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## Training educational change agents : a program of support and technical assistance.

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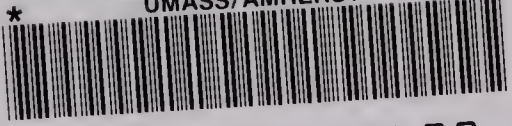
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**FIVE COLLEGE  
DEPOSITORY**

TRAINING EDUCATIONAL CHANGE AGENTS:  
A PROGRAM OF SUPPORT AND TECHNICAL ASSISTANCE

A Dissertation Presented

By

RICHARD MICHAEL MAYO

Submitted to the Graduate School of the  
University of Massachusetts in partial fulfillment  
of the requirements for the degree of

DOCTOR OF EDUCATION

May , 1978

Education

TRAINING EDUCATIONAL CHANGE AGENTS:  
A PROGRAM OF SUPPORT AND TECHNICAL ASSISTANCE

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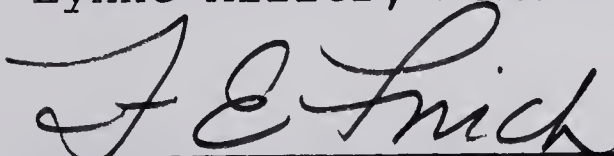
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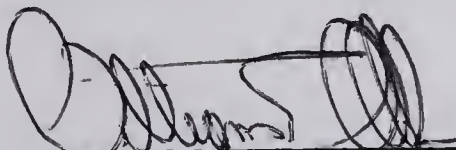
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Frederick Finch, Member



William Allen, Consultant



Mario Fantini, Dean  
School of Education



## DEDICATION

To my father, who showed me that growth is  
nurtured by care, respect and support,

And to Shasta, who instinctively gives  
freely of each.

The love of both has taught me well.

## ABSTRACT

## TRAINING EDUCATIONAL CHANGE AGENTS:

## A PROGRAM OF SUPPORT AND TECHNICAL ASSISTANCE

(May, 1978)

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Directed by: Dr. R. Mason Bunker

The purpose of this study is to document the design and application of a training program to provide support and technical assistance to directors of federally funded educational innovations.

In recent years, the federal government has established a commitment to fostering planned change efforts in the public schools. Primarily through the Elementary and Secondary Education Act of 1964, billions of dollars have been allocated to local agencies to plan, implement, and diffuse innovative educational projects. Despite the provision of extensive resources, however, these innovations have been repeatedly short-lived, benefiting only students in those schools which receive initial developmental grants. Few projects have succeeded in becoming adopted by local systems upon termination of federal support, and still fewer have been validated for diffusion to other sites.

In this study, ineffective local leadership is isolated as a primary determinant of project failure. The contention

is made that directors of federally funded innovations are often unprepared to deal with the complex dynamics of educational change, and in their struggles to cope, they fail to employ strategies to insure their survival. Without knowledge of the change process, competence in managing within it, and support in efforts to attain and apply this information, leaders of innovations continue to make the same mistakes. Their chances for success are thus minimized, and the scope of their impact is restricted.

Toward solution of this problem, a comprehensive training program for directors of these projects is proposed. From a set of inservice education principles, a conceptual framework for the delivery of support and technical assistance is developed. Within this framework, a training program is designed around the needs of directors of ESEA Title IV-c projects in Massachusetts. The application of this program is described and assessed to illustrate the effectiveness of the proposed design as a means to addressing the problem.

The assumption has been made that through participation in such a training program, leaders will be better prepared to direct their projects through the change process. It has been further assumed that the likelihood of project success, local adoption and subsequent diffusion will be enhanced as a result.

The training program proposed has been implemented by

the Massachusetts Department of Education as the primary means of State support to ESEA Title IV-c projects. In this study the activities of the first year of this program are documented. Conclusions are drawn regarding the specific needs of first-year directors of federally funded innovations, the effectiveness of the proposed design in addressing these needs, and the issues confronted in attempting to implement the training program.

The primary significance of the study lies in the applicability of both the conceptual design and the training program to other states and localities. Each state supports not only a system of similar Title IV-c projects, but a host of other innovations as well. The program proposed is also relevant to change agents and staff developers within locally funded projects, as the issues addressed are those encountered in a variety of innovative settings.



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# C H A P T E R    I

## THE NATURE OF THE STUDY

### Introduction

In recent years, innovation has been widespread in American schools. Both organizational and curricular structure have undergone extensive modification in the past two decades, and social and political trends indicate that the concept of change will continue to dominate the education scene throughout the foreseeable future. Professional concern has shifted from consideration of whether or not change will occur in the schools to examination of how, in fact, it should be realized.

As social organizations, schools are dynamic entities. In response to both internally and externally induced pressures, school operations are continually redefined to meet shifting expectations. From the outside, social trends such as the emergence of disadvantaged and alienated segments of the population, and the decline of employment opportunities induced by a receding economy and an increasingly specialized division of labor, have demanded extensive and repeated changes in educational practice. The exploding rate of knowledge production and the entrance of greater numbers of private citizens into the debate over proper utilization of the schools have also substantially influenced the continual redirection of educational priorities.

Within the profession, increasing recognition of the widespread difficiencies of existing structure and policy has generated an on-going call for pervasive internal reform. Simultaneously there has arisen a higher level of aspiration, a conviction that education can and should increase its contributions to the welfare of society. For many, both in and out of schools, a strong belief has emerged that changes are both necessary and desirable, as well as inevitable.

The types of change which occur, and the manner in which they are realized, vary widely from school to school. Toward defining the concept, Guba (1968) states that change implies that "there is some perceptible difference in a situation, circumstance, or person between some original time  $t_0$  and some later time  $t_1$ " (p.1). Defined in this manner, "change" encompasses an extensive range of practices, including most forms of human behavior. To clarify the concept, educational theorists have drawn a distinction between change which happens spontaneously, and that which comes about through planning.

Spontaneous change is that which occurs in the natural evolution of a school. Termed "organizational drift" by Richard Carlson (1965), it refers to that type of change which takes place without formal design or preparation. Changes of this order frequently go unnoticed by those who direct the affairs of the school, and despite the fact that such gradual movement usually has a significant effect upon



the overall career of the organization, it is usually imperceptible and often uncontrollable in the short run.

The concept of planned change proposes to address the issue of growth in a more systematic manner. Bennis, Benne, and Chin (1969) define it as "a conscious, deliberate, and collaborative effort to improve the operations of a human system...through the utilization of scientific knowledge" (p.4). Changes of this type originate in a calculated decision to take action, and they usually involve the participation of an outside agent to assist in the process of implementation.

Planned educational change efforts have been instigated by a diverse range of local, state, and national forces. Since 1965, the federal government has been actively involved in such efforts, primarily through passage of legislation allocating billions of dollars to local agencies for the development of innovative projects in schools. This commitment represents a significant departure from previous national policy, and critical examination of its efficacy has become increasingly widespread.

The focus of this dissertation will be upon federally funded planned change efforts in schools. Specifically, the design and application of an inservice training program for directors of these projects will be documented. In this chapter, the context of the study will be specified, a statement of the problem to be addressed will be presented, and



the purpose, background, delimitations, and significance of the study will be identified. The chapter will conclude with an explanation of the organization of the dissertation.

### The Context of the Study

John Goodlad (1975) has described the 1960's as the decade of federal spending. During these ten years the government has poured billions of dollars into the nation's public education system. The legislation which has most profoundly effected federal spending has been the Elementary and Secondary Education Act (ESEA), first passed in 1965. More dollars have been allocated to schools through this act than any other single proclamation in the country's history. The ESEA established a commitment to develop new educational programs through provision of federal resources to local agencies. Congress has repeatedly renewed this act throughout the past decade, and in the passage of public law 93-380 in June, 1975, it specified appropriation of up to 7.5 billion dollars for the fiscal year ending June 30, 1976, and increasing amounts for each year through 1980 (Federal laws, Section 400e 2(a)i, p.1).

Title III of the ESEA, reorganized in part as Title IV-c in 1974, provided extensive funding through the states to support the creation, development, and diffusion of locally initiated projects to advance creativity in schools. The intent of ESEA Title IV-c has been to provide seed money to

local agencies to establish and refine innovative programs over the course of a three-year funding period. The legislation specifies that successful programs developed eventually be absorbed as on-going curricular and budgetary components of the local systems, and that these programs serve as models for replication or adaption elsewhere. Funding has been provided not only to experiment with new ideas, but also to encourage validation of effective programs and to spread demonstrated successes to other schools.

In most states, local agencies participate in an intensive competition to determine recipients of the Title IV-c funding. Interested local agencies apply for grants through submission to the state of a detailed proposal which specifies program objectives, anticipated activities and evaluation plans. The intent of the competition process is that only those projects which appear to possess the highest potential for realizing the purposes of the legislation will emerge with federal support. The assumption is made that projects that are selected to receive funding are the most likely to be absorbed by the local system and diffused to other schools upon withdrawal of federal support after three years.

#### Statement of the Problem

Despite the massive federal effort to stimulate educational change through ESEA Title III and IV-c, projects

funded through this legislation have been repeatedly short-lived. Upon termination of federal support after three years of funding, many of these projects fail to become adopted locally, and very few successful practices are spread to other sites. The apparent failure of these projects to achieve an impact beyond their immediate environment has generated accusations of federal promotion of "change for the sake of change". It has been speculated that these federal dollars continue to be poured into a bottomless pit, benefiting only those few who receive the original grants.

Case studies of innovations from throughout the country which have failed despite enthusiasm, money and indisputable merit, provide substantial testimony to the extent of the problem (Gross, Giacquinta and Bernstein, 1971; Smith and Keith, 1971; McMillan, 1973). Nationwide analyses of federal programs supporting educational change verify the fact that the rate of success has been distressingly low (Rand Corporation, 1975; S.R.I., 1974). These studies conclude that although federally funded innovations have steadily increased in quantity, the quality of these efforts, in terms of potential for long-range impact, has remained consistently low. Citing a variety of explanations for this condition, these studies state that innovations will continue to be short-lived and non-transferable until substantial corrective action is taken at both the federal and state levels to insure project survival and diffusion.



In recent years, sporadic attempts have been made to provide such support, but minimal progress has been achieved. The U.S. Office of Education, for example, has stepped up its national validation program, encouraging local programs to submit to a formal review process in the final year of funding. This process has begun to identify increasing numbers of successful innovations, but few vehicles are yet available to spread knowledge of these programs to other schools with similar needs. Several states have instituted their own support and validation programs, but these, too, have thus far achieved minimal positive results.

In the Commonwealth of Massachusetts the long-range impact of federally funded innovations has been particularly weak. Through the twelve years of Title III and Title IV-c funding, only three projects in this State have ever been formally validated for diffusion purposes. Local adoption of successful projects has not occurred at a rate commensurate with the extensive funding of over one billion dollars in the State since 1965. Widmer (1974) found that upon termination of federal support, 56% of the Title III projects in Massachusetts from 1971-1974 continued at a similar or greater level than was originally backed by federal funding. In a follow-up analysis two years later, the actual rate of local adoption was found to be only 50%.

Toward discovering why so many worthy projects failed to have a lasting effect, the Widmer study examined some of the

complex factors that facilitated or impeded the local adoption of innovations. Reflecting numerous national studies (Rogers, 1969, 1971; Havelock, 1969, 1973; Miles, 1965, 1969; Carlson, 1965), it analyzed characteristics of the innovations themselves and the kinds of school districts that spawned them. It also examined the atmosphere and relationships within the innovation, the political and bureaucratic realities that governed its effectiveness. Toward determining what most significantly influenced whether or not Title III projects continued through local sponsorship when federal funding was withdrawn, Widmer identified key variables and tested several hypotheses.

One such variable identified by the Widmer study has repeatedly been isolated by other studies as particularly significant: the quality of leadership provided within the innovative project (IDEA Studies, 1971-1974; Rand Corporation, 1975). The Ford Foundation Report (1972) states that the single most factor which influences the success of an educational change effort is the individual who directs its operation. The ultimate effectiveness of an educational innovation is determined in large part by the degree of competence demonstrated by the project leader as he/she directs the planning, development and diffusion of the project. Research studies indicate that to overcome the onslaught of resistance inherent in educational change, strong, capable leadership is essential.



One of the primary reasons that federally funded innovations have failed to become adopted and diffused is that such leadership has not been consistently provided. As will be described in the remainder of this section, leaders of these projects are usually unprepared to deal with the complexities of educational change, and in their struggles to cope, often fail to employ strategies to insure their survival. Minimal support and assistance are provided, and many continue to be victimized by the same mistakes.

Directors of innovations usually lack full awareness of the demands of their role as they enter their position. They often initiate their efforts without the benefit of administrative training or prior experience with educational change (Sarason, 1972). Many come directly from jobs as classroom teachers or from positions outside of education. They often devise exciting new ideas, develop proposals for implementation, and suddenly find themselves hired as project directors when funding is received. An analysis of the previous experience of 33 directors of Title IV-c projects in Massachusetts in 1977 reveals that 47% entered their positions directly from classroom roles as students or teachers, and that only 33% had experience administering, teaching or evaluating educational innovations of any kind. To administer an educational project is demanding work. To do so without the benefit of experience or training is still more difficult. To direct an innovative project through the complexities of

the change process without such knowledge is practically guaranteed to result in problems.

Despite the diversity of projects they direct, leaders of educational innovations share many commonalities. The process through which most change projects develop is fraught with a multitude of similar obstacles. Case studies reveal that those who direct these projects often encounter the same types of problems, yet continue to make similar mistakes in addressing them. For example, numerous retrospective studies report that one of the most costly mistakes made in the development of the innovation was the failure to allow sufficient time and adequate support for project staff members to resocialize themselves to new roles. Leaders of these projects were so enthusiastic about the potential of their enterprises that they attempted to implement the full range of their ideas immediately upon initiation of the project. They failed to recognize the fact that the professionals with whom they worked, to say nothing of the students and school administration, needed to adjust their behaviors to meet a changed set of expectations. Despite the fact that the staff members could not make these behavioral shifts without time and assistance, the directors rushed ahead with their plans without providing this support, and the projects encountered internal resistance which retarded their development throughout their existence.

The example described above depicts but one of the

countless problems which consistently plague innovations. Through the past several decades, research has steadily increased knowledge of the intricacies of the change process, the dynamics which govern its development, and the problematic issues which emerge in its application (Lippitt, Watson and Westley, 1958; Miles, 1964; House, 1974). Although certainly not definitive, these studies have shed considerable light on the subject. However, case studies continue to show that leaders of innovations have been unwilling or unable to utilize this information to avoid common pitfalls and minimize potential for failure.

A related contributing factor to the short life span of federally funded projects is that support services to provide leaders with information access and communication linkages have seldom been available. In addition, technical assistance to apply existing knowledge to local needs has traditionally been lacking (Havelock, 1969, 1973). Though faced with similar obstacles, leaders of innovations often must attempt to solve their problems in isolation. Change agents usually receive minimal external support for their efforts. Within the project itself, fulfillment of numerous daily responsibilities, made greater by the demands of change, often preclude the assistance of other staff and students. Various manifestations of resistance within the larger school environment, to be detailed in Chapter II of this study, deny the participation of local teachers and administrators in the



problem-solving process as well. And traditionally, access to directors of other change efforts for purposes of sharing and mutual assistance has not been available.

One result of such isolation is that leaders of innovations must constantly reinvent the proverbial wheel. Many begin their efforts without the benefit of previous knowledge, either self-attained or developed through others' earlier attempts to realize similar innovations. Denied assistance in coping with the complex dynamics of change, they often are forced to devote extensive time and energy learning the same lessons taught repeatedly in the past to others, and in the process, they fail to address the critical factors which more directly determine project success.

When attempts to provide support and inter-director communication have been made, the programs developed have been less than effective in recognizing and addressing the pivotal issues involved (Widmer, 1975; Edelfelt, 1975). Often such "training" programs concentrate primarily on the provision of information. Minimal opportunity is provided for interaction among participants, thereby limiting mutual support activities. In addition, the focus of these activities is usually on theoretical rather than practical issues. Application to the home setting of the knowledge presented is often left to the director, and he/she must struggle alone in an effort to utilize such information effectively.

In this section, a statement of the problem to be addressed has been presented. Despite the substantial financial commitment by the federal government, few funded innovative projects have succeeded in becoming adopted by local systems after termination of federal support, and still fewer have been diffused to other sites. Toward clarifying one root of the problem, it has been shown that without knowledge of the change process, competence in managing within it, and support in efforts to attain and apply this information, leaders of innovations continue to make the same mistakes. Their chances for success are thus minimized, and the scope of their impact is restricted.

#### Purpose of the Study

The purpose of this study is to document the design and application of an inservice training program for the provision of technical assistance and support to leaders of federally funded innovations. The assumption has been made that through participation in such a program, leaders will be better prepared to direct their projects through the change process. It has been further assumed that the likelihood of project success, local adoption and subsequent diffusion will be enhanced as a result.

Toward this end, the existing literature on the educational change process and adult learning theory will be reviewed, a series of inservice education principles will be



established, and a conceptual framework for the delivery of training and support to leaders of innovations will be developed. In addition, an application of the model will be described through an analysis of the implementation stages of the Massachusetts ESEA Title IV-c Administrators Program. First year needs of directors of these federally funded innovations will be identified, and conclusions regarding the effectiveness of the proposed design and training program will be drawn.

### Background of the Study

With funding allocated through the Elementary and Secondary Education Act, the Massachusetts Department of Education has sponsored thirty-seven innovative projects in the Commonwealth through provision to local agencies of two million dollars for each of the three years from 1977-1980. Twenty-five such projects began a similar three-year cycle of funding in 1976.

In the past, State support provided to Title IV-c projects has come in the form of site visitations by Department staff and periodic training sessions for project directors. To date, this training has been short-range in scope and crisis-oriented in nature. It has been conducted by outside "experts", who have often presented theory and research on educational change with a minimum of regard for its direct relevance and applicability to specific local need. In

recognition of the limited effectiveness of such efforts, in 1976 the State funded a team, including the author of this study, to research the issue and develop a curricular framework within which future training might be concentrated.

The following sequence of activities were conducted through the State-sponsored research project:

- General areas of concern for leaders of change-oriented projects were identified through analysis of past and on-going innovations, particularly those funded through ESEA Title III and Title IV-c.

- A review of existing research and theory was conducted within each of the identified areas.

- Curricular materials (e.g., annotated bibliographies, simulation exercises) were developed within each area.

In 1977 the team was sponsored to provide direct technical and support to the newly funded Title IV-c project directors in Massachusetts, and the author of this study was appointed to develop and coordinate a statewide training program. The study documented here evolved from these experiences.

#### Delimitations of the Study

This study focuses upon only one variable in the complex web of educational change, the leader of the innovative project. It does not attempt to address the myriad of other related but distinct factors which influence the effectiveness of change in schools. Variables such as the adaptability of participating students and staff, the conduciveness of the

learning environment, and the political stability of the community, for example, will be discussed only as they relate to leadership within the project.

The mode of the dissertation is descriptive rather than experimental. Findings concern a program "in-process" and should be considered as formative indicators of the current effectiveness of a developing system. On-going formal evaluation of the program described in the study will continue throughout the three years of its existence. It is anticipated that the practical validity of the proposed design, as well as the assumptions on which it is based, will be established through this evaluation process in the future.

Because the author of the dissertation is also the coordinator of the program described, personal bias must be considered as a possible limitation of the study. An attempt has been made to minimize the extent of biased description and analysis, and the perspectives of individuals not directly involved in the program, particularly the project evaluator, have been included when relevant.

### Significance of the Study

Despite a popular mandate for pervasive educational reform and continued federal sponsorship of change-oriented projects, innovations have repeatedly failed to succeed to the point of institutionalization and external diffusion. If, as research suggests, the rate of local adoption and spread



to other sites can be increased through the provision of an inservice support system, the development and application of a specific model designed to this end will contribute to the national effort to achieve effective and lasting reform.

Within the Commonwealth of Massachusetts, the study will have particular significance, as the training design developed within it has been adopted by the State Department of Education as the primary vehicle for inservice support of Title IV-c projects statewide. In addition, the plan is diffusable to other states, for each supports not only a system of similar Title IV-c projects, but a host of other innovations as well.

The study presented here speaks not only to leaders of federally sponsored innovations and to those charged with providing their support, but also to change agents and staff developers within locally funded programs. The issues addressed are those encountered in all types of change-oriented projects, and the inservice training design proposed may be applicable to a variety of innovative settings.

### Organization of the Dissertation

The remaining chapters of the dissertation are organized in the following manner:

#### Chapter II: Review of the Literature

This chapter is divided into two parts, the first reviewing the literature on educational change and the second



covering adult learning theory. Barriers to change, perspectives on the change process, change agents, models and strategies are described in the first section. In the second section, characteristics of adult learners are defined, from which a set of training principles is developed.

### Chapter III: Development of a Training Framework

In this chapter, the conceptual framework of a training program for federally funded change agents is presented. Based upon the principles of change and adult learning theory developed in Chapter II, the organizational, structural and functional features of the program are described. The population to be served is defined, and the background and preliminary planning of the training program is reviewed.

### Chapter IV: The Title IV-c Administrators Program

In this chapter, the learning activities of the training program are described. The progress of the program through its first year of development is traced through presentation and preliminary analysis of its activities in the Fall, Winter, and Spring of the 1977-78 academic year.

### Chapter V: Summary and Conclusions

The final chapter summarizes the study, draws implications from it, and poses questions for future research on the topic. The relevance of the design constructed, as well as the training program developed from it, are discussed as they

relate to both the Massachusetts ESEA Title IV-c program and the national reform effort. Hypotheses generated by the study and possible future directions are presented.

## C H A P T E R   I I

### REVIEW OF THE LITERATURE

#### Introduction

The purpose of this chapter is to review the literature on educational change and the adult learning process. Through examination of existing knowledge in these areas, a series of principles is developed for use as filters in the design of a training program for directors of change projects in schools.

In the first division of the chapter, the studies of researchers, theorists and practitioners of educational change are reviewed. Sources of resistance to the introduction and development of innovations in schools are identified, and strategies to be employed in overcoming these barriers are described. The information reviewed here will serve to influence both the process and the content of the training program.

In the second division, adult learning theory is reviewed. Distinctions between adult and child learning needs are drawn, and the concept of androgogy is introduced. A set of training principles is established, based on knowledge of educational change and adult learning theory. The conceptual framework of the training program documented in Chapter III will be developed around the guidelines set forth here.

### Educational Change

The concept of planned educational change has been actively researched for the past thirty years. Within the past decade, the subject has received particularly vigorous study, and related literature continues to be produced in enormous quantity. In a recent review, Louis Maguire (1970) cites the existence of over 5,000 works concerning the change process in schools. In a similar analysis, Joseph Giacquinta (1973) concurs in the observation that the volume of research is enormous, and adds that attempts to synthesize existing literature are becoming increasingly difficult due to sheer quantity of information.

An additional factor which inhibits effective comprehensive review is the widespread conceptual confusion among researchers. The study of educational change involves a variety of disciplines, and each applies a unique perspective as well as vocabulary in its approach. The conceptual terminology utilized lacks consistency. Similar words are often used to describe quite different aspects of particular phenomena. Given the "apples and oranges" nature of the literature, the attainment of a working understanding of change theory is both difficult and frustrating. As a result, despite the immense quantity of research available, this information is seldom utilized by practitioners to influence their action.

In the following review, various perspectives in the



existing literature are distinguished and clarified. No attempt is made to present an exhaustive portrayal of the subject or to describe each approach in detail, but rather, representative areas are identified and the relevant literature within each is reviewed. This division of the chapter is organized under the following sections: Barriers to Change, Perspectives on the Change Process, Change Agents, Change Models, and Change Strategies. A set of general principles of educational change, synthesized from the literature reviewed, is outlined in the division summary.

### Barriers to Change

Educational change seems painfully slow, particularly when compared to the rapid development within other fields, such as agriculture and medicine. Paul Mort (1941), one of the pioneer researchers in educational change, contended that fifty years are required for the complete diffusion of an educational innovation which is destined to be fully accepted. Although Mort's findings have been argued in recent years, agreement remains that schools do not possess a high level of change facility. Current research has shown that a multitude of variables have influenced this condition. In this section, the characteristics of schools, innovations, and people which contribute to the resistance of educational change efforts will be reviewed.

In attempting to account for the discrepancy in rate of

change between education and other fields, Richard Carlson (1965) cites three barriers to educational change. The first is the absence of a designated change agent in public schools. In agriculture, for example, county extension agents, professionals whose primary function is to assist in the implementation of innovations, play a fundamental role in the development of the field. Regretfully, this figure has no counterpart in education. A second barrier to change is the existence of a weak knowledge base. As opposed to the solid foundation provided by extensive and practical research and development operations in other fields, the research which currently effects educational innovation is remarkably sparse and fragmented. The third barrier cited by Carlson is the "domestication" of public schools. Because schools function unlike other organizations in that they cannot select the clients they are to serve, and that those clients must accept the services they provide, schools need not struggle for survival. They are protected by the society they serve and their existence is guaranteed. A consequence of this domestication is that the need for, and interest in, change is restricted.

Everett Rogers (1965) identifies several additional factors which retard change in schools. He contends that because there is no profit motive for being an innovator, individuals seldom venture outside the status quo. Without an incentive to risk new ideas, potential innovators often

sense that they have little to gain and much to lose by proposing a change. Rogers also points out that educational innovations are less clear cut in their advantage over the existing ideas they are to replace, making persuasion to adopt them more difficult to achieve.

Matthew Miles (1965) argues that several characteristics of schools as social systems preclude smooth entrance of innovations. Because the organizational structure of schools is not built to encourage continual growth, the capacity for on-going change is restricted. He contends that "successful efforts at planned change must take as a primary target the improvement of organizational health--the school system's ability not only to function effectively, but to develop and grow into a more full-functioning system" (pp.11-12). He proposes ten dimensions of organizational health: goal focus, communication adequacy, optimal power equalization, resource utilization, cohesiveness, morale, innovativeness, autonomy, adaption, and problem-solving adequacy. He presents the argument that such conditions are often lacking in schools, and that, in fact, there are unique properties of educational systems which pre-dispose them to particular types of ill-health, and consequently change resistance or avoidance.

The seven distinguishing properties of schools as organizations, and the implications of these characteristics on capacity for change, are identified by Miles (1965) as



follows:

1. Goal ambiguity--leads to reduction of flexibility and encourages the institutionalization of teaching procedures.
2. Input variability--causes considerable stress and develops the need to provide "teacher-proof" methods and procedures.
3. Role performance invisibility--transforms teaching into a craft-like occupation, rather than a profession, and substitute criteria for teaching effectiveness are utilized.
4. Low interdependence--promotes hostility, competitiveness and disjunction between the authority system and other aspects of the organization such as communication patterns, friendship relationships, and work flow.
5. Vulnerability--tends to reduce school system autonomy.
6. Lay-professional control problems--lead to confusion and/or competition in process of policy execution.
7. Low technological investment--causes social translations, rather than socio-technical translations to be the major mode of organization production (p.11).

In Miles' estimation, a healthy organization will continually adapt and grow, by virtue of its very structure. An unhealthy one does not have built-in mechanisms to insure such change through development.

Havelock (1971) divides the characteristics of schools which inhibit change into input factors, which slow change in its entrance to the system; output factors, which prevent the genesis of change from within; and throughput factors, which



limit the spread of new practices through the school system.

Input factors isolated by Havelock (1971) are:

Resistance to change from the environment, incompetence of outside agents, overcentralization, teacher defensiveness, absence of change agent as "linking-pin", incomplete linkage between theory and practice, underdeveloped scientific base, conservatism and professional invisibility.

Output factors are:

Confused goals, no rewards for innovating, uniformity of approach, school as monopoly, low knowledge component--low investment in R & D, low technological and financial investment, difficulty in diagnosing weaknesses, product measurement problems, focus on present commitments--accountability, low personal development investment, lack of entrepreneurial models, and passivity.

Throughput factors are:

Separation of members and units, hierarchy and differential status, and lack of procedure and training for change (p.157).

Even when an innovation has broken through the institutional barriers which discourage it, additional resistance is often encountered within the system as well. Characteristics of the individual human personality often work directly against forces which threaten the stability and relative comfort of the status quo. When individuals are confronted with an option to change or remain the same, they often choose the latter option, not necessarily because it is "better", but usually simply because it is "easier". Proponents of change-oriented ventures are practically guaranteed to encourage some manifestation of resistance as they attempt to implement

their ideas.

Research into the phenomenon of personal resistance to change in schools has been vast. Representative of these studies is Goodwin Watson's (1966) extensive examination of the dynamics of resistance to educational change. Watson outlines the following forces which contribute to resistance in personality:

1. Homeostasis--the stabilizing forces within organisms which return them from stimulation to a steady state. Reversion to complacency, man's psychological as well as physiological need to maintain stability, has led him to systematically resist change.

2. Habit--most learning theory implies that the familiar is preferred--unless a situation changes noticeably, organisms will continue to respond in their accustomed way. Once a habit is established, it often becomes exclusively satisfying.

3. Primacy--the way in which the organism first successfully copes with a situation sets a pattern which is usually persistent. It is often observed that teachers, despite inservice courses and supervisory efforts, continue to teach as they themselves were taught.

4. Selective Perception and Retention--once an attitude has been set up, a person responds to other suggestions within the framework of his established outlook. Situations may be perceived as reinforcing the original attitude when they actually are dissonant.

5. Dependence--people tend to incorporate the values, attitudes and beliefs of those who provide care in formative years. Included within this incorporation is the conviction of how

school should be, as conceived by teachers' own teachers and parents.

6. Superego--this basic personality function defined by Freud is engaged in the enforcement of moral standards acquired in childhood from authoritarian adults. It is a powerful agent serving tradition--one which cannot be bucked easily.

7. Self-Distrust--children quickly learn to distrust their own impulses. Within each person are powerful forces condemning any impulse which does not correspond to the established routines, standards and institutions of society as it is and has been.

8. Insecurity and Regression--when old ways no longer produce the desired outcome, one recourse might be to experiment with new approaches, but individuals at such times tend to seek security in "the good old days" and cling even more desperately to the old and unproductive behavior patterns (pp.489-497).

Lippitt, Watson and Westley (1958) have identified four reasons why people in schools resist change. The first is that they are reluctant to admit weakness. Secondly, they fear awkwardness in attempting a new practice or behavior. Third, previous unsuccessful attempts to change have caused a fatalistic expectation of failure. And fourth, people fear that the change will cause them to lose some satisfaction.

Seymour Sarason (1972) puts forward the argument that, inevitably, there are characteristics of any new setting and concerns of the existing one which insure conflict and competition. The social forces operating in the traditional structure have shaped a system that functions predictably,



and any intrusion of external factors represents a potential threat to its stability. Most members of the existing structure have considerable investment in the present system, and are reluctant to commit themselves to anything different. A change in the standard mode of operation, therefore, is likely to be met with skepticism. In addition, the complexity of relationships within the existing setting assures the fact that some members, by virtue of previous obligations, will be forced to resist change, even if it appears to benefit their interests in the long run.

Individuals often respond to the term "change" on a purely emotional level and tend to reject innovation even before it is considered. Innovation is perceived as a threat, not only to an individual's accustomed manner of functioning, but also, indirectly, to his/her entire self-image. If change is proposed, it is often reasoned there must be something wrong with what currently exists. Tied to this fear is a sense that implementation of change will lead to a state where the traditional method is no longer needed, and the practitioner of this method will become expendable.

Rogers (1969) contends that these perceptions about change often lead to immediate suspicion of change agents as well. By and large, innovators tend to possess personal characteristics and attitudes somewhat different from those usually existent in traditional settings. He finds that innovators are generally young, have relatively high social

status (high prestige ratings, greater education and higher income levels than average), are cosmopolitan in outlook, exert opinion leadership, and are likely to be viewed as deviants by their peers and by themselves. These traits are often perceived as alien to the existing status quo. As a result, members of traditional settings are likely to reject out-of-hand suggestions emanating from someone perceived as a change agent of any sort.

Gross, Giacquinta and Bernstein (1971) point out the fact that resistance to change efforts potentially springs not only from outside the innovation but from within it as well. In new settings, they contend, it is often necessary to relinquish completely old ways of thinking and operating, and learn an entire new set to replace them. Transition to the new behaviors is often not as smooth as anticipated, and the tendency is to impose the new expectations on members before they are prepared to meet them. The difficulty of effecting change in values, attitudes, and behaviors, especially on the enormous scale many programs propose, is seldom realized and often ignored.

Gross, Giacquinta and Bernstein reflect the hypothesis of many social scientists that personal change does not come easily. Previous experience builds patterns which are difficult to break. Regardless of the degree of determination to operate by new standards, the temptation to resort back to one's old behaviors is often more powerful than anticipated.

Innovators fail to realize that in many respects they are prisoners of their own past. As Sarason (1972) states:

Those who create new settings always want to do something new, usually unaware that they are armed with, and subsequently will be disarmed by, catagories of thought which help produce the conditions the new setting hopes to remedy (p.xii).

Denial of the need for extensive resocialization, and the lack of a provisional structure to define expectations, can build active or passive resistance within the innovation. Without support and patience in the socialization process, participants are often overwhelmed in their attempts to meet the new expectations made of them. Many either become frustrated or disillusioned with the entire process or "burn out" in their persistent attempts to cope.

In this section, the literature concerning barriers to educational change has been reviewed. The characteristics of schools, innovations and people which contribute to resistance of change efforts have been identified through examination of the work of Carlson, Rogers, Miles, Havelock, Sarason, Lippitt, Watson, and Westley. The contention has been made that schools do not possess a high level of change facility, and that innovators often encounter substantial overt and covert resistance as they implement their projects, regardless of the merit of the innovation.

#### Perspectives on the Change Process

Through time, the perspective of researchers in



analyzing the phenomenon of educational change has shifted dramatically. In the early years of study, emphasis was placed primarily on the dissemination and diffusion phase of the change process. In the 50's and 60's, the human relationists shifted the concentration to the adoption phase, focusing on interpersonal dynamics as the key to understanding and facilitating change. Much of the current research is devoted to study of the invention and development stages, a pursuit which has grown from a recognition of the school as a complex organization, governed by the interplay of a variety of sub-systems. In this section, the dominant perspectives will be traced through time, and the current concentration on organizational variables will be detailed.

In his book, American Schools in Transition, Paul Mort (1941) initiated the research tradition on educational change. Concentrating his study on diffusion and dissemination, Mort regarded the processes of invention and development as seemingly obvious manifestations of resourceful, creative people finding solutions to their problems. He sensed that good, new ideas were plentiful, and that the problem of a slow rate of change in the educational world was primarily due to the failure of change advocates to get others to try them. The life cycle of an innovation, later referred to as the "50 year lag" was a long and tedious one, moving from the generation of a good idea (termed, "an invention") through pilot testing in schools brave and rich enough to attempt it, to

eventual full-scale adoption (after approximately 35 years), and ultimately to diffusion to another school some 50 years later. Lack of effective communication was the central problem, in Mort's view, and he concluded that a more sophisticated system for diffusion of new ideas, much like that utilized in the field of agriculture, was necessary to facilitate the spread of educational innovation. Later researchers, such as Everett Rogers and Richard Carlson, reiterated this viewpoint and directed their work at the diffusion variables in the change process.

In the 50's and 60's, a new breed of scholars, the human relationists, focused their research on interpersonal relationships within the school. This approach has emphasized the importance of individual leadership in promoting change and has singled out the attitudes, characteristics and outlooks of individuals as forces to be overcome if change is to be realized. The concepts of "planned change", "effective leadership" and "change agent" replaced money, dissemination and increased public understanding as the variables most central to success. While Mort and his students concentrated upon the diffusion phase of the change process, the human relationists focused upon the adoption stage.

In recent years, according to Leon Osview (1974), "a change in the process of change" has occurred--"an event which (has made) the insights of the human relationists obsolescent" (p.23). He refers to the conversion from ad hoc

problem solving to research and development as the core strategy for creating the means of improving educational practice. As evidenced by the "curriculum revolution" and the establishment on a nationwide basis of research and development laboratories, this new perspective has emerged in response to what Osview has termed a shift from the schoolmaster mode of school policy making to an organizational mode. Teachers are no longer the only masters. There are others now who have authority, who supervise, coordinate and decide. Accordingly, to effect change in schools today, an organizational perspective must be adopted, one which recognizes the complex interplay of the sub-systems which constitute the organization. Strategies directed exclusively toward a single component of the system will no longer inevitably effect the whole.

Osview (1974) cites the following major developments which have dictated this change:

Population growth and urbanization, the extension of the grades through the twelfth, wholesale additions to the curricular program and the addition of a great variety of pupil services all made schools bigger enterprises, more encompassing and responsible for more of the total burden of education than merely the primary schooling which had been its only reason for being (p.28).

In response to this growth, and in recognition of its contribution to a "change in the process of change", Osview calls for continued emphasis on research and development activities which address the organizational implications of change.



J. Victor Baldridge (1975) agrees that educational change must now be approached from an organizational perspective. He identifies five sub-systems which together comprise the complex organizations that are schools: goals, environment, technology, structure and individuals/small groups. These variables must be balanced, controlled and manipulated to assure the success of an educational innovation. He contends that these sub-systems are related in systematic ways, and that any sub-system can pressure another sub-system to change. Baldridge (1975) makes the following observations:

1. Almost all of the major traditions of research on organizational change have focused on one subsystem at a time.

2. Each of the subsystems may be seen as an impetus for change, or as the unit that is being changed.

3. A particular organizational subsystem is usually the beginning of practical change.

4. Any change in an organization is likely to involve more than one subsystem (pp.13-14).

Each of Baldridge's five sub-systems are detailed below, accompanied by additional research concerning their appropriateness as a locus for change efforts.

Goals. As change agents confront the task of educational innovation, they often focus on educational goals. Unfortunately, these goals are usually diffuse and vague, a condition which breeds confusion and ultimate resistance to change.

Each member of the school organization interprets these abstractions as he/she chooses, and each applies a personal conviction to that interpretation. Attempts to make goals more specific, however, often result in conflict because the process of goal setting often serves as rallying point for warring ideologies. Still, goals provide a reason for an organization's existence, and as such, represent a forceful means for change.

Sam Sieber (1968) distinguishes "terminal goals", those which specify ends, from "instrumental goals", those which specify means. He argues that because terminal goals are so diffuse, an illusion of consensus is created that focuses undue attention on the instrumental goals, and leads to an almost paranoid ritualization of daily routine, effectively undermining long-term change efforts.

Goals are often the beginning target for change efforts, but their symbolic nature is often overlooked. One such symbolic usage is what Burton Clark (1971) terms "organizational saga".

It is the myth and belief system that explains why the organization exists and justifies the time and energy needed to keep the organization going. It provides a sense of mission, defines the organization's character, and provides a sense of identity for the participants (p.27).

Clark argues that organizations with deep-rooted sagas are extremely difficult, if not impossible, to change.

Sarason (1971) refers to this extrapolation of goals as

a system's "culture". He contends that in every social system there exists a variety of norms, labeled "regularities", that govern its functioning. There is a standard mode of operating, based on specific attitudes, values, and beliefs, which applies to all members of the school community.

Attempts to circumvent these norms, or to ignore their existence, can stir considerable conflict within the system.

Failure to follow standard procedure, formal or informal, might prompt suspicion of the offender and jeopardize chances for implementation of his/her ideas. Sarason argues that, in fact, violation of existing regularities will often lead to still deeper commitment to the original norms.

Environment. The environmental setting in which an organization functions significantly influences its effectiveness. The educational environment does not consist solely of students, parents and the external community, but it also includes, among other elements, unions, governmental agencies and the professional and educational climate of the school. It places a variety of demands upon the organization, and can either facilitate or impede innovation. In response to these pressures, an organization may attempt to control the environment to meet its own needs (e.g., public relations campaigns, political strategies), or it can adapt to it through internal change (e.g., instructional innovations, basic structural changes).

Baldrige (1975) draws on three separate research



studies to show that a school's environment is a more important predictor of innovation than the individual characteristics of teachers or administrators. He also argues that schools in dynamic, heterogeneous environments reorganize and innovate in order to cope with external demands. In turn, the increased complexity of the internal system results in the development of new educational ideas and the adoption of innovative programs. Abbott (1969) predicts that the more "open" a school's climate, the more likely it is that the school will adopt instructional or administrative innovations.

Technology. As defined by social scientists, technology is the nature of work the organization performs--procedures, processes, and activities that accomplish its major objectives. In schools, the main objective is learning, and the technology is the entire range of teaching and instructional activities conducted to accomplish this purpose. Technologies change for several reasons:

1. Because the environment places new demands on the organization.
2. Because new technical inventions are developed.
3. Because organizational participants themselves devise new ways of doing things (Baldrige, 1975, p.29).

All three of these factors have contributed in recent years to a dramatic change in the instructional program of American schools.

The impact of these changes, in terms of their influence

on the organizational structure of schools, has been actively researched by social scientists. Deal, Meyer and Scott (1974) conclude that each level--district, school, and classroom--operates independently of the others, and that technological changes in one do not necessarily have an effect on the others. They suggest that such changes have placed new demands on school organizations that must be met by corresponding structural changes if they are to survive.

For example, Cohen and Bredo (1974) show that the internal structure of teaching teams appears to be related to the instructional approaches: the more independent the team, the more sophisticated the approach to instruction. Baldrige draws two implications from these studies. First, that technological changes must be assessed in terms of the demands they will make on the structure of the organization. Second, that these changes might be produced by changing aspects of that structure.

Structure. Basic organizational structure in schools has remained relatively stable over the years despite persistent attempts to change it. Baldrige includes in his definition of structure the concepts of size, complexity, formalization, division and specialization of labor, interdependence and authority, as well as organizational processes such as communication, coordination, evaluation and distribution of rewards. He examines structure both as a cause of educational innovation and as a target of reform.

Pellegrin (1970) shows that alteration of various aspects of school structure, specifically interdependence among teachers, division of labor and specialization, and teacher autonomy, can have a marked influence on school productivity. Lortie (1964) illuminates several weaknesses in the structure of school organizations. He shows how authority patterns, the distribution of rewards, and the flat career hierarchy of teachers create inevitable organizational problems and restrict the implementation of organizational change.

Individuals and Small Groups. This perspective is essentially that proposed by the human relationists described earlier. In it, the individual is seen as the central variable in adopting or rejecting new ideas. Attitudes toward innovation are seen as flowing largely from unique personal characteristics, but also as being heavily influenced by the values of an individual's peer group. Katz and Kahn (1966) criticize the "psychological fallacy" within educational circles of assuming that organizational change best occurs by changing individual attitudes and actions. They contend that long-lasting change can be achieved only through that manipulation of organizational variables such as authority structures, reward systems, technology and environmental relations.

Baldrige (1975) posits three primary reasons for criticizing the exclusive utilization of the individual and small group perspective:



First, this perspective seems to have as a major, if not overriding, influence on administrative approaches to change in schools. Second, I am not convinced that changing individuals or the norms of small groups results in systematic change. Third, the individualistic tradition may not offer any fruitful directions for school administrators (p.26).

In this section, various perspectives on the educational change process have been traced through the past four decades. In the 1940's, emphasis was placed on dissemination and diffusion as the central variables to be addressed in realizing long-lasting innovations. The human relationists of the 50's and 60's shifted the focus to the adoption phase of the change process, stressing interpersonal dynamics as the key to understanding and facilitating change. Recently, concentration has been upon recognition of the school as a complex organization, governed by the interplay of a variety of sub-systems. Current research has pointed out that change agents must realize that isolation of any single aspect of the organization as the solitary focus for innovation will not be sufficient to effect lasting change. The five sub-systems identified by Baldrige, goals, environment, technology, structure, and individual and small group, have been described, accompanied by additional research concerning the appropriateness of each as a locus for change efforts.

#### Change Agents

A central role in the process of change is that assumed

by a figure first labeled by the National Training Laboratory as a "change agent". Defined by Bennis (1969) as "the helper, person or group, who is attempting to define change" (p.5) and by Carlson (1965) as "a person who attempts to influence the adoption decisions in a direction he feels is desirable" (p.4), this figure significantly influences the direction and effectiveness of the intended change. Gallaher (1965) states that "the way the (agent) plays his role is one of the more crucial variables in the success or failure of attempts to direct change" (p.37). In this section, various roles, types and requisite skills of change agents will be reviewed, in addition to a series of research-based generalizations regarding their effectiveness.

A variety of figures can occupy the role of change agent. Ronald Havelock (1973) compiles an extensive list including students, administrators, salesmen of educational products, curriculum coordinators, and parents, to name only a few. He claims that an effective change agent can work from a position inside or outside the immediate change environment, though each has distinct advantages and disadvantages. An outsider often possesses a higher degree of objectivity, and is usually freer to work in a variety of ways with different members of the client system. However, he/she is often an unknown and possibly threatening entity, susceptible to suspicion and mistrust. Insiders are generally more familiar with the system and feel its problems more intimately, but

often lack both perspective and working access to all segments of the school population.

Henry Brickell (1964) emphasizes that it is often difficult for a teacher to be a change agent. He/she is not an independent professional, but rather is one member of the staff of a stable institution. He states that it is up to administrators to take the lead because rearrangements of the structural elements of the institution depend almost exclusively upon administrative initiative. Eicholz and Rogers (1964) contend that school administrators may promote innovation, but more often than not they prevent it. They conclude that the major role of a principal is to administer the status quo.

Regardless of the position of the change agent, he/she plays a variety of roles in assisting to realize the intended change. In one of the first descriptions of this process, Lippitt, Watson and Westley (1958) outline the following sequential functions of the change agents:

1. Clarify the problem through diagnosis.
2. Assess the client system's motivations and capacity to change.
3. Assess the change agent's motivations and resources.
4. Select appropriate change objectives.
5. Choose the appropriate helping role.
  - a. Mediate and stimulate new connections within the client system.
  - b. Present expert knowledge on procedures.
  - c. Provide strength from within.
  - d. Create special environments.
  - e. Give support during the process of change.



6. Establish and maintain the relationship with the client system.
  - a. Recognize need for adequate sanction.
  - b. Clarify expectations about the change relationships.
  - c. Regulate the intensity and quality of the helping relationship.
7. Recognize and guide the phases of change (p.91).

Havelock (1973) posits four primary ways in which a person can act as a change agent: catalyst, solution giver, process helper, and resource linker.

The role of the catalyst is to surface observed dissatisfaction with the status quo and energize the problem-solving process. He/she need not have immediate answers for questions surfaced, but functions rather to break inertia and encourage members within the system to begin considering options.

The solution-giver, unlike the catalyst, has particular ideas in mind, and as an agent of change, attempts to implement them. Havelock emphasizes that effectiveness in this role goes beyond mere possession of solutions, however. The agent must know when and how to offer them, and to know enough about them to help the client adapt those solutions to his/her needs.

As a process helper, the change agent assists the client in working through the innovation process. He/she can provide valuable assistance in showing the client how to recognize and define needs, diagnose problems and set objectives, acquire relevant resources, select or create solutions, adapt

and install solutions, and evaluate solutions to determine if they are satisfying needs.

As a resource linker, the change agent attempts to put the client in touch with a variety of resources inside and outside the system which might be of assistance in the problem-solving process. These might include access to sources of expertise in all components of the change process, relevant literature, potential financial backers, and specific individuals with the time, energy and motivation to help. Havelock points out that the four change agent roles are not exclusive, and that effective agents can be "line" or "staff", and can work from above or below in a power hierarchy.

The task of the change agent is a complex and difficult one. Effective performance in this role demands possession of a variety of refined skills. Expanding upon the work of Lippitt, Watson and Westley, Warren Bennis (1969) outlines the following necessary competencies:

The change agent must possess:

1. Conceptual, diagnostic knowledge cutting across the entire sector of the behavioral sciences.
2. Theories and methods of organizational change.
3. Knowledge of sources of help.
4. Orientation to the ethnical and evaluative functions of the change agent role.
5. Operational and relational skills: of listening, observing, identifying, and reporting; of ability to form relationships and trust; of a high degree of behavioral flexibility.

The change agent must be able to:

6. Use him/herself, to be in constant communication with him/herself and to recognize and come to terms with...his/her own motivations.
7. Act congruently (authentically) in accordance with the values he is attempting to superimpose upon the target system's value system (p.346).

Citing extensive supportive research, Everett Rogers (1971) postulates a positive relationship between change agent success, as measured in terms of the adoption of innovations by members of the client group, and several distinct variables. He contends that increased success is dependent upon the extent of change agent effort, the degree of client orientation rather than change agency orientation, and the degree to which his/her program is compatible with client need. Rogers also states that the change agent's empathy with clients, the extent that he/she works through opinion leaders, his/her credibility in the eyes of clients, and his/her efforts in increasing the client's ability to evaluate innovations all positively influence probability of success.

In this section, various roles, types and requisite skills of change agents have been reviewed, and a series of research-based generalizations regarding their effectiveness has been presented. A variety of figures can occupy the role of change agent, and within this position, an individual can promote change by being a catalyst, a solution-giver, a process helper, or a resource linker. To maximize effective



performance in the role, the change agent must possess sound operational and relational skills, and a command of knowledge from several behavioral sciences.

### Change Models

Toward clarifying the educational change process, many researchers have developed conceptual models to reflect their findings. Though utilized extensively in the literature, the term "model" has been applied to a variety of systematic approaches to the change process, no two of which speak to exactly the same issue. McClelland (1968) addresses this problem in the following statement:

It is premature to do more than wish for a general model, let alone a general theory of change and changing. Accordingly, researchers have developed a variety of subsystem models, each of which deals with some aspect of the change process or with some specific setting. Quite understandably, they vary widely in comprehensiveness, complexity and elegance (p.15).

Maguire (1970) cautions that "most of the models have varying degrees of abstractness, relate to change problems at different levels and from different perspectives, cover different variables, and have varying degrees of completeness" (p.4). Obviously, such confusion restricts the effectiveness of existing models in providing helpful information for practitioners.

The models most frequently referred to in the literature can be divided into three general types: the research and

development model, the social interaction model, and the problem solving model. The first concentrates specifically upon the origins of the innovation and stresses the developer as the primary source of initiative in the change process. The second is concerned most with diffusion throughout an educational system and emphasizes the role of communicator. The third centers upon the dynamics of individual adoption and accentuates the role of receiver. In this section, these types of models will be described, examples of each will be outlined, and their applicability for practitioners will be reviewed.

The research and development (R & D) models, sometimes referred to as theory-into-practice models, depict the change process as a rational sequence of phases by which an innovation moves from research-based invention or discovery, through development, and on to diffusion and eventual adoption. Ivor Morrish (1976) points out that "the innovation is not analyzed from the viewpoint of the user, who is presumably passive; nor does research begin as a set of precise answers to specific human problems, but rather as a set of facts and theories which are then transformed into ideas for useful products and services" (p.110). The R & D models are concerned primarily with the translation of basic research into applied knowledge.

Two research and development models representative of this type are those produced by Clark and Guba (1967) and

Havelock (1971). The Clark and Guba model develops as follows:

1. Research
2. Development
  - a. Invention
  - b. Design
3. Diffusion
  - a. Dissemination
  - b. Demonstration
4. Adoption
  - a. Trial
  - b. Installation
  - c. Institutionalization (p.117)

In Figure 1 on the following page, Havelock's R. & D model is presented, accompanied by examplicative references from the education field.

Although the research and development type models provide an overview of the life cycle of educational innovations, they have minimal direct relevance for practicing change agents. For researchers they provide a framework for analyzing change at a conceptual level, isolating origins and charting forms of development. These models concern what happens in the course of an educational innovation rather than how or why.

The second type of change model, that emphasizing social-interaction, is concerned primarily with diffusion--the communication process utilized in the transmission of ideas from one user to another. It traces the movement of an innovation from first awareness through developed interest, evaluation, trial and eventual adoption. It implies the significance of interpersonal communication and the related



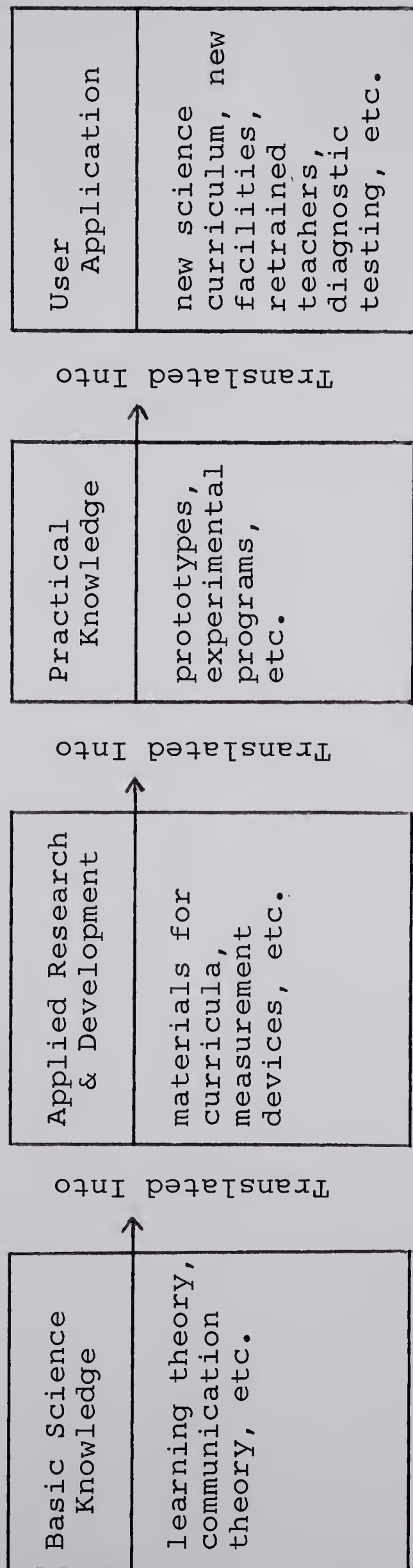


FIGURE 1: Ronald Havelock's Research and Development Model (pp.1-12)

concepts of opinion leadership, personal contact and social integration, as a new idea is transplanted from one system to another. The model presented by Everett Rogers (1971) is representative of this type.

Rogers outlines a four-phase "innovation-decision process" through which a proposed change moves toward adoption. The first step in this process is the potential adoptor's knowledge of the innovation. The extent of knowledge attained is determined by receiver variables (personality and social characteristics, perceived need for change, etc.) and social system variables (system norms, tolerance of diversity, communication integration, etc.). The effectiveness of the second step, persuasion to adopt the innovation, is perceived by the potential adoptor. Rogers isolates five such attributes which the adoptor considers: relative advantage, compatibility, complexity, trialability and observability. If adoption is decided upon, the innovation may later be discontinued as a result of replacement or disenchantment. If rejection is chosen, the innovation may later be adopted following reassessment of persuasion variables. The final step in this process is confirmation, the point at which the innovation has become institutionalized.

Like the R & D models, the social-interaction models provide an overview of the change process. They focus upon one aspect of this process, the adoption of innovations, and as such are potentially of greater relevance for the

practitioner. They isolate variables influencing why innovations are adopted and provide keystones for developing diffusion strategies.

The third type, the problem-solving model, has received substantial attention in recent years. It is concerned primarily with the dynamics of individual adoption of innovations. The interaction between the ultimate users of the innovation and a change agent is particularly stressed in this approach. Problems encountered and systematically addressed serve as the basis for this type of change model. Theory originally presented by Kurt Lewin (1952) is incorporated within the following problem-solving models of Lippitt, Watson and Westley (1958) and Rober Chin, et al. (1976).

Lewin specified three stages in his studies of group decision and social change: unfreezing, moving, and refreezing. The first occurs with the realization of a need to change, the second with the introduction of activities designed to implement change, and the third with the fixing of the new behaviors necessary to sustain the change. Lippitt, Watson and Westley expand this process to include seven distinct phases:

- I. The development of a need for change.
- II. The establishment of a change relationship.
- III. The clarification or diagnosis of the client system's problem.
- IV. The examination of alternative routes and goals; establishing goals and intentions of action.



- V. The transformation of intentions into actual change efforts.
- VI. The generalization and stabilization of change.
- VII. Achieving a terminal relationship (p.130).

Robert Chin et al. (1976) have proposed three conceptual models to guide innovation participants in anticipating stage-specific demands. They contend that existing descriptive models of the change process do not adequately identify factors which influence the life, growth, and completion of innovative projects. They describe their models as follows:

The decision zone model isolates three zones of decision making: planning and launching, experiencing and installing, and institutionalizing and routinizing. The growth model delineates the four stages of becoming, exploring, maturing, and transforming with selected issues posing questions to be confronted by a manager of the innovation and change programs. The demands-coping model identifies the nine demands (inherent developmental tasks) of mobilization of resources, unity of innovation, usefulness, installation, administering rules, reactions psychologically, shifting people, and eliciting learnings (p.1).

Of the three types described, the problem-solving models offer the practitioner the highest degree of direct relevance. Concerned with human behavior in the change process, these models provide insight to understanding the interpersonal dynamics of innovation. Because they depict how change can be facilitated, they offer information which can be directly utilized.

Havelock (1973) presents a model which bridges each of

the three types presented in this section. In describing the steps to be taken by the change agent in moving from "education the way it is now" to "education the way we would like it to be in the future", he incorporates the what of the research and development model, the why of the social interaction model, and the how of the problem-solving model.

Havelock (1973) proposes the following steps:

- I. Build a relationship with the clients
- II. Diagnose the problem
- III. Acquire relevant resources
  - A. for diagnosis
  - B. for awareness
  - C. for evaluation-before-trial
  - D. for trial
  - E. for evaluation-after-trial
  - F. for installation
  - G. for maintenance
- IV. Choose the solution
  - A. derive implications from research
  - B. generate a range of solutions
  - C. test for feasibility
  - D. adapt
- V. Gain acceptance
  - A. create awareness
  - B. generate interest
  - C. evaluate
  - D. conduct a trial
  - E. adjust for adoption
  - F. integrate into behavior
- VI. Generate self-renewal (p.11)

The Havelock model has been developed for direct application by the change agent. Although a sequential, step-by-step process is implied, Havelock contends that activities conducted at each step should be on-going throughout the process.

In this section, various types of educational change models have been described, examples of each have been

outlined, and their applicability for practitioners has been reviewed. The term "model" has been applied to a variety of systematic approaches to the change process, no two of which speak to exactly the same issue. Because they vary widely in comprehensiveness, complexity and elegance, a confusion has been created which restricts the effectiveness of existing models in providing helpful information to practitioners. The theoretical constructs are potentially of significant value to change agents, however, because they can provide a framework for analyzing various aspects of the change process from a conceptual level.

### Change Strategies

The literature is replete with strategies and techniques for effecting change in schools. This section will review the opinions of several authors regarding preliminary considerations to be made, alternative types of strategies to be considered, and various principles to be followed in the process of bringing about change.

Egon Guba (1968) contends that the prospective change agent must first consider four central elements when evolving a strategy--the invention itself, the client system to be addressed, the diffusion mechanism to be employed, and the desired end product. On the basis of the assumptions made about each, he/she can adopt any or all of the strategies labeled by Guba as rational, didactic, psychological,



economic, political, authority and value. Within these strategies, the change agent views the client in the following different ways:

1. as a rational entity who can be convinced on the basis of hard data and logical argument of the utility of the proposed innovation.
2. as an untrained entity who can be taught to perform in relation to the innovation.
3. as a psychological entity who can be persuaded
4. as an economic entity who can be compensated or deprived
5. as a political entity who can be influenced
6. as an entity of a bureaucratic system who can be compelled
7. as a professionally oriented entity who can be obligated to adopt through an appeal to his values (Guba, 1968, p.293).

Robert Chin and Kenneth Benne (1967) identify three distinct types of planned change strategies: rational-empirical, normative-re-educative; and power coercive. The first, representative of the views of the enlightenment and classical liberalism, are based on the assumption that individuals are rational and are moved by self-interest. If an individual can be shown that a proposed change is rationally justified and that he/she will gain by it, then he/she will react favorably to the innovation. Chin and Benne include under this approach the specific strategies which involve the dissemination of knowledge, the use of systems analysts as experts, the application of basic research and development products, and the provision of didactic or demonstration

workshops.

The second general type identified by Chin and Benne, the normative-re-educative strategies, are representative of the views of therapists, trainers and situation changers. These strategies are based on the assumption that changes reflect alterations in group norms and institutionalized roles and relationships, as well as in cognitive and perceptual understandings. When new information is in conflict with the values and attitudes of an individual, the information will probably be rejected or ignored. In keeping with these assumptions, this type of change strategy advocates emphasis on the personal as well as the rational. Five common elements of normative-re-educative strategies are identified by the authors:

1. The client system and its involvement in working out programs of change are emphasized.

2. The problem confronting the client is not assumed a priority to be one which can be met by more adequate technical information. It may lie rather in the attitudes, values, norms and the external and internal relationships of the client system, and may require alteration or re-education of these as a condition of its solution.

3. The change agent must learn to intervene mutually and collaboratively along with the client in efforts to define and solve the client's problem.

4. Non-conscious elements which impede problem solution must be brought into consciousness and publicly examined and reconstructed.

5. The methods and concepts of the behavioral sciences are resources which change agent and client learn to use selectively, relevantly and appropriately in learning to deal with the problem (Chin and Benne, 1969, pp.44-45).

The third group of strategies, labeled "power coercive", is predicated on the application of power in some form, political or otherwise. In this approach, the assumption has been made that those with lesser power will ultimately submit to the desires of those with greater power, for one reason or another. As representative of this approach, Chin and Benne include strategies utilizing the influence of political institutions, those directed at recomposition and manipulation of the power elite, and those which seek to change through violent or nonviolent force.

Blanchard and Hersey (1969) suggest four levels of change: knowledge changes, attitudinal changes, behavioral changes, and group or organizational changes. They contend that knowledge changes are the easiest to make, with each succeeding level progressively more difficult to achieve and demanding of a longer time investment. They propose two distinct approaches to effect total change: the participative and the coerced change cycles.

The participative change cycle is initiated at the knowledge level by making new information available to the client. To encourage the development of a positive attitude toward the knowledge, the authors advocate involving the



clients in participatory goal-setting and problem-solving processes which lead to voluntary commitment. Subsequent change in actual behavior is perceived as the most difficult step in the process, but can be facilitated by attaining the acceptance and behavior change of influential members of the system. The fourth level, that involving a change in group behavior, will be achieved as others pattern their behavior after these perceived leaders.

The coerced change cycle moves in the opposite direction. Change is first imposed upon the entire group, with the assumption that individual behavior will be forced to change to accommodate the shift in expectation. Through the new behavior, knowledge of the change is developed, which leads ultimately to the development of an attitude concerning it. Blanchard and Hersey point out that in some cases, the coercion cycle leads quickly to attainment of a knowledge change, which stimulates commitment and subsequent application of the participative cycle.

Both advantages and disadvantages exist within either approach, and different situations call for different strategies. An advantage of effecting change through the participative cycle is that it tends to be long lasting, for the clients have made a personal investment in the process and are less likely to resist the change once implemented. A major disadvantage is that this process takes a great deal of time to evolve. The coerced cycle, on the other hand, is

potentially very quickly enacted, as the agent can utilize the assets of position power--rewards, punishments and sanctions--to impose immediate change. Unfortunately, this approach is potentially highly volatile, as it risks promoting animosity and hostility among those being forced to change.

Blanchard and Hersey contend that the participative cycle is usually more effective when applied to a relatively mature group, which has an ability and desire to assume responsibility in the change process. The coercive cycle is often a more productive approach when the client system is relatively immature and dependent--incapable and unwilling to take on new responsibilities. This type of group often functions more effectively when told what to do and how to do it.

Numerous theorists reflect this situational approach to change leadership. No one approach for changing schools will hold in all situations. Usually a combination of styles and strategies are necessary to effect change in the behavior of a single individual, to say nothing of small groups, organizations and entire institutions. In The Prince, Nicolo Machiavelli, perhaps the first theorist of administrative behavior and organizational decision making, repeatedly stressed the need for managers to possess a working understanding of both "fox-like" (supportive, participative) and "lion-like" (forceful, coercive) leadership traits. More

importantly, he advised, the leader must know when to be a fox, when to be a lion, and when to be a combination of the two.

As a technique for diagnosing situations and assembling strategies for change, Kurt Lewin (1947) proposed the utilization of "force-field analysis". In any change situation, there exist both driving and restraining forces which effect the potential of that change. Driving forces are those which encourage the development of the change, while the restraining forces inhibit it. Equilibrium is achieved when the sum of the driving forces equals the sum of the restraining forces. By directing energies toward one or the other, a change agent can raise or lower the level of equilibrium and significantly influence both the course and effectiveness of the change.

In this section, strategies for effecting change in schools have been reviewed. Preliminary considerations to be made, alternative types of strategies to be considered, and various principles to be followed in the process of realizing change have been described. Rational-empirical, normative-re-educative, and power-coercive approaches have been identified, and a distinction has been drawn between the cycles of participative and coercive change. A situational approach to change leadership has been advocated, for theorists contend that no single approach will effectively address every condition.



## Summary

In this division of the chapter, a representative sampling of existing knowledge of educational change has been reviewed. Organized under the topics of change barriers, perspectives, agents, models and strategies, the viewpoints of practitioners and theorists representing a variety of disciplines have been outlined and interrelated.

Schools do not possess a high degree of change facility. Innovators face a constant uphill struggle in gaining acceptance of their projects, encountering a barrage of external and internal resistance at both institutional and interpersonal levels. To minimize the effect of such resistance, and thus maximize potential for project success, innovators must recognize the effect of the dynamics inherent within the change process, and develop a flexible set of strategies for addressing them. Because the quantity of literature on the subject is vast, and because conflicting modes of terminology often induce confusion, leaders of innovations traditionally have neglected to utilize available knowledge to guide their efforts. In the preceding review, sources of resistance to educational change have been identified, and a variety of tactics for overcoming these barriers has been described.

Practically as many proposals for change strategies exist as there are authors who have written on the subject. Most of the theorists cited in this review, including Miles, Havelock, Sarason, Bennis, Benne, Chin, Carlson, and

Blanchard, among numerous others, have either stated or implied various methods for effecting change in schools. The following set of generalizations drawn by Goodwin Watson (1969) is representative of the conclusions of authors reviewed in this chapter division.

A. Who brings the change?

1. Resistance will be less if administrators, teachers, board members and community leaders feel that the project is their own--not one devised and operated by outsiders.
2. Resistance will be less if the project clearly has whole-hearted support from top officials of the system.

B. What kind of change?

3. Resistance will be less if participants see the change as reducing rather than increasing their present burdens.
4. Resistance will be less if the project accords with values and ideals which have long been acknowledged by participants.
5. Resistance will be less if the program offers the kind of new experience which interests participants.
6. Resistance will be less if participants feel that their autonomy and their security is not threatened.

c. Procedures in instituting change.

7. Resistance will be less if participants have joined in diagnostic efforts leading them to agree on what the basic problem is and to feel its importance.
8. Resistance will be less if the project is adopted by consensual group decision.
9. Resistance will be reduced if proponents are able to empathize with opponents; to recognize valid objections; and to take steps to relieve unnecessary fears.

10. Resistance will be reduced if it is recognized that innovations are likely to be misunderstood and misinterpreted, and if provision is made for feedback of perceptions of the project and for further clarification as needed.
11. Resistance will be reduced if participants experience acceptance, support, trust, and confidence in their relations with one another.
12. Resistance will be reduced if the project is kept open to revision and reconsideration if experience indicates that changes would be desirable (p.497).

The curriculum of the training program for educational change agents, to be detailed in Chapters III and IV of this dissertation, will be based in part on the knowledge described in the preceding review. As the training itself will be an attempt to effect change, particularly in the behavior patterns of its participants, the principles outlined above will serve to guide the design and application process of the program as well. In the remainder of the chapter, adult learning theory will be reviewed, and a set of training principles will be formulated for use as filters in the development of the program.



### Adult Learning

The study of human development has significantly influenced educational practice for many years. Pedagogy, the art and science of teaching children, has been continually redefined in light of increasing knowledge of the cognitive and affective development process of young people. The constantly changing nature of teacher-learner interactions in schools has reflected the impact of shifting research findings on the subject.

Adult learning theory, however, has only recently begun to effect educational efforts. Research has shown that although adults and children internalize new information in much the same ways, the environment which most effectively promotes learning in adults differs substantially from that best suited to meeting the needs of children. In recent years, increasing recognition of the need to extend the education process throughout life has stimulated active examination of adult learning. Educational programs designed to promote the growth of mature learners have begun to reflect the knowledge produced, and scientific pursuit of the subject continues to expand.

In this section, selected aspects of adult learning theory are reviewed. Distinctions between adult and child learning needs are established and the concept of androgogy is introduced. Drawn from theories of educational change and human development, a set of principles is formulated to guide

the design and implementation of adult training programs.

### Overview

Traditionally, the function of education has been to transmit knowledge from one generation to the next. Teaching has been defined as the provision of information, and learning as its receipt. The role of teachers has been to relay the wisdom of the past, and that of students has been to collect and store this knowledge for future use.

The responsibility for deciding what is taught and how it is to be learned has been upon the teacher, deemed an authority by virtue of his/her own education and experience. The student has been a dependent, passive recipient in this process, subject to the direction of the teacher. The needs and interests of the learner, defined by conventional wisdom, have been assumed to be the same for all students.

Periodically in the course of its history, educational practice has been governed by different assumptions. The "progressive" movement of the 1920's and 30's, for example, was characterized in part by recognition of individual differences among students. The needs and interests of the learner became active ingredients in the development of curriculum as well as in the process of its application. The student was perceived to be an invaluable resource for his/her own learning.

Recent times have surfaced further reexamination of the

purpose of education. Because knowledge is currently being produced at an exploding rate, the viability of the "transmittal theory" of education has been questioned. To survive in the modern world, learners now need not only wisdom from the past, but also skills to absorb and apply the barrage of new information available to them. Many educators now perceive the role of the teacher to be that of facilitating the learning of students by stimulating in them the desire to engage in a lifelong pursuit of what they need to know. Two consequences emerge from this redefinition of the function of education. First, it implies that the responsibility for determining what is taught and how it is learned must shift increasingly away from the teacher and toward the learner. Second, if learning is to extend throughout the life of the student, the education of adults must be considered as well as that of children.

Traditionally, minimal attention has been paid to adult education. When formal learning opportunities for adults have been provided, the purpose has usually been to address professional or social deficiencies. The process employed to promote the development of adults has been identical to that utilized to educate children. Teachers, possessors of knowledge, transfer information to learners. To adapt to a rapidly changing world, individuals must learn how to learn as well as be taught. As with children, the promotion of growth in adults is dependent upon recognition and observance



of individual learner need and desire.

### Androgogy

The term "androgogy", referring to the art and science of facilitating adult learning, first entered the lexicon of education over one hundred years ago. Originally used in 1833 by Alexander Kapp, a German grammar school teacher, to describe the education theory of Plato, the concept has been applied primarily in European countries. The word itself derives from a synthesis of the Greek noun "agoge", meaning the activity of leading, and the stem "andr-", meaning adult. Pedagogy, the term often mistakenly utilized in reference to the technology of educational practice in general, literally applies only to that involving children, having derived from the Greek stem "paid-", meaning child.

Only recently has the concept of androgogy been widely recognized in the United States. Malcolm Knowles of Boston University has been credited with introducing the concept in this country, and increasing numbers of researchers in the fields of education, management, organizational development, and social psychology have contributed to it's advancement. Ingalls (1972) characterizes androgogy as "a unifying educational process that can help adults discover and use the findings of these related fields in social and educational settings to stimulate the growth and health of individuals, organizations and communities" (p.10). It is the process

through which the content of adult education programs can be developed, learned and applied.

Ingalls contends that despite critical differences between adult and child learners, most adult education programs are founded on pedagogical principles. He isolates four characteristics which distinguish adults from children and advocates the design of learning experiences which reflect the dissimilarities. The learner's self concept, level of experience, readiness to learn, and time perspective all change as he/she grows older. In this section, these characteristic differences are described, along with both traditional pedagogical and androgogical approaches to addressing them.

The self concept of a child is rooted in a sense of dependency. Children often perceive themselves as incapable of managing their own lives. They feel in constant need of assistance and direction from elders. In schools, the dependency of the child has traditionally been catered to, and the design of learning experiences has reflected his/her need for external guidance. The dominant teacher leads the passive learner.

Through maturation, individuals gain a sense of autonomy, an awareness that they are capable of determining the course of their lives. The adult learner feels a need to make his/her own decisions, and desires to be perceived by others as being self-sufficient. In the androgogical approach, the

relationship between teachers and learners is a reciprocal one which recognizes the student's need and capability for self-direction.

As they enter school, children have accumulated relatively little life experience. Because of their limited knowledge, they are seldom called upon to share with each other what they know. Learning activities are designed and coordinated by the teacher. Knowledge is communicated in a one-way transaction, from the top down.

Experience grows with age. In the course of living, adults accumulate extensive quantities of knowledge through exposure to ideas, events and other people. As they enter an education program, they bring with them a unique store of experiential wisdom. As mature adults, they expect their life experience to be valued as a resource for the learning of themselves and others. To meet this need and maximize the potential for growth in all participants, androgogists contend that adult education programs should be characterized by multi-directional communication techniques through which teachers and learners share knowledge with each other.

The core curriculum of most schools is relatively fixed. A commonly held assumption is that children need to develop competencies in the basic skill areas of reading, writing, and arithmetic. The attainment of knowledge in these areas is often dependent upon the progression of the learner through a series of sequential developmental tasks. Before



the child is ready to learn the concepts of multiplication, for example, he/she must understand the principles of addition. Toward promoting the sequential learning of children, students in schools have traditionally been grouped by grade or ability level, and curriculum decisions have been made by the teacher.

Most adults, however, have developed competency in the basic skills. Their learning needs are related more closely to their social or professional situations than to the curriculum of general education. Adults are more often immediately ready and able than children to learn what they need to know. In the androgogical approach, adult education programs reflect this capacity, allowing for learners to diagnose their own needs, participate in the design of curricular content, and group themselves according to interest.

Traditionally, schools have been designed to prepare children for the future. The assumption has been made that the child needs to learn the accumulated knowledge of the past for application in his/her future. The present has been perceived as a transitional period in which information is stored for later use, presumably "after graduation". In the androgogical approach, the present is recognized to be of equal importance with the past and future. Learning is problem-centered rather than subject-oriented, directed toward issues addressed by the student in his/her current social or professional situation. Teachers are not merely

curators of the knowledge of the past, but also serve as facilitators in helping isolate and solve learner problems of the present.

Proponents of the androgogical approach to adult learning contend that most programs set up for mature learners are governed by principles drawn from traditional pedagogy. The needs of adults have been assumed to be the same as those of children, and mature students have often been treated as if they were in elementary school. It is argued that violation of the adult's autonomous self-concept, negation of his/her life experience, and rejection of his/her need and readiness to base educational pursuit on present problems, tends to restrict the motivation to learn. Because these programs in the past have failed to recognize their unique needs, adults often enter them expecting to be treated like children, and they are prone to react negatively to the entire experience as a result. When maturity is respected, and they are recognized as capable, productive adults, their desire to learn increases dramatically, and their potential for meaningful growth is maximized.

### Principles of Adult Education

In designing adult education programs which facilitate learning, environments must be created which are conducive to participant growth. Drawn from theories of educational change and human development, the following set of principles

is proposed as a guide to the development of effective adult training programs.

Adult training programs will be most effective when:

1. personal needs, interests and values of participants are addressed.
2. learners share ownership of the program and participate actively in the decision-making process.
3. a conducive physical and psychological climate for learning is established.
4. learning experiences are characterized by the utilization of varied resources, including the participants themselves, and multi-sensory communication techniques.
5. the mode of participant interaction is supportive, characterized by the development of helping relationships among learners and facilitators.

In this section, these principles are described and implications of each, as determined by research findings and case studies, are presented.

1. Adult training programs will be most effective when personal needs, interests, and values of participants are addressed.

In the past, many adult training programs have been perceived by participants as necessary evils to be survived. As described in the preceding section, these programs have been imposed on the participants for the purpose of teaching them what they need to know to perform their roles effectively. The learners' own perceptions of their needs have usually either been ignored or assumed to be consistent with those determined by the teachers. In such training efforts, resistance has often been encountered, and motivation to learn has



been restricted.

Adult education programs should be structured to assist learners in realizing personal goals. Educational theorists concur on the observation that participants will benefit most from these experiences when they perceive them to be addressing their own desires on their own terms. When they realize that the training experience does not represent another burden to endure, but rather that it might serve to make their own lives easier, they are more inclined to commit themselves to learning through it.

Abraham Maslow (1954) describes motivation and its resultant behavior as flowing from internal responses to the basic needs of the human organism. He contends that because learning is dependent upon motivation, the central responsibility for structuring the form and content of educational experiences should be upon the learner. Knowles (1970) builds upon this concept:

The important implication for adult education of the fact that learning is an internal process is that those methods and techniques which involve the individual most deeply in self-directed inquiry will produce the greatest learning. The truly artistic teacher of adults perceives the locus of responsibility for learning to be in the learner; he conscientiously suppresses his own compulsion to teach what he knows his students ought to learn in favor of helping (them) learn for themselves what they want to know (p.51).

Ingalls (1973) states that adult education programs will be more productive when they are designed around participant

desires. Although a commitment of extra time and energy at the beginning of the experience is required to attain their input, assessment of participants' needs, interests, and values is imperative. He characterizes needs as basic wants, interests as particular preferences, and values as commitments to patterns of choice. Information attained from these assessments should dictate the content and direction of the training experience. Ingalls advises as well that participant desires should be rechecked throughout the course of the program.

Learners often have difficulty in recognizing and expressing their own needs. Data attained through self-assessment is potentially limited in scope and accuracy because, as Goddu (1977) states, "the process presupposes that the participants (1) already know all that is available, (2) consciously understand and can articulate what is needed, and (3) are self-confident enough to state it" (p.5). He points out that participants are often reluctant to reveal their needs, even when they are capable of doing so, because they are uncertain as to whether the receiver of this information represents a potential help or threat.

Drummond (1976) echoes the consideration that individuals are often reluctant to call for assistance, even given a secure and supportive environment. He contends that most people have little experience in expressing their needs to others, and that even when they do know what they want, they

often cannot communicate this information in a manner that will stimulate assistance in attaining it. Drummond (1976) calls for the development of new instruments for assessing needs that will produce more accurate and comprehensive data. In the meantime, he advocates a modified approach:

Until we are able to develop better ways of communicating individual needs, we should focus our energies on "wants," taking for granted that what members of the client population say they want will indeed help them in meeting their personal and professional needs (p.6).

Drummond goes on to state that the success of these programs will ultimately be based upon the degree of participant satisfaction and on whether the services desired have been provided.

The values of the participants in adult education programs must also be respected. Ingalls (1973) states:

We are not likely to be committed to invest energy in learning something that we do not really value. If we are involved in the process of choosing our own learning activity from alternatives, selecting, affirming and acting on those things that we really value, we will be fully committed and the result will tend to be highly successful (p.27).

Raths, Harmin and Simon (1966) have developed criteria for clarifying values. They contend that an item is valued by an individual if it is freely chosen from a set of alternatives, cherished, publicly affirmed and repeatedly acted upon. The values of the client population of training programs should be clarified and integrated into the design of the experience.



Group values should also be respected. As described in the review of educational change literature, resistance to new practices will be resisted when pre-existing norms are violated. Lewin (1958) concludes that "as long as group standards are unchanged, the individual will resist changes more strongly the further he is expected to depart from group standards" (p.210). Lewin goes on to state, however, that such resistance will be eliminated when the group standard itself is changed. He stresses that an implicit guarantee of freedom must exist for each group member to accept or reject the new values, should such a sweeping change be made.

Designers of adult training programs should be in constant awareness of the primacy of what Frank Thompson (1977) has termed "the WIIFM principle". Participants in such programs will almost invariably be asking, "What's In It For Me?". To be effective in establishing motivation to learn through the program, and consequently a commitment to the process, sponsors must demonstrate convincingly that learners will benefit from the experience. Incentives, which might take the form of tangible payoffs like monetary compensation or university credit, must be provided. Often the most effective means of providing incentive is through convincing participants that the experience will result in significant learning, an occurrence which might facilitate their daily lives. Incentives will generally be most effective in summoning active participation of learners when their personal

needs, interests, and values comprise the foundation of the proposed program.

2. Adult training programs will be most effective when learners share ownership of the program and participate actively in the decision-making process.

Toward maximizing participant involvement and growth in adult training programs, ownership and decision-making power should be shared with the learners themselves. When participants feel that the program is their own, they tend to develop a commitment to it, investing in its success. As Combs (1971) points out, people are reluctant to sabotage their own projects. By involving learners in the creation and development of the program, their potential resistance can be transformed into active support. Rather than criticizing training efforts they must endure, individuals who have been granted control over their learning often enthusiastically participate in the process, devoting their energies to making the experience successful. In addition, Argyris (1970) finds that internal commitment to the training process results in greater durability and resilience on the part of participants as they enact future efforts.

Traditionally, adult education programs have been owned and operated by individuals outside the client group. Lippitt and White (1960) find that significant problems often emerge from such top-heavy power allocations. They cite numerous drawbacks to programs in which participants are

subjected to autocratic control. First, when form and content of training experiences are determined by outsiders, their biased sense of the needs of the group often results in the introduction of irrelevant and consequently undesirable activities. Second, when problems are encountered, blame is focused entirely on the individual(s) conducting the training, often resulting in counter-productive active or passive resistance. Third, White and Lippitt discovered that when the leaders of such autocratic training efforts are not available to direct the group, such as after the experience is concluded, participant behavior reverts to pre-training norms.

Lawrence et al. (1975) find that "inservice education programs that place the teacher (learner) in an active role... are more likely to accomplish their objectives than are programs that place the teacher in a receptive role" (p.19). Active participation of clients in their own training program should begin well before initiation of activities. First, learners should decide together what they want. Lewin (1948) states that an absolute prerequisite for the successful re-education of adults is that they "must become actively involved with others in discovering the inadequacies in their present situation and work together to discover paths leading to its improvement" (p.38). McElvaney and Miles (1971) stress that participants should even be involved in the formulation and implementation of initial needs assessment



instruments because "collaboration in the design of data collection procedures makes it more likely that the data will be bought by the participants later on" (p.119).

Learners should also be actively involved in decision making throughout the course of the program. Likert (1967) has performed extensive research on the management styles of organizations. He finds that those which encourage openness and participation in decision making result in greater productivity than the more authoritarian approaches. Hare (1962) found that demanding, autocratic leadership behavior elicited hostility, apathy and other signs of withdrawal, while more participative styles decreased anxiety and encouraged production.

Gross (1971) points out, however, that research findings indicate that collaboration in the decision-making process is not always desirable. Depending upon the characteristics of the given situation and the client population, the mode of decision making should vary. As described in the review of the work of Hersey and Blanchard (1969) in the first division of this chapter, a situational leadership style might be considered. These authors contend that the participation of learners in decision making should be determined by the degree of complexity of the decision and by the maturity level and expertise of the group. For example, Reddin (1970) points out that crisis situations often demand high task, authoritarian management styles. Guest (1962) finds that

those accustomed to dependency on others for leadership often are incapable and undesiring of participating in the decision-making process.

Strict adherence to the situational approach is potentially dangerous, however, as it enables leaders to hoarde the power over determining who makes the decisions. When a situation is deemed too complex for learner participation, or the experience level of the group too low to warrent such an approach, the authoritative leader risks misjudgement and/or resistance from the learners. In the event of such an occurrence, commitment to the training experience is liable to drop, and motivation to learn might dissolve.

3. Adult training programs will be most effective when a conducive physical and psychological climate is established.

Learning is most likely to occur when participants are comfortable. To maximize potential growth, the organizational, physical, and interpersonal environment in which adult training is conducted should be structured to accommodate participants' needs to feel at ease. Ingalls (1973) states that "learning can be stimulated or blocked by climate factors. Physical discomfort, frustration, anxiety, apathy and indifference all have a negative effect on the learning process while excitement, joy, enthusiasm, humor and comfort all seem to facilitate it" (p.13). He contends that adult education programs work best in informal settings where a warm, open environment is established.

Maslow (1954) recognized that humans have a variety of needs which can be arranged in a hierarchy of relative prepotency. He contended that before higher-level needs can serve as motivators for learning, lower-level needs must be satisfied. The diagram below illustrates Maslow's Needs Hierarchy:

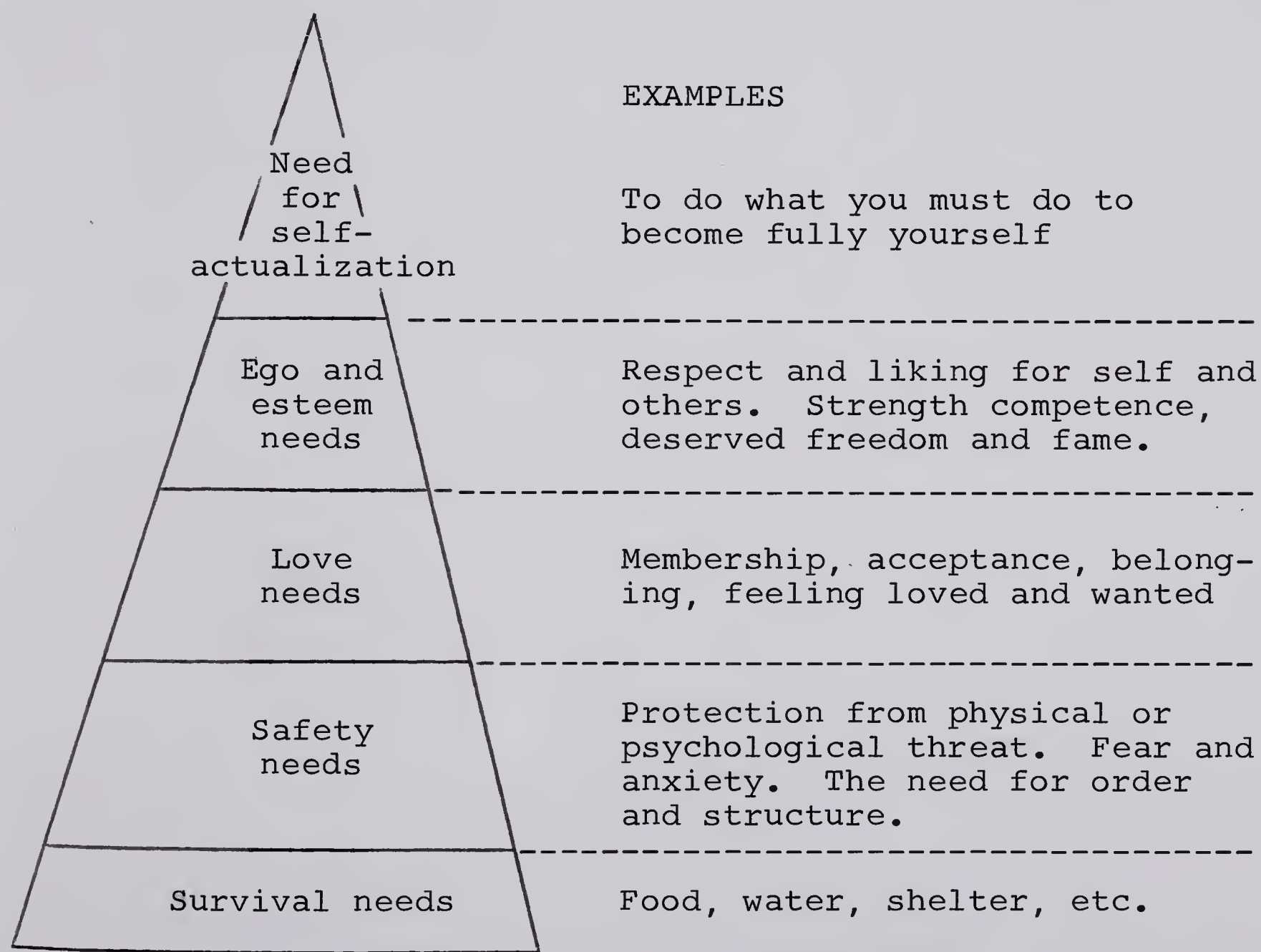


FIGURE 2: Abraham Maslow's Needs Hierarchy (Maslow, 1954, p.23)

One implication of Maslow's theory is that training programs which strive to assist learners in fulfilling sophisticated, high-level needs must first satisfy their basic lower-level



needs of comfort and security.

Toward creating a conducive environment, designers of adult education programs should first assure that organization policies are clearly understood and accepted. Participants in training sessions should have accurate information about the program's purpose and planned activities. When a clear organizational framework is established and participants freely choose to work within it, they are more inclined to be receptive to the program's implementation. Calendars of meeting dates, times, and locations should be provided, and proposed agendas for each session should be distributed to participants in advance.

Dates, days of the week, and time allocations should be chosen to conform with the desires of participants. Weekend meetings, for example, might seem preferable because they would not disrupt the professional lives of participants. But the fact that many people treasure weekends as time to spend with family in recreation activities might preclude the desirability of Saturday or Sunday as a meeting time. Decisions as to conduct long or short meetings, evening or morning activities, overnight or daytime sessions, all should be made on consultation with the group.

The location of meetings should also be chosen with participants' needs in mind. It should be accessible, easy to find, and convenient. Maps to the site might be provided and peripheral attributes of the facility such as aesthetic

appeal and accessibility to adequate parking should also be considered.

Physical surroundings significantly influence the learning climate. The comfort of participants is dependent upon room temperature, acoustics, ventilation, style and configuration of furniture, and even the availability of ash trays and rest rooms. An extremely important factor in the determination of participant comfort is the provision of nourishing and tasty food in the form of snacks and beverages and/or full-scale meals. At morning meetings, for example, coffee and danish rolls are often very helpful in making participants ready, willing, and able to learn.

4. Adult education programs will be most effective when learning experiences are characterized by the utilization of varied resources, including the participants themselves, and multi-sensory communication techniques.

The trainers and modes of presentation in adult education programs are of critical importance. In the past, the format of many of these programs has consisted solely of a series of lectures by experts in the field. The choice of speakers, usually made without the participation of the client group, has often been based upon the presenter's level of fame and/or knowledge of the subject. The methods used to communicate information have been consistently one-dimensional, and often boring. Androgogists contend that the utilization of a wider variety of resources and communication techniques would stimulate more participant interest, and

ultimately promote more growth.

Learners should be involved in decisions regarding choice of trainers and teaching mode, as well as the content to be addressed. In the Rand study of educational change programs, Mann (1976) states that "trainers arriving at the school with an elaborate training routine often discovered that the principal or the client-teachers had other ideas" (p.333). Goddu (1977) stresses that it is important to avoid contracting blindly with a trainer, and then "getting" what he/she knows. He advocates including the trainers in the planning process as early as possible, but warns that they may try to dominate these initial efforts as well.

Outside experts can often be used effectively as resources in adult education programs. In certain situations, the sharing of their unique store of knowledge can be most helpful. But concentration solely upon the information they provide restricts the learning potential of participants. To maximize their growth, learners need exposure to a diversity of resources, including the opportunity to interact with each other. Many theorists advocate a blend of outside and inside resources. The Rand study reports that the most effective training programs were those led by insiders who paid their dues in the client system but who were at some emotional, professional and tactical distance from it. Pure outsiders were perceived to be simply not credible enough, responsive enough, or available enough to succeed.



Numerous advantages are created by using the learners themselves as resources. They are generally perceived by their peers as more believable, having experienced similar "real life" obstacles. Lippitt and Fox (1971) state that peer communication lessens distrust and reduces the defenses. Whenever possible, they advocate the utilization of insiders as trainers because the relevance of the information imparted is more readily accepted by the group when it comes from one of their own. Another advantage is that through sharing knowledge with peers, the sharer also grows from the experience, building self-confidence as well as receiving feedback on ideas. Finally, peer-to-peer training builds collegial relationships and re-enforces a climate where learning is valued; peers come to support each other through mutual assistance.

Numerous strategies can be employed in using learners as their own resources. In the "League of Schools", a program established by the Institute for Development of Educational Activities (IDEA), emphasis on outsiders gradually shifted toward a concentration on group members as the primary vehicles for leading training experiences. Bentzen (1974) writes:

Within the league there was a great pool of resources which could be used by the schools to help one another solve many of the problems they needed to solve in order to explore paths to improvement. These resources included the moral support that schools could offer one another, the stimulation that could come from the exchange of ideas, and the practical information that could be shared as fresh ideas were translated into daily

school-keeping. With these resources, in fact, the group could become a social system strong enough to do most of the job of maintaining itself while identifying and working on appropriate changes (p.46).

Within the IDEA program, the learners directed training experiences, participated in teams to explore their mutual growth, and engaged in extensive cross-visitation efforts to share on-site problems and solutions.

The use of mutual visitation can be an effective strategy for expanding training resources. Brickell (1964) states that "among all the ways of learning about an innovation, the most persuasive is that of visiting a successful program and observing it in action" (p.504). He warns, however, that if the visitor perceives the visited program to be unreal, artificial or appreciably different from his/her own conditions, the visitor may become frustrated and resigned to continue struggling alone.

Within the training program itself, the utilization of a variety of learning formats is recommended by theorists. Effective communication of different kinds of information requires the use of different techniques. Some activities have higher experience impact than others, a characteristic that often promotes different types of learning. Lyons (1977) states:

For low-level cognitive objectives dealing with knowledge and comprehension, such activities as illustrated lectures, demonstrations and observations would

carry sufficient impact. But if the objective required higher-order behavior such as application and synthesis, a broader spectrum of experiences would be required, including such activities as discussions and role-playing. Affective objectives require activities with high experience impact since the participants are expected to alter their values and attitudes (p.14).

Knowles (1970) stresses the need to utilize multi-sensory communication techniques in adult education programs. On a scale of sensory experience from concrete to abstract, Knowles lists a variety of devices ranging from worksheets to audio-visual aids. He contends that experiential techniques, those that involve sensory response, are more likely to involve the learner actively.

When possible, active involvement of participants in learning activities is desirable. Lippitt and Fox (1971) point out that training experiences "must link conceptual learning with action implications for the individual. A major concern of learning designs must be to activate and link the cognitive, affective and action aspects of the self" (p.154). Lawrence (1975) finds that "inservice education programs that emphasize demonstrations, supervised trials and feedback are more likely to accomplish their goals than are programs in which the teachers are expected to store up ideas and behavior prescriptions for a future time" (p.19). Many theorists warn as well that a single format usually will not meet the needs of individual group members, so alternative



training activities should be provided for each experience.

5. Adult education programs will be most effective when the mode of participant interaction is supportive, characterized by the development of helping relationships among learners and facilitators.

Personal growth is most likely to occur in a supportive, non-threatening climate. Given a conducive environment, students can and will learn what they need to know through self-directed pursuit. To facilitate this process, interactions among participants in adult education programs should be structured to assist in the attainment of personal growth.

Rubin (1968) distinguishes between change and growth.

He states that:

Change is the substitution of one thing for another; but growth, or improvement, assumes a fundamental reorganization of thinking, and implies that any resulting change be a self-reasoned action that follows upon intelligent analysis (p.5).

Rubin points out that a teacher can often promote change without effecting growth. By providing expert information or mandating new procedures or norms, teachers can effect surface changes in their students. But for growth to occur, the student must decipher personal meaning through the learning experience, and the new information must be accepted, processed and utilized in establishing new attitudes and behaviors.

Combs (1971) states that "learning is the discovery of meaning" (p.91). He contends that students should be

assisted in making these discoveries by themselves. Combs advocates the use of "helping relationship skills" to assist learners in this pursuit of meaning and the attainment of personal growth.

The approach to education supported by Combs and numerous other theorists is based upon a perception of the individual as a positive force, ready, willing and able to direct the course of his/her own learning. The normative-re-educative style of leadership described by Bennis (1969) and reviewed in the first division of this chapter, is advocated in this approach. Provided with a supportive environment, it is contended that the student will naturally strive toward self-fulfillment, and growth will occur spontaneously.

The role of the facilitator should be to guide the learning process of students. Specific strategies to be employed in this endeavor are dependent upon the characteristics of the situation. Role modeling (Bandura, 1969) and positive reinforcement (Brammer, 1973) can often be useful helping behaviors. Facilitators should be sensitive to learner needs and strive to understand their unique characteristics. Above all, the facilitator's behavior should remain flexible, responsive to the diversity of individual learning patterns.

Another function of the facilitator should be to provide on-going feedback to learners. Knowles and Saxberg (1971) stress that such feedback should be non-judgemental, providing specific, descriptive information to encourage

introspection and self-discovery. Bunker (1977) concurs, adding that helping learners uncover possible next steps also facilitates their growth. He contends as well that readiness for growth is built by focusing on people's strengths.

Interactions between facilitators and learners should be predicated on a mutually observed principle of trust, respect, and acceptance. When problems are diagnosed jointly and solutions are addressed in a non-directive fashion, the potential for growth and learning of both parties will be maximized.

### Chapter Summary

In this chapter, the literature on educational change and adult learning theory has been reviewed. In the first division, barriers to the implementation of innovations in schools have been outlined and a diversity of strategies for overcoming resistance have been detailed. In the second division, the differences between adult and child learning needs have been established and the concept of androgogy has been introduced.

The knowledge reviewed in both divisions has been fused to establish a set of principles to guide the development of adult training programs. These principles will serve as filters through which the conceptual framework of a training program for practicing change agents will be developed. This framework will be described in Chapter III.



## C H A P T E R   I I I

### DEVELOPMENT OF A TRAINING FRAMEWORK

#### Introduction

The purpose of this chapter is to describe a framework for the delivery of an inservice training program for directors of E.S.E.A. Title IV-c in Massachusetts. The population to be served is defined and background information is reviewed. Derived from the principles of change and adult learning described in Chapter II of this study, a seven-step process is utilized to develop the basis of the training program. The organizational, functional, and structural features of the program are identified and preliminary planning activities are outlined.

#### Background

In 1976, the U.S. Office of Education allocated over one million dollars to the Commonwealth of Massachusetts through E.S.E.A. Title IV-c legislation. The money was awarded to 25 local education agencies throughout the State to develop and implement innovative projects in schools over a three-year period. All applicants for Title IV-c funding entered a competition process through which the proposals which appeared to have the greatest potential for realizing the purposes of the legislation were selected. Priorities established by the State included projects which addressed the areas of environmental, vocational, health and nutrition, alternative,

inservice and arts education.

The State Department simultaneously issued a request for proposals to conduct an evaluation of the statewide Title IV-c effort. Funding to provide evaluation services was awarded to the Hampshire Educational Collaborative (H.E.C.) and the Merrimac Educational Collaborative (M.E.C.). Although each of these agencies performed a variety of services in fulfillment of their contracts, H.E.C. was primarily responsible for conducting research while M.E.C. concentrated on a summative evaluation of statewide Title IV-c activities.

The focal point of the Hampshire Collaborative project was the establishment of the Title IV Development Center, an organization through which numerous research and development activities were conducted. The objectives of this project were principally to identify and research areas of concern for leaders of educational innovations and to develop curricular materials within each topic area. The purpose of these efforts was to make available to the State Department of Education numerous permanent resources for reference in providing technical assistance to directors of Title IV-c projects.

The Merrimac Educational Collaborative project was addressed more directly to evaluation. The central objective of this effort was to analyze project performance on a statewide level through a variety of data collection procedures. In addition, this project attempted to provide technical assistance to project directors by coordinating a sequence of

training sessions. In response to the first objective, the M.E.C. project achieved considerable success, producing a significant amount of information regarding the effectiveness of the Massachusetts Title IV-c program. As described in the following paragraphs, however, efforts to provide training for directors of local projects were not as successful.

The training program conducted by M.E.C. consisted primarily of a series of monthly meetings for local directors from across the State. These sessions were characterized by the presence of numerous experts in the field of educational change, who presented their theories and research findings. Representative of these meetings was one conducted in the second month of the project. Ron Havelock, an internationally recognized authority on change in schools, was brought in from Washington, D.C., to talk to the twenty-five project directors. Three hours into Havelock's presentation, one of the directors interrupted to express his frustration and anger with what was happening. He was quickly joined by the rest of the group in complaining that the directors had better things to do than sit for an entire day to listen to a theoritician who related knowledge which seemingly had no direct relevance to their home projects.

The directors pointed out that they had no input to the decision to bring in Havelock, and that they resented being forced (attendance was mandatory) to spend a day listening to him, regardless of the theoretical validity of his knowledge.



To accentuate their claim, one director pointed out that Havelock's own first rule of change agency--establish a relationship with the client group--was being violated by Havelock himself. The directors had not been consulted about the training format and no attempts were made to assess their needs and interests. They were simply told to sit back and listen.

The tone established at this second meeting remained throughout the year, but little was done to remedy the situation. The needs of the directors were seldom considered, and participant resistance built to the point of resignation and apathy. Even minor concessions to the interests of the directors were absent, as evidenced by the continual utilization of cramped, windowless meeting sites and the lack of coffee at 9 a.m. sessions. The failure of the training program as a whole was perhaps best exemplified by the realization by the directors at the ninth and final meeting that they had come to an entire year's worth of meetings without once having had the opportunity to introduce themselves to each other.

Officials at the State Department of Education recognized the need for provision of support and technical assistance for project directors, but realized that the M.E.C. efforts had limited effectiveness. In 1977, when an additional two million dollars was allocated for a new three-year cycle of Title IV-c projects in the State, the contract for

providing training was awarded to the Development Center established through H.E.C. The author of this study was appointed as training coordinator. In the following section, the development process of this training program is described.

### Development

The process employed in developing a training program for the thirty-seven newly funded directors of Title IV-c projects was derived from the principles of adult education detailed in Chapter II. In this section, the framework derived through this process is described, and the organizational, functional, and structural features of the program are outlined.

The training framework is based upon the continuous circular application of a seven-step process. Depicted in the format of general systems theory, the process is illustrated in Figure 3 on the following page.

Within a conducive environment established in the organizational stage, the programmatic content is determined in response to participant needs. The effectiveness of the program is gauged, needs are reassessed, and learning activities are restructured in response to new expectations. Although these steps are listed sequentially, each is addressed at every stage of the process.

Organization

1. Setting a climate for learning.
2. Establishing a structure for mutual planning.

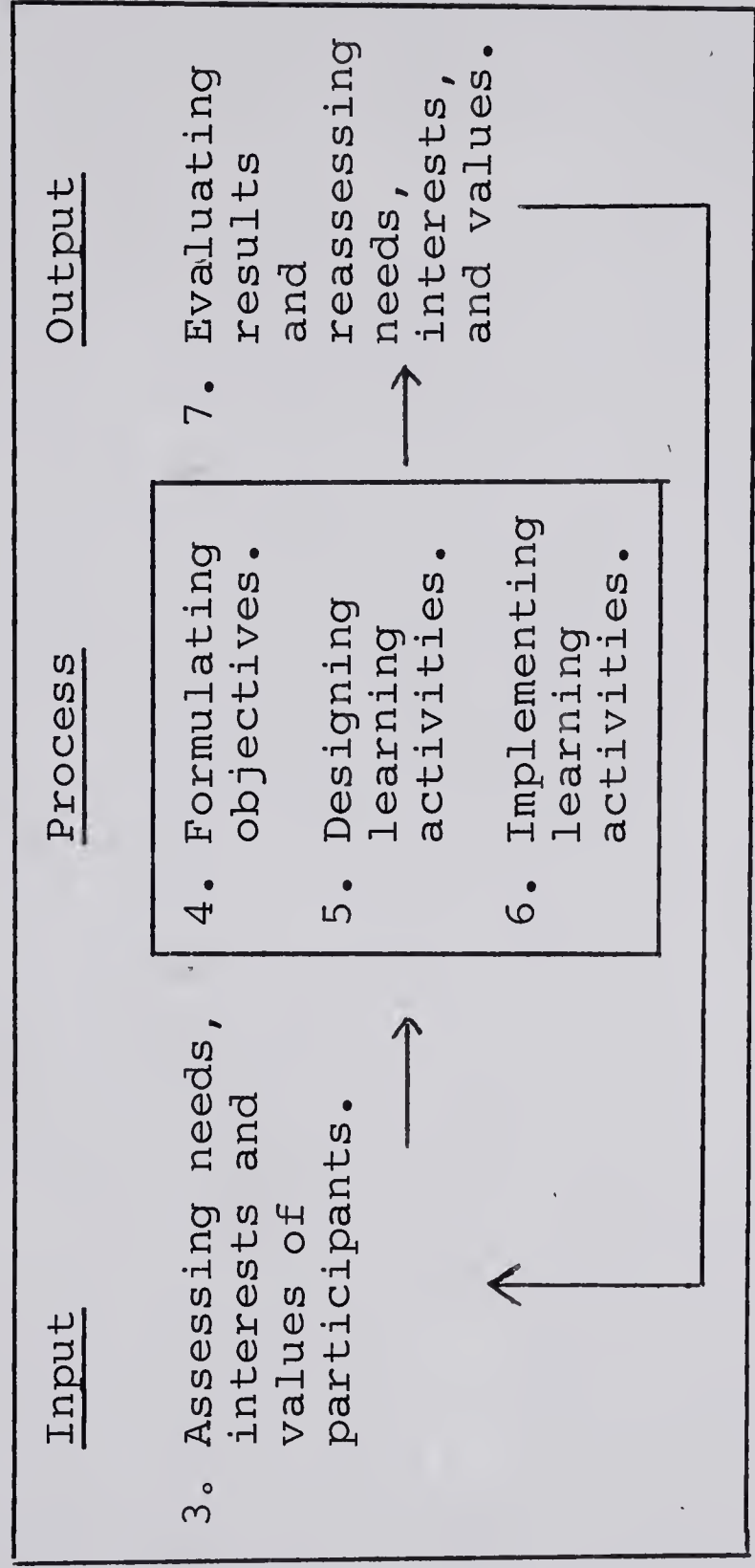


FIGURE 3: Steps of Program Development



Toward incorporating this seven-step process into a traditional organization structure, Ingalls proposes an approach diagrammed in Figure 4. Tactics employed by the designers of the training program for the directors of Title IV-c projects are described below at each step of the process.

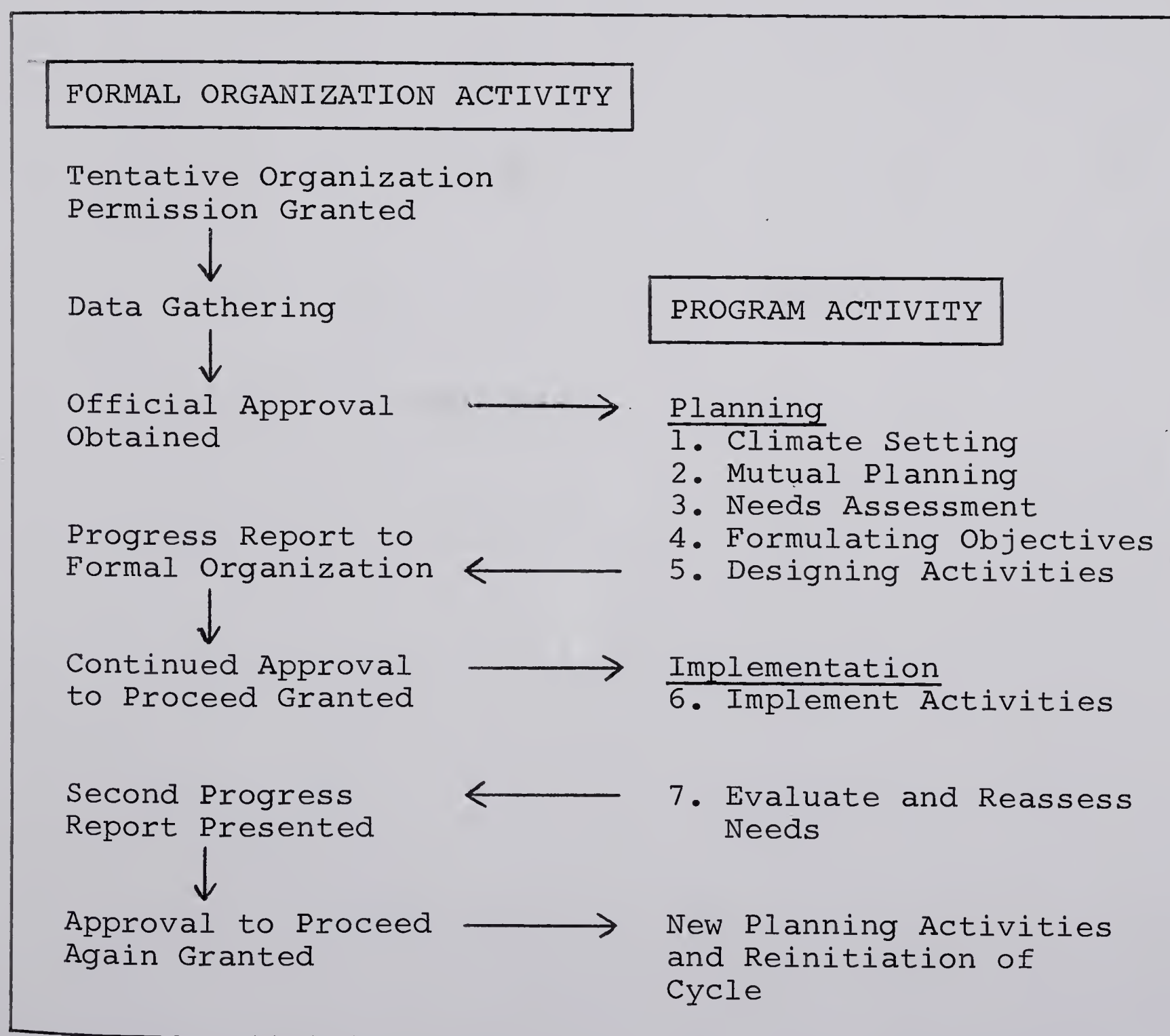


FIGURE 4: Diagram for Incorporating Androgogy Into A Traditional Organization Structure

### Tentative Organizational Permission Granted

Tentative approval to plan for the training program was received from the State Coordinator of Title IV-c in Massachusetts. A decision was made to attempt to include the University of Massachusetts as an additional institutional partner in the training program. Potential advantages to be gained through University participation were numerous. From the perspective of the client group of project directors, the University could provide a variety of additional resources for their learning. In addition, graduate credit could be earned through the University, providing additional incentive for participation. From the perspective of the University and the State Department of Education, partnership seemed desirable as it represented an initial step toward collaboration in more wide-ranging educational endeavors, a relationship which hitherto had been neglected or rejected by both parties. Through meetings with deans in the School of Education and Graduate School, tentative permission was received to pursue the possible institutional linkage.

### Data Gathering

Pre-planning data collection took a variety of forms. The research conducted through the Development Center in 1976 provided a base of information regarding potential form and content of a training program. Knowledge of the population to be served was attained through review of funded proposals

and a series of pre-training communications with the project directors. An extensive questionnaire regarding the collective experience of participating directors in educational innovation and management was designed and applied. Potential resources from the University, State Department of Education and outside agencies were assembled, and possible directions for the training program were hypothesized.

#### Official Approval Obtained

The proposal for a training program was processed through channels at both the University of Massachusetts and the State Department of Education. At the University, approval was granted by the Dean of the Graduate School to offer through the training an off-campus graduate degree program leading to a Masters of Education (M.Ed.) degree or a Certification of Advanced Graduate Study (C.A.G.S.). The University committed the part-time services of five faculty members in the School of Education to work with the program throughout its three years of existence. Formal approval of the "Title IV Administrators Program" was granted in April 1976.

#### Planning

In this section, the first five steps of the development process are reviewed, specifying actions taken in the planning of the training program.

1. Setting a Climate for Learning. A sustained effort was made at each step in the development process to insure



the provision of a conducive environment for participant learning. The early planning stages, as well as later implementation activities, were characterized by continual attention to the psychological and physical comfort of the client group. The commitment to the establishment of a responsive climate which attracted director participation was maintained throughout the program.

At the outset of the planning process, several policy decisions were made toward this end. In recognition of participant need to perceive the training as a positive, facilitating experience which would assist them in realizing personal goals, various incentives were structured into the program. In addition to the commitment to base the training on the clients' expressed needs, the decision was made to make participation in the program strictly voluntary. The directors would attend only those sessions which interested them. A tangible incentive was established by providing the opportunity to receive University graduate credit through the training program, leading to an advanced degree in education.

An introductory letter to all newly funded Title IV-c project directors, sent the summer before the initiation of the program, established the tone and intentions of the training. In this letter (Appendix 1), emphasis was placed upon the supportive function of the program and the conviction to maintain a facilitative, non-judgemental atmosphere throughout the three years of its existence. The directors

were told that the training experiences would be responsive to their needs and interests and would be structured to provide assistance when and if they desired it. In addition, the letter solicited the directors' input for the form and content of the initial planning meeting.

The commitment to providing a conducive environment was reflected in logistical planning as well. The training meetings were conducted throughout the State to minimize travel inconveniences. The sites were chosen for their accessibility and aesthetic appeal, and meeting rooms were comfortable as well as functional. Nutritious meals and snacks were provided, and meetings dates and times were determined by the participants. Correspondence to the directors (maps, agendas, etc.) was prepared to be informative and attractive.

2. Establishing a Structure for Mutual Planning. To insure participation of the client group in decision making, the directors were involved from the outset in planning form and substance of the training activities. A governance structure was established before the program began, involving an advisory group of project directors and a board of institutional representatives.

The advisory group consisted of one director from each of the five regions in the State. This group met monthly with the coordinator of the program to plan the training sessions. The proposed agenda built by the advisory group was presented to the board for approval. This group

consisted of representatives of each of the participating institutions. Members included the State Coordinator of E.S.E.A. Title IV-c, the Program Director of the Development Center, and the Off-Campus Program Director of the University. The governance structure is diagrammed in Figure 5 on the following page.

As indicated in the figure, input was solicited from a variety of additional sources as well, including project supervisors, previous directors and outside consultants. Each person who conducted a training experience submitted his/her objectives and proposed activities to the program coordinator for approval through the decision-making process. The intention of this governance structure was to utilize information about the needs of all parties involved in the training program to insure feasibility and relevance.

3. Assessing Needs, Interests and Values of Participants. The third step in the planning process, determining needs of participants, was perhaps the most significant, as the data produced shaped the structure of the entire program. A commitment was made to assess participant need throughout the existence of the program, by means of on-going formal and informal data collection procedures. The directors themselves, representatives of the State Department of Education, the Development Center, and the University, and numerous other involved parties were consulted periodically to insure consistency between what was desired and what was offered.



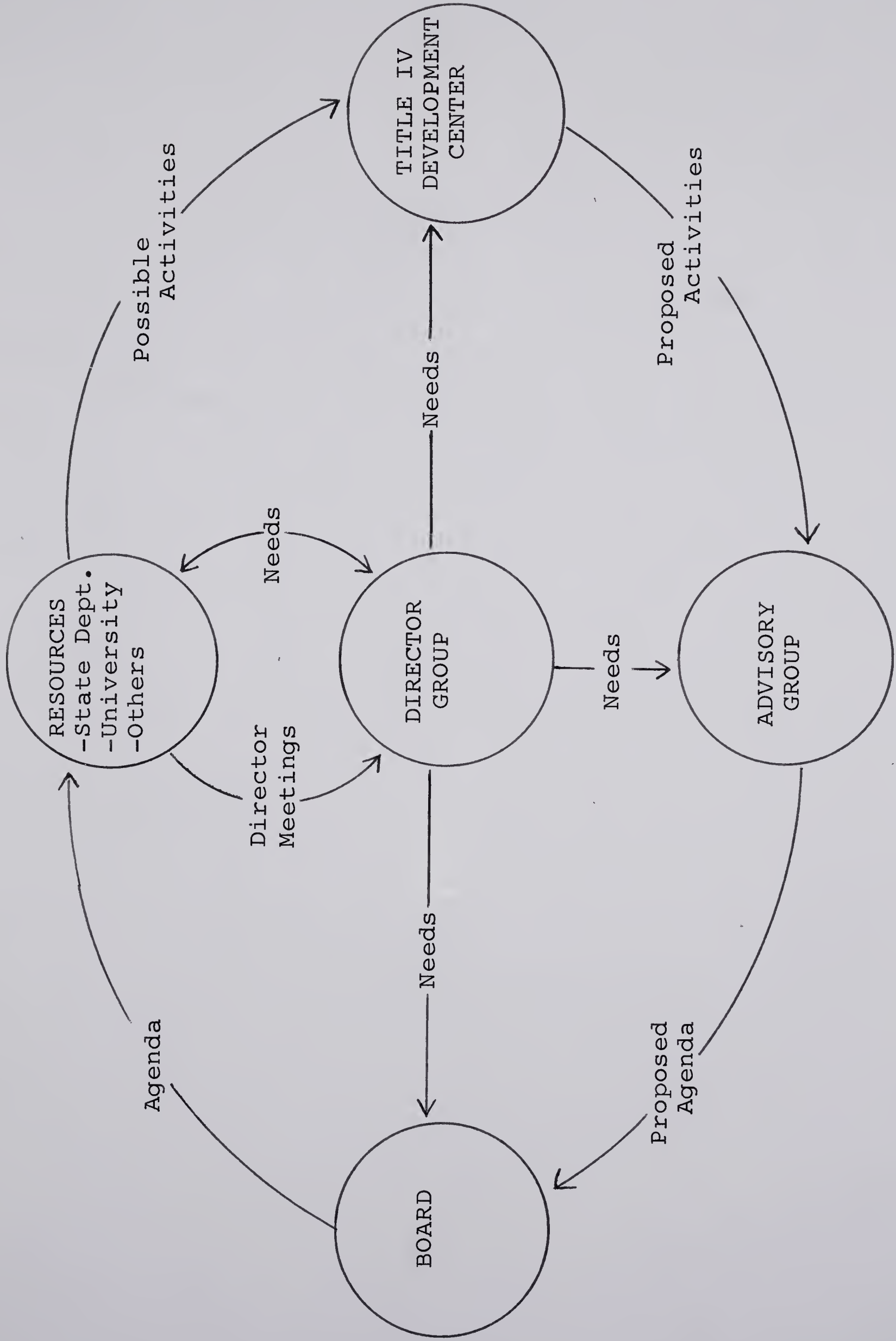


FIGURE 5: Governance Structure

The plan utilized called for extensive needs assessment activities at the beginning and end of each year. Less formal feedback was received through on-site visitations, advisory group meetings, session evaluations and periodic meetings with University and State Department personnel. The data collected were synthesized by the training coordinator and presented to the advisory group in a format which attempted to address the needs of as many program participants as possible. Given the diverse range of interests represented by the parties consulted and the limitations of the self-determination process described in Chapter II, addressing the precise needs of the group was recognized as a complex, though necessary, procedure.

Pre-training needs assessment was conducted through mailings to participants before the training began. In addition to the letter soliciting feedback on the format of the first Statewide meeting, a questionnaire was sent to all directors seeking information regarding previous experience with educational innovation and management as well as anticipated project implementation problems (Appendix 1). The directors' familiarity with various aspects of the change process was gauged, and specific areas in which they requested additional information were identified. At the first director meeting, a brainstorming session was conducted which revealed additional interests of the group, regarding logistical issues, such as meeting locations and dates as well as desired content.

The needs identified through these activities were synthesized to derive the basis for the structure of the training program. These initial interests of participants are listed in Appendix 1.

The issues identified were in the following areas:

- I. Educational Change
  - A. Theoretical Issues
  - B. Resistance Issues
- II. Change Management
  - A. Political Issues
  - B. Leadership Issues
  - C. Financial Issues
  - D. Time Issues
- III. Internal Concerns
  - A. Personal Growth Issues
  - B. Group Dynamics Issues
- IV. External Communication
  - A. Dissemination Issues
  - B. Diffusion Issues
- V. Evaluation
  - A. Theoretical Issues
  - B. Design Issues
  - C. Analysis Issues

It was anticipated that specific needs would fluctuate throughout the course of the program but that the above areas of concern would remain relatively constant.



4. Formulating Objectives. From the needs identified, a series of objectives for the training program were identified. The first step in this process was to specify programmatic intentions. The following list of goals was developed in response to the pre-training assessment:

AIM:

That innovative educational programs be developed and implemented effectively.

PROGRAM GOAL:

To facilitate implementation of Title IV-c projects in Massachusetts through provision of a program of support and technical assistance for directors of these projects.

INSTITUTIONAL GOALS:

To attain collaboration between the State Department of Education, the University of Massachusetts, the Title IV Development Center, and the project director group in governing and operating a training program.

State Department of Education

1. To extend support services beyond the regional level to a Statewide level.
2. To increase the likelihood of State and national validation and diffusion of Title IV-c projects.

University of Massachusetts

1. To extend services to the public education effort in the Commonwealth.
2. To build constructive relationships with each of the participating institutions.

Title IV Development Center

1. To coordinate the training program.

## INSTRUCTIONAL GOALS:

1. To isolate significant variables in the process of implementing educational innovations through examination of past Title IV-c projects and research findings.
2. To assess current director needs and desires as they implement their projects.
3. To develop and implement a training program to address variables deemed significant by research, experience and director need.
4. To provide support services to directors as they apply this information in the implementation of their projects.
5. To establish a communication network among project directors.
6. To evaluate the effectiveness of the program objectives in meeting the program goal.

## LEARNER GOALS:

1. To increase knowledge, skills, and attitudes that will facilitate implementation and development of their projects.
2. To assess their own needs, interests, and values and attain information which addresses them.
3. To build relationship with other participating directors and program staff.

In recognition of the fact that participant need would fluctuate during the course of the training and that specific learning objectives could not be formulated beforehand, the following three program objectives were established for the training:

1. To provide a technical assistance and support program for E.S.E.A. Title IV-c project directors in Massachusetts which enables them to develop increased knowledge, skills and attitudes that will facilitate implementation and development of their projects.

2. To structure the program to be responsive to needs of project directors within the identified context.

3. To identify and utilize the resources of the director group, the Massachusetts Department of Education, the Title IV Development Center, the University of Massachusetts, and outside consultants in developing form and content of program activities.

The training experiences to be conducted in response to each objective are described in the following section. Each activity carried its own sub-objectives as well.

5. Designing Activities. Learning activities within the training program were designed to fulfill the objectives listed in the previous section. With input from each of the participating institutions, the activities were approved through the advisory group of project directors. In response to the needs of the group, they primarily addressed issues related to the areas of educational change, change management, internal growth, external communication and evaluation.

The primary vehicle utilized in the training was a series of statewide meetings for project directors. These meetings were conducted each month at conference sites throughout the State. Regional meetings were periodically offered as well, to allow for extended smaller group interactions. In addition, the training coordinator visited each of the thirty-seven directors at their project sites twice each year.

Another central activity of the training program was the establishment and maintenance of a communication network among project directors. A newsletter was printed each month (Appendices 1-7) to convey information to and from participants. Cross-visitation by directors of each other's



projects was also structured into the program and mutual sharing was encouraged.

Within the monthly meetings, a variety of resources, foci and modes of presentation were utilized. The directors themselves were often called upon to conduct learning experiences, and occasionally previous Title IV directors and outside consultants were asked to make presentations. University professors offered a potpourri of courses on a variety of topics defined by the directors. Numerous formats were used in the training, including workshops, discussion groups, simulations, films, panels, and lecture presentations. The director group was sometimes addressed as a whole and sometimes sub-divided by region, subject area, or interest level.

Additional services of the Development Center were linked to the training program, specifically through provision of assistance in individual project evaluation and preparation for validation. Knowledge attained through the research and development activities of the Center was shared with the directors. In addition, less formal support was provided by responding to periodic requests from directors for specific technical assistance.

The activities of the training program were designed whenever possible to have direct relevance to the projects of participating directors. A problem-solving approach was employed, isolating particular concerns identified by the directors in the development of their projects and summoning

resources to help them devise solutions. Team building within subject areas and regional locations were also utilized as a strategy to establish a sense of group and maximize internal support efforts. Every attempt was made to maintain a non-judgemental environment through the learning activities so that directors felt free to express problems and work together toward mutual benefit.

Training activities were defined as the program progressed in order to address needs as they arose. The program attempted to remain flexible at all times, subject to the fluctuating desires of the participants. Helping relationships, as defined in Chapter II of this study, characterized participant interaction. Every attempt was made to encourage director growth through program activities.

#### Progress Report to Formal Organization

#### Continued Approval to Proceed

The training plan was submitted to representatives of each of the participating institutions, and permission to proceed with the program was received in August 1976.

#### Implementation

6. Implementing Learning Activities. The training program was initiated in September, 1977. A detailed account of the implementation of learning activities through the first year of the program appears in Chapter IV of this study.

#### 7. Evaluating Results and Reassessing Needs, Interests

and Values. An extensive evaluation plan was devised to measure fulfillment of program objectives. A variety of data collection techniques were employed to attain formative and summative evaluation information. The effectiveness of process as well as content were measured, and program activities were altered in response to feedback received.

At the conclusion of each meeting, participating directors completed a session evaluation sheet which solicited their perceptions of the quantity and quality of their learning. Information was also requested regarding the direct personal relevance of the subject matter and the effectiveness of the format used to present it. For several of the learning activities, pre-tests were administered beforehand and results were compared to those of post-tests conducted afterward. Additional data was attained by the program evaluator by measuring the effectiveness of some of the experiences as they were in progress. Each of the activities conducted by University professors was evaluated by means of pre- and post-tests.

Additional information regarding the effectiveness of the program was received by the training coordinator as he visited each of the directors at their home site. Participants were continually asked if the program was meeting needs, and, if not, how it could be more helpful. At the end of each year, plans called for an extensive questionnaire to be sent to each project director to evaluate the year's training



activities. A similar evaluation process would be followed each year of the program.

#### Approval to Proceed Again Granted

#### New Planning Activities and Reinitiation of Cycle

Institutional approval to continue the training program throughout the three years of Title IV-c project funding is anticipated in June 1978. Upon receipt of approval, new planning activities will be conducted and the cycle will begin again.

In summary, the framework developed for the training program of project directors is characterized by the organizational, functional and structural features outlined in Figure 6.

#### Summary

In the chapter, a framework for the delivery of an inservice training program for directors of E.S.E.A. Title IV-c projects in Massachusetts has been described. Based on knowledge of educational change and adult learning theory, the framework has been developed through the application of a seven-step process. The background and preliminary planning stages of the program have been outlined and the organizational, functional and structural features of the training framework have been identified.

In the following chapter, the implementation of the training program is described and learning activities conducted through the first six months of the project are reviewed.

ORGANIZATIONAL	FUNCTIONAL	STRUCTURAL
Collaborative governance structure	Technical assistance and support	Multiple components
Participant-based	Information access	Multiple learning modes
Political and financial autonomy	Problem-solving	Helping relationships
Incentives for active participation	Resource linking	Conducive learning environment
Formative and summative evaluation	Team-building	Flexibility

FIGURE 6: Features of the Training Program

## C H A P T E R    I V

### THE TITLE    IV-C ADMINISTRATORS PROGRAM

#### Introduction

The purpose of this chapter is to document the implementation of the Title IV-c Administrators Program. The program has been designed to enable project directs to develop knowledge, skills and attitudes that will facilitate development of their projects and increase the likelihood of local adoption and ultimate diffusion to other sites. Built upon the framework established in Chapter III, the activities of the first six months of the program are described and future directions outlined. A preliminary assessment of the effectiveness of these activities is presented as well.

A formal evaluation report is to be issued in June 1978, but representative data will be reported here as formative indicators of program development. Descriptive emphasis is placed on the primary training vehicle, the monthly project director meetings. The progress of related activities, including site visitations, the establishment of a communication network and the provision of technical assistance, is detailed in this chapter as well.

The training program has been funded through 1980. The population to be served, the directors of ESEA Title IV-c projects in Massachusetts, will remain constant throughout the three years of its existence. Participants' needs will



presumably shift through time, and training experiences will vary to reflect current interests, but the basic tenor of the program will remain the same. The form and substance of activities conducted in the first six months are indicative of intended future directions of the program. An overview of the first year of the training program is provided in Figure 7 on the following page.

### Implementation

The primary objectives of the first year of the training program were to establish a supportive environment for learning, assess participant needs and interests, and begin to provide assistance to directors as they initiated their ESEA Title IV-c projects. Emphasis was placed on team building and inter-director communication as well as provision of cognitive information. As indicated in the following review, training activities conducted in the first six months were directed in large part toward building participant acceptance and commitment to the program. In this section, the development of the main components of the training program are reviewed.

#### Project Director Meetings

Each month a meeting was conducted for project directors throughout the State. As described in Chapter III, the form and substance of these meetings were determined in consultation with all program participants, including the directors,

TECHNICAL ASSISTANCE	COMMUNICATION NETWORK	SITE VISITATIONS	PROJECT DIRECTOR MEETINGS	
↑				JUNE
	Intro Mailing July 22			JULY
	Questionnaire August 15			AUG
↑	Newsletter September 30	↑	Ashland, MA September 15, 16	SEPT
Planning, research and development activities, Title IV Development Center September 1976 - Present	Newsletter October 30	Visit #1	North Andover, MA October 20	OCT
	Newsletter November 29	↓	Ashland, MA November 16	NOV
	Newsletter December 13		South Hadley, MA December 6	DEC
	Newsletter January 10		Wellesley, MA January 26	JAN
	Newsletter February 8		South Hadley, MA February 16	FEB
	Newsletter March 1		Framingham, MA March 9	MAR
On-site assistance September 1977 - present	↑	↑	Craigville, MA April 4, 5	APR
	Anticipated Newsletters	Anticipated Visit #2	South Hadley, MA May 11	MAY
	↓	↓	Byfield, MA June 1	JUNE

FIGURE 7: Overview of Training Program Activities, 1977-1978

State Department of Education representatives and University professors. Through various needs assessments the following topic areas were identified as focal points for the first year of the program: gaining familiarity with other projects and directors, attaining personal and professional support, designing evaluation plans, managing federal money, disseminating project information, and surviving external and internal resistance. Following is a description and preliminary analysis of the effectiveness of the first six project director meetings.

Meeting #1. The first meeting was conducted in Ashland, Massachusetts, a relatively central location. The site was characterized by a wooded environment, large, open meeting rooms and comfortable lodging facilities. An overnight format was chosen for the first session as it encouraged extended participant interaction and provided sufficient time to introduce the program and its intentions in a non-pressured manner. To minimize director absence from the home project site, the meeting began after school on September 15th and extended into the evening and throughout the following day. Extensive information was sent to all directors in advance to clarify purposes of the meeting and to prepare them for active participation in its activities.

The objectives of the first meeting were:

1. To provide the opportunity to build relationships among the directors and the Title IV-c staff.



2. To provide the opportunity for directors to meet other directors involved in similar projects.
3. To provide the opportunity for directors to share problems encountered in the first month of project implementation and to anticipate upcoming ones.
4. To assess and begin to address the immediate needs and concerns of directors.
5. To provide information regarding the availability of the optional graduate degree program through the University of Massachusetts.
6. To provide information concerning State requirements and expectations for project administration.

Materials developed concerning this meeting as well as those conducted throughout the first six months of the program are included in Appendices 1-7.

As the directors arrived at the first session, they were offered coffee and snacks and engaged in a photo introduction activity. They were asked to find another participant, take their photograph, and "interview" them for approximately ten minutes. Directors were asked to bring to the session a fictitious project seal which visually exemplified their project and its environment. This seal served to "break the ice" of the interview and set an informal tone for the meeting. Following the initial interview, the dyad of directors grouped with two others who had gone through a similar activity. Eventually, each director affixed the photograph and project seal of his/her initial partner to the project

description which had been posted in advance on the wall in the main meeting room.

After dinner, the group gathered in a large circle and each director introduced his/her partner to the group. Training program information was then shared through presentations by the training coordinator regarding director meetings, the State Title IV-c coordinator concerning State expectations, and the Development Center Director regarding the graduate degree program option. The directors then sub-divided into discussion groups to share experiences attained in project implementation. In each group a second-year director was present to discuss his/her recommendations for first-year strategy building.

Following the evening's activities, directors were encouraged to socialize informally with each other. Wine, cheese, fruit, and coffee were available, and the party extended until 3 o'clock in the morning. The next day, a simulation game called "The Challenge" was played by all directors. Developed originally by Ron Havelock and revised by Development Center staff to apply directly to Title IV-c projects, the game isolated specific issues generally encountered by leaders of educational change projects. After lunch, subject area meetings were conducted, linking directors of similar projects with each other.

Following a break, a brainstorming session was conducted to generate possible topics for future meetings. Data were

collected regarding the needs and interests of program participants. The meeting concluded with another small group discussion, with directors divided by regional location. At this session, administrative responsibilities were clarified by the regional supervisors, an evaluation of the effectiveness of the meeting was conducted, and Advisory Group representatives were selected. Following adjournment of the meeting, the Advisory Group met with the training coordinator to plan future activities.

Preliminary Assessment, Meeting #1. The first project director meeting appeared to be enormously successful in fulfilling its objectives. Perhaps most importantly, the directors left the meeting feeling enthusiastic about the potential of the training program. Numerous letters received after the session praised the experience as highly beneficial, and informal conversations with participants revealed a high level of satisfaction with the results of the meeting.

Data collected through various evaluation instruments reflected the success of the meeting. The questionnaire administered at its conclusion solicited feedback regarding the level of effectiveness attained in addressing meeting objectives. In response to the first objective, to build relationships with other directors, eighty-nine percent (88.9%) of the participants felt that success had been attained to a high or very high degree. To the second objective, regarding meeting others involved in similar projects,



eighty-one percent (81.3%) of the respondents expressed high or very high satisfaction.

Eighty-one percent (80.6%) of the directors felt that the opportunity to share first-month implementation problems was provided to a medium or higher degree. An equal number felt that their needs had been accurately assessed, and eighty-nine percent (88.9%) expressed the feeling that opportunities to begin to address their needs had been provided to a medium or higher degree. The provision of information regarding the graduate degree program and State expectations was perceived to be equally effective.

The first project director meeting was an extremely important one as it established the tone for the entire program. Every attempt was made to make the meeting a positive, enjoyable experience for the directors. Both formal and informal feedback to the session indicate that such efforts were successful, and all participants looked forward to the next opportunity for interaction.

Project Director Meeting #2. The second Statewide director meeting was conducted on October 20th in North Andover, Massachusetts. The initial needs assessments revealed the topic of project evaluation to be of greatest concern to directors, so the Advisory Group proposed an agenda addressing the issue. The format of the session included the provision of concurrent workshops on various aspects of evaluation, a panel discussion on the topic, and

the opportunity for informal director interaction regarding individual designs and implementation strategies.

In the morning, a series of workshops were offered twice through a rotating schedule. Topics included "How to be an Efficient Consumer of Evaluation", "How to Prepare an Evaluation Design Compatible with National Validation Procedures", and "Evaluation of Project Adventure--A Title III Validated Project". Facilitators of these workshops were chosen for their familiarity with evaluation and validation procedures, particularly as they applied to innovative programs. The leader of the third workshop was a former Title III director. Each workshop had its own set of objectives, as detailed in Appendix 3. A fourth room was made available for informal discussion among directors.

Following lunch, the State Title IV-c coordinator met with the director group to further clarify administrative expectations. Then a panel discussion was conducted addressing the issue of "How to meet Local, State and National Evaluation Expectations". Panel member included a former director, an external project evaluator, a school system superintendent and a State Department of Education regional program officer. Each of these individuals offered a brief explanation of evaluation expectations from his/her position, responded to each others' presentations, and fielded questions from the group.

Following the panel discussion, the directors broke for

unstructured interactions among themselves, and then divided into regional group meetings. At these meetings, possible activities for the upcoming November meeting were discussed and a session evaluation was conducted.

Preliminary Assessment, Meeting #2. Although most directors indicated that they had received significant amounts of information at the second meeting, many expressed frustration that all their evaluation concerns had not been addressed. A majority felt that additional meeting(s) should be conducted on the topic. The formats used at the meeting were judged to be productive by ninety-six percent (96.3%) of the participants, but several directors indicated a desire for extended informal interactions among themselves. Five directors felt that too much information was provided in too short a time.

From the results of the meeting, the trainers learned that evaluation matters were of central importance to project directors in the early stages of implementation. Because few of the participants had much experience with evaluation, and because the State Department of Education was placing a high degree of importance on the early establishment of a sound evaluation plan, extensive amounts of assistance were requested. In retrospect, the trainers realized that basic information on the topic might have been sent to the directors beforehand, enabling them to enter the meeting with a solid fundamental base. The provision of additional meetings on the topic was agreed upon as a means to address the common



need for more assistance.

The directors expressed continued satisfaction with the affective dimensions of the program, indicating that they thoroughly enjoyed the opportunity to meet with their peers to share experiences. Many felt that all the meetings should be two days in duration to provide for even greater amounts of interaction.

Project Director Meeting #3. The third meeting was held again at the Ashland, Massachusetts conference site on November 16th. This session overlapped with the meeting of second year directors, who had met there the day and night before as well. The central objectives of the session were to increase director exposure to the activities of selected other first year projects, to provide opportunities for first and second year directors to share project experiences, and to provide information regarding budget management of federal funds.

Following a question and answer session conducted by the State coordinator of Title IV-c, primarily regarding financial administration matters and procedures for filing monthly progress reports, the directors chose among five presentations conducted by their peers. At these sessions, the directors discussed in detail the development of their specific projects, accompanied by slide-tapes and written dissemination materials. The group then joined with the second year directors who had broken themselves into affinity groups characterized by project type or subject area. The first

year directors chose the group which most nearly reflected the focus of their own projects and met in unstructured discussion for an hour.

Following lunch and thirty minutes of free time, a presentation was made by an auditor from the State Department of Education on "How to Manage Federal Dollars". With handouts, overhead projections, and discussion of previous experiences, the auditor talked about State requirements for budget management. After an extended question and answer period regarding specific issues encountered by the directors, regional meetings were held. At these sessions, the discussion of monetary administration was continued, and planning for the December meeting was conducted.

Preliminary Assessment, Meeting #3. Response to the third meeting was generally highly positive. On the session feedback sheets, seventy-one percent (71.0%) of the directors praised the opportunity to share experiences with other participants in a variety of contexts. The inclusion of formal substance through the budget presentation was perceived to be most helpful by eighty-seven percent (87.0%) of the participants. Again, some frustration was expressed regarding time limitations, as ten percent (10.0%) of the group had such interest in the topics that they desired longer periods to discuss them. Given the diverse nature of the subject matters addressed and the individual needs of the directors themselves, however, the format employed was felt to be

productive sixty-eight percent (68.0%) to seventy-two percent (72.0%) of the time.

The various activities of the meeting were perceived to address high priority needs sixty-four percent (64.0%) to eighty percent (80.0%) of the time. Seventy-six percent (76.0%) of the directors indicated that additional exposure to first year projects was desirable, and more than two-thirds expressed an interest in meeting again with the second year directors. Seventy-two percent (72.0%) of the participants felt that the budget management information provided could be directly applied to home projects to a high or very high degree. Sixty-four percent (64.0%) requested additional such exposure to the topic.

Project Director Meeting #4. The December meeting was conducted in two parts. Directors met in regional groups in their own geographic areas during the second week of the month. These meetings were chaired by State Department Program Officers, and each group addressed topics of their own choosing. Feedback to the regional sessions reflected that directors valued the opportunity to meet for an extended period of time with a small group of their peers. Such interaction enabled them to engaged in problem-solving activities and receive direct feedback on their ideas.

In addition to the regional sessions, a Statewide meeting was conducted for all participants in the graduate degree program offered through the University of Massachusetts.



This meeting served to provide additional information regarding admission and registration procedures, as well as to introduce participating professors from the University.

At this meeting a handout was distributed concerning the graduate degree program, University requirements and course descriptions. Options within the program were discussed with directors, and problems encountered in gaining admission to the University were addressed. Two of the professors involved in the program spoke of their backgrounds, fields of expertise, and potential assistance roles. After lunch, the first University course offering, "Knowledge Diffusion and Utilization", was initiated.

As formal access to the University Graduate School was impeded by several confusing bureaucratic obstacles, numerous problems had been encountered. Although no written evaluation was conducted at this session, the directors expressed appreciation for the opportunity to receive clarifying information. Discussion among the group served to facilitate the registration process, and the presence of University professors provided direct information regarding possible course offerings. The meeting served as well to introduce the director group to the professors, enabling them to meet the individuals with whom they would be working.

Project Director Meeting #5. The fifth Statewide director meeting was held on January 26th in Wellesley, Massachusetts. The focal topic of the meeting was "Dissemination".

In response to an assessment of interests in this area conducted at the November meeting, an agenda was prepared which included a theoretical overview and a series of concurrent workshops addressing various dissemination strategies.

In the morning, a presentation was made by a University professor on the topic of the communication of knowledge. A short film and several handouts accompanied the lecture. Before and after lunch, a series of workshops were offered twice. Each addressed a different topic, including "Brochures and Newsletters", "Using the Media: Radio and the Press", "Slide-Tape Productions", and "Using the Media: Television". Workshop facilitators were chosen because of their professional experience in the area and their familiarity with innovative educational projects. One of the facilitators was a second year project director.

In addition, participants were encouraged to bring to the meeting dissemination materials regarding their particular projects for sharing with other directors. These materials were on display throughout the meeting. A packet of dissemination information prepared by a regional program officer was distributed as well.

Preliminary Assessment, Meeting #5. Session evaluation sheets indicated that the dissemination workshops provided a high degree of helpful information which could be directly applied to individual projects. Eighty-six percent (85.7%) of the directors felt that the format used was appropriate to

a high or very high degree. The morning session was found to be less effective than the afternoon workshops. Director comments were somewhat critical of the theoretical nature of the morning presentation, and many expressed a desire for strictly practical information. Fifty-eight percent (57.8%) of the respondents indicated that the format used by the University professor was appropriate to a medium or lower degree.

The preceding day, however, in a course meeting with the same professor, enthusiastic feedback regarding the form and substance of the session was received from many of the same directors. Such a discrepancy in reactions indicates that directors meeting in a formal "course" are perhaps more likely to endorse the inclusion of theoretical information than when they meet in general training sessions.

Project Director Meeting #6. The sixth Statewide meeting was held on February 16th in South Hadley, Massachusetts. The central topic of the meeting was "Educational Change Today". The issue of resistance was discussed as it applied to the implementation of Title IV-c programs in local school districts. As one director queried during the needs brainstorming session at the first monthly meeting, "How can we deal with tradition-bound administrators, unenthusiastic teachers, overprotective parents, overzealous supervisors and other diversionary characters?"

Following another brief question and answer session with



the state Title IV-c coordinator regarding administrative matters, the group met with the director of a New York State Intermediate Education Agency which provided technical assistance to Title IV-c projects in that state. The presentation, titled "Constraints to Program Success", focused on strategies for introducing rational programs into irrational systems. The presenter introduced the "Intruder Model" of change and related his experiences as a practitioner and advisor to innovative programs.

Following lunch, the directors were led through a simulation exercise which assisted them in identifying sources of resistance in their own schools. They then sub-divided into discussion groups to share problems and strategies for solution. Regional group meetings concluded the session.

Preliminary Assessment, Meeting #6. The February directors meeting was perceived to be the most effective of the year. The morning session was received quite enthusiastically, as the presentation was judged to be both informative and entertaining by a vast majority of the directors. The blend of knowledge, humor and specific suggestions for action, as provided by a former practitioner of educational innovation, was particularly effective as indicated in written feedback by eight participants. Both format and substance of the session were judged to be highly appropriate by over ninety percent (90.5%) of the participants. The session evaluation sheets produced the highest ratings of the year in

all categories, and at least twelve directors commented that additional opportunities to interact with the presenter should be provided.

The simulation exercise and the afternoon discussion groups were also perceived as helpful by ninety percent (90.5%) of the group. Interestingly, several of the directors expressed the feeling that more structure be provided in discussion groups, a direct reversal of sentiments expressed earlier in the year. This shift can perhaps be attributed to the fact that as directors feel more at ease with themselves, their projects and the training program, their desire for structured, substantive information increases. As they feel less pressured and threatened, their need for informal, supportive conversations with peer becomes less pressing. At any rate, a vast majority of the directors indicated that additional experiences like those of the February meeting should be built into the program.

#### Site Visitations

Each of the thirty-seven project directors was visited at his/her home site at least twice in the course of the first year. The intention of this activity was to gather information about the population to be served, assess specific needs, provide on-site technical assistance, and collect formative evaluation data regarding the perceived relevance and effectiveness of the training program as a whole. Of

equal importance was the symbolic function of the visits. By traveling to the project site, the trainers communicated their sincere interest in providing meaningful assistance. Resistance was lowered by meeting on the directors' home turf to discuss their hopes and problems in a safe, non-judgemental environment.

At this writing, the first round of visitations has been completed. Approximately two hours were spent by the training coordinator at each project site in discussion with directors, staff and students. Conversations revolved around the following questions:

1. How and why did this project come into being, and how did you become involved with it?
2. What problems have you encountered as the project has been implemented?
3. What kind of support have you been receiving from teachers, administrators, and State Department of Education representatives?
4. How might we provide assistance to you?

The site visitations have been extremely successful both in soliciting feedback and setting a positive tone for the training program. All directors were receptive to the visits and several expressed particular pleasure in being the recipient of support and the subject of external interest. The data collected were utilized in the determination of training activities for the monthly meetings.



### Communication Network

Another central component of the program was the establishment of a communication network among project directors. The intent was to provide opportunities for directors to link with each other and outside resources to share problems and solutions. In addition to the monthly meeting activities designed toward this end, a newsletter and cross-visitations were planned.

At the beginning of the year a newsletter was proposed which would serve as a vehicle for exchange of information and ideas among participants. Numerous suggestions about the newsletter were identified by the directors at the first meeting. These included a regular article from the State Department of Education regarding announcements and expectations, a "Dear Abby" column raising problematic issues and concerns, detailed descriptions of one or two projects each month, a compendium of sources of further information on various topics, announcements of public events scheduled by individual projects, the availability of lodging in the vicinity of each single day meeting, relevant articles, bibliographies, etc., and logistical information regarding objectives, agendas and maps for upcoming meetings.

The intent was to have the newsletter work among directors as opposed to working at them. Regular contributions would be solicited from all participants in the training program, and the Development Center would print and distribute

the newsletter once a month.

In the first six months of the program partial success was achieved in this endeavor. Although they enthusiastically supported the concept of a newsletter, the directors found they had minimal time and energy available for contributing articles and questions. Rather than force participation, the trainers opted to supply information about the projects from their perspective and wait until the second year of the program to raise the idea again. Monthly mailings included information from the State Department of Education and the University of Massachusetts, as well as meeting dates, times, locations, etc. (Appendices 1-7). In addition, to encourage inter-director communication, names, addresses, and phone numbers of all participants were printed and descriptions of both first and second year Title IV-c projects in the State were distributed.

The concept of cross-visitations among directors was introduced as a means to enable participants to observe the efforts of their peers as they implemented their Title IV-c projects. To allow sufficient time for the directors to get their feet on the ground and feel relatively stable within their projects, a formal structure for cross-visitations was scheduled to begin the second year of the program. Planners felt that the presence of outsiders during early development stages might be perceived as threatening, and that visitations during the first year of implementation might be

counter-productive.

### Technical Assistance

In addition to the support provided at monthly meetings and on-site visitations, trainers attempted to provide periodic technical assistance to directors as it was requested. Toward this end, phone calls and letters were encouraged whenever problems arose. Available resources and possible strategies were suggested, and occasional on-site assistance was provided.

The resources of the Development Center were also made available to program participants. In addition to the concept papers and bibliographies developed, access to support services of the Center were provided. To assist the construction and implementation of a project evaluation plan, the Development Center linked directors with evaluation experts throughout the country and encouraged on-going communication between them. Evaluation designs were submitted for review by Development Center staff, then forwarded to specialists in the particular area of concentration (arts education, alternative schools, etc.). The directors received feedback regarding their plans and meetings were set up to discuss how to best collect data which would provide both formative and summative information. In future years, when projects are submitted for State and national validation, assistance will be provided by the Development Center in



preparing written and oral presentations for review boards.

The technical assistance component of the training program thus far appears to have been successful. Requests for assistance increase steadily, as directors begin to perceive the trainers as non-threatening, helpful resources. The effectiveness of the evaluation and validation support programs cannot yet be gauged, but informal director feedback to these services appears to be positive.

#### Future Directions

In the remaining two and one-half years of the training program, activities will be defined in much the same manner as they were in the first six months. In this section, future directions of the program are outlined. Because all activities are to be determined by director need as the program progresses, specific plans cannot be detailed.

#### Project Director Meetings

Four additional Statewide director meetings have been scheduled for the remainder of the year. On March 9th, in Framingham, a professor from the University of Massachusetts will direct discussion about various aspects of leadership. In April, a two-day session has been scheduled at Craigville in which the topic, "The Management of Change" will be addressed. On May 9th, in South Hadley, participants in the graduate degree program will meet to complete spring semester course requirements and plan future course offerings.

The final meeting of the year will be conducted in Byfield, at the "New England and the Sea" project site, in June. At this session, the effectiveness of the training program through the first year will be discussed, needs of participants will be reassessed, and plans for the next year will be initiated. Following these plenary activities, a party will be held aboard the project's fishing boat.

As the training program develops, increasing emphasis will be placed on the utilization of the directors themselves as facilitators of learning experiences. The resources within the group are vast, and with their home projects less demanding, it is anticipated that the directors will have the desire, time and energy to share their knowledge on a wide spectrum of issues.

The topics identified in the needs assessment conducted in the beginning of the first year of the program will have been addressed only in part by June. Program developers anticipate that training participants will request several new topics in remaining years, as well as additional exposure to some of those already addressed. As the projects develop, directors will encounter different types of situations demanding new coping strategies. The issue of validation, for example, will become more pressing as time goes on. The intention of the training program will be to assist participants in recognizing needs as they arise and to provide information which addresses them. The availability of on-going

support will remain throughout the program.

### Visitations

In the remainder of the current year, the training coordinator will make a second visit to each project. If directors continue to be receptive to these visits, they will be extended in the future as well. The possibility that directors will begin to perceive the visits as too demanding of their time will be considered, however. Should such feedback be received, the visits would be eliminated.

### Communication Network

Attempts to link project directors with each other and outside resources will continue throughout the training program. The possibility of a participant-controlled newsletter will be suggested again at the beginning of the second year. In addition, a formal structure will be provided to encourage cross-visitation of both first and second year projects. For those directors who choose to participate, logistical assistance will be provided in planning and realizing trips to other sites.

### Technical Assistance

Periodic technical assistance to project directors will continue to be provided. The materials produced by the Development Center will soon be available for distribution. The support services of the Center will be extended throughout the remainder of the program. Assistance in applying for



state and national validation will be provided as the projects grow into their second and third years.

### Summary

In this chapter, the implementation of the ESEA Title IV-c Administrators Program has been described. The training activities of the first six months of the program have been presented and future directions have been outlined. A preliminary analysis of the effectiveness to which activities have fulfilled objectives has been presented. The first six project director meetings and the related activities of site visitations, establishment of a communication network, and the provision of technical assistance have been detailed and assessed.

In Chapter V, the dissertation will be summarized, problems and successes will be discussed, and recommendations for future study will be presented.

## C H A P T E R    V

### SUMMARY AND CONCLUSIONS

#### Introduction

The study has documented the design and development of a training program for leaders of federally funded innovations. In this chapter, the study is summarized, including a review of the problem addressed and an outline of steps taken toward a proposed solution. Conclusions have been drawn through a delineation of the major findings of the study and implications for future training efforts. In addition, recommendations for future study on the topic are presented.

#### The Problem Addressed

In the past fifteen years, the federal government has established a commitment to fostering planned change efforts in the public schools. Primarily through the Elementary and Secondary Education Act of 1964, billions of dollars have been allocated to local agencies to plan, implement and diffuse innovative educational projects. Despite the provision of extensive resources, however, federally funded innovations have repeatedly been short-lived, benefiting only students in those schools which receive initial developmental grants. Few projects have succeeded in becoming adopted by local systems upon termination of federal support, and still fewer have been validated for diffusion to other sites.

Numerous factors have been identified by educational

theorists in analyzing why these innovations have achieved limited impact. In this study, the quality of local leadership has been isolated as a primary determinant of project success. The contention has been made that effective leadership has not been consistently provided. Directors of federally funded innovations are often unprepared to deal with the complex dynamics of educational change, and in their struggles to cope, they fail to employ strategies to insure their survival. It has been argued that without knowledge of the change process, competence in managing within it, and support in efforts to attain and apply this information, leaders of innovations continue to make the same mistakes. Their chances for success are thus minimized, and the scope of their impact is restricted.

#### Steps Taken Toward Solution

As a means to address this problem, a training program has been proposed to provide support and technical assistance to directors of these innovative projects. Toward this end, literature drawn from a variety of disciplines has been reviewed in the areas of educational change and adult learning theory. From this knowledge, the following set of inservice education principles has been established:

Adult training programs will be most effective when:

1. personal needs, interests and values of the participants are addressed.
2. learners share ownership of the program and participate actively in the decision making



process.

3. a conducive physical and psychological climate for learning is established.
4. learning experiences are characterized by the utilization of varied resources, including the participants themselves, and multi-sensory techniques.
5. the mode of participant interaction is supportive, characterized by the development of helping relationships among learners and facilitators.

From these principles, a conceptual framework has been developed as the basis for a training program to serve the needs of adult learners. This framework is characterized by the following organizational, functional and structural features:

Organizational components:

- collaborative governance structure
- participant-based
- political and financial autonomy
- incentives for active participation
- formative and summative evaluation

Functional components:

- technical assistance and support
- information access
- problem solving
- resource linking
- team building

Structural components:

- multiple components
- multiple learning modes
- helping relationships
- conducive learning environment
- flexibility

Within this framework, a training program was designed around the needs of directors of ESEA Title IV-c projects in Massachusetts. The primary issues addressed in the program

were educational change dynamics, management of innovations, internal and external communication, and evaluation. The training was implemented through the continuous circular application of the following seven-step process:

1. Setting a climate for learning.
2. Establishing a structure for mutual planning.
3. Assessing needs, interests, and values of participants.
4. Formulating objectives.
5. Designing learning activities.
6. Implementing learning activities.
7. Evaluating results and reassessing needs, interests, and values.

Finally, activities of the first six months of the Title IV-c Administrators Program were described and assessed. The development process of this training program has been documented to illustrate the effectiveness of the proposed design as a means to increase the impact of federally funded innovations. The assumption has been made that through participation in such a training program, leaders will be better prepared to direct their projects through the change process. It has been further assumed that the likelihood of project success, local adoption and subsequent diffusion will be enhanced as a result.

### Conclusions

The training program described in this study will operate

for three years, the first of which is approaching completion. Its ultimate success in promoting local adoption and diffusion can be measured only through an analysis of its effectiveness at the end of the program. Preliminary conclusions, however, can now be drawn, particularly regarding the appropriateness of the proposed design and training program in meeting the initial needs of project directors. In this section, the major findings of the study will be presented and implications for future efforts to provide such training will be drawn.

### Major Findings

Substantial knowledge has been gained through this study regarding the specific needs of directors of first-year innovations, the effectiveness of the proposed design in addressing these needs, and the issues confronted in attempting to implement the program. Following is a summation of the major findings and a description of specific conclusions reached within each area.

1. Directors of first year, federally funded innovations are confronted with a diverse, wide-ranging set of problems. Although technical assistance can help to alleviate some of the difficulties, the directors' primary need is the provision of support from those external to but familiar with their projects.

2. The design proposed in this study to address these needs appears to be effective in promoting the provision of meaningful assistance, but the application of the theoretical constructs to the "real world" has often been obstructed by resistant individual and institutional behavior.

3. The Massachusetts Title IV-c Administrators Program has achieved numerous successes in its first year, primarily in the establishment of a solid foundation of trust



and commitment on which future activities can be built. Problems have been encountered in assessing needs of a diverse population, evaluating fulfillment of first-year objectives, and establishing a collaborative governance structure.

First-Year Needs. As described in detail in Chapter II of this study, resistance to change in schools is often extensive and powerful. Those who propose programs which disrupt the status quo are often perceived as threats by those who have invested in the accustomed modes of operation. Continual battles must be fought in the implementation, development and maintenance of innovations, and in the process, many worthy new programs are eliminated before they have the chance to prove themselves.

In the first year of project development, directors of federally funded innovations are confronted with many similar problems, often made more difficult by the implications and demands of federal sponsorship. Unprepared, confused and occasionally threatened themselves, they often need both internal and external assistance to cope with the situation and proceed with the implementation of their project objectives.

It has been determined that the primary need of these directors is to attain support for their efforts. Many feel alone in their struggles to survive, unaware that other innovators are experiencing similar difficulties. Evaluation feedback to the Title IV-c Administrators Program indicates that attempts to provide this support by opening communication

channels, by linking directors with each other and with responsive resources, and simply by communicating concern and appreciation, are effective in helping to alleviate the problems.

First year directors have a variety of technical assistance needs as well. In particular, they often need help in clarifying administrative expectations, designing sound evaluation designs, and managing federal dollars. Knowledge of educational change dynamics, theoretical constructs, and alternative leadership strategies are also needed in the implementation stages of these projects. External advice on how to generate internal support, disseminate project information and design inservice workshops for project staff are some of the most pressing needs expressed by directors of first-year innovations.

Obviously, provision of support to directors in and of itself, is not sufficient to guarantee project success, but assistance in coping with the personal and managerial demands of their roles can serve to free these individuals to devote time and energy to the project itself, rather than to behaviors aimed exclusively at survival. Preliminary feedback from participating directors during this first year indicates that such support has been both effective and appreciated.

Implementation of the Design. The set of inservice education principles and the conceptual training framework developed from it were drawn from existing theory and

experience. It is still too early to gauge the effectiveness of these constructs in building a program through which directors can develop competencies to extend the life of their projects. Data have been received, however, regarding the extent to which directors' needs have been met through this structure, and feedback to date has been positive.

Several aspects of the underlying philosophy have contributed directly to the provision of responsive services through the training program. Central among these was the recognition by program developers of project directors as competent professionals who, when provided with a conducive environment, were ready, willing and able to learn and assist others in learning. They were quick to reject misguided attempts to force-feed unsolicited information and worked actively to internalize requested knowledge. They appreciated the opportunity to address their own needs and demanded active participation in planning activities.

Evaluation feedback indicates that the organizational, functional and structural features of the training program have been perceived as conducive to participant learning. In particular, the flexibility of the program, its problem-solving emphasis, and the provision of attractive incentives through the Graduate Degree Program, have been mentioned frequently by participants as components which promote active participation and meaningful growth.

Implementation of the training design by program



developers, however, often proved to be more difficult than anticipated. In a controlled environment, the rational application of the principles proposed would presumably have resulted in the provision of training experiences with promoted active learning. In the "real world", however, the program was subjected to complications evolving from the complexities of interactive behavior of both individuals and institutions.

Because the training program itself represented an attempt to effect change, it was subject to the same dynamics it proposed to address. As means should reflect ends, the same change strategies advocated for use by the local directors were employed in the development of the training program. Despite awareness of and attention to the dynamics of the process, however, resistance from participants was experienced on a variety of levels.

Much of the resistance manifested by both project directors and representatives of participating institutions evolved from the existence of various competing interests. In the case of the directors, situations arose in which individual time and energy had to be spent addressing problems at the project site rather than within the training program context. For example, although directors reacted positively to the concept of a participative governance structure, when the time came to choose representatives to the Advisory Group, most declined to serve in this capacity because of personal energy

limitations.

Resistance was experienced from institutional representatives in a related manner. Pre-defined obligations within their home settings often precluded strict observance of the principles proposed in the training design. Although some of these individuals espoused a commitment to the philosophy of the program, their behavior was often restricted by institutional policy. These individuals were frozen in legislated and accustomed modes of behavior and periodically were unable to shed old habits to act in accordance with new expectations.

Institutional policy proved to be particularly obstructive by product of multi-organizational collaboration. Many benefits were attained by including a diversity of external organizations in the training, but such participation impeded the fulfillment of some of the program objectives. Operations of the University and the State Department of Education were often defined by strict bureaucratic regulations. Observance of institutional policies often precluded recognition and implementation of the philosophy of the new setting.

For example, one University professor involved in the program felt obligated to justify credit allocations by offering only institutionally approved courses through a fixed number of contact hours with students. Such rigid interpretations of University guidelines minimize program flexibility and restrict both student input and experimentation with alternative learning modes. Other professors

participated in accordance with the program's philosophy, offering learning experiences responsive to director need through formats which encouraged flexibility, but association with those individuals not willing and able to adapt often drained precious time and energy from development efforts.

The inclusion of such institutions as universities in collaborative enterprises such as the program described in this study appears to be burdened with many potential problems. Productive collaboration in inservice educational projects is possible, as evidenced by the effective participation of the University of Massachusetts in the Integrated Day Program, the UMass/Worcester Teacher Corps Project, and the Boston English Project. But to achieve such success, careful planning must be enacted to build in necessary flexibility, reward for participating faculty, and agreement on underlying principles. Otherwise, restrictive institutional policy is likely to result in resistant behavior from University personnel.

Universities are often not set up to reward behaviors advocated by participant-based inservice training programs. Professors are rewarded for publications, research, service and on-campus teaching. Fully developed mechanisms for rewarding these individuals to travel off-campus to provide learning experiences for practicing educators and think creatively about alternative field approaches are not yet available in most universities. In the case of the



University of Massachusetts, such mechanisms are just beginning to be established, encouraging off-campus efforts. For example, new policies allow professors to include inservice courses as a part of the regular teaching load rather than as an extension of assignment.

Until inservice education becomes an acceptable university activity, collaboration in the field will be difficult for program designers and institutional contributors alike. Initial steps in this direction appear to have been taken, and continued movement toward effectively planned collaborations will result in more productive interactions between universities, State Departments of Education, and various other agencies.

The Title IV-c Administrators Program. The training program for directors of ESEA Title IV-c projects in Massachusetts has attained numerous successes and experienced many problems in its first year of development. Detailed in this section are the conclusions reached regarding the effectiveness of the program to date.

Both formal and informal feedback received from program participants indicates that significant successes have been achieved. Above all, a solid foundation has been established upon which learning activities can be built in the final two years of the training. A variety of mechanisms have now been set in place, enabling future training to proceed in desired directions. A climate of trust has been created, in which

trainers are perceived as genuine helpers, willing and able to provide meaningful assistance. Participants have come to accept the program as a means to facilitate the attainment of their own goals, and they have developed a commitment to its success. A constructive sense of group has evolved in the first year of development, maximizing potential for active participation and mutual growth among project directors.

The support function of the training program thus far appears to have been most effective. In the first year of project development, directors have been confronted with a multitude of problems, a situation which has bred confusion, despair and occasional panic. As they have attempted to lay the groundwork of their own programs, they have encountered both covert and overt resistance to their efforts from forces inside and outside their projects. The provision of external support, offered in a non-threatening manner, has been most welcome. Access to additional resources, including those represented by their peers operating in similar environments, has been perceived to be extremely helpful.

Evaluation data have reflected the fact that provision of continual reassurance that directors' efforts are both appreciated and worthwhile has been graciously received. Many participants have indicated that the mere opportunity to remove themselves from the daily demands of their roles once a month, in order to reflect upon their experiences and plan future strategies, has itself been sufficient justification

for the training program. A vast majority of the feedback received has shown that attempts to provide support in the past year have been quite successful.

The application of technical assistance services has been less thorough in the first year of implementation, but responses regarding its effectiveness have been positive. In addition to providing information concerning administrative expectations, numerous activities have been conducted addressing issues encountered in the development of local change projects. Directors have expressed an appreciation for the opportunities to clarify bureaucratic regulations, continually requesting additional such assistance. Through the Advisory Group, they have indicated a desire for exposure to additional knowledge of a variety of educational change topics, and the resources utilized to address these concerns have been perceived for the most part to be relevant and helpful.

In this first year of the program, the issues of resistance, evaluation, dissemination and leadership, among numerous others, have been focused upon. In addition, University courses on "Change Management" and "Knowledge Utilization and Diffusion" have been offered, as well as exposure to other local projects, both past and present. Although several participants expressed frustration with the minimal time available for discussion of these complex issues, most revealed satisfaction with initial efforts to address them.



The attempt to involve three institutions in the training program has achieved a qualified success. As will be detailed in the following paragraphs, numerous obstacles were encountered in the operationalization of a collaborative governance structure, but significant inroads were established. The institutions involved had never before been involved together in a collaborative enterprise, and initial progress was achieved toward a mutually beneficial partnership.

Numerous obstacles have been encountered in the implementation of the training program, many of which are inherent to educational change projects. In designing the program, planners anticipated numerous difficulties and acted to defuse many potential problems, but some continued to plague the program throughout its development. In the remainder of this section, the primary areas of difficulty are described.

A central problematic issue has been the determination of appropriate content. The intent of the training program has been to address the needs of participants. Thirty-seven project directors, numerous institutional representatives and a large pool of outside consultants have been involved in the training, each bringing to the experience a unique set of needs, interests and values. Given the size and diversity of the population, the process of assessing needs and designing responsive activities has proven to be extremely difficult.

As indicated in Chapter II of this study, self

assessment of needs yields limited information. Many participants are not aware of the precise nature of their needs, and they are unaccustomed to expressing their wants. Even when these individuals have an accurate sense of what is needed, they are often hesitant to speak out for assistance.

The role of the program developers has been to synthesize available data attained through a variety of assessment techniques to determine training activities which most accurately reflect the desires of the group. Because of the unique personal and professional situations represented among program participants, expressed needs have often conflicted. Logistical restrictions have precluded an exclusively individualized approach, so the training was designed to serve as many mutual interests as possible. In this manner, helpful information has been provided to a majority of project directors, but many real, pressing needs have not been addressed.

This problem has been compounded by the fact that some participants, by virtue of previous experience, have attempted to define the needs of the entire group. Program developers have often been confronted with the contention that directors should be exposed to a pre-defined body of information, drawn from research and theoretical analysis of the change process. The struggle to continue to address the expressed needs of participants while simultaneously providing exposure to knowledge deemed appropriate by forces

outside the director group has demanded the commitment of extensive time and energy.

A related problem has been the attainment of productive interaction among the participating institutions. As indicated in the preceding section, the University of Massachusetts, the State Department of Education, and the Hampshire Educational Collaborative had never previously joined forces, and periodic conflicts arose as they attempted to establish a working partnership.

Specific problems arose as attempts were made to design a program schedule responsive to participant needs. Representatives of each of the institutions were in agreement that the desires of the directors were to be the primary focus of the training. Conflict occurred in determining who would be involved in which learning experiences. Because institutional flexibility was limited, resources often could not be shared, and separate blocks of time were allocated for activities conducted by each of the participating organizations. As the training evolved, representatives of each of the institutions came to be responsible for distinct segments of the training, precluding true collaboration. In the process, the original intention of working together to fuse resources and serve the interests of the directors was sacrificed to meeting the procedural mandates of the University, the State Department of Education, and the Hampshire Educational Collaborative.

This problem was rooted in two central mistakes made in



the planning phase of the training. First, the principles utilized in designing a responsive program for project directors were violated in the establishment of a structure to provide external resources. All the representatives of participating institutions were not directly involved in the planning stages, and, consequently, these individuals were not inclined to develop a commitment to the program. True collaboration was restricted as they were expected to plug into a system predefined by others. They were not able to provide input into the development process or contribute to cooperative planning, but rather were forced to accommodate their behavior to external expectations.

A second cause of the problem was the choice of particular individuals to serve as resources. Some individuals were more inclined to act in accordance with the program philosophy than were others. In attempting to match director needs with appropriate resources, the expertise of potential contributors was sometimes a more central determinant of resource selection than was accordance with program philosophy. The result was that individuals whose teaching styles were antithetical to program intentions were periodically chosen to participate, and dissonance was experienced throughout their involvement.

Another area of difficulty has been the implementation of the evaluation plan. Although the design was built to gather both formative and summative information on the

effectiveness of the training program, disagreements were experienced among organizers as to the degree of emphasis which should be placed on evaluation of first year activities. A part-time researcher was hired to plan and implement the evaluation, and data she has attained have been most helpful in providing feedback regarding the relevance of training experiences. Substantial information has been gathered not only on cognitive gains in program participants, but also on the appropriateness of formats utilized and subject areas addressed.

With the current three-year cycle of Title IV-c projects, the State Department of Education has placed high emphasis on project evaluation. State officials have recognized the need to increase the number of projects adopted within local systems after withdrawal of federal funds, and to encourage validation of effective programs for subsequent diffusion to other sites. The argument has been made that an evaluation design which yields extensive hard data will have an optimal chance to convince local and national review boards of the success of the project. Therefore, State officials have expressed the importance of putting a sound evaluation plan in place immediately upon initiation of the project to gather as much supportive data as possible before federal funding is terminated.

The emphasis on evaluation has carried over to the training program as well. Officials have indicated that this

program should also strive for validation in later years, and consequently, data regarding its effectiveness should be gathered from its conception.

Conflict has arisen among program developers as to whether or not extensive evaluation during the early stages of the training is potentially counter-productive. The argument has been made, particularly by the author of this study in his role as program coordinator, that too much evaluation activity might jeopardize the fulfillment of first-year objectives. The need to evaluate has not been questioned, as the attainment of feedback has been perceived as both necessary and desirable, but the degree of evaluation applied during the initial, formative months of the program has been debated.

The primary objective of the first year of training has been to establish a framework of trust and acceptance among project directors, in which they grow to perceive the program as a genuinely helpful means of support. To subject the directors to too many questionnaires, feedback sheets and interviews risks the erosion of their beliefs in the supportive function of the program. The possibility exists that the demands of extensive evaluation activities will lead them to perceive the training as one more obstacle to be overcome, a burden which must be survived. As indicated in Chapter II of this study, if a support program is to be effective, participants must see the experience as facilitating the



attainment of their own goals rather than complicating the process by imposing more demands.

The attainment of both formative and summative evaluation data is imperative, not only to guide the development of the training, but also to establish convincing arguments regarding program effectiveness. But too great an emphasis placed on evaluation of early stages of the program can induce negative attitudes in the client group, thereby restricting the very effectiveness the data are attempting to prove.

### Recommendations

The implementation of the Title IV-c Administrators Program has produced significant information regarding the process of training educational change agents. In this section, recommendations are presented for consideration by future advocates of similar support and technical assistance programs.

The design proposed, as well as the training program developed through it, is potentially applicable not only in Massachusetts where it has been utilized by the State Department of Education as the primary vehicle of project support, but also in other states and localities. Each state supports not only a system of similar Title IV-c projects, but a host of other innovations as well. The program proposed is also relevant to change agents and staff developers

within locally funded projects, as the issues addressed are those encountered in a variety of innovative settings.

Developers of similar training programs are advised to consider the following issues and strategies:

1. Because such a training program represents an attempt to effect change, it is subject to the same dynamics it proposes to address. Various forms of resistance are inherent to the process, and many of the obstacles which will be encountered in implementation can be anticipated in advance.

2. Observe the inservice education principles developed in this study both in the planning and development of the program. The organizational structure of the training must be defined through the same process that determines its activities.

3. Individual and institutional behavior is often restricted by pre-existing norms. Recognize the fact that conflicting demands on program participants will often result in resistance to attempts to implement new practices.

4. If the decision is made to involve external institutions as resources, it is imperative to work with those individuals who are willing and able to adapt customary organizational behavior to an agreed upon commitment to program principles.

5. Before initiation of such a program, the political environment of the effected setting should be analyzed and loci of power identified. A clearly defined governance structure should be established, and expectations of participants should be specified immediately.

6. As with all forms of educational innovation, extensive amounts of time and energy must be allotted in the planning stages of the program to provide participating institutions as well as individual clients with information regarding the philosophical intentions of the program. When possible, these participants should be included in the determination of these intentions as well.

7. Desired ends will not be attained immediately. Time must be provided for participants to develop behaviors consistent with expectations of the new setting.

8. The role of the training coordinator in such a collaborative enterprise is central to maintenance of a productive system. This individual must possess both diagnostic and diplomatic skills as he/she must determine the needs of a diverse population and design a program responsive to a variety of interests. This role demands flexibility and considerable patience.

#### Directions for Future Study

The underlying objective of the training program documented in this study has been to increase the life span of innovations funded by the federal government. By providing leaders of the projects with support and technical assistance, the assumption has been made that they will be better prepared to maintain the innovations after the withdrawal of federal funding. The most obvious direction for future study lies in measuring the validity of this assumption at the end of the program in 1980. At that time, the rate of local adoption, validation and diffusion to other sites can be measured. The effectiveness of training per se, as well as that of specific support and technical assistance components of the program, should also be evaluated to determine the degree to which these experiences contributed to the attainment of goals.

Further analysis of the factors which promote local adoption, validation and diffusion is also called for. This study has isolated one such factor, the quality of leadership provided within the innovation. Research in this area has been minimal to date, and additional information regarding



the numerous other variables which effect decisions to extend the life of these projects would be most helpful to future innovators.

Problems encountered in the implementation of the training program also need additional study. More information is needed regarding the most productive means of assessing participant needs, attaining productive institutional collaboration, and designing functional evaluation techniques. Most attempts at addressing these issues have evolved from intuition rather than documented research findings.

The training program described in this study has been founded on a series of principles drawn from adult learning theory and literature on educational change. Although experience seems to support these principles, data supporting their validity need to be strengthened. Following is a list of the five central beliefs of the program, accompanied by related questions which warrant additional study.

Adult training programs will be most effective when:

1. personal needs, interests and values of the participants are addressed.

Are participants' perceived needs always valid? Can learning be promoted by addressing externally defined needs? If participants' values conflict with training objectives, can and should they be changed? Are interests sometimes irrelevant?

2. learners share ownership of the program and participate actively in the decision-making process.

When do participatory leadership styles result in maximum learning and when do coercive styles work best? Is passivity always undesirable? When are participants willing and able to make programmatic decisions?

3. a conducive physical and psychological climate for learning is established.

Exactly what promotes such climates? Where is the line drawn between fun and learning? Can participants be too comfortable?

4. learning experiences are characterized by the utilization of varied resources, including the participants themselves, and multi-sensory techniques.

Can too much variety dilute the effectiveness of the overall training experience? Is peer teaching always a productive means to learning? What is the optimal balance between active and passive behavior in learners?

5. the mode of participant interaction is supportive, characterized by the development of helping relationships among learners and facilitators.

Does external judgement ever have a place in the promotion of learning? Can too much support be provided? When are directive modes of interaction desirable?

The training program documented in this study represents an attempt to increase the success rate of federally funded innovations. Although the program is now in its developmental stages, the design on which it is based is potentially applicable in a variety of settings where change is being

introduced. Determination of the effectiveness of the program proposed, as well as the design from which it has evolved, is dependent upon the findings of continued research. Numerous lessons have been learned in the development of the program, however, and a significant amount of information has been generated to assist similar efforts in the future.



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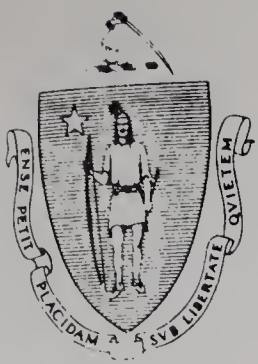
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## A P P E N D I X 1

PRE-TRAINING CORRESPONDENCE  
WITH PROJECT DIRECTORS



DIVISION OF  
CURRICULUM AND INSTRUCTION

# *The Commonwealth of Massachusetts*

## *Department of Education*

*182 Tremont Street, Boston 02111*

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### M E M O R A N D U M

To: All New Title IV-c Project Directors

Re: Initial Meeting of Project Directors

As you begin what we all hope will be a most exciting and rewarding new project, I want you to know that the Title IV Staff of the Massachusetts Department of Education anticipates maintaining a close, supportive relationship with you. Having personally met with many of you, I can predict that a group of highly enthusiastic and capable project directors will soon be formed.

The first statewide gathering of directors has been scheduled for September 15th and 16th. As an opportunity to meet your State Supervisor, to meet other Title IV participants, to learn of various requirements, and to plan for the coming year, this meeting is crucial.

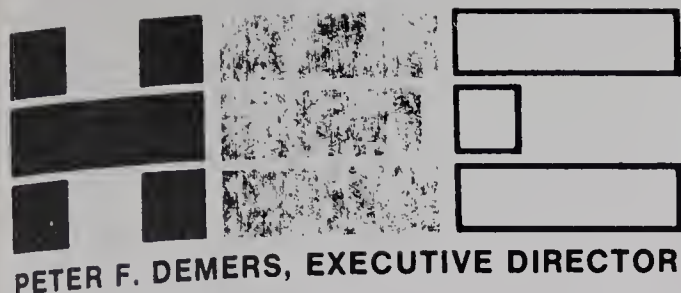
Bill Allen and Mike Mayo of the Hampshire Educational Collaborative Title IV Development Center, who will be responsible for coordinating these meetings, have prepared the enclosed introduction. They will be providing further information concerning the first session as the summer progresses.

I look forward to meeting with you in September, and to working with you throughout your Title IV project.

Sincerely,

A handwritten signature in cursive script, appearing to read "Jack".

Jack Reynolds  
Massachusetts Coordinator  
E.S.E.A. Title IV-c



# HAMPSHIRE EDUCATIONAL COLLABORATIVE

PETER F. DEMERS, EXECUTIVE DIRECTOR

1001 South East Street  
Amherst, Massachusetts 01002  
July 22, 1977

Dear Project Director:

Having now enjoyed the opportunity of meeting most of you personally, we would like to express again our enthusiasm about the hopes and plans of your Title IV-c projects. We congratulate your selection as one of the few to receive federal support and we look forward to working with you in these efforts in the years ahead.

Toward assisting you in your role as project director, we will coordinate periodic support and training meetings throughout the course of your funding. Our purposes in this letter are briefly to introduce you to the nature of these sessions and to solicit your input for the first such gathering of directors in September. As we are committed to structuring these meetings around you and your projects, we feel your participation in the planning process is very important from the outset. Your thoughts and opinions will be most appreciated.

Research findings concerning educational innovations and our own experience with Title IV-c programs have indicated that successful program development is enhanced when project leaders are provided ongoing support and technical assistance. Life on the change frontier can be risky and frustrating as well as exciting. As directors, many of you will encounter similar obstacles as you implement your projects and attempt to establish them as ongoing components of the local school system. Hopefully through interaction with other directors and outside resources, these difficulties can be minimized and common pitfalls avoided. In addition, mutual growth can be encouraged by sharing both successes and failures in a non-judgmental, non-threatening environment.

Toward these ends, periodic statewide meetings of project directors will be offered. In the past, these sessions have been offered on a monthly basis and topics addressed have ranged from pure theory to practice, from change models to internal politics, and from leadership styles to funding sources. We wish to emphasize that you will play a fundamental role in the determination of both form and content of these meetings. We strongly believe that your needs and desires are to be served and that you are best able to decide the most productive means of addressing them. As a resource link, we will attempt to respond to your requests for access to



individuals, information, and personal assistance. In addition, we will coordinate logistics and assist in further communication efforts by printing a newsletter and helping to build a network of projects and directors.

We are currently in the process of planning the first meeting in September. Our objectives for this session are to build relationships among directors and Title IV-c staff, assess and begin to address your immediate needs, solicit your ideas for structure and content of future meetings, and provide basic information regarding state requirements and expectations for the administration of your project. Our overriding concern is that together we establish a foundation for ongoing communication, introducing individuals and projects and providing a variety of contexts for interaction.

Based on previous experience and conversations with many of you, we have tentatively settled on a two-day overnight format for this first session. We feel that such an arrangement will provide sufficient time and a conducive environment for our collective purposes. As former directors of innovations, we are quite familiar with the extensive demands of time and energy which will be made of you the first weeks of the school year. To minimize your absence from the project site, we are proposing that this meeting begin at 5 o'clock on a Thursday evening and extend through the following Friday afternoon. We have made provisional arrangements to conduct this session at the 4-H Center in Ashland, a relatively central location, on September 15th and 16th. We would appreciate your thoughts on these arrangements, as well as any specific ideas you have concerning content. Please respond via the enclosed form and return it to us as soon as possible. The request for two addresses, home and school, will enable us to get more information to you this summer.

Thank you for your help. We are most excited about the potential of these meetings and look forward to getting to know each of you and your projects individually. We'll be back in touch soon.

Best regards,



William Allen



Mike Mayo

Title IV-c Development Center



PETER F. DEMERS, EXECUTIVE DIRECTOR

# HAMPSHIRE EDUCATIONAL COLLABORATIVE

## M E M O R A N D U M

To: Title IV-c Project Directors

From: Bill Allen<sup>BA</sup> and Mike Mayo<sup>MM</sup>, Title IV Development Center

Re: Project Director Meetings

As described in our last letter, we at the Title IV Development Center in Amherst will coordinate a series of statewide project director meetings to provide you with support and technical assistance in the management of your project. Based upon your feedback to our introductory letter, we have planned an overnight session for the first such meeting on September 15th and 16th. Enclosed here is additional information concerning this meeting, an overview of the optional graduate degree program available through the University of Massachusetts, and a brief questionnaire regarding your experience in educational innovation and management. We request that you return the questionnaire in the enclosed envelope as soon as possible. Thanks for your help. We look forward to seeing you on the 15th.

TITLE IV DEVELOPMENT CENTER

321 Main Street  
413-256-8869

Amherst, Massachusetts



An arrangement has been made with the University of Massachusetts to offer Title IV-c project directors the option of participation in an off-campus graduate degree program. Credits leading to a Master of Education Degree (M.Ed.) or a Certificate of Advanced Graduate Study (C.A.G.S.) can be earned in conjunction with activities conducted at the project director meetings. Participation in the graduate degree program is optional, and all directors are encouraged to attend related sessions whether or not they elect to earn credit through them.

Basic information on the graduate program is outlined below, specifically regarding format, degree requirements, admission procedures and costs. More detailed information, including application materials and student handbooks, will be available at the first director meeting on September 15th and 16th.

FORMAT: Beginning in January, 1978, and continuing for two years, the University of Massachusetts School of Education will provide the part-time services of several graduate faculty members to assist in the support of Title IV-c project directors in the state. Together with State Department of Education personnel, Title IV Development Center Staff, and the project directors themselves, they will design structured learning experiences to be offered for graduate credit on an optional basis. These courses will be conducted through the project director meetings, although on-site internships and independent studies will also be included in the program. Subject matter will be determined primarily by the needs and desires of the participants.

DEGREE REQUIREMENTS: Master's degree candidates must complete a 33 credit graduate program. A maximum of 12 credits may be transferred from another university, to be applied toward the M.Ed. C.A.G.S. candidates must complete a program of 30 credits beyond the Master's degree. The Master's degree cannot be more than 10 years old.

ADMISSION PROCEDURES: The School of Education will recommend to the Graduate School the admission of any Title IV-c project director who submits completed application materials by October 1, 1977. It is necessary to submit the following materials:

1. Graduate School application form
2. Two (2) official transcripts from each college/university attended
3. Two (2) academic recommendations



4. Official verbal and quantitative Graduate Record Examination (GRE) scores received within the past five years
5. Notorized proof of residency form
6. Application fee of ten (10) dollars

All application materials, including those concerning the GRE, will be available at the September meeting, and procedures for completing and submitting the forms will be explained at that time.

COSTS: Tuition fees will be assessed by the University at the rate of \$33.50 per credit for state residents. Graduate student fees are \$33. per semester. These rates are subject to change, but are likely to remain constant through the course of this program. All tuition and student fees will be assumed by the individual project director.

Director Name \_\_\_\_\_ Project \_\_\_\_\_

Directions: The following questions have been prepared to gather data on the collective experience of project directors in educational innovation and management. In addition, opportunity is provided to specify immediate and anticipated problems in the administration of your project. Additional assessments will be conducted periodically throughout the year. The information you provide will assist us in designing a support program to reflect your interests. Please respond to each item and return the questionnaire in the enclosed envelope as soon as possible. If desired, cumulative data will be shared with the director group, but individual responses will remain confidential. Your assistance is most appreciated.

1. What was your position immediately prior to your appointment as director of this Title IV-c project? Please check appropriate response.

☐ Teacher  
☐ Department Chairperson  
☐ Guidance Counselor  
☐ School Building Administrator  
☐ School District Administrator  
☐ Other (Please specify: \_\_\_\_\_)

2. As of June, 1977, how many years will you have been in each of the following?

\_\_\_\_\_ years at the site where Title IV project will be based  
\_\_\_\_\_ years in this district  
\_\_\_\_\_ years total in the education profession

3. What is the highest degree you have earned? (Please specify field)

☐ Bachelors Degree \_\_\_\_\_  
☐ Masters Degree \_\_\_\_\_  
☐ Certificate of Advanced Graduate Study \_\_\_\_\_  
☐ Doctoral Degree \_\_\_\_\_

4. Are you currently working toward an advanced degree?

☐ Yes ☐ No

5. On a five point scale ranging from "None" (1) to "Extensive" (5), what has been the extent of your professional experience with the subject area of your Title IV project (e.g. arts education, drop-out prevention, etc.)?

	None				Extensive
A. As a project director	1	2	3	4	5
B. As a staff member	1	2	3	4	5
C. As an evaluator	1	2	3	4	5
D. Other (please specify)	1	2	3	4	5

---

6. On a similar scale, what has been the extent of your professional experience with innovative educational projects?

	None				Extensive
A. As a project director	1	2	3	4	5
B. As a staff member	1	2	3	4	5
C. As an evaluator	1	2	3	4	5
D. Other (please specify)	1	2	3	4	5

---

7. What is the extent of your current knowledge and/or practical understanding of each of the following management-related topics?

	None				Extensive
A. Change theory(e.g. principles, strategies)	1	2	3	4	5
B. Leadership theory (e.g. techniques, styles)	1	2	3	4	5
C. Internal communication (e.g. staff development, group process)	1	2	3	4	5
D. External communication (e.g. dissemination, diffusion)	1	2	3	4	5
E. Resource utilization (e.g. time, budget, personnel)	1	2	3	4	5
F. Evaluation theory (e.g. purposes, types)	1	2	3	4	5
G. Evaluation application (e.g. instrument design, implementation)	1	2	3	4	5
H. Data utilization (e.g. analysis, reporting)	1	2	3	4	5
I. Other (please specify)	1	2	3	4	5

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8. At this point, are you particularly interested in receiving additional information about any of the topics listed in question #7? Please specify. 182

9. When did you first become involved with this Title IV-c project?

☐ Before submission of proposal  
☐ After submission of proposal

10. What has been the extent of your involvement with the project to date? (Check all appropriate responses)

☐ First conceptualized the project  
☐ Served on a pre-proposal planning team  
☐ Participated in proposal writing process  
☐ Helped assemble resources (project staff, materials, etc.)  
☐ None of the above

11. To what extent have you experienced or anticipate difficulty in accomplishing each of the following tasks? (NA=Not Applicable)

	Very Great Difficulty				No Dif- ficulty	NA
A. Recruiting staff	1	2	3	4	5	<input type="checkbox"/>
B. Recruiting participants	1	2	3	4	5	<input type="checkbox"/>
C. Retaining participants	1	2	3	4	5	<input type="checkbox"/>
D. Scheduling project staff	1	2	3	4	5	<input type="checkbox"/>
E. Scheduling students	1	2	3	4	5	<input type="checkbox"/>
F. Obtaining facilities	1	2	3	4	5	<input type="checkbox"/>
G. Obtaining materials	1	2	3	4	5	<input type="checkbox"/>
H. Providing staff training	1	2	3	4	5	<input type="checkbox"/>
I. Obtaining administration support	1	2	3	4	5	<input type="checkbox"/>
J. Obtaining community support	1	2	3	4	5	<input type="checkbox"/>
K. Implementing evaluation	1	2	3	4	5	<input type="checkbox"/>
L. Obtaining continuance funding	1	2	3	4	5	<input type="checkbox"/>

12. For any tasks which you ranked 1, 2, or 3 on question #11, please indicate specific problems you anticipate.

13. Additional information, comments:

A P P E N D I X    2

PROJECT DIRECTOR MEETING #1



WHEN: 4:00 pm, September 15th to 4:00 pm, September 16th

WHERE: Massachusetts 4-H Center  
466 Chestnut Street  
Ashland, MA 01721  
617-881-1243

A map to the 4-H Center is enclosed.

FOR WHOM: All newly funded ESEA Title IV-c Project Directors  
in Massachusetts

- OBJECTIVES:
1. To build relationships among directors and Title IV-c staff.
  2. To assess and begin to address immediate needs and concerns of directors.
  3. To introduce the availability of an optional graduate degree program through the University of Massachusetts.
  4. To provide information regarding state requirements and expectations for project administration.
  5. To solicit ideas for structure and content of future meetings.

ACTIVITIES: The following priorities for the first session were identified repeatedly on director feedback sheets:

1. The need to meet other directors, particularly those involved in similar projects.
2. The need to share problems encountered in first month of implementation and to anticipate oncoming ones.
3. The need for clarification of State Department expectations.

Activities will be structured to address these immediate needs, revolving primarily around individual and small group interactions. In addition to general information sharing sessions with the entire group (to provide administrative requirements, program overview, etc.), several activities will be conducted in sub-groups broken down along regional and subject matter lines. The tentative agenda includes simulations, discussions with former Title IV directors, and planning for future sessions, as well as formal and informal opportunities for interaction with other new directors.

# WELCOME!

Please pick up your room key and name tag from Liz and help yourself to coffee and yummys. If you haven't yet designed a fictitious project seal, please use the materials here to do so now.

Until dinner at six o'clock, we will be doing some introduction activities among directors, state department folks and assorted other participants. As a first step in this process, please find another participant you don't know, use one of these cameras to take their photograph (a close-up!), and interview him/her for 5 minutes or so. Find out as much as you can about this person, his/her project, and the origins of their masterpiece -- the project seal. Switch roles for another 5 minutes. After you both know the life histories of each other, find another pair who has completed the interviews, and compare notes about all involved. Eventually we will all gather in a circle, and you will introduce your original partner to the entire group. Sometime before dinner, please affix his/her photograph and project seal next to the appropriate project description on the wall.

Attached here is the agenda for this first session. As the first step in building relationships among participants, we ask that you attempt to meet each of the directors sometime in the course of the workshop. The names of projects and directors, along with addresses phone numbers and project abstracts, are posted by region on the wall. Please check the information about your own project and inform Liz of any changes. A booklet will be compiled once all information has been verified.



ESEA TITLE IV-c PROJECT DIRECTORS' MEETING  
SEPTEMBER 15 & 16, 1977 ASHLAND, MA

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AGENDA

THURSDAY, SEPTEMBER 15

4:00 REGISTRATION

4:15 PHOTO INTRODUCTIONS

5:00 WELCOME

Jack Reynolds, Massachusetts Title IV Coordinator

6:00 DINNER

7:00 PROGRAM INFORMATION SHARING

- PROJECT DIRECTOR MEETINGS

Mike Mayo, Title IV Development Center

- STATE EXPECTATIONS

Jack Reynolds and Title IV Staff

- GRADUATE DEGREE PROGRAM OPTION

Bill Allen, Title IV Development Center

8:00 REGIONAL GROUP MEETINGS

- relationship building within regions

- clarification of administrative responsibilities

8:45 MEETINGS WITH 2ND YEAR DIRECTORS

- small group discussions concerning issues encountered in first year of project directorship

- Gwen Van Dorp - Community Resource Seed Center, Shelburne Falls

- Nancy McGovern - Arts Council of Franklin County, Greenfield

- Rich Byam - Project O.P.U.S., Turners Falls

- Ed Reidy - Project Competency, Fitchburg

- Bill Allen - Title IV Development Center



3:30 (am) Lights out/bed check

FRIDAY, SEPTEMBER 16

8:00 BREAKFAST

9:00 SIMULATION GAME - "THE CHALLENGE"

- Chuck Radlo, Title IV Program Officer, Central Mass Region

11:00 BREAK

11:15 GROUP DEBRIEF OF SIMULATION GAME

12:00 LUNCH

1:00 SUBJECT AREA GROUP MEETINGS

- relationship building within subject areas
- discussion of general and specific director concerns
- generation of ideas for inclusion in November meeting of first and second year project directors within subject areas

2:00 BREAK

2:15 PLANNING FOR FUTURE DIRECTOR MEETINGS

- discussion of structure and content of project director meetings through brainstorming and needs assessment

3:15 CLOSING - REGIONAL GROUPS

- selection of Advisory Group representatives
- feedback on effectiveness of meeting

3:45 ADVISORY GROUP MEETING

This questionnaire has been designed to gather information on the effectiveness of the project director meeting in fulfilling its objectives. On a five point scale ranging from "None"(1) to "Extensive"(5) please indicate the extent to which the following statements reflect your experience.

1. The session:					
	None	1	2	3	Extensive
a. provided the opportunity to build relationships among the directors and the Title IV-c staff.	1		2	3	4 5
b. provided the opportunity for directors to meet other directors involved in similar projects.	1		2	3	4 5
c. provided the opportunity for the directors to share problems encountered in the first month of project implementation and to anticipate oncoming ones.	1		2	3	4 5
d. provided opportunities to assess my immediate needs and concerns as project director.	1		2	3	4 5
e. began to address my immediate needs and concerns as project director.	1		2	3	4 5
f. provided information regarding the availability of the optional graduate degree program through the University of Massachusetts.	1		2	3	4 5
g. provided information concerning state requirements and expectations for project administration.	1		2	3	4 5

2. What were the major strengths of this session?

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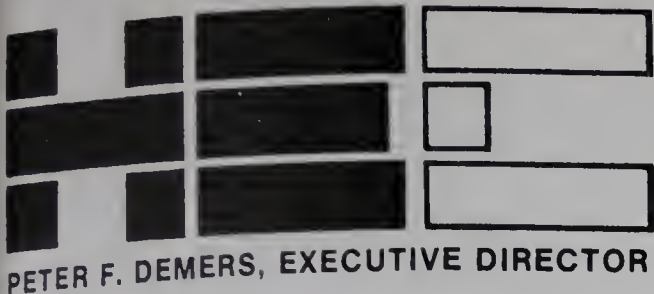
3. What were the major weaknesses of this session?

4. Which of the topics generated in the brainstorming session interest you the most? Are there any in which you feel you have skills/knowledge/experiences to share with the other directors?



A P P E N D I X    3

PROJECT DIRECTOR MEETING #2



# HAMPSHIRE EDUCATIONAL COLLABORATIVE

PETER F. DEMERS, EXECUTIVE DIRECTOR

Title IV Development Center  
321 Main Street  
Amherst, MA 01002  
September 30, 1977

Dear Project Director:


Enclosed you will find an assortment of materials regarding upcoming project director meetings. As we mentioned at the session in Ashland, we plan to print a newsletter each month to serve as a vehicle for exchange of information and ideas among directors. This package represents an initial move in this direction. We hope to begin with a standard format in November, so we welcome your suggestions for content.

Numerous ideas about the newsletter were identified at the first meeting, including the following: a regular article from the State Department of Education regarding announcements and expectations, a "Dear Abby" column raising problematic issues and concerns, detailed descriptions of one or two projects each month, a compendium of sources of further information on various topics, announcements of public events scheduled by individual projects, the availability of places to stay in the vicinity of each single day meeting, relevant articles, bibliographies, etc., in addition to logistical information regarding objectives, agendas and maps for upcoming meetings.

We are primarily interested in having the newsletter work among directors as opposed to working at them. Regular contributions from all participants in this venture, including ourselves and State Department personnel, seems the most desirable end to shoot for. Let us know what you think.

In this package are included a list of names and addresses of each of the new project directors, an overview of activities and dates for director meetings through the Fall, and detailed information about the October 20th meeting to be held at the Rolling Ridge Conference Center in North Andover. We look forward to seeing you again at that time.

Best regards,

  
Mike Mayo

  
Bill Allen

## FUTURE PROJECT DIRECTOR MEETINGS

Through questionnaires, the Ashland brainstorming session and feedback from the Advisory Group, many ideas for future meetings have been identified. This information is now being organized, and we will soon feed back to you a catagorized list of topics and possible activities, probably through the November newsletter. Dates, sites, and tentative foci for meetings through December are presented here, and dates for the remainder of the year will be forthcoming soon.

For the immediate future, issues mentioned most frequently have included evaluation, budget management, subject area sharing, resource availability, and personal support needs. Toward addressing these concerns, the following format is proposed:

October 20th - Rolling Ridge Conference Center, 666 Great Pond Road, North Andover, MA (Directions on back)

As detailed elsewhere, this meeting will have evaluation as its focus. We recognize that no single day session can cover all needs for evaluation information, but hopefully this one will address several pressing issues. Evaluation bibliographies and accessibility to additional resources will also be available. The possibility exists to focus future session(s) on evaluation matters as well.

November 16th - (site to be determined)

The 2nd year project directors are meeting October 12th to plan their activities for the year. We have proposed to them that both groups meet together on the morning of November 16th. If they are agreeable, the meeting will probably have a subject matter focus (arts programs, inservice programs, etc.). In the afternoon, we might concentrate on budget concerns - an auditor from the State Department will be available to make a presentation and answer questions at that time.

December 15th - Willits-Hallowell Center, Mt. Holyoke College Campus, South Hadley, MA

At this meeting we propose to initiate the involvement of the University professors, as well as present various overviews of resources available to you (books, people, validated projects, services, etc.). Additional activities for this session will be planned and shared as we move through the coming meetings.



The Advisory Group is currently working out a plan for optional personal support activities to be included in or alongside the director meetings. Please share any ideas concerning these and other plans to the Advisory Group and/or me. They are:

Northeast Region - Joyce Cohen  
Greater Boston Region - Ann Buxbaum  
Southeast Region - Mary Ellen Cunnion  
Central Region - Jeff Robbins  
Pittsfield/Springfield Region - Joe Noonan

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\*\*\*\*\* DIRECTIONS to Rolling Ridge Conference Center \*\*\*\*\*  
666 Great Pond Road  
North Andover, MA  
617-682-8815

To Old North Andover Center -

From WEST: Interstate 495 to Mass.Ave/North Andover Exit.  
Take Mass.Ave. through 2 sets of lights, continuing straight  
into Old North Andover Center. (rotary)

From SOUTH: Interstate 93 to Route 125 Exit. Take Route 125  
to the "99 Restaurant". Take right at restaurant and follow  
into Old North Andover Center.

To Conference Center from Old North Andover Center -

Off of rotary take road between white church and red brick  
building. Keep left at all forks. 2 - 2.5 miles on left is  
Rolling Ridge Conference Center, directly after North Andover  
Country Club.

PROJECT DIRECTORS MEETING #2  
Rolling Ridge Conference Center, North Andover, MA  
OCTOBER 20, 1977

9:00 Warm-up activity  
9:15 Announcements  
9:30 Concurrent workshops - choose one (the same workshops will  
be offered again at 11:00)

I. How to Be an Efficient Consumer of Evaluation

- Tom Wolf, Director, UMass/Worcester Teacher Corps, former staff member, National Alternative Schools Program, Evaluator of innovative projects

Topics will include:

- A) The difference between formative and summative evaluation and the need to gather different sets of information to meet needs of various audiences
- B) Efficient utilization of evaluation resources (people, books, tests, etc.)

II. How to Prepare an Evaluation Design Compatible With National Validation Procedures

- Dennis Collins, staff member, the Network, advisor to Mass. Title IV-c concerning relations with Joint Dissemination and Review Panel (JDRP)

Topics will include:

- A) Case studies of effective evaluation designs for projects in various subject areas
- B) Evaluation techniques reviewed favorably in past by JDRP

III. Evaluation of Project Adventure - a Title III Validated Project

- Bob Lentz, Director, Project Adventure

Topics will include:

- A) Description of evaluation design used in this validated project, with emphasis on measurement of affective objectives

IV. Informal interaction among project directors concerning individual project evaluation designs, ideas, problems, etc.

## Project Directors' Meeting #2

10:30 Break

11:00 Repeat of workshops offered at 9:30. Choose one.

12:00 LUNCH

1:00 "Hey, Jack - What Do You Want From Me?"

Clarification of what goes where - when and why  
- Jack Reynolds, State Title IV-c Coordinator

1:15 Panel Discussion

How to meet local, state and national evaluation expectations  
Panel members will include a former director, an external evaluator, a school system superintendent, a State Department Program Officer, and an individual familiar with national validation procedures

Each member will offer a brief explanation of evaluation expectations from his/her position and respond to questions from the director group. (Note: Please write specific questions for one or more panel members on sheets posted on the wall)

2:15 Three possible activities:

- I. Continuation of panel discussion
- II. Small group discussion with panel members on specific topics identified in preceding session(s)
- III. Simulation game - The Tinker Toy Challenge - an exercise that exposes issues encountered in the planning and evaluation of projects  
- Bill Allen

3:30 Regional Group Meetings

- Feedback on effectiveness of meeting
- Discussion of desired activities for November meeting, particularly concerning possible interactions with second year Title IV-c directors

4:00 Closing

NOTE\*\*\*\*\* Directions to meeting site are on back of "Future Project Director Meetings" sheet.....



## SESSION EVALUATION

The goal for project director meeting #2 was to address a variety of evaluation issues deemed significant by the director group through provision of workshops, a panel discussion and informal director interaction. Following are 15 questions. They are concerned with eliciting information from the project directors on the attainment of this goal. Please respond to items 1 and 3 by circling the appropriate box beneath the question. Items 2, 4, 5, and 6 are open ended questions. Please respond to them in the space provided.

1. To what degree were the evaluation issues which most concern you addressed?

Very Low	Low	Medium	High	Very High
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2. What additional evaluation issues would you like addressed in future meetings?

3. To what degree was the meeting format productive in addressing your needs?

Very Low	Low	Medium	High	Very High
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Session Evaluation

4. How might the meeting format be improved?
5. What were the greatest strengths of the meeting?
6. What were the greatest weaknesses of the meeting?

Questions 7 and 8 deal with the effectiveness of the morning workshops. To respond to questions 7 and 8, please check the workshop(s) you attended and indicate your reaction to the statements that follow by checking the appropriate column.

7. 9:30 Session - Tom Wolf \_\_\_\_\_  
Dennis Collins \_\_\_\_\_  
Bob Lentz \_\_\_\_\_

The session	YES	NO	NOT SURE
a. was well balanced between theory and fact	_____	_____	_____
b. provided new information	_____	_____	_____
c. was too general for my purposes	_____	_____	_____
d. was too complex	_____	_____	_____
e. provided specific ideas	_____	_____	_____
f. was valuable for practical application	_____	_____	_____
g. was too theoretical	_____	_____	_____
h. was on too elementary a level	_____	_____	_____
i. was pertinent to my needs and interests	_____	_____	_____

8. 11:00 Session - Tom Wolf \_\_\_\_\_  
Dennis Collins \_\_\_\_\_

The session	YES	NO	NOT SURE
a. was well balanced between theory and fact	_____	_____	_____
b. provided new information	_____	_____	_____
c. was too general for my purposes	_____	_____	_____



	YES	NO	NOT SURE
d. was too complex	_____	_____	_____
e. provided specific ideas	_____	_____	_____
f. was valuable for practical application	_____	_____	_____
g. was too theoretical	_____	_____	_____
h. was on too elementary a level	_____	_____	_____
i. was pertinent to my needs and interests	_____	_____	_____

The objective for the afternoon panel discussion was to provide a forum for examination and comparison of local, state and national expectations for evaluation. Question 9 deals with the effectiveness of the afternoon panel discussion. Please indicate your reaction to the aspects of the panel discussion listed below by checking the appropriate column.

9. The panel discussion	YES	NO	NOT SURE
a. was well balanced between theory and fact	_____	_____	_____
b. provided new information	_____	_____	_____
c. was too general for my purposes	_____	_____	_____
d. was too complex	_____	_____	_____
e. provided specific ideas	_____	_____	_____
f. was valuable for practical application	_____	_____	_____
g. was too theoretical	_____	_____	_____
h. was on too elementary a level	_____	_____	_____
i. was pertinent to my needs and interests	_____	_____	_____

The following evaluation issues have been addressed at this meeting. Please respond to questions 10 through 14 by indicating the degree to which you have attained each.

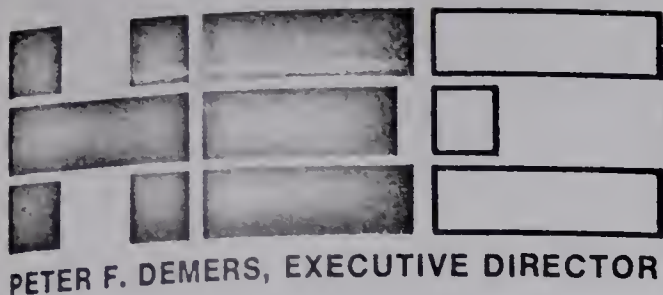
	Very low	Low	Medium	High	Very high	Not Applicable
10. The ability to be an efficient consumer of evaluation						
11. The ability to prepare evaluation designs compatible with national validation requirements						
12. Knowledge of the measurement of affective objectives						
13. The ability to meet local, state and national evaluation expectations simultaneously						
14. Proficient skill to locate additional evaluation resources						
15. In general, were your needs addressed, and if not, please comment on what you feel was missing.						

Thank you for completing this questionnaire. Please return it to Mary Seroski at the Title IV Development Center, 321 Main Street, Amherst, MA 01002. (Envelope attached)

A P P E N D I X 4

PROJECT DIRECTOR MEETING #3





# HAMPSHIRE EDUCATIONAL COLLABORATIVE

## M E M O R A N D U M

November 2, 1977

To: Title IV-c Project Directors

From: Mike Mayo, Title IV-c Development Center

Re: Upcoming events

As you can see, the newsletter is not yet off the ground. We still would like to see it come about, but hesitate to place more burdens upon you. If you have input for such a sharing vehicle, send it on in to us and we will include it in these monthly mailings.

Enclosed here is a summation of director needs expressed through the various assessments conducted since July, a calendar of future director meetings, and an agenda for the upcoming November session at Ashland.

Feedback to the last meeting indicates that small group sharing among directors is currently a high priority for most of you. We have decided to schedule a morning session in December (date to be decided at the November meeting) at the various regional offices, for such interaction to take place. As always, participation in this meeting is optional. The December 6th meeting in South Hadley will be devoted exclusively to the Graduate Degree Program. All M.Ed. and C.A.G.S. candidates should attend this session, as initial planning and registration activities will occur at that time. See you all on the 16th.

## SUMMATION OF INITIAL PROJECT DIRECTOR NEEDS

Listed below are issues identified by project directors as possible topics for inclusion in future meetings. They have been gleaned from feedback sheets, questionnaires, on-site visits and the brainstorming session conducted at the first director meeting. They have been grouped here within five general areas - educational change, change management, internal concerns, external communication, and evaluation. This list is neither exhaustive of all director concerns nor inclusive of all issues to be addressed at future meetings. Rather, it provides a representative sampling of expressed director need, and, as such, it will serve as a springboard for future planning. In consultation with the Advisory Group, we will develop a tentative agenda for the winter and spring based on these needs, additional concerns raised in response to this list, and consideration of State Department and University input. Director needs will continually be assessed throughout the three years.

### I. Educational Change

#### A. Theoretical issues

1. Who is affected by change in schools?
2. What is it and why do it?
3. What resources on educational change are available?

#### B. Resistance issues

1. How are sources of local support or resistance identified?
2. How is change effected with minimal threat?
3. How can change be realized in provincial systems?
4. How can change happen in a context of fiscal conservatism and declining enrollments?
5. How can negative criticism be overcome?
6. How to deal with tradition bound administrators, unenthusiastic teachers, overprotective parents, overzealous supervisors and other diversionary characters.

### II. Change Management

#### A.. Political issues

1. How can one effectively direct elders?
2. How can females effectively direct in male dominated school systems?
3. How to deal with educational collaboratives.
4. How to adapt leadership styles and roles to meet shifting conditions.
5. Are big city politics different from small city ones? How?
6. How can we share political solutions to individual problems?



## B. Leadership issues

1. How to devise creative solutions to mundane problems.
2. How to avoid losing sight of the students when fending off problems.
3. How to maintain a wholistic view.
4. How to avoid self-fulfilling prophecies.
5. How to lend new directions to existing expectations.
6. What have been the administrative strengths and weaknesses of previous projects?
7. How to use volunteers/advisory councils.
8. How to be a boss for the first time.
9. What should monthly progress reports be?

## C. Financial issues

1. How to manage federal money.
2. How to obtain outside funding.
3. How to deal with grant-generated income.
4. How to deal with local bookkeeper.

## D. Time issues

1. How to utilize minimal free time.
2. How to distinguish between planning and doing time.
3. How to split time between being a teacher as well as administrator.

## III. Internal Concerns

### A. Personal ramifications of leadership

1. How to combat internal elitism.
2. How to maintain ego strength.
3. How to maintain personal sanity.
4. How to separate personal life from project involvement.
5. How to take care of ourselves.
6. How to deal with reality of partial failure and/or glorious success.

### B. Group dynamics

1. How to share responsibility within project.
2. How to non-verbally communicate.
3. How to recognize differing needs within project staff.

## IV. External Communication

### A. Dissemination issues

1. How to run workshops.
2. What are successful public relations methods?
3. How to best utilize media.
4. Salesmanship.



5. How to coordinate with faculty. 206

6. How to use students for feedback and dissemination.

7. Comparison of inservice strategies.

8. How to disseminate to other educators as well as public.

9. What are tactics to insure continued local adoption?

10. What information should go to school boards, PTAs?

11. How to back off from superintendent diplomatically.

12. How to get information spread to faculty.

B. Diffusion issues

1. What is validation for?

2. How to pre-plan for diffusion and validation.

3. What is in validation for me?

4. Other validation resources?

5. Who is JDRP and what do they want?

V. Evaluation

A. Theoretical issues

1. Exposure to new ideas in evaluation.

2. How to measure affective objectives.

3. Where to find theoretical information.

4. How to effectively consume evaluation and evaluators.

B. Design issues

1. Are there instruments to evaluate staff?

2. How to construct questionnaires and surveys.

3. How to set objectives.

4. What are some exemplative designs from previous projects?

5. How to design an evaluation instrument.

C. Analysis issues

1. What data goes to who when?

2. What information does the state want?

3. What if local evaluation expectations differ from state and/or national expectations?

4. What does success or failure officially look like?

---

On the back of this sheet is a calendar of future project director meetings through June. Please note that two of these meetings (December 6 and May 11) will concern issues specifically relating to the Graduate Degree Program, and that parts of additional sessions will be devoted to one of its courses, Knowledge Diffusion and Utilization. These sessions have been highlighted in yellow ink. Non credit seekers are welcome to attend, if they desire to do so.

## FUTURE PROJECT DIRECTOR MEETINGS

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DATE	TIME	SITE	TOPIC AREAS
Wednesday November 16	9 - 3:30	4-H Center Ashland, MA	Subject area sharing - 1st and 2nd year directors Budget
Tuesday December 6	10 - 12 ----- 1 - 3:30	Willits-Hallowell Center, So. Hadley -----	Graduate Degree Program planning and registration ----- Knowledge Diffusion and Utilization course
Date to be determined at Nov meeting	9 - 12	Regional Offices	Regional Group sharing and problem solving
Wednesday January 25 -----	1 PM to 9 PM -----	*Meeting sites through June are as yet undeter- mined.	Knowledge Diffusion and Utilization course -----
Thursday January 26	9 - 3:30		Dissemination
Thursday February 16	9 - 3:30 4 - 9 PM		Educational Change Knowledge Diffusion and Utilization course
Thursday March 9	9 - 3:30 4 - 9 PM		Leadership Knowledge Diffusion and Utilization course
Tuesday April 4 Wednesday April 5	10 - 10 PM 9 - 3:30		Change Management
Thursday May 11	9 - 12 1 - 3:30		Knowledge Diffusion and Utilization course Graduate Degree Program
Thursday June 1	10 - 3	↓	Year assessment and future planning



NOVEMBER 16, 1977

4-H CENTER, ASHLAND, MA

AGENDA

- 9:00 - 9:30      Coffee  
Question and Answer Session
- Direct interaction with Jack Reynolds regarding fuzzy state expectations of project directors (due dates, attendance requirements, etc.)
- 9:30 - 10:30      Individual Project Discussion
- Several 1st year project directors, representing different subject areas, will informally discuss their projects with interested others
- 10:30 - 12:30      Interaction Between 1st and 2nd Year Directors
- Second year directors will have divided themselves into 6 groups. 1st year directors will choose one, and discuss with them issues encountered in project implementation
- 12:30              Lunch
- 1:30 - 2:00        Free Time
- 2:00 - 2:45        How to Manage Federal Dollars
- Frank McCommas, auditor from the State Department, will make a budget presentation, to be followed by questions from the group
- 2:45 - 4:00        Regional Group Meetings
- Followup on budget concerns
  - Discussion of support group possibilities
  - Planning for regional group meeting in December



DIRECTIONS TO 4-H-CENTER  
ASHLAND, MASSACHUSETTS



Via Rte. 9: Follow Rte. 9 to Rte. 126 and continue to Framingham center. Take Rte. 135 to Ashland.

Via Mass. Pike (eastbound): Take exit 11A (I-495 South). See below.

Via I-495: Take Exit 9E (West Main St/Hopkinton) and in  $\frac{1}{2}$  mile join Rte. 135 east to Ashland.

Via Mass. Pike (westbound): Take Exit 13 (Rte. 30). Follow Rte. 30 one mile to Rte. 126 and continue to Framingham center. Take Rte. 135 to Ashland.

IN ASHLAND: From Rte. 135 take Main St. or Chestnut St. and follow map.

From 9:30 to 10:30 this morning, five directors will offer informal presentations of their projects to be followed by small group discussion. An attempt has been made to represent each general subject area (arts, vocational, environmental, inservice, health and nutrition). Choose the one(s) that interest you most. Below is a description of each project to be discussed.

1. Project Greenthumb  
Lunenburg, MA

Doug Fleming, Director

Project GREENTHUMB is designed for students who are "at crisis" in their lives; potential dropouts, unmotivated, unsuccessful, and "turned off" by the traditional school experience. Parent involvement is encouraged in the program and in-service training is provided to assist staff in understanding the needs of the students and in appropriately involving the students in regular academic courses. A strong element of guidance and counseling is included in the students' programs.

The major thrust of Project GREENTHUMB is awareness and skill training in horticulture and conservation. Such training takes place in regular courses of study through special laboratory experiences and through practical and actual work experiences in the community. Landscaping, gardening, marketing, grounds-keeping, nursery operations, forestry, conservation and floristry provide the instructional medium for addressing student needs and providing service to the community.

Number/Type of Persons to be Served: 60 students, grades 8-12

2. Arts Infusion Project  
West Springfield, MA

Ellie Lazarus, Director

The project is designed to introduce and involve elementary school children and teachers with the available cultural resources in the geographic area by developing learning packets and by training teachers. Learning packets will be designed to provide the classroom teacher with materials and experiences necessary to infuse art, music, and drama into the basic curriculum. These packets will be created during the summer by teachers of the West Springfield School System, and representatives from the Springfield Symphony, Quandrangle Art Museums and Stage West. During the fall, teachers will receive in-service training in the use of the packets and begin implementation.

Number/Type of Persons to be Served: Approximately 1000 elementary students through 40 teachers.



3. Impact  
Arlington, MA

Bob Weintraub, Director

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IMPACT - Business, environmental and occupational exploration components adds to the current step program (alternative program) as well as for students at Arlington High School. Development of an Arlington Impace Advisory Council to serve as an advocacy group for this opoulation. This group will represent business, parents, academic and community interests.

Number/Type of Persons to be Served: 120 high school students - potential drop-outs.

4. Project BEEP  
Bedford, MA

Cricket Krantz, Director

During the first year Elbanobscot will provide a continuum of environmental experiences appropriate for the developmental level of the child. Concurrently, the teachers of the Bedford elementary schools and community volunteers will be provided with training to carry on these programs within the four elementary schools and on areas to be designated and developed as outdoor classrooms in Bedford.

The potential high school dropouts will be involved in group counseling sessions that: a. diagnose student interests, b. develop specific activities to match these interests, c. facilitate student-oriented projects, d. include extensive "life-skills" experiences. After appropriate counseling, the students will be paired with socially successful high school students and they will receive training to be teacher-assistants in the Bedford Environmental Education Program.

Number/Type of Persons to be Served: K-6 students--start, 350, end, 1,600; K-6 staff and administration--start, 20, end, 100; 9-12 students--start, 15, end, 30+.

5. Facing History and Ourselves: Margot Strom, Director  
The Holocaust and Human Behavior  
Brookline, MA

FACING HISTORY AND OURSELVES develops curriculum on Holocaust for in-service teacher training and for dissemination throughout Brookline Public Schools and the Commonwealth. A Resource Center will serve the public with a library, resource list and staff-produced annotated bibliography and filmography. The support staff represents an interdisciplinary cross schools group who will participate in a summer workshop, plan and execute their own workshops to their extended departments, and help create a supportive place within which the new curriculum can exist. This staff will attend meetings throughout the year for planning, support and consultations about issues relevant



to the project and attend a writing workshop where they will produce an article on their involvement in the project. Also, the core staff will give workshops for the 8th Grade Social Studies Staff of the eight Brookline Schools. Careful documentation and evaluation will produce documentation of the process of teacher-initiated curriculum change within an educational institution and of the in-service training model as well as an evaluation of the curriculum impact on teachers, students and staff.

Number/Type of Persons to be Served: Students and teachers at junior high school level - Brookline and throughout state.



# The Commonwealth of Massachusetts

## Department of Education

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31 St. James Avenue, Boston, Massachusetts 02116

October 20, 1977

### Some Questions and Some Answers

#### I. Why so much emphasis on evaluation and validation?

The answer is two-fold, involving the purpose of Title IV and also the present realities of education, nationally. First of all, the purpose of a Title IV developmental grant is not merely to solve a local problem, but to test a potential solution to a problem shared by many communities. Each project must therefore be thoroughly evaluated to determine whether or not it represents a significantly better way of delivering educational services. Validation, then, is the process by which a local school system demonstrates that a practice it is implementing should be recommended to other school systems for adoption or adaptation. Development, implementation, evaluation, validation and diffusion describe a continuum which is inherent in the successful use of Title IV funds.

Secondly, the age of accountability is with us. It is naive to think that anything new or innovative can be attempted without thorough evaluation. Programs will be challenged, and we should be able to defend what we are doing.

#### II. What do we have to do?

First of all, the primary task of a project director is to implement the project in the most effective way possible. The initial idea presented in the original proposal, must be effectively developed and implemented if it is to receive a fair test of its worth. Secondly, a quality evaluation must be provided. This should be planned and carried out to address both formative needs and the summative requirements of validation. A Massachusetts Validation study, for either diffusion or dissemination approval, must be completed by all Title IV-c funded projects. Project evaluation should be carried out in such a way as to prepare for national validation.

### III. What is the process of the review of evaluation designs?

A Program Plan must be completed by all projects, and must be approved by the appropriate Title IV Program Officer. Part of the Program Plan includes the evaluation design.

In order to enhance the possibility of receiving validation, it was decided to provide as much feedback as possible concerning the evaluation design.

Therefore, evaluation designs are reviewed, in addition to the review by Program Officers, by consultants knowledgeable concerning evaluation and validation. Their comments, or recommendations, are made available to project directors. It is hoped that this "feedback" will improve the evaluations of Title IV projects by providing the Program Officer, the project director, and the project evaluator with the advice of people experienced with validation.



For analysis purposes, please choose any four digit number (example: the last four digits of your phone number) and write it on the line provided above. The number should be one with which you are fairly comfortable because you will be asked to put the same four digit number on future questionnaires. Your feedback will remain confidential.

One of the goals of project director meeting #3 was to increase director exposure to selected other first year projects. The 9:30 session was addressed to this goal.

- |    |   |                          |                         |                                  |
|----|---|--------------------------|-------------------------|----------------------------------|
| 1. | As a project director, did this activity address a high priority need?  | <u>          </u><br>yes | <u>          </u><br>no | <u>          </u><br>not<br>sure |
| 2. | To what degree has this activity provided you as a director with information that can be applied to your own project. |                          |                         |                                  |
|    | very low  | low                      | medium                  | high                             |
|    |   |                          |                         | very high                        |
| 3. | As a project director do you feel that additional such exposure to other projects would be advantageous?              | <u>          </u><br>yes | <u>          </u><br>no | <u>          </u><br>not<br>sure |
| 4. | Was the format used in the provision of this activity appropriate?  | <u>          </u><br>yes | <u>          </u><br>no | <u>          </u><br>not<br>sure |
| 5. | How might the format be improved?   |                          |                         |                                  |

A second goal of this meeting was to provide opportunities for 1st and 2nd year directors to meet each other and to share project information. The 10:30 session addressed this goal.

- |   | yes | no | not<br>sure |
|---|-----|----|-------------|
| 6. As a Project Director, did this activity address a high priority need? |     |    |             |

7. To what degree has this activity provided you as a director with information that can be applied to your own project?

very  
low

low

medium

high

very  
high

8. As a project director do you feel that additional such exposure to 2nd year directors would be advantageous?

        
yes

        
no

        
not  
sure

9. Was the format used in the provision of this activity appropriate:

        
yes

        
no

        
not  
sure

10. How might the format be improved?

It was also a goal of project director meeting #3 to provide information regarding budget management of federal funds. The afternoon session addressed this goal.

11. Does the provision of this information fulfill a high priority need?

        
yes

        
no

        
not  
sure

12. To what degree has this activity provided you as a director with information that can be applied to your own project?

very  
low

low

medium

high

very  
high

13. As a project director do you feel that additional information concerning budget management would be advantageous?

        
yes

        
no

        
not  
sure

If yes, what is needed/desired?

14. If you have any additional comments or suggestions, please express them below.

A P P E N D I X    5

PROJECT DIRECTOR    MEETING #4





# HAMPSHIRE EDUCATIONAL COLLABORATIVE

PETER F. DEMERS, EXECUTIVE DIRECTOR

## M E M O R A N D U M

November 29, 1977

To: Project Directors

From: Mike Mayo

Re: December Meetings

The meeting on Tuesday, December 6th at the Willits-Hallowell Center in South Hadley will concern only participants in the graduate degree program. The program and its activities will be discussed in greater detail, registration procedures will be reviewed, and one of the courses (Knowledge Diffusion and Utilization) will begin at this time. A map to the Center is enclosed.

All project directors are invited to attend their respective regional meetings, on December 15th or 16th, as described below.

Pittsfield/Springfield Region - Friday, December 16th,  
10 - 1 PM, Hoosac Community Resource Center, North Adams

Central Mass Region - Thursday, December 15th, 10 - 1 PM,  
Central Mass Regional Education Center, W. Boylston

Northeast Region - Thursday, December 15th, 10 - 1PM, Northeast  
Regional Education Center, North Andover

Southeast Region - Friday, December 16th, 10 - 1 PM, Southeast  
Regional Education Center, Lakeville

Greater Boston Region - Thursday, December 15th, 10:30 AM,  
Greater Boston Regional Education Center, Cambridge

If you need directions to these sites, please contact your regional program officer.

A pair of glasses were left at the November meeting held at Ashland. Contact Chuck Radlo at the Central Region office.



# HAMPSHIRE EDUCATIONAL COLLABORATIVE

PETER F. DEMERS, EXECUTIVE DIRECTOR

## M E M O R A N D U M

December 6, 1977

To: Masters and CAGS Candidates

From: Title IV Development Center

Regarding: Graduate Degree Program

We have been informed by the Graduate School that those directors who have submitted completed application materials have been accepted into the school, and that letters of acceptance will soon be in the mail. The next step is registration, a process we will carry out for you when we learn from you which course(s) you plan to take this next semester. Information regarding your options is contained in this packet. We must receive the enclosed form indicating your choices before January 15th to register for you. Otherwise, you will have to attend registration at the University on January 30th.

You will be billed by the Graduate School at a rate of \$33.50 for each credit for which you apply. In addition, you will be charged a \$33.00 off-campus graduate student fee each semester. As indicated on your bill, payment must be made before March 3, 1978 for the Spring semester, 1978.

Credits can be earned through any or all of the following activities: graduate courses, internships, and independent studies. Within these activities, several alternatives are available, as listed below. A Master of Education Degree requires 33 credits beyond the Bachelor's Degree. The Certificate of Advanced Graduate Study requires 30 credits beyond the Masters Degree

A) Graduate Courses

1. UMass graduate level courses offered through project director meetings.

Four graduate faculty members from the UMass School of Education (Bill Wolf, Mason Bunker, Ken Blanchard and Art Eve) will be working directly with the program. They have been selected



because their interests and specialities relate most closely with the expressed needs of the director group. Starting with the Spring, 1978 semester, these professors will offer a series of optional courses for program participants. These courses will be conducted at the monthly meeting sites and will be offered immediately before, during and/or immediately after the regularly scheduled meetings. It is anticipated that six (6) credits will be available through such courses in each of the four (4) semesters of the program. During the coming semester, two such courses will be available - "Knowledge Diffusion and Utilization", Bill Wolf, 3 credits and "Management of Change in Schools", Ken Blanchard, 3 credits. Descriptions of these courses and respective requirements made of credit seekers are included in this packet. Plans for future courses have not been finalized.

2. UMass graduate level courses offered at the Amherst or Boston Campuses.

Participants in the program can enroll in any graduate level courses offered at the Boston or Amherst Campuses of the University of Massachusetts, and apply the credit received to this graduate degree program.

3. Graduate level courses offered at other universities

Up to six (6) graduate credits earned at institutions other than UMass can be transferred into this graduate degree program. A maximum of six (6) credits earned at UMass before initiation of this program can be transferred into it as well. All transferred credits must have been earned within the past four (4) years.

B) Internships

1. Two (2) credits can be earned each of the first three semesters (Spring, 1978, Fall 1978 and Spring, 1979) in the form of an "Internship in Educational Administration". In the final semester of the program (Fall, 1979) three (3) credits can be earned in this manner. Requirements for this internship are listed elsewhere in this packet.

C) Independent Studies

1. Any participant can earn credits through independent studies negotiated individually with the University professors.
2. The participating professors are willing to offer one group independent study each semester. If a number of directors are interested in pursuing a single topic, they have the option of meeting with the sponsoring professor to plan an independent group study.



Seminar in Knowledge Diffusion and Utilization #634

W.C. Wolf Jr.

This learning experience focuses upon the process of communication within the field of education in general, and upon both strategies for diffusing knowledge and strategies for ascertaining the utilization of knowledge in particular. Students who complete the series of highly-structured activities are able to do the following:

1. Discuss alternative theories and modus operandi pertaining to the diffusion/utilization tradition, and critique the advantages and disadvantages of each approach.
2. Describe - in general - the evolution of diffusion/utilization inquiry across at least a half dozen established disciplines, and be able to use this perspective to make judgements about current activities in these disciplines.
  - a. Describe specifically the influence of institutional structures, specialist roles, and funding patterns upon the evolution of the diffusion/utilization tradition.
  - b. Describe specifically the influence of selected key individuals upon the evolution of the diffusion/utilization tradition.
  - c. Describe specifically accumulating literature which pertains to the diffusion/utilization tradition, and be able to apply this knowledge critically when reviewing contemporary work.
3. Utilize selected diffusion/utilization research modus operandi in conjunction with simulated and laboratory experiences.
4. Identify areas of the diffusion/utilization tradition in need of systematic study, and then conceptualize studies to meet these needs.

## EXPECTATIONS

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Education 634: Seminar on Knowledge  
Diffusion and Utilization  
W.C. Wolf, Jr.

1. Regular participation in planned meetings.
2. Knowledge of Rogers and Shoemaker, Communication of Innovations in particular, and various handout materials.
3. A classroom presentation, as a member of a team, pertaining to one of the following topics:
  - a. The Innovation-Decision Process
  - b. Perceived Attributes of Innovations and Their Rate of Adoption
  - c. Adopter Categories
  - d. Opinion Leadership and the Multi-Step Flow of Ideas
  - e. The Change Agent
  - f. Communication Channels
4. Successful completion of two or three criterion-referenced written examinations.

## ASPIRATIONS FOR DECEMBER 6, 1977 MEETING

It is my intention to accomplish the following:

1. To ascertain the extent to which prospective students can discuss and write about knowledge communication know-how.
2. To clarify salient aspects of the course being offered; namely, unique jargon, behavioral outcomes, expectations and requirements, and my qualifications for presenting it.
3. To describe the evolution of a well-integrated communication system (USDA's Cooperative Extension Service) and then contrast such a system with education's evolving communication system.
4. To elicit student feedback pertaining to how content described might or might not relate to current job demands.



### Internship in Educational Administration

The structure of the internship remains flexible, subject to the needs and capabilities of both directors and university professors. Those interested in receiving credit through an internship should meet with the professor whose interests most closely match their own, and contract with them regarding the format of the study. Supervision of work performed may take a variety of forms, still to be worked out. The list below represents the basic thrust of the internship expectations, though precise requirements will be determined in consultation with the sponsoring professor.

#### EXPECTATIONS

1. Isolate problematic issue(s) you are currently experiencing in your role as project director.
2. Maintain a journal to chronicle efforts in addressing the issue(s). Thoughts, actions, results and consequences should be recorded.
3. Analyze your efforts and present your findings at the end of each semester.
4. Arrange a visit to at least one other project, and discuss with the director his/her efforts in addressing the isolated issue(s).
5. Maintain communications with your supervisor.



# HAMPSHIRE EDUCATIONAL COLLABORATIVE

PETER F. DEMERS, EXECUTIVE DIRECTOR

## M E M O R A N D U M

December 13, 1977

To: Graduate Program Participants

From: Mike Mayo

Re: Program information

A few notes of additional information regarding the graduate degree program...

1) A total of nine (9) credits will be available through the internship "course". As we decided last week, because the mechanisms for sponsorship and supervision are not yet in place, formal credit for internships will not be granted during the coming semester. During the winter and spring we will clarify the means for attaining credit through the internship and hopefully identify specific university professors to serve as potential sponsors. If you are interested in earning credit through the internship, we encourage you to begin thinking of the issues you wish to concentrate on, and in the course of the spring semester, choose a sponsoring professor and design the format of the internship. Even though no credits will be given this semester, all 9 can be earned in the remaining three semesters, if you so choose.

2) If you choose to earn credits through independent study, you must individually find a sponsoring professor and negotiate with him/her the format of your study. Determination of credit and content will be negotiated between you and the professor through a contract (forms will be made available). You can register for an independent study before the contract is finalized, but the signed form must be returned to the School of Education by about March 1.

3) Ken Blanchard's course, "Management of Change in Schools", will be conducted through the project director meetings on March 9th, April 4th and 5th, and May 11th.

4) The next meeting of the "Knowledge Diffusion and Utilization" course will be January 25th (1PM - 9PM) at the Wellesley College Club. The regularly scheduled director meeting will be held on January 26th at the same site. Future meetings of the course will be held during and immediately after the regularly scheduled director meetings on February 16th (9AM - 9PM), March 9th (9AM - 9PM), and May 11th (9AM - noon).



5) Because of the confusion regarding internships and independent studies, we are asking you to complete the enclosed form for registration, even if you have already returned to us a similar form last week. We want to make sure everyone gets officially registered for the courses they understand and desire. Please note the request for information about overnight accommodations for January 25th. As you may remember, Chuck Radlo has offered space for 4 non-smoking overnights at his home.

Answers to a few questions...

1) How and when do I apply for my degree? At the beginning of your final semester, you will fill out an eligibility form and a Program of Study form. Masters and CAGS candidates follow the same procedure.

2) How and when should credits transferred into the program from another University be submitted? As soon as possible, submit to the Graduate Affairs Office, School of Education, a formal transcript from the other university specifying the courses to be transferred (Note: Remember a maximum of six (6) credits can be thus transferred). You should include a note indicating what you are doing.

3) If I haven't finished my degree requirements by the time the program ends, can I remain a graduate student until I have completed them? Officially, yes, but the Graduate School requests that every effort be made to finish by the end of the program (Fall, 1979).

4) Will I be charged for credits I register for if I later choose not to take the course? Yes, at the following rates: After 2 weeks - 80% refunded, after 3 weeks - 60% refunded, and after 4 weeks - 40% refunded.

I apologize for the confusion - dealing with the university bureaucracy has become more difficult than we anticipated. Hopefully, this memo clarifies at least some of the fuzzies. If you have additional concerns or questions, please feel free to call. Have a pleasant vacation, and see you soon.

please check which of the following activities you wish to register for this next semester (Spring, 1978). If you plan to conduct an independent study, indicate how many credits you wish to earn through it. The responsibility for arranging an independent study with a sponsoring professor is upon you, the individual director.

- "Knowledge Diffusion and Utilization"  
-Bill Wolf (3 credits) \_\_\_\_\_
- "Management of Change in Schools"  
-Ken Blanchard (3 credits) \_\_\_\_\_
- Independent Study \_\_\_\_\_ credits \_\_\_\_\_
- Other University of Massachusetts course \_\_\_\_\_  
Title of course \_\_\_\_\_  
Schedule number \_\_\_\_\_

Please return this form to us by January 15th so that we can complete your registration. Otherwise, you will have to come to the University in Amherst on registration day, January 30th.

Title IV Development Center  
321A Main St.  
Amherst, MA 01002  
413-256-8869

\_\_\_\_\_  
Your Name

\_\_\_\_\_  
Student number

(If you have received it  
from the Grad School)

\_\_\_\_\_  
Home Address

\_\_\_\_\_  
Town State Zip

As we discussed at the meeting last week, we cannot assume meal and rooming costs for graduate degree program related sessions. Please indicate below whether or not you would like us to arrange overnight accomodations at the Wellesley College Club on the night of Jan. 25th. Dinner arrangements can be made by the group, but the dining room at the Club will be available.

☐ YES, please reserve me a bed (\$26 for double room)

☐ NO, I'll find my own accomodations





# HAMPSHIRE EDUCATIONAL COLLABORATIVE

PETER F. DEMERS, EXECUTIVE DIRECTOR

## M E M O R A N D U M

January 18, 1978

To: Title IV Project Directors  
From: Mike Mayo, Bill Allen

Enclosed you will find information regarding Ken Blanchard's "Management of Change" course, to be offered through project director meetings in March, April and May. All directors are invited to participate, whether or not they are involved in the graduate degree program.

Ken has requested that those who choose to participate prepare for the sessions by reading Management of Organizational Behavior, a book he has coauthored on the subject. The books will be available for purchase at the February 16th meeting. We recommend it highly.

For those who will be taking the course for graduate credit, Ken has written the following:

I am looking forward to being with you this spring. I hope it will be a very powerful learning experience for you all.

Before our first session on March 9, I would like you to have read Paul Hersey's and my book, Management of Organizational Behavior and studied the review questions that are enclosed with this memo.

At the beginning of our March 9 session I will give you a short content exam to check out your knowledge. The reason I am doing that is to help motivate you to learn the basic theory so we can get off to a "flying start" on the 9th. If you can answer the review questions you will have no trouble with the exam. Enjoy the book - our goal in writing it was to get the BS out of the behavioral sciences. You'll have to be the judge of how well we did.

At the January 26th meeting you will be asked whether or not you wish to purchase the indicated book. Hope to see you then.

COURSE NAME: Management of Change: A Case Study Approach

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COURSE NUMBER: Education 690

INSTRUCTOR: Kenneth H. Blanchard

CREDITS: 3

### COURSE DESCRIPTION

We don't need any new ideas in education, only people who can effectively implement the good ideas that are already available. Therefore, the emphasis in this course will be on diagnosis and implementation strategies for practicing educators who are interested in implementing change in education. Motivation, leadership and change concepts from the behavioral sciences will be presented in a practical easy to understand way that stresses application and use. The course is designed in an input (theory)-output (application) sequence. The goal of the course is to prove that "there is nothing so practical as a good theory" for the educational change agent.

### COURSE OBJECTIVES

1. To improve student understanding of behavioral science theory and its relationship to changing individuals and organizations.
2. To improve student ability to apply behavioral science theory in developing and implementing change strategies.
3. To help students understand more about how they operate as leaders and change agents and what modifications, if any, they need to make to become more effective in working with people.

### EXPECTATIONS OF STUDENTS

The students will be asked to demonstrate their knowledge of relevant concepts and theories from the behavioral sciences on a content examination.

Each student will also be asked to write a case study application paper analyzing a situation in which each is or was involved in attempting to make a change in education.

### TEXTS

Paul Hersey and Kenneth H. Blanchard, Management of Organizational Behavior: Utilizing Human Resources 3rd Edition (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1976).

Robert H. Guest, Paul Hersey and Kenneth H. Blanchard, Organizational Change Through Effective Leadership (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1976).



Review Questions

1. Motives, directed toward incentives, result in behavior. Discuss.
2. Discuss the difference between goal-directed activity and goal activity and its effect on the strength of the need.
3. How does an individual with a high need for achievement differ from an individual with a high need for affiliation? What type of leadership style might be appropriate with each? Discuss.
4. Discuss Herzberg's Motivation-Hygiene Theory indicating its relationship to Maslow's Hierarchy of Needs.
5. Why is it more difficult and time consuming to change behavior in older people than younger? Discuss.
6. What part in motivation does money play? Discuss.
7. Discuss Transactional Analysis (TA) and how it can be useful to a leader or manager.
8. Discuss McGregor's Theory X and Theory Y indicating its effect on leadership style.
9. Discuss maturity and immaturity as it pertains to leader behavior.
10. What are the differences between the Managerial Grid and the Tri-Dimensional Leader Effectiveness Model?
11. Is there a best style of leadership? Discuss.
12. Define task behavior and relationship behavior and then discuss the differences.
13. Successful vs. effective leadership. Discuss.
14. What determines organizational effectiveness? Discuss.
15. Discuss some of the important variables in a leader environment which determine which style of leadership may be effective. Relate the concepts of management theorists like Herzberg, McClelland, Likert and Argyris to these variables.
16. Discuss the difference between personality and expectations. Can people with different personalities work well together? How?
17. Discuss what people can do if they find their leadership style is inappropriate in terms of the environment in which they find themselves, and there is a high probability that they will be ineffective in these circumstances.
18. What is the ineffective cycle and how does one go about breaking it?
19. If you want to implement a change in an organization, what concepts and theories would be helpful to you in developing and implementing a change strategy?
20. Discuss Situational Leadership Theory and its relationship to other motivation and leadership concepts.



A P P E N D I X 6

PROJECT DIRECTOR MEETING #5



# HAMPSHIRE EDUCATIONAL COLLABORATIVE

PETER F. DEMERS, EXECUTIVE DIRECTOR

## M E M O R A N D U M

January 10, 1978

To: Title IV-c Project Directors

From: Mike Mayo

Re: January Meeting

The next statewide project director meeting will be held on Thursday, January 26th, from 9 am to 3 pm at the Wellesley College Club in Wellesley, MA. A map to the meeting site appears on the back of this memo.

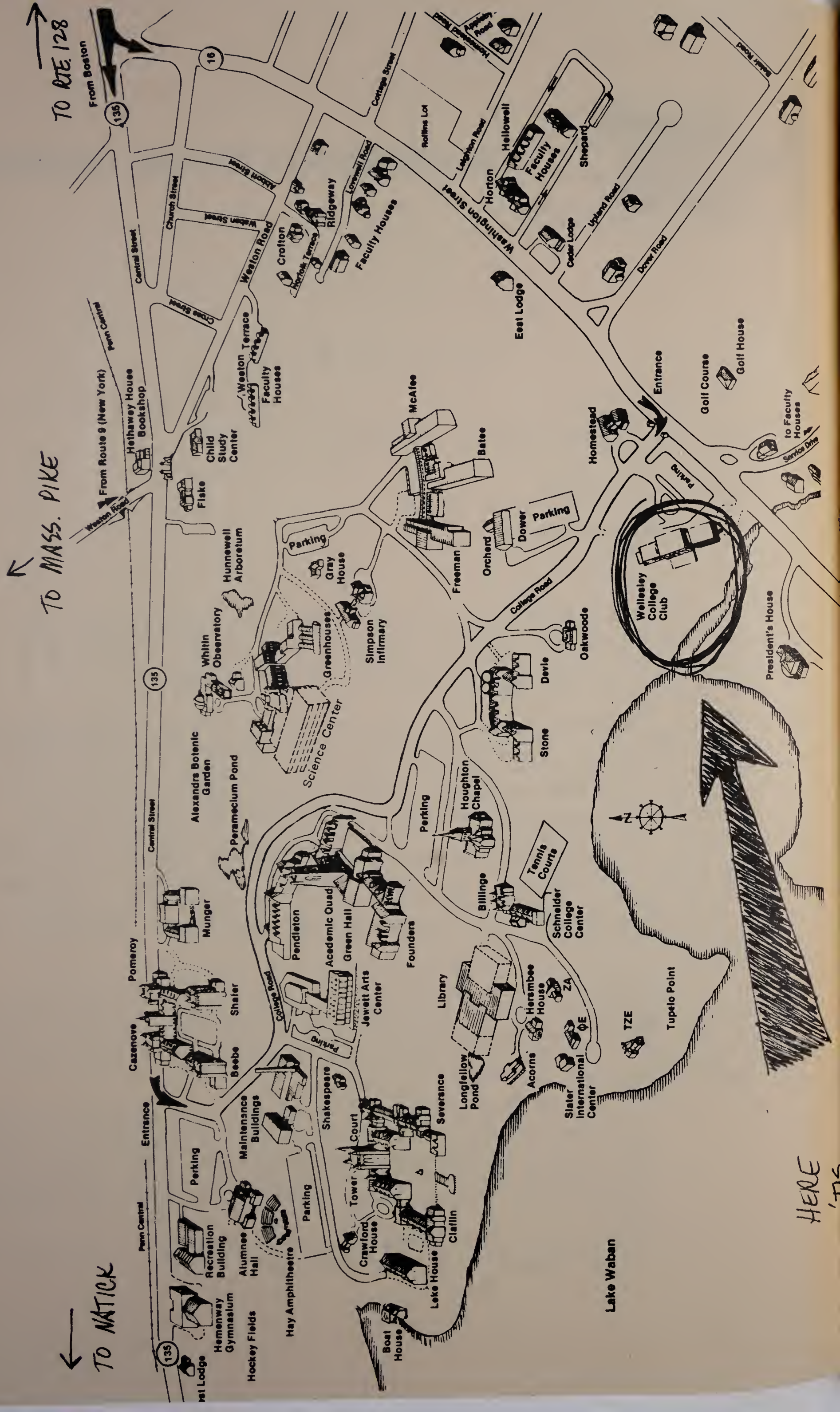
The primary focus of this meeting will be on dissemination and diffusion. Following a film and presentation by Bill Wolf of the University of Massachusetts, a series of concurrent workshops will be offered. Topic areas and facilitators of these sessions are described on the back of the enclosed agenda. Ellen Sarkisian, who has arranged for the provision of these workshops, has requested that you bring to the meeting brochures, fliers, T-shirts and other information regarding your project. These materials might be displayed, shared with other directors, or used in the workshops, depending on your desires and supplies.

A reminder to those taking the "Knowledge Utilization and Diffusion" course: The next meeting will be held Wednesday, January 25th, the day preceding the statewide directors meeting, from 1 pm to 9 pm at the Wellesley College Club. Bill Wolf's aspirations for this session are:

1. To provide both an orientation to the kinds of diffusion/utilization information which are available for analysis and an orientation to the Rogers and Shoemaker text.
2. To analyze and discuss in depth six major diffusion/utilization topics drawn from the Rogers and Shoemaker text.
3. To analyze and discuss salient aspects of educational change theory (if time permits).



**WELLESLEY  
COLLEGE  
CAMPUS**







# HAMPSHIRE EDUCATIONAL COLLABORATIVE

PETER F. DEMERS, EXECUTIVE DIRECTOR

Title IV Development Center  
321 Main Street  
Amherst, MA 01002

## M E M O R A N D U M

January 13, 1978

To: Title IV-c Project Directors

From: Mary Seroski

As the result of a needs assessment conducted early last fall, you are being offered a series of dissemination workshops as part of Project Director Meeting 4. The objectives for the Dissemination workshops as stated in the January 10, 1978 mailing from Mike Mayo are:

1. Participants will be able to identify the differing uses of brochures and newsletters.
2. Participants will learn the steps needed for effective use of these media.
3. Participants will be able to identify the aspects of their projects which can best be disseminated through radio and the press.
4. Participants will learn how to present their projects in public service announcements, radio interviews and news programs.
5. Participants will identify the skills, equipment and different processes needed to produce various kinds of slide-tape presentations.
6. Participants will be able to identify the aspects of their projects which can best be presented through the format available in local television.
7. Participants will learn how to initiate contacts with local television stations.

In order to fulfill the Development Center's evaluation needs we are asking you to complete the enclosed pre-test and return it in the envelope provided to the Center by mail or hand it to me at the January 26th meeting. Please remember to put your four digit number on the Pre-test.

Thanks,

*Mary*

PRE-TEST

For analysis purposes, please write the same four digit number that you used in Session Evaluation 3 on the line provided here. \_ \_ \_ \_

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Please respond to all of the following questions.

Identify the differing uses of brochures and newsletters.

Describe the steps needed for effective use of brochures and newsletters.

Identify the aspects of your project which can best be disseminated through radio and the press.

Identify the skills, equipment and different processes needed to produce slide-tape presentations.

Identify the aspects of your project which can best be presented through the format available in local television.

Describe how you might initiate contacts with local television stations.



## PROJECT DIRECTOR MEETING #4

JANUARY 26, 1978

WELLESLEY COLLEGE CLUB, WELLESLEY, MA

AGENDA

9:00 - 9:15      Coffee  
Announcements

9:15 - 11:00    "Linkage"

- Bill Wolf, professor of education at the University of Mass will make a presentation with the following objectives
  1. To review the modus operandi of selected innovators who have become well-known as a consequence of successfully communicating knowledge which influenced professional practice.
  2. To review the enterprise of an agency (I/D/E/A of the Charles F. Kettering Foundation) which attempted to link knowledge producers with knowledge users.
  3. To discuss these kinds of strategies and tactics and then - hopefully - glean some useful generalizations from the information offered.

11:00 - 12:00    Concurrent Dissemination Workshops

- Workshops will be offered and repeated through the following schedule. Descriptions and objectives of each appear on the back of this agenda.

## Room A

Radio and  
the Press

## Room B

Brochures and  
Newsletters

## Room C

Slide-Tape  
Production

12:00 - 1:00    Lunch

1:00 - 2:00

Television

Radio and  
the Press

Slide Tape  
Production

2:00 - 3:00

Television

Brochures and  
Newsletters

Open

3:00      Closing



BORCHURES AND NEWSLETTERS

Newsletter or brochure? Poster or report? What is the best way to print your message? For which audiences?

Sally Gelardin, formerly Production Coordinator for the State Department of Education, and Barbara Welanetz, Public Relations Consultant for Bank Communications Services, will pool their experiences and answer questions about processes of printing, content design, product design, costs, and distribution.

Objective: Participants will be able to identify the differing uses of brochures and newsletters. Participants will learn the steps needed for effective use of these media.

USING THE MEDIA: RADIO AND THE PRESS

What is newsworthy? Whom to contact, how to plan. Names, addresses, and phone numbers of specific reporters. Soterios Zoulas will lead the session. As well as being in charge of press relations for the State Department of Education, Terry has won UPI's top New England public service award for his radio program, "Zoullie's Lunch."

Objective: Participants will be able to identify the aspects of their projects which can best be disseminated through radio and the press; participants will learn how to present their projects in public service announcements, radio interviews and news programs.

SLIDE-TAPE PRODUCTION

Slide shows and slide-tapes vary from simple, single tray productions, to complex, multi-projector, sound presentations. John Madama, Project Director of Somerville's Title IV project Outside/Inside, has done them all and will simplify the complex steps to help you develop your own successful productions.

Objective: Participants will identify the skills, equipment and different processes needed to produce various kinds of slide-tape presentations.

USING THE MEDIA: TELEVISION

"How can I get my program on television? What is a public service announcement? What is news? What is an editorial? What is access? How do I approach a TV station?" William Hahn, who is Vice-President, Community Relations for WNAC-TV and involved with public affairs, labor relations, consumer relations, editorials, and government affairs at Channel 7 will help you to answer these questions.

Objective: Participants will be able to identify the aspects of their projects which can best be presented through the format available in local television; participants will learn how to initiate contacts with local television stations.

You attended a series of dissemination workshops. Following is our Post-test based on the objectives of the sessions. Please respond to the questions associated with the workshops you attended.

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Workshop: Brochures and Newsletters

1. Identify the differing uses of brochures and newsletters.

2. Describe the steps needed for effective use of these media.

Workshop: Radio and the Press

1. Identify the aspects of your project which can best be disseminated through radio and the press.

Workshop: Slide-Tape Production

1. Identify the skills, equipment and different processes needed to produce slide-tape presentations.

Workshop: Television

1. Identify the aspects of your project which can best be presented through the format available in local television.

2. Describe how you might initiate contacts with local television stations.



For analysis purposes, please write the same four digit number that you used in Session Evaluation 3 on the line provided above.

The objective of the 9:30 am session was to review and discuss different aspects of linkage in dissemination. Please respond to the following items, circling the appropriate response.

1. To what degree do you feel the format used in the provision of this activity was appropriate?  

very low	low	medium	high	very high
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2. To what degree did this activity address your needs?  

very low	low	medium	high	very high
-------------	-----	--------	------	--------------
3. To what degree has this activity provided you as a director with information that can be applied to your own project?  

very low	low	medium	high	very high
-------------	-----	--------	------	--------------
4. To what degree do you feel your knowledge of diffusion principles has increased as a result of this session?  

very low	low	medium	high	very high
-------------	-----	--------	------	--------------

Comments:

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A series of dissemination workshops were offered to you. Please respond to the following questions.

5. To what degree do you feel the format used in the provision of this activity was appropriate?  

very low	low	medium	high	very high
-------------	-----	--------	------	--------------
6. To what degree did these activities address your needs?  

very low	low	medium	high	very high
-------------	-----	--------	------	--------------
7. To what degree did the dissemination workshops provide you as a director with information that can be applied to your own project?  

very low	low	medium	high	very high
-------------	-----	--------	------	--------------
8. To what degree do you feel your knowledge of dissemination strategies has increased as a result of this session?  

very low	low	medium	high	very high
-------------	-----	--------	------	--------------

Comments:



## A P P E N D I X 7

PROJECT DIRECTOR MEETING #6



# HAMPSHIRE EDUCATIONAL COLLABORATIVE

PETER F. DEMERS, EXECUTIVE DIRECTOR

Title IV Development Center  
321 Main Street  
Amherst, MA 01002  
February 8, 1978

## M E M O R A N D U M

To: Title IV-c Project Directors

From: Mike and Bill

Re: Future Director Meetings

Enclosed is information regarding upcoming project director meetings, particularly that scheduled for Thursday, February 16th. This session will be held from 9:30 am to 3:30 pm at the Willits-Hallowell Center on the Mount Holyoke College Campus in South Hadley (we seem inclined toward "Seven Sisters" meeting sites...). The focus of the February meeting will be "Educational Change Today". As outlined in the enclosed agenda, we will be discussing the degree to which what we are all trying to do is managable, given current trends toward reversion to the "tried and true(?)" practices of yesteryear. As one of you asked at the beginning of the year, "How can we deal with tradition bound administrators, unenthusiastic teachers, overprotective parents, overzealous supervisors and other diversionary characters?"

I sense that we need to devote time again to sharing problems and solutions among ourselves. At the February session, following a presentation and applied exercises regarding our roles as change agents, we will define some topic areas of specific concern and break into small groups to discuss personal experiences as directors of innovative projects. I think such mutual feedback will be helpful for all of us as we struggle to effect some type of change in our local systems.

Here is a calander of scheduled meetings throughout the remainder of the year.

Date	Time	Site	Topic
Thursday Feb. 16th	9:00 am - 3:30 pm  (4:00 pm - 9:00 pm)	Willits-Hallowell Center, South Hadley, MA  ("Knowledge Diffusion & Utilization" course)	Educational Change Today
Thursday March 9th	9:00 am - 3:30 pm  (4:00 pm - 9:00 pm)	Church of Christ Conference Center Framingham, MA  ("Knowledge Diffusion & Utilization course)	Leadership
Tuesday April 4th Wednesday April 5th	10:00 am - 10:00 pm  9:00 am - 4:00 pm	Craigville Conference Center Craigville, MA	Management of Change in Schools
*Thursday May 11th	9:00 am - 12:00 pm  1:00 pm - 6:00 pm  7:00 pm - 9:00 pm	Willits-Hallowell Center, South Hadley, MA	Knowledge Diffusion & Utilization  Management of Change  Graduate Degree Program
Thursday June 1st	9:00 am - 3:30 pm	"New England & the Sea" project site, Byfield, MA	Year assessment and future planning

\*The May meeting is open to all directors, but activities will be directed toward graduate degree program participants, involving Wolf and Blanchard's courses and degree-related planning.



PROJECT DIRECTOR MEETING #5  
 Willits-Hallowell Conference Center  
 South Hadley, MA  
 FEBRUARY 16, 1978

AGENDA

9:00 - 9:15 Coffee  
 Announcements

9:15 - 10:00 Question and Answer Session -  
 State Department Expectations - Jack Reynolds

-In addition to answering your questions, Jack would like your advice on the following issues:

- what should I do about inadequate evaluation designs?
- how and when should we make next year's funding allocations?

10:00 - 12:00 "Constraints to Program Success - A Practical Overview"

-Dr. Frank Thompson, from a N.Y. State Board of Cooperative Education Services, an intermediate State agency which serves as the technical assistance center for Title IV-c programs in N.Y., will address the problem of how to fit rational programs into irrational systems. He will introduce the "Intruder Model", focusing on strategies for diagnosing internal problems and protecting your program as it is developed. Frank has been a teacher and administrator at both the junior and senior high school levels and has extensive experience with innovative programs.

12:00 - 1:00 Lunch

1:00 - 2:00 Exercises and Simulations

2:00 - 3:00 Discussion Groups on problems encountered and solutions proposed.

- Directors will break themselves into small groups to discuss personal experiences. Topic areas will be defined by the group. Possible topics might be:
- Are we changing the right people on the right dimensions or are we destined to make only trivial dents in educational practice?
  - How can we deal with administrators and teachers who are only using us to get what they want?
  - Can we really change people's values or is it only possible to make changes within a given value system?

3:00 Closing

Directions to Willits-Hallowell  
Conference Center  
Park Street  
Mt. Holyoke College, So. Hadley, MA  
(phone: 538-2220)

From East and West ---

Mass Pike Exit #5 (Rt. 33)

North on Rt. 33 to Rt. 116 North to South Hadley Center

Look for large red brick church on Right (on corner of  
Park Street)

Turn Right onto Park Street, cross small bridge

Willits-Hallowell Center is first building on right, look  
for sign in front

## SESSION EVALUATION 5

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For analysis purposes, please write the same four digit number that you used in Session Evaluation 4 on the line provided above. (example: the last four digits of your phone number.)

- I. At 9:30, Jack Reynolds answered questions regarding state expectations of directors. Do you want additional opportunities to interact with him in this manner?

- II. The objective of the 10:00 am session was to introduce the "Intruder Model" as a means for analyzing problems in the development of your projects. Please respond to the following items, circling the appropriate response.

1. To what degree do you feel the format used in the provision of this activity was appropriate?

very low	low	medium	high	very high
-------------	-----	--------	------	--------------

2. To what degree did this activity address your needs?

very low	low	medium	high	very high
-------------	-----	--------	------	--------------

3. To what degree has this activity provided you as a director with information that can be applied to your own project?

very low	low	medium	high	very high
-------------	-----	--------	------	--------------

4. To what degree do you feel your knowledge of educational change principles has increased as a result of this session?

very low	low	medium	high	very high
-------------	-----	--------	------	--------------

Comments:



1. Please respond to the following questions regarding the afternoon discussion groups.

5. To what degree do you feel the format used in the provision of this activity was appropriate?

very low	low	medium	high	very high
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6. To what degree did participation in these groups address your needs?

very low	low	medium	high	very high
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7. To what degree did the discussion groups provide you as a director with information that can be applied to your own project?

very low	low	medium	high	very high
-------------	-----	--------	------	--------------

8. To what degree do you feel your potential to address developmental problems has increased as a result of this session?

very low	low	medium	high	very high
-------------	-----	--------	------	--------------

Comments:

