents some real world perspective on issues of academic study.</p> <p>Superintendent 2: There is so much there.</p>	<p>Acknowledged.</p> <p>Acknowledged. This was stated throughout</p>

<p>What is most important?</p> <p>Superintendent 3: It is an important topic, timely and thoughtful. I appreciate that it affirmed some ideas I already knew, and peaked my interest on others.</p> <p>Superintendent 4: The handbook is very informative and includes information that could be helpful for school districts during this time of financial turmoil.</p> <p>Superintendent 5: The practical nature of this handbook (including a virtual script on page 102) helps the handbook feel very concrete. A handbook that is not practical is worthless. Your handbook provides practical steps for those considering taking a step into the realm of nontraditional funding, all the way through the brass tracks of accomplishing the goal. This is a complete manual. The chapter focus questions are relevant and useful to leaders right away. They are well ordered, critically</p>	<p>the handbook, but a section will be added in the conclusion that addresses this question and refocuses the reader on “what is most important” - the students of Kansas.</p> <p>Acknowledged. This was the purpose of the handbook: to encourage and inform about the possibilities of nontraditional fund acquisition for Kansas school districts.</p> <p>Acknowledged. This was the purpose of the handbook. This data agreed with other data collected from this process.</p> <p>Acknowledged. This was the purpose of the handbook. The handbook was meant to focus both on practical steps (strategies) and long-term visions of the future (based on timeless principles of action). The researcher hoped that these two qualities would allow the handbook to be relevant with today’s school leaders with practical strategies, but also timeless for future leaders that follow because of a focus on principles that span the test of time. The information from visionary leaders</p>
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<p>important, and allow leaders to both self assess and invite stakeholders to embrace new realities. Poignant and powerful, the page 84 and page 101 questions were questions I found myself asking throughout the chapters.</p> <p>Throughout the document, your attention to the breadth of history is evident. I think your appeal to visionary leaders from the crisis periods in American history (Colonial, Civil War, Civil Rights) blends well with your ancient sages and contemporary business leaders.</p> <p>Superintendent 6: I really like the “reflective questions to consider.” I like the quotes and the research. It has great flow.</p> <p>Superintendent 7: The greatest strength of the handbook is that it provides practical, sound strategies for educators to use. This is a very hands-on, realistic guide that real people can use.</p> <p>Superintendent 8: The handbook is easy to understand. It gives examples of nontraditional funding, with ideas and</p>	<p>of “crisis periods” in American History was deliberate. The data showed that these superintendents also believe that this time (2008-2013) was a “crisis period” for Kansas educational finance.</p> <p>Acknowledged (all three statements). This data agreed with other data collected from this process.</p> <p>Acknowledged. This was the purpose of the handbook.</p> <p>Acknowledged. This was the purpose of the handbook.</p>
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<p>specifics.</p> <p>Superintendent 9: I like the incorporation of historical literature and contemporary literature. It supports the notion that school funding, or lack of, is not a new phenomenon. It is a challenge for superintendents and school boards to be creative, think outside the box, and to generate resource support from multiple sources.</p> <p>I like the Kansas success stories. Too many times we are compared to other states and countries. This comparison is shortsighted because our demographic and economic resources are dissimilar. I also like that your examples were from a variety of different sized districts. There are ideas for rural and suburban and large and small districts.</p> <p>I like the reflective questions at the end of each chapter. They are probing and could be used as collaborative tools for administrative teams, or at a strategic planning meeting with boards.</p> <p>Superintendent 10: The questions provided by the researcher that should be asked by</p>	<p>Acknowledged. This data agreed with other data collected from this process.</p> <p>Acknowledged.</p> <p>Acknowledged. This data agreed with other data collected from this process.</p>
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<p>practitioners when they embark on their efforts: Is my project unique?</p> <p>Superintendent 11: It is timely in nature and much needed considering the massive cuts in traditional funding over the past five years.</p> <p>Superintendent 12: The need for the information in the field.</p>	<p>Acknowledged. This data agreed with other data collected from this process.</p> <p>Acknowledged. This data agreed with other data collected from this process.</p>
<p>10. What is the greatest weakness of the handbook?</p>	
<p>Superintendent 1: Although it is very well done, in my opinion, the author too quickly dismisses the State of Kansas' disregard of their responsibility to appropriately fund its schools.</p> <p>Superintendent 2: While nontraditional sources of funding are going to play a larger part in our schools, the more schools who seek that funding may lead to less funds being available.</p>	<p>Acknowledged. The final document underwent numerous edits so that the information presented in the final version was based on facts and data, not on speculation, conjecture, and/or political motivation.</p> <p>Acknowledged. However, Laudel (2006) stated in this research on the acquisition of nontraditional funding in schools, that funding is available for those institutions that follow the steps in his research (this was stated in the handbook). One of the purposes of the handbook was to change this "half-empty" mentality through the use and display of Breugst's (2011) entrepreneurial leadership</p>

<p>Superintendent 3: Not sure if this is a weakness or not, but this topic has an infinite number of sources and you did a good job of noting many, maybe for further study.</p> <p>Superintendent 4: The handbook could be long for some readers, but I would not say this is really a weakness.</p> <p>Superintendent 5: Where do we define entrepreneurial leadership? It is referenced repeatedly throughout the document, but I am not certain I find clarity as to its definition until at least page 50.</p> <p>P. 38, Is it necessary to define self-renewal?</p> <p>P. 41, Did we ever define AYP in this document? (I believe that most other acronyms you successfully identified before referring to only by their initials). This may be important for future years.</p> <p>Superintendent 6: Some grammatical errors.</p>	<p>theories that focus on limitless possibilities in this area.</p> <p>Acknowledged. This was the purpose of the “Recommended Reading” at the end of each chapter, as well as the “Appendixes” section.</p> <p>Acknowledged. This data agreed with other data collected from this process.</p> <p>Acknowledged. The document was reviewed and a section on this was added in the preface in order to reflect this suggestion.</p> <p>Acknowledged. This was edited to reflect this suggestion.</p> <p>Acknowledged. This was edited to reflect this suggestion.</p> <p>Acknowledged. These were changed based on the suggestions of the superintendent.</p>
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<p>Superintendent 7: The writing style – while perfectly appropriate for a dissertation handbook project – could be inaccessible to some everyday users. When/if the handbook is published by a professional publisher, an abridge version, using everyday language, might be worth considering for the audience.</p> <p>Superintendent 8: It may be a little technical and lengthy, however this is required when discussing such a large subject.</p> <p>Superintendent 9: Your professor may not allow this, but it is easier on the reader to give your subjects names. When there is a name, such as Superintendent Xavier, as compared to Superintendent X, we visualize them and can relate more personally with them.</p> <p>Superintendent 10: I understand the need for the background research and I like the quotes but I did find myself scrolling once in a while.</p> <p>Superintendent 11: The length, it might serve its purpose without the addition of the</p>	<p>Agreed. The language was appropriate for the dissertation handbook. However, when/ if the material is published by a professional publisher, the material can be altered at that stage to reflect more “everyday language.”</p> <p>This data agreed with other data collected from this process.</p> <p>Acknowledged. This data agreed with other data collected from this process.</p> <p>Acknowledged. However, the approved IRB stated that the researcher would include names in this format (Superintendent X, Expert A, Superintendent 5, etc.). Since it was approved by the IRB committee, the researcher will stay with the version in the text.</p> <p>Acknowledged. However, just as the superintendent suggested, there is a “need for the background research.” Therefore, the data regarding the background will stay in the document.</p> <p>Acknowledged. However, more of the responses confirmed the effectiveness of</p>
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<p>numerous quotes.</p> <p>Superintendent 12: Length.</p>	<p>having the quotations in the work as a way to better understand the context. Therefore, they were left in the handbook.</p> <p>Acknowledged.</p>
<p>11. What content would you add or delete?</p>	
<p>Superintendent 1: None.</p> <p>Superintendent 2: No Comment.</p> <p>Superintendent 3: I cannot see deleting any, you could continue to add potential resources but there has to be an end somewhere.</p> <p>Superintendent 4: None.</p> <p>Superintendent 5: P. 47, “obvious that Kansas school districts have opportunities for the very real acquisition of addition monies” - Suggestion ADDITIONAL instead of addition.</p> <p>P. 48, period location at end of quote.</p> <p>P. 57, the shift to “my research” seems sudden – this may be due to my reading, or the construction.</p> <p>P. 70, awkward sentence “by allowed the buses.”</p> <p>P. 111, “Allow FANS to post photos, videos,</p>	<p>Acknowledged.</p> <p>Acknowledged.</p> <p>Acknowledged. Data mentioned from the preliminary field test and the main field test confirm the comprehensiveness of the handbook as well.</p> <p>Acknowledged.</p> <p>Agreed. This was changed as suggested.</p> <p>Agreed. This was edited as suggested.</p> <p>Acknowledged. This was reviewed and changed in the document with an additional section.</p> <p>Agreed. This was changed as suggested.</p> <p>Agreed. This was edited in the final document</p>

<p>and discussions on the wall updates”. Use of the word FANS seems like the 2010 Facebook term. From Wikipedia.... “users had the option to ‘become a fan’ of the page until April 19, 2010 (page 31) when the option was later changed to ‘like the page’.</p> <p>P. 179, The following is a list of the 22 – you only list 21.</p> <p>P. 181, The Gransmanship Center, 2011 – spell check?</p> <p>Superintendent 6: Maybe some content about how more KS schools went to 4-day weeks.</p> <p>Superintendent 7: N/A</p> <p>Superintendent 8: Some parts of the history could be removed.</p> <p>Superintendent 9: The Bifurcation chart, on page 81, may be confusing to the undereducated reader. To me it looks like doodling.</p> <p>Add a link to a website with grant templates or editable examples.</p> <p>Superintendent 10: I cannot answer this as I understand the need for the background but I</p>	<p>based on the suggestion.</p> <p>Agreed. This was edited in the final document based on this suggestion.</p> <p>Agreed. This was changed to reflect the data in this suggestion.</p> <p>Agreed. More data and content were included based on this suggestion.</p> <p>Acknowledged.</p> <p>Acknowledged. However, the response did not state what should be removed.</p> <p>Acknowledged. The researcher will add more information regarding the specific analysis of the bifurcation chart.</p> <p>Acknowledged. Links were added in the final version to reflect this response.</p> <p>Acknowledged. Since this superintendent mentioned that there was “the need for the</p>
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<p>did get distracted occasionally.</p> <p>Superintendent 11: In the 2 sections on pages 14 and 15 – I do not believe the thinking is clear. Page 14 is the comparison on Kansas education spending and that in prisons. Please clarify the comparison.</p> <p>On page 15, you discussed the Kansas dropout rate as lower but don't provide KS data, instead you use national percentages.</p> <p>Superintendent 12: Nothing – Different people reading the material will want different things from the material. Those who do not want to read certain parts can simply skip over those parts.</p>	<p>background,” and other data collected confirmed this, the information will remain.</p> <p>Acknowledged. This comparison on page 14 and 15 was eliminated from the final version.</p> <p>Acknowledged. The dropout rate was removed from the final version based on the response.</p> <p>Acknowledged. This was included in the overall themes of the data later in chapter 3.</p>
<p>12. What suggestions do you have for making the content more clear or understandable?</p>	
<p>Superintendent 1: None really. I did not rate #4 very high because there were no photos, illustrations, etc., other than tables presenting information. If this was going to be published at a later time, pictures of kids in classrooms,</p>	<p>Acknowledged. At a later time, when the information is ready to be published with a corporate publisher, this response will be useful because the handbook may be edited again and updated. However, the purpose of</p>

<p>teachers teaching, adults talking, kids on the playground, etc. would be a good idea. As a research paper it is very “attractive”.</p> <p>However, as a booklet for distribution it is somewhat “boring” to look at. If/when the document gets published, this might be something to think about.</p> <p>Superintendent 2: Rural schools will always be at a disadvantage even in “good” financial times. To have less funding leads to death spirals for small schools and their programs.</p> <p>Superintendent 3: It was easy to follow. To have been any longer would have just started to be redundant.</p> <p>Superintendent 4: None.</p> <p>Superintendent 5: P. 57, Newton Model – Does that impact their bottom line by holding up, or increasing their FTE?</p> <p>P. 47, not sure I get what the quote is saying, or what position it supports.</p> <p>P. 69, For the teachers that write the grants....what’s in it for them? If I, as the tech director, ask for \$50,000 and get it....does my</p>	<p>the handbook was to describe specific steps and strategies that Kansas school leaders could enact that might help them maximize their nontraditional funding. This suggestion was addressed later in this chapter.</p> <p>Acknowledged. The handbook could be extremely useful in providing knowledge regarding the acquisition of additional resources and services for rural school districts.</p> <p>Agree. Expert responses collected from the two field tests often mentioned how the handbook was seen as “comprehensive”.</p> <p>Acknowledged.</p> <p>Acknowledged. A description of the FTE impact was included in the final version.</p> <p>Agreed. More clarification was added around this statement to address the author’s point.</p> <p>Agreed. A section was added in the conclusion regarding this concept. Breugst (2011) stated that employees (as teachers and directors) need</p>
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<p>budget get cut by 50K so it can fund other “critical areas?” You address, later, the sharing nature of superintendents who find success in this model....but I wonder how this plays out.</p> <p>Superintendent 6: P. 43, “Kein Lumber” should be “Klein Lumber”.</p> <p>Superintendent 7: See #10 above.</p> <p>Superintendent 8: I have no suggestions, I felt the handbook covered everything, very informative.</p> <p>Superintendent 9: This handbook is very well written and organized. The examples simplify the grant writing process making it less intimidating. I definitely think your handbook will be a “a catalyst for starting a wave of change” (page 149) regarding nontraditional school funding. I know it has given me plenty of food for thought.</p> <p>Superintendent 10: No comment.</p> <p>Superintendent 11: Lots of verbiage that made it “reader friendly” and interesting, but it may have been a little long.</p>	<p>to be given permission to be an entrepreneurial leader. However, these are ultimately local decisions that need to be adapted based the responsiveness or unresponsiveness of the employees, community, and/or school board.</p> <p>Agreed. The wording was edited based on the suggestion.</p> <p>Acknowledged in question 10.</p> <p>Acknowledged. This response agreed with other responses collected from this process.</p> <p>Acknowledged. This was the purpose of the handbook. This response agreed with other responses collected from this process.</p> <p>Acknowledged.</p> <p>Acknowledged, This specific response agreed with the major themes from the other responses collected, and it was included later in this</p>
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<p>Superintendent 12: None – well done, easy to understand, well researched and organized. I gave very high marks, but felt that they were justified. You have done a great job on your work. Congratulations &amp; continued best of luck.</p>	<p>chapter. Acknowledged. This response agreed with the general overall themes that emerged from the previous steps in the R &amp; D process.</p>
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### **Final Handbook Revision**

The Main Field Test comments directly influenced the final handbook revision stage. However, the final version changes of the handbook were also based on all of the comments from all stages of the R & D process.

The purpose of the revisions was to improve the format and content of the handbook so that the handbook was more useful and effective. Data were collected from the experts during the needs assessment, proof of concept stage, preliminary field test, and main field test in the field and revised again based on the suggestions they offered. If a suggestion was not followed, the reasons for not following the suggestions were provided by the researcher.

Responses from the main field test (from 12 Superintendents) mentioned that the handbook was comprehensive, insightful, and very beneficial to the expert panel members (see response charts in previous pages). In addition, the majority of the superintendents surveyed mentioned that they “strongly agreed” or “agreed” with these concepts regarding the handbook:

- It was presented in a presented in a logical manner.
- The organization of the handbook facilitated reader use.

- It provided accurate information.
- The handbook was presented in an attractive format.
- The text was clear, concise, and easy to read.
- The handbook provided accurate information.
- The content was based on current practices.
- It was an extremely useful tool.

In addition, the superintendents commented on the usefulness of the handbook in their narrative section of their surveys as well. As a group, the responses from the superintendents confirmed these themes regarding the benefits of the handbook:

- It peaked their interest in the subject and made them want to learn more.
- The handbook was very practical and easy to use.
- This was a complete and comprehensive manual.
- The handbook was well written.
- The research of the handbook was very thorough.
- The reflective questions were extremely beneficial.
- The incorporation of historical literature and contemporary literature was very effective at conveying important messages regarding the processes.
- The Kansas success stories were very important to the handbook.
- Many superintendents mentioned that the handbook changed their thinking and they believed that it would change the thinking of others as well.

Areas for improvement were also addressed by the superintendents as well. Although there were small grammatical changes suggested by the superintendents in order to help the handbook have better understanding and flow, the majority of the information dealt with the



possible publication of the handbook after the dissertation process was over. Although some of these experts specifically mentioned that the research history was important for the study, a scaled-down version of the handbook might be important in the event that the handbook is formally published by a corporate publisher. However, other panelists mentioned that the length was not necessary a negative aspect because the handbook was easy enough to use that readers could simply turn to the pages that interested them most in the handbook.

The responses also revealed that if the handbook were to be published, certain specific things might be changed. These responses mentioned that the charts and graphs could be in color and pictures of educators and students could be added to the books.

Although all of the responses were reviewed thoroughly on ways to improve, the major concepts presented in the handbook were approved by both levels of field tests. This process and the suggestions from these responses led to the final handbook revisions.

Overall, the R & D process provided the researcher with a comprehensive process to research, develop, and validate an effective handbook for Kansas school district leaders to guide them in maximizing their nontraditional funding streams for Kansas school districts.

### **Role of the Researcher**

The researcher recognized that he would bring his own experience as a superintendent to this study. The experiences gained while being a superintendent in Kansas strongly supported the need for more resources for Kansas school leaders to help guide them through the process of maximizing nontraditional funding for their districts. The resource guide needed to be practical and usable by the evaluators and practitioners who helped with this research and development process. While experiences shaped this researcher, there remained a strong commitment to allow

the responses and evaluations by the participants to guide the creation and revisions made to the resource guide.

### **Summary**

The methodology for this study followed the research and development (R & D) model as defined by Gall et al. (2007). The purpose of the process was to develop a handbook that could be used by Kansas educational leaders to guide them in maximizing nontraditional funding.

**Chapter 4 - Completed Handbook, *Kansas School District Leaders'*  
*Handbook for Maximizing Nontraditional Donations and Grant*  
*Funding***

## **Chapter 4 - Completed Handbook**

KANSAS SCHOOL DISTRICT LEADERS' HANDBOOK FOR MAXIMIZING  
NONTRADITIONAL DONATIONS AND GRANT FUNDING

By

BRIAN D. PEKAREK

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BRIAN D. PEKAREK

2013

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## Preface

The purpose for this book was to research, develop, and validate a handbook of effective strategies that Kansas school district leaders can implement that can increase the likelihood for school district leaders to maximize their school districts' nontraditional funding. *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding* was developed using the research and development methodology as recommended by Gall, Borg, and Gall (2007) through a seven-step development cycle. This cycle included:

1. A literature review
2. A needs assessment and a proof of concept stage
3. The development of the prototype
4. The preliminary field test and evaluation of the prototype
5. The initial revision of the handbook
6. The main field testing of the handbook
7. The final revision and improvement of the handbook (Gall, Borg & Gall, 2007).

This seven-step development cycle allowed the author to research, develop, and validate concepts for a comprehensive handbook.

Throughout the text, the author referenced data from various steps of this process. As comments were shared from the practitioner interviewees as part of this process, their comments were listed as "Superintendents", and as "Reviewers." However, the complete listing of these stages can be found in Chapter 3 of the completed dissertation.

Although there is always an uncertainty with nontraditional funding for Kansas school districts, there is currently a need in Kansas to see the world from a different perspective in regards to school funding. Not only do Kansas school district leaders need to come to terms with

the damages in funding cuts that they have sustained from 2008-2012, but they must also address the need to see the world from an entrepreneurial leadership aspect and understand that there are additional funds available for schools in Kansas.

This handbook provides not only success stories regarding the successful acquisition of nontraditional funding, but it dispels myths regarding this sometimes-elusive funding approach. The handbook provides step-by-step methods of fund acquisition for schools from Laudel (2006), and provides effective and strategic methods through which to secure this funding. In addition, the handbook describes the needed tactics in the areas of public relations, educational grant funding, maximizing endowment associations, and creating links with corporate and foundational givers in Kansas. Finally, the handbook describes the top corporate and foundational givers in Kansas who have given the most to education-related causes in the past.

A criterion sampling process recommended by Creswell (2007) was used to review multiple existing resources about nontraditional funding strategies. This process was used to identify the most commonly referenced strategies mentioned in these resources. The intent was to showcase the most referenced myths and the most referenced proactive strategies believed to be the most effective for the acquisition of nontraditional funding for school districts, based on Laudel's (2006) analytical framework.

The author discovered common themes among eight proactive school endowment associations in Kansas as well. Creswell's (2007) convenience sampling method was used in this process.

The author discovered the most philanthropic and educational-friendly foundations in Kansas by using the Cross-Sectional Research Model referenced in Creswell (2007). This method allowed the researcher to collect data on foundations and corporations at the same time,

and at only one interval. The most overall Kansas philanthropic corporations and foundations were identified, and then cross-referenced to select only the organizations that gave the most overall money to Kansas educational causes within a one-year period (The Grantsmanship Center, 2011).

Additional research regarding each section of the handbook can be seen throughout the text. Reflective questions and further recommended reading sections are located at the end of each chapter. At the end of the completed handbook, a thorough reference list was included, and additional appendices were included.

It is the author's hope that the information provided in the handbook, will be a catalyst for starting a wave of change in both perception and in action in Kansas. Not only do Kansas school district leaders need to be empowered with a new way of thinking about nontraditional fund acquisition drawing from the research of Laudel (2006), but they need to identify themselves as indicated in Breugst's (2011) research as entrepreneurial leaders in the state. As entrepreneurial leaders who focus on innovative practices regarding nontraditional funding, they need to allow their staff and community the ability to have an entrepreneurial-mindset with the acquisition of funds as well (Breugst, 2011). If this happens, the author believed that a new direction might be forged for Kansas. Not only will there be a new direction in the possible acquisition of funding for schools, but schools might also be able to be open to new strategies, programs, and projects in which to reach students across the state.

# Chapter 1 - The Uncertain Future of Traditional Kansas

## School Funding

*“Nothing limits achievement like small thinking; nothing expands possibilities like unleashed thinking.” William Arthur Ward.*

*“One of the reasons people don’t achieve their dreams is that they desire to change their results without changing their thinking.” John Maxwell.*

*“All human development, no matter what form it takes, must be outside the rules; otherwise, we would never have anything new.” Charles Kettering.*

Although responses from the needs assessment and proof of concept stages of this research process indicated that although some school district leaders in Kansas have been extremely displeased by the cuts to school finance, many also felt frustrated about the perceived reactive nature of the school finance position. In addition, two superintendents and one reviewer (2013) expressed concerns that as educators, many were taught to be proactive and to reach every student to the best of their ability, yet they lacked the necessary school funding in which to effectively reach the students. Another reviewer (2013), in the proof of concept stage, mentioned that many Kansas school leaders felt reactionary regarding their impact on school finance and simply do the best job that they can do under the circumstances in which they are given. In addition, two other superintendents (2013) mentioned there was inadequate training on the acquisition of nontraditional funding in Kansas schools, and even less information regarding entrepreneurial leadership skills that today’s proactive superintendents need to have in order to

provide more services for their students, staff, and communities. Something must change in this area.

From 2008-2012, there were significant reductions in the amount of funding that the Kansas Legislature provided to its schools. These changes resulted in school districts in Kansas becoming deeply underfunded (Kansas District Court, 2013). Although these reductions in revenue were significant, these reductions have not been the only time that school districts have been underfunded throughout Kansas and United States history. A study of this history showed that this inconsistent pattern of school finance remained constant over time (Thompson, 2008). In addition, a study of this history showed how schools have often been linked to some aspect of nontraditional funding in various capacities. Therefore, an overview of the issues regarding school finance and nontraditional funding must start with a review of a history and framework of school finance in the United States. From this historical review of the material, certain trends, themes, and ideas about the possible acquisition of nontraditional funding in schools within Kansas can be ascertained, as well as how Kansas school leaders' thinking may need to change in order to reflect a more entrepreneurial nature in the future.

### **The Purpose of the Handbook**

*“Good thoughts and actions can never produce bad results; bad thoughts and actions can never produce good results.” James Allen, 1902.*

*“And once more, let me tell you, it is indispensable to you that you strike a blow...you must act.” Abraham Lincoln, 1862.*

*“Men occasionally stumble over the truth, but most pick themselves up and hurry off as if nothing has happened.” Winston Churchill, 1946.*

In many ways, the Kansas educational leaders should be extremely proud of their past success. Although publicity is often paid to the negative aspect of public education, existing reports from Kansas State Department of Education (KSDE) indicated that Kansas students are doing well in a variety of areas. Despite misguided fears of possible impending doom for the public school system, there is much to be excited about in terms of students' performance in Kansas (KSDE, 2010). As a whole, the Kansas public educational system has some remarkable results:

- More students are going on to college than ever before. Since 1993, the percentage of high school graduates enrolling in higher education has increased from 53% to 67% (KSDE, 2010).
- Kansas' ACT scores are rising. The average composite score has risen from 20.3 in 1993 to 21.0 in 2009. This has occurred with record numbers of students taking the test, which usually results in decreasing scores (KSDE, 2010).
- Kansas scores higher than all other states on percentages of students who take the ACT. 77.5% of Kansas graduates took the ACT, making Kansas one of only five states in the nation in which at least 75% of the students take the test. This is the highest percentage of any state in the nation (KSDE, 2010).
- More people are graduating from college than ever before in Kansas. The percentage of adults completing a 4-year degree has risen 5% between 1993 and 2008 (Center on Education Policy, 2010).
- Kansas schools are extremely efficient compared to other Kansas agencies. Kansas schools spend about one-third less per day educating students as Kansas prisons do incarcerating convicted criminals (Center on Education Policy, 2010).

- Kansas schools are safer than ever before. Crime against students in Kansas decreased from 155 to 102 incidents per 1,000 students between 1993 and 2007(Center on Education Policy, 2010).
- Kansas' scores in mathematics and science have increased. Both math and science scores improved across all grade levels between 1992 and 2006 on the state assessments (KSDE, 2010).
- Students in Kansas are taking more difficult classes. The number of students completing a core curriculum increased from 14% in 1992 to 50% in 2004 (KSDE, 2010).
- More girls are taking upper-level math and science courses in Kansas. Enrollment for girls has increased significantly in Algebra II, Trigonometry, Chemistry, and Physics (Center on Education Policy, 2010).
- More students with disabilities are being educated in the regular classroom in Kansas. Nearly twice as many students with disabilities are being educated in regular classrooms when compared to 1996 (Center on Education Policy, 2010).

Although the successes are a wonderful chance for celebration regarding the Kansas educational system, this information was not meant to suggest that there is no room for improvement. This information is rather meant to articulate the successes for leaders as they make their continuous quest for improvement for our students.

The main purpose of the handbook focused on an identified need through steps of a Research and Design research process as described by Gall, Borg, and Gall (2007). This need, validated by an expert panel as part of the research process, was to help Kansas school district



leaders know what strategies could assist them in maximizing the acquisition of nontraditional funding for their schools.

Historically, great leaders have often urged entrepreneurial action when faced with challenges. In 1862, Abraham Lincoln advised, “And once more let me tell you, it is indispensable to you that you strike a blow...you must act.” (1862, p. 119). In 1963, Martin Luther King, Jr. provided this guidance for leaders, “A movement is led as much by the idea that symbolizes it. The role of the leader is simply to guide and give direction and philosophical under-building to the movement.” (1965, p. 312). He continued by stating this about his own entrepreneurial leadership: “I neither started the protest nor suggested it...I simply responded to the call of the people for a spokesman” (1965, p. 313). The following handbook can provide guidance that is needed in this area. This handbook can provide specific and general direction for the Kansas educational leader who wants to take on this altruistic endeavor.

Although teaching Kansas school district leaders about the truth behind successful acquisition of nontraditional funding in Kansas was altruistic in nature, there are possible problems when dealing with truth when it is presented as new ideas. British Prime Minister Winston Churchill (1946) remarked, “Men occasionally stumble over the truth, but most pick themselves up and hurry off as if nothing has happened” (p. 129). In addition, Edward DeBono stated in 1985 about the reaction from truth and new ideas, “You cannot dig a hole in a different place by digging the same hole deeper” (p. 54). John Maxwell also warned about new ideas, thinking, and truth, “One of the reasons people don’t achieve their dreams is that they desire to change their results without changing their thinking” (p. 45). The above quotations reflect ideas that the researcher hoped to address.

In addition, famous author William Arthur Ward (1934), also warned leaders about the presentation of truth and the need to see things differently, “Nothing limits achievement like small thinking; nothing expands possibilities like unleashed thinking” (p. 27). However, Educator Charles Kettering (1956) summed up the importance of truth and new ideas by saying, “All human development, no matter what form it takes, must be outside the rules; otherwise, we would never have anything new” (p. 65). The quotations above show the importance of truth and seeing the world differently, but they also mention the costs associated with new ideas. Although new ideas may be more beneficial and they may be based on fact, change is often a difficult process. However, the continuous process of being open to new ideas and new ways of thinking is beneficial in the end. As stated by Maxwell (2012): “Progress is often just a good idea away” (p. 53). This eventual progress was the ultimate purpose of the handbook.

### **A Brief History of Educational Nontraditional Funding**

*“Still the question recurs ‘can we do better?’ The dogmas of the quiet past are inadequate to the stormy present. The occasion is piled high with difficulty, and we must rise with the occasion. As our case is new, so we must think anew, and act anew.” Abraham Lincoln, 1862.*

Although Abraham Lincoln made the above quotation over 150 years ago, his words still ring out as truth for the current situations as well. His words have a certain transparency that can encourage new thinking, new concepts, and new ideas to develop. In order to evaluate new thinking in nontraditional funding for schools, a brief history of the existence of nontraditional funding in American education is needed. Nontraditional funding contributed to furthering American education by pushing the limits of education in new ways by supporting new concepts,

ideas, and strategies for improving education. As history showed, traditional funding often contributed to the status quo, while nontraditional funding focused on new and innovative ideas for curriculum, teaching methods, and schools. Often times, nontraditional funding revenues were the only source for implementing these possible changes. Nontraditional funding for education expanded knowledge, championed social movements, defined active citizenship, influenced policymaking, and addressed humanitarian crises in the United States (Zunz, 2011). In addition to this incredible history of progress in education, nontraditional funding still has so much to offer for those who take the opportunity to spend the extra time needed to focus on the acquisition of these funds.

As a country, the United States is unquestionably the most philanthropic nation in the world (Zunz, 2011). However, history records that the United States was focused on philanthropy long before it was even a nation. The long-standing tradition of caring for others and sharing blessings dates back to Native Americans in the New World in the 1500's who were willing to share their harvests and knowledge with new settlers. The early religious leaders also brought traditions of caring for others and sharing their blessings as they colonized the land, staked out farms, built schools, and populated settlements (Smith, 2013). In the process, these dauntless men and women charted an untraveled course in history that evolved into a revolutionary understanding of social responsibility in educational institutions. It is as though these new concepts were indigenous to the United States since the cultures in Europe at the time were not at all focused on helping one another, educational volunteerism, or of sharing one's wealth for the betterment of educating humanity (Hammack, 2013). The acquisition of nontraditional funding for public education was a "uniquely American" concept in this respect.

When the Boston Latin School was founded in 1635 as the first official public school within the American colonies, the issues regarding the funding for educational services were at the local level, yet nontraditional funding streams always supplemented the overall budget regarding additional supplies and resources. During this time in American history, much nontraditional funding came in the form of donations from local religious organizations. However, some funding still came from businesses or individuals (Cremin, 2009).

In 1643, Harvard University conducted what was believed to be the first recorded fund drive for educational nontraditional funding. At the time, it raised 500 English pounds (equivalent to over \$22,000 in current U.S. dollars) and it was thought to be a great success. From this success, came more successes for Harvard. The leaders of Harvard quickly followed this victory up with land grants, personal bequests, and additional donations that made the university able to sufficiently support the entire teaching staff of the university and its scholars (Harvard University, 2011). This model continued as schools spread throughout the American Colonies; educational leaders asked for funds, and donors responded (Smith, 2012).

During the 1700's, nontraditional education funding also started focusing on helping the poor and disenfranchised populations in society. By doing this, the movement became a catalyst for changing social structures, mindsets, and paradigms within common society. The movement also allowed these populations to have a voice in the society at large, and it constantly challenged the mainstream educational system by fostering new ways of thinking. For those educational leaders and organizations willing to spend extra time acquiring nontraditional funding, this funding stream provided the much needed money as an incentive for these changes (Zunz, 2011).

Some of the earliest educational philanthropic champions consisted of Elisa Neau, Anthony Benezet, John Jay, Alexander Hamilton, Thomas Jefferson, and Benjamin Franklin. Elisa Neau and Anthony Benezet were extremely philanthropic benefactors for the creation and maintenance of African American schools throughout the United States during the 18<sup>th</sup> Century and the beginning of the 19<sup>th</sup> Century. In addition, John Jay and Alexander Hamilton used their funds by creating and maintaining schools for orphaned children, former slaves, and the disenfranchised throughout in the northern United States. Thomas Jefferson's philanthropic efforts in education focused on creating and maintaining the Library of Congress with his monies and the donation of his personal library for the benefit of future education. Benjamin Franklin, the largest philanthropic individual of his day, donated his wealth to a wide variety of educational institutions including: libraries, educational societies, schools, universities, teaching hospitals, and various educational scholarships (Hammack, 2013).

After the American Revolution and the ratification of the United States Constitution, a strong emphasis was placed on the value of education, and the states took a much more active and focused role in funding education. However, nontraditional funding of schools continued as a supplemental financing stream (Barker, 2002). United States President John Adams (1854) mentioned the importance of nontraditional educational funding:

The whole people must take upon themselves the education of the whole people and be willing to bear the expenses of it...there should not be a district of one mile square without a school in it, and it should be maintained at the public expense of the people themselves. (p. 540)

Between the time of the American Revolution and the American Civil War, state leaders sought to rapidly expand the number of free public schools until all of the states had tax-

supported public elementary schools by 1870. However, nontraditional funding continued to supplement the traditional state funding in schools and areas that requested this service. Since there was consistent traditional funding from the states, and nontraditional funding continued to provide supplemental monies, the United States population experienced one of the highest literacy rates of all time (Barker, 2002).

From 1870-1900, other educational institutions and organizations with particular educational causes began to spring up in the United States. A few of these educational leaders were Brace, Gallandet, Gratz, Keller, and Washington. The leaders of these educational institutions became particularly adept on convincing benefactors of the worthiness of their cause, showing the need for funding for the particular action, and then securing the funds to move forward in their particular educational programs (Smith, 2012).

As a result, the educational environment slowly began to change. Through effective acquisition of nontraditional funding, money started flowing to certain educational institutions and foundations that were set up to aid specific minority populations in the United States as well. A few of these were the United Way, the Boys and Girls Club of America, the Black Elks, and the Hebrew Orphan Society. Therefore, many schools and educational foundations that focused on helping minorities benefited in this process. Since many of these schools and educational institutions often received little state or federal funding, they were forced to become experts at the acquisition of nontraditional funding to provide for their organizations (Smith, 2012).

Throughout the 19<sup>th</sup> Century, these educational organizations mainly served African Americans, women, the poor, and other social minorities. However, near the end of the 19<sup>th</sup> Century, significant nontraditional funding also became available for the education of hearing disabled individuals and vision disabled individuals. This can be seen in the large donations to

the American Federation of the Blind and the American School of the Deaf. In addition, significant educational funding came to schools that focused on the fine arts, scientific experimentation, and exploratory learning in the curriculum. Large donations to the Smithsonian Institution, Tuskegee University, and the Children's Aid Society were also made (Zunz, 2011).

As states continued the development of more public schools, an age of reforms in public education and educational finance began. This change started by an influx of prominent European educational reformers like Pestalozzi (1801), Hergart (1776), and Montessori (1906) whose ideas took root in schools throughout the United States. These individuals stressed more research-based programming and services in schools, which also meant providing the needed resources and funding in order to reach these goals. Since state funding for these innovative programs was extremely minimal and inconsistent at best, nontraditional funding was the method most used to provide these innovative reforms (Herbst, 1996).

Further educational reforms came from educators Dewey (1900) and Wirt (1911) in the early 20<sup>th</sup> Century when each introduced similar progressive educational methods for students in different areas that allowed students to learn and explore based on early brain-development research and vocational programs. Although some resources were provided from states that encouraged these early job-ready education programs, most states had dropped this funding with the advent of the Great Depression in 1929. Therefore, nontraditional acquisition of funding played a crucial role in continuing these educational reforms (Ravitch, 2000).

During the Great Depression between 1929-1939, traditional educational funding significantly dropped for schools and children (Murphy, 2002). Although funding dropped for public schools during this time, there were some notable exceptions with certain school districts that acquired nontraditional funding through some major philanthropic organizations. The

Rockefeller Foundation(1930), the Rosenwald Foundation (1934), and the Jeanes Foundation (1938) donated funds for various progressive programs based on Dewey's innovative ideas in extremely impoverished urban and rural areas on a wide-scale for schools who took advantage of these nontraditional funds (Generals, 2000).

Near the end of the Second World War in 1944, the United States Congress rejected education advocates' pleas for large-scale aid to help fund K-12 education, and put money into creating the GI Bill for returning veterans of the Second World War. Although this money helped create a widespread belief in the necessity of college education by allowing the veterans the ability to attend college tuition-free, few women and minorities were covered by the law, and it did nothing to help fund K-12 public education institutions (Altschuler, 2009).

When education advocates regained control of the United States Congress in 1964, the Elementary and Secondary Education Act of 1965 began pumping federal money into local school districts through a variety of Title programs and services (ESEA, 1965). Since many of these programs and services for low-income students were first provided through nontraditional funding, certain nontraditional funding streams could shift into other areas of educational development (Bernstein, 2004).

In the next few decades of 1970-2000, educators saw an even greater shift in the nontraditional funding aspect of schools through federal legislation. Slowly, the federal government seemed to be taking over more responsibility for some innovative educational programs and services that had begun under the historical tradition of nontraditional funding streams. Some specific examples of these changes can be seen in the funding for students with special education needs, bilingual students, and students of poverty. Although this was good news for progressive reformers of education, federal and state funding did not match the new



mandates, and so nontraditional funding was still needed to provide services (Hammack, 2013).

These programs included:

- In 1975, Congress passed the Education for All Handicapped Children Act, which later became the Individuals with Disabilities Education Act (IDEA, 1990). The legislation required specific mandates regarding the use of certain education dollars for certain students with disabilities.
- In 1983, the “National Commission on Excellence in Education” released the report: *A Nation at Risk*. The report caused the federal and state governments to increase academic rigor, increase the amount of school days per year, require more hours of the school day, and require a great emphasis on standardized tests. However, no additional money was given to schools (Longmore, 2009).
- In 2000, No Child Left Behind (NCLB) legislation was passed requiring 100% proficiency in reading and math on state assessments by 2014. From the advent of the legislation, school districts had to increase services in various capacities and show continuous improvement through effective research-driven interventions in order to reach the needs of all students. These increased the costs of educational services, curriculum, and personnel on local school districts, and this became increasingly burdensome (“Education Advocates See Dangers, Opportunity Ahead for 2012,” 2011).

These federal legislation guidelines (IDEA, 1990; NCEE, 1983; NCLB, 2000), and subsequent Kansas state recommendations (Augenblick & Myers, 2001; Kansas Legislative Post Audit, 2006) have had profound impacts on the type and manner of finance for education that the states and the federal government give their respective schools. Since many of these reforms

were not backed up with traditional state or federal dollars, educational leaders had two choices. Either they could pay for the services by taking funding that was designated for other areas, or they could look to secure money through nontraditional means (Wolters, 2009).

As schools moved away from the NCLB legislation towards the new Common Core Standards Initiative (2010) that focused on college and career readiness, the accountability increased with no promise of more traditional funds or resources. Compounding these increases in educational demands were the very real problems with rising inflation and declining funding for school districts (Robb, 2011).

From this brief history regarding the acquisition of nontraditional funding in the United States, it can be noted that nontraditional funding had two particular patterns that were used throughout history. Either the money drove the cause, or the cause drove the money. These patterns of acquisition of funds dealt with money and principles, and they were practiced by the givers and the receivers of educational forums (Zunz, 2011).

The first practice and principle of the successful acquisition of nontraditional funding, identified by Zunz (2011), focused on how money drives a particular cause in history. This can be seen when an individual or a group created a foundation for a particular purpose and had a large sum of money that backed up a certain educational initiative. In this case, the incentive for the money encouraged educational institutions to provide this service based on the overarching principle that the money represented. Education leaders at the time would then have to decide if the money was worth providing the change in services, social standing, culture, and curriculum of a particular school or district. This was one way that nontraditional funding changed education and schools in the past (Zunz, 2011).

The second practice and principle of successful acquisition of nontraditional funding, identified by Zunz (2011), focused on how a certain previously unknown cause was made aware by effective leaders in an organization. Although these educational leaders may have not had the money to effectively change their schools, they did desire the correct leadership skills, the ability to convey their message to possible donors and organizations, and the willingness to work towards a particular goal for the benefit of the educational cause in which they believed strongly. This was the second principle seen throughout the historical documents (Zunz, 2011).

Both of these principles were used effectively through the history of nontraditional acquisition of funds within the United States. However, the world of nontraditional funding can sometimes be a hazy world for educational leaders. A handbook for maximizing the ability for school leaders to gain nontraditional funds could help them capture the most possible nontraditional funding for their students, teachers, and schools.

### **Kansas School Finance Reductions**

*“Now, at such a time as this, troublesome issues are constantly coming up, and the only way to get along at all is to plough around them.” Abraham Lincoln, 1862.*

Lincoln’s quotation captured the essence of the heart of many Kansas educators in relation to the school finance cuts from 2008-2012. His quotation also related well to the desire of many Kansas educational leaders to maximize their nontraditional funding streams in their districts. Not only was Lincoln’s quotation timeless in regards to problems that educators face, but it also encouraged hope to be fostered within the heart of Kansas educational leaders who are willing to work through the processes of nontraditional funding acquisition.

When evaluating the possible need for nontraditional funding and entrepreneurial leadership in Kansas schools, a history of school finance in Kansas is warranted. In addition, it is also beneficial to describe the traditional method for funding schools in Kansas. From this context, one can fully identify not only the impact of the cuts to traditional school finance, but also possible long-term consequences.

The history of Kansas school finance was similar to the histories of other states as well (Hanusheck, 2008; Herbst, 2006). Although Kansas public schools were often started with only local funding, the state gradually increased its role, support, and mandates on the public schools in the state. Slowly, the state influence on Kansas public schools became a larger component in funding the general fund, and the local school districts could then assess themselves based on what the community and school district would allow for supplemental funding (Baker, 2005).

Although this was a good idea on paper, it caused widespread disparities between high assessed-valuation school districts (the very rich) where the land was worth much more, and low assessed-valuation school districts (the very poor) where the land was worth much less. These past disparities came to life by contrasting the assessed valuation of the richest district in the Kansas (Shawnee Mission School District) at \$2.92 billion, with the poorest district in Kansas (Fort Leavenworth) at only \$2.45 million and measuring the difference in taxable revenue (KSDE Assessed Valuation Report, 2012). During this time across the state, poor districts were found to assess themselves much higher than rich school districts, yet still received less revenue to work with during the school year to pay teachers, operate buildings, improve curriculum, and provide student services (Baker, 2003).

These problems eventually led to creative discussions in the 1980s and early 1990s regarding restructuring the Kansas school finance formula into one that was much more

equitable for everyone. Eventually, these discussions led to a change in the formula where all school districts' communities were uniformly assessed 20 mills through their general fund, and the money was then sent to Topeka and redistributed to the school districts based on a weighted enrollment numbers of students in the district (Duncombe, 2004).

This weighted enrollment of students was known as the Full Time Equivalent (FTE) number, and would come to include at-risk students, students of declining-enrollment districts, and bilingual students (Kansas Department of Education, 2011). The state financial officers would then multiply this FTE number by the Base State Aid Per Pupil (BSAPP) that was set by the Kansas legislature each year (Dennis, 2011). As the system grew over the years, it developed into a much more equitable system for funding schools (when it was properly funded). However, since the Kansas legislature often changed this number each year at the very end of the legislative session (and sometimes changed the number during the fiscal year), it was difficult for school districts to completely and specifically plan budgets with traditional funding streams from year to year (Baker, 2003).

In addition to the General Fund, the Local Option Budget (LOB) was created in 1965 as a smaller avenue for school funding as well. It was based on the amount that a school district would allow itself to be taxed locally. This money was assessed through a mill-levy system through the county, and the money was meant to be a supplement to the general fund. Although the money was levied locally, the state legislature eventually came to assist certain low-income districts based on the low assessed valuation. However, the state of Kansas only allowed districts to assess themselves to 30% of their general fund (without an election), and the money that they used to assist poorer districts had been "prorated" in later years (Duncombe, 2006).

As inflation rose significantly in the early 1990s, the state legislature's BSAPP number never was allowed to rise at the same rate. This meant that going into the 21<sup>st</sup> Century, there was a large disparity from what the BSAPP should be (based on the Consumer Price Index calculations on inflation) and what the funding number actually came to represent (Baker, 2005).

As Kansas State Board of Education members heard from Kansas school district leaders about this inequity, the KSBOE Chairman and the rest of the state school board agreed to commission the Augenblick and Myers study in 2001 in order to statistically identify how much money was needed to educate a child in Kansas. When the study was finished, the authors concluded that the BSAPP was significantly underfunded (Augenblick & Myers, 2001).

From the Augenblick and Myers recommendation (2001), Kansas school district leaders from USD 305 Salina Schools and USD 443 Dodge City Schools began a series of court cases that led to the Kansas Supreme Court declaring that the BSAPP funding in Kansas schools was too low (Montoy vs. State of Kansas, 2005). This ruling required the Kansas state legislature to begin to provide more funding in order to reach the students of the state from 2005-2008. As the result of these court cases, the Kansas legislature increased funding to Kansas schools from 2005-2008 (Green, 2005). Although the money never reached the recommended payment from the Augenblick and Myers study, the effort to fund schools was directed in a progressive and positive direction. However, these increases were short-lived (Baker, 2006).

Unfortunately, from fiscal year 2009 to fiscal year 2012, there was a steady decline in traditional revenue streams from the State of Kansas to K-12 public education. Starting in fiscal year 2009 with \$2.8 billion in revenue, and ending in fiscal year 2012 with \$2.5 billion in revenue, the state cut school districts' general funds by \$280 million across the state. The cuts came in waves of \$168 million after the first year, a \$12 million cut after the second year, and

another \$100 million cut after the third year. This made the total cumulative losses in educational funding to Kansas school districts \$628 million over a short four-year period (Kansas Department of Education, 2011).

## Reflective Questions to Consider

*“Everything begins with a thought.” Ralph Waldo Emerson, 1856.*

1. In what ways might an appreciation of the history of school finance in Kansas give school leaders avenues and suggestions for the acquisition of nontraditional funding in Kansas school districts?
2. Where can additional resources for Kansas school district funding be found?
3. Under what conditions would Kansas school district leaders be more proactive in acquiring the skills needed for the possible acquisition of nontraditional funding?
4. In what ways could Kansas school leaders make a more focused effort to maximize nontraditional funding in Kansas school districts?



## Further Recommended Reading

*“Share your knowledge. It is a way to achieve immortality.” Dalai Lama XIV, 2005.*

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## Chapter 2 - The Need for Change in Kansas School Districts

*“You cannot change what you refuse to confront.” Anonymous, 2013.*

Not only is there a need to change the thinking and actions of school district leaders in regards to nontraditional funding, but there is a need for confronting the reality of difficult financial issues, and their effects on Kansas. Only when these issues are confronted can solutions be drawn upon in which to address the problems. By confronting these sometimes harsh issues, Kansas school district leaders can effectively guide their school districts towards resolutions that are both positive and possible for their students, staff, and communities in which they serve. By reviewing these facts in Kansas education, Kansas school district leaders can both identify with the need for change and cultivate the needed desire for change as well.

### Impacts Felt by Kansas’ Recent Funding Reductions

*“Injustice anywhere is a threat to justice everywhere.” Martin Luther King, Jr., 1964.*

*“The first responsibility of a leader is to define reality.” Max DePree, 1985.*

Multiple impacts were felt in Kansas as a result of school funding reductions. Some Kansas educational leaders felt that these funding reductions were injustices to Kansas’ responsibility to provide a world-class education to our population as evidenced in the needs assessment and the proof of concept stages by Superintendents (2013) and Reviewers (2013). A few school leaders chose not to accept this new reality for Kansas and joined the group, Schools for Fair Funding, in an effort to “right the wrong” by suing the Kansas legislature over funding rights (Robb, 2011). However, other Kansas educational leaders sought to evaluate their

finances completely, and if possible, maximize their funding in other areas (see “Kansas Success Stories” in Chapter 3 for more information).

Cuts to education changed the funding streams that affected Kansas school districts, the culture that existed in the school districts, the atmosphere of the community that supported the school districts, and the overall perspective of the students, staff, parents, and administration (Gannon vs. State of Kansas, 2012). In fall of 2009, Governor Parkinson apologized for the cuts that were hurting education: “I am genuinely sorry; there is no way to sugarcoat this; this will have negative effects across the state in a variety of ways” (personal communication, March 10, 2013). Jennifer Schlicht, a teacher in USD 204 Bonner School District, stated that this inability to gain state funds was evident in the morale of the staff during the *Kansas Education Policy Report* when she said: “We’ve had a lot of what they consider nonessential staff let go...custodians and secretaries, and all of the staff is on edge all the time, waiting for the other shoe to drop” (personal communication, March 7, 2013). Nancy Kirk, USD 501 Topeka school board member, also mentioned in the journal how the inability to raise funds in the local option budget has a huge effect on the district: “USD 501 has eliminated 100 teaching positions over the last two years, and this year we are closing three elementary schools...Meanwhile, 70 teachers are now working on one-year contracts” (personal communication, March 7, 2013). Not only had drastic economic cuts fallen hard on school districts during this time, but the cuts continued to happen as waves of economic shortfalls hit the state. Through a series of cuts from 2009-2011, many school districts in Kansas had lost 10-11% of their operating budgets from what they were receiving in FY 2008 (Gannon vs. State of Kansas, 2012).

An example of these cuts for school districts was seen in USD 257 school district where more than \$2.2 million, which was 11% of their operating budget, had been lost since FY 2008

(USD 257 Board Meeting Agenda, 2011). These same cuts of 11% were seen in nearly all districts in the state. Similar cuts were also seen in the large districts of Lawrence, Kansas City Turner, and Olathe; the medium-sized districts of Wakeeney, Bonner Springs, and Fort Scott; and, the small districts of Southern Cloud, Pretty Prairie, Frontenac, and Nemaha Valley (Kansas Department of Education, 2011).

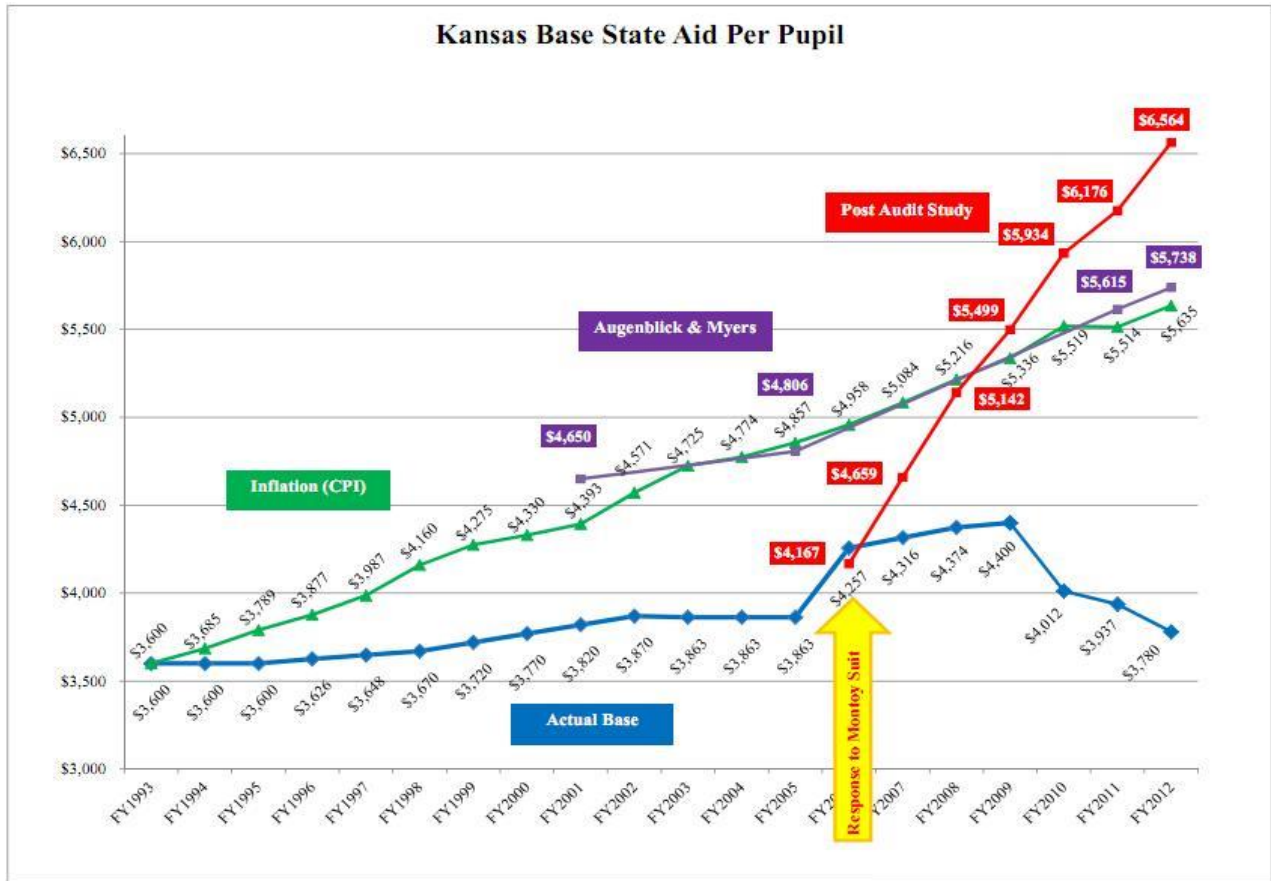
In addition to the proposed the educational cuts, the state of Kansas had been interested in restructuring and rewriting the school finance formula for schools in the state as well (Gannon vs. State of Kansas, 2012). Both of these concepts received criticism from a variety of sources (Hancock, 2011; Deines, 2011; Strand, 2011), and they led to a new series of lawsuits from Kansas school districts against the State of Kansas regarding the suitable educational funding (Petrella vs. Brownback, 2011; Gannon vs. State of Kansas, 2012).

During these lawsuits, the plaintiffs (a selected group of Kansas School districts called “Schools for Fair Funding”) filed suit against the State of Kansas challenging the fact that the state can lower the finance formula BSAPP at will. In their suits, the plaintiffs claimed that state leaders had unconstitutionally made cuts in funding for public education in contravention of Article 6 of the Kansas Constitution which states that “the legislature shall make suitable provision for finance of the educational interests of the state” (Kansas Constitution § Article 6, 2012). In addition, the plaintiffs claimed that certain components of the school finance formula were unconstitutional. In accordance with Kansas law, a three-judge panel had been appointed to preside over the trial in the Shawnee County District Court. For the defense, the State of Kansas contended that the school finance formula was constitutional and that adequate funding had been provided for Kansas’ public schools (Petrella vs. Brownback, 2011; Gannon vs. State of Kansas, 2012). Although this lower court sided with “Schools For Fair Funding” on January

11, 2013, the state quickly appealed the decision to the Kansas Supreme Court, and this higher court set a date for the first hearings on October 8, 2013 (Gannon vs. State of Kansas, 2013).

The decline in the state funding during this time period was summarized in Figure 2.1, and it also emphasized the trends in Kansas school finance during this time period in history. The material in this table showed the drop in the Kansas school finance BSAPP funding (Actual Base), as well as the rise in the Consumer Price Index (CPI) inflation rates during this time in Kansas' history. The figure also showed the results of two studies commissioned by the Kansas State Legislature (Augenblick & Myers, 2001; "Kansas Post Audit Study," 2006) in order to evaluate how much money is needed in Kansas to educate one child in Kansas. Both of the studies were commissioned by the Kansas State Legislature in an attempt to determine this number. It is important to note that the CPI rates, the Augenblick & Myers Study, and the Kansas Post Audit Study were all above the current Base State Aid Per Pupil that Kansas school districts receive for students (Robb, 2011).

**Figure 2.1 School Finance Funding in Kansas for the BSAPP**



(Robb, 2011, p. 4)

The drop in funding seen in Figure 1.1 indicated a need for change in Kansas, and a need to perceive school finance situations differently. These ideas came about through a change in thinking about the use of nontraditional funding options in school districts and a more proactive and entrepreneurial approach to school funding (Frye, 2012).

***The Effects on Academics: A Need for Change***

Collins (2001) urged organizations and schools to see that the first difficult step toward improvement was to “confront the brutal facts about themselves, their situation, and their organizations” (p. 65). Additionally, Schmoker (2006) remarked that “this encounter with the brutal facts is the surest, fastest path to creating the best schools we have ever had” (p. 4). Harsh

budget cuts had a particularly adverse effect on academics in Kansas school districts from 2008-2012 (Dennis, 2010). Following the effect of the ongoing budget cuts, superintendents, district leaders, and district boards often stopped focusing on being curriculum leaders and started to only focus on budget, finance, and surviving this storm of bad news after bad news (“DeBacker Concerned That Kansas Won’t Meet AYP,” 2011).

Joyce (1993) noted the important role that school leaders have in being involved in doing everything possible to protect student academics during difficult financial times. Joyce stated, “We must keep students’ learning central for two reasons: First, it is the purpose of education; second, it is technically necessary for school renewal” (p. 19). Joyce (1993) contended that this was the critical mission of a self-renewing school (internally proactive, adaptable, and healthy). However, because of necessity, school districts started looking for better and cheaper ways to do everything and anything (Biles, 2011). Frequently, the ways that saved the most money for a school district regarding finance were the worst choices for districts who were trying to achieve high academic achievement (“DeBacker Concerned That Kansas Won’t Meet AYP,” 2011). The executive director of Kansas Association of School Boards, Dr. Heim, stated:

It is important for school leaders, parents, patrons, and state officials to understand the impact of the downward spiral in education funding...there is no way to avoid the fact these cuts will damage the programs that have helped more students reach higher levels of achievement than ever before.” (Personal communication, May 23, 2011)

Kansas educators must stay focused on principles of right action and what is best for the students in the long run. Reeves (2002) emphasized the importance of staying close to core beliefs during uncertain economic times so that the focus can remain on the betterment of the students. He stated that this will have an effect not only on how one sees the world, but also on



the strategies that one can use in order to help students during difficult times. He pointed out important “Leadership Keys” to success in this arena: “Values endure, but procedures do not. Therefore, find your values, and decide what’s worth fighting for” (p. 175).

In January of 2006, the Kansas Legislative Division of the Post Audit found that funding for public education was “worth fighting for” for the state. During this time, the group was commissioned to conduct a study based on how much money was needed each year to educate a child in Kansas. After researching the topic, the team found “a strong association between the amounts that the districts spend on students and the outcomes they achieve” (p. 45). The team final report stated, “In the cost-function results, a 1% increase in district performance outcomes were strongly associated with a 0.83% increase in spending – almost a one-to-one relationship” (p. 45). The Kansas Legislative Division of the Post Audit final report continued by saying, “Districts that spent more had better student performance...we can be more than 99% confident there is a relationship between spending and outcomes” (Dennis, 2010, p. 45).

The data from the Kansas Legislative Division of the Post Audit (2006) showed there was a direct relation between the amount of money that school districts spent on instruction and the academic development of students. However, some districts still felt compelled to cut their funding of instruction and student instructional support staff in order to make payroll. As a result, the number of teachers and support staff (e.g., paraprofessionals and/or counselors) decreased in the state. These cuts in personnel significantly affected all Kansas school districts regardless of size or location. Examples of the cross-section of some of the Kansas districts and their cuts in school personnel during this time can be seen in Table 2.2. One can see that the decline in personnel affected larger districts (e.g., Lawrence; KC Turner; and Olathe), medium sized districts (e.g., Wakeeney; Bonner Springs; and Fort Scott), and smaller districts (e.g.,

Southern Cloud; Pretty Prairie; Frontenac; and Nemaha Valley) in different ways. However, these examples make it clear that Kansas school districts (regardless of size or location) were affected by these drops in funding through reductions in their school personnel. This can be seen in Table 2.2.

**Table 2.2 Drop in Expenditures for Instruction and Support Staff in Kansas Districts: Between FY 2009 to FY 2010 for 10 School Districts**

Kansas School District	Expenditures for Teachers	Expenditures for Support Staff
Large District: Lawrence	-4% Loss	-2% Loss
Large District: KC Turner	-3% Loss	-9% Loss
Large District: Olathe	-2% Loss	-8% Loss
Medium District: Wakeeney	-10% Loss	-27% Loss
Medium District: Bonner Spgs	-2% Loss	-12% Loss
Medium District: Fort Scott	-1% Loss	-5% Loss
Small District: Southern Cloud	-10% Loss	-17% Loss
Small District: Pretty Prairie	-7% Loss	-17% Loss
Small District: Frontenac	-4% Loss	-2% Loss
Small District: Nemaha Valley	-1% Loss	-16% Loss

(KSDE, 2011, p. 1).

In addition, continued cuts to educational funding created the need for districts to find ways in which schools in Kansas could take days off the school calendars in order to save money. In earlier years, Kansas school districts would pride themselves on the fact that they were so far above the needed 1116 hours of “contact time” required by for the Kansas Department of Education (KSDE, 2011). During better financial years, most Kansas school

district leaders also prided themselves on the fact that they were providing the best educational opportunities for their students by giving them the most instructional seat time that they could afford in the classroom (Bush, 2009). Some school districts (e.g., Emporia; Topeka; and Kansas City Kansas) even contemplated instituting a year-round schooling system in order to better meet the needs of students in their district (Cooper, 2003). Other districts were focused on purchasing the best curriculum for focusing on the weakest indicators of math and reading on the Kansas State Assessments, achieving Standard of Excellence and AYP (Annual Yearly Progress), and showing continuous improvement in all facets of their education programs (NCLB, 2002).

However, educational leaders across the state now saw the cuts in educational funding as counter productive interventions that had done much to erode this research-based knowledge about what was good for students and good for education (Biles, 2011). Although educators in Kansas knew the research, school districts in Kansas were cutting days to the very minimum because of necessity (Bush, 2009). This meant that most school districts were trying to cut enough days out of their calendar in order to be above the 1116 contact hours for the state, but not to be too far over this number (Bush, 2009). During this time, Kansas Association of School Board reported that the number of 4-day work weeks (where days could be removed from the calendar) in the state was increasing (personal communication, June 10, 2013). One school board member in Kansas stated this about the cuts in education and removal of education days:

Our school, USD 429, Troy, KS, started this school year by cutting nearly 15 days off the school year. Instead of starting around August 12<sup>th</sup>, classes started September 2<sup>nd</sup>. This eliminated the costs associated with air conditioning and buses for those days...but we lost the instructional time.” (Personal communication, October 15, 2011)

Wiseman (2010) discussed the need for changing the dysfunctional pattern of thinking by stating, “The time for changing our thinking and actions is now.” He mentioned that “the true foundational leader has to cut the ‘Gordian knot’ to free the school of its dysfunctional past” (p. 139). For Kansas educational finance, this “dysfunctional past” might be considered the Kansas State Legislature’s inability, lack of desire, or unwillingness to fund Kansas school districts properly in the past. However, this “dysfunctional past” can also be the school district leaders’ inability to see the world of finance differently.

### ***The Effects on the Kansas Economy: A Need for Change***

Along with cuts in the school calendar, Kansas district leaders were reducing many nonessential purchases. This had an adverse effect on the academic environment of the school. Not only were academic field trips, professional development time, educational supplies, and the academic curriculum limited or frozen in most school districts in Kansas, but schools which were not purchasing these items also have a profound effect on the economies that supported the schools (Biles, 2011).

An example was seen in the USD 257 Iola School District in Southeastern Kansas of these cuts. In this district, the school board lost over \$2.3 million dollars of funding between FY 2009 - FY 2012. Since nearly 70% of their budget was personnel, the district was forced to cut staff in order to save money. By measuring the difference in their expenditures, it was noted that the district cut over \$720,000 worth of salaries by firing and/or non-renewing many of their classified and certified staff members during this period. A breakdown of the total salary expenditures is listed below (USD 257, 2011).

**Table 2.3 Decrease in Expenditures for Salaries in USD 257 Iola: FY 2009-FY 2012**

Fiscal Year for USD 257 Iola Schools	Total Salary Expenditures of USD 257
FY 2009	\$9.05 million
FY 2010	\$8.73 million
FY 2011	\$8.35 million
FY 2012 (budgeted)	\$8.33 million

(USD 257, 2011, p. 2)

In addition, the school district conducted studies on the effect that these cuts had not only on the school, but also on the local community and local businesses since FY 2009. The results indicated there were significant drops in the school district’s expenditure reports regarding what the school district paid for local goods and services. These cuts affected the local economy through significant reductions in the ability to purchase various local goods and services (USD 257, 2011). See Table 2.4.

**Table 2.4 Decrease in USD 257 Expenditures to Local Businesses: FY 2009-FY 2012**

Local Company of USD 257	USD 257 Expenditure Data	Percentage of Expenditures
Diebolt Lumber	\$12,120 less in expenditures	25% drop
SS Automotive	\$702 less in expenditures	17% drop
Pizza Hut	\$1,412 less in expenditures	Nearly 50% drop
New Klein Lumber	\$5,534 less in expenditures	37% drop

(USD 257, 2011, p. 3)

Across the state, these cuts influenced hiring practices in Kansas school districts. Since funding was declining, school districts were not hiring as many new staff members to fill vacant positions (“Teacher Shortage Leads to Glut,” 2009). Many Kansas leaders predicted a

continuation of this decline in hiring practices. Kansas House Minority Leader Anthony Hensley and Kansas Senate Minority Leader Paul Davis discussed their worries about the future of educational jobs in Kansas: “The educational cuts will force school boards all across Kansas to close schools, lay off teachers, not hire new teachers, and increase class sizes” (personal communication, January 13, 2011,). Kansas House Republican Representative John Vratil and Lawrence Superintendent Rick Doll expressed their concerns regarding Kansas’ future workforce of teachers: “These cuts are going to translate into a lot of teachers losing their current and future jobs”, and “These cuts are deep, and they will result in fewer teachers needed and larger class sizes” (Personal communication, January 13, 2011).

In January 2011, KSDE executive director of finance, Dale Dennis, reported to the Kansas State Board of Education that the state’s school districts cut 2,101 licensed positions and eliminated 1,603 non-licensed positions from the last school year (Dennis, Jan. 2011). In response to these hiring cuts, the colleges and universities in Kansas did not have enough jobs available for the number of graduates wanting to enter the teaching profession (Dennis, 2011).

Many school districts decided to “internalize” the loss of retiring, leaving, or non-renewing staff members (“Teacher Shortage Leads to Glut,” 2009). Although “internalizing” the loss of staff members helped the school district with expenditures, it hurt the students and remaining staff through an increase in workload and larger class sizes (Dennis, 2011). This lack of available teaching positions also hurt college students who are presently looking for jobs. Furthermore, the few jobs that were available were intensely competitive for new teachers.

Many of the new graduates from colleges and universities were forced to make tough choices if they were unable to find a job in education within the state. These graduates could move out of the state; they could fill noncertified positions in public schools; they could stay in

school and get their advanced degrees (and hope that the situation improves in the next few years); or they could pursue other options. Many Kansas superintendents feared that the state lost some of the best educational leaders because of this downturn in educational finance (“Teacher Shortage Leads to Glut,” 2009).

This was a tragedy, and there was a need for a different way of thinking and acting. Slowly during this time, these events were building a case for the need for school leaders to learn more about entrepreneurial mindset in order to maximize nontraditional funding streams for Kansas school districts.

### **The Need to See the World Differently**

***“Only when you make the right changes to your thinking do other things begin to turn out right.” John Maxwell, 2008.***

***“In a new era, there must be new thinking.” Martin Luther King, Jr., 1962.***

The need for change must start in a school leader’s thoughts. Changing a person’s thinking is one of the strongest ways that current situations might improve. A person’s thought develops shape into a more constructive idea, and then guides a person’s thinking. In this way, thoughts have a direct reflection on feelings and actions. In short, thoughts control the direction of feelings and actions. Therefore, instead of being focused on the past happenings that influenced one’s behavior (educational funding cuts), Kansas educational leaders should focus on their present behaviors and change them for the better (Glasser, 2010).

In addition to Martin Luther King’s quotation (1962) at the beginning of the chapter, King also mentioned the following in 1963:

The forces that threaten to negate life must be challenged by courage... This requires the exercise of a creative will that enables us to hew out a stone of hope from a mountain of despair. (p. 310)

King's quotation identified with despair and hardship. However, he focused on hope as a way to change his thinking regarding the past circumstances.

Collins (2001) advised this regarding change, "Greatness can be achieved without increasing the numbers of hours that we work, but it must come with a restructuring of our priorities" (p. 104). Kansas educators need to see the world of nontraditional funding opportunities as a priority. The effect of constant budget cuts had many adverse reactions on school finances, the Kansas economy, jobs for Kansas teachers, the morale of the staff, the role of the community in schools, and (most importantly) the students.

Goleman (2004) advised that "developing a new leadership style often means fundamentally changing your thinking and how you operate with other people" (p. 226). Therefore, not only does thinking need to change, but school leaders may need to change priorities and operation systems as well.

Again, Collins (2001) indicated that leaders in difficult circumstances need to "demonstrate an unwavering resolve to do whatever must be done to produce the best long-term results, no matter how difficult" (p. 36). Although there may be a lot of work ahead, the case is established that there is a need for school districts to look into other funding options in order to either replace lost funding from the state or to expand new projects with additional funding. School leaders cannot go backward; they must go forward.

Cottrell (2005) stated this about school leaders and change: "Those who positively deal with the unexpected and look for solutions and not excuses are making a conscious choice to



avoid the victim mentality” (p. 7). Although Cottrell did not specifically deal with school finance situations, his thoughts on change indicated that a change of thinking may be needed in cases such as that of Kansas school leaders. This change of thinking could lead to the development of new initiatives that might lead to nontraditional funding stream acquisition in the future.

Thompson (2008) also stated the need to expand educational minds regarding traditional and nontraditional finance schemes.

The capitalist democracy is an odd creature, in that it is uncomfortable with the consequences of brute market forces, so that it becomes capitalism tempered by guilty efforts that resemble charity, justified by a logic of self-help in which democracy and the opportunity for socioeconomic mobility are equated. (p. 382)

This statement described the change of thinking that Kansas educators have regarding school finance. It is important to understand the help that nontraditional funding can give to the Kansas school district leaders, but also understand the complex history of school finance within the state and nation. Thompson (2008) continued: “A realistic view of the future requires us to concede that money dominates any decision process – in the case of schools, a process driven by money supply and public attitudes and preferences” (p. 283).

As past history of nontraditional funding has been reviewed, and the current situation regarding traditional funding streams is evaluated, it becomes obvious that Kansas school districts have opportunities for the very real acquisition of additional monies if they choose to apply themselves to this endeavor. School districts that pursued the acquisition of nontraditional funding were rewarded for their efforts, and they got chances to expand opportunities for the

students that would have been unavailable during downturns in the economic cycle of the state and nation (McInay, 1998).

Although some school district leaders may continue to be reactionary in nature, there is a proactive response to the poor educational finance perspective in the state and the nation. This response deals with Kansas educational leaders seeing the world in abundance instead of scarcity. It focuses on the fact that school districts and school district leaders have an opportunity to gain more money for their schools through progressive campaigns of educational nontraditional funding through an entrepreneurial mindset (Warner, 1994).

### ***The Superintendent's Role in the Process***

***“Everyone thinks of changing the world; no one thinks of changing himself.” Leo Tolstoy, 1895.***

***“When evil men plot, good men must plan. When evil men hurt others, good men must build and bind others.” Martin Luther King, Jr., 1965.***

Changes in thought must come about if school leaders want must to maximize their school districts' acquisition of possible nontraditional funding. Not only must they change how they see the world, but they must change themselves, their time, and their focus to some degree.

Burns (2006) offered this definition of true leadership:

Leadership is leaders inducing followers to act for certain goals that represent the values and the motivations – the wants and needs, the aspirations and expectations of both leaders and followers. And the genius of leadership lies in the manner in which leaders see and act on their own and their followers' values and motivations. (p. 56)

Although Kansas educational institutions have the need for change, and most school districts have a desire for change, they still need a leader to commit to this change (Superintendent W, Personal communication, Feb. 13, 2013).

Change is a scary concept. Having a new concept involved in the operations of a school system can mean a steep learning curve. However, the Kansas superintendents (2013) and reviewers (2013) who were studied stated that the changes to the educational funding streams in Kansas are even more frightening. Martin Luther King, Jr. mentioned this in 1963 regarding the thoughtfulness regarding change: “Rarely do we find men and women who willingly engage in hard, solid thinking. There is an almost universal quest for easy answers and half-baked solutions. Nothing pains some people more than having to think” (p. 73). King had mentioned in 1956 about the necessity of the leader to have strength and courage in the midst of adversity, “the people are looking to me for leadership – and if I stand before them without strength and courage, they too will falter” (p. 94). In 1864, Abraham Lincoln also discussed the importance of a leader to stand up, lead without fear, and embrace the opportunity that change provides, “it is important that the people know that I come among them without fear” (p. 48).

Peek (2010) mentioned in his research on school leadership and school district grant writing that “every school in the United States should be getting some form of nontraditional funding” (p. 19). Peek reviewed 248 school districts across the nation so as to evaluate their nontraditional processes, procedures, and acquisition of funding. He concluded that although nontraditional funding was available for every school district, most districts did not take full advantage of their opportunities in this area. Sixty-seven percent of the school districts surveyed (both large and small school districts) only received between 1-5 grants of varying sizes in their entire districts. Only 10% of the school districts mentioned that they received 25 or more grants

of varying sizes within a year (p. 19). Since almost half the districts in the United States contained four school buildings or less, there was an even larger disparity among school buildings between those that received and those that did not receive nontraditional funding. School districts that made up the 10% of districts that received over 25 grants a year were divided between schools that never received a nontraditional funding grant and the very few that receive a lot of funding. His conclusion was that the nontraditional acquisitions of funding for school districts were extremely underutilized (p. 20).

From this research about underutilization of nontraditional funding in typical school districts, it becomes clear that it is time for school district leaders to act. Not only do they need to lead their districts by trying to maximize their share of the nontraditional funding, but they must start seeing the world differently as well. They must start seeing the world through an entrepreneurial leadership mindset. This means seeing the world with possibilities instead of barriers.

### ***Seeing the World Differently: Entrepreneurial Leadership***

***“Leaders don’t force people to follow, they invite them on a journey.” Charles Lauer, 2010.***

***“Logic gets you from A to B, but imagination takes you everywhere.” Albert Einstein, 1947.***

***“Entrepreneurship is neither a science nor an art. It is a practice.” Peter Drucker, 1999.***

The essence of entrepreneurial leadership is the idea of taking a group of people on a journey, creating a new future, fostering imagination, and putting thoughts into practice. Entrepreneurial leadership, and much of the thinking behind the maximizing the acquisition of nontraditional funding for Kansas schools, changes how people see the world. It is not only necessary for the leaders to see the world differently, but it is also important for the followers to

have the ability to see the world differently. This is cultivated through a change of thinking in the leader and the change of thinking in the follower (Westhead, 2000).

Since information about the acquisition of nontraditional funding was not something prevalent for school leaders in Kansas at the current time, the researcher chose to focus on theories of leadership that could relate to these important concepts. In order to fill this void, entrepreneurial theories and practices that were rooted in research were needed to give ideas about these concepts. Therefore, entrepreneurial theories were reviewed in order to get a research-based concept regarding the starting of new school finance initiatives and the effect that good entrepreneurial leadership can have on their success and failure.

Hill's (2012) research on entrepreneurial leadership indicated that "Studies of creativity suggest that the biggest single variable of whether or not employees will be creative is whether they perceive they have permission" (p. 3). His work showed that the educational leaders who were seeking nontraditional funding must make an effort to see the world differently and must work at helping their followers see the world differently as well. This change in thinking, and the resulting actions, will not only effect the leaders' actions, but the followers in their organizations as well. Since entrepreneurial leadership is based on creativity, the perception of opportunities, and action, educational leaders must see the world differently in order to change their schools, districts, and communities (Westhead, 2000). When educational leaders see the world differently, their actions will change as a result (Glasser, 2010). When other educators in the organization see that the educational leaders see the world differently, the followers are free to see daily situations differently as well. As a result, the actions of the followers will change as well. In this way, freedom of thinking can allow more freedom of thinking (Westhead, 2000).

Breugst's (2010) "Perceptions of Entrepreneurial Passion and Employees' Commitment to Entrepreneurial Ventures" provided a good sense of the positive effect that the leaders can have on the followers. Breugst drew on the theories of emotional cognition and goal setting. She proposed two mechanisms in order to study how employees' perceptions of entrepreneurial passion in their leaders influenced their commitment to entrepreneurial ventures. As a result, she found that "after testing these mechanisms with data from surveys from 124 employees, we found that employees' perceptions of their supervisor's passion for inventing, founding, and developing differentially impact commitment and motivation" (p. 2). She also mentioned, "that while perceptions of entrepreneurs' passion for inventing and developing enhance commitment among his/her followers, not having the same passion reduces this commitment among the followers in an organization" (p. 2). In these results, the need for educational leaders to be positive change agents in the acquisition of nontraditional funding methods was emphasized.

McKelvie's (2011) work also showed important research information for entrepreneurial leaders. McKelvie studied the reasons behind the lack of entrepreneurial leadership of followers and leaders and found out that "the major reason for a lack of development is the impatience of leaders to prematurely address the question of 'how much?' before adequately providing answers to the question of 'how?'" (p. 2). He continued, "On the basis of extensive review, we suggest that the growth of [entrepreneurialism] can advance by changing focus to a growth mode" (p. 2). This research emphasized the need for effective guidance and training of educational leaders in order to develop successful implementation of change.

In 2011, Friedman built on the research about the necessity of entrepreneurial thinking and action by saying that "it is needed to revitalize and reverse the worrisome trends, harness all our grassroots energy, spur economic and educational growth, restore the morale, and assure

leadership into the next decade and beyond” (p. 3). He added that entrepreneurial thinking and action was vitally important because effective leaders need it “to adapt to the new world and the major new challenges it has thrown at us, to find a common ground between the political left and right, and to move to a higher ground” (p. 4). Friedman emphasized the need for effective leaders of the future to be guided by entrepreneurial thinking (2011).

Kansas educational leaders can benefit from entrepreneurial thinking in regards to the acquisition of nontraditional funding as evidenced by superintendents (2013) and reviewers (2013) in the earlier stages of the research. It is also clear that this thinking can contribute to positive and progressive actions that foster an entrepreneurial spirit in the schools and communities that school leaders serve. Not only can this change in mindset change the actions of the educational leaders, but if given permission, it can change the mindset and actions of others as well (Breugst, 2010). If given permission to foster and grow through entrepreneurial leadership practices, healthy cultures that maximize nontraditional funding can be established for the benefit of Kansas schools, students, staff, and communities as indicated by superintendents (2013) and reviewers (2013).

## Reflective Questions to Consider

*“Life consists of what a man is thinking about.” Ralph Waldo Emerson, 1856.*

1. How could Kansas school leaders make a more focused effort to maximize nontraditional funding in Kansas school districts?
2. What are the *real* factors that contribute to the possible lack of effort regarding maximizing the available nontraditional funding for schools in Kansas?
3. What are the *perceived* factors that contribute to the possible lack of effort regarding maximizing the available nontraditional funding for schools in Kansas?
4. In what ways can Kansas leaders change in order to be more opportunistic regarding funding education?
5. What benefits might accrue if a few willing educational leaders in Kansas aspired to be more entrepreneurial in their thinking, actions, and decisions in regards to nontraditional funding streams?



## Further Recommended Reading

*“If you are really thankful, what do you do? You share.” W. Clement Stone, 1994.*

Augenblick, J. & Myers, J. (2001). *Calculation of the cost of suitable education in Kansas in 2000-2001*. Retrieved from <http://www.kspace.org/items-by-author?author=>

Augenblick+%26+Myers

Breugst, N. (2011, Oct. 21). Perceptions of entrepreneurial passion and employees' commitment to entrepreneurial ventures. *Entrepreneurship Theory and Practice*, 34, 261-288. doi:10.1111/j.1540-6520.2010.00375.

Friedman, T. (2011). *That used to be us: How America fell behind in the world it invented and how we can come back*. New York, NY: Farrar, Strauss & Giroux. Retrieved from: <http://www.thomasfriedman.com/bookshelf/that-used-to-be-us>

Fullan. (2010). *Motion leadership: The skinny on becoming change savvy*. Thousand Oaks, CA: Corwin Press.

*Gannon vs. State of Kansas*. (2012). In the District Court of Shawnee County, Kansas, Case No. 10-C-1569.

Gemberling, K. (2000). *The key work of school boards*. Alexandria, VA: National School Boards Association Press.

Goleman, D. (2004). *Primal leadership*. Boston, MA: Harvard Business School Press.

Hall, G. & Hord, S. (2001). *Implementing change: patterns, principles, and potholes*. Boston, MA: Allyn and Bacon.

## Chapter 3 - Evaluating Nontraditional Funding for Kansas School

### Districts

*“You have to think anyway, so why not think big?” Donald Trump, 2012*

*“The end goal is the creation of a beloved community for everyone.” Martin Luther King Jr., 1956.*

The “big thinking” concepts of acquiring more nontraditional funding needs to be linked to the overall goal of the creation of a better community for the students, staff, parents, and communities of the state. Not only do Kansas educational leaders need to know about the success stories involving other school districts who have worked at maximizing their nontraditional funding streams, but they need to know about the research behind effective nontraditional acquisition of funds. Myths regarding this type of funding can be dispelled, and a positive culture for nontraditional funding can be fostered within the school district.

In 1860, Abraham Lincoln commented about dispelling myths and focusing on the big-picture thinking by saying, “Let us have faith that right makes might; and in that faith, let us to the end, dare to do our duty as we understand it” (p. 65). In this statement, Lincoln confirmed the need for vision and direction when setting out on a particular course of action. However, he also focused on the need to follow timeless principles of right action that are based on the mutual understanding.

In addition to Lincoln’s quotation, Hill’s (1928) classic handbook on entrepreneurial leadership confirmed the importance of big-picture thinking and dispelling myths before setting out in a particular direction. He warned, “Great achievement is usually born of great sacrifice,

and is never the result of selfishness” (p. 54). In addition, he commented that big vision and large successes are only situations of the mind, “if you cannot do great things, do small things in a great way” (p. 68). Hill (1928) focused on the importance of seeing the world through possibilities and taking advantage of situations for the betterment of society as a whole.

“Big-picture thinking” and seeing possibilities for growth were important aspects necessary in order to conduct a study of nontraditional funding acquisition. From this situation, dispelling three of the most common myths regarding the acquisition of nontraditional funding in school districts was an important first task. These myths were thoroughly reviewed and studied through the criterion sampling process (Creswell, 2007) involving the evaluation of 30 traditional trade-level books regarding the acquisition of nontraditional funding. A complete list of these resources and the specific methodology of data collection can be found at the back of the handbook (Appendix A).

These three most common myths regarding school district acquisition of nontraditional funding will be discussed in this chapter. Information will be shared regarding successful implementation of nontraditional funding methods in Kansas, and research regarding the best maximization strategies for acquiring these funds will be provided. Dispelling these myths and establishing proactive strategies will go a long way in cultivating the right environment for maximizing nontraditional funding in Kansas schools (Peek, 2010).

## *Disproving Myths regarding Nontraditional Funding in Education*

*“In order to succeed, your desire for success should be greater than your fear of failure.” Bill Cosby, 2011.*

*“Nothing limits achievement like small thinking; nothing expands possibilities like unleashed thinking.” William Arthur Ward, 1962.*

### *Myth#1: “The Mathew Effect”*

“The Mathew Effect” was an incorrect idea that has held many educational leaders back from diving head-long into nontraditional funding acquisition for their schools (Peek, 2010). It was the false belief that only certain organizations, that were considered “elite” or “prestigious”, could receive nontraditional funding (Gillett, 1991; Henson, 2003; Laudel, 2003; Nunz, 2011).

Laudel’s (2003) research revealed the importance of “throwing out the old assumptions” that acquiring additional resources through nontraditional methods was only for the “elite” or the “prestigious.” He stated, “What was once termed ‘the Matthew Effect,’ a belief that nontraditional acquisition of funds for educators was based on rewarding the already richly funded educational institutions and hindering entry or continuous funding for others, was proven to be quite false” (p. 42).

Although Gillett (1991) conducted research on “the possibility of having a positive feedback loop in which those who received nontraditional funding in the past were more likely to be awarded them in the future” (p. 43), his work showed no definite conclusions from the research data. Additionally, Laudel (2003) cross-examined both “wealthy” educational institutions and “poor” institutions, as well as both “prestigious” and “common” educational grant seekers. From his research, he found that “the data revealed no clear pattern” (p. 382). He stated that “necessary conditions” to maximize non-traditional funding in schools has to do with

“a very complex set of cognitive, social, and institutional conditions whose overlap shapes an individual’s funding situation” (p. 383). In addition, Laudel (2003) stated:

These conditions determine the opportunities for an educator [or educational institution] to actually acquire external funding, the amount of work and resources that must be invested in the creation of a funding proposal, and the likelihood that the proposal or request will be funded. (p. 383)

Hensen (2003) also reviewed the possibility of components within the Mathew’s Effect and found them to be false as well. In his review, he learned that although enormous amounts of money were given to the same schools year after year, it was not because the schools were originally wealthy or prestigious before they acquired the nontraditional funding. He mentioned that the grant agencies were impressed by certain individuals and schools who proved themselves to be good stewards of the money. He further discovered that schools and people who were unknown to the general public were getting hundreds of millions of dollars worth of nontraditional funding because they have established reputations for delivering quality service and managing their budgets wisely. His review proved that through this process, certain schools can gain money, and that they can become well known for following through with selected projects (Hensen, 2003).

All of the above information from the research and reviews revealed important conditions about the very real opportunity for schools to maximize their nontraditional acquisition of funds. A much more detailed description of Laudel’s (2003) models will be shared in an upcoming chapter. However, the research and reviews demonstrated that this opportunity was available for many, not just the wealthy and prestigious schools.

***Myth #2: There is No Money Available for School Districts***

During downturns in the economy, the false belief that there was no additional money available for schools has often surfaced when educational leaders contemplate the use and possible maximization of nontraditional funding. This was a false assumption as well. Frye (2012), Hensen (2003), Nunz (2011), Peek (2010), and Weisman (2000) showed that there has always been available money for school districts through nontraditional funding.

Hensen (2003) confirmed the existence of large sums of money that go untapped for school districts each year. In his review, he found out that although money was becoming tighter for some grant funders, there were still hundreds of millions of dollars waiting to be given to schools and educators. Furthermore, those who were entrusted with dispersing this money were just as eager to give it away as schools were eager to accept it.

Barbato (2000) also confirmed the existence a large amount of money readily available for educators. He confirmed that over \$150 billion worth of nontraditional monies that were available to educational institutions each year. In addition, his work confirmed that much of this money continued to go unclaimed.

***Myth #3: Acquiring Educational Nontraditional Funding is too Difficult***

Often times in history, there was a false belief that acquiring nontraditional funding was too difficult for most educational institutions. This was an extremely false statement. Money was available, and it will continue to be available for those who choose to maximize their nontraditional funding options in their school districts, as evidenced by Frye (2012), Hall (2003), Hensen (2003), Miner (2003), Weisman (2000), and Worth (2003).

Frye (2012) confirmed that nontraditional funding was not too difficult for educators to obtain. His review mentioned that although the educational leaders should be involved in the

acquisition of nontraditional funding on a regular basis, the teachers should be involved as well. Although nontraditional fund acquisition was attainable for educators, there were still problems with the process. He mentioned that the major difficulty lay in the fact that the current structure of staff duties in most school districts did not provide free time for staff to write grants or secure donation funding. However, he mentioned that if it were possible to restructure time for this purpose among the staff, and provide needed training for the staff, much acquisition of funding could be attained for the school district.

Peek's (2010) research also specifically mentioned that grant money was available for every school district that chose to use nontraditional funding schemes. His research also confirmed that this process is not too difficult for educators. Peek stated, "A large amount of grant money is consistently available to schools every year, and every school is eligible for at least some of it" (p. 18). He continued, "However, educators must aggressively go after grant money when they are less eligible than other schools" (p. 18). Peek's research showed consistently that educators who remained dedicated to finding grant money for their schools found the funds. Peek stated that educators need to "find the problem areas in their school, find the grants that match those problems, and complete as many grant applications as possible" (p. 20).

Every school district can enact favorable stances regarding the acquisition of nontraditional funding so that as many educators as possible can be involved in this nontraditional funding process. When this happened, the myths of nontraditional funding were dispelled, positive and progressive action developed, and a general maximization of nontraditional funding began to happen.

## Kansas Success Stories: Nontraditional Educational Funding

*“Originality is the art of concealing your source” Thomas Edison, 1924.*

*“There is an agonizing loneliness that characterizes the life of the pioneer.” Martin Luther King, Jr., 1966.*

Although nontraditional funding in education can foster creativity and originality, the original visions of the school district can be linked to some other source of enlightenment. The process of maximizing nontraditional funds does not happen in a vacuum, but is influenced by pioneers who preceded the original quest of funds. This is said not to downplay the accomplishments of the Kansas school districts that were tremendously progressive in their thinking and actions when acquiring this money, but to encourage future endeavors. Educational leaders in Kansas owe a debt of gratitude to the educational leaders who preceded them. These school leaders can learn, grow, and evaluate their methods and processes before attempting their own directions in a particular endeavor.

The following stories are examples of progressive nontraditional funding for school district in Kansas. Although the listing of the stories is not meant to be comprehensive, and the nontraditional funding examples are of differing sizes, the underlining message of the acquisition of the funding remains the same. The districts’ success stories are built out of the framework for an overall vision of needs in particular areas within school districts. These stories shed light on the often unknown skills needed to effectively maximize nontraditional funding for school districts in Kansas. They also show how this practice is open for all school districts, and how a culture of nontraditional funding might possibly be continued through entrepreneurial leadership of any Kansas school district.



### ***Examples of Schools Maximizing Nontraditional Funding in Kansas***

Many examples of specific nontraditional funding programs in non-wealthy Kansas school districts have proven that the long-held “Matthew Principle” (Gillett, 1991) for additional external funding was incorrect. These examples have also demonstrated that there was much nontraditional funding available to schools, and that the process was not too difficult. These examples illustrate how the myths of nontraditional funding for schools can be dispelled, and how school districts can take advantage of this process for the benefit of their schools and communities in Kansas. Although these examples are only a very small sample of the nontraditional funding that has been acquired in schools during the years of 2008-2012, they represent possible scenarios that can be studied. Since some nontraditional funding is active in every school district in Kansas, it was important to glean important information from the scenarios regarding a general maximization of nontraditional funding and can allow Kansas educational leaders the ability to learn more about the maximization of nontraditional funding for Kansas school districts.

#### ***Kansas Example #1: Maximizing Large Federal Grants in Schools***

The USD 275 Newton School District (a 5A school district) provided a unique example for the maximization of nontraditional funding when the district started acquiring monies in a variety of places for their charter school focus in one of their elementary schools (2010). This process came about because of the recent cuts within the district as a whole, and the desire for the school district to find a unique aspect of their school district to focus on for a possible project. Since the school district had a rural school in one of the neighboring communities (Walton, Kansas) that was in need of drastic changes because of severe declining enrollment and shrinking budgets, changes needed to be made (Plumlee, 2010). As a result, the district decided

to embrace Schumpeter's (2010) entrepreneurial leadership concepts of innovation, creativity, and foresight by introducing a new product and a new production method into the mechanics of the school. The school district chose to brainstorm ideas that might be able to boost test scores, lift enrollment, and represent the community of Walton, Kansas better. From this collective brainstorming, the district decided to apply for a charter school grant of \$150,000 over three years in order to allow them to be the first school in the nation to completely incorporate agriculture into all of its classrooms. By identifying the current budget situation, looking at the needs of the district, and putting this plan into a collective vision for the future, the school's program not only became a source of hope for other schools who were experiencing financial woes, but the project-based experience with an agriculture focus seemed like the perfect fit for the school, the students, and the staff. Newton School District Superintendent John Morton (2013) stated, "Although we had no extra money from the state, we were looking for something that our families could identify with and give our kids a great experience" (Personal communications, March 13, 2013). When the grant funding during the 3-year cycle ran out, the district continued the process of providing agriculture in the classrooms through local donations and fundraising by working with farm families in the area and having local families adopt a certain classroom. As a result of the nontraditional funding acquisition, the school district continued to have this innovative program, enrollment in the school drastically increased, and the district only had to pay for the normal operating expenses of the school. As time past, the district continued to see a steady growth of student enrollment from both new and returning students to this innovative school. As a result of the successful model in Walton, Kansas, hundreds of other schools toured the elementary school campus in order to learn about the entrepreneurial concept and to see the agricultural charter school in action (Plumlee, 2010).

### ***Kansas Example #2: Maximizing Nontraditional Donations for Kansas Schools***

One of the schools that toured the elementary school in Walton, Kansas during this time was from Oswego, Kansas (a 2A school district). When the Oswego School District USD 504 educational leaders and staff toured Walton Elementary School in 2009, they liked what they saw regarding the maximization of nontraditional funding and entrepreneurial leadership. Since they also had a rural school of declining enrollment that fell to 42 students in 2009, they were interested in components that made Walton Elementary School successful. As a result, they became the second elementary school in the nation to completely incorporate agriculture into its classrooms as well (Plumlee, 2010). Although Oswego Elementary School did not secure any large federal grants for a charter school, they incorporated a large sum of nontraditional donations to begin work on their agricultural elementary school as well. These nontraditional donations from the community amounted to money, land, wood, animals, animal shelters, animal feed, fencing, tools, tractors, and other machines. In addition to these funds, they secured grant money to purchase a small wind turbine for additional agricultural science projects, and grant money from the Kansas Department of Wildlife and Parks for some of their garden funding. As a result, the school became a 10-acre campus utilizing seven large gardens, four steers, a miniature horse, chickens, rabbits, sheep, and goats. Not only did the staff get a chance to educate the students through the use of agriculture, but the students learned through hands-on “project based learning” opportunities that incorporated the best of educational learning environments. Since it is an agriculture-based school and there were plenty of chores each day, all of the students had chores that they had to accomplish every day. Principal Mikel Ward (2013) stated, “We are not trying to make kids farmers, but we are using agriculture as a tool to motivate and teach students”. The principal continued, “Students can’t always relate numbers to

something until they can tie it to something like the animals we raise or the food we grow in the garden” (Personal communication, March 13, 2013).

As a result of seeing the world through the lenses of entrepreneurial leadership and maximizing nontraditional funding for the benefit of students and schools, Oswego Elementary School has continued to report success stories. Not only has the school increased in enrollment from 42 students to more than 70 students, but school officials have also noted that parent involvement at the school has increased as well. The Principal Ward (2013) mentioned, “Before choosing this direction and getting the funding, we used to have to beg parents to come to school, but now when we have a program, everyone shows up because of the innovative things that we are doing to help students” (Personal communication, March 13, 2013). For Oswego Elementary School, nontraditional funding acquisition allowed them to accomplish their goals and provide this innovative program for their students, staff, and community when state funding for this program was non-existent in this area (Plumlee, 2010).

### ***Kansas Example #3: Maximizing Staff Grant Writing for Schools***

Specific nontraditional funding programs of focused concentration were also seen in the USD 224 Clifton-Clyde School District (a typical 1A school district) when they acquired over \$500,000 in two years with their teacher grant-writing campaign and their focus on green energy (Strand, 2010). As a proactive stance against the negative effect of the state budget cuts that started in 2008, the USD 224 Clifton-Clyde School Board decided to embark on a campaign to acquire as much nontraditional funding as possible for their school district. Since one of the school board members at USD 224 was a professional grant writer, she effectively guided other educational leaders through tenets regarding the acquisition of nontraditional funding for schools and a vision of entrepreneurial leadership. With the school board, the district created a proactive

plan to maximize as much nontraditional funding in the district by using the principles of entrepreneurial leadership described by Breugst (2011). In doing so, they updated their board goals to reflect their nontraditional funding emphasis by stating in their yearly goals a desire to “access nontraditional funding” whenever possible (USD 224, p. 1). The school board and the superintendent also set a goal of acquiring at least \$100,000 of new nontraditional funds during the 2009-2010 school year. In addition, the board, the superintendent, and the administration required that every teacher in the school district be trained in the craft of grant writing, and that every teacher and administrator in the district apply for at least one grant or donation from an outside source. It was made clear that although the teachers and administrators had to apply for the nontraditional funding, it was not a requirement that they earn nontraditional funding. From these goals, the superintendent, the administrators, and the school board charted a course to create the first staff grant writing campaign in the history of Kansas’ educational institutions (USD 224, p. 1).

The USD 224 staff grant writing campaign was a simple concept, but it created a process that would be replicated by others in the state as well. As the success of the Clifton-Clyde model continued, the district leaders were asked to present for the Annual United School Administrators (USA) Meeting in 2010, the Kansas Association of School Boards (KASB) Meeting in 2011, and the Kansas Department of Education’s (KSDE) Annual Meeting in 2012. Their presentation and results revealed nontraditional funding ideas that had long been evident in Kansas education circles regarding finances. It also demonstrated that school districts did have the capacity to maximize their nontraditional acquisition and benefit their schools, their students, and their communities (Peek, 2010).

The basic tenets of the USD 224 Staff Grant Writing campaign were fairly simple, and consisted of 3 basic areas. These areas were drawn from traditional theories regarding entrepreneurial leadership and the effective research regarding acquisition of nontraditional funding for educators at the time (Bagheri, 2009; Breugst, 2011; Laudel, 2006; McClelland, 2011; Schumpeter, 2011). These basic statements mentioned that school leaders who desire to maximize their nontraditional funding should:

- Maximize their school endowment association capabilities
- Link with education-friendly corporate and foundational givers
- Start a staff grant writing campaign with teachers/staff. (KASB, 2011)

From these three basic statements regarding maximizing nontraditional funding, starting the staff grant writing seemed like the most complicated at the time. Therefore, with the help of the professional grant writer who was also the school board member, the district became much more specific with this area. Starting an effective staff grant writing campaign consisted of 6 steps that were easily manageable in a Kansas school district. These steps focused on these items:

- Develop a vision of the future.
- Train the staff.
- Give the staff time.
- Provided Encouragement.
- Teach the public about the process.
- Evaluate success and refine the process. (Pekarek, 2010, p. 1)

However, Clifton-Clyde was not the only district that had success with this system. Additional and specific nontraditional funding programs were also seen in the acquisition of

small educational grants from USD 257 Iola School District and USD 101 Erie School District where they started campaigns to encourage and train the staff to write user-friendly educational grants as well (Sneve, 2011).

These school districts and school district leaders sought new nontraditional funding streams to either replace lost budgetary funds or create other education-worthy projects that could never have been accomplished during these difficult economic years (Sneve, 2011). Although this was a worthy goal, the process was generally a decentralized venture across the state where each school and each school district tried different strategies in order to be successful in raising more money for projects at school (“Districts Using Only Small Portion of Carryover Fund Balances,” 2011).

#### ***Kansas Example #4: Maximizing State-Wide Grants for Schools***

The use of state-wide grants could be seen in many school districts across the state between 2008-2012. There were many grants that were distributed yearly from the Kansas State Department of Education (KSDE) that were non-competitive in nature (4-year-old at-risk grants, vocational education grant funding, etc). These non-competitive grants simply gave money to school districts that had a certain population or certain condition. These grants only required that the district officials completed the necessary paperwork, followed the protocol, and monitored how the funds are spent.

However, the researcher did not spend much time on these types of grants since they were non-competitive in nature. As a whole, the researcher did not consider these non-competitive, yearly state grants to be “new money” for districts because this was money that certain districts received from the state every year. In addition, for many of these non-competitive state grants, there was nothing that a district could do differently and exercise

entrepreneurial leadership to attain them. In this way, many of the grants came every year to certain districts, and the money became a part of the overall budget of the school district after years of having this money. Therefore, these state-wide non-competitive grants were not considered new nontraditional funding for the purpose of this research handbook.

However, in the event that there were non-competitive grants which were new to the district, and the school administrator found the funding through the use of entrepreneurial means by trying to maximize his funding streams, the researcher's view changed. When this type of new grant happened with an entrepreneurial school district leader, this action would be considered maximizing the educational leader's nontraditional funding.

A good example of a state-wide grant that was non-competitive in nature, yet still was considered "new money" for a Kansas school district could be seen in USD 258 Humboldt School District's (a typical 3A school district) acquisition of the Westar Energy's Diesel Bus Retrofit Grant through the Kansas Department of Conservation and Environmental Education (KACEE). In this grant, the school district acquired \$35,000 for the retrofitting of all of their diesel school buses. Although the grant was non-competitive in nature, the grant was still an example of nontraditional funding acquisition because this was new money to the district. Furthermore, without the existence of this new money through this state-wide grant, the district would not have retrofitted their buses. Although this money did not help the district by allowing the buses to get better gas mileage, the grant did provide a better quality of life through less exhaust for the students, staff, and community in Humboldt. Therefore, this type of state-wide grant funding was a good example of nontraditional funding providing a benefit for a school district that chose to be entrepreneurial in its search for additional funding streams.



### ***Kansas Example #5: Maximizing School Endowment Associations***

During 2008-2012, some school districts in Kansas (USD 435 Abilene; USD 368 Paola; USD 273 Beloit; USD 405 Lyons; USD 416 Louisburg; USD 257 Iola; USD 380 Vermillion; USD 343 Perry-Lecompton) became very focused on acquiring more money through the use of increasing and maximizing their endowment association fundraising efforts. Many of these districts researched the best methods for acquiring endowment monies, and they planned on using this new money in order to offset some of the state losses in funding for auxiliary and additional educational projects. In these school districts, the district leaders benefited from existing progressive plans for their endowment association, but also from educational research guides that focused on this nontraditional funding methods (e.g., Weisman, 2000; Worth, 2003; and Stallings, 1999).

As a whole, much can be learned regarding these Kansas school district endowment associations, their development, and their specific acquisition of nontraditional funding. These are some of the most common traits that were seen in the 8 school districts listed above after a review of their public documents through a convenience sampling method (Creswell, 2007):

- All 8 of the Endowment Associations made sure that their endowment association's website would appear on as many search engines as possible. These ranked as the top 8 school district endowment association websites in Kansas from 4 different internet search engines.
- All 8 of these school district endowment associations had progressive and proactive websites guiding the potential donors to projects that may have interest for a possible donor.

- More than half of the school endowment associations also were mentioned as “Alumni Associations”, thus linking to more possible donors.
- All 8 of the organizations had websites with easy-to-use links to how a prospective donor might give, information about scholarship giving, information regarding grant donations, and contact information.
- More than half of the organizations mentioned the individual names of givers to scholarships, grants, projects, etc. on their websites.
- Half of the organizations had on-line direct payment systems for easy and quick donation systems.

***Kansas Example #6: Maximizing Support of Education-Friendly Corporations***

Other school districts in Kansas during this time (e.g., USD 259 Wichita School District; USD 357 Belle Plaine; USD 475 Coffeyville) became very interested in identifying education-friendly corporations in Kansas that might provide donations to the school districts. In these cases, the school districts benefited from existing trade guides regarding nontraditional funding (e.g., Grantsmanship Center, 2011; Barbato, 2000; and Berry, 2010).

The Wichita School District, being the largest school district in the largest city within Kansas (a 6A school district), became very eager to use their ties with education-friendly corporations and foundations within Kansas. Although they focused on pursuing the corporations and foundations that were most closely identified with the Wichita community, they also wanted to maximize their effect on the giving of the 743 foundations in Kansas. Although they had reduced their grant writing team because of recent budget cuts in the state, they used the existing members of their team to maximize their connections to large philanthropic foundational and corporate givers in attempts to create new revenue streams for the district.

During this time, the Coffeyville School District (a 4A school district) maximized its nontraditional funding with Corporations to the donation of land from a large corporation in the community. Since the school district was in desperate need of a new elementary school, the school district decided to cultivate their links to the corporate sector by working with a specific company that owned land on a particular site regarding their need. As a result of their direct actions with corporate funders, the school district received a large donation of land that was estimated over \$3 million in which to building their new elementary school. In this way, the school did not have to put the cost of buying the land for the school building within their bond project. In addition, since the land was a free gift, and because the land had already been selected as a result of the generous donation, the bond project went over very smoothly with the public. Not only did the project have a solidifying effect on the community, but it strengthened the bond between the corporate world and the school district.

***Kansas Example #7: Grant Writing Educational Leaders in Kansas***

Probably every Kansas superintendent has been involved in some sort of nontraditional funding for his or her school district. In addition, most Kansas leaders are very willing to share their experiences with other educational leaders in the state as well.

However, in 2012, the Kansas School Superintendent Association (KSSA) published *A Resource Guide to Superintendent Experience* that focused a portion of the handbook on educational leadership through grant writing. The purpose of the handbook was to allow Kansas superintendents the opportunity to use the handbook in the event that they had questions regarding certain aspects of their positions. The superintendents who allowed their names to be included in the handbook did so voluntarily based on superintendent experience surveys. These surveys allowed the superintendents to choose the specific areas that they felt had specific

expertise, and could therefore advise other superintendents. From the information gathered, the publication mentioned these individuals who not only had success with educational grant writing, but they could assist and advise other Kansas educational leaders in grant writing as well. They were:

- Superintendent Mark Bejot, Trego County USD 208.
- Superintendent Lee Cox, Anthony Harper USD 361.
- Superintendent Nancy Crowell, Elkhart USD 218.
- Superintendent Fred Dierksen, Sterling USD 376.
- Superintendent Ardith Dunn, Satanta USD 507.
- Superintendent Scott Myers, Jefferson West USD 340.
- Superintendent Bill Steiner, Oakley USD 274.
- Superintendent Jeff Travis, Waconda USD 272.
- Superintendent Bill Wilson, Scott County USD 466. (KSSA, 2012, p. 24)

These Kansas educational leaders not only mentioned that they had experienced success in the acquisition of nontraditional funding within their schools, but they were also readily available to help other Kansas educational leaders who were interested in doing the same. Therefore, these educational leaders not only showed an altruistic nature by being willing to share the information that helped them receive nontraditional funding, but they displayed the entrepreneurial leadership spirit that is needed to maximize nontraditional funding (Schumpeter, 2011).

These Kansas educational leaders' practices related well to McClelland's (2011) research on effective entrepreneurial leadership in very practical ways. McClelland stated that the best entrepreneurial leaders are those who focused on doing things in a new and better way, those

who made educated and informed decisions under uncertainty, and those who were not influenced by more pay or external incentives. McClelland also indicated that these educational leaders shared their knowledge with others because they considered profit to be a measure of success and competency. Their collective openness to new ideas allowed them to be open to sharing their success stories so as to help others as well.

### **Opportunities with Nontraditional Funding in Kansas**

*“Ideas have a short shelf life. You must act on them before the expiration date.” John Maxwell, 2012.*

*“When men and women straighten their backs up, they are going somewhere, because a man can’t ride your back unless it’s bent.” Martin Luther King, Jr., 1967.*

Maxwell’s and King’s quotations relate to the maximization of nontraditional funding in many ways. It is not enough for Kansas educational leaders to just know about the research behind the acquisition of nontraditional funding. It is also extremely important for Kansas educational leaders to know that it takes entrepreneurial leadership to make wise decisions about the direction of funding acquisition for Kansas schools. Only then can full maximization of nontraditional funding occur (Barbato, 2000).

In 1949, Martin Luther King, Jr. mentioned this process of learning new facts, the dilemma involving entrepreneurial leadership, and the importance of making wise decisions. He stated:

Human progress is neither automatic nor inevitable. Every step toward the goal of justice requires sacrifice and struggle; the tireless exertions and passionate concern of dedicated individuals. Without persistent effort, time itself becomes an

ally of the insurgent and primitive forces of irrational emotionalism and social destruction. This is no time for apathy of complacency. This is a time for vigorous and positive action. (p. 29)

This thinking of human progress and effort follow throughout the resources regarding nontraditional funding. The ideas of persistence and opportunity, the essence of entrepreneurial leadership, were repeated again and again in the works of Barbato (2000); Karsh (2006); Peak (2010); and Weisman (2000).

Kansas school leaders have a huge opportunity to acquire additional funds for schools. The philanthropic picture is very open to opportunity and entrepreneurial leadership. Consider these facts regarding Kansas' nontraditional funding possibilities:

- Kansas has 743 philanthropic foundations that have total assets worth more than \$2.2 billion.
- Kansas' total foundational philanthropic giving is greater than \$174 million annually.
- Kansas has more available philanthropic assets than is typical in a state of our size and population.
- From the top 5 Kansas philanthropic foundations, all five organizations have strong links with education-friendly philanthropic giving in the state. (The Foundation Center, 2008)

Kansas educational leaders have an opportunity to take advantage of the wonderful giving strength within the state of Kansas. Not only is the giving large in context to other states our size, but a majority of both the large and small giving is education-friendly. Kansas school leaders cannot afford to disregard these important facts.

Various resources for non-traditional funding have been available to educational leaders throughout Kansas and the country. However, before this handbook was created, there was no comprehensive guide that was focused on entrepreneurial strategies specifically related to Kansas school districts and Kansas school leaders.

## **Overcoming Resistance to Change in Education**

*“It is the dull man who is always sure, and the sure man who is always dull.” H. L.*

*Mencken, 1935.*

*“A new idea is delicate. It can be killed by a sneer or a yawn; it can be stabbed to death by a quip and worried to death by a frown on the right man’s brown.” Charlie Brower, 1965.*

*“I have not lost a particle of confidence in you” Abraham Lincoln, 1863.*

Buckingham (2001) outlined effective guidance and training for sustainable change for individuals learning a new skill. His review showed important elements of success that must be addressed for long term change to result. These steps are critically important the process of teaching the skills of nontraditional funding acquisition to school staff members. He suggested that both leaders and followers need to know these important components before significant change can happen:

- What is expected of them?
- What materials and equipment are needed?
- What ability do they have to use their strengths?
- What recognition or praise will the training bring?
- Does my supervisor seem to care about my efforts?

- Does someone encourage my development at work? (p. 34)

Wagner, Kegan, and Laskow (2006) also recommended effective guidance and training for transformational and entrepreneurial leadership. These researchers mentioned that successful transformational improvement processes in schools and districts required sharpening capacities in two quite different directions at the same time:

- Leaders needed to see more deeply into why it is so hard for our organizations to change.
- Leaders needed to see more deeply into why it is so hard for individuals to change. (p. xvi)

Schwahn (2000) stated that educational leaders and community members who wanted to start new initiatives (such as acquiring new streams of nontraditional funding) must overcome “educentrim” which existed in the culture of the state public school. Schwahn defined this obstacle in this book as “embedded in the laws and regulations that define education; institutionalized in the structures, cultures, and practices of public education; and ingrained in the minds of all who have spent their youth (and adulthood) in schools” (p. 14). He continued by mentioning that “despite this paradigm inertia, we believe that the change forces surrounding education are compelling its local and state leaders to examine and alter the most basic features and assumptions of the existing system” (p. 14). Not only does Schwahn’s statement directly relate to important change theory thinking, but it also relates to the possible obstacles that may be present when a school district leader begins the process of starting to train and guide their educational staff. This is extremely important to know when district or community leaders start the process of looking for ways to acquire nontraditional funding streams for their schools.



Joyce's (1993) educational research agreed with Schwahn. Joyce said that change in cultural patterns and roles were necessary for productive guidance and training in these new initiatives and stated, "Developing a self-renewing capability changes the culture of educators, the way they approach their roles and relate to one another, and to the organization as a structure for their work" (p. 11). Joyce confirmed that new ways of seeing educational finance would also change the actions related to acquiring new streams of donations, endowments, and grants.

Gemberling (2000) added to this by providing research in guidance and training on the importance of developing a culture within the professional development system. Gemberling mentioned that "school boards that understand the powerful effect that climate has on the behavior and performance of teachers and students, as well as the perceptions of the community, pay attention to the human dimension of the organization" (p. 7). The author spoke about the importance of acquiring nontraditional funding in schools by saying that "school boards should also strive to collaborate with business and political leaders in the community because of possible financial or political implications" (p. 7). Gemberling continued by citing the research regarding the importance of training staff and school leaders in nontraditional funding by mentioning that "a highly relevant community creates productive partnerships for student success as well as an increase in willingness to make political and financial decisions favorable to enabling successful schools" (p. 7). The author also spoke about the importance of collaborating not only among the staff of the school district, but also with the community and financial resources outside the community in order to help the school district. Gemberling stated:

Collaboration occurs when people come together and contribute to the solution to a problem or to the creation of new and better ways of achieving desired results...this

means taking the initiative to keep financial leaders and companies informed about school success and shortcomings. (p. 8)

Gemberling (2000) continued by saying that “it means earnestly seeking help from the business community...and it means seeking advice and review of school system business and financial management practices in order to promote greater efficiencies” (p. 8). Gemberling showed that it was not only beneficial for school districts to seek collaboration and assistance through outside sources, but that this was necessity for the school district’s survival (2000).

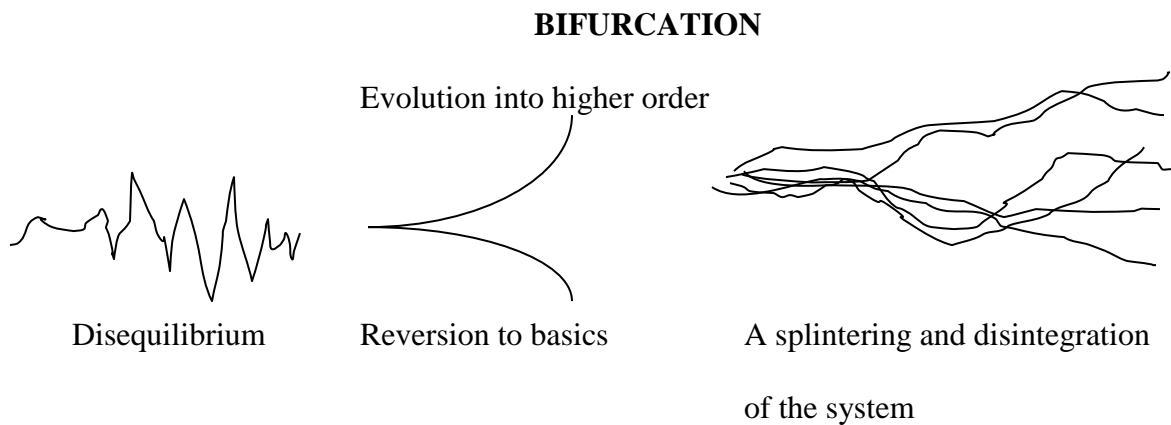
In addition, Joyce (1993) said that in order to help school leaders and community members change their paradigms from one of scarcity to one of abundance, a system of change needed to be implemented. He mentioned that:

In studies of successful school renewal research, there are four significant discoveries: (a) there is good research available for change thinking, (b) effective staff development and general support systems are essential, (c) successful school improvement requires the participation of all or nearly all of the people involved, (d) embedded formative evaluation of the change is essential to successful initiatives. (p. 40)

Joyce’s showed that the ability to change the minds of the school leaders and school community regarding nontraditional funding was critical. Before actions of the individuals change, thinking of the individuals must change. This information, and how this information applied to nontraditional funding, was also confirmed from Barbato’s (2000) work regarding how educators might acquire more additional resources through grants through a step-by-step process.

Caine’s (1997) research mentioned that successful school change programs (like goals of acquiring more nontraditional funding for schools) meant to not only change a system, but to change the mind-set of the school employees and community members in the system. Caine stated: “There are at least three possible consequences for schools that venture into disequilibrium and open themselves to the process that we describe.” The author continued that these consequences occur at what can be called “bifurcation points” and that “what can be predicted is that there will be many moments of possible transition, moments bathed in uncertainty and ambiguity” (p. 245). Caine finished by saying that “disequilibrium might lead to reverting to traditional practice, disintegration, or evolution.” (p. 245). A visual diagram of this concept can be seen in Figure 3.1.

**Figure 3.1 Bifurcation of School Programs**



From *Education on the Edge of Possibility*, by R. Caine, 1997, Alexandria, Virginia: Association for Supervision and Curriculum Development Press. Reprinted with permission.

Based on Caine’s (1997) research, there are three possibilities when a school district provides guidance and training on new initiatives within a district (such as training staff for acquiring nontraditional funding). These three possibilities included: (1) the process might die

out in time and the school would eventually revert to the former practices, (2) the school might evolve into new practices, and (3) the school practice might disintegrate. From Caine's research, these are the three options for a school district-wide initiative that focused on acquiring nontraditional funding (1997).

Caine (1997) described the following possibility for a school district in the first scenario. The research showed the pitfalls of change:

In the first scenario, the stable state is just too much to deal with at the time. The burdens imposed by the district, the burnout experienced by those who wish to do more, the resistance of those who are comfortable where they are, and other factors mean that the process as a whole dies on the vine. (p. 245)

In this scenario, Caine said that "a school like this may have pockets of enthusiasm and some teachers that are dynamic enough to be relatively self-sustaining. However, as a whole, the school will not be much different several years down the road" (p. 245).

Caine (1997) stated that the third option was not desirable either. In her research, she said this about the 3<sup>rd</sup> school district: "In this scenario, the competing demands, needs, beliefs, and values are so powerful and differences so deeply entrenched that the school initiative will fall apart" (p. 245).

Caine (1997) finally discussed the most desirable option for lasting school change was the second option from Figure 2.2. According to Caine, "a critical mass is reached such that a fundamentally more complex mode of operation emerges" (p. 245). She mentioned that all participants must be engaged in some form of the planning, operations, and evaluation of the new processes, and they must be committed to the process by a change of thinking one way or

the other. However, she stated that when this change happened, it affected the culture of the organization in these constructive ways:

New configurations allow staff to work together in different ways, students to engage in complex projects, time to be organized, assessments and evaluation to be conducted, technology to be infused throughout the system, resources to be allocated, and so on.

These configurations usually do not happen in a planned way, they emerge as a consequence of the dramatically changed beliefs and ways that participants interact. (p. 245)

The training and guidance towards acquisition of nontraditional funding methods for schools would take the form of one of these three scenarios proposed by Caine. The process and theory induced can prepare participants and the system for these moments. Capitalizing on and “managing” these bifurcation points may allow the transformation process to change a school district in a very constructive manner towards the acquisition of nontraditional funding.

## Reflective Questions to Consider

### *How does the Acquisition of Nontraditional Funding change Education?*

1. How might an entrepreneurial mindset benefit a school district as a whole?
2. What other changes might school leaders have to incorporate in order to make the transition to an entrepreneurial mindset easier on the staff?
3. How will the acquisition of large amounts of nontraditional funding effect the current and future programming, negotiations, and pay for teachers and staff?
4. How might changes in entrepreneurial thinking and the acquisition of large amounts of money affect teachers' requests to the administration?
5. How can a school district balance both the need for structure and the need for freedom in a school district grant writing campaign?
6. How does a school district effectively balance the need to acquire funds through nontraditional means, and the need to focus on the academic development of students?

## Further Recommended Reading

Barbato, J. (2000). *Writing for a good cause: The complete guide to crafting proposals and other persuasive pieces for nonprofits*. New York, NY: Free Press.

Belcher, J. (1992). *From ideas to funded project: grant proposals that work (4<sup>th</sup> Ed.)*. Fort Worth, TX: Workman Publishers.

Berry, J. (2010). *Three small cause campaigns that won big with social media*.

Retrieved from <http://mashable.com/2010/09/23/small-non-profits-social-media/>

Blackburn, T. (2003). *Getting science grants: Effective strategies for funding success*. New York, NY: Galesburg Press.

Blum, L. (1996). *The complete guide to getting a grant: How to turn your ideas into dollars*, San Jose, CA: Jossey-Bass.

Breugst, N. (2011, Oct. 21). Perceptions of entrepreneurial passion and employees' commitment to entrepreneurial ventures. *Entrepreneurship theory and practice*, 34, 261-288. doi:10.1111/j.1540-6520.2010.00375.

Browning, B. (2004). *Grant writing for educators: Practical strategies for teachers, administrators, and staff*. New York, NY: Galesburg Press.

Browning, B. (2005). *Grant writing for dummies (2nd ed.)*. New York, NY: Galesburg Press.

Bullas, J. (2011). *Study reveals: 13 best practices of social media implemented by top 200 us charities*. Retrieved from <http://www.jeffbullas.com/2009/11/23/study-reveals-13-best-practices-of-social-media-implemented-by-the-top-200-us-charities/>

Peek, D. (2010). *Write successful grants for your school: A step by step guide*. Dallas, TX: The School Funding Center Press.

## Chapter 4 - Research Models on Maximizing Nontraditional Funding in Schools

*“If we knew what we were doing fully, it wouldn’t be research.” Albert Einstein, 1947.*

*“Sometimes you need to distance yourself to see things clearly.” Anonymous, 2013.*

Although superintendents may often feel that they understand the complexities of funding, it was noted in the needs assessment and proof of concept stages by Superintendents (2013), and Reviewers (2013) that nontraditional funding research knowledge was an area that superintendents were lacking. Although it is important to identify information from trade journals and books regarding the process of nontraditional acquisition of funds for Kansas school districts, it is extremely important to understand that these strategies are also rooted in traditional research models as well. Therefore, the quotations above relate to the fact that it is important to review the information in the traditional research and reflect on the implications. These reflections may distance the Kansas school district leader enough that he or she might see the truth behind the actions that are reflected in trade journals and books on the acquisition of nontraditional funding for schools.

Previously, the author discussed the resources behind the myths of educational nontraditional funding, the facts regarding the availability of nontraditional funds for Kansas schools, and the importance of school district leaders in overcoming resistance to change in education. In addition, seven examples of school districts in Kansas that put entrepreneurial theory in action in order to produce sizable results with nontraditional acquisition of funds were reviewed. Although the amount of funding, the situations, and school districts vary in each of



the situations, the examples gave a broad perspective of the principles related to the acquisition of nontraditional funding and entrepreneurial leadership in Kansas schools.

In this chapter, the subject leads into traditional research models regarding the acquisition of nontraditional funding. As mentioned before, this process should give not only a better understanding of the roots of the strategies that are suggested in the next following chapters, but it should also give encouragement to the Kansas school district leaders that the information is grounded in research theory.

### **What do Traditional Research Models Say?**

*“What is research? It is a blind date with knowledge.” Henry William, 1898.*

*“After all, the ultimate goal of all research is not objectivity, but truth.” Helene Deutsch, 1921.*

There is a need to have reliable traditional research models on the subject of nontraditional fund acquisition for educational leaders. The researcher should understand the importance of having an open mind on research, and not having previously identified conclusions set in his or her mind before the research begins. If this can be accomplished, a traditional research model will have the ability to guide the project in specific ways, and the guidebooks, tradebooks, and textbooks on nontraditional funding acquisition will have a basis of thought and theory.

From this perspective, it is important to realize that the basis of the handbook project started with traditional research findings. When these were uncovered, comments received from the review of the literature, the needs assessment phase, the proof of concept stage, and an analysis of the format of other handbooks and guides currently on the market contributed to the

development of the prototype. These processes were recommended by Gall, Borg, and Gall (2007) through a seven-step development cycle that included:

1. An extensive research literature review
2. A needs assessment and a proof of concept stage
3. The development of the prototype
4. The preliminary field test and evaluation of the prototype
5. The initial revision of the handbook
6. The main field testing of the handbook
7. The final revision and improvement of the handbook. (Gall, Borg, & Gall, 2007)

However, the decision on what specific strategies that would be included in the handbook were based on Laudel's (2006) models for acquisition of educational funding. Not only does Laudel confirm that the Mathew's Effect was false (which was mentioned in chapter 3), but it lays out two, step-by-step analytical methods for those who are interested in researching the creation of successful nontraditional fund acquisition programs in education. Since there were two main research models, this portion of the handbook will discuss them both in detail.

The first model dealt with the overall themes of maximization of nontraditional fund acquisition in educational areas. It was labeled as "The Acquisition of External Funds: Assumed Variables and Causal Relationships" (p. 378) and the step-by-step model can be seen in Table 4.1.

**Table 4.1 Acquisition of External Funds: Assumed Variables and Causal Relationships**

Researched Steps for the Acquisition of External Funds in Education	Researched Variables that Affect the Maximization of Funding
1 <sup>st</sup> Step: There is a perceived demand for external funds	<ol style="list-style-type: none"> <li>1. 1<sup>st</sup> Variable : Unique field-specific characteristics of needs are made known</li> <li>2. 2<sup>nd</sup> Variable: Recurrent funding patterns are found/ made available</li> <li>3. 3<sup>rd</sup> Variable: Applicant’s project trail is known.</li> <li>4. 4<sup>th</sup> Variable: Knowledge of other funding sources are made known.</li> <li>5. 5<sup>th</sup> Variable: Time is available to individuals to search for external funding.</li> </ol>
2 <sup>nd</sup> Step: There are actions taken for raising external funds.	<ol style="list-style-type: none"> <li>1. 1<sup>st</sup> Variable: Abilities and perceptions in raising external funds.</li> <li>2. 2<sup>nd</sup> Variable: Past and current experiences in raising external funds.</li> <li>3. 3<sup>rd</sup> Variable: Supportive structures are in place by the educational institution to promote successful fund acquisition.</li> </ol>
3 <sup>rd</sup> Step: Reviewers and funders make	<ol style="list-style-type: none"> <li>1. 1<sup>st</sup> Variable: The researcher’s</li> </ol>

decisions regarding funding of the projects.	<p>reputation with funders/ reviewers</p> <p>2. 2<sup>nd</sup> Variable: Supportive structures are in place by the educational institution to promote successful fund acquisition.</p>
1 <sup>st</sup> Conclusion Option: The projects are funded and accomplished through the external funding processes.	Variables: Success was achieved because there were enough combinations of the correct variables needed for external funding acquisition.
2 <sup>nd</sup> Conclusion Option: The projects are not funded through external funding processes/ the projects are not carried out.	Variables: Success was not achieved because there were not enough combinations of the correct variables needed for external funding acquisition.

From “The ‘quality myth’: Promoting and Hindering Conditions for Acquiring Research Grants,” by G. Laudel, 2006, *Higher Education*, 52, p. 375-403. Reprinted with permission.

The above model laid out an analytical, step-by-step model for effective external fund acquisition for educational institutions. In this model, there was a cause and effect relationship regarding the best use of variable combinations in order to give more opportunity to affect the successful acquisition of nontraditional funding.

In the second model, Laudel (2006) discussed much more specifically about the types of variables needed for effective and successful external fund acquisition in educational institutions in regards to grant funding. In this second model, Laudel divided the variables mentioned in the first model into the “necessary conditions” (p. 396) and the “promoting conditions” regarding the acquisition of nontraditional funding for schools. This model is used after an organization or an

individual had already identified a particular direction and subject area for external fund acquisition. The tenets of Laudel’s (2006) second model for the necessary and promoting conditions of fund acquisition is listed below:

**Table 4.2 Necessary and Promoting Conditions of Fund Acquisition**

<u>Promoting Conditions for Fund Acquisition</u>	<u>Necessary Conditions Goals for Fund Acquisition</u>
1 <sup>st</sup> Step: “Spare money” from other projects is evaluated in order to see if this can help with the funding the project.	1 <sup>st</sup> Necessary Condition Goal: Starting Resources/ funds (or seed funds) are made available.
2 <sup>nd</sup> Step: Sufficient recurrent funding and recurrent resources are evaluated from the educational institution based on the institution’s investment in the process.	1 <sup>st</sup> Necessary Condition Goal: Starting Resources/ funds (or seed funds) are made available.
3 <sup>rd</sup> Step: The diverse funding external landscape is fully evaluated:  <ol style="list-style-type: none"> <li>1. Funding and support for the unique topic is evaluated and communicated.</li> <li>2. The availability of external funds is fully evaluated and communicated.</li> <li>3. The educational institution’s commitment to the cause is evaluated.</li> </ol>	2 <sup>nd</sup> Necessary Condition Goal: The availability of external funding sources is determined.
4 <sup>th</sup> Step: The availability of collaborators is fully studied:	2 <sup>nd</sup> Necessary Condition Goal: The availability of external funding sources is determined.

<ol style="list-style-type: none"> <li>1. The educational institution's commitment to the cause is evaluated.</li> <li>2. Communication is made with other institutions regarding similar projects.</li> </ol>	
<p>5<sup>th</sup> Step: The amount and significance of the project is addressed in the proposal:</p> <ol style="list-style-type: none"> <li>1. The educational institution's commitment to the cause is addressed.</li> <li>2. The continuous research of the project is addressed and communicated.</li> </ol>	<p>3<sup>rd</sup> Necessary Condition Goal: There is an acceptable proposal</p>
<p>6<sup>th</sup> Step: Reputation of the applicant is addressed in the proposal</p> <ol style="list-style-type: none"> <li>1. Perceived quality of applicant to carry out project</li> <li>2. Communication of applicant to external funder before and during proposal</li> <li>3. Perceived "know how" regarding fundraising</li> </ol>	<p>3<sup>rd</sup> Necessary Condition Goal: There is an acceptable proposal</p>
<p>7<sup>th</sup> Step: Addressing the project and mainstream society in the proposal:</p> <ol style="list-style-type: none"> <li>1. Address the project as low-risk with possible high-gains for ending product.</li> <li>2. Address relationship of ending product</li> </ol>	<p>3<sup>rd</sup> Necessary Condition Goal: There is an acceptable proposal</p>

to mainstream society.	
8 <sup>th</sup> Step: Quality of the Proposal document (Completing all the documents adequately)	3 <sup>rd</sup> Necessary Condition Goal: There is an acceptable proposal

From “The ‘quality myth’: Promoting and Hindering Conditions for Acquiring Research Grants,” by G. Laudel, 2006, *Higher Education*, 52, p. 375-403. Reprinted with permission.

This model showed that not only was nontraditional funding available for school districts, but that there were specific “necessary conditions”, as well as other “promoting conditions” that would fully allow school districts to maximize their nontraditional funding. These themes were addressed throughout the handbook regarding the maximization of nontraditional funding for schools.

In addition, the model discussed the research regarding the quality-related factors and the non-quality-related factors that result in true maximization of nontraditional funding models for schools. As one can see from the above model, although the quality of the grant proposal is listed as important in the analytical research model, it does not solely stand by itself. In fact, the research stated that there are more things that are both “promoting” and “necessary” than simply being able to write an effective grant proposal (p. 397).

In this way, Kansas school district leaders who desire to maximize their nontraditional funding can see that this is a process that they may need to adopt for their schools. However, in order to accomplish this entrepreneurial change in mindset, there needs to be additional research regarding the development of entrepreneurial leadership theories from Breugst (2011). Breugst’s theories were used in order to guide the construction, development, and facilitation of new fund acquisition programs for Kansas schools. Since the handbook was meant to lead Kansas school

leaders towards more fund acquisition through these entrepreneurial practices, it was necessary to research the theories behind successful implementation of these practices (Breugst's theories were covered in Chapter 2).

When both Laudel's (2006) models on nontraditional funding acquisition for educational institutions were completed, and Breugst's (2011) entrepreneurial theories were fully studied, the next phase of the research began. This next phase consisted of reviews of handbooks, guides, other books, and the results from the two field tests that contributed to the development of the final handbook.

The next phase of the research consisted of the development of a prototype handbook for Kansas school leaders. At this time, *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding* was fully developed using the research and development methodology recommended by Gall et al. (2007) through a seven-step development cycle.

The analytical models mentioned in the chapter provided the process and basis for nontraditional acquisition of funds for school districts in Kansas. The following chapters in the handbook will discuss the strategies used to carry out the mission of the analytical research models mentioned in this chapter.



## Reflective Questions to Consider

*“Research is what I’m doing when I don’t know what I am doing.” Wernher Von Braun, 1968.*

1. In what ways does this research change the thoughts regarding the acquisition of nontraditional funding?
2. In what ways does this research change the thoughts regarding entrepreneurial leadership in Kansas school districts?
3. What benefits might accrue from applying the entrepreneurial mindset to work in and for Kansas school districts?
4. How does the research data encourage opportunities in school leaders’ thinking?

## Further Recommended Reading

- Breugst, N. (2011, Oct. 21). Perceptions of entrepreneurial passion and employees' commitment to entrepreneurial ventures. *Entrepreneurship Theory and Practice*, 34, 261-288. doi:10.1111/j.1540-6520.2010.00375.
- Dick, W. & Carey, L. (2001). *The systematic design of instruction (5th edition.)*. Chicago, IL: Scott, Foresman.
- Gall, M., Borg, W., & Gall, J. (2007). *Educational research: An introduction (6<sup>th</sup> ed.)*. White Plains, NY: Longman Publishers USA.
- Laudel, G. (2006). The 'quality myth': Promoting and hindering conditions for acquiring research grants. *Higher Education*, 52, 375-403.

## Chapter 5 - The Human Impact and Perception: Maximizing Nontraditional Funding

*“If I was down to my last dollar, I’d spend it on public relations.” Bill Gates, 2005.*

Gates’ statement is most interesting, and it speaks well of the importance of public relations to any project. Not only is the statement interesting because of the words themselves but also because of the fact that Bill Gates, the second most wealthy individual in the world, quoted the words regarding the importance of public relations.

In the previous chapter, Laudel’s (2006) model was presented. In the model, there were many references to the research behind effective human impact and perception through public relations. In the research models, perceptions of nontraditional funding, communications regarding opportunities for external funding, and the need for supportive structures in place by the educational institution all described the role that effective public relations plays in the total overall acquisition of nontraditional funding. In addition to this, the concepts of perceived quality, addressing the project based on the mainstream culture, and effective reputation all have to do with public relations and connecting individuals for the betterment of the school district’s students.

This chapter will expand on these principles listed in the previous chapter as they relate to public relations in school districts. The text will then give specific strategies and tactics that Kansas school leaders can employ in order to effectively use this medium in order to increase their chances to maximize their nontraditional funding for Kansas schools.

## The Important Role Public Relations Plays

*“With good public sentiment, nothing can fail; without it, nothing can succeed.*

*Consequently he who molds public sentiment goes deeper than he who enacts statutes of pronounces decisions.” Abraham Lincoln, 1956.*

Often times, school district leaders forget the importance of public relations and its effect on the acquisition of nontraditional funding for schools. However, the ability to improve public relations for a school district is a conscious choice for Kansas educators that can have lasting effects on the acquisition of nontraditional funding for their schools.

Martin Luther King Jr. (1961) commented about the power that public relations have over a community and their possible use of that power to impact others for good: “We must not overlook the fact that, in the final analysis, the greatest channel of publicity for the organization is the existence of a positive, dynamic public relations program” (p. 15). He not only confirmed the importance of public relations, but the need to focus and channel effective energies into this area for the benefit of organizations. His words relate well to Kansas school district leaders who desire to seek help from nontraditional funding sources as well.

For Kansas school leaders who desire to maximize their nontraditional funding for the benefit of their schools and students, there are very specific strategies that can be mastered and practiced. These strategies, if practiced with fidelity, can have lasting impacts on the school district and the students that they serve (Peek, 2010; USD 224, 2009; USD 257, 2011).

Therefore, it is extremely important that school districts start their focus on nontraditional funding by looking at their collective vision internally, and creating a positive image of their school district to prospective donors outside of the district. This is the focus for the next section.

## *Strategies for Cultivating Public Relations in Kansas Schools*

***“We must have slogans during any revolution in order to fire people, motivate them, and get them moving”, Martin Luther King, Jr., 1968.***

***“The actions of men are the best interpreters of their thoughts.” John Locke, 1698.***

King’s and Locke’s statements above strongly relate to both the need to establish a positive image of schools and school districts in Kansas, but they also do not shy away from the fact that work is connected with this endeavor. Not only do we need to be educational leaders of action, but we need to be focused with direction towards a particular goal in mind.

Many reviews, books, and trade journals have been done on the key elements of successful public relations for school districts (Appendix B). Not only had these authors described ways in which school districts might be able to convey their message better to the public in order to create a better image, but they also focused on elements of successful nontraditional fund acquisition for these schools and school districts.

In addition, there have been other resources and trade journals that focused on the specific fund raising elements of school districts through the use of the most effect ways in which to specifically work at acquiring this nontraditional funding (Appendix D). This information was specifically meant to strengthen the fundraising arm of the schools and the school districts in various ways.

There were also many resources available on the changing nature of social media and its influence on the image and perception of schools (Appendix C). Although this was an emerging field, the reviews confirmed the importance of schools to create a vision for the future, set goals, and carry these goals out for the collective good of the organization by using social media

resources. These reviews of the material stressed the importance of creating the vision for the school district so that the image of the educational organization would not be created by someone else who does not share the same values as the vision of the school or district.

In addition to this, theories for the creating and fostering a collective vision for the purpose of acquiring additional nontraditional funding can be found from various sources including: Breugst (2011), Cottrell (2005), Deal (2000), Evan (2001), Fullan (2010), Geever (2007). These theories regarding social change underlie the strategies for acquiring nontraditional funding in schools.

The majority of the reviewed data in the process first stated that the basic fundamentals of the creation of positive and progressive programs start with effective planning. A good example of this collective review can be found when Cortez (2011) mentioned how schools should plan regarding the acquisition of nontraditional funding for schools. He mentioned that schools should:

1. Identify the problem
2. Identify the goals that are desirable
3. Identify the audience
4. Make a connection
5. Identify how the school can help the situation
6. Identify what the school wants the donor to do
7. Thank the donors for their help
8. Continue to cultivate the relationships. (p. 1)

Williamson (2009) continued by confirming that a school district must first start with a plan in mind to acquire the nontraditional funding. He concluded that there was a collective

need for the district to see public relations as marketing strategies that are geared for specific purposes. Williamson stated that school districts' nontraditional acquisition planning should first focus on these distinct marketing questions:

1. How is our school district program distinctive?
2. What does our school district want to be known for?
3. Why is this new school district work relevant? (p. 2)

Williamson (2009) stated, "with the competition for philanthropic resources and public attention fierce, these are absolutely critical considerations for every school district" (p. 2).

Williamson's work confirmed the necessity to not only have a detailed plan ahead of time, but to focus on specific innovative concepts, and specific work projects that may be funded by nontraditional funding to allow the school project or program to stand out from the other possible ideas. In addition to the uniqueness of the overall projects and vision of the district was the necessity of the district to create this plan with the school district staff, students, and community. Through collective effort through vision and goal setting, each staff member can be able to own the vision and goals of the district in this area. His review confirmed that each and every school staff person should be considered a spokesperson for the organization. In this way, they should be aware of these six items so as to effectively convey a positive and progressive image of the school district through common and informal public relations. These six principles are referenced as the "Beckwith Formula," and should be taught to the staff when they discuss the collective vision of the school district and their particular place in the environment. They are as follows:

1. Who? (What is your name?)
2. What? (What kind of organization are you in regards to scale and sector?)

3. For whom? (Whom do your innovative programs serve?)
4. What is need? (What pressing social problem does your innovative program address?)
5. What's different? (What is distinctive about your program?)
6. So what? (Why should I care?). (p. 3)

When looking at Kansas school districts and this process, it is necessary for staff members to have a collective vision towards their specific projects so as to garner new monies toward these new ventures. Not only do these projects need to be innovative in nature, but everyone must have a new paradigm shift in their positions so as to always promote the most positive image possible in their answers to the public through informal and formal conversation (Williamson, 2009). In this way, a possible answer to the six questions about might relate to this:

My name is \_\_\_\_\_ and I am a science teacher at the \_\_\_\_\_ school district.

It is a medium-sized Kansas school district that focuses on teaching green energy technology innovation to very low socio-economic children with the overall goal of guiding them towards new job acquisition in the future. Our district goal is unique throughout Kansas, and the innovative projects are sustained through grants and donations.

Williamson's (2009) review stated that it was important for the staff member to eliminate jargon and a laundry list of activities, but only focus on a possible philanthropic message that was simple, consistent, and most of all: that it was distinctive. Williamson stated that it was important for the school districts to make hard choices and focus on the specific things that they do particularly well. He mentioned that school districts should spend some real thought into answering the question: "So What" (p. 54)? If this happens, the comments of the staff member



regarding possible philanthropy to the school district might have the ability to stick with the potential donor and make a memorable impression.

In 1864, Abraham Lincoln discussed the importance of collective vision for staff members, the effect of correct perception, and the ability to motivate others through informal communication:

Extemporaneous informal speaking regarding your principles should be practiced and cultivated. It is our avenue to the public. However able and faithful a person may be in other respects, people are slow to take a position on an issue if the person cannot make a informal speech. (p. 145)

In these statements, Lincoln mentioned that the biggest source of public relations was with current staff members and their ability to convey the message to the public.

In the same way, Martin Luther King, Jr. (1961) stressed the importance of informal speech regarding staff or followers in an organization. He stated these principles for cultivating the right atmosphere for drawing support through informal conversations:

1. Goals must be clearly stated
2. The simplest approach will prove to be the most effective
3. Don't aim too low
4. Find something this is so possible, so achievable, so pure, so simple...so basic to life that even the extremists can't disagree with it all that much. (p. 162)

Cottrell (2005) also talked about the importance of motivating staff members to act on their own (within parameters) in regards to new thinking about their collective vision. His resource guide focused on the ability of every staff member to make choices regarding their school district, their ability to reach the students, and their needs for the future. In his book on

entrepreneurial leadership, he focused on the need for the staff to be leaders through the use of collective choices regarding their futures and the futures of the students and communities that they serve. He mentioned these important choices needed to be made regarding a commitment to the change process (such as a progressive public relations campaign and the acquisition of nontraditional funding). The choices included:

1. The No Victim Choice (The staff cannot let their past control their future.)
2. The Commitment Choice (The staff must be passionate enough to succeed in this new process.)
3. The Values Choice (The staff must choose the right enemies).
4. The Integrity Choice (The staff must do the right thing.)
5. The Do-Something Choice (The staff must not procrastinate.)
6. The Persistence Choice (The staff must learn from failure.)
7. The Attitude Choice (The staff must focus on an enthusiastic approach.)
8. The Adversity Choice (The staff must conquer difficult times.)
9. The Relationship Choice (The staff must connect with success.)
10. The Criticism Choice (The staff must accept difficult learning opportunities.)
11. The Reality Choice (The staff must face the truth of situations.)
12. The Legacy Choice (The staff must see their effort as a gift to others.) (p. 7)

Cultivating a positive and progressive public relations campaign was extremely important for a district that was embracing entrepreneurial leadership and seeking to acquire nontraditional funding. Although the planning stages of public relations are vital for both vision and staff buy-in, the use of positive media interactions puts these plans into action.

## *The Positive Use of Media: Kansas Schools*

***“We’ve got to have a crisis to bargain with. To take a moderated approach, hoping to get help doesn’t work.” Martin Luther King, Jr., 1962.***

***“A house divided against itself cannot stand. Our cause must be entrusted and conducted by those whose hands are free, whose hearts are in the work, and those who care for the result.” Abraham Lincoln, 1859.***

Both King’s and Lincoln’s statements dealt with times in American History where there was great social upheaval. During this time, both of these individuals mentioned that not only was it important to be realistic and united regarding change, but that action needed to be taken from individuals who are the most deeply committed for the future of the organization.

Although these two men were not talking about school finance situations in Kansas, their quotations relate well to the injustices that many school leaders felt regarding the state school finance reductions of 2008-2012. These feelings were expressed by superintendents (2013) and reviewers (2013) in the needs assessment and proof of concept stages.

However, Cottrell’s (2005) book on entrepreneurial leadership in times of crisis mentioned that a “No Victim Choice” must be made regarding the past. In this, the resource confirmed the fact that Kansas school leaders’ anger towards their perceived injustice in the past was a choice that the leaders can choose to make. However, the positive and progressive activity that was consistent to the principles of traditional entrepreneurial leadership was to put the past behind the leader in an effort to move forward. Cottrell mentioned, “positively dealing with the unexpected, looking for solutions and not excuses is a conscious choice to avoid the victim mentality” (p. 17).

From this perspective, Li (2011) mentioned that effectively using the media to acquire additional funding must also start with a plan. In her research, she focused on the P.O.S.T. principles for an effective school media planning in this area. The principles focused on the underlining themes of purpose for nontraditional funding and media usage, and they consisted of:

1. P: People (Who is the school district trying to engage?)
2. O: Objectives (What is the school district trying to achieve?)
3. S: Strategies (What will it look like when the school district is done?)
4. T: Technologies (What are the tools that the school district plans to use?) (p. 15)

Carr (2010) stated an example of a progressive school district in Indiana who started with a media relations plan in place similar to the above one mentioned. From the vision and goals of the district, school leaders allowed the media into their schools in an attempt to acquire additional funding through the use of donations to the school district. As the media wrote stories about the school district's vision, and a particular school added information about the needs of the district on social networking sites, a portrait of the school district emerged that resonated with potential donors. Although the story of the Indiana school district was one of both hope in the future, and despair as the students and staff overcame often overwhelming odds, it riveted and galvanized the community. After the articles appeared in the newspaper and social networking sites, a standing-room crowd of more than 2,000 individuals showed their willingness to help the school by offering more than \$10,000 to the school. Carr stated:

For a school that had lost its self-esteem, its football team, its yearbook, and many college prep classes, the outpouring of support was reinvigorating and it reassured students and staff that the community and the large social network cares. (p. 1)

Carr (2010) continued by stating that social media matters to school districts because the United States' population is aging and diversifying. Her journal article stated that only one-third of American adults have school-aged children. She continued, "with no current ties to public schools the majority of adults rely heavily on the mass media for news and information about education." However, "education garners only 1.4 percent of typical news coverage" (p. 2). In addition, she mentioned this from her research:

What most people know about the needs of their schools comes from newspapers, radio, television, the internet, or social media sites...or from their own experiences which happened long ago. (p. 2)

All 16 of the books reviewed on this component (see complete list in Appendix B) focused on the importance of an effective public relations program. Therefore, school leaders should focus on traditional media, as well as new social medial avenues. These items are the 10 most important areas for school districts to consider and possible strategies to garner more public interest through name recognition for potential donors:

1. Newspaper: Print clippings make impressive additions to grants and presentations to prospective donors (Carr, 2010; Morehouse, 2011; Tidd, 2001; Walters, 2010).
  - a. General Notes: It is important to ask for a press schedule to see when deadlines are due. Be sure to prepare far enough in advance to announce any school-related news coverage so that it is printed before it occurs to increase the likelihood information will arrive to readers in a timely fashion (Carr, 2010; Morehouse, 2011; Tidd, 2001).
  - b. Additional Note: Volunteer to be a guest column writer for the newspaper. This allows the school district leader to focus on the initiatives and programs

that are most closely aligned to the vision and goals of the district for nontraditional funding of projects (Carr, 2010; Walters, 2010).

2. Radio: Public service announcements are a low cost means of recruiting donors, reinforcing campaign funding messages, and connecting with the public (Carr, 2010; Tidd, 2001; Walters, 2010; Worth, 2003).
  - a. General Notes: Submit the public service announcements at least one month in advance to allow it to be added to the stations rotation. Write several versions of the announcement to provide the station with some options for timing commercial breaks (Create a 15-second version, a 20 second version, a 30-second version so that the station has several pre-approved versions to use) (Walters, 2010, Carr, 2010).
  - b. Additional Note: Volunteer to be a guest speaker on the radio. This allows the school district leader to focus on the initiatives and programs that are most closely aligned to the vision and goals of the district for nontraditional funding of projects (Tidd, 2001; Worth 2003).
3. Magazines: Print clippings make impressive additions to grants and presentations to prospective donors. Placing article in special interest publications or trade journals is an excellent way to reach supportive audiences who will contribute to your school district's causes (Carr, 2010; Stallings, 1999; Walters, 2010).
  - a. General Notes: It is important to ask for a press schedule to see when deadlines are due. Be sure to prepare far enough in advance to announce any school-related news coverage so that it is printed before it occurs to increase

the likelihood information will arrive to readers in a timely fashion (Carr, 2010, Stallings, 1999; Walters, 2010).

4. Television: This has the farthest reach of any medium. It is effective in delivering basic information to large numbers of people, and it covers the news as it happens (Stallings, 1999; Walters, 2010).
  - a. General Notes: Many local stations run talk shows, community calendars, or call-in programs that can provide excellent exposure for your school district's financial or program needs (Stallings, 1999; Walters, 2010).
  - b. Additional Notes: Be proactive and persistent with creative news stories regarding you district's unique programs and stories (Stallings, 1999; Walters, 2010).
5. Email: This medium can distribute information frequently and to a large audience very efficiently (Bullas, 2011; Chaplin, 2011; Schwartz, 2011; Walters, 2010).
  - a. General Notes: Electronic newsletters, fundraising campaigns, fundraising contests, vision and goals of nontraditional funding can be easily distributed. Be sure that people who received electronic communication have consented to receiving it to avoid burdening stakeholders with unwanted communication regarding nontraditional funding (Bullas, 2011; Chaplin, 2011; Schwartz, 2011; Walters, 2010).
6. Texts: This medium can distribute information frequently and to a large audience very efficiently (Bullas, 2011; Chaplin, 2011; Schwartz, 2011; Walters, 2010).
  - a. General Notes: Quick correspondence regarding fundraising campaigns, fundraising contests, vision and goals of nontraditional funding can be easily

distributed. Be sure that people who received electronic communication have consented to receiving it to avoid burdening stakeholders with unwanted communication regarding nontraditional funding (Bullas, 2011; Chaplin, 2011; Schwartz, 2011; Walters, 2010).

7. Websites: This medium can be updated frequently to reflect changes in the school district, or announce new initiatives and possible donors to an school districts' projects. Interested parties can find out about the school district at their convenience, and the website reinforce the school district's mission, vision, and goals regarding the acquisition of nontraditional funding (Bullas, 2011, Carr, 2010; Walters, 2010).
  - a. General Notes: Websites should be created with key stakeholders in mind: prospective donors, parents, staff, corporate givers, and members of the press. Consider what information each audience needs and be sure to address those needs throughout the website. Provide links to on-line donations for specific and unique school district nontraditional funding projects (Carr, 2010; Walters, 2010).
  - b. Additional Notes: Links to "Press Kits" and the superintendent's monthly column can be helpful for providing information to members of the press that are frequently requested on new initiative and cutting-edge programs suited for nontraditional funding (Carr, 2010, Walters, 2010).
  - c. Additional links to the school district's blog site, twitter account, facebook account, and school endowment association website should also be included (Bullas, 2011; Carr, 2010).



8. Facebook: This medium can solicit stakeholder feedback through every step of the prospective donor relationship. It provides a forum for opinions, suggestions, and information exchange (Berry, 2010; Bullas, 2011; Chaplin, 2011; Cortez, 2011; Meranus, 2011; Morehouse, 2011; Schwartz, 2011; Walters, 2010).
  - a. General Notes: Facebook may be an excellent way to solicit feedback during the planning, implementation, and evaluation stages of a project, it is an especially effective tool for the monitoring phase of nontraditional funding. It is extremely effective at drawing large amount of support quickly regarding a nontraditional funding cause. Create a unique Facebook page that reflects the district's top programs that acquire need nontraditional funding. Allow fans to post photos, videos, and discussions on the wall updates. Upload videos to the site. Provide links to on-line donations for specific and unique school district nontraditional funding projects (Bullas, 2011; Walters, 2010).
  - b. Additional Notes: Ask Facebook "friends" a question regarding the new and innovative programs that need nontraditional funding in your school district and participate in the discussion. Leverage nontraditional funding contests and hosting or joining one. Use facebook insights to get active and demographic data from prospective donors who "like the page." (Note: Facebook must be monitored for accuracy and offensive content frequently) (Bullas, 2011; Walters, 2010).
9. Twitter: This medium can solicit quick stakeholder feedback through the prospective donor relationship. It provides quick forum for opinions, suggestions, and an information exchange (Bullas, 2011; Chaplin, 2011; Cortez, 2011; Schwartz, 2011).

- a. General Notes: Creating a custom twitter background reflecting the focus on nontraditional funding needed for the school district's programs is important. Create a list of the school district's staff, partners, donors, and other financial supporters. Make tweets "re-tweetable" so that the donor network could be possibly expanded. Create fundraising campaigns with this medium and provide links to on-line donations for specific and unique school district nontraditional funding projects. Track the twitter statistics (Bullas, 2011).
  - b. General Notes: Though twitter may be an excellent way to solicit feedback during the planning, implementation, and evaluation stages of a project, it is an especially effective tool for the monitoring phase of nontraditional funding.
  - c. Additional Notes: Twitter must be monitored for accuracy and offensive content frequently (Bullas, 2011; Schwartz, 2011).
10. Blogs: This medium can solicit stakeholder feedback through every step of the perspective donor relationship. It provides a forum for opinions, suggestions, and an information exchange (Bullas, 2011; Chaplin, 2011; Cortez, 2011; Schwartz, 2011).
- a. General Notes: Though blogs may be an excellent way to solicit feedback during the planning, implementation, and evaluation stages of a project, it is an especially effective tool for the monitoring phase of nontraditional funding. Provide links to on-line donations for specific and unique school district nontraditional funding projects (Bullas, 2011; Schwartz, 2011).
  - b. Additional Notes: Blogs must be monitored for accuracy and offensive content frequently (Bullas, 2011; Cortez, 2011; Schwartz, 2011).

The 10 areas listed above give Kansas school district educational leaders effective strategies regarding the use of all types of media at their disposal. These media tools, and the strategies that are included, can play a very proactive and progressive part in the possible acquisition of nontraditional funding for Kansas schools.

### **The Importance of Relationship-Building**

*“No group can make it alone.” Martin Luther King, Jr., 1964.*

*“Tell everyone what you want to do and someone will help you do it. W. Clement Stone, 1955.*

*“Try not to be a man of success, but try to become a man of value.” Albert Einstein, 1947.*

The statements of King, Stone, and Einstein all relate to the importance in developing and fostering a relationship-building focus in and among people for the overall goal of acquiring nontraditional funding for schools in Kansas. Although the quotations are different from one another, each represents specific principles related to the overarching goals relating to entrepreneurial leadership and the acquisition of nontraditional funding for schools. Although Kansas schools need to help from others in many ways, and it will help to focus on the acquisition on nontraditional funding for schools, Kansas educators should not lose track of the larger picture of educating students. The principle of educating students should be paramount in our hearts and our minds, not just the acquisition of funding. In this way, entrepreneurial leadership in the area of possible acquisition of nontraditional funding for Kansas schools is only a tool. The tool is only meant to reach the ultimate goals of a better educational environment for our students with more learning potential. Although more money for schools in Kansas is seen as a good thing by many, the end result is not more money for money’s sake. The end result

must be focused on the betterment of the students, staff, parents, and communities that we serve on a regular basis. In this way, the ultimate goal of entrepreneurial leadership to acquire nontraditional funding for more Kansas schools is not a selfish act, but a selfless act where we are focused on what is better for the individuals around us, as well as the future generations of Kansans. In this way, leaders should not see the acquisition of money as simply a numbers game based on our success or failure to acquire this money. However, it should be a career goal that we aspire to because of the higher calling for professional lives as educational leaders of Kansas. It is with this perspective that the topic of relationship-building with others for the benefit of acquiring nontraditional funding for Kansas schools has been discussed.

All of the resources regarding social media in nontraditional funding for schools reviewed in this book stressed the critical importance of relationship building. Although the resources listed above discussed the tools of social media, each source also described the underlining effect of the social media was to create and build relationships for the mutual benefit of both groups.

In addition to this, entrepreneurial theories show the importance of relationship building as well (See Appendix C for a complete list). Not only do these theories regarding social change mention that relationship building is important, many they stress that it is the most important aspect of this change.

Zunz's (2011) resource regarding the history of philanthropy focused heavily on the importance of relationships to every type of nontraditional giving (donations, grants, endowments). He mentioned that the history of philanthropy emerged not as charity work, but as open communication regarding thoughts, ideas, and relationships based on problem solving for the benefit of the greater good.

Carr (2010) also confirmed the necessity of relationships and the part that it plays in every source of nontraditional funding acquisition for schools. She stated, “It all comes down to relationships...schools need to build relationships with everyone, be extremely accessible and open, and media [and prospective donors] will repay based on the nature of the relationship” (p. 2). Carr continued by stating that not only is this a good investment for the betterment of working relationships, but also for the acquisition on nontraditional funds. She stated:

Shifting from a reactive to proactive media relations strategy will require a different mindset. Schools need to understand that communications is important to their education mission. The time spend to inform reporters, parents, community members, and prospective donors about what is happening inside schools is a great investment in public understanding. (p. 2)

In addition, Clinton’s (2007) work on philanthropy focused on the elements on relationship-building for both the benefit of the giver and the individual or organization giving the gift. His review discussed large educational grants and gifts around the United States and focused in on the fact that the reasons that the gifts existed in the first place was because of relationships that were established.

For Kansas school districts who are interested in maximizing their nontraditional funding for their schools, the literature review is quite compelling. The resources not only focus on the fact that relationships are important for nontraditional acquisition of funds, but that they may be the most important aspect of acquiring nontraditional funding for Kansas schools (Carr, 2010; Clinton, 2007; Zunz, 2011). In this way, grant writing strategies, endowment association strategies, and corporate/ foundational giving strategies must come out of this framework. Therefore, building relationships with all parties are keys to this endeavor.

## Reflective Questions to Consider

*“No matter how many mistakes you make or how slow you progress, you are still far ahead of everyone else who isn’t trying.” Anonymous, 2013.*

1. In what ways do the ideas of maximizing nontraditional funding change my mindset regarding the school district?
2. What conversations need to take place with stakeholders regarding the use of public relations?
3. What are the areas of resistance that might develop within a school district or a community if these concepts were implemented?
4. Within what time frame should a school leader consider changing a district into one in which fosters entrepreneurial leadership through the acquisition of nontraditional funding?
5. In what other ways might school leaders encourage school district staff to acquire nontraditional funding through these mediums?
6. What innovative projects might school leaders want to have districts consider as possible visions for acquisition of nontraditional funding?

## Further Recommended Reading

*“If you really want to do something, you’ll find a way. If you don’t, you’ll find an excuse.” Anonymous, 2013.*

Berry, J. (2010). *Three small cause campaigns that won big with social media.*

Retrieved from <http://mashable.com/2010/09/23/small-non-profits-social-media/>

Breugst, N. (2011, Oct. 21). Perceptions of entrepreneurial passion and employees’

commitment to entrepreneurial ventures. *Entrepreneurship Theory and Practice*, 34, 261-288. doi:10.1111/j.1540-6520.2010.00375.

Bullas, J. (2011). *Study reveals: 13 best practices of social media implemented by top*

*200 US charities.* Retrieved from [http://www.jeffbullas.com/2009/11/23/study-reveals-](http://www.jeffbullas.com/2009/11/23/study-reveals-13-best-practices-of-social-media-implemented-by-the-top-200-us-charities/)

[13-best-practices-of-social-media-implemented-by-the-top-200-us-charities/](http://www.jeffbullas.com/2009/11/23/study-reveals-13-best-practices-of-social-media-implemented-by-the-top-200-us-charities/)

Chaplin, R. (2011). *10 pages every charity website should have.* Retrieved from

<http://blog.moredonors.com/2010/10/10-pages-every-charity-website-should.html>

## Chapter 6 - Strategies Targeted to Assist Kansas School Leaders'

### Acquisition of Nontraditional Funding

*"The person who does something at the head of one regiment, will eclipse him who does nothing at the head of a hundred." Abraham Lincoln, 1961.*

*"Action is my domain." Mohandas Gandhi, 1946.*

Lincoln's and Gandhi's statements relate well to strategies targeted towards assisting Kansas school leaders with the possible acquisition of nontraditional funding. Both of the statements reveal important principles that follow entrepreneurial leadership models and the practical implications regarding the development of strategies to acquire additional funding for schools. When looking at the quotations and relating them to nontraditional funding acquisition in schools, not only do these strategies need to be specific to Kansas school districts, but the strategies should be realistic in nature so that all school district leaders have the ability to put them into practice. In addition, the strategies should focus on the importance of positive and progressive action with the acquisition of possible nontraditional funding so that entrepreneurial leadership theory is put into action. In addition, the quotations focus on the importance of action (in any size) towards a collective goal, and how this action makes all the difference in the end.

In this chapter, specific action plans for school districts to implement will be provided that may lead to successes regarding the acquisition of nontraditional funding. Therefore, the purpose of this part of the handbook is to encourage Kansas school district leaders to put into practice entrepreneurial theories of leadership regarding the acquisition of grants, endowment



association strategies, and corporate and foundational giving for the benefit of the students in Kansas.

This chapter will showcase the most referenced proactive strategies that are believed to be the most effective for the acquisition of nontraditional funding for school districts based on the general themes listed in the analytic framework designed by Laudel (2006). It is believed that these strategies can allow school districts to maximize their nontraditional funding.

This chapter was composed of three sections regarding strategic areas for possible implementation for Kansas educational leaders. These sections related to acquisition strategies for educational grants, school district endowment association strategies in Kansas, and foundational and corporate funding strategies. All of the strategies were designed for Kansas school district leaders to be able to have the tools needed to maximize their nontraditional funding streams for the benefit of the Kansas schools.

### **Educational Grant Funding Strategies for Kansas**

*“We must use time creatively.” Martin Luther King, Jr., 1958.*

*“Live out of your imagination instead of out of your memory.” Fortune Cookie, 2000.*

Not only do Kansas educators need to use their time wisely when it comes the acquisition of funding through grants, but they need to embrace an entrepreneurial leadership attitude so that their past failures do reflect their future thinking regarding options to acquire additional funding. Additionally, they need to be aware that when applying for grant funding, they need to inspire and convince perspective donors through the use of innovative and creative programming so that they acquire the adequate money for the programming.

Covey (2003) stated that this change of thinking (to one of an entrepreneur) was called a paradigm shift in how we see the world. He mentioned that a paradigm shift about a person's (or school district's) perspective place in the world was the quickest way to change their behavior on certain action. In his review of practical steps to stay proactive in the face of possible adversity (like lack of funding for schools), he identified very practical steps that are also very effective for the acquisition of grants for education as well. In his research, he stated seven steps that are effective for people in this situation:

1. Be Proactive
2. Begin with the End in Mind
3. Put First Things First
4. Think Win/ Win
5. Seek First to Understand, then to be Understood.
6. Synergize
7. Sharpen the Saw. (p. 3)

Although Covey's (2003) resource was focused primarily on the importance of being proactive in every capacity of life, his work has practical applications for entrepreneurial leadership and the acquisition of educational grants for Kansas schools as well. His review of principles for proactive leaders relates well to effective leadership for educational leaders and teachers who choose to write grants. In this way, these leaders and teachers should be supported and encouraged to act in order to try to maximize nontraditional funding streams through grants. Although grant writing takes time, the teachers and leaders who start and continue this endeavor should be supported through various ways. This will encourage the proactivity and entrepreneurial leadership to continue.

In 1967, Martin Luther King, Jr. reminded us about the importance of creating and supporting educational leaders who step out in faith regarding a new initiative (such as grant writing). He stated:

We shall have to create leaders who embody virtues we can respect, who have moral and ethical principles we can applaud with an enthusiasm that enables us to rally support for them based on confidence and trust. We will have to demand high standards and give consistent, loyal support to those who merit it. (p. 53)

Although educational grant writing is a skill that can be learned, King’s words showed the important piece that Kansas educational leaders can play in supporting grant writing, guiding the grant writing, and focusing the grant writing in particular direction. This is extremely important.

### ***Is there a Recipe for Effective Educational Grant Writing in Kansas?***

***“You can’t use up creativity. The more you use, the more you have.” Maya Angelou, 1994.***

***“We must share, teach, and preach, until the very foundations of our nation are shaken.”***

***Martin Luther King, Jr., 1962.***

Is there an effective recipe for effective educational grant writing in Kansas? The answer is both “yes”, and “no.” Although there is resources on the effective strategies that are need to acquire nontraditional funding for schools through grant writing, each school district in Kansas is different. Each district has different needs, different goals, and different overall dreams about where nontraditional funding could take their district, their students, and their communities. Grant writing is a skill that can be learned, but there is not a “one size fits all” concept in the acquisition of grants for educational leaders in Kansas. Educational leaders must learn the skills

of the grant writing trade, be able understand what has worked effectively in Kansas school districts, and work with the staff in order to create mutual goals for grant writing. When mutual goals have been created, then strategies can be identified in order to reach these goals.

These concepts relate well to the Angelou's and King's statements regarding creativity and the desire to focus on principles for the betterment of Kansas students. These are important concepts to acquire during the educational grant writing process.

Henson (2003) stated, "There is no special mystique about proposal writing" (p. 1). He continued, "Anyone with a good, well-planned idea who has done careful research on sources of support and is able to communicate effectively in writing can do a successful job of preparing a funding request" (p. 1). Not only did his research help to dispel the "Mathew Effect," where it was believed that only wealthy and prestigious schools receive educational grants, but it opened the door for anyone who was ambitious, saw the need, desired to change the situation, and was persistent could achieve an educational grant.

Barbato (2000) mentioned that there first needed to be "Essential Planning Steps" in educational grant writing for educational leaders and teachers. These consisted of the following steps:

1. Identify major characteristics of your project idea and determine if it is solicited or unsolicited.
2. Assess your capabilities.
3. Refine the project idea and gather data to support it.
4. Select funding sources and gather submission requirements. (p. 15)

Karsh (2006) discussed the actual writing and submission of educational grant proposals. In his resource, he mentioned important concepts for the educational leader to learn were the following items:

1. Identify needed content and lay out the process
2. Gather and compose remaining elements of the proposal
3. Use a checklist to do a final review
4. Review, submission, notification, and renewal. (p. 3)

Similar to this, McKelvie (2011) mentioned that it was extremely important for the educational leaders and teachers who choose to write grants for their schools to start at the beginning. In this way, it was important for these educators to ask themselves important questions about where they are going, what they want to accomplish, and why it is important. The review mentioned that these would be the same questions that potential grant donors would be asking when they read over the teachers' requests for funding. These questions from potential grant funders included:

1. What is the function of the project you are proposing?
2. Is your project unique?
3. In what field is your project?
4. Who will benefit from your project?
5. What are the geographical parameters of your project? (p. 4)

In addition to this, Hall (2003) mentioned that the teacher and educational leaders who were pursuing educational grant writing must notice that there is a difference between unsolicited project ideas and solicited project idea. His work showed that this was extremely

important. The differences lie in the manner for which companies or individuals that are providing the possible nontraditional funding look for grantees. Hall mentioned these caveats:

1. Unsolicited project idea is one that is created by the person seeking funds.
2. Solicited project idea has been suggested by the funding source and consists of two types:
  - a. Request for Proposals
  - b. Program Announcements. (p. 5)

Hall (2003) stated that there are unsolicited and solicited projects for educational leaders who are writing either of these grants. The book mentioned these collective tips to remember:

1. The closer your proposal matches the interests of the potential grantors, the more likely you are to receive funding.
2. In the case of the unsolicited idea, the educational grant writer needs to communicate with the funding sources well in advance of submitting a full proposal.
3. It is unwise to send a completed application to a particular source for an unsolicited idea without first making a preliminary inquiry.
4. Do not waste your time or that of the funding organization with an inappropriate application. (p. 6)

Finally, Hall (2003) gave a review of everything that should be included in a typical educational grant application. Similar to other educational grant writing resources regarding the most effective maximization of nontraditional funding, he started by asking questions of the educational leaders and the teachers who are writing grants. The resource continued by mentioning that these 14 questions must be answered by the grant writer and included in the work in order to have an effective grant application:

1. How do you know there is a need for the proposed idea?
2. How or what is affected by the need and in what way?
3. How urgent is this need, in relation to others in the community?
4. Is the need one of the top priorities in your institution's strategic plan?
5. Who else agrees this is a problem worth addressing?
6. Who else is working on the issue locally, regionally, or nationally?
7. Have other ways of addressing the problem been tried?
8. Why should these particular needs and this specific population receive attention at this time?
9. What is likely to happen if this particular projects is not implemented now?
10. Why are you best suited to do this work?
11. Do you have the capacity to initiate this effort at this time?
12. Is the problem really solvable?
13. Is the need seen as especially important by those groups whose support and involvement are critical to your success?
14. What constraints or difficulties should be anticipated in meeting the need? (p. 16)

Similar to this, Karsh (2006) mentioned specific steps that are needed in each educational grant application. The resource mentioned these principles that are necessary for maximization of the most possible available funding for schools:

1. What do I want to do? (Then find identify your purpose.) (p. 1)
2. Where do I get a grant? (Then find the grant that matches your purpose. This can be done in a variety of ways depending on the grant.) (p. 4)

3. What does the grant funder want? (Read about the funder and/or contact the funder.)  
(p. 183)
4. What specific problem will I fix? (Identify the specific area that you and the school district is focusing on for this purpose.) (p. 208)
5. What do I hope to achieve? (Identify the larger vision of my school district and the educational leader) (p. 239)
6. What should I put in my budget? (Identify the specifics to the budget, and focus on staying as true to the budget as possible.) (p. 303)
7. How do I find partners? (Identify who also has this dream in the region/ state.)
8. How do I know that the program worked? (There must be an evaluation portion included.) (p. 287)
9. How will the program be continued once the grant is done? (This is an important piece of the grant application since the funders would want the mission that the money would represent to live on beyond the life of the grant.) (p. 323)
10. How do I get ready for a site visit? (This is an extremely important piece for building the good relationships between the grant funder and the grantee. The grant funder will want to see that the monies are used effectively.) (p. 408)

Kansas educational leaders should have tools in their arsenal ready for the maximization of nontraditional funding through the use of educational grants. Although the process takes educational leaders and teachers who are committed to entrepreneurial leadership practices, the tools for acquisition of these nontraditional funding is available for those who desire the information.



## School Endowment Association Strategies for Kansas

*“Nothing could be more tragic than for men to live in these revolutionary times and fail to achieve the new attitudes and new mental outlooks that the new situation demands.”*

*Martin Luther King, 1964.*

*“It often requires more courage to dare to do right than to fear to do wrong.”*

*Abraham Lincoln, 1864.*

King’s and Lincoln’s statements above are some of the author’s personal favorites. Although these men were not specifically focusing on strategies for maximizing school district endowment associations within Kansas when these two men said their statements, the quotations relate very well to this current chapter. The principles of courage and opportunity are extremely important for a school district leader in Kansas who embraces components of entrepreneurial leadership in order to help his schools and students. King’s and Lincoln’s statements touch on timeless principles regarding effective leadership. Opinions from earlier field tests for this research project showed that some school district leaders who were altruistic in nature aspire to these principles as well. This idea was expressed by superintendents (2013) and reviewers (2013) in the needs assessment and proof of concept stages. The responses from the needs assessment also showed that some school district leaders did not know how to maximize opportunities around them (such as school endowment associations) so as to make the most significant impact on the innovative and progressive programs that they could offer to their school and students. Therefore, the focus of this chapter has been to address these concerns, and give specific and tactical resource-driven advice for these progressive educational Kansas leaders.

## *Maximizing School Endowment Associations in Kansas*

***“In the first place, I advise you to apply to all those whom you know will give something; next to those who you are uncertain whether they will give anything or not, and show them the list of those who have given; and lastly, do not neglect those who you are sure will give nothing, for in some of them you may be mistaken.” Benjamin Franklin, 1789.***

Although Benjamin Franklin made this famous quotation in 1789, his words still relate extremely well to maximizing school endowment associations in Kansas. From the quotation, not only was Benjamin Franklin giving advice to endowment associations regarding the best strategies acquiring more financial giving from individuals, but he tapped into a timeless principle regarding humans and philanthropic giving. The principle is timeless because it relates to a common core of truth regarding school endowment associations in Kansas as well: More money will be raised if the school endowment associations are actively pursuing this nontraditional funding than if they are not.

Barbato’s (2000) resource on maximizing school endowments associations mentioned how school endowment associations had changed over time. In the work, he mentioned the change that had developed in the nation with the advent of Harvard University Hauser Center for Nonprofit Organizations which officially opened in April of 1997. He also mentioned that strategies for maximizing school endowments were specifically studied and researched (as well as other nonprofits) in order to effectively plan and participate in the most effective campaigns to acquire the most available money possible for these organizations. In Barbato’s review of the material, he quoted Dr. Sara Engelhardt, the President of the Foundation Center at Harvard University, with this quotation regarding these changes:

School Endowment Associations used to be a synonym for groups that had neither money nor power. However, increasingly this sector of nonprofit has both. If Harvard is opening a center on strategies for effective endowment associations on this scale, the endowment sector has clearly arrived. (p. 28)

The resources for addressing the maximization of fundraising strategies regarding school endowment associations came from a 11 different sources (see Appendix E for more information). Much of the literature review focused on concepts and strategies regarding effective public relations strategies. In addition, there were many resources that focused on progressive steps that school endowment associations could do in the area of social media changes (see Appendix E for a complete listing of this information).

Weisman's (2000) resource discussed the need for school endowment associations to first work with the school district to create mutually agreeable ending goals for their nontraditional funding. These goals must be for innovative projects or programs that try to focus on reaching as many of the students as possible. Weisman stated that the reason for the innovative programs is because of the fact that potential donors may be much more attracted to funding these programs. The endowment association then needs to work with the local media to share the need with the public and garner potential donors for these projects. This will increase name recognition of the organization and the school district, awareness of the problem, and possible revenue streams for the potential school project.

Tidd (2001) also focused on the need for school endowment associations to continue to have effective name recognition with potential donors. In this resource, the organizations were recommended to create high quality fliers, distribute them at all alumni events, sporting events, the schools, the businesses in the community, doctor's offices, nursing homes, churches, and

funeral homes. In addition, the review mentioned that the organization should consider having current students speak at as many alumni events as possible in order to garner support from potential donors. If the organization wished, a limited number of students could be “hired” for their speaking assignments and work at alumni events through “hard work” scholarships for the endowment association when they enter college.

Miree (2012) stressed the importance of getting alumni involved in the endowment association’s giving by focusing on what the potential givers would receive in the process. Miree stated book mentioned that school district should allow the school endowment association the ability to name an innovative project or programs in honor of the highest potential giver after a social media contest to raise funds for the project. In the same way, Miree stated that the school district may want to allow particular rooms or areas in their school district to be named after certain individuals for large financial gifts to the organization. She continued by saying that alumni groups, church groups, or family groups may want to donate a large sum of money to have a certain room named in honor of a former student, teacher, coach, or administrator.

Berry (2010) stated that school endowment association should keep accurate records of the givers to the organization and send these out to future, past, and current financial givers based on their giving to current projects. These lists would include those who give to the organization with their membership dues, those who give with annual dues, and those who give through other planned giving or major giving gifts. These lists also need to be posted in the newspaper and listed on various social media sites, as well as the webpage of the organization. In addition, these could be categorized in order to represent the giving to perspective causes. He mentioned that the social media surge may cause many to give to the organization in this way.

Other resources showed the need for the school endowment association and the school district to have on-line giving tools or links where potential givers might be able to easily donate to a particular cause by using their credit card (see Appendix E for a complete listing of these resources). In addition, these resources stated that the social media sites and websites connected to the organization should create options for the donors to choose where they want the money to be used, such as these examples listed below:

1. General Fund (where needed)
2. Academic Senior Scholarships
3. “Hard Work” Senior Scholarships
4. Athletics
5. Library/ Literature
6. Fine Arts
7. Innovative Technology
8. Health Care/ Sciences
9. Character Education
10. Current Innovative project: \_\_\_\_\_
11. Donation in the name of a favorite person: \_\_\_\_\_
12. Matching Funds for: \_\_\_\_\_
13. Teacher Wish List Items: \_\_\_\_\_. (Miree, 2012, p. 16;  
Tidd, 2001, p. 3)

Williamson’s (2009) noted the importance of keeping website and social media sites current regarding prospective projects, donations, donors, and the benefits of their donations. In

addition to this, donors should be given tax exemption notices within one week of their donation, and questions like these should be addressed:

1. Why is it important to give back to the community?
2. What role does philanthropy play in the school district's budget?
3. What is the recent news regarding budget reductions (if any)? (p. 45)

In addition, William (2009) stated that the organization should make it a continuous habit to tie the endowment and the school district together. This can be done with announcements at activities such as:

The \_\_\_\_\_ School District and Endowment Association wishes to thank all of the community members who have participated in and donated to USD 257 Activities in order to make this a reality for the \_\_\_\_\_ School District students. Thank you for your support of our students and our schools. (Personal communications, March 19, 2013)

Williamson (2009) noted that names of large givers could be mentioned at sporting events and printed in the programs. The research also mentioned that printed names of donors could also be placed on things like library books and textbooks if they had contributed to the fund.

Bullas (2011) stated the possibilities of other revenue for school endowment associations as well. These included such things as advertisements in the hallways from particular groups or large advertisements on the sides of school buses.

Although Kansas school district endowments associations do not have to choose all of these options for their fundraising arms, a good selection of some of these items can impact revenue enhancement for the school district in a positive direction. In addition, donors may feel

much more tied to give to the endowment association when they are getting something in return. When implemented effectively, these tactics can be very effective at maximizing school endowment associations' ability to acquire additional resources for Kansas school districts.

### **Foundational/ Corporate Funding Strategies for Kansas Schools**

*“We can differ and still unite around common goals.” Martin Luther King, Jr., 1958.*

*“To spend money is easy, to spend money well is hard.” Wesley Mitchell, 1924.*

King's and Mitchell's statements relate well to the foundational and corporate funding strategies for Kansas school districts in the state. The ideas of uniting around common goals and making sure that money is wisely spent is where school districts and some of the most philanthropic Kansas corporations and foundations come together on common ground. Although corporations and foundations generally want to help with educational causes in Kansas (later lists will be shared of the best educational-friendly philanthropic foundations and organizations in Kansas from the research), they also want to make sure that their money is used to the best extent possible.

This section of the handbook will deal with the current differences between public and private funding sources in Kansas, as well as the differences that exist between corporate and foundational giving. Later in the section, research will be provided regarding the most philanthropic education-friendly corporations and foundations in the Kansas, tactics on how to secure money for Kansas schools, and examples of user-friendly educational grants from corporations in order to maximize these funding streams for schools.

## *Differences between Public and Private Funding Sources*

*“The only place where success comes before work is in the dictionary.” Vidal Sassoon, 2004.*

Not all grant funding is the same. Therefore, the strategies used to acquire this grant funding will not be the same either. There are differences between public and private funding sources. In addition to this, there are differences between the major entities of private funding as well: foundational and corporate Funding. However, Kansas school district leaders may see avenues for which they might expand their capacity to maximize their nontraditional funding for their schools in this section.

Hall (2003) described the difference between public and private funding sources by mentioning that public funding sources were seen as federal, state, or local government, while private funding sources were foundations, corporations, and special interest groups. The resource noted that these two large areas of funding differ in many ways. These ways include:

1. Where the money comes from.
2. The reason why they are giving the money away.
3. The individuals involved in the decision-making process.
4. What the decisions are based on.
5. The method to initiate contact.
6. The size of the awards.
7. The reporting procedures.
8. The acknowledgement procedures. (p. 26)



Hall (2003) also stated the advantages of both of these funding streams, and the possible impact that school district leaders could have by maximizing these funding ventures. Hall stressed 10 concepts regarding public funding:

1. Public funds are set by the legislation.
2. Public funds focus on functions usually affecting significant groups in society.
3. Public funds usually offer the largest educational grants.
4. Public funds are more likely to play all project costs and indirect costs.
5. The educational projects are easier to identify and research.
6. They have a known application process and firm deadlines.
7. Public funds use prescribed formats for educational grant proposals.
8. Public funds have policies about renewal.
9. Public funds have many staff members, and various resources for technical assistance.
10. The funds are available to a wide array of educational organizations. (p. 26)

In addition, Hall (2003) mentioned that private funding was quite different for school districts that were interested in maximizing their nontraditional funding. She mentioned these ten concepts that define private (corporate or foundational) giving:

1. Private funds are more likely to focus on emerging issues in education, new needs, and populations not yet evolved into special interest groups.
2. Private funding streams often allow their funds to be pooled with other sources.
3. Some private funding may also have very large educational grants.
4. Private funding streams are a better source of funding for start-up or experimental projects.

5. Private funding proposal in education need not be complex or lengthy.
6. Private funds can be much more flexible in responding to unique educational needs, educational circumstances, and educational time frames.
7. Private funds seldom have bureaucratic requirements to follow in administering the educational grants.
8. Private funding can help leverage large public grants.
9. Private funding can often provide forms of help other than just cash.
10. Private educational funds usually have much fewer applicants.
11. Private funding generally are much more informal.
12. Private funding sources are often better educational resources for more local needs in smaller schools. (p. 27)

Hall (2003) discussed the differences between public funds and private funds that were available for school districts. The book confirmed the fact that educational campaigns towards the acquisition of corporate and foundational funds for schools can be attainable goals for school districts. In addition, the review also mentioned that corporate and foundational funding may be much easier to acquire than other large public grants for schools.

The handbook will now focus on the differences between foundational and corporate and giving. This will allow Kansas educational leaders the ability to better analyze the world of private educational philanthropy to a greater extent.

## *Differences between Foundational and Corporate Giving Funding*

*“Opportunities are like buses, there’s always another one coming.” Richard Branson, 2004.*

Peak (2010) mentioned that the major difference between education foundational giving and educational corporate giving was the method and process of the giving to schools. He mentioned that foundational giving usually represents a large number of corporations who pool their collective money into a particular foundation, while corporate giving to educational institutions only presented one particular company’s philanthropy efforts in a particular direction. Peak suggested that foundational giving is more formal, while corporate giving may be very informal. In the same way, the grant applications, the process for asking for donations, and the accountability within a foundation may be more formal.

Hall (2003) mentioned that they both had their advantages and disadvantages. Although foundations usually have more money and they usually give out larger grant awards, corporate grants were much more user-friendly for the applicant. The resource mentioned that the process and timeline for acquiring more corporate funding streams for a school district was much faster than that of foundational giving. In addition, Hall shared that corporate funding streams for educational purposes may be acquired by as little as an email, a phone call, or a simple application.

Peak (2010) researched that although foundational grants and corporate grants had differences, there were specific opportunities for school districts that chose to work at acquiring these nontraditional funding streams. He mentioned that since much foundational and corporate giving was focused on a particular group of states, a single state, or a single area, it was

extremely important for educators who are writing grants to become aware of the most philanthropic educational foundations and corporations in their community and state. In this way, the research mentioned, school districts could maximize both funding streams for the benefit of the students in their schools.

### ***The Most Philanthropic & Education-Friendly Corporations in Kansas***

***“A goal is just a dream with a deadline.” Napoleon Hill, 1964.***

School leaders seeking nontraditional funds must identify the most philanthropic and educational-friendly corporations in a particular area before starting out searching for educational grants or educational fund raising. Peak (2010) discussed the importance of focusing some attention and effort in the acquisition of funding through these particular sources.

Based on total amounts of funding given towards educational causes, the author was able to identify the 21 most philanthropic and educational-friendly corporations in Kansas by using the Cross-Sectional Research Model referenced in Creswell (2007). Although a complete list of the top 21 corporations can be found in Appendix F, using this process, the following list was created of Kansas’ 10 most education-friendly philanthropic corporations (in alphabetical order), and the current location of the Kansas corporations in 2011:

1. Applebee’s International, Inc. (Lenexa, Kansas)
2. Ash Grove Cement Company (Overland Park, Kansas)
3. Berry Companies, Inc. (Wichita, Kansas)
4. Blue Cross / Blue Shield of Kansas (Topeka, Kansas)
5. Capitol Federal Financial (Topeka, Kansas)
6. Cessna Aircraft Company (Wichita, Kansas)

7. Dondlinger and Sons Construction Company, Inc. (Wichita, Kansas)
8. Farmer Alliance Mutual Insurance Company (McPherson, Kansas)
9. INTRUST Bank (Wichita, Kansas)
10. Koch Industries, Inc. (Wichita, Kansas)

Although this list changes every year, the list may still give Kansas school district leaders contacts and direction from which to establish connections with Kansas’ most philanthropic and educational-friendly corporations. A more complete list can be found in Appendix F.

***The Most Philanthropic & Education-Friendly Foundations in Kansas***

***“Effort only fully releases its reward after a person refuses to quit.” Napoleon Hill, 1946.***

School leaders also need to identify the most philanthropic and educational-friendly foundations in a particular area before starting out searching for educational grants or educational fund raising. Peak (2010) also discussed the importance of focusing some attention and effort on acquiring funding within these particular sources.

Based on total amounts of funding given towards educational causes, the author identified the 30 most philanthropic and educational-friendly foundations in Kansas by using the Cross-Sectional Research Model referenced in Creswell (2007). Although a complete list of the top 30 foundations can be found in Appendix G, the following list, created following that process, identified Kansas’ 10 most education-friendly philanthropic foundations (and their 2011 philanthropic giving totals) as shown below:

- |  |              |
|--|--------------|
| 1. Kansas Health Foundation                          | \$15,444,473 |
| 2. American Academy of Family Physicians Foundations | \$8,675,740  |
| 3. Harry J. Lloyd Charitable Trust                   | \$8,557,457  |

4. Sunflower Foundation: Healthy Care for Kansas	\$5,586,867
5. The Sprint Foundation: Health Care for Kansas	\$5,472,949
6. Hutchinson Community Foundation	\$3,882,643
7. Sunderland Foundation	\$3,747,500
8. Capitol Federal Foundation	\$3,737,150
9. Dane G. Hansen Foundation	\$3,533,800
10. Wichita Community Foundation	\$3,087,157

Although this list changes every year, the listing above may still give Kansas school district leaders contacts a direction from which to establish connections with Kansas' most philanthropic and educational-friendly foundations. A more complete list can be found in Appendix G.

***Strategies to Maximize Corporate and Foundational Funding for Kansas Schools***

***“Without continual growth and progress, such words as improvement and success have no meaning.” Benjamin Franklin, 1784.***

Hall (2003) reviewed tactics for acquiring and maximizing nontraditional funding from corporation and foundations. In the guidebook, she mentioned that educational leaders and teachers should focus on these key strategies when asking for money from corporations and foundations:

1. An operating grant or general purpose grant
2. Start-up award or a seed grant
3. A Challenge Grant or a matching-fund grant. (4)

However, Hall (2003) mentioned that before the educator starts searching for this type of funding from corporations and foundations, they need to plan for the foundational and corporation request. In this way, the resource encouraged the educational leaders to do these things in planning for the request to the foundation or corporation:

1. Identify an idea, analyze its key characteristics, and decide whether it is solicited or unsolicited from the corporation or foundation.
2. Review your capability as a school district, secure the basic systems needed to support the proposal's development, and determined that the idea is compatible with the school district's mission and priorities.
3. Substantiate the validity of the need for the project, develop a clear statement of the problem to be solved, and obtained appropriate statistical data and research.
4. Brainstorm several options for meeting the need and implementing the project; test your ideas against related research, local interest and capabilities, prior experience with similar ideas, possible impact, feasibility, and degree of innovation.
5. Make a tentative decision about the best approach to the project and secure the buy-in of the cooperating agencies or educational departments necessary for implementation.

(p. 24)

Finally, Hall (2003) mentioned that is it vitally important to find a foundation or corporation in your state that has key similarities to your school district or your vision. The resource mentioned that tapping into these similarities will greatly affect the possibility of a request being funded by a particular foundation or corporation. The list of similarities included:

1. A Shared Mission
2. A Shared Constitution: Characteristics and Experiences

3. A Shared culture
4. A Shared Image
5. A Shared Market
6. Damage Control for the Foundation or Corporation. (p. 25)

***Examples of User-Friendly Teacher Grants from Corporations***

***“Actions speak louder than words, but not nearly as often. Mark Twain, 1896.***

Although educational grants change often, Peak’s (2010) research showed that there were many educational grants that can be done within a very short time period. These grants are very user-friendly for educators and they consist of grants of \$250.00 to \$3,000.00. These grants are often given by what are known as “big box stores” such as Wal-Mart, Home Depot, and Best Buy (p. 25).

Peak (2010) stated that these grants can be identified and easily accessed on the internet. In addition, the work mentioned that these sites have user-friendly and education-friendly on-line applications where funding can be easily accessed for the benefits of the school district by educators. A few of the top sites were:

1. Wal-Mart grants: [www.walmart.com](http://www.walmart.com)
2. Target grants: [www.target.com](http://www.target.com)
3. Dollar General grants: [www.dollargeneral.com](http://www.dollargeneral.com)
4. Lowes grants: [www.lowes.com](http://www.lowes.com)
5. U.S. Cellular: [www.uscellular.com](http://www.uscellular.com).



Peak (2010) added that the following very recognizable foundations were known for the extraordinary giving to schools throughout the United States. He mentioned that it would be very beneficial for school districts to examine these selected foundations:

1. Pfizer Foundation
2. IBM Foundation
3. Ford Foundation
4. Coca-Cola Foundation
5. AT&T Foundation
6. UPS Foundation
7. Citigroup Foundation
8. GE Foundation
9. Hewlett-Packard Company Foundation
10. Goodrich Corporation Foundation. (p. 24)

Specifically for Kansas, there were several grants that were reviewed and found to have on-line, user-friendly, educational grant applications. These organizations were known for their philanthropic nature towards Kansas educators and their willingness to help educators complete their applications and receive grant funding for their projects (personal communication: March 15, 2013). These top sites and organizations included:

1. Kansas Green Schools: [www.kansasgreenschools.org](http://www.kansasgreenschools.org)
2. KNEA: [www.knea.org](http://www.knea.org)
3. Kansas Department of Wildlife, Parks, and Tourism:  
[www.kdwpt.state.ks.us/news/Services/Education/Outdoor-Wildlife-Learning-Sites](http://www.kdwpt.state.ks.us/news/Services/Education/Outdoor-Wildlife-Learning-Sites)

Peak (2010) gave specific examples of on-line websites where educators may sign up for grant listservs. These were of no cost to the educators, and they could search immediately for grants within a particular area. In addition, the research mentioned that some of the sent emails to educators regarding potential educational grants that fit their areas. The top sites included:

1. [www.grantwrangler.com](http://www.grantwrangler.com)
2. [www.k12grants.org](http://www.k12grants.org)
3. [www.712educators.about.com](http://www.712educators.about.com)
4. [www.grantalert.com](http://www.grantalert.com)
5. [www.fundsnetsservices.com](http://www.fundsnetsservices.com). (p. 27)

Peak (2010) noted that the keys to acquiring these grants and maximizing the school district's nontraditional funding acquisition were available to all educators. He stressed, "The key to getting money from any of these foundations or corporations is to have a clear match between the problems your school is having and the foundation's philosophy of giving" (p. 24).

## Reflective Questions to Consider

*“You are today where you thoughts have brought you. You will be tomorrow where you thoughts take you.” James Allen*

1. Do the ideas of maximizing nontraditional funding have any impact on changing the traditional mindset regarding funding within the school district?
2. What conversations need to take place with stakeholders regarding the areas of grant funding, school endowment associations, and foundational/ corporate funding?
3. What are the areas of resistance that individuals might see within a school district or a community if these concepts are implemented?
4. What time frame should an individual consider for transforming a district into one in which fosters entrepreneurial leadership through the acquisition of nontraditional funding?
5. In what other ways might school leaders encourage their school district staff to acquire nontraditional funding?
6. How does the successful acquisition of nontraditional funding by a district’s teachers effect collective bargaining and the negotiations relationship between the teacher’s union and the school board?

## Further Recommended Reading

***“Don’t just read the easy stuff. You may be entertained by it, but you will never grow from it.” Jim Rohn, 2006.***

Barbato, J. (2000). *Writing for a good cause: The complete guide to crafting proposals and other persuasive pieces for nonprofits*. New York, NY: Free Press.

Berry, J. (2010). *Three small cause campaigns that won big with social media*.

Retrieved from <http://mashable.com/2010/09/23/small-non-profits-social-media/>

Blackburn, T. (2003). *Getting science grants: Effective strategies for funding success*.

New York, NY: Galesburg Press.

Breugst, N. (2011, Oct. 21). Perceptions of entrepreneurial passion and employees’ commitment to entrepreneurial ventures. *Entrepreneurship Theory and Practice*, 34, 261-288. doi:10.1111/j.1540-6520.2010.00375.

Browning, B. (2004). *Grant writing for educators: Practical strategies for teachers, administrators, and staff*. New York, NY: Galesburg Press.

Chaplin, R. (2011). *10 pages every charity website should have*. Retrieved from <http://blog.moredonors.com/2010/10/10-pages-every-charity-website-should.html>

## Chapter 7 - Final Thoughts: Nontraditional Funding for Kansas'

### Schools

*“Press on and keep pressing. If you can’t fly, run; if you can’t run, walk; if you can’t walk - CRAWL.” Martin Luther King, Jr. 1956*

*“A conclusion is the place where you get tired of thinking.” Edward DeBono, 1998.*

King’s and DeBono’s statements are interesting concepts regarding the author’s final thoughts on the acquisition of nontraditional funding for Kansas school districts. Although this chapter makes up the conclusion of the handbook on ways to guide Kansas school district leaders in this area, it should not represent a conclusion of thoughts and actions regarding nontraditional funding for our schools.

Although there is always an uncertainty with both traditional and nontraditional funding methods for Kansas school districts, there is a need in Kansas to see the world from a different perspective in regards to school funding. Not only do Kansas school districts need to come to terms with the damages in funding cuts that they have sustained from 2008-2012, but they need to also address the need to see the world from an entrepreneurial leadership aspect. By seeing the world from this context, they can understand that there is a large amount of money available for schools in Kansas both now and in the future.

This handbook provided not only success stories regarding the successful acquisition of funding, but it dispelled myths regarding this sometimes-elusive funding model. The handbook provided step-by-step methods of fund acquisition for schools. In addition, the handbook described the needed tactics in the areas of public relations, educational grant funding,

maximizing endowment associations, and creating links with corporate and foundational givers in Kansas. Finally, the handbook provided lists of the top corporate and foundational givers in Kansas who have given the most to education-related causes in the past years.

The handbook was written in a way so that many individuals from different backgrounds might be able to glean information regarding nontraditional funding for schools from their perspective area. School superintendents, principals, endowment association members, community members, staff, students, and others might be able to search the handbook in order to find both strategies and principles regarding the acquisition of nontraditional funding. Then these individuals might be able to put both these strategies, and their underlining principles, to work for the benefit of the students in their schools. In this way, the handbook was meant to reach as many people as possible.

It is the author's hope that the information provided in the handbook, might be a catalyst for starting a wave of change in both perception and in action in Kansas. Not only do Kansas school district leaders need to be empowered with a new way of thinking about nontraditional fund acquisition through the grounded research of Laudel (2006), but they need to identify themselves through Breugst's (2011) research as entrepreneurial leaders in the state. If this happens, the author believes that a new direction might be forged for Kansas. Not only will there be a new direction in the possible acquisition of funding for schools if this happens, but schools might also be able to be open to new strategies, programs, and projects in which to reach students across the state.

The author recommends that Kansas school district leaders should evaluate their districts, their schools, their students, and their communities that they serve before beginning the process. These leaders need to address their dreams for their district, and their biggest fears in starting the

process of nontraditional fund acquisition. The author also believes that it may be important for school districts in Kansas to start small by brainstorming ideas. This brainstorming can start at any time, and at any level. However, some of these entrepreneurial leadership ideas might include such innovative ideas as:

1. If my revenue streams were inexhaustible for my schools, what would I want to provide for the students in my schools?
2. Is my school district and the community ready to start the process, and what is the best way for me to lead the district in this endeavor?
3. What happens to our students, school district, and community if we choose not to try to acquire nontraditional funding?
4. What are other unforeseen consequences for engaging in campaigns to try to acquire additional nontraditional resources for my school district?
5. How do I encourage my teachers, staff, and community to “own” and “buy in” to the process of nontraditional fund acquisition as well?

No matter what happens as a result of the handbook, the world of nontraditional fund acquisition is constantly shifting and changing, and Kansas educators must be on the forefront of these changes. They must consistently be leaders who lead through entrepreneurial leadership for the betterment of our students, staff, parents, administration, and communities in Kansas. These leaders have a responsibility to press on in the midst of adversity for the altruistic nature of making a better world for the many served through Kansas school districts. This should be an ultimate goal in acquiring nontraditional funding through entrepreneurial leadership. With this mindset as the focus, Kansas school district leaders can not only identify the needs, the capacities for change, but also the willingness to change as well. Through this process, these leaders will

learn new skills, grow professionally, and live a more fulfilling life in Kansas. In addition, they may have the very great possibility of influencing many generations beyond ourselves in this endeavor. The possibilities are limitless.

From this perspective, the author wanted to refocus the reader's attention back to the original purpose of the handbook. When the original focus is again shared, the information in the handbook fits into the proper context, and the proper connections are made. Therefore, this chapter will reflect back on the original purpose of the handbook in this next section.

### **The Purpose of the Handbook**

*“If what you are doing is not moving you towards your goals, then it’s moving you away from your goals.” Brian Tracy, 2006.*

The purpose of the handbook was to provide hope for Kansas educators who might want to evaluate a collective step by step approach for the acquisition of nontraditional funding. However, Kansas educators might also want to use the handbook for the purpose of guiding their district towards general themes of nontraditional funding acquisition. In this way, author of the handbook tried to be specific enough to address the step-by-step direction desired by some Kansas educational leaders, but still be general enough to encompass overall trends of good entrepreneurial leadership at the district level.

Allen (1902) mentioned that “Good thoughts and actions can never produce bad results; bad thoughts and actions can never produce good results” (p. 22). From this perspective, it was the general hope of the author that this handbook might have a lasting impact on nontraditional funding in Kansas. Although the facts may change over time, the principles of entrepreneurial



leadership, the need to provide students with the best educational opportunities, and the uncertainty of funding allow this material to remain constant over the span of time.

## Reflective Questions to consider

*“Coming together is a beginning; keeping together is a progress; working together is success.” Henry Ford, 1928.*

1. What are the biggest dreams and fears for school districts?
2. What is a particular school district known for at the current time?
3. If school district revenue streams were inexhaustible, what would school districts want to provide for the students?
4. Are Kansas school districts and communities ready to start the steps towards maximizing nontraditional funding within Kansas schools?
5. What happens to a school district if the leaders choose not to try to acquire nontraditional funding?
6. What are other unforeseen problems that might emerge if school district leaders start actively pursuing nontraditional funding?

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## Appendix A - Data Collection / Literature Review: Nontraditional Funding Myths

Dispelling three of most common myths regarding the acquisition of nontraditional funding in school districts was an important first task. These myths were reviewed and studied through the criterion sampling process (Creswell, 2007) involving the evaluation of 30 traditional trade-level books regarding the acquisition of nontraditional funding. These resources included the following:

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- Hall, M. (2003). *Getting funded: The complete guide to writing grant proposals (4<sup>th</sup>*

ed.). Boston, MA: Guidemore Press.

- Henson, K. (2003). *Grant writing in higher education: A step-by-step guide*. Boston, MA: Allyn and Bacon.
- Karsh, E. (2006). *The only grant-writing book you'll ever need: top grant writers and grant givers share their secrets (2nd ed.)*. New York, NY: Free Press.
- Laudel, G. (2006). The 'quality myth': Promoting and hindering conditions for acquiring research grants. *Higher Education*, 52, 375-403.
- McIlnay, D. (1998). *How foundations work: What grantseekers need to know about the many faces of foundations*. San Francisco, CA: Jossey-Bass.
- Miner, J. (2005). *Models of proposal planning and writing*. New York, NY: Free Press.
- Miner, L. (2003). *Proposal planning and writing (3rd ed.)* San Francisco, CA: Jossey- Bass.
- Morehouse, M. (2011). *13 tips for pitching your story*. Retrieved from <http://www.fundraising123.org/article/13-tips-pitching-your-story>
- Peek, D. (2010). *Write successful grants for your school: A step by step guide*. Dallas, TX: The School Funding Center Press.
- Ries, J. (1994). *Applying for research funding: Getting started and getting funded*. New York, NY: Free Press.
- Schwartz, N. (2011). *Getting attention*. Retrieved from <http://gettingattention.org/articles/2699/cause-marketing/cause-marketing>
- Stallings, B. (1999). *How to produce fabulous fundraising events: Reap remarkable returns with minimal effort*. Washington, DC: Points of Light Foundation.
- Warner, R.. (1994). *The art of fund raising*, New York, NY: Bantam.
- Weisman, C. (2000). *Secrets of successful fundraising: The best from the nonprofit pros*, St. Louis, MO: F.E. Robbins & Sons.
- Worth, G. (2003). *Fearless fundraising for nonprofit boards (Rev. ed.)*. Washington, DC: Board Source.
- Zunz, O. (2011). *Philanthropy in America*. Princeton, NJ: Princeton University Press.

## Appendix B - Data Collection / Literature Review: Public Relations Strategies

The method used to review sources relating to the most effective public relations strategies for maximizing nontraditional funding was the criterion sampling process (Creswell, 2007) involving the evaluation of traditional trade-level books regarding the data. Using this process, major themes and/or strategies were identified related to effective public relations by using these 16 reviews:

- Berry, J. (2010). *Three small cause campaigns that won big with social media*. Retrieved from <http://mashable.com/2010/09/23/small-non-profits-social-media/>
- Bullas, J. (2011). *Study reveals: 13 best practices of social media implemented by top 200 us charities*. Retrieved from <http://www.jeffbullas.com/2009/11/23/study-reveals-13-best-practices-of-social-media/>
- Burgelman, R. (2001). *Strategic management of technology and innovation (3<sup>rd</sup> ed.)*. Boston, MA: McGraw-Hill Higher Education.
- Chaplin, R. (2011). *10 pages every charity website should have*. Retrieved from <http://blog.moredonors.com/2010/10/10-pages-every-charity-website-should.html>
- Cortez, R. (2011). *10 essential social media slideshare presentations for non-profits*. Retrieved from <http://www.rositacortez.com/social-media-101/10-essential-social-media-slideshare-presentations-fornonprofits/>
- Gale, M. (2005). *Public relations in nonprofit organizations*. Missoula, MT: University of Montana Press.
- Meranus, R. (2011). *Public relations 2.0* Retrieved from <http://www.fundraising123.org/article/public-relations-20>
- Morehouse, M. (2011). *13 tips for pitching your story*. Retrieved from <http://www.fundraising123.org/article/13-tips-pitching-your-story>
- Schwartz, N. (2011). *Getting attention*. Retrieved from <http://gettingattention.org/articles/2699/cause-marketing/>
- Stallings, B. (1999). *How to produce fabulous fundraising events: Reap remarkable returns with minimal effort*. Washington, DC: Points of Light Foundation.
- Tidd, J. (2001). *Management innovation: Integrating technological, market and organization change*. London, UK: John Wiley & Sons.
- Walters, R. (2010). *Media catching and the journalist-public relations practitioner relationship: How social media are changing the practice of media relations* (Doctoral Dissertation) ProQuest Dissertation Database. (UMI No. 1062726X).
- Warner, R.. (1994). *The art of fund raising*, New York, NY: Bantam.
- Worth, G. (2003). *Fearless fundraising for nonprofit boards* (Rev. ed.). Washington, DC: Board Source.

After a review of these sources, the most referenced proactive strategies believed to be the most effective for the acquisition of nontraditional funding for school districts were identified based on the general themes listed in the analytic framework in the literature (149) researched by Laudel (2006).

## Appendix C - Data Collection / Literature Review: Relationship Building

All of the resources regarding social media in nontraditional funding for schools that were reviewed through the criterion sampling process (Creswell, 2007) to identify themes and/or strategies related to the critical importance of relationship-building. (A complete list can be seen in Appendix B). Although the resources listed above discussed the tools of social media, each source also described the underlining effect of the social media was to create and build relationships for the mutual benefit of both groups.

Entrepreneurial theories showed the importance of relationship building as well. These sources included:

- Breugst, N. (2011, Oct. 21). Perceptions of entrepreneurial passion and employees' commitment to entrepreneurial ventures. *Entrepreneurship Theory and Practice*, 34, 261-288. doi:10.1111/j.1540-6520.2010.00375.
- Cottrell, D. (2005). *12 choices that lead to your success*. Dallas, TX: Cornerstone Leadership Press.
- Covey, S. (2003). *The 7 habits of highly effective people*. London, UK: Running Press.
- Deal, T. (2000). *Shaping school culture: the heart of leadership*. San Francisco, CA: Jossey-Bass Press.
- Evans, R. (2001). *The human side of school change: Reform, resistance, and real-life problems of innovation*. San Francisco, CA: Jossey-Bass.
- Fullan, M. (2010). *Motion leadership: The skinny on becoming change savvy*. Thousand Oaks, CA: Corwin Press.
- Geever, Jane. (2007). *Guide to proposal writing (5th ed.)*. New York, NY: Free Press.
- McClelland, D. (2011). Need achievement and entrepreneurship: A longitudinal study. *Journal of Personality and Social Psychology*, 1, 389-392.
- McKelvie, A. (2011, March 20). Advancing firm growth research: a focus on growth mode instead of growth rate. *Entrepreneurship Theory and Practice*, 34, 261-288.

Not only do these theories regarding social change mention that relationship building is important, many sources stressed that it was the most important aspect of this change.

## Appendix D - Data Collection / Literature Review: Educational Grant Writing

The sampling method used to collect data through this part of the process was the criterion sampling process (Creswell, 2007) to identify sources that showcased the most referenced proactive strategies that are believed to be the most effective for the acquisition of nontraditional funding for school districts based on the general themes listed in the analytic framework in the literature (p. 149) researched by Laudel (2006).

These specific strategies were reviewed from 45 traditional trade books regarding the acquisition of nontraditional funding in schools:

- Barbato, J. (2000). *Writing for a good cause: The complete guide to crafting proposals and other persuasive pieces for nonprofits*. New York, NY: Free Press.
- Belcher, J. (1992). *From ideas to funded project: grant proposals that work (4<sup>th</sup> Ed.)*. Fort Worth, TX: Workman Publishers.
- Berry, J. (2010). *Three small cause campaigns that won big with social media*. Retrieved from <http://mashable.com/2010/09/23/small-non-profits-social-media/>
- Blackburn, T. (2003). *Getting science grants: Effective strategies for funding success*. New York, NY: Galesburg Press.
- Blum, L. (1996). *The complete guide to getting a grant: How to turn your ideas into dollars*, San Jose, CA: Jossey-Bass.
- Browning, B. (2005). *Grant writing for dummies (2nd ed.)*. New York, NY: Galesburg Press.
- Bullas, J. (2011). *Study reveals: 13 best practices of social media implemented by top 200 us charities*. Retrieved from <http://www.jeffbullas.com/2009/11/23/study-reveals-13-best-practices-of-social-media-implemented-by-the-top-200-us-charities/>
- Burgelman, R. (2001). *Strategic management of technology and innovation (3<sup>rd</sup> ed.)*. Boston, MA: McGraw-Hill Higher Education.
- Carr, Nora. (2010). *How schools can help the media tell their stories*. Alexandria, VA: National School Board Association.
- Chaplin, R. (2011). *10 pages every charity website should have*. Retrieved from <http://blog.moredonors.com/2010/10/10-pages-every-charity-website-should.html>
- Coley, S. (2000). *Proposal writing (2nd ed.)*. New York, NY: Free Press.
- Cortez, R. (2011). *10 essential social media slideshare presentations for non-profits*. Retrieved: <http://www.rositacortez.com/social-media-101/10-essential-social-media-slideshare-presentation/fornonprofits/>

- Deal, T. (2000). *Shaping school culture: the heart of leadership*. San Francisco, CA: Jossey-Bass Press.
- Frye, G. (2012). *Why every public school needs a grant writer*. Dallas, TX: Grant Professionals Association.
- Fullan, M. (2010). *Motion leadership: The skinny on becoming change savvy*. Thousand Oaks, CA: Corwin Press.
- Gale, M. (2005). *Public relations in nonprofit organizations*. Missoula, MT: University of Montana Press.
- Geever, Jane. (2007). *Guide to proposal writing (5th ed.)*. New York, NY: Free Press.
- Gillett, R. (1991). Pitfalls in assessing research performance by grant income. *Scientometrics*, 22, 253-263.
- Grantmanship Center, The. (2011). *Corporate giving programs: Kansas*. Retrieved from <http://www.tgci.com/funding/>
- Hale, P. (1999). *Writing grant proposals that win (2nd ed.)*. New York, NY: Corwin Press.
- Hall, M. (2003). *Getting funded: The complete guide to writing grant proposals (4<sup>th</sup> ed.)*. Boston, MA: Guidemore Press.
- Hammack, D. (2013). Nonprofit organizations in american history. *American Behavioral Scientist*. Seattle, WA: Western Reserve University Press.
- Henson, K. (2003). *Grant writing in higher education: A step-by-step guide*. Boston, MA: Allyn and Bacon.
- Hord, S. (1994). Staff development and change process: Cut from the same cloth. *Issues...About Change*, 4(2).
- Karsh, E. (2006). *The only grant-writing book you'll ever need: top grant writers and grant givers share their secrets (2nd ed.)*. New York, NY: Free Press.
- Laudel, G. (2006). The 'quality myth': Promoting and hindering conditions for acquiring research grants. *Higher Education*, 52, 375-403.
- McIlnay, D. (1998). *How foundations work: What grantseekers need to know about the many faces of foundations*. San Francisco, CA: Jossey-Bass.
- McKelvie, A. (2011, March 20). Advancing firm growth research: a focus on growth mode instead of growth rate. *Entrepreneurship Theory and Practice*, 34, 261-288. doi:10.1111/j.1540-6520.2010.00375
- Meranus, R. (2011). *Public relations 2.0* Retrieved from: <http://www.fundraising123.org/article/public-relations-20>
- Miner, J. (2005). *Models of proposal planning and writing*. New York, NY: Free Press.
- Miner, L. (2003). *Proposal planning and writing (3rd ed.)*. San Francisco, CA: Jossey-Bass.
- Morehouse, M. (2011). *13 tips for pitching your story*. Retrieved from <http://www.fundraising123.org/article/13-tips-pitching-your-story>
- Norman, C. (2010). *How networked nonprofits are using social media to power change*. Retrieved from <http://www.bethkanter.org/50smt/>
- Peek, D. (2010). *Write successful grants for your school: A step by step guide*. Dallas, TX: The School Funding Center Press.
- Ries, J. (1994). *Applying for research funding: Getting started and getting funded*. New



York, NY: Free Press.

- Schwartz, N. (2011). *Getting attention*. Retrieved from <http://gettingattention.org/articles/2699/cause-marketing/cause-marketing-101.html>
- Stallings, B. (1999). *How to produce fabulous fundraising events: Reap remarkable returns with minimal effort*. Washington, DC: Points of Light Foundation.
- Tidd, J. (2001). *Management innovation: Integrating technological, market and organization change*. London, UK: John Wiley & Sons.
- Walters, R. (2010). *Media catching and the journalist-public relations practitioner relationship: How social media are changing the practice of media relations* (Doctoral Dissertation) ProQuest Dissertation Database. (UMI No. 1062726X).
- Warner, R. (1994). *The art of fund raising*, New York, NY: Bantam.
- Weisman, C. (2000). *Secrets of successful fundraising: The best from the nonprofit pros*, St. Louis, MO: F.E. Robbins & Sons.
- Wilson, D. (2010). Eight recession proof tips for communications. *Hershey/ Cause*. Retrieved from <http://www.hersheycause.com/hot-topic-recession-proof-communications-tips.php>
- Williamson, D. (2009). *Marketing & communications in nonprofit organizations*. Georgetown, NJ: Center for Public and Nonprofit Leadership.
- Worth, G. (2003). *Fearless fundraising for nonprofit boards*, revised edition. Washington, DC: Board Source.
- Zunz, O. (2011). *Philanthropy in America*. Princeton, NJ: Princeton University Press.

## Appendix E - Data Collection / Literature Review: School Endowment Associations

The information regarding resources for addressing the maximization of fundraising strategies regarding school endowment associations came from 11 different sources including:

- Barbato, J. (2000). *Writing for a good cause: The complete guide to crafting proposals and other persuasive pieces for nonprofits*. New York, NY: Free Press.
- Bullas, J. (2011). *Study reveals: 13 best practices of social media implemented by top 200 us charities*. Retrieved from <http://www.jeffbullas.com/2009/11/23/study-reveals-13-best-practices-of-social-media-implemented-by-the-top-200-us-charities/>
- Meranus, R. (2011). *Public relations 2.0* Retrieved from <http://www.fundraising123.org/article/public-relations-20>
- Miner, J. (2005). *Models of proposal planning and writing*. New York, NY: Free Press.
- Morehouse, M. (2011). *13 tips for pitching your story*. Retrieved from <http://www.fundraising123.org/article/13-tips-pitching-your-story>
- Schwartz, N. (2011). *Getting attention*. Retrieved from: <http://gettingattention.org/articles/2699/cause-marketing/cause-marketing-101.html>
- Stallings, B. (1999). *How to produce fabulous fundraising events: Reap remarkable returns with minimal effort*. Washington, DC: Points of Light Foundation.
- Warner, R.. (1994). *The art of fund raising*. New York, NY: Bantam.
- Weisman, C. (2000). *Secrets of successful fundraising: The best from the nonprofit Pros*. St. Louis, MO: F.E. Robbins & Sons.
- Wilson, D. (2010). Eight recession proof tips for communications. *Hershey/ Cause*. Retrieved from <http://www.hersheycause.com/hot-topic-recession-proof-communications-tips.php>
- Worth, G. (2003). *Fearless fundraising for nonprofit boards* (Rev ed.). Washington, DC: Board Source.

There were also many resources that focused on progressive steps that school endowment associations could do in the area of social media changes. These included:

- Berry, J. (2010). *Three small cause campaigns that won big with social media*. Retrieved from <http://mashable.com/2010/09/23/small-non-profits-social-media/>
- Bullas, J. (2011). *Study reveals: 13 best practices of social media implemented by top 200 us charities*. Retrieved from <http://www.jeffbullas.com/2009/11/23/study-reveals-13-best-practices-of-social-media-implemented-by-the-top-200-us-charities/>
- Burgelman, R. (2001). *Strategic management of technology and innovation* (3<sup>rd</sup> ed.).

Boston, MA: McGraw-Hill Higher Education.

- Chaplin, R. (2011). *10 pages every charity website should have*. Retrieved from <http://blog.moredonors.com/2010/10/10-pages-every-charity-website-should.html>
- Cortez, R. (2011). *10 essential social media slideshare presentations for non-profits*. Retrieved from <http://www.rositacortez.com/social-media-101/10-essential-social-media-slideshare-presentation/fornonprofits/>
- Hale, P. (1999). *Writing grant proposals that win (2nd ed.)*. NY, New York: Corwin Press.
- Norman, C. (2010). *How networked nonprofits are using social media to power change*. Retrieved from <http://www.bethkanter.org/50smt/>
- Tidd, J. (2001). *Management innovation: Integrating technological, market and organization change*. London, UK: John Wiley & Sons.
- Walters, R. (2010). *Media catching and the journalist-public relations practitioner relationship: How social media are changing the practice of media relations* (Doctoral Dissertation) ProQuest Dissertation Database. (UMI No. 1062726X).

Another 11 resources showed the need for the school endowment association and the school district to have on-line giving tools and/or links where potential givers might be able to easily donate to a particular cause by using their credit card. These included:

- Berry, J. (2010). *Three small cause campaigns that won big with social media*. Retrieved from <http://mashable.com/2010/09/23/small-non-profits-social-media/>
- Bullas, J. (2011). *Study reveals: 13 best practices of social media implemented by top 200 us charities*. Retrieved from <http://www.jeffbullas.com/2009/11/23/study-reveals-13-best-practices-of-social-media-implemented-by-the-top-200-us-charities/>
- Burgelman, R. (2001). *Strategic management of technology and innovation (3<sup>rd</sup> ed.)*. Boston, MA: McGraw-Hill Higher Education.
- Chaplin, R. (2011). *10 pages every charity website should have*. Retrieved from <http://blog.moredonors.com/2010/10/10-pages-every-charity-website-should.html>
- Cortez, R. (2011). *10 essential social media slideshare presentations for non-profits*. Retrieved from <http://www.rositacortez.com/social-media-101/10-essential-social-media-slideshare-presentation/fornonprofits/>
- Norman, C. (2010). *How networked nonprofits are using social media to power change*. Retrieved from <http://www.bethkanter.org/50smt/>
- Stallings, B. (1999). *How to produce fabulous fundraising events: Reap remarkable returns with minimal effort*. Washington, DC: Points of Light Foundation.
- Tidd, J. (2001). *Management innovation: Integrating technological, market and organization change*. London, UK: John Wiley & Sons.
- Walters, R. (2010). *Media catching and the journalist-public relations practitioner relationship: How social media are changing the practice of media relations* (Doctoral Dissertation) ProQuest Dissertation Database. (UMI No. 1062726X).

- Weisman, C. (2000). *Secrets of successful fundraising: The best from the nonprofit pros*, St. Louis, MO: F.E. Robbins & Sons.
- Williamson, D. (2009). *Marketing & communications in nonprofit organizations*. Georgetown, NJ: Center for Public and Nonprofit Leadership.

## **Appendix F - Complete List of Kansas' Top 21 Education-Friendly Corporations**

The following is a list of the 21 most philanthropic and educational-friendly corporations in Kansas. The author uncovered these 21 corporations by using the Cross-Sectional Research Model referenced in Creswell (2007). This model allowed the author to collect data on organizations at the same time (December, 2011), and at only one interval. Using this method, the author identified the most overall Kansas philanthropic organizations, then cross-referenced this list by selecting only the foundations that gave the most overall money to Kansas educational causes within a one-year period (The Grantsmanship Center, 2011). Therefore, the following list (in alphabetical order), and the current location of the Kansas corporations, are listed below:

1. Applebee's International, Inc. (Lenexa, Kansas)
2. Ash Grove Cement Company (Overland Park, Kansas)
3. Berry Companies, Inc. (Wichita, Kansas)
4. Blue Cross / Blue Shield of Kansas (Topeka, Kansas)
5. Capitol Federal Financial (Topeka, Kansas)
6. Cessna Aircraft Company (Wichita, Kansas)
7. Dondlinger and Sons Construction Company, Inc. (Wichita, Kansas)
8. Farmer Alliance Mutual Insurance Company (McPherson, Kansas)
9. INTRUST Bank (Wichita, Kansas)
10. Koch Industries, Inc. (Wichita, Kansas)
11. O'Conner Company, Inc. (Wichita, Kansas)
12. Payless Shoe Source, Inc. (Topeka, Kansas)

13. Sprint Nextel Corporation (Overland Park, Kansas)
14. Star Lumber and Supply Co. Inc. (Wichita, Kansas)
15. The Central National Bank (Topeka, Kansas)
16. The Coleman Company, Inc. (Wichita, Kansas)
17. The Law Company, Inc. (Wichita, Kansas)
18. The Peterson Industries, Inc. (Smith Center, Kansas)
19. The Security Benefit Group of Companies/ SBG (Topeka, Kansas)
20. Westar Energy, Inc. (Topeka, Kansas)
21. YRC (Overland Park, Kansas). (p. 1)

## **Appendix G - Complete List of Kansas' Top 30 Education-Friendly Foundations**

The following is a list of the 30 most philanthropic and educational-friendly foundations in Kansas. These 30 foundations were identified by using the Cross-Sectional Research Model referenced in Creswell (2007). The author was able to collect data on foundations at the same time (December, 2011), and at only one interval. The author first identified the most overall Kansas philanthropic foundations, then cross-referenced this list by selecting only the foundations that gave the most overall money to Kansas educational causes within a one-year period (The Grantsmanship Center, 2011). Therefore, the following list of Kansas' most education-friendly philanthropic foundations (and their overall 2011 philanthropic giving totals) are shown below:

1. Kansas Health Foundation	\$15,444,473
2. American Academy of Family Physicians Foundations	\$8,675,740
3. Harry J. Lloyd Charitable Trust	\$8,557,457
4. Sunflower Foundation: Healthy Care for Kansas	\$5,586,867
5. The Sprint Foundation: Health Care for Kansas	\$5,472,949
6. Hutchinson Community Foundation	\$3,882,643
7. Sunderland Foundation	\$3,747,500
8. Capitol Federal Foundation	\$3,737,150
9. Dane G. Hansen Foundation	\$3,533,800
10. Wichita Community Foundation	\$3,087,157
11. United Methodist Health Ministry Fund	\$2,620,046
12. Greater Salina Community Foundation	\$2,502,664

13. Walter S. and Evan C. Jones Foundation	\$1,795,743
14. South Central Community Foundation	\$1,531,139
15. Fred C. and Mary R. Koch Foundation, Inc.	\$1,485,923
16. Topeka Community Foundation	\$1,247,071
17. K. T. Wiedemann Foundation, Inc.	\$1,080,595
18. Baughman Foundation	\$1,019,098
19. Westar Kansas Community Foundation	\$709,441
20. Douglas County Community Foundation	\$701,967
21. Goebel Family-Star Lumber Charitable Foundation	\$667,266
22. Scott Community Foundation	\$593,520
23. Westar Energy Foundation	\$579,425
24. INTRUST Bank Charitable Trust	\$524,497
25. McPherson County Community Foundation	\$504, 404
26. The Cooper-Clark Foundation	\$500,218
27. Ethel and Raymond F. Rice Foundation	\$490,000
28. The Emporia Community Foundation	\$486,750
29. The Women's Foundation of Greater Kansas City	\$485,257
30. Collective Brands Foundation	\$483,919. (p. 1)



## **Chapter 5-Conclusion**

Chapter 5 summarizes the research and development activities used to create *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding*. This chapter also presents the summary of activities, research questions and results, reflection, conclusions, recommendations for future studies, dissemination, and summary.

### **Summary of Activities**

The purpose of this study was to use the research, develop, and validate a comprehensive handbook of effective strategies to guide Kansas educational leaders in maximizing nontraditional funding streams for school districts in the state. The research and development (R & D) methodology recommended by Gall, Borg & Gall (2007) was used to complete this study through a seven-step cycle, which consisted of these steps:

1. Research literature review
2. Needs assessment and proof of concept
3. Development of a prototype
4. Preliminary field test
5. Initial revision
6. Main field test
7. Final revision

The literature review was completed from April, 2010 through September, 2012. The needs assessment was then conducted in January of 2013, and the proof of concept stage followed in February of 2013. From February of 2013 through early May of 2013, the first prototype was developed.

The preliminary field test began in May of 2013 with the first prototype of the handbook. The prototype was sent to five Kansas experts outside the field of education who had strengths in nontraditional funding acquisition and entrepreneurial leadership based on meeting two or more of the criteria listed below:

- An individual who had published three or more books/ articles on topics for acquisition of nontraditional funding through grants, donation, and endowments.
- An individual who had published three or more books or articles on the topics of entrepreneurial leadership and/or school reform.
- An individual who was a highly successful grant writer who has at least a 10-year track-record of acquiring large educational grant funding.
- A leader of a very prestigious and highly successful nonprofit or philanthropic organization that deals with educational issues.

Based on the comments and suggestions from these preliminary field test experts, revisions were made to the prototype in late May of 2013. Once these revisions were complete, the main field test began.

The main field test was then conducted from late May, 2013 through mid-June, 2013. Twelve Kansas superintendents were chosen using Creswell's (2007) the "random purposeful" sampling model (127) and divided into two groups based on size. This sampling model added credibility to the sample because the purposeful sample was too large.

After the superintendents were divided into these two groups, the lists of superintendents were chosen at random and sent of the prototype, survey, and other corresponding material in late May, 2013. This main field test continued from late May, 2013, through mid-June, 2013.

Based on the comments and suggestions from the main field test experts, additional revisions were made to the handbook prototype. This final version of *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding* was completed in June of 2013 and was included as Chapter 4 of this dissertation.

## **Research Questions and Results**

The research for this R & D dissertation was focused on the key question: What are the critical elements that will enable school leaders to maximize their ability to acquire and use nontraditional funding streams for Kansas School Districts?

Two sub-questions were also explored. It was discovered that the key elements that enable school leaders to maximize their nontraditional funding were found in both strategies and principles. It was therefore not only important for school leaders to learn the strategies of maximizing nontraditional funding now, but it was also important for these leaders to learn the principles behind acquiring this money for schools. Knowing the effective strategies would assist the school leaders in the present, while knowing the principles behind the strategies would be able to affect the school leaders in the future when different strategies are needed (technology changes, political funding, etc.) Therefore, Laudel's (2006) models for nontraditional fund acquisition in educational settings were used as a framework for both the current strategies and the timeless principles. Since Laudel (2006) discussed the importance of entrepreneurialism in the work, Breugst's (2011) entrepreneurial theories were used in order to teach principles necessary for fund acquisition as well. Therefore, the sub-questions focused on the strategies and the principles. As a result, the following sub-questions were answered to inform the development of the handbook:

- What were the strategies needed in order to maximize nontraditional funding for Kansas school districts?
- What were important considerations affecting implementation of entrepreneurial change so that nontraditional funding streams continue to help Kansas school districts far into the future?

***1<sup>st</sup> Sub-Question Answer: Strategies to Maximize Nontraditional Funding***

Strategies that were covered in the handbook were based on the research framework of Laudel (2006) regarding the maximization of nontraditional funding. From the research framework, strategies that were discussed in the dissertation focused on these main themes:

- Kansas success stories regarding the acquisition of nontraditional funding
- Strategies for cultivating public relations
- Strategies for cultivating relationship-building
- Strategies for educational grant writing
- Strategies for school endowment associations
- Strategies for foundational and corporate giving

The collective purpose of the strategies in this study was to create a comprehensive step-by-step guide for Kansas school district leaders by researching best practices so that they might acquire and maximize their nontraditional funding streams. These strategies, set in handbook form, showed what could be implemented to bring about and sustain a successful change process focused on the improvement of the acquisition of these funds for Kansas schools. The resulting strategies and entrepreneurial change considerations in the handbook can be used by teachers, school administrators, school board members, and community members who are attempting to maximize their skills and practices as they influence the behaviors, beliefs, and norms of their

school communities. Although these skills and practices were critical during times of low funding in public education (2008-2012), they are also important to learn for the benefit of school district leaders who want to focus on maximizing available money so as to impact and guide students learning during regular years of public funding for education.

### ***2<sup>nd</sup> Sub-Question Answer: Important Considerations for Entrepreneurial Leadership***

The second purpose of the study dealt with fostering entrepreneurial leadership in Kansas school districts for the benefit of maximizing nontraditional funding. The important considerations that were used in the handbook reflect Breugst's (2011) theories on entrepreneurial leadership. These principles of entrepreneurial leadership were meant to guide Kansas school district leaders far into the future with the acquisition of nontraditional funding. The important considerations regarding entrepreneurial leadership dealt with these concepts:

- Studies on creativity suggested that the single variable of whether or not employees will be creative was whether or not they perceived they had permission (Breugst, 2011; Hill, 2012).
- Since entrepreneurial leadership is based on creativity, the perception of opportunities, and action, educational leaders must see the world differently in order to change their schools, districts, and communities (Westhead, 2000).
- When educational leaders see the world differently, their actions change as a result (Glasser, 2010).
- Studies showed that employees' perceptions of their supervisor's passion for inventing, founding, and developing differentially impact commitment and motivation (Breugst, 2011).

- When other educators in the organization see that the educational leaders see the world differently, the followers are free to see daily situations differently as well. As a result, the actions of the followers will change as well. In this way, freedom of thinking can allow more freedom of thinking (Westhead, 2000).

The goal of this second sub-question dealt with fostering long-range changes through entrepreneurial leadership skills and theory. These principles, put in handbook form, were added in the handbook in order to affect long and lasting change for years into the future.

## **Reflection**

When the researcher started the dissertation process, he wanted to create a user-friendly handbook for his colleagues to use. These ideas were encouraged by the fact that many of his colleagues mentioned how they would like a handbook that had more applications and less theory. Through the literature review process, the importance of theory-based research became extremely clear. It became obvious that theory based research was not the enemy of the practitioners in the field, but that theory was the “proverbial rock” that effective educational leaders needed to stand on in order to help them guide their movement forward. Theoretical approaches to educational funding problems and possible solutions to these problems through nontraditional funding could provide principles of truth that other ideas could be built upon. Therefore, a marriage of theory and skills was necessary for the handbook. This was important not only for the completion of this project, but for the rationale and the long-term sustainability of the process for years to come. The practices, the strategies, and the skills may come and go, but the principles behind the practices will live on. The researcher learned that the principles will apply because they were rooted in appropriate theory.

## Conclusions

The purpose of the study was to research, develop, and validate the concepts for a comprehensive handbook for Kansas' educational leaders to increase the likelihood of maximizing nontraditional funding options for school districts. From following the R & D process prescribed by Borg et al. (2007), the following conclusions were drawn:

1. Expert panelists in multiple phases of the process indicated a strong need for Kansas school district administrators, board members, endowment society members, and communities to be educated regarding the proactive steps to take in order to increase the likelihood of securing nontraditional funding for their school districts.
2. Expert panelists in multiple phases of the process indicated agreement that school finance had changed dramatically in Kansas during the years between 2008-2012 (with a general 11% drop in the operating budgets of most schools), and that schools were more likely to look at non-traditional options to ease the strain on the districts' general fund or provide additional resources for the schools during a downturn in the economy.
3. Expert panelists in multiple phases of the process indicated agreement that the handbook would be a useful resource to provide guidance and support for Kansas school leaders regarding maximizing their donations and grant funding.
4. Expert panelists in multiple phases of the process indicated agreement that a comprehensive handbook that blended theory, research, and practice for instructional leaders on how to conduct effective campaigns on acquiring additional revenue could help change the mindset of some Kansas school leaders into a mindset focused more on the principles of entrepreneurial leadership.

## **Implications**

The future implications of school finance in Kansas are uncertain at the present time. As of July of 2013, Kansas school districts received no additional money from the state for Fiscal Year 2014, and the Kansas legislature and Kansas governor have continued to be interested in restructuring and rewriting the school finance formula for schools in the state (Gannon vs. State of Kansas, 2013).

Both of these facts continued the Gannon vs. State of Kansas (2013) lawsuit filed against the State of Kansas by a group of Kansas school districts called “Schools for Fair Funding” who are challenging the constitutionality of whether the state can lower the finance formula BSAPP at will. In their suit, the plaintiffs claimed that state leaders had unconstitutionally made cuts in funding for public education in contravention of Article 6 of the Kansas Constitution which states that “the legislature shall make suitable provision for finance of the educational interests of the state” (Kansas Constitution § Article 6, 2012). In accordance with Kansas law, a three-judge panel had been appointed to preside over the trial in the Shawnee County District Court. Although this lower court sided with “Schools For Fair Funding” on January 11, 2013, the state quickly appealed the decision to the Kansas Supreme Court, and this higher court set a date for the first hearings on October 8, 2013 (Gannon vs. State of Kansas, 2013).

There are implications regarding the continuing cost of education in Kansas at this time because the needs and costs of Kansas school districts continue to rise. Not only is funding for education “flat” at this time in Kansas history, but the needs of students, staff, and the communities continue to increase as well. Although the strategies and principles shared in the handbook are not for the purpose of supplanting costs, they might have the ability to supplement



existing programs, bring new programs into existence, and increase the overall revenue streams that come into Kansas districts in order to help our students succeed.

Other implications deal with the changing mindsets of Kansas educational leaders at this current time in history. Since there are over 40 new superintendent changes (from a group of 286) in Kansas for FY 2014, the handbook could be helpful for a new group of individuals who are eager to learn about the history of Kansas school finance, as well as learn strategies to maximize nontraditional funding acquisition for their districts (Dennis, personal communications, June 25, 2013).

### **Recommendations for Future Studies**

The research methodology used for the study was that of research and development (R & D) as described by Gall et al. (2007). The research literature review recommended a ten-step R & D model that included a summative evaluation of the product. However, this study was limited to the first seven steps that encompassed development and formative evaluation of the handbook. The study was limited in this way because of financial and time considerations, and because the last few steps were beyond the scope of this study (Gall, Borg, & Gall, 2007). Therefore, further research could be done regarding the dissemination of the final product, and the possible long-range longitudinal impact that the handbook might have on entrepreneurial leadership in Kansas regarding the acquisition of nontraditional funding. This information could also be quantified in terms of new dollars and new programs accrued over many years by using these practices within Kansas school districts.

Other research could be conducted on the specific supports that need to be provided in order to assist the long-term change process for Kansas school districts. There might be other unforeseen issues that might result from acquiring large sums of nontraditional funding streams

for Kansas school districts. These additional items in the future might consist of: political influence changes, media changes, community relations, student enrollment increases, use of staff members' time, and teacher negotiations changes. All of these areas could be possible topics to cover in additional studies in the future for school leaders who choose to enact some of the principles and strategies listed in the handbook.

## **Dissemination**

An important part of the research and development methodology is the dissemination of the product after field-testing has been completed. The information developed for the handbook can be disseminated in several ways:

1. The Kansas Association of School Boards has expressed interest in keeping a copy of the handbook and dissertation on file in their library. This handbook could then be used as a resource for current or aspiring school leaders in Kansas who wish to learn strategies for maximizing nontraditional funding for schools.
2. The Kansas Association of School Boards can disseminate the handbook to Kansas school districts in the state.
3. The Kansas Association of School Boards, the Kansas Department of Education, the Kansas National Education Association, and the Kansas School Superintendent Association can advertise about the resource in their newsletters and provide links to the handbook resource within their web pages.
4. The handbook can be used as a supplementary text for graduate students in the area of educational leadership and school administration. The research topics of entrepreneurial leadership, school finance, nontraditional funding acquisition, public

relations, and school marketing through school endowments, foundational giving, and corporate donations would be the most relative to this work.

5. Sections from individual chapters of the handbook could be revised and submitted for publication in books or peer-reviewed journals in educational leadership and school administration.

## **Summary**

Previous chapters of this dissertation described the challenging financial picture in the state of Kansas and discussed some of the issues facing school districts during this process. Proactive steps were discussed for school districts and school district leaders to take in order to stay proactive and try to offset some of these financial difficulties.

Based on the R & D process used for this research, representative school district leaders in Kansas recognized and validated a need for a comprehensive guide to help school leaders increase the likelihood of maximizing nontraditional funding for their districts. Use of the strategies from this handbook could guide Kansas school leaders in seeing the world in terms of abundance instead of scarcity. Overall, use of the strategies provided in this comprehensive handbook could give educational leaders more opportunities for funding Kansas schools and Kansas children.

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## APPENDICES

### Appendix A - Needs Assessment

Opening Statement: The researcher would like to conduct research on the possible development of a handbook: *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding*. However, before the research begins, it is important to conduct a “needs assessment” to determine if there is a need for this handbook among Kansas school district leaders. Therefore, these questions (below) are an attempt to identify a possible need within Kansas school district leaders and Kansas school districts.

Questions on the Needs Assessment:

1. Do you feel that there is a need for the handbook: *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding* that focuses on Kansas school funding options?
2. Why or why not (regarding question 1)?
3. In your opinion, how has school funding/ lack of school funding impacted your job as the district superintendent?
4. How could such a book be helpful to you and/or your district?
5. Are there key ideas that should be included in the handbook?
6. Are there any potential roadblocks or limitations that the researcher should be aware of before research is conducted on creating a handbook of this nature for Kansas school leaders?
7. How do you think your administration and staff would view this information?
8. What are the other groups who might make use of the information?

## **Appendix B - Proof of Concept: Outline**

**Proposed Title: *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding***

Chapter 1: The Uncertain Future of Traditional Kansas School Funding

Chapter 2: The Need for Change in Kansas School Districts

- How Traditional Kansas School Finance Cuts have Hurt our Schools
- Seeing the World Differently via “Entrepreneurial Leadership”

Chapter 3: Evaluating Nontraditional Funding for Kansas School Districts

- Success Stories in Kansas via Nontraditional Funding Methods
- Disproving Myths regarding Nontraditional Funding

Chapter 4: Analytical Research on Maximizing Nontraditional Funding in Schools

- The Goals of Revenue Enhancement for Kansas Schools.
- Strategies for Maximizing Nontraditional Funding in Schools

Chapter 5: The Human Impact and Perception: Maximizing Nontraditional Funding

- The Importance of Relationship-Building
- The Important Role Public Relations Plays

Chapter 6: Proactive tips for Kansas School Leaders to Acquire Additional Funding

- Effective Strategies for Educational Grant Funding
- Effective School Endowment Association Strategies
  - Strategies for Acquiring Foundational/ Corporate Funding

Chapter 7: Final Thoughts on the Use of Nontraditional Funding in Kansas Schools.

## Appendix C - Proof of Concept Outline and Survey Letter of Instruction

TO: Proof of Concept Reviewers  
FROM: Brian Pekarek  
DATE:  
RE: Proof of Concept Outline Evaluation

Thank you for agreeing to participate in the Proof of Concept Outline Evaluation of *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding*, a handbook being developed as part of a dissertation for a doctorate degree in educational leadership at Kansas State University, Manhattan, Kansas.

As previously explained, the purpose of this dissertation project is to research, design, and create a handbook to support Kansas school leaders who wish to maximize their nontraditional funding streams within their districts through endowments, donations, and grant funding. The research methodology used in this dissertation is the Research & Development (R & D) model, a process in which a product is developed, field tested, and revised on the basis of information received from the proof of concept evaluation and the field tests. Your evaluation will provide me with information for revising and improving the handbook.

Enclosed are a draft of the handbook chapters, an informed consent permission form, and the Proof of Concept Outline Evaluation form. An electronic version of the evaluation form has been emailed to you. Please return the permission form and Prototype Outline Evaluation (either by mail or electronically) no later than Feb. 1, 2013.

Should you have any questions or concerns regarding the process or need further information, please contact my major professor, Dr. Teresa Miller, or myself. Our contact information is enclosed for your convenience. Thank you for your assistance in this endeavor.

Mr. Brian Pekarek  
USD 257 Iola Superintendent  
408 North Cottonwood  
Iola, KS 66749  
620-365-4700 office  
620-363-1815 cell  
[brian.pekarek@usd257.org](mailto:brian.pekarek@usd257.org)

Dr. Teresa Northern Miller, Ed.D.  
Associate Professor  
KSU/College of Education  
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Mid-Campus Drive  
Bluemont Hall 303  
Manhattan, KS 66506  
785-532-5609  
[tmiller@ksu.edu](mailto:tmiller@ksu.edu)

## Appendix D - Proof of Concept Outline Survey

Please include comments or suggestions after viewing the Proposed Chapters from: *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding*

Please answer the following questions in as much detail as you feel necessary.

1. Is the outline comprehensive? Are there any key concepts omitted?
2. Is there a need for this type of a handbook?
3. Do you feel that school district leaders could be impacted by this research?
4. What is the greatest strength of the proposed handbook?
5. What is the greatest weakness of the proposed handbook?
6. What content would you add or delete (if any)?
7. What suggestions do you have for making the content more clear or understandable?
8. Other suggestions:

## Appendix E - Letter of Instruction for Preliminary Field Test

TO: Preliminary Field Test Expert Reviewers  
FROM: Brian Pekarek  
DATE:  
RE: Preliminary Field Test Evaluation

Thank you for agreeing to participate in the preliminary field test of *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding*, a handbook being developed as part of a dissertation for a doctorate degree in educational leadership at Kansas State University, Manhattan, Kansas.

As previously explained, the purpose of this dissertation project is to research, design, and create a handbook to support Kansas school leaders who wish to maximize their nontraditional funding streams within their districts through endowments, donations, and grant funding. The research methodology used in this dissertation is the Research & Development (R & D) model, a process in which a product is developed, field tested, and revised on the basis of information received from the field test. Your evaluation will provide me with information for revising and improving the handbook.

Enclosed are a draft of the handbook, an informed consent permission form, and the Preliminary Field Test Evaluation form. An electronic version of the evaluation form has been emailed to you. Please return the permission form and Preliminary Field Test Evaluation (either by mail or electronically) no later than May 21st, 2013. A self-addressed stamped envelope has been enclosed for your convenience.

Should you have any questions or concerns regarding the process or need further information, please contact my major professor, Dr. Teresa Miller, or myself. Our contact information is enclosed for your convenience. Thank you for your assistance in this endeavor.

Mr. Brian Pekarek  
USD 257 Iola Superintendent  
408 North Cottonwood  
Iola, KS 66749  
620-365-4700 office  
620-363-1815 cell  
[brian.pekarek@usd257.org](mailto:brian.pekarek@usd257.org)

Dr. Teresa Northern Miller, Ed.D.  
Associate Professor  
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Department of Educational Leadership  
Mid-Campus Drive  
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Manhattan, KS 66506  
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## Appendix F - Preliminary Field Test Survey

### **Preliminary Field Test Evaluation form for *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding***

Name \_\_\_\_\_

This evaluation has three parts:

Part 1: Evaluation of the format of the handbook (organization, readability, and usability)

Part 2: Evaluation of the content of the handbook (quality and relevance)

Part 3: Additional Comments/Suggestions

Based on your review of the handbook, please use the following rating scale to respond to each of the following questions by circling the response that most closely matches your views.

**1 = Strongly Disagree**

**2 = Disagree**

**3 = Neutral**

**4 = Agree**

**5 = Strongly Agree**

#### **Part 1: Format of the Handbook**

Please rate the following characteristics of the handbook on a scale of 1 (Strongly Disagree) to 5 (Strongly Agree).

	SD	D	N	A	SA
1. Content is presented in logical sequence. Comments/Suggestions:	1	2	3	4	5
2. Organizational components facilitate reader use. Comments/Suggestions:	1	2	3	4	5
3. Text is clear, concise, and easy to read. Comments/Suggestions:	1	2	3	4	5
4. Handbook is presented in an attractive format. Comments/Suggestions:	1	2	3	4	5

**Part 2: Content of the Handbook**

Please rate the following characteristics of the handbook on a scale of 1 (Strongly Disagree) to 5 (Strongly Agree).

	SD	D	N	A	SA
5. Content is based on current practices. Comments/Suggestions:	1	2	3	4	5
6. The appropriate strategies have been included. Comments/Suggestions:	1	2	3	4	5
7. Handbook provides accurate information. Comments/Suggestions:	1	2	3	4	5
8. Overall, the handbook will be a useful tool. Comments/Suggestions:	1	2	3	4	5

**Part 3: Additional Comments/Suggestions**

Please answer the following questions in as much detail as you feel necessary.

9. What is the greatest strength of the handbook?

10. What is the greatest weakness of the handbook?

11. What content would you add or delete?

12. What suggestions do you have for making the content more clear or understandable?

## Appendix G - Letter of Instruction for Main Field Test

TO: Main Field Test Expert Reviewers  
FROM: Brian Pekarek  
DATE:  
RE: Main Field Test Evaluation

Thank you for agreeing to participate in the main field test of *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding*, a handbook being developed as part of a dissertation for a doctorate degree in educational leadership at Kansas State University, Manhattan, Kansas.

As previously explained, the purpose of this dissertation project is to research, design, and create a handbook to support Kansas school leaders who wish to maximize their nontraditional funding streams within their districts through endowments, donations, and grant funding. The research methodology used in this dissertation is the Research & Development (R & D) model, a process in which a product is developed, field tested, and revised on the basis of information received from the field test. Your evaluation will provide me with information for revising and improving the handbook.

Enclosed are a draft of the handbook, an informed consent permission form, and the Main Field Test Evaluation form. An electronic version of the evaluation form has been emailed to you. Please return the permission form and Main Field Test Evaluation (either by mail or electronically) no later than June 7th, 2013. A self-addressed stamped envelope has been enclosed for your convenience.

Should you have any questions or concerns regarding the process or need further information, please contact my major professor, Dr. Teresa Miller, or myself. Our contact information is enclosed for your convenience. Thank you for your assistance in this endeavor.

Mr. Brian Pekarek  
USD 257 Iola Superintendent  
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## Appendix H - Main Field Test Survey

### Main Field Test Evaluation form for *Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding*

Name \_\_\_\_\_

This evaluation has three parts:

Part 1: Evaluation of the format of the handbook (organization, readability, and usability)

Part 2: Evaluation of the content of the handbook (quality and relevance)

Part 3: Additional Comments/Suggestions

Based on your review of the handbook, please use the following rating scale to respond to each of the following questions by circling the response that most closely matches your views.

**1 = Strongly Disagree**

**2 = Disagree**

**3 = Neutral**

**4 = Agree**

**5 = Strongly Agree**

#### **Part 1: Format of the Handbook**

Please rate the following characteristics of the handbook on a scale of 1 (Strongly Disagree) to 5 (Strongly Agree).

	SD	D	N	A	SA
1. Content is presented in logical sequence. Comments/Suggestions:	1	2	3	4	5
2. Organizational components facilitate reader use. Comments/Suggestions:	1	2	3	4	5
3. Text is clear, concise, and easy to read. Comments/Suggestions:	1	2	3	4	5
4. Handbook is presented in an attractive format. Comments/Suggestions:	1	2	3	4	5

**Part 2: Content of the Handbook**

Please rate the following characteristics of the handbook on a scale of 1 (Strongly Disagree) to 5 (Strongly Agree).

	SD	D	N	A	SA
5. Content is based on current practices. Comments/Suggestions:	1	2	3	4	5
6. The appropriate strategies have been included. Comments/Suggestions:	1	2	3	4	5
7. Handbook provides accurate information. Comments/Suggestions:	1	2	3	4	5
8. Overall, the handbook will be a useful tool. Comments/Suggestions:	1	2	3	4	5

**Part 3: Additional Comments/Suggestions**

Please answer the following questions in as much detail as you feel necessary.

9. What is the greatest strength of the handbook?

10. What is the greatest weakness of the handbook?

11. What content would you add or delete?

12. What suggestions do you have for making the content more clear or understandable?

# Appendix I - Informed Consent Form

## KANSAS STATE UNIVERSITY

### INFORMED CONSENT FOR DISSERTATION RESEARCH

**PROJECT TITLE:** Kansas School District Leaders' Handbook for Maximizing Nontraditional Donations and Grant Funding

APPROVAL DATE OF PROJECT: Proposal Committee approved the research on Sept 27, 2012

EXPIRATION DATE OF PROJECT: October 27, 2013

**PRINCIPAL INVESTIGATOR:** Dr. Teresa N. Miller

**CO-INVESTIGATOR(S):** Brian Pekarek (Doctoral Student in Educational Leadership)

**CONTACT NAME AND PHONE FOR ANY PROBLEMS/QUESTIONS:**

Brian Pekarek, Superintendent of USD 257  
Doctoral Student in Educational Leadership  
USD 257 District Office  
408 North Cottonwood  
Iola, KS 66749  
620-365-4703 direct line/ work  
620-363-1815 cell

Dr. Teresa Miller, Ed.D.  
Associated Professor in Educational Leadership  
KSU College of Education  
Bluemont Hall 303  
Manhattan, KS 66506  
785-532-5609 direct line/work

**IRB CHAIR CONTACT/PHONE INFORMATION:**

- Rick Scheidt, Chair, Committee on Research Involving Human Subjects, 203 Fairchild Hall, Kansas State University, Manhattan, KS 66506, (785) 532-3224.
- Jerry Jaax, Associate Vice President for Research Compliance and University Veterinarian, 203 Fairchild Hall, Kansas State University, Manhattan, KS 66506, (785) 532-3224.

**SPONSOR OF PROJECT:** Brian Pekarek, Doctorate Student in Educational Leadership

**PURPOSE OF THE RESEARCH:** A handbook is going to be developed as part of a dissertation for a doctorate degree in educational leadership. The purpose of this dissertation project is to research, design, and create a handbook to support Kansas school leaders who wish to maximize their nontraditional funding streams within their districts through endowments, donations, and grant funding.

**PROCEDURES OR METHODS TO BE USED:** Kansas School Superintendents will be surveyed for a needs assessment, a proposed outline, and a main field test regarding nontraditional funding. Leaders from philanthropic organizations will also be surveyed regarding nontraditional funding through the preliminary field test. Tape recorders will not be used since the information will be collected from the written questions on the surveys.

ALTERNATIVE PROCEDURES OR TREATMENTS, IF ANY, THAT MIGHT BE ADVANTAGEOUS TO SUBJECT: None

**LENGTH OF STUDY:** Fall of 2012 and Spring of 2013

**RISKS OR DISCOMFORTS ANTICIPATED:** There are no foreseeable risks from this study.

**BENEFITS ANTICIPATED:** Kansas Superintendents will be given information from the research (through a handbook) that discusses how they might be able to maximize their nontraditional donations and Grant Funding.

**EXTENT OF CONFIDENTIALITY:** In this study, I will not use names for the data that is collected (i.e. Superintendent A, Superintendent B, etc.). The information from the research will be kept safe.

IS COMPENSATION OR MEDICAL TREATMENT AVAILABLE IF INJURY OCCURS: I do not anticipate any medical treatment needed.

**TERMS OF PARTICIPATION:** I understand this project is research, and that my participation is completely voluntary. I also understand that if I decide to participate in this study, I may withdraw my consent at any time, and stop participating at any time without explanation, penalty, or loss of benefits, or academic standing to which I may otherwise be entitled.

I verify that my signature below indicates that I have read and understand this consent form, and willingly agree to participate in this study under the terms described, and that my signature acknowledges that I have received a signed and dated copy of this consent form.

It is a requirement for the P.I. to maintain a signed and dated copy of the same consent form signed and kept by the participant.

Participant Name: \_\_\_\_\_

Participant Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Witness to Signature: (project staff) \_\_\_\_\_ Date: \_\_\_\_\_