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AUTHOR Darkenwald, Gordon G.; And Others
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ABSTRACT

The study focuses on the Special Projects Program authorized under section 309(b) of the Adult Education Act of 1966 and analyzes the 309(b) program to determine why dissemination of results to local adult basic education (ABE) programs has been less effective than desired. The document contains: (1) An examination of the policies and activities of the U.S. Office of Education's (USOE) Division of Adult Education Programs (DAEP); (2) An analysis of the effectiveness of the 309(b) system based on field studies of seven projects and survey findings; (3) An examination and multiple regression analysis of the organizational characteristics of local ABE programs as users of innovations; and (4) A summary of major findings and policy implications. Concluding the document, recommendations emphasize that a major objective of the 309(b) program is to improve existing State grant ABE programs, and that to achieve this objective, local ABE programs must become more aware of 309(b) outcomes and utilize them. An epilogue offers an overview of Project IDEA (Innovation Dissemination for the Education of Adults), launched in 1973 as the first step toward a national dissemination system. Appended are: a local program questionnaire, USOE DAEP staff questionnaire, State ABE director questionnaire, and the construction of indices of innovativeness, 309(b) adoption, program security, and professionalism. (MW)

Center Research Report No. 3

PROBLEMS OF DISSEMINATION AND USE OF INNOVATIONS IN ADULT BASIC EDUCATION

Gordon G. Darkenwald
Harold W. Beder
Aliza K. Adelman

Volume II

of

P L A N N I N G for I N N O V A T I O N

IN ADULT BASIC EDUCATION

A Study Directed by Jack Mezirow

-1974-

Center for Adult Education
Teachers College, Columbia University

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PREFACE

Some months after this research was completed, Congress enacted new adult education legislation which eliminated USOE discretionary funds for the support of 309(b) Special Experimental Demonstration Projects. Congress did not totally eliminate provision for staff development and experimental projects in adult education, but rather reassigned authority for such projects to the states. The new law requires each state to spend a minimum of 15 percent of its total adult education allocation for staff development and experimental demonstration projects. Thus the action has shifted from the federal to the state level, an outcome we did not anticipate during the course of research.

In some respects, then, this research monograph is a historical document now that the USOE 309(b) program is defunct. The analysis places considerable emphasis on the administration of the old national program and the problem of national dissemination of 309(b) project outcomes. Many of our recommendations are addressed to the U.S. Office of Education. Despite the new developments, however, the authors strongly feel that this study still has considerable value. Perhaps its greatest value will be to state level decision-makers who now have responsibility under the law for R&D and demonstration projects in adult education. A careful reading of this report should help them to learn from past experience, to anticipate problems, and to improve on past efforts to meet the needs of the field through research,

experimentation, and demonstration. And certainly dissemination and utilization of project results is a major problem for the states as well as for USOE. We feel, too, that this study has intrinsic scientific merit and contributes significantly to the social science literature dealing with educational R&D and dissemination and utilization of innovations.

ACKNOWLEDGEMENTS

There are many people whose cooperation and assistance helped to make this study possible. The staff of the Division of Adult Education, USOE, and its director, Paul Delker, gave generously of their time and support. The directors and staff members of the 309(b) projects studied in depth were likewise generous with their time and made every effort to accommodate our needs. It is impossible to mention everyone who helped, but we would like especially to thank Dr. James Kincaid, Dr. John Snyder, Dr. Carmen Timiraos, Mr. Felipe Gonzales, Ms. Fay Davis, Dr. William Barron, Mr. Ken Steadman, Mr. Harold Deese, Mr. Marcello Fernandez, Mr. Boris Frank, and Mrs. Aileen Hong.

Our greatest dept is to Professor Jack Mezirow, who directed the overall project of which this study was one major component, and who worked closely with us throughout the duration of the research.

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CHAPTER I

INTRODUCTION

Section 309(b) of the Adult Education Act of 1966 authorizes special experimental demonstration projects which:

> (1) involve the use of innovative methods, systems, materials, or programs which the Commissioner determines may have national significance or be of special value in promoting effective programs under this title or (2) involve programs of adult education... [that] have unusual promise in promoting a comprehensive or coordinated approach to the problems of persons with basic educational deficiencies.

The legislation further specified that not less than 10 or more than 20 percent of the total amount appropriated under the act is to be allocated to 309(b) demonstration projects and 309(c) staff training programs. Over the past eight years (fiscal 1967-fiscal 1974) these expenditures have amounted to a substantial government investment in adult education demonstration and training. A total of $48,082,569 has been expended on 309(b) experimental demonstration projects alone. Although the wording of section 309(b) of the Adult Education Act allows room for interpretation, the intent of Congress seemed to be that special demonstration projects should contribute to improving local ABE programs funded under the act. Innovation in educational practice is explicitly identified as a major strategy for program improvement.

Nature of Problem

There is concern among those in leadership positions within USOE and in the field about how successful the 309(b) program has been in improving educational practice at the grassroots, local program level. No systematic evaluation has been undertaken, but USOE officials responsible for administering the 309(b) program report that its potential impact on local ABE programs has not been fully realized. The crux of the problem seems to be that innovative practices developed or demonstrated by 309(b) projects all too often fail to reach the teachers and administrators responsible for operating public school and community college ABE programs. In short, dissemination and utilization of 309(b) output has been less effective than desired.

Purpose of Study

The purpose of this study was to find out why dissemination and utilization of 309(b) output has been inadequate and to recommend ways to improve the 309(b) system so that it can contribute more effectively to strengthening local programs. Consequently, this research is policy and action oriented rather than narrowly academic. Social science concepts and methods were used to investigate a practical problem and to suggest realistic action alternatives so that actual outcomes of the 309(b) system can be made more consonant with intended outcomes. Action recommendations based on this study are set forth in the final chapter.

It should be understood that this investigation does not constitute an evaluation of the total 309(b) program. Our task was to

study a specific problem and to recommend specific courses of action to deal with it. Accordingly, this report emphasizes 309(b) activity in relation to development of improved practices and products to meet the needs of local ABE programs. However, the present 309(b) system serves other functions not directly related to the immediate concerns of local programs. For example, the enabling legislation mentions projects that demonstrate a "comprehensive or coordinated approach" to the delivery of adult basic education services. Such projects may or may not have direct implications for local programs. We have focused on one aspect--albeit an important one--of a large and complex program of educational experimentation and demonstration.

Conceptual Underpinnings of Research

The thrust of the study was exploratory. Consequently, theoretical preconceptions that might have severely constricted the research enterprise were avoided. However, we did not go about this task without some notions about the nature of social systems, nor did we ignore relevant concepts and findings from previous studies. The conceptual underpinnings of this research and key findings from previous research that influenced the present study are discussed below.

In this study the 309(b) program was seen as a tripartite social system joined by interorganizational linkages. The three interdependent subsystems were the Office of Education, specifically the Division of Adult Education Programs, the 309(b) projects themselves, and the intended users of 309(b) output, the local ABE programs. It

was assumed that the functioning of any one of these subsystems would affect the other subsystems, and that to fully understand the dissemination and utilization problem it would be necessary to examine the entire system and the interrelationships among its parts. For example, it was reasoned that USOE policy concerning what sort of 309(b) projects receive support in turn significantly affects the nature of output in the 309(b) subsystem, which in turn has implications for the dissemination of the output and its utilization by the user subsystem, the local ABE program. The systems perspective meant that heavy emphasis was placed on organizational phenomena. The Division of Adult Education Programs was studied as an organizational unit as were the 309(b) projects and the local ABE programs. Our major interest was innovation in organizations, specifically ABE programs. Ultimately, innovation requires change in the behavior of individuals, but a variety of organizational factors have important mediating effects. The individual dimension was subsumed under the concept of organizational role. For example, emphasis was placed on the role of the local ABE director and such role-specific attributes as degree of professionalism. This way of viewing organizations is associated with structural-functional analysis as reflected in the work of Parsons[1], Etzioni[2], Blau[3], and most other contemporary students of formal organization.

Our research was also influenced by the work of social scientists interested in organizational innovation, innovation diffusion, and the systematic dissemination and utilization of knowledge, viz., Miles[4], Rogers and Shoemaker[5], and Havelock[6]. We relied heavily on

Havelock, who surveyed, interpreted and reformulated a vast body of research and theory concerned with the dissemination and use of innovation. Havelock, moreover, utilized an open system paradigm in the analysis of knowledge dissemination which was particularly compatible with the systems orientation of this research. The cornerstone of this paradigm is the concept of linkage, "a series of two-way interaction processes which connect user systems with various resource systems."[7] A major focus of the present research was the kind and degree of linkage among components of the 309(b) system. Our thinking was also influenced by the categories of reward, openness, structure, synergy, and capacity, which, in addition to linkage, were identified by Havelock as crucial in the explanation of most dissemination and utilization phenomena. Our ideas about the attributes of innovations that facilitate or impede adoption were stimulated by Rogers and Shoemaker, who analyzed such factors as relative advantage, compatibility, complexity, and trialability.[8]

Research Procedure

The research strategy combined field and survey techniques in an effort to uncover concepts and relationships relevant to understanding the workings of the 309(b) system, the problems of dissemination, and the use of 309(b) results. The research was concerned more with developing explanations than with testing them, and in this respect resembled the grounded theory approach described by Glaser and Strauss.[9] But the purpose of the research was not to generate a theory of innovation diffusion, but rather to analyze a particular

development, dissemination and utilization system with the aim of suggesting ways to make that system function more effectively. Consequently, grounded theory data collection and analysis techniques were utilized selectively where appropriate (e.g., in studying the 309 projects) and discarded when other techniques, such as statistical surveys, were judged more useful for the purposes of the study. Thus the research style was eclectic, alternating between field methods and qualitative analysis, and survey methods and quantitative analysis, depending upon the requirements of the research situation as it unfolded. The integration of field and survey methods, of rich and particular qualitative data with precise and general quantitative data, has been advocated by Sieber. We were initially influenced by his arguments and now feel even more strongly that the claims he makes for this research style are justified:

> The integration of [field and survey] research techniques within a single project opens up enormous opportunities for mutual advantages in each of three major phases--design, data-collecting and analysis. These mutual benefits are not merely quantitative, although obviously more information can be gathered by a combination of techniques, but qualitative as well--one could almost say that a new style of research is given birth by the marriage of survey and field work methodologies.[10]

The overall design and phasing of the study were dictated by the general systems framework in which the problem was cast. There were three distinct stages in the research, each employing different combinations of data collection techniques and each building to a considerable degree on insights generated by preceding stages. The first stage consisted of an analysis of USOE's Division of Adult Education

Programs in an effort to understand how that subsystem affected the functioning of the 309(b) program. The second stage focused on intensive analysis of selected 309(b) projects. The final stage involved a study of local ABE programs in their capacity as users of 309(b) output. An overview of research procedures at each of these successive stages is provided below. Detailed descriptions of procedures are found in the introductory sections of the chapters dealing with each of the three subsystems.

Stage One: U.S. Office of Education: Division of Adult Education Programs (DAEP)

The purpose of studying DAEP was to determine in what ways its structure, policies, and procedures affected the operation of the 309(b) program. Particular attention was given to 309(b) policy formulation, the criteria used to evaluate project proposals, and the monitoring function. Data collection relied heavily on in-depth interviews with staff members and a brief questionnaire designed to validate and extend the interview data. Data from official records and documents and the survey were combined with the interview material to describe DAEP's 309-related activities, especially as they impinged upon the problem of dissemination and use of 309(b) output.

Stage Two: Selected 309(b) Projects

The aim of this phase of the study was to discover how 309(b) projects function, what problems they encounter in fulfilling their missions, the nature of relations with USOE, and how and with what success they attempt to disseminate their results. Data were obtained

by analyzing project documents, such as reports, proposals, and evaluation studies, through personal interviews with project staff and others knowledgeable about the project, and through inspection of output (materials, films, etc.). Additional data, mostly concerning the effects of project dissemination, were obtained through surveys of local ABE programs and state ABE agencies. Seven projects were selected for study.

Several criteria were used to select the study sample. The first criterion was scope. Three projects were of the "local impact" variety. These were small, and operations-oriented rather than development-oriented. The other four were large-scale, development projects of regional to national scope which made some effort to disseminate results. Criteria for the latter group included: variability in type of output (process or product); national visibility; recency (recently terminated or in final year of operation); and potential for significant impact on local ABE programs. A two-step data analysis procedure was employed. The first step consisted of using all data sources to develop analytical case reports of each project, with emphasis on dissemination activity. The second involved a comparative analysis of the seven projects in an effort to uncover generic factors that seemed to impede or facilitate dissemination and utilization of output.

Stage Three: Local ABE Programs

There were three principal objectives in studying the user systems: to determine extent of familiarity with and utilization of

309(b) output; to explore channels of communication and linkage relevant to innovation adoption by local programs; and to uncover factors that differentiate innovative programs from those which are not innovative. Data were collected by means of a national survey of ABE programs. The first step in development of the survey instrument consisted of exploratory field work in nine local ABE programs of varying size and complexion located in five Northeastern states. In-depth interviews were conducted with program directors to elicit information about 309(b) familiarity and adoption, sources of information concerning 309(b) innovations, persons or agencies relied upon for information and assistance when problems arise, adoption of non-309(b) innovations, and problems encountered in attempting to innovate. The results of this pilot study provided the basis for construction of a questionnaire sent to local ABE programs (see Appendix A). The questionnaire was mailed to half of the directors of Title III state grant ABE programs in the continental U.S. After two follow-up appeals, returns were received from 805 programs, for a response rate of 70 percent. Data analysis using SPSS (Statistical Package for the Social Sciences) computer routines consisted of running intercorrelations of all variables followed by cross-tabular and multiple regression analysis.

In addition to the procedures described above, state ABE directors were surveyed to determine their familiarity with 309(b) output and their opinions concerning the 309(b) system, particularly USOE's role, the role of the states, and possible regionalization of the program. Usable returns were received from 35 of the 50 state directors.

Results of this survey are reported in Chapters 2, 3, and 4.

Organization of Report

Chapter 2 discusses the role of USOE's Division of Adult Education Programs in policy and procedural matters relating to the 309(b) system. Chapter 3 consists of an analysis of selected 309(b) projects, with emphasis on the problems of disseminating results. Chapter 4 reports the findings of our survey of local ABE programs. A summary analysis of key findings and action recommendations is found in Chapter 5.

References

1. Cf. Talcott Parsons, "Suggestions for a Sociological Approach to the Theory of Organizations - I," Administrative Science Quarterly, 1 (1956), pp. 63-85. Also, part II, pp. 225-39.

2. Amitai Etzioni, A Comparative Analysis of Complex Organizations (New York: The Free Press, 1961).

3. Peter M. Blau and W. Richard Scott, Formal Organizations (San Francisco: Chandler, 1962).

4. Mathew B. Miles (ed.), Innovation in Education (New York: Teachers College Press, 1964).

5. Everett M. Rogers and F. Floyd Shoemaker, Communication of Innovations (New York: The Free Press, 1971).

6. Ronald G. Havelock, Planning for Innovation through Dissemination and Utilization of Knowledge (Ann Arbor, Mich.: Institute of Social Research, University of Michigan, 1971).

7. Havelock, Planning for Innovation, Chapter 2, p. 4.

8. Rogers and Shoemaker, Communication of Innovations.

9. Barney Glaser and Anselm Strauss, The Discovery of Grounded Theory (Chicago: Aldine, 1967).

10. Sam D. Sieber, "The Integration of Fieldwork and Survey Methods," American Journal of Sociology, 78 (May, 1973), pp. 1335-1359. Although not published until May, 1973, we obtained a pre-publication draft in 1971.

CHAPTER 2

USOE: THE DIVISION OF ADULT EDUCATION PROGRAMS

Introduction

The 309(b) program operates at three levels. Responsibility for establishing 309(b) policy and awarding and monitoring grants rests with one of these levels, the Division of Adult Education Programs, a unit of the Office of Education. Responsibility for accomplishing project objectives rests with the next level, the 309(b) projects themselves. The users of 309(b) results are, in most cases, local ABE programs, the third level. Each of these levels depends on the others, that is, the 309(b) program operates as an integrated system. Consequently, it is impossible to understand the dissemination and adoption of 309(b) results without examining the program at each level. The present chapter examines the operation of the first level, the Division of Adult Education Programs (DAEP).

This chapter has four sections. The first deals with funding policy--broad policy guidelines that determine which problems amenable to demonstration will be given priority in a given fiscal year. Section two attempts to reconstruct past funding priorities by analyzing all 309(b) projects funded since 1967. The third section analyzes the criteria used for funding or rejecting specific project proposals. Section four examines the Division's monitoring and servicing functions.

Section I: DAEP Funding Policy

A thorough understanding of Division funding policy is important to the study of 309(b) dissemination, because what is funded determines what is disseminated. In the preparation of this section we have drawn on three sets of data: DAEP documents, a series of interviews with DAEP personnel, and a questionnaire (see Appendix B) administered to DAEP staff. A total of 14 Division staff members were interviewed in July of 1972 and then again in September of that year. After the initial interviews, a questionnaire designed to validate the interview data was constructed and mailed to the same respondants. Seven usable questionnaires were returned.*

Studying DAEP involved a number of methodological problems. DAEP is a relatively new organization unit faced with a complex mission. As is characteristic of many such units, the Division began on a crisis footing, a fact that made development of standard bureaucratic procedures difficult. One result was that many documents which would have been invaluable to this research were lost. Another related problem was a high rate of staff turnover. The lack of sufficient documentary evidence precluded an in-depth historical study and forced us to rely heavily on interviews with DAEP program officers.

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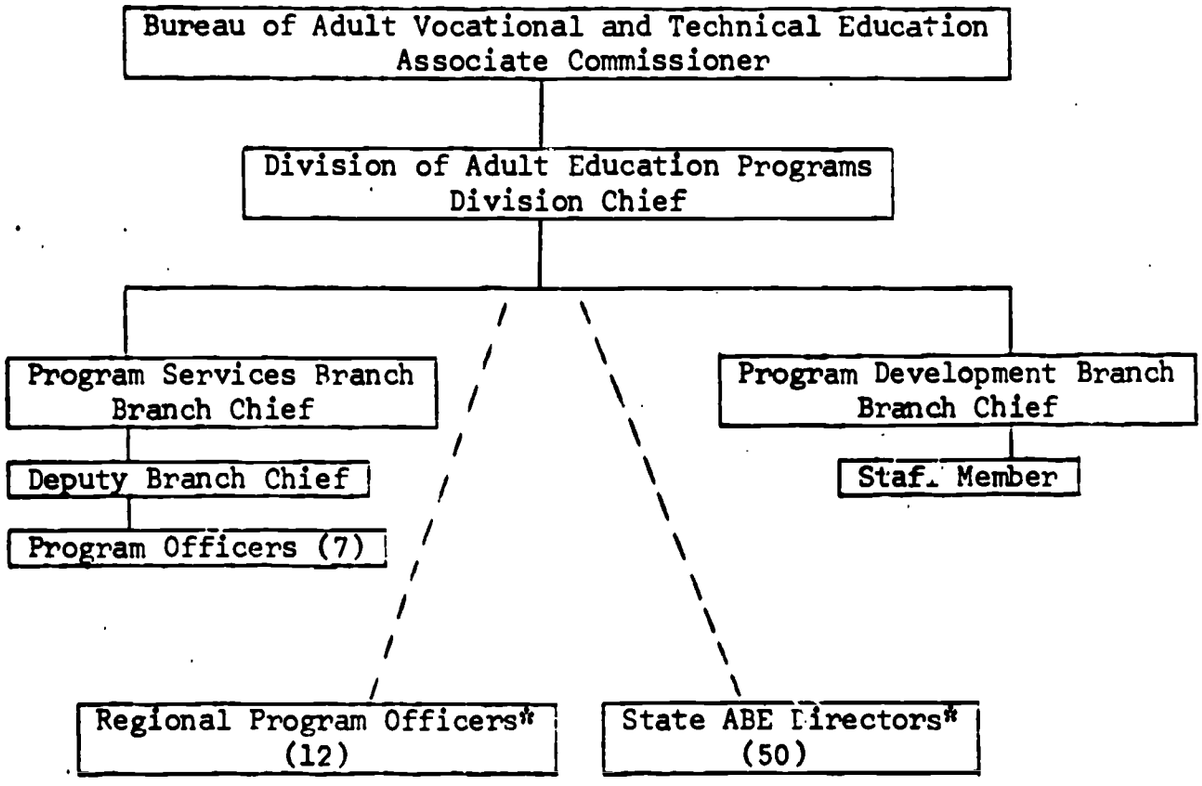
* Generally, a response rate of 50 percent in a sample of 14 would be considered inadequate and the data unreliable. Our confidence in the survey data, however, was considerably enhanced by the fact that survey responses were quite consistent with interview data.

The Division of Adult Education Programs

Though it has changed a number of times in its history, the Divisional organizational chart at the time of research looked like this:

Figure 2-1

DAEP Organization Chart



* Neither Regional Program Officers nor State ABE Directors report directly to DAEP. Regional Program Officers report directly to a HEW Regional Officer and State Directors report to State Education Departments.

The Division Chief reports to the Associate Commissioner for Adult, Vocational and Technical Education and is responsible for the administration of the Division. The Program Services Branch monitors 309(b) projects, and the Program Development Branch is largely engaged in planning. One respondent differentiated the function of the two

DAEP branches in this way: "The Program Development Branch is responsible for policy planning and development. Their responsibility is to develop policy, and the responsibility of the Program Services Branch is to implement it."

As an organization unit, DAEP has operated quite differently over the years. Speaking of 1966-67, the year the 309(b) program began, one Division official stated: "The bureau received one million dollars of 309 money to distribute only three weeks before the close of the fiscal year. The money had to be distributed, and there was no time to do an adequate program analysis." In its early years, the fledgling DAEP unit was understaffed and overworked.

The turbulence of the early period made it difficult to establish standard procedures for administering grants. A staff member explained that "In the early period proposals were funded on instinct. Many proposals were global and unrealistic. Few proposals made provisions for project evaluations." One staff member termed the approach to funding in the early period "the Typhoon Approach." Despite the "typhoon", however, the Division did manage to set a number of priorities in the early days. Priority in funding was given to projects for Blacks, the inner city, Appalachia, and educational technology.

As time progressed, DAEP operations became more routinized. One staff member commented, "In 1968 the program was not so crisis-oriented, and a more traditional approach was taken to funding." Standardized procedures began to develop, and a gradual trend towards decentralization of decision-making authority began.

Failure to develop a standardized record keeping system has had at least one major consequence for 309(b) dissemination. Many of the final reports from 309's were either not retained or misfiled. This is a serious problem, because for many 309(b)s the final report is the sole record of project outcomes. Since many of the early projects have long since disbanded, the records of their results, in some cases, are not available for dissemination purposes.

Policy Regarding Funding Priorities

One way to analyze how funding priorities are established by DAEP is to describe and categorize the inputs to the policy-making process. The advantage to this approach is that basic inputs are relatively easy to identify and are quantifiable. The disadvantage is, however, that policy setting is basically a process, and an input analysis does not adequately describe how the process works. In order to competently analyze the policy process, however, the Center for Adult Education would have had to station a field researcher in the DAEP organization for a considerable span of time--a research tactic that was not feasible.

One question suggested by staff interviews and included in the staff questionnaire asked, "In your experience, how great an effect did the following inputs have on the development of this year's (1972 Fiscal Year) national priorities?" The responses, reported on a seven point scale from slight (1) to great (7) influence, are summarized in Table 2-1.

Table 2-1

Importance of Influences on the
Development of National 309(b) Priorities
as Seen by DAEP Staff

Influences	Mean Response	% High Importance	Importance Index*
The input of the Division Director	6.1	71.4	66.2
Constraints imposed by the legislation	5.1	57.1	54.1
Policies set at the Secretary of HEW level	3.9	48.9	44.0
Policies set at the Commissioner of OE level	3.6	48.9	42.5
Policies set at the Associate Commissioner level	5.0	28.6	39.3
Inputs of specific minority groups	5.0	28.6	39.3
Findings of previous 309 projects	4.1	28.6	34.8
The input of Branch Chief (Program Development Branch)	4.5	16.6	30.8
Research findings other than 309's	3.0	14.3	22.2
Inputs from regional program officers	2.7	14.3	20.7
The input of other BAVTE personnel	3.4	0.0	17.0
The input of Branch Chief (Program Services Branch)	3.1	0.0	15.5
Inputs of state directors	3.0	0.0	15.0
Recommendations of the National Advisory Council on Adult Education	2.7	0.0	13.5
The inputs of individual congressmen	1.2	0.0	6.0

*Importance Index = $\frac{\text{mean scale response} \times 10 + \% \text{ indicating high importance}}{2}$

It seems clear from Table 2-1 that the most important influences on DAEP policy in 1972 were the Division Director (Importance Index 66.2) and constraints imposed by the legislation (Importance Index 54.1). It is also evident that policies set by HEW, OE, and the Associate Commissioner significantly affected general funding priorities.

Despite the collective opinion of the Division staff that the Division Director had the greatest impact on the current year's priorities, it is quite clear that funding policy is affected to a large degree by other factors. All decisions regarding priorities are made within the broad policy outlines established by the enabling legislation, HEW, OE, and the Associate Commissioner of Adult, Vocational and Technical Education.

DAEP's interpretation of the Adult Education Act of 1966 places certain restrictions on 309(b) funding. For example, all projects must be awarded to non-profit institutions, and 309(c) staff development monies cannot be used for 309(b) special projects. In addition, the Division is prohibited from supporting "basic research." One staff member noted that "research is a word we have to be careful in using around here. We talk about administrative, innovative, or demonstration projects--not about basic research. Research is the function of the National Institute of Education."

Broad policy guidelines are set at higher levels and trickle down to the Division. As one DAEP staff member noted:

> The Office of Education talks about directed development--OE sets priorities and elicits proposals in accordance with those priorities. This is the way we are doing it this year, instead of just sending a letter around telling people to write proposals for whatever they want to do. I predict that within 18 months a lot of state programs will start taking on a different flavor, in the direction of our stated priorities.

Congress generally makes its influence felt at the OE/HEW level. For example, a staff member explained, "Congress has many legitimate channels for influencing us; for example, through the House Committee and through legislation." Occasionally, congressmen contact DAEP directly, though the direct influence of individual congressmen was rated by respondents as being relatively minor. Nevertheless, as one respondent put it, "When Congressmen [so-and-so] calls, it makes a difference." Or, in the words of another, "it makes us take another look."

The special interests of various minority groups are also reflected in the Division's funding priorities. Minority groups most often register their input by influencing Congress or the higher levels of the Administration. In recent years, Blacks, Indians, Chicanos and Asians have had their special interests reflected in national educational priorities.

Another input to DAEP policy making is that of the National Advisory Council on Adult Education, which is appointed by the President. In March, 1972, the Advisory Committee made a number of recommendations which were considered by DAEP in establishing FY 1972 funding priorities. They included:

- Career-oriented education for adults.
- Development of a national plan for adult education programs in correctional institutions.
- Expanded use of local educational facilities to include adults.
- Establishment of educational programs of substance for the senior citizen.

Classification of Influences on Priorities

Influences which affect funding priorities can be classified into four categories. Inputs from the field, inputs from higher levels in the Administration, external inputs, and inputs from within the Division. If the responses from the questionnaire are grouped according to these categories, the following pattern emerges.

Input from higher levels in the Administration	Importance Index
Input at the Secretary of HEW level	43.9
Input at the Commissioner of OE level	42.5
Input at the Associate Commissioner level	39.3
Mean Importance	41.9

Input from within the Division	
Input of the Division Chief	66.2
Input of the Program Development Branch Chief	30.8
Input of Other Division personnel	17.0
Input of the Program Services Branch Chief	15.5
Mean Importance	32.4

Inputs from external sources	Importance Index
Input of specific minority groups	39.3
Research findings other than 309's	22.2
Input of the National Advisory Council	13.0
Mean Importance	24.8

Inputs from the field	
Findings of 309(b) projects	34.8
Inputs from Regional Program Officers	20.7
Inputs from State Directors	15.0
Mean Importance	23.5

Summary

Input	Mean Importance
Input from higher levels in the Administration	41.9
Input from within the Division	32.4
Input from external sources	24.8
Inputs from the field	23.5

This rudimentary statistical breakdown indicates that general funding priorities are most influenced, or at least greatly influenced, by policies set at higher levels of the Administration. Inputs from within the Division are second in importance, and inputs from the field and external inputs are least important in determining funding priorities. The policy setting process seems to be what one respondent referred to as a "top loaded system," since the greatest inputs to policy

making come from within HEW and the Office of Education rather than from local practitioners, state adult education directors, researchers, and others who constitute the "field."

"Top-loaded" policy setting has important implications for dissemination. A critical factor in the adoption of innovations is whether or not the innovation satisfies a need felt by the potential user. In the case of the 309(b) program, the main user systems are state and local ABE programs. Yet in a top-loaded priority determining system, such as DAEP's, the user has little input in determining which general problems will be emphasized for 309(b) projects. Of course, users may have a short-term and narrow frame of reference and are not always aware of all of their needs. Nonetheless, this situation can lead to discrepancies between what is produced by 309's and what is needed at the local level to solve critical problems--a factor that will negatively affect the adoption of 309(b) results by local ABE programs.

It should be noted that DAEP has recently taken steps to remedy the top-loading problem. The Center for Adult Education was commissioned to survey state and local ABE directors, ABE teachers, and others to determine their priorities for 309(b) experimentation and demonstration projects. The Center also conducted a national workshop on 309(b) priorities. The results of these efforts to systematically register the input of the field are reflected in the official statement of 309(b) priorities for fiscal 1974. The details of this component of the Center's work are reported in Volume I of its 1972-1973 Annual Report, Priorities for Experimentation and Development in Adult Basic Education.

Section II: Analysis of 309(b) Projects Funded 1967-1972

As explained in the first section of this chapter, a comprehensive historical analysis of Division funding priorities was not possible because of limited documentary data. In lieu of such an analysis, an analytical review of 309(b) projects funded between FY 1967 and 1972 is presented in this section. A separate analysis, using a "functional" classification scheme, is presented for projects funded in FY 1973.

Procedure

This analysis began with the gathering of information on previously funded 309(b) projects. In most cases the only available documentation was the proposal abstract, which included the name of the grantee, the funding level, and a brief description of project intent. This meant that in most cases we had no knowledge of actual project outcomes, a problem which hindered the description and analysis of funding priorities. Educational technology is an example, for it was often impossible to determine whether a project had been addressed to this category unless a description of the actually produced materials or technology was available. Another problem was that insufficient information may have resulted in assignment of some projects to the wrong categories.

After all data had been reviewed, projects were tallied according to the following categories: whether the project was national or local in scope; whether the project served an urban or rural clientele; and whether the project served a specific minority group. Projects funded in FY 1973 were separately analyzed according to several broad

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functional categories. Minority groups included were Blacks, Asians, Appalachians, migrants, Indians, and Spanish-speaking Americans. These particular categories were selected because Division staff indicated that they had served as funding priorities in the past. Projects were tallied according to the number of projects in the category, the amount of funds and the percentage of all 309(b) funds allocated to the category. It should be noted that the categories are not mutually exclusive - projects were often assigned to more than one.

Urban-Rural

In interviews, Division staff indicated that projects focusing on the problems of conducting ABE programs in inner-city settings had been an early Division priority. The following table indicates the degree to which this priority was implemented.

Table 2-2

Urban and Rural Projects Funded 1967-1972

	Urban Projects			Rural Projects		
Year	No. of Projects	Amount in $	% of total FY* 309(b) funds	No. of Projects	Amount in $	% of total FY* 309(b) funds
1972	33	2,646,400	.45	11	1,282,689	.23
1971	17	1,962,000	.30	13	1,685,492	.25
1970	20	3,141,838	.40	8	1,630,000	.21
1969	10	2,571,718	.37	9	1,711,989	.24
1968	8	2,825,648	.43	5	1,521,391	.23
1967	2	307,454	.20	3	417,201	.27

*Row totals do not add to 100% because some projects were judged to be neither urban nor rural in focus.

With the exception of FY 1967, it appears that DAEP has consistantly placed greater priority on 309(b) projects with an urban focus. This was especially true of FY 1972 when urban projects outnumbered rural projects 3 to 1. One reason for this large ratio in 1972 was the Division's commitment to a joint program with Model Cities. Under this program DAEP was to fund 50 percent of each Model Cities joint 309(b) project, and Model Cities was to fund the other half. Model Cities joint projects alone accounted for 27 of the 33 urban projects funded.

The proportionate amount of 309(b) funds allocated to rural projects has remained fairly constant over time, though their number has constantly increased. This indicates a trend toward funding smaller, less expensive rural-focus projects rather than funding a few large and expensive ones.

National-Local

The national-local dichotomy refers to the fact that some projects funded by DAEP are nationwide in scope (at least potentially) while others are purely local in their activities and impact. National projects tend to be large and university-based. Their objectives are often to develop materials or new approaches to ABE that will be relevant to, and hopefully used by, a broad spectrum of local programs. Local impact projects, on the other hand, are generally demonstration projects that perceive their clients to be ABE programs or undereducated adults in one specific locality. While national programs are generally development-oriented in that they create or demonstrate something for national utilization, local impact projects are operations-oriented in that they conduct programs to meet some local need.

Table 2 -3

Projects of National and Local Scope, Funded 1967 - 1972

	National Scope Projects			Local Impact Projects		
Year	No. of Projects	$ Allocated	% of Total FY $	No. of Projects	$ Allocated	% of Total FY $
1972	9	1,294,246	.22	50	4,568,866	.78
1971	6	812,977	.12	43	5,825,884	.88
1970	14	3,689,000	.47	27	4,210,838	.53
1969	11	3,379,707	.48	17	3,620,000	.52
1968	7	2,350,785	.36	14	4,199,215	.64
1967	7	1,052,696	.69	5	464,824	.31

In 1967, nationally oriented projects received significantly greater priority than did local impact projects. This priority was reversed in 1968, however, and the trend since has been to give considerably greater priority to local impacts. Two factors have heavily influenced the above figures in favor of the local impact projects--the U.S. Postal Service grant for $1,000,000 in FY 1971 and the Model Cities joint program, which in 1972 alone accounted for 28 local impact projects. Even if these projects are ignored, it is still clear that local impact programs have received considerably higher priority than nationally oriented projects.

As will be described and analyzed in detail in Chapter 3, the fact that priority lies in local impact projects is significant for the dissemination of 309(b) results. Local impact projects seldom disseminate anything, for they see their mission as operating a program for a

Table 2 - 4

Projects with a Minority Group Focus Funded 1967 - 1972

	Blacks			Asians			Appalachians			Migrants			Indians			Spanish-Speaking		
Year	# of Projects	Amt. in $	% of FY Funds	# of Projects	Amt. in $	% of FY Funds	# of Projects	Amt. in $	% of FY Funds	# of Projects	Amt. in $	% of FY Funds	# of Projects	Amt. in $	% of FY Funds	# of Projects	Amt. in $	% of FY Funds
1972	0	0	0	4	72,000	.08	1	72,000	.01	0	0	0	9	874,136	.15	2	405,000	.07
1971	1	150,000	.02	3	380,000	.06	2	255,000	.04	0	0	0	7	545,000	.08	3	525,000	.09
1970	1	170,000	.02	0	0	0	2	425,000	.05	0	0	0	2	425,000	.05	4	415,000	.05
1969	2	630,000	.09	0	0	0	1	399,989	.06	1	120,000	.02	2	400,000	.06	1	800,000	.11
1968	2	700,000	.11	0	0	0	1	250,000	.04	1	400,000	.06	0	0	0	2	547,376	.08
1967	1	109,300	.07	0	0	0	1	96,690	.06	1	211,211	.14	0	0	0	1	220,000	.14

*Note, these figures do not include the Model Cities joint programs which serve many urban Blacks.

specific local clientele rather than developing a product or system for wider ABE utilization.

Minority Groups

Since 1967, the desire to serve various minority groups has been evident in the Division's funding priorities. Minority groups that have been reflected in priorities include Blacks, Asians, Appalachians, migrants, and Spanish-speaking Americans. Table 2-4 indicates what these priorities have been.

Minority groups that received funding priority early in the Division's history were Blacks, Appalachians, migrants, and Spanish-speaking Americans. As time passed, however, Blacks, Appalachians, and migrants received relatively less support in terms of projects serving them, while Spanish-speaking Americans have been supported at roughly the same level.

A case might be made, however, that Blacks are being supported even more heavily now than in the past, if one assumes that the Model Cities joint programs serve large numbers of Black adults. These programs were not included in our tally of "Black focus" projects, however, since the Model Cities joint program proposals do not generally specify a Black focus.

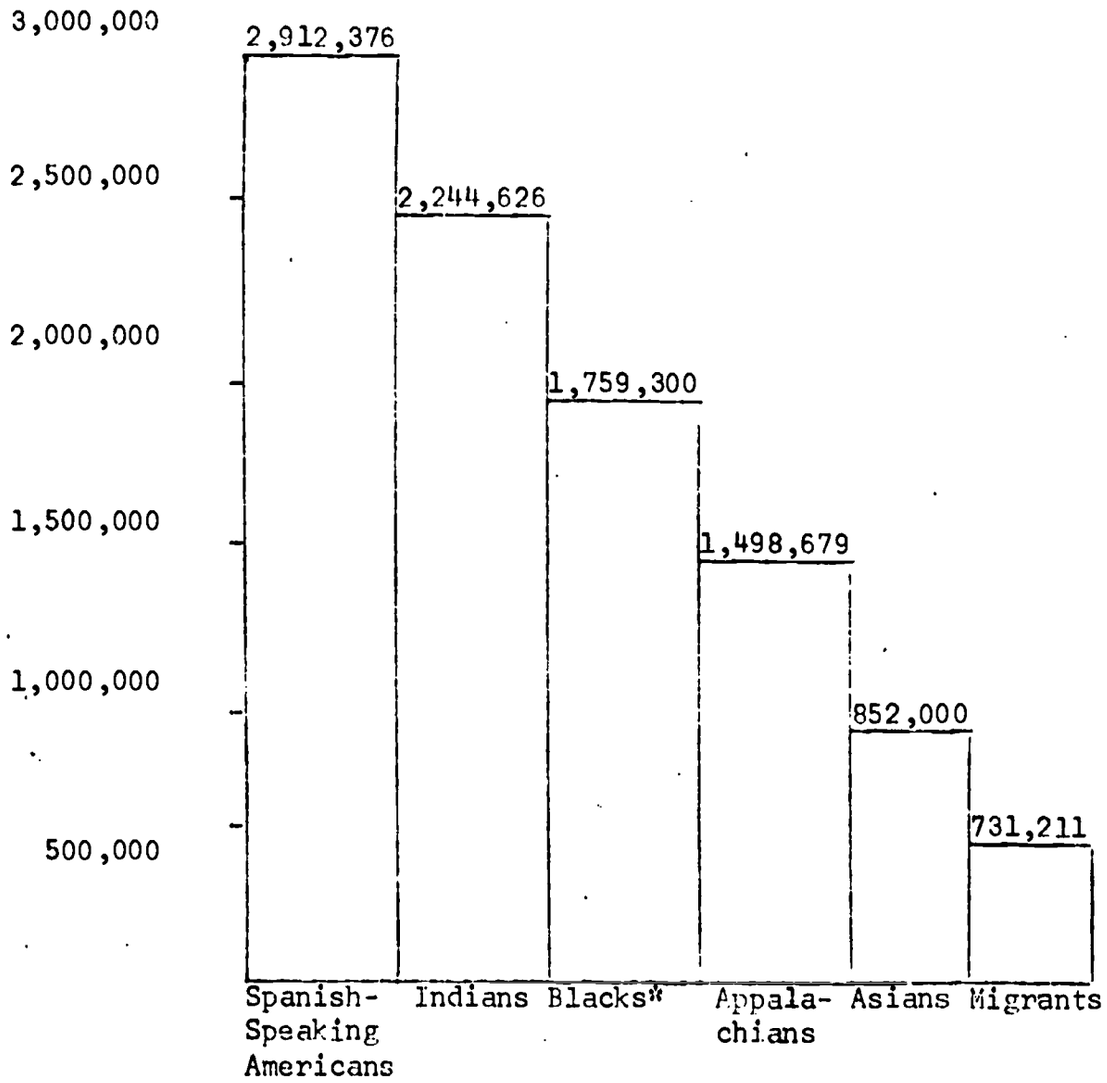
As Blacks, migrants, and Appalachians declined as priority groups, Asians and American Indians ascended. In 1972, Indians were a major priority, receiving 15 percent of all funds allocated to the 309(b) program.

Another way of looking at minority support priorities is to indicate the amount of support each minority has received over the

309(b) program's six-year history.

Figure 2-2

Amount Allocated to Projects of Minority Focus 1967-1972



*Excluding Model Cities joint project grants which serve many urban Blacks.

It is clear that Spanish-speaking Americans have received the greatest support followed by Indians, Blacks, Appalachians, Asians, and migrants in that order. Again, it could be argued that since the Model Cities joint programs serve many Blacks, Blacks have received a greater priority than our figures indicate.

Functional Classification for Fiscal Year 1973

Another useful way of examining funding priorities is to analyze 309(b) projects on the basis of what might be called their defining "functional" characteristics. The federal investment under 309(b) authorization appears to have been allocated to at least five distinct categories of activity: 1) policy planning studies of national scope; 2) studies of adult learners and ABE's target population; 3) experimental demonstration of new systems--instructional, administrative, and delivery; 4) development of improved program practices and products; and 5) projects designed to meet high priority local needs. The first four categories are largely subsumed under the broad classification referred to earlier as "national scope." The fifth category is synonymous with "local impacts."

The meaning of these five categories can be illustrated by brief examples of actual projects. A project assigned to the first category is the Syracuse Educational Policy Research Center's undertaking entitled "The Future of Adult Education and Learning in the United States." Its main thrust is the development of alternative future policies and programs for adult education. The second category is illustrated by the Adult Performance Level Project at the University of Texas. Focused on the functionally illiterate adult learner, the project is developing a criterion-referenced (functional) description of adult literacy to supplant the traditional criterion of grade level completion. A project that is demonstrating an alternative instructional delivery system is headquartered at the South Carolina State Education Department. The goal of this four-state cooperative venture is to develop a model for

the optimal instructional use of the adult TV educational series "Your Future is Now." An example in the fourth category is the Life Skills Project at Teachers College, Columbia University. This project is developing tangible products in the form of multi-media instructional packages for teaching various "life skills" such as how to get and keep a job. A typical project that meets a high priority local need (fifth category) is the Crow Indian Project in Montana. It consists of a comprehensive adult education program that provides instruction in basic skills, consumer education, Crow culture and language, and other subjects.

Although in theory these five categories are mutually exclusive, in reality many projects overlap categories to some degree. It was especially difficult in some cases to determine whether a project was essentially a local impact or geared more to developing products and practices for wider utilization. Consequently, the figures in Table 2-5 should be viewed as suggestive, not definitive.

Table 2 - 5

Functional Classification of Projects

Funded in Fiscal Year 1973

Type of Project	No. of Projects	$ Allocated	% of Total FY 73 $
(1) Policy Planning	7	1,066,066	.16
(2) Adult Learner/Target Pop.	1	347,287	.05
(3) Development of Systems	7	1,093,813	.16
(4) Development of Improved Practices and Products	7	800,768	.12
(5) High Priority Local Need	33	3,426,466	.51
Totals	55	$6,734,400	100%

Table 2-5 shows clearly that for FY 1973 USOE allocated by far the largest proportion of its 309(b) resources to support projects that address high priority (local) needs. These are the operationally oriented "local impacts" such as the Crow Indian Project. About a third of available funds were earmarked for policy planning studies of national scope and for experimental demonstrations of new systems. Only one-eighth of the total was allocated for projects explicitly designed to develop improved program practices or products for widespread utilization. Since these categories are somewhat arbitrary, there is little doubt that many projects not classified in the fourth category do develop (if only as spinoff) practices or products that have direct implications for improving existing local programs.

Section III: Criteria Used for Funding Specific 309(b) Projects

Once funding priorities are established, they are published in the "Federal Register" and interested parties are invited to submit brief "pre-proposals." The pre-proposals are reviewed by DAEP staff. Applicants who survive the initial screening are then invited to submit complete, formal proposals. The pre-proposal step is a recent innovation designed to ease the burden of evaluating several hundred bulky proposals. Prior to the fiscal 1973 application period, only full, formal proposals were accepted.

In studying the dissemination of 309(b) outcomes it is important to analyze the criteria used for evaluating proposals because these criteria determine what qualities funded 309 projects will possess. If, for example, the criteria for funding are such that highly competent grantees are selected, we would expect high quality results - a factor which would enhance adoption by potential users. In the same vein, if the Division required a plan for disseminating results as a funding criterion, we would expect more dissemination to occur.

It is by no means an easy task to analyze DAEP's funding criteria. Especially in the early days, the proposal evaluation process was rather subjective, and proposals were occasionally rated on different sets of criteria.

Factors That Influence Funding Decisions

One item in the questionnaire distributed to DAEP staff asked, "Excluding the Post Office and Model Cities 309(b) grants, how important have the following factors been in deciding what specific projects to fund over the past year?" The results are as follows:

Table 2-6

Factors That Influence Funding Decisions

As Seen by DAEP Staff
(In Percent, N=7)

Objective Factors Pertaining to Information Contained Within Project Proposals	Mean Response	% High Importance	Importance* Index
How well conceived the proposed project's strategy for accomplishing stated objectives is	6.0	48.9	54.5
How well the proposed project reflects the national priorities as set forth in the Open Letter to Persons Interested in Submitting Proposals	5.4	48.9	51.5
Whether the proposed project has the resources to meet stated objectives	5.1	48.9	50.0
Whether the proposed project will respond to a central need of local ABE programs	3.7	48.9	43.0
The result of internal reviews	4.7	28.6	37.8
Whether the results of the 309(b) will be easily adoptable or replicatable	4.4	28.6	36.6
Indication that the proposed project will be innovative	4.7	14.3	30.7
The amount of funds requested by the potential grantee	4.3	14.3	28.7
Factors External to the Proposal			
Influence of the potential grantee with DAEP	4.6	48.9	47.5
Which minority group the proposed project will serve	4.3	14.3	28.7
Minority authorship of the proposal	4.6	0.0	23.0
Political pressure from congressmen	3.0	14.3	22.2

*Mean response x 10 + % indicating high importance
2

It seemed clear from our interviews with DAEP staff that the criteria used for evaluating proposals were of two general types: objective criteria relating to the proposal itself, and criteria external to the proposal such as the influence or reputation of the potential grantee with the Division, minority group authorship, which minority group the project would serve, and political pressure from congressmen. The objective criteria listed in Table 2-6 generally come into play during the formal review process. Proposals are generally reviewed and rated by members of the Program Services Branch. Explaining this process, one staff member stated, "We get about 250 proposals, of which we fund about 50. The program officers fill in a review sheet about each project. A committee then reviews the sheets and ranks them on a 1-4 scale."

After the Division has decided which projects it would like to fund:

> The Division Chief and the Branch Chief will sit with the Bureau Chief and his staff, and the Division Chief has to justify the decisions to the Bureau. The final decision is up to the Associate Commissioner. The final signature is the Commissioner's. The actual decision, however, is made by the Division Chief, the Division staff, and the Bureau staff."

Though the Division staff have a major role in the screening process, some staff felt that their input was not taken as seriously as it should be. Concerning this situation, one staff member observed:

> In the past, many staff members felt their inputs were ignored. Most staff members were new and had little experience. It appeared to them that their recommendations were ignored out of malice, but, in fact, decisions were based on several years' experience with similar or same projects. The staff did not realize that it takes a seasoning period before sound decisions can be made.

> We sometimes put more weight on the recommendations of some staff members than on others.

In addition to staff evaluations of proposals, other inputs have been solicited in the past. At one time the ratings of outside reviewers were sought. This practice was discontinued, but DAEP plans to reintroduce it, at least for fiscal 1974. State ABE directors and USOE regional program officers are also asked to evaluate proposals.

Implications of Funding Criteria for Dissemination

An important question for this study is, how might the objective criteria used in evaluating proposals affect the dissemination of 309(b) project results?

Rated first among the objective criteria used in evaluating proposals was how well conceived the proposed project's strategy for accomplishing stated objectives is. Also of significant importance was whether the proposed project has the resources to meet stated objectives. Taken together these two criteria are a partial measure of whether a project has the capability to accomplish proposed objectives. In rating these criteria of major importance Division staff seem to be indicating that the most important thing they look for is high probability that the project will achieve stated objectives. This seems logical and commendable, for abortive projects seldom disseminate anything. Yet what about other dissemination-related criteria? Indication that the proposed project would be innovative was rated second to last among factors that influence funding decisions, and only 14.3 percent of the respondents rated it a factor of high importance. According to the

Adult Education Act, the 309(b) program was established to involve the use of innovative methods or to promote a comprehensive or coordinated approach to ABE. It might be argued that innovativeness is not required by the legislation which specifies coordinated approaches. Yet in terms of dissemination it seems logical that innovative approaches to solving local ABE problems are more likely to be adopted than those which are uninnovative. Whether the results of the 309(b) will be easily adopted or replicated also received a relatively low ranking, sixth among eight objective criteria. Only 28.6 percent of the respondents rated this factor to be of high importance in evaluating proposals. Project results which are not replicable or adoptable are obviously not going to be disseminated. If DAEP is concerned with securing high adoption rates for 309(b) outcomes, this criterion should be assigned a much higher priority.

Whether an innovation meets a user's felt need has been found by research to be a very important factor in securing adoption. Despite the fact that Division respondents rated "whether the proposed project will respond to a central need of local ABE programs" fairly high, we wonder if this criterion should not merit even higher priority, especially if adoption is considered important.

Although Division staff seem to feel that the funding criteria we have designated as "objective" seem to receive the greatest weight in funding decisions, other criteria external to the proposal itself do come into play. The criterion in this category rated highest in impact was "the influence of the potential grantee with DAEP." One staff member, for example, stated, "Unfortunately there are favorite projects that

always get funded." Another staff member remarked, "There are favorite projects and less favored projects. Are projects on the whole funded on merit? There is too much inconsistency to say." What these staff members seem to be saying is that some projects enjoy favored status with the Division.

Terms like "favored status" and "influence" connote *politics*, but this is not necessarily an accurate interpretation. Influence can be the result of successful past performance and/or the promise of productivity due to past investments that have strengthened institutional capabilities. Moreover, certain projects, particularly those of national scope, require continuity of funding to achieve their objectives. Such projects may be viewed by some as "favored."

In any event, whatever "influence" means, state directors also see it as important. Their assessment of the criteria used to fund 309's is shown in Table 2-7, which is based on responses to the following item: "There are many factors which may influence whether USOE funds a particular 309(b) project. In your opinion, how much influence do the following factors have?"

Table 2-7

State ABE Directors' Ratings of Influence

of Selected Factors in 309(b) Funding

(In Percent, N=35)

Factor	Degree of Influences		
	Little Influence	Some Influence	Great Influence
The applicant's influence with USOE	8.0	6.0	86.0
Whether the proposed project will serve specific minorities	8.0	28.0	64.0
Whether the proposed project meets national priorities established by USOE	15.0	32.0	53.0
The merit of the proposal	21.0	41.0	28.0
The judgment of the RPO	21.0	53.0	26.0
Whether the proposed project will improve local ABE practice	44.0	32.0	24.0
The judgment of state ABE directors	44.0	32.0	24.0

Clearly, state ABE directors believe that "influence" with USOE is the most important funding criterion. It is interesting to note that, in marked contrast to DAEP staff, state ABE directors consider the merit of the proposal and whether the proposed project will improve local ABE practice to be relatively uninfluential in funding decisions. Their assessment of their own input to the funding process is the lowest of all factors listed. It is not surprising, of course, that DAEP staff and state directors should see things differently.

"Sometimes we fund projects because of minority group pressures rather than merit." This interview response points to another "external"

funding criterion. DAEP's attention to minority groups has several dimensions. One dimension seems to be a Division philosophy that minority groups should be served, since they represent a significant proportion of the ABE target population. As one staff member put it, "Half our target population is minorities, and yet the decisions that affect their lives--control over the money for the programs--is in the hands of whites." In accordance with this philosophy, projects directed by minority groups for minority groups have a higher probability of funding. The Division's attention to minority groups also is partially a result of minority pressures applied to Congress, HEW, and the Office of Education, which subsequently become reflected in general funding priorities. A staff member stated:

> The pressure on behalf of minorities has broadened. It used to be just on behalf of Blacks, then it broadened to include Chicanos, then Indians, and last year we gave a lot of money to programs for Chinese--we funded four of them.

In addition to the funding criteria probed by the questionnaire, several other criteria for funding were revealed in interviews. One criterion that occasionally comes into play is the political need to spread the 309(b) money to as many congressional districts as possible. Thus, if a proposal were submitted from a district which had little or no 309(b) money in the past, it might have a better chance for success than a proposal from a district which had had many funded projects, other things being equal. Similarly, there is a political need to counter possible congressional charges of favoritism by making sure no project receives too great a proportion of 309(b) funds. This means that even the most successful 309(b) projects are seldom funded for

more than three or four years. Finally, there is the question of the amount of funds requested by a prospective grantee. Though Division staff rated this one of the less important factors in funding, one respondent noted that if a potential grantee was able to guarantee considerable financing from non-USOE sources, his chances for funding might be substantially improved.

Summary of Section III

In screening proposals, the Division employs a number of criteria. Some are based on an objective evaluation of the proposal, others are more subjective in nature. In terms of dissemination, it is significant that "indication that the proposed project will be innovative" and "whether the results of the project will be easily adoptable or replicatable" were not identified by Division staff as being especially important funding criteria. The most important objective criterion seems to be whether the project will be able to attain stated objectives. This is commendable, for no project can disseminate unless it produces something.

In the real world funding decisions are not always made purely on the basis of the objective merit of the proposal. Criteria such as minority authorship, minority focus, influence with DAEP, and political pressure come into play. State ABE directors, unlike DAEP staff, believe that influence with USOE is the most important funding criterion. Influence seems to be related to successful past performance by certain grantees and perhaps to status, reputation or assessment of capability to perform.

Section IV: The Monitoring and Servicing Function

Monitoring 309(b) projects is the responsibility of the Division program officers, all of whom are members of the Program Services Branch. When monitoring projects, program officers gather information in order to determine whether the project is adhering to its stated objectives and to Federal contract regulations. Ideally, if a project were judged successful, it would have a high probability of refunding (assuming it is not a one year "term" grant) while a poor evaluation would result in termination. The fact that refunding is usually at stake provides an incentive for projects to conform to the Division's expectations.

Explaining how he evaluates 309(b) projects assigned to him, a program officer observed:

> The way I evaluate the success of 309's depends on whether it is designed to produce a product or is designed to demonstrate a process. If the 309 proposes to produce materials, I take a close look at what they have produced. In doing this I try to put myself in the shoes of an ABE student - to see if an ABE student would find the materials worthwhile. I also try to see if produced materials have any impact on student attendance or performance. When monitoring process oriented 309's I tend to look at such things as the 309's structure - the quality of its staff and the motivation and commitment of the project.

Monitoring 309's, however, is seldom as easy as this account might lead one to believe. Any monitoring effort depends on an ability to gain accurate, relevant information about the monitored party. Program officers often experience great difficulty in this regard. As one program officer explained:

> What bothers me is that decisions are made on the basis of ignorance....We don't have enough knowledge about what projects are doing, because we visit them too little and have little or no on-going dialogue with them.

Until fairly recently, travel funds were not available to allow program officers to visit projects. Current travel restrictions generally permit one visit per year. Consequently, monitoring is hindered because program officers are isolated from their projects.

Just as gaining information about projects is difficult, so is the evaluation of the information actually received. Program officers come from various backgrounds. One explained, "I am a teacher by profession and that is how I see my role." Other program officers come from backgrounds in sociology and administration. Only two have had extensive training in adult education. Thus program officers generally do not have adequate technical training to evaluate ABE materials or other project outcomes. This is not to say that evaluation expertise cannot be gained by on-the-job experience. Experience takes time to develop, however, and staff turnover has meant that program officers are often not around long enough to gain it.

Problems caused by an initial lack of evaluation expertise might be overcome if the Division conducted a comprehensive in-house training program. But, as one program officer noted, "Unfortunately the training of young professionals is not a priority here. I am not getting any training. If I had specialized training I'd be better able to make better decisions." What staff training there is, is basically an apprenticeship system. A program officer explained, "Junior staff members have to work under the supervision of senior staff members for a while." Though

the apprenticeship system may solve some of the Division's training needs, it also causes some intra-agency tension. The respondent quoted above, for example, went on to explain, "It is difficult for the younger program officers to perceive how the services they deliver differ from the services of the senior program officers," or as another program officer put it, "Senior program officers don't do any more than we do and shouldn't be paid more." The GS (salary grade) ratings for program officers range from GS-9 to GS-14.

In addition to monitoring difficulties caused by the staff's isolation from their projects and the general lack of evaluation expertise, there is one other factor that hampers monitoring - the constant shifting of projects assigned to program officers. As one program officer explained, "During the past few years program officers have had their 309's changed very often. Few program officers have remained with a specific 309 for more than one year." Shifting of projects has been necessary in the past because of staff turnover. Shifting is detrimental to monitoring because it makes it difficult for a program officer to get to know his or her projects in depth.

In their experience as project monitors, program officers have developed a conception of what makes for a successful 309(b) project. Most program officers attribute success to the quality of project staff and the resources the project has to draw upon. A staff member, for example, stated, "This project is one of the best ever funded. The staff is well coordinated. The director really knows how to administer a program." Here project success was attributed to the director's expertise. Another project officer noted that, "The motives

of the grantee are crucial to success." It is generally felt that if the grantee wants to produce high quality results he will, but that if a grantee is not highly committed to the project, it will fail.

That project resources are important to success is highlighted by one program officer's observation that:

> There is a tendency for small, unsophisticated 309's not to be refunded. This is because such projects do not have adequate research or development experience and tend to generate organizational problems which adversely affect their ability to meet their objectives.

Program officers often alert grantees to deficiencies uncovered in the monitoring process so that projects can rectify them. As explained by one program officer:

> If I discover something which I do not like in a 309 I recommend that it be corrected. I often try to help 309's which are having problems, but realistically there is little I can do for them. Generally, I do not discover project problems until well into the funding year, and then it is too late. When I discover a really poor 309, in most cases all I can do is ride out the year and then recommend no further funding.

When a project does appear to be in trouble, however, and the program officer does recommend no further funding, his recommendations are not always followed, for other considerations occasionally result in continued funding.

Program officers are charged with the responsibility for servicing their projects as well as for monitoring them. The servicing function is essentially a process of acting as a liaison between the project and the Division. When a project, for example, wishes to make modifications in its budget or work statement, it is the program officer who is contacted.

Unfortunately, the constant shifting of program officers and their isolation from assigned projects often makes close rapport difficult. This hampers the servicing function to a considerable degree. One 309(b) project, for example, had three different program officers in the course of a single funding year.

In what ways may monitoring and servicing affect the dissemination of 309(b) project outcomes? One rather obvious answer relates to the program officer's role in stimulating 309(b) projects to achieve proposed objectives. Since abortive 309(b) projects seldom have anything to disseminate, if the program officer can stimulate project success by monitoring the project, the chances of producing disseminatable outcomes are enhanced. The program officers interviewed, however, seemed to question their ability to have a meaningful impact on project success, attributing success primarily to internal project factors. Another way in which program officers might positively affect dissemination would be if they could offer consulting advice to upgrade the quality of output or the extent of dissemination. This might be especially true for small, "unsophisticated" projects. Yet because of constant shifting and isolation, program officers are seldom able to establish the close rapport with projects that would be necessary. Moreover, program officers often do not have the expertise to advise projects on technical matters.

It is axiomatic that individuals (and groups of individuals) are influenced by the criteria upon which they are evaluated - especially if rewards such as refunding are contingent on the evaluation. 309(b) projects, however, are evaluated as to whether or not they achieve stated

objectives, and thus if there is little systematic provision for dissemination in the proposal, dissemination does not enter into the monitoring process. If the Division required a dissemination effort of its grantees, and they were monitored accordingly, we would expect considerably more dissemination than has been the case. Yet the fact of the matter is that carefully thought-out provisions in proposals for dissemination have been rare. As a result, dissemination has not been operationally established as a central concern in the monitoring and servicing process.

CHAPTER 3

THE 309(b) PROJECTS: FOCUS ON DISSEMINATION

Introduction

In this chapter the 309(b) system is analyzed at the level of the 309(b) project itself. This phase of the study is important because 309(b) projects develop and disseminate improved program practices or innovations intended for local ABE programs. Dissemination cannot be understood without a comprehensive analysis of the 309(b) project subsystem.

The analysis is primarily based on field studies of the following 309(b) projects selected to achieve variability on the following dimensions: scope of impact, type of output, visibility, recency, and potential for impact on Title III ABE programs.

Project	Grantee	Fiscal year(s) Funded	Amount of Funding
Project RFD	University of Wisconsin at Madison and WHA-TV	1969-71	$ 708,000
Project Communi-Link	Colorado State University at Fort Collins	1970-72	$ 820,000
The SWCEL ABE Project	Southwestern Cooperative Educational Laboratory Albuquerque, New Mexico	1967-71	$1,635,735
Texas Guidance and Counseling	University of Texas at Austin	1968-70	$ 427,000
The Chinatown English Language Learning Center	The New York Chinatown Foundation, *Inc.* New York, New York	1972	$ 40,000
The Lumbee ABE Project	The Lumbee Regional Development Associaton, Pembroke, North Carolina	1971-72	$ 170,000
Project for the Spanish-speaking Community	Public Schools of the District of Columbia	1970-71	$ 225,000

Each project was visited by field researchers from the Center for Adult Education. Generally, a field visit began with an interview of the project director who was asked to describe the project's history, dissemination activities, and problems associated with dissemination. After the initial interview, other key project staff members were interviewed regarding their functions pertaining to project operation and dissemination. Field researchers were instructed to collect all available documentary data such as proposals, final reports, newsletters, and project evaluations. If the 309(b) project under study was engaged in demonstrating a process, all attempts were made to observe the process in operation. If the project had produced tangible products, these outcomes were examined by the researchers. After all available data had been collected from the project, attempts were made to interview persons who were not project staff members but who were associated with the project, such as state ABE directors, project clients, and advisory board members. The time spent in the field, which largely depended on the complexity of the project, ranged from one man day to eleven man days.

After data had been gathered from field visits, they were analyzed and organized to prepare the following case studies. To further refine and extend the field data, relevant findings from the national survey of ABE directors were included in this chapter. These findings have to do with the effectiveness of 309(b) dissemination and information sources utilized by local ABE directors. A detailed description of the survey is found in Chapter 4.

The present chapter is organized as follows. Case studies of selected 309(b) projects are presented in sections 1 to 5. Section 6 discusses survey

results bearing on the effectiveness of 309(b) dissemination, including an analysis of communication channels utilized by local ABE directors. The chapter summary, section 7, is an analytical synthesis based on both case study and survey findings.

Section I: Project RFD

RFD (Rural Family Development) began its operations in the 1970 fiscal year and was funded for three years for a total of $708,000. In general, the first year was devoted to planning and developing television shows and materials. In the second year the demonstration was conducted, and the third year was devoted to dissemination and the preparation of reports.

The director of the project was Boris Frank. Steven Udvari and Vincent Amanna were associate project directors. RFD was granted to WHA-TV, an educational television station attached to the University of Wisconsin at Madison. It has a viewing radius of about 50 miles.

As set forth in the first year proposal, the primary objective of RFD was the

> Development of a . . . rural adult basic education and continuing education demonstration research project utilizing educational television, individualized home study instruction techniques and a personalized home contact instruction and evaluation plan . . . .
>
> By combining these three elements, the university and State of Wisconsin propose to demonstrate a new approach to providing adult basic education courses for the rural disadvantaged.

The initial stimulus for establishing RFD was provided by a USOE "request for proposal" (RFP) which solicited projects utilizing television as an ABE delivery system. Once the RFP had been made public,

a group of adult education professors and WHA-TV staff formed an ad hoc committee to develop a proposal. The committee decided that rural residents were a logical target population for a TV-based ABE program, since low population density often made it difficult to maintain conventional ABE programs in these areas. The proposal that resulted included the following objectives:

> To demonstrate the effectiveness of an integrated television, home study, home contact and visit program for rural ABE students.
>
> To demonstrate the effectiveness of the role of mass media in rural ABE programs.
>
> To create a viable television-based, multi-media program usable in similar situations in other parts of the country.
>
> To demonstrate the effectiveness of an interdisciplinary family and community oriented approach to rural ABE programs.
>
> To involve large numbers of undereducated adults not now able or willing to participate in ABE programs.
>
> To develop a program that will improve ABE instruction while maintaining the lowest possible cost-per-pupil.
>
> To assist in the development of skills that can lead to new careers for home study aides and other staff members.
>
> To demonstrate involvement of disadvantaged individuals in the development and implementation of such a program.
>
> To develop participant skills in the basic fields of communication and computation while improving the capability of the target audience to exercise citizenship responsibilities.
>
> To develop participant skills from present proficiency towards eighth grade and twelfth grade equivalency achievement levels.

As conceived, the RFD project was to contain six integrated components - the mediated system (radio and television shows), the RFD Newsletter,

home study materials, the RFD Almanac, home visitors, and the RFD Action Line. The television shows were to create awareness of RFD and its materials. Home visitors were to further reinforce use of materials. Action Line and the Almanac were to create "bridges" between the RFD central staff and the participants, and the Newsletter was to be the major external dissemination device. There is some question, however, as to how well integration was actually achieved. In their external evaluation of RFD, the Human Factors Research Laboratory of Colorado State University stated:

> An attempt was made to integrate the components, but the integration was not effected well in the demonstration. There is little evidence that TV programs were designed to stimulate interest in materials in the content center. The home visitors and the participants we visited saw little or no connotation among the three components, except for the home visitor helping the participant obtain materials.

The Mediated System

The core of the mediated system was a series of 20 television broadcasts. There are indications that some of the original authors of the RFD proposal expected the television shows to constitute something of an adult Sesame Street, where television would serve as an actual vehicle for teaching basic education. In actuality, however, the shows were designed only to create viewer awareness of the RFD home study materials. Little in the way of basic education was dispensed via television. A TV segment viewed by the researchers, for example, included a segment on how to fix a screen door and featured Andy Williams telling of his boyhood experiences in West Virginia.

At the outset, one problem encountered by the WHA-TV staff was that its intended viewers, undereducated rural adults, were not generally part of the educational television audience. To overcome this problem the project conducted an extensive promotion campaign prior to the airing of the shows. Advertisements were placed on commercial radio and television networks. Direct mailings explaining RFD were sent to rural families, and the support of organizations which represented rural adults was solicited.

The RFD programs seem to have successfully reached a large portion of the potential viewing population. A viewer survey conducted during the fifteenth week of RFD broadcasts indicated that 23.3 of the respondents had seen an RFD program. Of these, 14.4 percent rated the programs excellent, 69.5 percent rated them good, 13.6 percent said fair, and no one rated them poor. The survey also determined that many urban residents as well as rural people were watching RFD programs, and that the viewing audience was older than the average TV viewing audience. There were significantly more female viewers than males.

In addition to the above results, one project staff member indicated that viewer surveys also showed "the proportion of undereducated adults who watched the programs was roughly equal to the percentage of undereducated adults in the total population." This finding can be interpreted in two different ways. A critic might argue that the shows were not sufficiently focused toward the target

audience. Yet, it must be remembered that undereducated adults seldom watch educational television, and thus, the percentage who did watch represented a higher percentage than might normally be expected. Television is a medium which is very difficult to focus selectively, because anyone who owns a set can tune in. RFD's experience may have identified an important side benefit to using television as an educational medium -- persons other than the intended audience can tune in and participate if the programs meet their needs.

Home Study Materials

In its original proposal RFD indicated that the purpose of the home study materials was to "aid in the development of participant skills in the basic field of communication and computation," indicating a basic literacy approach. Yet, the materials actually developed and used were "coping skills" oriented (e.g., money management) and were written on the fifth grade level. Does this represent serious displacement of original goals? After all, how can a mediated system for "providing adult basic education courses for the rural disadvantaged" obtain these objectives by concentrating soley on coping skills? The answer, if there is an answer, may lie in the project's approach to the development of the RFD Home Study Materials.

The development process began with a search of already available ABE materials. It was determined that most of the existing ABE materials were not suited for RFD's purposes, since they were sequential in nature -- a student who used them was necessarily committed from beginning to end. Confronted with this discovery, RFD decided to develop its own

materials. The development process began with a needs survey administered to a sample of undereducated rural adults. The results of this study indicated that the rural adults surveyed were more interested in a coping skill focus. Regardless of the needs survey results, however, there is an issue which remains. As a respondent in the Wisconsin state ABE department put it, "no matter how well a person copes, he still has to read."

All materials were written at the fifth grade level because the project did not have the resources to produce materials at all levels. Though perhaps necessary, this decision may have been unfortunate in that it effectively eliminated the least educated from participating in the project.

The content of the materials was developed by rewriting other materials such as extension bulletins and basic human relations materials. A staff member designed some of the content himself. The home study materials were then packaged into five volumes termed "Content Centers": "About Me," "About Me and Others," "About Me and My Money," and "Me and My Community."

Each RFD participant was sent an order card from which he could select whatever materials he desired. He could start anywhere in the series. The materials were periodically alluded to in the television series, though there was no attempt at a hard sell. In its external evaluation, the Colorado State University questioned whether the television series effectively motivated the use of materials. Nevertheless, there was a great demand for the materials -- so great

a demand that supplies were rather quickly depleted. No priority system was developed to insure that undereducated adults would receive materials first. Consequently, while some persons who may not have really needed the materials got them, undereducated participants were often delayed in beginning the program for lack of materials.

After the home study materials had been field tested, a publisher was sought for them. Bids were solicited from a number of publishers, and four indicated their interest. The Steck Vaughn Company of Austin, Texas was ultimately selected. Though it is often claimed that publishers are reluctant to publish ABE materials because the market is "thin," RFD had no difficulty securing a publisher. In the opinion of the RFD staff, publishers were enthusiastic about the materials because they were polished -- well conceived, well put together, and physically attractive. RFD was able to produce materials of such polish in part because they were able to draw upon the University of Wisconsin School of Journalism for the needed expertise.

RFD's experience has shown that there are both advantages and disadvantages to commercially publishing 309(b) developed materials. An advantage is that, in seeking a profit, a commercial publisher is motivated to market and disseminate materials long after the 309 project has terminated. On the other hand, commercial publishers will not generally publish materials unless they are protected by copyright. Because of USOE publishing regulations, RFD could not distribute free large quantities of its materials. Once they were published, copyright laws prohibited local ABE programs from reproducing the materials by Xerox or other copy processes.

Home Visitors

The Home Visitors were a central component of the RFD system, and in terms of cost per participant, the most expensive. Home Visitors were assigned to fifty RFD participants, a sample selected for the manageability of its size. Though it was originally thought that Home Visitors would serve in an instructional role, this idea was discarded early in the first grant year. As it turned out, Home Visitors served as confidants and friends. They were to function as a bridge between the RFD "content centers" and the participants, and were to help the participant with any problem he might have, educational or otherwise. In short, a Home Visitor was to be a personal, one-to-one representative of RFD. Her most important function was to stimulate and motivate use of the home study materials.

Criteria for selection of Home Visitors included experience in relating to rural undereducated adults, a warm personality, articulateness and tolerance. Eight Home Visitors were selected, and each had a case load of six or seven participants. All Home Visitors were women. They were trained by the project and reported to a supervisor.

One project respondent quite familiar with Home Visitor activities said:

> The way I saw it, the Home Visitors were the only thing that made RFD work. These adults would not even have watched the program if it hadn't been for the Home Visitors -- they are not the kind of people who would watch Channel 21. You have to have somebody who says it's important . . . TV by itself is not enough. TV had very little influence on our people; they watched it because we wanted them to.

One of the problems Home Visitors encountered was the scarcity of materials. They were often in the position of apologizing for the

project's failure to maintain an adequate materials inventory. Another problem was the short duration of the program - 20 weeks. Many Home Visitors found it difficult to establish rapport and accomplish their objectives in that period of time. Though it was a secondary objective, Home Visitors were instructed to bring basic literacy and computation skills materials to their participants if they requested them. Very few requests were registered.

At the end of the 20-week home visitation period, an evaluation of the Home Visitor component was conducted. Home Visitor participants and a control group of similar participants who had viewed the TV programs, but had not received home visitation, were administered a test developed by the University of Wisconsin. This test measured verbal skills, numerical skills, and coping behavior. It was found that there was no significant difference between the performance of the treatment and control groups. Despite the discouraging test results it must be remembered that the treatment period only ran for 20 weeks -- a period which was probably too short to effect appreciable learning gains.

Action Line

The action line component was an attempt to provide a link between RFD's viewer-participants and the centers. When an RFD viewer experienced a problem and called the action line number, volunteer workers would note the problem. If the problem could be solved on the spot it was, but if it required referral, it was channeled to the relevant agency. Action line calls were followed up to make sure the caller had actually received help from the referral agency. In total, action line received

1,641 calls, 85 percent of which were either requests for RFD materials or were simple enough for volunteers to answer directly.

The RFD Almanac

Like the action line, the RFD Almanac was an attempt to increase contact with participants and motivate participation in RFD. The Almanac was a monthly tabloid newspaper containing practical information and RFD promotional literature. It was sent to anyone who expressed an interest in participating in RFD, to those who contacted action line, and to adults referred by county and local social services offices. In all, 3,300 persons received the Almanac.

The RFD Newsletter

The Newsletter was one of RFD's major external dissemination devices. It was sent to professional people -- local ABE directors, state ABE directors, congressmen, and educational TV professionals. Over 2,700 people were included on the Newsletter's computerized mailing lists. The Newsletter was automatically sent to all ABE state directors, congressmen, senators, and DAEP personnel. State ABE directors were asked to supply names and addresses of local directors who might be interested in RFD. Anyone who contacted RFD for information was automatically added to the mailing list. There were 36 issues of the Newsletter.

The Newsletter included descriptions of the RFD components, comments on the RFD design, both pro and con, and evaluative data gathered by the university.

Issues

A major issue raised by the operation of RFD is that of goal displacement. Originally, RFD was supposed to be a media-based ABE project stressing basic communication and computational skills. Yet, in actuality, the project generally ignored basic literacy while focusing on coping skills and their media presentation. Though it is an open question whether this change in focus was beneficial or detrimental, necessary or unnecessary, it is important to analyze reasons why the change in focus occurred. At issue here may be the question of whether the project should have been controlled by media specialists or professional adult educators.

The original RFD proposal resulted from a committee comprised of both media people from WHA-TV and adult educators from the University of Wisconsin. After the project was funded, however, authority for grant administration rested with WHA-TV. The project director reported to the WHA-TV station manager. Though his Bachelor's degree was in adult education, his advanced degree and working experience were in mass communications. In an interview he stated, "I prefer being situated in the Communication Center rather than the Education Center."

The RFD staff maintained input from adult education professionals through an advisory committee comprised of professors from the University of Wisconsin Education Department, persons from University Extension, and persons from the State ABE Department. RFD staff members seemed to agree with several committee members that the advisory committee did

not have a really significant input to the project after work began. An RFD central staff member stated, "We work closely with adult education specialists (i.e., the advisory committee), as well as with client groups. We usually find the latter right and the former wrong . . . . The professionals, however, are helpful politically." The RFD staff found the adult educators helpful in facilitating the formation of connections with other influential persons in adult education, but did not take the committee's professional advice very seriously. One member of the advisory committee, an official of the State Education Department, recounted an incident when the project staff asked the committee why RFD had not been supported to a greater degree by ABE personnel within the HEW region. Another committee member responded, "This staff with all its enthusiasm has never heard what this committee had to say." Another member of the advisory committee states, "They (the project staff) should have immersed themselves more in the cruddy work of low literacy and less in the polished work of television."

The foregoing data suggest goal displacement which may have resulted from giving the media aspects of the RFD project predominance over the educational aspects. On the other hand, television is a highly sophisticated medium requiring great production skill and experience for effective use. Had the adult education professionals been in control of the project, the quality of the basic delivery system may have been impaired. In most people's minds the purpose of the project was primarily to test the mediated delivery system.

Dissemination

Project RFD undertook an extensive external dissemination campaign aimed outside the WHA-TV viewing area. In fact, one respondent stated that, "They (RFD) did more dissemination than any other project I know of." RFD's dissemination vehicles included the already-mentioned RFD Newsletter, a series of workshops, publications in professional journals, site visits, presentations at national conventions, and a final report. Of these the Newsletter and the workshops probably reached the greatest number of people. Workshops were held in all HEW regions. On the average, 800-900 people were invited to each workshop, though attendance averaged about 50 persons. The low number of attenders may be attributed to the fact that RFD did not reimburse participants. Workshop participants were selected by inviting all those on the Newsletter mailing list plus those nominated by the Office of Education and various professional associations. One RFD staff member stated:

> In the second year we had the apparent problem of overdissemination. We got some negative feedback from people who thought we were engaged in a fantastic national program of publicity. Nothing was further from the truth. The negative feedback came from members of NUEA, AEA, and the Commission of Professors. The positive response was strong.

This staff member is primarily referring to dissemination carried out by the Newsletter. The Newsletter was very candid, reporting criticisms of the project as well as accolades. One issue, for example, reported the basic literacy versus coping skills controversy described earlier. So candid was the Newsletter that one respondent said, "They talked too much about things they should have shut up about."

An important distinction to note is that in their dissemination efforts RFD concentrated on conveying general awareness information about the project rather than on securing replication of the demonstration. RFD is not a project which is easily replicated on either the state or local level, since a television station as well as considerable funds would be needed. Moreover, though the RFD TV segments have all been videotaped in self-contained units, they contain many specific references to the WHA-TV viewing area. Thus if another program wished to use the TV sequences, these local references would have to be edited out and other locally prepared segments substituted.

It might be feasible for some local programs to adopt portions of the RFD system, an adaptation of the Almanac or materials, for example. Yet, the project was designed to test an integrated ABE delivery system, and replication of the entire system is far beyond the means of most ABE programs. Use of RFD products has not gained

currency even in Wisconsin. The Wisconsin state ABE agency has never used or recommended use of RFD materials. The state director claimed the reasons for non-use were: "There are no steps or procedures that an ABE program can follow to adopt RFD products. RFD products are too expensive; and there is doubt that RFD products would be suitable for the ABE target population."

Another issue related to dissemination was summed up by one respondent as follows: "RFD has never been validated as a system. Only the Home Visitor component was evaluated, and it was evaluated separately. Is it worthy of dissemination? We don't know. Should we bother to disseminate an unproved product? But for validation you need vast amounts of money, and in adult education there is little R&D money, money for product development and testing. This is very unfortunate."

In the initial development of the RFD proposal, the Wisconsin state ABE director was involved. She also served on the advisory committee. There was, however, no conscious effort by RFD to involve local ABE programs in the project in other than an advisory capacity. This lack of operational involvement with local ABE programs is perhaps explained by the fact that RFD was not designed for local ABE programs. The project director stated: "In our dissemination effort we aimed at the decision-makers rather than directly at the ABE directors. Our real purpose was to set up a national project; our real aim was to reach a mass audience." The project director then went on to explain that from the very beginning he had hoped RFD would "go national." Midway through the project an effort was

made to form a consortium of midwestern states which would replicate RFD on a regional basis. The consortium never came to fruition as there was not enough support for the consortium among the states. RFD never did go national, but a vocational education offshoot program, Project 360° has received a national commitment from the Educational Television Network. 360° was to begin airing its shows in January, 1973 in fourteen states. USOE funds a portion of 360°. The project director's avowed, implicit agenda for external dissemination was to reach those with the power and influence to make the adult educational TV concept a nationwide venture. In this regard, national adult education and media opinion leaders seem to have been the primary targets for dissemination -- not local or even state ABE programs.

When the RFD project director was asked how he evaluated the dissemination effort he responded, "it was very successful." The primary objective criterion for this judgment is the large number of requests RFD received for more information about the project. There is also the fact that 360° was funded and accepted for production by the Educational TV Network.

Conclusion

RFD spent considerable time, money, and effort to disseminate and it used sophisticated mass communications techniques to do so. To date, however, RFD has merely disseminated general awareness information about the project -- mainly to key people in the media and educational establishments -- and this effort alone has proved insufficient to secure replication of the mediated system. Except for the coping

skills materials, which were published commercially, RFD never intended for its outcomes to be utilized by local ABE programs. Consequently, it never made an effort to reach local ABE programs. The company that published the materials, of course, will attempt to market them.

The basic policy issue raised by this case is whether some portion of 309(b) funds should be earmarked for demonstrating alternative, comprehensive systems of adult education instruction. Such use of funds does not seem to be precluded by the enabling legislation. In the case of projects like RFD, dissemination to local ABE programs is largely irrelevant since the objective is to demonstrate alternatives to current practice rather than to respond to the immediate needs of ongoing programs.

Section 2: Project Communi-Link

Project Communi-Link (PCL) operated from July, 1970 to June, 1973. The project grantee, Colorado State University at Fort Collins, received total USOE funding of $820,000. The project director was James Kincaid, a professor of adult education at Colorado State with wide experience in community development. He was joined by John Snider, a former public school adult educator, who by the third year became co-director as Kincaid increasingly involved himself in other activities. Kincaid

and Snider were the two key people in planning and implementing Communi-Link.

Project Objectives

The initial proposal, developed by the project director in consultation with the USOE regional program officer in Denver, was targeted on the DAEP 309 priority for fiscal year 1970 of "demonstrating community-wide adult basic education programs." The purpose of the project was set forth in the first year proposal:

> This proposal has as its fundamental purpose the provision of training and consultative assistance to teams of rural community professionals, paraprofessionals, and volunteer workers who have responsibilities pertaining to the provision of basic educational opportunities for disadvantaged adults. The primary focus and thrust of the project emcompass the development of more effective cooperative relationships among responsible professionals and others in selected rural communities . . . .

The name Communi-Link captures the essence of the project, which was described in later promotional material as encouraging "the development and enhancement of communication linkages necessary for communities to identify problems, assess resources, and mobilize resources to meet local needs." The project's mission, consequently, was community development with an emphasis on adult education programming.

The Basic Process

PCL developed a systematic, structured process for aiding local communities to plan, implement, and evaluate coordinated, community-wide adult basic education programs -- or other community improvement programs, depending on local interest. Following identification of pilot communities

and interpretation of the PCL idea to community leaders, each community was asked to send six representatives to participate in a day-and-a-half workshop at Colorado State University. The workshop, which typically consisted of about 70 participants from 10 to 12 communities, provided an introduction to PCL's objectives as well as training in community-wide program development through a simulation game called "Microville." According to a PCL document, it was anticipated that the workshop would result in each participant having "increased awareness of the many and varied needs, wants and ideologies represented in a community; the many resources available in a community; the extent to which there are both gaps and duplications in local services; and the need for, as well as problems associated with, group problem solving." A frequent and intended outcome of the Colorado State workshops was an invitation to PCL to conduct a similar workshop in the local community. By autumn 1972, PCL had trained approximately 300 community representatives on campus and 4,500 additional persons in local community workshops. The intended result of all this activity was the establishment or revitalization of adult education or community improvement councils in the pilot communities. PCL's role did not end here, however. Recognizing that the local councils would need assistance in getting fully underway, PCL provided free technical assistance. Each community was assigned a "community services coordinator" from PCL who acted as a liaison between Colorado State and the local council. This staff member provided or arranged needed technical assistance; for example, help in conducting a community survey to assess needs and available resources. PCL also organized local workshops to train ABE teachers and volunteer tutors. A problem mentioned by several

community service coordinators was a tendency for the local council to become too dependent on Communi-Link.

Microville

The key element in PCL's training strategy was use of a simulation game called Microville, developed by project co-director John Snider. Two Columbia researchers participated in a full-scale Microville workshop conducted for University of Wyoming extension employees in December, 1972. The game used at this workshop, a slightly modified version of the original Microville, emphasized community improvement rather than adult education. The workshop began with an introduction to PCL and a synchronized tape-slide presentation of the project's activities in the model pilot community of Price, Utah. Participants were assigned to 14 Microville Community Improvement Councils, each consisting of six to eight members. Every council member was given a role to play: minister, businessman, school superintendent, recreation supervisor, adult education director, and so on. The "mayor" of Microville provided background on conditions in the community and informed the council of what it was supposed to accomplish. The first cycle in the Microville game involved 20 minutes of get-acquainted activity. Next, the council was instructed by the mayor to develop a "philosophy" of community improvement based on group consensus. The third cycle required developing a plan for identifying Microville's needs and wants. This involved going to the gameboard for information. Each gameboard contained data cards with information on needs and wants, community resources, and socio-economic data. Cards were organized on the board by source of data, e.g., community agencies, business and

industry, residential area. Additional data could be obtained by listening to the (recorded) Microville radio station or by consulting back issues of the (mimeographed) Microville newspaper. The number of data cards allowed for each council was determined by throwing dice. The fourth cycle, following identification of needs and wants and assignment of program priorities, involved determining program objectives. Each council member was instructed to write one attainable and measurable "community-wide" objective. The fifth cycle was designated "implementation.". The council was told to design, in writing, operational programs consistent with its previously formulated philosophy and statement of objectives. This required returning to the gameboard to get additional information on resources available for program implementation. The final cycle called for developing a plan to evaluate the "implemented" program. After the game, an effort (not too successful) was made to evoke discussion of the implications of Microville for extension work in Wyoming.

Participants interviewed by the researchers felt that the workshop had been a worthwhile or at least interesting experience, but they had difficulty articulating the implications of Microville for their work as extension agents. In the two groups in which the researchers participated, there was a good deal of confusion and frustration, due in part to inadequately explained rules and procedures, but even more to insufficient time to complete the various cycles. There seemed to be some apathy and resistance in the total group, perhaps because they did not volunteer to participate.

Microville is clearly a complex, time-consuming simulation experience that requires considerable motivation on the part of the players. It also requires a highly skilled and experienced team to organize and monitor the process.

The fact that PCL conducted this workshop for university extension employees, few of whom had any connection with local ABE programs, raises the question of PCL's purposes and priorities. The project was funded to demonstrate a community-wide approach to ABE programming, yet ABE was not the exclusive and perhaps not even the primary focus of project activities. PCL did emphasize ABE in its literature and in the original Microville game, but some pilot communities were less interested in adult education than in other kinds of community activity. In these cases, PCL resources were used to support community development unrelated to ABE. Interviews with staff revealed tension between ABE and more general community development goals. Some staff members, particularly during the project's second year, advocated a narrower ABE emphasis, while others, including the director, favored a broad community development perspective. Speaking to this issue, the director observed: "I try to suggest that poverty problems are an important concern, and this is true of all communities -- and this leads to an awareness of ABE." Awareness of ABE, however, did not always lead to action.

Overview of Project Operations

By the end of its first year, PCL was operating in 18 communities in nine Western states: Colorado, Idaho, Missouri, Montana, Nebraska, Nevada, South Dakota, Utah, and Wyoming. In its second year the project expanded to 32 communities in 14 states, adding Washington, Oregon, Arizona, New Mexico, and Minnesota to the original nine.

It took the better part of the first grant year for PCL to establish its own linkages with project states and pilot communities. Contact was initiated with the state ABE director and the state director of cooperative extension. After interpreting the project to these officials and obtaining their cooperation, the next step involved selecting the pilot communities. PCL specified two criteria: population of 15,000 or less and the presence of some form of adult education program. Consideration was also given to the "readiness" of communities. PCL did not want to work solely with communities where success was assured. On the other hand, they did not want to become involved in communities where the chances of cooperative efforts were nil. In the end it was decided that the state ABE and extension directors would select one community which was deemed fairly promising and another community where the chances of success were less favorable. In addition to selection of the pilot communities, state level negotiations resulted in identifying one or two "state instructional consultants" who were to act as liaisons between PCL and the local pilot communities. Mostly extension workers with wide community contacts, the instructional consultants were employed part-time, usually a day or less per week.

In its first year, PCL was admittedly understaffed. The sole full-time professional was the assistant project director (later co-director). The director continued to devote time to teaching and other professional duties. There were three part-time "community services coordinators" in addition to the assistant director, and a part-time internal evaluator. However, by the fall of 1971, the staff had expanded to a size commensurate with a 14-state operation. The three part-time community services coordinators of the first year were replaced by seven full-time professionals, including two individuals with experience in ABE, two Mexican-American men with community development experience, one man with expertise in conference planning, and another with a background in public relations and mass media. Several graduate assistants, a part-time community services coordinator, and one more secretary were added to the staff.

Organizational Context

No 309 exists in isolation from other agencies and organizations, some of which are important to the project's effective operation. PCL practiced its own principles by stressing communication and cooperation in its relations with individuals and agencies in its environment. A close working relationship was established with the USOE regional program officer in Denver. This facilitated cooperation from key people in state systems because of the RPO's influence and contacts. Likewise, state directors of extension and ABE were involved in planning and kept informed of project developments. It is likely that this involvement enhanced support for PCL at the state level. The project also established close and continuing working relationships with the 32 pilot communities.

Within Colorado State University the project was highly visible. The Dean and President were familiar with it and appeared supportive. This pattern of cooperation and communication at the institutional, community, state and regional levels was not, however, characteristic of the project's relationship with USOE. PCL staff reported little meaningful communication with their OE project officer, other than one perfunctory site visit. The lack of close monitoring by Washington ("they let us go off on our own") was seen as an advantage, but uncertainty concerning the amount of continued support, and late notification of contract renewal created problems after the project's first year.

Dissemination

PCL is of particular interest because it was one of the few 309's to make a vigorous, organized effort to disseminate. It is of interest also because its "output" was essentially a process, indeed a very complex process. The problems of disseminating a complex process were clearly recognized by the PCL staff. It was evident to them, as it was to the researchers, that real dissemination of PCL would necessarily involve intensive training of state level professionals who could subsequently conduct Microville workshops for local communities and follow through with technical assistance. In other words, effective dissemination would necessitate replicating the project's capability to run Microville workshops and provide consultative assistance -- something like reproducing a host of little Communi-Links in state capitols across the country.

Obviously, training others to administer Microville would have

been an extremely costly strategy. Consequently, PCL proposed in its third year to conduct a dissemination program that would concentrate on eliciting awareness and interest. It was hoped that a fourth year of funding would allow for intensive Microville training in non-project states. But the short-run strategy was to spread the word, to stimulate interest. What was disseminated was not the capability to run Microville workshops, but rather information about Microville and PCL's activities.

Dissemination began in earnest near the end of the second year of funding. Thousands of pieces of literature, including a periodic newsletter and attractive brochures about PCL's activities and Microville were mailed to state ABE directors, adult education professors, state extension staff, legislators, workshop participants, and others. Complete annual reports were sent to selected groups including the state ABE directors and adult education professors. A 27-page descriptive booklet was widely distributed in the winter of 1972-73. In November, 1972, PCL presented an overview of its activities to a group of about 100 adult educators at the Adult Education Association's annual convention.

The major dissemination activity following the convention consisted of a "diffusion workshop" campaign to provide information about PCL achievements to key adult educators and other relevant education and social service professionals in non-project states. The diffusion workshop idea was conceived by co-director Snider, who was concerned over the lack of dissemination of 309 results and felt strongly that Communi-Link had an important story to tell. Snider headed a PCL "diffusion committee" that developed an overall diffusion strategy and a detailed plan for the special diffusion workshop. As originally

envisioned, the one-day workshop would provide information on PCL's philosophy, activities, achievements and introduce participants to Microville by permitting them to play the needs assessment cycle of the game.

The first diffusion workshop was held in Little Rock, Arkansas, on December 5, 1972. In accordance with PCL's diffusion plan, the state ABE director organized and "hosted" the workshop, inviting participants and making local arrangements. Detailed instructions were provided by PCL in the form of a "Local Coordinator's Handbook." About 70 people were invited to the workshop, but only half that number showed up -- and of these, fewer than a third were directly involved in ABE. Although attendance was disappointing, the workshop itself (attended by a Columbia researcher) went off smoothly and evoked considerable enthusiasm from the majority of participants. The primary problem was lack of time to do justice to the Microville needs assessment component. At the end of the day a very "aware and interested" group was given the following disappointing news: "The only tangible assistance that Project Communi-Link can give to Arkansas is to send you materials and information. If we get money next year, we can come and do Microville."

At the time of Little Rock, PCL had already received 10 requests from non-project states for diffusion workshops, and concerted efforts were being made to interest other states. There was a faint hope among PCL staff that USOE would come through with a fourth year of funding if enough interest in PCL were aroused and this interest communicated to USOE. By mid-spring 1973, 11 diffusion workshops had been held in non-project states, and PCL had plans for 25 more before expiration of funding on

June 30th. If all went according to plan, PCL hoped to reach 4,000 people through its diffusion workshops.

There is an interesting footnote to the story of PCL's dissemination campaign. According to key project staff, PCL's dissemination plans were initially opposed by several DAEP staff members who argued that dissemination was their responsibility, not the project's. Although dissemination to non-project states was written in to the third year proposal, availability of funds for this purpose was in doubt until the very last moment.

Conclusion

PCL was one of the largest and most visible of the 309's funded in the early 70's. In many ways it was a model demonstration project, well organized, staffed by competent, enthusiastic people, and, according to evaluation reports, relatively successful in achieving its stated objectives. But now that the project has terminated, one wonders to what extent its impact will be felt outside of the original pilot communities. Some reasons for this skepticism are outlined below.

1. Communi-Link's approach to improving local ABE programs was highly indirect. It was never expected that local ABE program directors would organize Microville workshops in their communities. Instead, PCL hoped that state ABE and cooperative extension agencies would conduct workshops and provide technical assistance and that local ABE programs would be the beneficiaries of coordinated, community wide program development.

2. Communi-Link's "output" was a complex process which was

difficult to explain and comprehend, non-divisible (one cannot replicate a portion of it), and costly in time and money. These are formidable obstacles to adoption.

3. The Communi-Link process is not only costly for state agencies to replicate, but it would have been extremely costly for PCL to disseminate. Complete dissemination, that is dissemination to enable utilization, would have required extensive training, particularly in the use of Microville. PCL did not have the money to do this training. Instead, the project concentrated, through its diffusion workshops, on eliciting interest and awareness in the hope that additional funding would permit training of state personnel. Additional funding did not materialize, and as a consequence PCL was unable to follow through with the final stage of its dissemination strategy.

Although PCL did not provide training to non-project states, it did widely disseminate information about its activities, and undoubtedly some project ideas and techniques were picked up and used by local ABE programs. In addition, the project produced and distributed various materials, such as a handbook on how to conduct a community survey. PCL hoped that state agencies in each of the pilot states would perpetuate its work with local communities. This was a major objective of SCAN (state community assistance network), a series of meetings and workshops involving various state level agencies with PCL organized in its final year.

The major lesson to be drawn from PCL's experience is that complex process innovations are extremely difficult to disseminate if utilization, not simply awareness, is the ultimate goal. Time-consuming and costly

training is essential. This means that much more money, time, and careful planning need to go into project dissemination components. Unless these realities are understood by government decision-makers, the full potential of projects like Communi-Link for improving educational practice is bound to be unrealized.

Section 3: SWCEL ABE Project

The Southwestern Cooperative Educational Laboratory (SWCEL) ABE project received a total of $1,635,735 from USOE, making it the second largest* 309(b) project in the history of the program. SWCEL was also awarded a $133,000 309(c) teacher training grant in 1969, bringing total OE funding to more than $1.75 million. The project began operations in fiscal year 1967, when the national 309 program first got underway, and was terminated four years later. Project director for the first year was a psychologist employed by SWCEL. In the project's second year the laboratory director took personal charge of the ABE project and brought in Felipe Gonzales, a Mexican-American educator with ABE experience, who subsequently became project director. The project grantee is one of a network of OE-sponsored regional R&D laboratories. Located in Albuquerque, N.M., SWCEL's major goal has been the improvement of educational opportunities for Mexican-Americans.

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*Washington, D.C.'s Adult Education Demonstration Center received slightly more money.

Project Objectives

The initial project objective was the development of a series of TV units called Empleen Ingles designed to teach conversational English to Spanish-speaking adults. Although Empleen Ingles continued to be an important project component, SWCEL vastly increased the scope of its activities after the first year. The following quotation from the third year proposal gives some picture of the larger operation:

> (SWCEL) proposes to continue to act as systems manager and to develop and produce components for a prototype instructional package that will attack problems common to the illiterate Spanish-surnamed adult. The critical mass of manpower, facilities, and materials has been assembled to produce a package containing color TV films, student workbooks, teacher guides, programs for aides, teacher training protocols, and guidelines for establishing intereducational agency collaboration . . . . The instructional content of the package has included linguistic materials necessary for the illiterate adult in his attempt to negotiate the major culture to accomplish the usual life tasks of taking care of a family, finding a job, etc. The programs are designed for maximum effectiveness and a dissemination plan is being developed concurrently which concentrates on developing a package delivery strategy that provides the most advantageous mass impact.

The terms "systems manager" and "instructional package" in the above description are telling. Various components of a rather loosely conceived "system" to upgrade ABE for Mexican-Americans were planned and managed from Albuquerque. Some components were developed and produced by the Lab itself, others were contracted out to universities and educational R&D organizations. Some of these components were designed for use by ABE students, others for training teachers.

Despite the rhetoric of "systems" and "components", SWCEL did not appear to have a carefully developed plan or focus for its activities. This impression was borne out in interviews with key staff. The Project director described his own conception of SWCEL as "very broad", claiming that at one time "Washington looked at us as a project to serve all Mexican-Americans." He noted, however, that the project's ambitions "suffered a major setback" when OE unexpectedly turned down a proposal to train teachers of Chicano adults in the Midwest. The director emphasized that the project was concerned with all Chicano education -- for children as well as adults.

Other staff stressed the teacher training component of the project as constituting its major thrust. This was the view of Carmen Timiraos, the other key staff member along with the director. But Timiraos also noted that SWCEL was "very flexible" and undertook many activities in response to needs as they were identified. She cited as an example the Human Resource Center Directory, a national listing of people with expertise in areas of concern to Mexican-Americans.

The ABE project's mandate appeared to be quite broad. Financial support was provided by Washington for worthwhile activities to improve ABE for Mexican-American adults. Staff had considerable leeway in deciding what particular activities were worthwhile. This is not to say that there were no checks on the Lab's initiative; but, as one staff member pointed out, the project enjoyed considerable autonomy, and lack of money was not a significant problem.

Project Operations

The ABE project, though housed and administered by the Lab, enjoyed semi-autonomous status because of its separate funding. It had its own mission, budget, and personnel, although it sometimes borrowed staff from the Lab's production department. From the point of view of the ABE staff the situation was ideal. The project was able to draw on the resources of the Lab, including its impressive technical production capabilities, and yet remained insulated from many of the problems and conflicts that plagued the parent organization. In its heyday in 1969, with funding at $800,000, the ABE project was a major part of the total SWCEL operation, accounting for an estimated 25 to 35 percent of the Lab's operating budget. A staff of 12 full-time employees included a community liaison man, a project coordinator (a kind of staff supervisor), a supervisor of field testing, four secretaries, and several professionals working on various project components. Turnover among the professional staff was high, but continuity of leadership was provided by Timiraos, a Cuban educator with considerable experience as a teacher and teacher trainer. Originally hired to develop an English as a second language (ESL) teacher training package, she energetically set about expanding the project's teacher training activities. According to the director and other staff, and by her own account, this individual had a major impact on SWCEL's ABE activities from her arrival in the second year to the termination of the grant in the Spring of 1971.

Like many other large 309 projects, SWCEL had an advisory board. Organized by the project director, the board consisted of ABE directors, adult education professors, and representatives of the Mexican-American

community from the Southwest and other states, such as California and Texas, with large concentrations of Mexican-Americans. Among other things, the board served to promote awareness of SWCEL's activities among adult educators in the Southwest and contiguous states. Significantly, SWCEL's relationships with the professional ABE community were reported as least satisfactory at the state level in New Mexico and at the local level in the city of Albuquerque. Staff also felt that relations with Washington were generally unsatisfactory due to turnover of project officers and what was seen as a communications gap between project officers and their USOE superiors. One respondent complained that the termination of the grant was announced on short notice. When SWCEL's OE Program Officer was asked why he had not given word of the termination date, he replied that he did not have advance knowledge of the termination decision.

SWCEL also maintained institutional ties with a number of subcontracting organizations, the most important of which were the University of Arizona, which produced the Empleen Ingles TV units, and the McMinnville, Oregon public schools which, in addition to the SWCEL subcontract, had its own 309(b) grant to develop a programmed learning center for "Spanish-surnamed Americans." The McMinnville project produced the ABE Readiness Materials, a series of instructional packages for Mexican-American ABE students.

Project Output

SWCEL was not only one of the largest and longest-lived 309's but also one of the most prolific. SWCEL's products can be classified into

three broad categories: 1) instructional materials for Spanish-speaking adults; 2) teacher training materials; 3) miscellaneous materials and services. Output in each of these categories is described below.

1. Instructional Materials. The most costly and glamorous instructional package is Empleen Ingles, a series of 30 half-hour video units designed to teach English to Spanish-speaking adults with little or no English proficiency. Featuring comic animated characters and a pretty Spanish-speaking teacher, each unit is designed as a self-contained lesson with specified behavioral objectives and each contains a workbook for students and a teacher's guide. Empleen Ingles was produced in sound and color for either TV broadcasting or use with a 16 mm projector. Field test reports indicated that Empleen Ingles was quite successful in boosting English proficiency, particularly when the video units were supplemented by paper and pencil materials. The film can be either purchased or rented for $50 for a two week period.* Also intended for instruction of Spanish-speaking adults are the ABE Readiness Materials which consist of three modules or packages: the English Readiness Package, intended for adults with little or no English proficiency; the Comparative Buying Package (consumer education); and the How to Get a Job Package.

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*Prices, as of 1972, are provided to give the reader a sense of the investment required by potential adopters.

Each package comes with supplementary tapes and slides and 30 manuals. Cost per package is roughly $200, with additional manuals available at $1.25 each.

2. Teacher Training Materials. The first teacher training product was the English as a Second Language Package designed to teach ABE teachers the audio-lingual approach to ESL instruction. Intended outcomes are stated in behavioral terms and can be assessed using a test included in the package. Also included are a 15 minute color film demonstrating the audio-lingual approach and a teacher's workbook. Like the other training materials this package is intended for teacher trainers, not for self-instruction by teachers themselves. The package takes about two hours to present and costs $264. Another training package, Performance Objectives, provides instruction in the use of behavioral objectives in classroom teaching. This package treats the subject in a general way and is applicable for teacher training at any educational level. The Performance Objectives Package contains a tape-slide presentation and teacher's workbook. It takes four hours to present and costs $139. A companion package, Systems Approach to Lesson Planning, "provides teachers with training on techniques for converting written objectives into lesson plans" through use of a "systems matrix" in which the teacher records both planned and actual entry conditions, teaching procedures, and learner outcomes to facilitate corrective measures if achieved outcomes differ from those planned. This package takes about four hours to present and costs approximately

$195. A Teacher-Teacher Aide Companion Training Package was designed to provide simultaneous training in the "respective roles" of the teacher and the aide. Developed near the end of the project's funding period, it was never mass produced and marketed. A film on microteaching was also developed but never marketed. A Cultural Awareness Package was produced under subcontract to the Texas Guidance and Counseling Project which adapted the package for its Teacher Awareness Kit.

3. Miscellaneous Materials and Services. Included in this category are all project outputs not designed for student instruction or teacher training. An early effort was the SWCEL Clearinghouse on Mexican-American Adult Basic Education. A computer based information retrieval system similar to ERIC, the Clearinghouse began operation as a general information system, but later shifted emphasis to instructional materials. SWCEL also produced a Here's How Recruitment and Motivation Kit, which was never mass produced. A Human Resource Center Directory was compiled which listed persons across the country with expertise related to the problems of Mexican-Americans. A Materials Library Evaluation project was undertaken which resulted in published evaluations of reading, English, math, ESL and other ABE materials. In addition to ratings of materials on 18 dimensions, information on source, cost, and instructional level is provided. In its last months of operation SWCEL published an Oral Placement Test for Adults, a diagnostic instrument designed to test ability to understand and speak English.

Dissemination

Not all of the output described above was or could be disseminated. Some materials never reached the production stage, and services such as the Clearinghouse were never intended for replication. However, a number of tangible products were produced for dissemination including Empleen Ingles, the three teacher training packages (ESL Training, Performance Objectives, Systems Lesson Planning), the ABE Readiness Materials (English Readiness, Comparative Buying, How to Get a Job), the Materials Library Evaluation, the Oral Placement Test, and the Human Resources Center Directory.

The intended users varied considerably, depending on the nature of the product. Empleen Ingles and the Readiness Materials were designed for instructional use in local ABE programs, (Empleen Ingles could also be broadcast over educational TV). The teacher training materials, on the other hand, were intended for use by teacher trainers, who could be state ABE staff, university professors, or inservice education specialists in school systems or other agencies. These materials were not exclusively designed for ABE teacher training and therefore had potential appeal to a vast group of professionals involved in teacher preparation and inservice education. Most of the miscellaneous materials were intended for use by ABE programs. The Oral Placement Test, for example, can be used to screen students for proper class placement. The Materials Library Evaluation could be useful in selecting materials for local ABE programs. SWCEL's output, consequently, consisted of multiple, diverse products intended for a variety of potential users.

Several strategies were used to promote dissemination of SWCEL products: training workshops, mostly for those interested in the teacher training packages; "show and tell" sessions which reviewed materials, displayed products, and included a sample showing of Empleen Ingles; traveling displays, often at conferences, sometimes featuring a "mini workshop"; Adelante, a newsletter with a circulation of about 1,000; direct mail advertising utilizing individual brochures for each of the major packages; and individual responses to letters of inquiry, often by telephone, which sometimes resulted in an invitation to put on a workshop or show and tell session. About 200 teacher training workshops were conducted by SWCEL staff over a three year period. It was Lab policy to strongly recommend, and in some cases require, training in the use of packages. This increased costs considerably, but was thought necessary in the case of trainers with mixed qualifications or experience. After the project was terminated, training could no longer be provided and was therefore dropped as a condition of sale. Sale without adequate training was felt to be preferable to no sale at all.

Although dissemination through training workshops following the project's first year was a continuous process, other techniques such as the show and tell sessions and traveling displays were utilized mainly in the final six months of the project, when the staff decided to mount an aggressive dissemination program. Included in this final effort were 11 two-day general dissemination workshops which emphasized the ABE Readiness Materials, Oral Placement Test, Empleen Ingles, the Recruitment and Motivation Kit, and the ESL and Performance Objective

packages. These sessions failed to reach large numbers of potential users. One workshop, for example, was attended by 11 persons, mostly from New Mexico, the other by six people, three from one agency in Texas. Show and tell demonstrations were provided for the Arizona State Eduation Department, the Albuquerque and Phoenix Job Corps centers, the Arkansas Valley Cooperative Association in La Junta, Colorado, and for groups visiting SWCEL headquarters. Traveling displays included two appearances at Office of Education buildings in Washington.

SWCEL's fourth year report included assessments of the effectiveness of these dissemination strategies. The 11 workshops, where actual training was provided, were considered particularly effective, primarily because satisfied workshop participants spread the word back home which resulted in inquiries from sources that otherwise would not have been aware of SWCEL. The show and tell sessions were judged somewhat less effective, but it was noted that "interest is generated which sometimes leads to either a workshop or a sale of materials." Much less interest appeared to be generated by traveling displays. It was noted that personal followups of inquiries proved effective in creating demand for workshops or show and tell sessions, but that few potential users were reached in this way.

Project staff emphasized that USOE did not encourage them to make any effort at dissemination. The project director recalled that OE staff had made it clear that SWCEL was considered merely the developer -- that it was not their job to disseminate material. Apparently, whatever dissemination took place resulted from the concern and initiative

of project staff.

In addition to direct dissemination attempts, SWCEL tried to interest commercial publishers in marketing the materials. This effort was unsuccessful, however, reportedly because of the "thin market" nature of the materials and restrictive OE copyright regulations. Moreover, SWCEL's materials were designed in a form that was very costly for a publisher to produce profitably. Had SWCEL consulted a publisher prior to development, the products might have been developed in a more commercially feasible format. Another OE regulation that created problems was that prohibiting production of more than 250 copies of any one publication. This hampered efforts to disseminate the Human Resource Center Directory, since the original stock was quickly depleted. Both the Center Directory and the Materials Library Evaluation were turned over to the U. S. Government Printing Office for distribution, but were never printed, apparently because of lack of funds.

Efforts to produce and disseminate material, as the above discussion suggests, met with mixed success. Publications such as the Human Resource Center Directory and the Materials Library Evaluation were distributed in small quantities and then sent to the Government Printing Office to gather dust. Some of the teacher training materials developed in the final year were never mass produced and marketed, most notably the Teacher-Teacher Aide Package and the film on microteaching. Most of the remaining products, including the Empleen Ingles series, the ABE Readiness Materials, and the Performance Objectives, ESL, and Systems Lesson Planning packages were produced in limited quantities for distribution by the Lab. Empleen

Ingles, which took four years of work plus a small fortune to develop, was never used after the final field test. Tapes suitable for TV broadcasting and reels of 16 mm film sit undisturbed in SWCEL's storeroom. It was thought that the film version would be attractive to local ABE programs, since rental is a modest $50, but there have been no takers. The other materials have fared somewhat better, but not much. A former member of the ABE staff, now in charge of processing orders for SWCEL products, indicated that the ABE materials are the Lab's "best sellers" and that interest has not noticeably declined in the year and a half since the project ended. A list of purchasers of ABE materials for the one-year period January 1971 to January 1972 was obtained from the Lab. It was not possible to determine from the list which purchasers were definitely ABE programs and which were not, although the majority appeared not to be local ABE or ABE-related programs. Table 3-1 summarizes sales data for each product, indicating the number of purchasers and their geographical distribution.

Table 3-1

Sales Data for SWCEL ABE Materials for the Period Jan. 1971 through Jan. 1972

Product	Number Sold	Geographical Distribution
ABE Readiness Materials:		
English Readiness	6	Southwest (3), Midwest (3)
Comparative Buying	3	Southwest (2), Midwest (1)
How to Get a Job	3	Southwest (1), Midwest (2)
Teacher Training Materials:		
Systems Lesson Planning	6	Southwest (6)
ESL Package	9	Southwest (8), Northeast (1)
Performance Objectives	43	Southwest (28), Northeast (7) Midwest (3), Northwest (4) South (1)

In all, 70 packages were sold to 60 different organizations in 19 states. More than two-thirds of all sales were made in the Southwest. The Readiness Materials, intended for Spanish-speaking ABE students, sold at the rate of about one package per month. In contrast, the Performance Objective Package and the other training materials, which were not specifically designed for ABE, sold at the rate of one package per week. Except for Performance Objectives, SWCEL's success in marketing these materials appears to have been modest. The materials continue to be available, but the Lab lacks the resources to market them aggresively. Another problem is that training is no longer available.

The Lab now sells to anyone who can pay and deposits the money in a revolving fund so that receipts from sales can be used to reproduce additional materials.

Conclusion

SWCEL came up with a number of carefully developed and tested products of high technical quality, but utilization of these products by local ABE programs (or by state level trainers and consultants) seems modest in relationship to the development investment. Some of the major factors which appear to have hampered effective dissemination and use of SWCEL output are discussed below.

1. The project suffered from a lack of focus and systematic development. There seemed to be little rationale for development of certain products and not others. Moreover, it was never clear just who the project was supposed to be serving. Goal displacement seemed to occur as the project put increasing emphasis on the development of teacher training materials which were not designed expressly for the needs of Mexican-American ABE programs.

2. It is implied above that the teacher training materials had little appeal for many local ABE programs. One factor reducing their desirability was cost, not only the price of the packages themselves but the cost of training. The fact that two of the packages were not explicitly designed for ABE teacher training may also have reduced their appeal.

3. Cost and complexity probably retarded adoption of the ABE instructional packages as well. These factors were especially salient

in the case of Empleen Ingles, which was originally conceived as a series of 30 half-hour TV programs -- ideally to be supplemented with paper and pencil materials and even tutorial assistance. But, as in the case of RFD, who was to take responsibility for planning and implementing an expensive and ambitious TV series? There were obstacles to adoption of the 16mm film version, too. Essentially, the film series constitutes an alternative instructional system for beginning level ESL classes. SWCEL, however, failed to provide evaluative information about the advantages of Empleen Ingles over more conventional approaches to basic English literacy. Consequently, ABE directors had little incentive to adopt the film series because the advantages of doing so were not clear.

4. As the above discussion indicates, much of SWCEL's output did not meet the felt needs of local ABE programs, although the material may very well have met other important needs. There seems to have been little involvement of local ABE people for the purpose of identifying priority needs of the field to which SWCEL could respond with its substantial development capability.

5. Much of SWCEL's output was developed late in the grant period and was never mass produced. This militated against its effective impact on ABE. Many of the products that were never mass produced were the most relevant to local ABE programs, notably the Materials Library Evaluation, the Oral Placement Test, and the Here's How Recruitment and Motivation Kit. SWCEL, of course, fulfilled its contract obligation by producing prototype materials. Unfortunately, termination of SWCEL's

grant precluded the production and dissemination of these materials.

6. SWCEL failed to develop close linkages with state and local ABE agencies. Since SWCEL was not "plugged into" any teacher training network (such as now exists for ABE in the Southwest) where Lab-trained trainers could in turn train others, the marketing and training operation never achieved the desired "snow-ball" effect. Dissemination effectively terminated concurrently with the project itself.

7. To its credit, SWCEL made some effort, on its own initiative, to disseminate what had been produced. But this attempt clearly amounted to "too little, too late." Only the last six months of the grant were available for the dissemination program, and even at this point, not all the materials were ready for distribution.

In hindsight, the project director believed that more effort should have been made to work through the state ABE agencies. He noted that materials could have been demonstrated to state ABE staff and more money pumped into materials production to enable free distribution of the packages to the state ABE directors. But SWCEL's linkages with the state ABE systems were weak or non-existent, and for this reason, as much as for any other, project impact on local ABE programs was less than it might have been.

Section 4

Texas Guidance and Counseling

The Texas Guidance and Counseling Project was funded for three years, beginning in 1968-1969 for a total of $427,000. The project was based at the University of Texas Extension Teaching and Field Service Bureau at Austin, and was headed by William Barron, who was later to become dean of the extension division. Robert Wood served as project administrator, and Kenneth Stedman, a communications specialist who joined the project in its second year, as assistant project director.

The initial impetus for establishing Texas Guidance and Counseling came from the director of USOE's Division of Adult Education Programs. As reported, the Director asked a group of adult educators in his office what they would do with $95,000 if he granted it.

> Nobody wanted to touch it, but I said I would develop a package that would help ABE teachers to beome more aware of their students' problems and cultural differences....Later we wrote the proposal. As it turned out, we gave them something better than they thought they would get.

Since delays in the disbursement of grant funds to Texas Guidance delayed initial project operations, staffing the project, getting it off the ground, and producing "something concrete to show for the money" in the remaining seven months of the grant year made the first year a hectic race against time. The need to produce results in a short time period necessitated the subcontracting of materials development to the Southwestern Cooperative Educational Laboratory in Albuquerque, New Mexico.

The objective of the Texas Guidance and Counseling project was to improve ABE counseling in USOE Region VI*, utilizing multi-media training packages developed by the project. The First Year Report states:

> Two pilot centers in each of the five states will be used to arrive at one or several optimum programs of operation for ABE centers; an instructional package to orient professional counselors to Adult Basic Education will be developed; and the greatest dissemination possible will be sought for the information and attitudes contained within the Teacher Awareness Master Unit.[2]

The Second Year Report further elaborates the objectives,

> To implement, in two pilot centers in each state, an experimental guidance and counseling program for Adult Basic Education. . .
>
> To provide extensive in-service training for counselors and teachers in each of the pilot centers. . .
>
> To encourage and assist the state ABE departments in promoting and implementing local guidance and counseling in-service programs for teachers and counselors . . .
>
> To conduct an in-depth, three-week professional counselor-training institute for ABE counselors in Region VI. . .
>
> To publish the results of the . . . Guidance and Counseling Project and provide liaison with other USOE Regions in an attempt to encourage national efforts in guidance and counseling for undereducated adults.[3]

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*States of Texas, Louisiana, Oklahoma, New Mexico, Arkansas

The Package

The project staff originally intended to develop a package for the in-service training of professional ABE counselors. A survey indicated, however, that the number of professional ABE counselors in the five-state region was extremely small, and that ABE teachers with little training or relevant experience were doing the counseling. The staff therefore decided to gear its package towards training ABE teachers in counseling. As the instructions for the use of the kit stated,

> Problem: We currently do not have enough ABE counselors and may not have enough for quite a while.
>
> Solution: Aquaint teachers with basic principles so they can better counsel and guide their student when necessary.

As mentioned previously, the first package, called the Teacher Awareness Kit (TAK), was developed under subcontract by the Southwestern Cooperative Educational Laboratory. Consisting of audio tapes, overhead transparencies, a 16 mm film, 35 mm slides, aricles and papers, it covered a wide array of subjects from "Awareness of Human Needs" to "Methods of Placing the ABE Student." Originally priced at $250, the package took two and a half days to present (without discussion it could probably be presented in one day, but discussion was held to be the most important component of the training program).

By the second year of the project more ABE counselors had been hired in the region. Most, however, had little experience in working with undereducated adults, and there was a need for a training program to help them cope with the problems of ABE. During that year the TAK was revised, and a second kit, Counselor Orientation Package (COP) was

developed.

In the revised version of the TAK the hand-painted transparencies were replaced by lower quality but less expensive machine-made ones, and the bulky reel-to-reel tapes were transformed into cassettes. In addition a film featuring popular singer Buffy St. Marie was replaced by the film "A Harlem Family." Perhaps the most significant change, however, was the transformation of the lessons, originally loose materials grouped into content areas, into cardboard-wrapped, self-enclosed units sturdy enough to be mailed separately. Improvements incorporating accumulated experience and feedback were made in content as well as format. The second unit, the Counselor Orientation Package (COP), was organized along a similar format. These changes, resulting in more compact packages, made possible a price reduction to $125 each, half the original price. The third year saw the development of an additional counselor training film, Belton, Jerold F., and the final revision of the kits.

The divisibility and modifiability of the packages - the fact that individual units could be used separately or modified to suit the needs of the user - proved an important asset. Cultural diversity within Region VI, which includes Texas, Louisiana, New Mexico, Arkansas and Oklahoma, is great. The target population varies not only along racial and urban-rural lines, but along the dimension of political ideology as well. Thus the packages, specifically addressed to the needs of Mexican-Americans in Texas, proved inappropriate to the needs of New Mexico which has a large Indian population, and of Louisiana, where many of the poor are French-speaking. It was possible, however, for

any participating state to modify the units.

The packages were developed with the help of adult education professors from the five state universities in Region VI, ABE practitioners, and members of state ABE departments. Feedback from the pilot communities was also incorporated into revision of the kits. Final decisions, however, were made by the central project staff.

The project staff made an effort to involve the Regional Program Officer and the five state directors in the development of the kits. This collaboration appeared to greatly facilitate training and dissemination.

Dissemination

The Texas Guidance staff launched a systematic dissemination campaign in an attempt to expose the packages to as many ABE personnel as possible. While there were some systematic attempts to disseminate nationally, the emphasis was on dissemination within Region VI.

Teacher training, the primary regional dissemination strategy, consisted of training "teacher-trainers" at 3-week summer institutes held in Austin, utilizing the "certified" trainers and the packages to conduct in-service training workshops for ABE personnel in each of the five states, and establishing "a total guidance/counseling program in two pilot centers in each state, one large and one small, to determine the most effective means of developing such an overall program in a local center."

The training strategy followed the "snowball" principle, or the "each-one-teach-one" method. As the project's Phase III report states:

> Regional three-week summer institutes (1969-1970) were conducted (in Austin) for Trainers of Teachers/ Counselors/Administrators. The format of the institute was built around the concept that the participants were to become trainers within their respective states. With this concept in mind, the materials and methods used in the institutes were presented in such a manner so that the participants would become competent in presenting the package in local districts throughout their states.

The workshop "graduates" went home as "certified" trainers, and proceeded to train teachers and counselors in their states. By the end of the first summer, 4000 teachers had been trained. The trainers were paid on a consultantship basis by the host programs, which were reimbursed by the Texas Guidance and Counseling project. Since the Texas Guidance workshops partially fulfilled state in-service training requirements, and since the teachers were given a small stipend for attending sessions, motivating teachers to participate was no problem. Thus the Texas Guidance and Counseling packages became a standard part of ABE staff development in Region VI. According to the project director,

> By giving a few people intensive training for three weeks and then sending them out, we made more progress in one year than we would have by training teachers in five years.

As the staff members emphasized time and again in interviews with the researchers, the primary function of the TAK and the COP was to provoke thought and discussion. In their view the kits did not contain any answers; they were merely intended to alert practitioners to some of the problems inherent in counseling and teaching adults from different cultures. Thus the important thing was not the presentation of as many of the units as possible in the course of a given workshop, but

the group interaction that followed the presentations.

Most of Texas Guidance's national dissemination effort was conducted during the third year of the project. Between December 1970 and April 1971, teams trained by Texas Guidance conducted workshops in every HEW region except IX and X, which chose not to participate. A total of 312 participants attended the workshops, including 60 ABE teachers, 63 ABE counselors, 89 ABE administrators, 44 state ABE personnel, 20 university-affiliated people, and 36 "others." The participants were selected by the respective state ABE directors. On the whole, the workshops were favorably evaluated by the participants. As one staff member related, "The first training workshop outside the region was in Atlanta. In the morning few people showed up - 15 or 20. The session went so well that 100-150 people showed up the next day, after the word got around."

The Final Report states,

> During the three years of the Project, the training of teachers, counselors, and administrators within Region VI has been based on the "training network" or "building block" approach. Under this plan, the Central Project Staff trained a core of teachers and counselors from each of the five states. These persons then became trainers within their own states, presenting the materials to other teachers and counselors who then became trainers for local workshops and conferences throughout the state.
>
> This same approach was employed for the national training workshops conducted by the Project in other USOE regions. Persons selected by state directors to attend the regional workshops now constitute a cadre of trainers at the national level. In the coming months, these people will conduct workshops within their respective states in accordance with individual state plans. Thus, the influence of the Project and use of the materials developed will be continued.

Texas Guidance and Counseling also directly distributed the

packages outside the region. Two copies of each kit were given to every state free of charge. In addition, the project sold $10-15,000 worth of packages, about half of which were sold outside the region. The Southern Regional Education Board bought ten copies of each kit for a total (discounted) price of $5,000. The project director believed that selling the kits was superior to giving them away, since "if you give it away, people don't think it's any good." Today there are one or two kits in each state, and the University of Texas project staff believes that they do circulate. The kits are comprised of self-contained units which can be circulated separately, a feature that can facilitate increased exposure.

The dissemination effort has also generated "by-products," or outcomes not explicitly intended at the outset. One of these was the widespread use of the TAK and the COP for purposes very different from ABE, from police and nursing education to middle-management training. This resulted partly from the fact that some of the people exposed to the Texas Guidance and Counseling packages in Austin later became involved in diverse fields where they could put the materials to use.

Impact

That the Texas Guidance and Counseling project had a major impact on ABE counseling in Region VI is undeniable. Outside the region its influence was much weaker. One tangible measure of successful dissemination is the number of packages distributed and the number of ABE teachers, counselors and administrators exposed to the kits in workshops. In Region VI about 3,300 teacher and counselors, or about

two-thirds of the total in the region, were trained using the Texas Guidance materials. In Louisiana, 90 percent of the ABE teachers and counselors were trained with these materials; in Texas the figure was 70-75 percent and in Arkansas 75-80 percent. Each state in Region VI received five copies of each of the packages, and additional packages were made available for purchase. Texas produced 75 copies of the TAK for distribution within the state. No comparable figures are available for the nation as a whole, but our survey of ABE directors indicates that 8.7 percent of local ABE directors used products or ideas from Texas Guidance and Counseling, and that all together 48.5 percent had heard of it.

An important question is whether exposure to the Texas Guidance and Counseling materials effected change in those trained. The explicit objective of the training was to deepen teachers' and counselors' awareness of the impact of cultural differences on learning, to increase teachers' involvement with and feeling of responsibility for students, and, as a result, to improve ABE teaching. No rigorous evaluation has been conducted, but it seems there is little doubt in the minds of both project staff and the ABE practitioners interviewed that these objectives were indeed accomplished. In one of the pilot communities ABE personnel interviewed reported that the teachers' increased awareness of students' motives and problems caused them to become more involved with the student as a complete person and feel a greater personal responsibility for his retention and progress.

The staff of Texas Guidance were aware of the short duration of

most attitudinal change, of its tendency to evaporate once the supportive "temporary system" (e.g., workshop, therapy session) is disbanded and the participant goes back to his unchanged real-life situation. As one staff member pointed out to the researchers:

> We tried to keep the Texas Guidance and Counseling workshops from turning into sensitivity training. I am very much opposed to the fad of T-groups, because you turn people on artificially; and once they get home, how much of the effect lasts? By contrast, the impact we created was permanent - I hope.

The Texas Guidance and Counseling staff felt that lasting change was made possible partly by the great amount of concrete detail in the contents of the packages, so that "as a specific case arises, the teacher can recall the relevant part and fall back on it. There is enough specific content in the package to make it possible to recall on specific instances. It is not only general material." More important, group discussion, and not the presentation of material, was emphasized as the crux of the training sessions. The ample opportunities for group discussion, which occasionally called for explicit role playing, were intended to reinforce the participants' identification with the new role perceptions and to help them to internalize the changes. The emphasis on small group process placed a critical value on the choice of trainers to conduct the workshops. As one former state ABE director said:

> The packages were used as a vehicle to bring people together and to start discussing issues ....What makes the package utilization effective is the person who is presenting it....

> The discussion is supremely important. In one workshop we presented too much of the package in too little time - I don't think it was very effective....
>
> [A project staff member added], we were extremely selective in picking training teams for workshops in other regions.

The impact of Texas Guidance and Counseling on ABE as a whole in Region VI was summarized by state ABE personnel in Texas as no less than "the professionalization of ABE counseling." At the start of the project there were few or no professional ABE counselors, and those who did counseling rarely had any previous experience with undereducated adults. As a result of the Texas Guidance project the priority of counseling was raised throughout the states involved, and a standardized training program was made a regular part of the training of ABE counselors and teachers.

Factors in Dissemination

A major factor facilitating the dissemination and adoption of the Texas Guidance and Counseling packages, both inside and outside of Region VI, was their divisibility. As noted above, in their later versions the kits were composed of ten completely self-contained units that could be mailed and used individually. A user was able to select only those units that met his particular needs. The Texas Guidance staff encouraged users to revise and adapt materials to suit their own needs or to substitute their own materials where suitable. Some users, including the state of New Mexico and the Southern Regional Education Board, have indeed undertaken such revisions. Indications are, however, that such revisions require considerable effort and resources. Even so,

the divisibility of the packages, originally addressed to the problems of Mexican-Americans in the Southwest and specifically in Texas, has made them usable in widely different locations and with different target populations. As one staff member pointed out, "The human needs components can be shown anywhere, and the cultural parts are modifiable."

Another factor facilitating dissemination of Texas Guidance and Counseling materials was the well-established network of communication and cooperation among the state directors and between local directors, the state personnel and the regional program officer in Region VI. While this cooperation already existed when Texas Guidance and Counseling came into being, project development and dissemination further enhanced it. One of the local ABE directors in Texas, who has been involved both in the development and in the "consuming" of innovations, explained that cooperation with the already established communication system in Region VI permitted the project to utilize person-to-person dissemination strategies.

> The project staff must familiarize others with their ideas in person. Take, for example, our Armchair Program [not to be confused with the Philadelphia Adult Armchair]....First came impersonal dissemination: We sent around brochures and tried to determine how many people responded. We found out that we got responses only from those places where we had personally made representations.
>
> [Researcher]: Money alone is not the most important factor in dissemination. Sophistication in dissemination techniques is important.
>
> [Local Director]: Word-of-mouth is still the best dissemination technique. We try to involve the state director and the RPO. That's how you develop the notion of a region.

The cooperation of state directors and RPO's was also instrumental in spreading the word beyond the region through informal channels of communication.

A further advantage which ensued from the close cooperation that Texas Guidance succeeded in establishing with state and local ABE personnel was that these agencies supplied constant feedback from grass roots practicners. This feedback helped to keep the project firmly tied into the practical needs of the field. This has undoubtedly enhanced the packages' usability and hence their "disseminability." In the words of one local ABE director, "Practitioners are fed up with Ph.D.'s coming in from the university and giving them a lot of theory that has nothing to do with grass-root needs."

A factor inhibiting dissemination of the Texas Guidance and Counseling packages was their cost. Kits originally sold for $250, but mass production economy enabled reduction of the price to $125. While some copies of the kits were given away to state departments of education, the extent of their further utilization by local ABE programs depended on face-to-face explanation of the kits' use. A national "cadre of trainers" was indeed prepared by Texas Guidance and Counseling, but after the demise of the project no additional packages could be produced and expert training was no longer available except on a consultantship basis.

Conclusion

It is undeniable that Texas Guidance and Counseling was one of the more successful 309(b) projects funded by USOE. Within Region VI Texas

Guidance and Counseling succeeded in virtually transforming the training of ABE counselors and teachers. The success of Texas Guidance and Counseling can be partly attributed to the fact that its outcome was a "hard" product, and hence relatively easier to disseminate than a process. More important, the divisibility and flexibility of the product made it easily adapatable to local needs and resources.

However, a product's divisibility and flexibility alone cannot ensure its adoption. Potential users must be made aware of its availability, its relevance to their needs, and how it "fits" into their operations. In order to achieve this, a 309(b) project must become incorporated into an on-going, viable communications network. By becoming a regular part of the staff development system in Region VI, as well as by utilizing the formal and informal network of communications among the state directors and the RPO in the region, Texas Guidance and Counseling was able to assure at least some continued use of its results. In view of the frequency with which 309(b) results seem condemned to evaporate after the demise of the projects, the longevity of the Texas Guidance and Counseling Kits is indeed a positive outcome.

This success was largely limited to Region VI. Outside the region the utilization of the Texas Guidance and Counseling packages has been much less marked. The project was unable to link with existing networks of communication and training as it did in Region VI despite a dissemination campaign aimed at preparing a national "cadre of trainers" who were to carry on the work. The demise of the project, the withdrawal of its resources, and the discontinuing of its services, created termination of nearly all dissemination activities.

Section 5

Three Local Impact Demonstration Projects

As we initially defined them, local impact demonstration projects are those projects which operate within a specific local area and do not have a regional or national focus. Table 3-2 illustrates DAEP's commitment to funding projects of this nature from 1967 to 1972.

Table 3-2

Percentage of 309(b) Projects Funded which were Local Impact in Nature

Fiscal year	Local impact projects as a % of all 309 projects funded
1972	.84
1971	.88
1970	.67
1969	.61
1968	.67
1967	.41

Though local impact projects have accounted for the majority of projects funded since 1968, our initial inclination was to concentrate our research efforts on the typically larger, nationally oriented 309's, since pilot field work indicated that there was a much greater likelihood that the outcomes nationally oriented projects would be disseminated. Though this initial assumption has been corroborated by survey data, we believed that there might be lessons to be learned from the experience of local impact projects.

As a result, field studies were conducted of three local impact projects to discover if they had disseminated their results, and if not, why not. This study led to several conclusions that have considerable import for dissemination. It must be noted, however, that with only three cases we cannot generalize to the total population of local impact projects. We realize, for example, that the Model Cities joint projects may be somewhat different from the projects analyzed here. Thus our conclusions should be conceived of as untested hypotheses as far as the total population of local impact 309(b) projects is concerned.

The treatment of local impact projects in this chapter begins with a description of the projects studied:

Project:	The Chinatown English Language Center
Grantee:	New York Chinatown Foundation, Inc.
Location:	62-64 Mott Street, New York, N. Y.
OE Funding:	FY 1972, $40,000

The Chinatown Advisory Council was established to coordinate various community based civic and social programs. The Advisory Council is comprised of 95 member organizations, two-thirds of which are Chinese family associations.

One of the Council's first activities was to undertake a community needs survey, and results indicated that English language instruction was a top priority need. As a result, an education committee was established to develop an English language program, an assignment the committee found quite difficult because of what the project director termed "red tape." Initial difficulties were overcome, however, when the Council was able to mobilize political support in its behalf. As it was then constituted,

however, neither the Council nor the education committee could legally secure outside grant funds. Consequently, the Chinatown Foundation was established to receive and monitor grants. The Foundation is accountable to the Chinatown Advisory Council.

In order to accomodate students whose working hours were quite erratic, the Center concentrates on an individualized learning approach, though some classroom instruction was also conducted. The audio-lingual approach to ESL was used, and there was a concerted effort to staff the Center with teachers who were bilingual in Chinese. The Center served about 600 students out of an estimated target population of six to eight thousand.

The English Language Learning Center was in no way part of the Title III state grant program, and there was no formal relationship with the New York public schools, though the project sought and received sporadic informal consulting advice from the New York City ABE program. Separation from the New York City system allowed the project to hire bilingual teachers who did not have teaching certificates, but this also meant that it did not receive official staff development training, aterials or administrative assistance through the state Title III system. The director of the Center knew of and corresponded with other Asian-oriented 309(b) projects on the West Coast, though no substantial information has yet been exchanged. The project has not to date engaged in external dissemination, nor does it plan to.

Project:	The Lumbee Adult Education Project
Grantee:	The Lumbe Regional Development Association
Location:	Pembroke, North Carolina
OE Funding:	FY 1971, $35,000; FY 1972, $135,000

According to its proposal abstract, the Lumbee Adult Education Project was established to "Equip. . .illiterate Lumbee Indians with the reading, writing and mathematical skills needed to solve their day-to-day problems. . . .The students are expected to gain a new sense of self-pride and Indian identity along with their educational benefits." The project is located in Pembroke, North Carolina, a small farming town. Unlike many other Indian tribes, the Lumbees have neither a reservation nor a tribal language. They have been living alongside whites for many years and have, by and large, culturally assimilated, though they still retain a sense of Indian identity. Most Lumbee Indians own their own land, and nearly all are small farmers. The need for ABE arises from a common syndrome of having to withdraw from school at an early age to tend farms. There are approximately 30,000 Indians in the target area, of which about 10,000 are believed to be functionally illiterate. The program currently serves about 200 students.

The project was designed to relate to a rural population of sparse density and all the problems that this presents for ABE programs - transportation to and from classes, recruitment, and a farm work cycle. Recruitment and in-home instruction were central concerns. The target area was divided into six "centers" and each center maintained a class at a central location which was conducted by a teacher. A paraprofessional "recruiter coach" who recruits students, serves as a classroom aide, and provides in-home instruction was also assigned to each center. If a recruiter encountered a potential student who could attend classes, individualized materials were prescribed for at-home use, and the "recruiter coach" functioned as a tutor Recruiter coaches also referred

students to relevant social service agencies when they uncovered a need for such assistance.

All the project teachers were of Lumbee extraction because it was hoped that Indian teachers would serve as success models for Indian students and that they could identify culturally with their students in ways a Caucasian teacher might find impossible. Most instructional materials were produced in-house because it was felt that commercial materials were both inadequate and too expensive. The project was not associated with the local Title III program, though informal communication has occurred. Some of the teachers, for example, took part in a Title III ABE staff training session, but since they did not think the experience especially worthwhile, the training relationship lapsed.

The project's most important avenue of help and assistance was Kitrell College, a small liberal arts college, which provided the project with the expertise needed to produce its own self-instructional materials. Neither the project director nor anyone on the staff was aware of other 309(b) projects. The project has not as yet engaged in any external dissemination.

Project:	Program for the Spanish-speaking Community
Grantee:	Public Schools of the District of Columbia
Location:	Washington, D. C.
OE Funding:	FY 1970, $100,000, FY 1971, $125,000

The primary purpose of the Program for the Spanish-speaking was to provide remedial and vocationally oriented education to Spanish-speaking adults. ESL, computational skills, citizenship education, and consumer education were the core components of the program. In addition, the

project provided occupational and personal counseling, job placement, and social service referral assistance. A past project director estimated that 20,000 to 25,000 Spanish-speaking adults in Washington, D. C., could benefit from the project's services. The idea for the project originated with a group of Latin community leaders in 1970. A proposal was subsequently written and funded.

English classes were conducted utilizing a classroom format. The basic curriculum was what the project director termed "survival English" - the colloquial English used in everyday speech. Community coordinators were hired to form the kinds of relationships with community organizations and individuals that facilitate student recruitment and community support. Teachers were told "to make this [education] a communal venture so both students and teachers would feel that we are learning." Teachers, for example, were encouraged to "let the students teach them Spanish and to encourage the students to correct them." The project director stated, "The program got to be very popular, so much so that we were oversubscribed."

Like the other two projects studied, the project for the Spanish-speaking was in no way associated with the Title III ABE program. There was also no evidence to indicate that the project director or his staff were aware of other, perhaps similar 309(b) projects. The project did, however, form extensive linkages with universities in the Washington, D. C. area which provided voluntary consulting and evaluation help. About dissemination, the project director stated: "Dissemination as I see it is not telling about your project to other professionals, but carrying the message to the [local] people who need it." In keeping

with this perspective, there has been no external dissemination.

Generic Factors

A common element of the three local impact 309(b) projects studied was their grass-roots, community origin. The Chinatown English Language Learning Center, for example, was established because a community needs survey demonstrated a great need for ESL. The Lumbee Adult Education Project and the Program for the Spanish-speaking likewise developed from their communities.

The fact that all three projects originated from and were partially accountable to their communities seemed to affect their orientation and focus. The Chinatown English Language Learning Center was oriented towards helping the New York Chinese; the Lumbee project focused on the educational needs of the Lumbee Indians, and the program for the Spanish-speaking was totally involved with educating Washington, D. C. Spanish-speaking Americans. In other words, the primary objective of these projects was to operate an effective educational program for a local target group - not to develop, evaluate, and disseminate a new approach to ABE or materials or other products for national utilization. These programs, then, were operationally oriented rather than experimentally oriented. The major reason why none of the local impact projects disseminated is simply that dissemination was not considered to be a relevant objective under the terms of their grants.

One might ask, since these local impact projects are operation-oriented, how do they differ from the regular Title III state grant programs? Functionally, the local impact projects studied were very like local Title III programs in that they were doing essentially

similar things but for a special target group. Local impact projects, for example, experience problems which are similar to the problems of Title III programs - recruitment, dropouts, curriculum development. Structurally, however, the three projects exhibited major differences from the Title III programs.

Title III programs are attached to state education systems which provide such things as staff training, consulting help, and administrative direction on a pro forma basis. In addition, Title III programs typically form informal networks among themselves for mutual support, assistance, and communication. The local impact projects studied were in no way part of the Title III ABE system. They were structurally isolated from it. When they did form relationships with the Title III system, the relationships were informal, sporadic, and weak.

Structural isolation had several consequences for the projects studied. On the negative side, isolation means that the local impact projects were separated from the normal channels of ABE communication. When asked if he had heard of any of the well-known 309(b) projects focusing on recruitment, one project director responded "no I haven't." This was despite the fact that recruitment was a central component of his project. Similarly, when another project director was asked whether there was anything unique about her project, she responded, "Yes, I feel our learning lab is unique." She was unaware that within 20 miles of her there were several similar learning labs administered by Title III programs. Isolation from information means that there is nothing to prevent local impact projects form what a DAEP official termed "re-creating the wheel."

It may also cause these projects to experiment with approaches to ABE that have been found unpromising by other projects and Title III programs.

On the positive side, however, the local impact 309 projects were not constrained by any of the bureaucratic regulations imposed by the state education departments or public school systems. For example, the director of one project stated, "I feel that having teachers bilingual in Chinese is very important, but we have been unable to find enough teachers who have certificates." Because she was not restricted by public school regulations, the project director was able to hire bilingual teachers who had no certificates, a freedom which she felt was crucial to her project's success.

This does not mean that local impact projects initially faced with isolation do not often respond by seeking outside help. The Lumbee Adult Education Project, for example, established a very productive relationship with Kittrel College in North Carolina. Kittrel provided the assistance that the Lumbee Project needed to develop its in-home instruction curriculum. Similarly, the Washington, D. C. program for the Spanish-speaking established consulting relationships with several universities which resulted in valuable curriculum development and evaluation assistance. The point is that if a local impact project desires outside help it must search for it on its own initiative, while local Title III programs generally receive help from the state education department on a routine basis.

In their staffing patterns, all three projects studied were quite similar. In each program, priority in hiring was afforded to individuals with ethnic backgrounds similar to the project's clientele. Thus, all teachers in the Lumbee Project were Lumbee Indians, and the majority of teachers in the Washington and Chinatown projects were Latin Americans

and Chinese respectively. Of the three, the Washington project placed the lease emphasis on ethnicity, though it was certainly an important criterion for staffing. This staffing pattern seemed to be partially based on a belief, that since the project was designed for a specific minority, it should be run by them rather than for them. As the proposal abstract of the Lumbee Project explained, "This is a project for the community, by the community." More specifically, the Lumbee Project exclusively hired Lumbee Indians because it was felt that Indian teachers would serve as a positive role model for Indian students. Another reason for hiring teachers with ethnic backgrounds similar to their students was the feeling that staff members of similar ethnicity would relate to their students on a more meaningful basis.

Because the teachers in the projects studied were similar in ethnicity to their students, they seemed to perceive their role to be "helping my people" rather than contributing to national ABE program development. This tended to reinforce the purely local orientation of the projects and contribute to a lack of desire to disseminate.

We now turn to the issue of dissemination. None of the local impact projects studied had disseminated its results to other ABE programs or planned to. None of their proposals specified provision for dissemination. When asked about dissemination, each project director responded primarily in terms of internal dissemination - publicizing the program to the community in order to build support and recruit students. Each project did conduct publicity efforts, utilizing such techniques as community liaison staffs and publication in local newspapers, but because the project was seen as operational rather than experimental, external dissemination was considered

irrelevant.

An important question is whether or not these projects produced anything that was replicable - that could be used elsewhere. In at least two of the three cases, replicable results were achieved. The Lumbee Project's use of paraprofessionals for recruitment, in-home instruction, and classroom instruction might benefit many rural ABE programs, and the program for Spanish-speaking people's concept of survival English might have many applications in other ESL programs. Nevertheless, there has been no dissemination of these results, perhaps in part because the project directors do not realize that they have developed innovations potentially useful to others. Moreover, there is no mechanism available to facilitate national dissemination of the results of such projects.

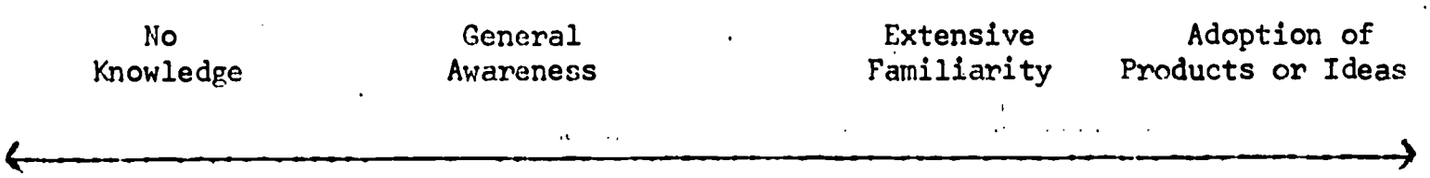
Section 6

The Effectiveness of Dissemination

In assessing the effectiveness of 309(b) dissemination, the critical issue is the degree to which 309(b) projects have been successful in reaching local Title III ABE programs. In discussing this issue, two dimensions of dissemination must be attended to: the scope of dissemination and the depth of dissemination. Scope refers to the number of local ABE directors a 309(b) project successfully reached. Depth can be conceived of as a continuum, ranging from creating awareness of the 309(b) project to securing adoption of project ideas or products. Portrayed graphically, the continuum is as follows:

Figure 3-1

Dissemination-Depth Continuum



Results of Dissemination

A question included in our national survey of local ABE directors read as follows: "Listed below are some major 309(b) projects funded in the past. Please indicate how familiar you are with each project." Seven of the largest and most publicized projects were listed and briefly described.* Results were tabulated on a regional basis as shown in Table 3-3.

*See Appendix A, item 13, for project descriptions.

Table 3-3

Effects of Disseminating 309(b) Information and Outcomes to Local ABE Directors, by Region*
(In Percent, N=805)

	% of Local ABE Directors Who Had Not Heard of the 309(b)	% of Local ABE Directors Who Had Heard of the Project but Had No Details	% of Local ABE Directors Quite Familiar with the Project But Had Not Used Products or Ideas	% of Local ABE Directors Who Had Used Products or Ideas
Northeast				
Project				
Texas Guidance and Counseling	56.0	20.9	12.7	10.4
Project Communi-Link	64.2	16.4	14.9	4.5
SWCEL ABE Project	70.9	20.9	6.7	1.5
**Adult Armchair	56.4	21.1	16.5	6.0
Appalachian ABE Center	34.3	41.0	13.4	11.2
SREB ABE Project	76.1	15.7	4.5	3.7
South				
Texas Guidance and Counseling	57.2	28.4	8.5	5.9
Project Communi-Link	71.8	17.9	5.5	4.8
SWCEL ABE Project	75.5	17.9	4.4	2.2
Adult Armchair	69.4	22.5	3.3	4.8
**Appalachian ABE Center	21.8	38.5	17.8	21.8
**SREB ABE Project	42.9	25.0	10.2	21.8

*Northeast = Conneticut, Maine, Massachusetts, New Hampshire, Vermont, New York, New Jersey, Delaware, Maryland, Pennsylvania.
South = West Virginia, Virginia, Alabama, Florida, Georgia, Kentucky, Tennessee, Missouri, North Carolina, South Carolina, Arkansas, Louisiana.
Mid-West = Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin, Iowa, Kansas, Missouri, Nebraska, North Dakota, South Dakota.
Southwest = New Mexico, Oklahoma, Texas, Colorado, Arizona.

West = Montana, Utah, Wyoming, California, Hawaii, Nevada, Washington, Idaho, Oregon.
**Indicates project located in region.

Project	% of Local ABE Directors Who Had Not Heard of the 309(b)	% of Local ABE Directors Who Had Heard of Project but Had No Details	% of Local ABE Directors Quite Familiar with the Project But Had Not Used Products or Ideas	% of Local ABE Directors Who Had Used Products or Ideas
Mid-West				
Texas Guidance and Counseling	52.7	33.3	5.9	8.1
Project Communi-Link	62.4	20.4	12.4	4.8
SWCEL ABE Project	68.8	26.3	3.2	1.6
Adult Armchair	61.2	19.7	10.6	8.5
Appalachian ABE Center	27.7	43.1	19.1	10.1
SREB ABE Project	76.8	19.5	3.2	0.5
Southwest				
**Texas Guidance and Counseling	27.3	41.4	12.1	19.2
Project Communi-Link	59.8	24.7	8.2	7.2
*SWCEL ABE Project	39.2	32.0	16.5	12.4
Adult Armchair	75.5	16.3	6.1	2.0
Appalachian ABE Center	50.0	36.7	12.2	1.0
SREB ABE Project	80.6	13.3	5.1	1.0
West				
Texas Guidance and Counseling	61.1	27.4	7.4	4.2
**Project Communi-Link	47.4	20.0	18.9	13.7
SWCEL ABE Project	57.9	18.9	13.7	9.5
Adult Armchair	78.1	15.6	2.1	4.2
Appalachian ABE Center	43.2	46.3	6.3	4.2
SREB ABE Project	86.2	11.7	2.1	0.0

These results clearly indicate that dissemination efforts of the projects listed were most successful within their respective regions. The most obvious explanation of this finding is the fact that each project concentrated more on regional dissemination than national dissemination. Yet another explanation might be that the proximity of a 309(b) to its intended users has a marked positive effect on dissemination and utilization. There are many possible components to the proximity dimension. If a user is geographically close to a 309(b) project he is available for face-to-face training. Similarly, 309(b) projects can more easily communicate their outcomes through local communication systems with which they are familiar than through communication systems which are distant and foreign to them. Moreover, the outcomes of 309(b) projects tend to be more relevant to ABE programs in their immediate vicinity. Finally, there is the fact that the project grantees tend to have greater regional than national visibility.

Though the 309(b) projects listed in our survey seem to have met with some regional dissemination success, the focus of this study has been national dissemination, the assumption being that if a 309(b) project produces something of merit, all local ABE programs should have the opportunity to learn of it and use it. With the possible exception of the Appalachian ABE program, none of the projects listed in our survey succeeded particularly well in disseminating nationally.

Table 3-4

Local ABE Directors' Familiarity with and Use of 309(b) Project Ideas and Products (In Percent, N=805)

Project	Never Heard of	Heard of but Have No Details	Quite Familiar but Have Not Used Products	Quite Familiar and Have Used Products
Texas Guidance & Counseling	52.7	29.7	8.9	8.7
Project RFD	60.1	25.2	11.7	3.0
Communi-Link	63.7	19.5	10.7	6.1
SWCEL ABE Project	66.5	22.3	7.1	4.1
Adult Armchair	67.2	20.0	7.4	5.5
Appalachian ABE Center	31.4	40.8	15.3	12.5
SREB ABE Project	66.3	19.1	6.1	8.5

In terms of the scope of dissemination, Table 3-4 shows that six of the seven widely publicized 309(b) projects failed to reach at least half the local Title III ABE directors. In terms of depth, the data indicate that most Title III ABE directors who had heard of the projects did not possess detailed information about them, and that no project achieved more than a 12.5 percent utilization rate.

Detailed knowledge, as contrasted with general awareness information, seems to be a significant factor in securing utilization of project outcomes. When the percentage of utilization reported by directors who claimed that they were "quite familiar" with the projects is computed, the following results:

Table 3-5

Utilization Rate for Local Directors "Quite Familiar" with 309(b) Projects (In Percent)

Project	% of Local Title III Directors who Used Products or Ideas
Texas Guidance & Counseling	49.3
RFD	20.7
Project Communi-Link	36.4
SWCEL	36.4
Adult Armchair	42.6
Appalachian ABE Project	45.0
SREB	58.3

In general it appears that once local directors became quite familiar with a 309(b) project, the utilization rate was at least moderate. RFD seems to be an exception, but its major product was a highly technical TV instructional system not suited to replication by local programs.

The lesson these figures seem to convey is that Local ABE directors will and do use 309(b) products and ideas once they have become sufficiently familiar with them. In part, the answer to increased utilization seems to be more efficient and extensive dissemination of detailed information.

If efficient dissemination is an issue, it is useful to know which dissemination channels are the most extensively used by local ABE programs. Survey respondants were asked to identify how they had first learned of these seven 309 projects. The results are shown in Table 3-6.

Table 3-6

How Local Directors First Learned of 309(b) Projects
(In Percent, N=805)

Project	At a Workshop Conducted by the Project	At Staff Development or In-Service Session	At State or National Convention	From State Education Department	From Another ABE Director	From Your Own Staff	From a Project Publication	Other Source
Texas Guidance & Counseling	13.2	11.9	13.5	25.1	5.0	2.8	13.8	10.7
RFD	5.5	8.5	19.9	23.2	4.8	2.6	19.5	12.2
Communi-Link	11.6	11.2	22.1	26.9	4.8	2.0	12.4	4.5
SWCEL ABE Project	8.0	8.0	18.2	21.8	3.6	3.1	18.7	13.8
Adult Armchair	4.0	12.8	16.4	27.4	5.3	3.1	13.3	15.0
Appalachian ABE Proj.	6.3	15.3	17.0	22.6	6.1	1.4	15.8	11.2
SREB ABE Project	11.8	17.2	12.3	22.1	3.9	2.0	12.7	12.3

In order to determine which sources of information were most often used, the percentage scores for each source of information (see Table 3-6) were averaged. Results are presented in Table 3-7.

Table 3-7

How Local Title III Directors First Learned of 309(b) Projects: Mean Percentages for Sources of Information

Information Source	Mean Percent Using Source
The state education department	24.1
State or national conventions	17.0
Project publications	15.2
Staff development or in-service sessions	12.1
Other, not specified	11.5
Workshops conducted by the project	8.6
Other ABE directors	4.8
Director's own staff	2.4

There is some difficulty in interpreting these data. Did local directors first learn of the projects the way they did because the projects stressed particular dissemination channels, or are certain channels particularly effective for securing information and thus utilized by directors independently of 309(b) project emphasis? Despite this difficulty it is clear that state education departments are the single most important source of 309(b) information and probably the most effective. State or national conventions and project publications are also important sources for first information regarding 309 projects. Interestingly, however, project

workshops were seldom identified as a first source for 309 information, despite the fact that they were a widely used (but probably inefficient) dissemination strategy.

Another way to assess the potential effectiveness of dissemination strategies is to determine what sources local directors typically rely on for information and assistance. The assumption is that local directors seek information for help in solving problems. If a 309(b) project can tap the sources that local directors typically rely on, the chances that local directors will receive and heed the message are considerably enhanced. Our survey asked the following: "In general, to what degree do you rely on the following sources of information or assistance for help in solving problems?" Local directors responded on a 1 to 5 scale, 1 indicating little or no degree of reliance and 5 indicating a great degree of reliance.

Table 3-8

Local ABE Directors' Degree of Reliance on Selected Sources of Information and Assistance

Source	Mean Scale Score
Your own staff	4.2
*State ABE department	3.9
Your own expertise	3.9
ABE students	3.4
*Other ABE directors	3.0
*Professional Publications	2.9
*Experts in the school system	2.8
*State or regional adult education associations	2.5
*Commercial publishers	2.5
*University or college resources	2.3
*National Adult Education Associations	2.1
*309(b) projects	1.7

*Sources of information external to local ABE programs.

"Your own staff," "Your own expertise," and "ABE students" are all sources internal to local programs and thus cannot serve as dissemination channels. The high mean scores for these sources seem to indicate that local ABE programs are quite self-reliant, preferring when possible to solve problems in-house rather than to consult external sources. Of the external sources, however, the state education department again ranks first,

underscoring its potential as a dissemination channel. "Other ABE directors" ranked second as an external information and assistance source, a finding which suggests that if a 309 outcome could be disseminated to local ABE opinion leaders, they might convey the message to many other local directors.

The mean reliance scores for the remaining sources all fall below the midpoint of the scale (3), indicating a weak degree of reliance. It is significant to note that many of the commonly used dissemination strategies: publications, presentations at professional association conventions, and staff development workshops, fall below the scale mid-point. 309(b) projects themselves had the lowest of all mean reliance scores, 1.7.

The effectiveness of a dissemination channel may vary with what was being disseminated, or , in other words, local directors might consult different sources of information and assistance for different kinds of problems. We asked our respondents: "If you had a problem in each of the following areas, which two sources of help or information would you be most likely to utilize?" Table 3-9 portrays the results.

With the exception of recruiting students, the external source most likely to be consulted for all problems was again the state education department. For problems within the realm of the local program's professional expertise, the tendency was to consult internal sources, principally the director's staff. A university or professor was unlikely to be consulted for any of the problems listed.

Table 3-9

Sources of Help or Information Local ABE Directors Would Use for Assistance in Solving Specific Problems*

(In Percent, N=805)

Problem	State ABE Staff	Other ABE Directors	Your Own Staff	Experts in School System	A University or Professor	Your Own Experience	ABE Students	Other Source
Establising a learning lab	79.9	41.4	29.8	20.8	10.2	12.8	6.8	3.9
Recruiting ABE students	20.4	27.7	50.6	6.3	1.2	24.0	56.6	8.0
Selecting ABE materials	37.7	30.9	69.6	12.1	3.7	22.8	14.9	2.8
Revising curriculum objectives	44.0	17.2	70.0	12.8	6.8	18.2	24.0	1.7
Stretching your budget	54.0	23.8	39.6	25.5	0.9	48.5	1.5	3.4
Evaluating your program	54.1	19.0	47.8	10.7	8.3	12.9	37.6	3.3
Designing in-service workshops	63.4	28.1	56.8	9.3	11.8	20.3	3.5	1.2

*Note: Since directors were permitted to check two response categories, the percentages do not add to 100.

Up to this point, the dissemination experience of seven well known 309(b) projects has been primarily used as a basis for analyzing dissemination effectiveness. Perhaps the best measure of effectiveness, however, is the utilization figures pertaining to all 309(b) projects funded since 1967.

Table 3-10

Utilization of 309(b) Products or Ideas
by Local ABE Directors
(In Percent, N=805)

Number of 309(b) Projects Utilized by Local ABE Directors	% of ABE Directors
0	65.1
1	21.5
2	8.1
3	2.5
4	1.7
5	0.5
6	0.4
7	0.1
8 or more	0.1

Nearly two-thirds of the local ABE directors sampled never used a 309(b) product or idea. Though on the surface this may suggest that 309(b) dissemination has been largely ineffective, there are several mitigating factors. First is the fact that though a total of 87 309(b) projects were funded between FY 1967 and FY 1971, many took several years to develop disseminatable outcomes, and others, recently funded, have not as yet achieved results. Thus the number of projects that have produced disseminatable outcomes is considerably less than 87. Second is the fact that the widespread utilization of innovations often takes a considerable amount of time, and the 309(b) program is relatively new. Third, most 309's were local impacts which never attempted to disseminate results. Finally, some 309's, such as RFD and Communi-Link, focused on demonstrating a novel system not intended for replication by local ABE programs but holding some promise for the long term development of ABE in the United States.

Conclusion

Our findings show that state education departments are the most commonly used external source of assistance and information and are the source where the greatest number of local directors first learn of 309(b) projects. This suggests that dissemination would be enhanced if this channel were more extensively cultivated by 309(b) projects. Another commonly consulted external source is other ABE directors, a finding which suggests that dissemination would be facilitated were it focused towards local ABE opinion leaders. This dissemination tactic has seldom been systematically used, however, as is evidenced by the

finding that few local directors learned of 309(b) projects from other ABE directors.

Aside from state education departments, the most common sources of information regarding 309(b) projects were state or national conventions and project publications -- despite the fact that local directors rated them as rather unimportant sources of information and assistance in solving problems. Both channels, however, are commonly used by 309(b) projects for dissemination, a fact that probably accounts for their importance as a source of 309(b) information. Though the 309(b) projects listed were partially successful in disseminating regionally, only one managed to convey its message nationally, a situation that might have been different had the projects used dissemination channels more commonly consulted by local ABE directors. Workshops, a very common dissemination strategy used by 309(b) projects, were determined to be ineffective both as an information source about 309 projects and as a source of information local directors rely on.

The findings also show that once a local director becomes quite familiar with a 309(b) project, the chances are fairly good that he will use a product or idea. This suggests that more effective and extensive dissemination of detailed project information will significantly enhance utilization.

Section 7

Summary Analysis

Findings pertaining to 309(b) dissemination can best be summarized under three interrogative headings: Whom were the projects studied trying to reach? What dissemination methods were used? What were the results of dissemination?

The Targets of Dissemination

This topic relates to the target constituency of the 309(b) projects. Although all 309(b) projects studied were relevant to ABE in a global sense, some did not consider Title III ABE programs to be their primary client system. RFD, for example, was primarily interested in developing and testing a mediated ABE delivery system, an outcome which the project staff realized had few direct implications for local Title III programs. Project Communi-Link's objective was to demonstrate an approach to community development. It was hoped that new or more effective ABE programs would be established but this was not seen as a necessary outcome of the Communi-Link process. The local impact projects all considered their clients to be their own ABE students, not other ABE programs.

Perhaps not all 309(b) projects should be directed towards upgrading Title III programs. Projects like RFD and Communi-Link may ultimately benefit undereducated adults in ways that could not be accomplished within the Title III structure. The point is, however, that unless projects are aimed at local ABE programs, we can expect little dissemination directed toward them, and, consequently, utilization

Project Publications

Project Publications efforts ranged from casual dissemination of yearly reports (Texas Guidance and Counseling) to an extensive comprehensive effort to reach many people through professionally prepared newsletters (RFD Newsletter). The advantage of publications is that they can reach large numbers of potential users. RFD, for example, distributed its Newsletter to over 2,700 persons. However, well designed publications are expensive, require professional expertise in planning, printing, and format, and take time to prepare. Compiling relevant mailing lists can also be a problem. Moreover, local ABE directors indicated that professional publications were a relatively unimportant source of information for problem solving.

In analyzing publication as a dissemination strategy it is important to examine its purpose. In each case where publications were used, the intent was merely to create awareness of the project rather than to convey detailed information. Our findings suggest, however, that general awareness information alone is insufficient to secure utilization of 309(b) project outcomes. Detailed information, including data about project outcomes, their use, and benefits is required. It follows that projects that have complex outcomes difficult to convey by publication should not rely too heavily on this medium as a dissemination device. Awareness producing methods in general should only supplement dissemination strategies which can convey outcomes in sufficient detail.

Convention Presentations

State or national conventions were ranked second by local ABE directors as a source of information regarding 309 projects. The advantage of convention presentations are that the 309(b) project can reach a large audience at minimal expense and that potential users can inspect products and ask questions regarding their use. In addition, conventions may serve as word-of-mouth forums. The most obvious disadvantage is that attending a convention is an expensive proposition for a small ABE program, and thus many less affluent programs are effectively read out of the convention-dissemination process. Another disadvantage is that though convention presentations are often effective in stimulating interest in project outcomes, they seem to be less successful in securing product utilization.

Workshops

The advantage of workshops is that through face-to-face contact, very complex messages can be transmitted that are otherwise difficult to convey. The Communi-Link process, for example, is so complex that it is difficult to conceive its being disseminated without face-to-face contact. Another advantage to workshops is that the 309(b) project can receive immediate feedback in the form of user reactions to its products or ideas. The problem with workshops is that they can reach relatively few people. Local directors, for example, indicated workshops were one of the least important sources of first information regarding 309 projects. Another drawback to workshops is that they are quite expensive. If workshops are conducted only for persons in the project's immediate locality, expenses are minimized though widespread dissemination is sacrificed.

Commercial Publications

The advantages of commercial publication are that the publisher must be committed to disseminating the product if he wishes to make a profit, and that commercial dissemination generally continues after the project has terminated. Of the projects studied, only RFD commercially marketed a product. It is axiomatic that commercial publishers will not market a product unless they feel it will be profitable. This means that if 309 products are to be commercially published, they must be sufficiently polished and attractive to preclude re-development by the publisher. RFD was able to create polished, marketable materials primarily because it had the publication expertise of the associate project director and the University of Wisconsin School of Journalism to draw on. In SWCEL's case, valuable materials were not marketed because they were too costly to reproduce. Had SWCEL consulted a publisher in the beginning, it might have been possible to package the materials in a more commercially feasible form.

A disadvantage of publication is that only hard products such as curriculum materials, research reports, or training manuals are amenable to this type of dissemination. Commercial publication also precludes distribution free of charge. Furthermore, copyright laws stipulate that releases must be secured from those whose pictures are included in filmed materials, and portions of copyrighted materials cannot be reproduced without the publisher's consent.

Teacher Training

Teacher training was the primary strategy used by Texas Guidance and Counseling to disseminate their Teacher Awareness Kits and their Counselor Orientation Packages. Selected teachers were first oriented to the use of the packages at a workshop held at the University of Texas. These teachers then oriented others, who in turn oriented others. Thus a training "snowball" process was put into operation. With the cooperation of the state education agencies in Region IV, Texas Guidance and Counseling was able to familiarize about 75 percent of the Texas ABE teachers and 90 percent of the Louisiana teachers with the packages.

The experience of Texas Guidance and Counseling indicates that the teacher training snowball process can be an extremely effective dissemination strategy on a regional basis. An advantage of this method is that state and regional in-service education units are established, viable systems. Since dissemination channels are already established, they need only to be exploited rather than created. Also, teacher training permits the face-to-face contact that is necessary to convey complex messages. Moreover, in-service education efforts, state education departments, and regional staff development projects are on-going systems which can continue to disseminate long after the project has disbanded. A final advantage of teacher training is that both ideas and hard products such as materials can be transmitted.

The Results of Dissemination

We have found that of the seven large, well publicized projects mentioned in our survey, only one succeeded in making itself known to over fifty percent of the local ABE directors. Moreover, most of the local ABE directors who had heard of the projects mentioned did not possess detailed knowledge of them. Utilization figures for the seven projects listed show less than 13 percent utilization by local directors in all cases. Utilization figures for the 309(b) program as a whole show that two-thirds of the local directors have never used a 309(b) product or idea. The obvious conclusion is that dissemination has been less effective than desired. In light of this conclusion, an important issue is what factors have impeded dissemination. The results of our field studies provide some answers.

The Problem of Continuity

One of the greatest impediments to effective dissemination is lack of continuity. What happens to dissemination after a project terminates? The answer generally is that dissemination ceases, for there is no money or staff available to conduct workshops, prepare publications, conduct training sessions, or make convention presentations. In SWCEL's case, many thousands of dollars worth of materials lie stocked in a storage area. Orders can be filled, but there is no on-going dissemination effort. Even more serious is the fact that SWCEL's materials normally require training for their use, and there is no one currently available to conduct that training. Likewise, when Project Communi-Link disbands, the Communi-Link process will probably end also, for there will be no one to

train others in the use of Microville. All of Texas Guidance and Counseling's dissemination activities outside Region VI have come to a halt since project termination.

Termination seems to produce 309(b) ghost towns. This problem is abetted by the fact that most projects do not succeed in fully developing their outcomes until just prior to project termination, and then there is little time to disseminate.

The answer to this crucial problem seems to be to link 309(b) dissemination to a permanent system which will continue to further adapt, evaluate and disseminate project output following the project's demise. State education departments, regional staff development projects, and commercial publishers presently constitute such systems. The Texas State Education Department, for example, still encourages use of the Texas Guidance and Counseling materials though the project terminated in FY 1971. RFD's home study materials will be in commercial circulation for some years to come.

The state education department seems to be viable as a permanent dissemination system. Our findings show that for local ABE directors it is the most widely used source of 309(b) project information and it is the external source to which they are most likely to turn for information and assistance in solving problems. There are, however, two possible drawbacks to relying solely on state education departments as permanent dissemination systems. Since there are fifty separate state education departments, each one would have to be informed of 309(b) outcomes in detail sufficient to enable utilization by local ABE

becomes problematical. Our assessment of the local Title III program focus of the projects studied is as follows:

Project	Dissemination Focused Directly on Local Title III ABE Programs
Texas Guidance and Counseling	Yes
SWCEL	partially
RFD	no
Communi-Link	no
Three local impact projects studied	no

Dissemination Methods Used

With the exception of the local impact projects, each project studied attempted to disseminate extensively. Publications, workshops, conventions, presentations, commercial publications, and teacher training were among the strategies used. Table 3-11 presents a summary.

Table 3-11

Dissemination Strategies Used by 309 Projects Studied

Project	Project Publications	Convention Presentations	Workshops	Commercial Publications	Teacher Training
Texas Guidance & Counseling	yes	no	yes	no	yes
RFD	yes	yes	yes	yes	no
SWCEL	yes	yes	yes	no	yes
Project Communi-Link	yes	yes	yes	no	no
Local Impact	no	no	no	no	no

programs. This would take more time and money than most 309(b) projects possess. Second, if all 309(b) projects funded between FY 1967 and FY 1972 had attempted national dissemination through state educational systems, these systems would have been unable to handle the sheer volume of input. Perhaps a national agency is required to mediate between the 309's and the state education departments in order to facilitate a coherent and manageable system of national dissemination.

Communicability

If a product is to be utilized, the developer must be able to communicate detailed information about the product to the user. It is thus difficult to secure utilization of products which are difficult to communicate. The problem of communicability can be conceived as a continuum. Simple, tangible products are the easiest to communicate, because the user can learn all he needs to learn about them by simple inspection. An example might be SWCEL's Materials Library Evaluation. Few products in education fall at this end of the continuum, however. At the other end of the continuum fall complex, process oriented products. These are generally products where the user is expected to adopt a system rather than something tangible. Products of this nature may require extensive, face-to-face explanation, observation, or training to communicate effectively. Moreover, in making his decision to adopt or reject, a potential user will probably want detailed evaluative information. Adoption may well require assistance from the developer. Project Communi-Link's product, community development utilizing the Microville game, is indeed complex and difficult to communicate - so complex, in fact, that a two-day workshop is

needed to convey the message. As a result the product itself could not be disseminated nationally (through training of trainers) because the expense in time and money would have been enormous. Consequently, project Communi-Link had to restrict itself to an awareness-producing national dissemination effort incapable of producing adoption. SWCEL's products for the most part were so complex that extensive training was required for their use. Training is time consuming, expensive, and requires the maintenance of a training staff. When an end to funding produced termination of its training capability, SWCEL's materials began to gather dust in a storeroom.

Cost of Adoption

Obviously, the more a product costs to adopt, the more difficult it will be to disseminate - other factors such as the need for the product held constant. There are several factors which comprise cost, the most obvious being the product price. To offset production costs, SWCEL and Texas Guidance and Counseling charged between $100 and $200 for their packages. Local ABE directors of moderate sized programs who were questioned felt that price was a drawback, since purchase funds had to come from the most strained part of their line item budgets. Price is an even greater problem for small, less affluent programs. Price is to some extent overcome if a product can be shared among programs. The Texas Guidance and Counseling packages, for example, may be divided and circulated.

Time spent on adopting a 309(b) product can represent a signifi-

cant cost, especially when adoption requires retraining of local ABE staff. Teachers, for example, may have to be released from their teaching functions. Retraining is expensive in money as well as time.

A third cost of adopting a 309 project may be organizational dislocation or the degree to which a program must reorganize its operations in order to use a product. If an ESL program, for example, switched to the audio-lingual approach espoused by SWCEL, considerable program reorganization might be required. For a program changing from a traditional classroom approach to a learning lab approach, organizational dislocation might be a significant cost.

Trialability and Divisibility

Trialability refers to the user's ability to experiment with a product - to try it on a limited basis before committing the entire program to product use. Divisibility refers to the ability to use a portion of a product without having to accept the "whole package." The two concepts are quite similar. In nine pilot interviews held with local ABE directors prior to construction of a survey questionnaire, a constant finding was extreme reluctance to use a product without first-hand knowledge best gained from experimentation in one's own program.

Project Communi-Link's product is not trialable. A community must totally accept or reject the concept from the beginning, and strictly speaking, it is not divisible. The packages developed by Texas Guidance and Counseling, on the other hand, are both trialable and divisible. The packages can be used by all teachers in a program or by just a few. Group use is encouraged, but individual use is possible, and the packages

are organized in self-contained sections, so that some parts can be used and others ignored without destroying the integrity of the package.

Modifiability

Modifiability refers to the ability of a local program to adapt a product to unique aspects of the local situation. ABE programs are found in many different settings. Instructional techniques vary as do the target populations served. If a 309 product cannot be adapted to the local situation (should adaptation be necessary) national dissemination is precluded. The packages developed by Texas Guidance and Counseling are quite modifiable. In fact, in Louisiana they were significantly modified to take account of the large French-speaking population, a fact that contributed to a 90 percent use rate by teachers in that state.

In contrast, the RFD television programs were criticized for their lack of modifiability. Since each taped program contained references to specific local names and places, each would have to be edited for use elsewhere. Complex technological equipment is required for editing, however, making adaptation difficult and expensive.

Relevance to ABE

A recurrent theme in much of the dissemination literature is the concept of "relative advantage." A potential user is unlikely to use a product unless the potential benefits outweigh the difficulties of adoption. It follows that the dissemination of 309(b) products to Title III ABE programs is likely to be ineffective unless the products are relevant to Title III needs. The relevance of some 309(b) projects to Title III programs is indirect. The Communi-Link process and the Micro-

ville game, for example, were not intended for direct use by local ABE programs. The need for production and technical expertise plus the expense of RFD made it largely irrelevant to local programs, and some of SWCEL's packages seem to be of doubtful utility for ABE practitioners. This is not to say that all 309(b) projects should serve the immediate needs of local state-grant programs. Certainly there is a need for policy-oriented program analysis and for projects that demonstrate alternative organizational or instructional systems. Nonetheless, adoption of outcomes of such projects by local programs cannot be expected.

Motivation and Ability to Disseminate

Motivation and ability to disseminate are two obvious preconditions to any successful dissemination effort. Yet we have found that many 309(b) projects possess neither characteristic. Most of these fall within the general category of local impact projects. They are not motivated to disseminate because they perceive their primary mission to be the operation of an on-going educational program rather than the demonstration of a new practice. Moreover, they are typically isolated from local ABE programs and other 309(b) projects and are thus unaware that their outcomes could be of value to others. Since many local impact projects operate on marginal budgets, they do not have the resources to disseminate even if they desire to.

Currently, there is no mechanism within the 309(b) program to motivate and financially support external dissemination. Though the Office of Education has funded dissemination efforts in selected cases, this is the exception rather than the rule. In fact, some 309(b) project directors

report that the Office of Education has discouraged dissemination using grant funds. To our knowledge no 309(b) project has ever been required to disseminate.

With the absence of strong Office of Education incentives, 309(b) projects cannot be expected to disseminate more than they have to date. The problem is that OE cannot require dissemination without making funding provisions for it. Given the fact that approximately fifty projects have been funded per year in recent years, funding individual project dissemination efforts nationally would be prohibitively expensive. Moreover, the skills and interests needed for effective dissemination are often different from those required for effective project development.

CHAPTER 4

THE LOCAL ABE PROGRAM AS USER SYSTEM

In this chapter the focus shifts to the local ABE program as user of innovations produced by the 309(b) system and of innovations generally. Chapter 3 examined certain aspects of the local program as user system in analyzing rates of adoption of 309(b) output and channels of communication utilized by program directors in problem solving and obtaining information about 309(b) projects. The present chapter concentrates mainly on the organizational characteristics of local ABE programs associated with innovation generally and with 309(b) adoption in particular. The major question raised here is, what are the characteristics of highly innovative ABE programs? How do such programs differ from less innovative ones? Also discussed in this chapter are barriers to innovation as perceived by local ABE directors and attitudes and opinions of local and state ABE decision-makers related to innovation and the 309(b) program.

Since the term innovation is used frequently in this chapter, it is important that we define it. For our purposes, innovation can be equated with planned change for the purpose of more effective pursuit of organizational goals. As Miles[1] suggests:

> Innovation is a species of the genus 'change.' Generally speaking it seems useful to define an innovation as a deliberate, novel, specific change, which is thought to be more efficacious in accomplishing the goals of a system . . . . It seems helpful to consider innovations as being willed and planned for, rather than as occurring haphazardly. The element of novelty, implying recombination of parts or a qualitative difference from existing forms, seems quite essential.

In most of this chapter the discussion centers around program innovation broadly defined. It seems reasonable to view adoption of 309(b) products as a particular instance or indicator of general innovativeness. At a later point in this chapter specific attention is given to the organizational correlates of 309(b) adoption.

Unlike most research on innovation diffusion, this study focuses on the organization rather than the individual as the unit of adoption and analysis. Ultimately, innovation requires individual behavior change, but organizational factors such as size, resources, and staff characteristics can be powerful determinants of the nature and extent of innovation. In the following pages an effort is made both to identify the organizational factors influencing innovativeness in ABE programs and to weigh their relative importance. Hopefully, better understanding of these factors will provide a basis for more effective dissemination strategies and greater utilization of innovative ideas and practices. If we know what makes for an innovative ABE program, it may be possible to encourage change in existing programs so that innovation is more likely to occur.

This chapter is organized in several sections. The first describes how data were obtained from local programs, including questionnaire construction, sampling, data collection, and data analysis. Technical material on the construction of indices used to measure certain variables appears in Appendix D. Survey results are reported under the following headings: Profile of programs nominated as most innovative; statistical analysis of factors affecting innovativeness; statistical analysis of factors affecting 309(b) adoption; barriers

to innovation; opinions of local directors on innovation-related issues; opinions of state ABE directors on issues related to innovation and the 309(b) program.

Description of Research Procedures

The Questionnaire

Data were collected by means of a national survey of ABE programs. A questionnaire entitled "Problems of Adopting New Practices in ABE: A National Survey" was the outcome of the staff's accumulated first hand experience with ABE and of an exploratory pilot study. The pilot study consisted of a series of open-ended interviews with nine ABE directors in programs of various sizes and types located in several Northeastern states. The interviews provided a wealth of information and insight related to professional communication networks and the use of innovative ideas and practices by local programs. In final form, the questionnaire elicited information about familiarity with, and adoption of, 309(b) output and other innovations; attitudes about the importance of innovation and research; sources of information and assistance used in problem solving; factors facilitating and inhibiting innovation; and characteristics of the ABE program (e.g., size, budget) and of the director (e.g., age, professional training). A copy of the questionnaire, including percentage distributions for each item, is found in Appendix A.

Sampling

In the summer of 1972 complete lists of local ABE programs were obtained from the state ABE directors for all U.S. states and territories,

except Alaska. A 50 percent sample of local ABE programs was decided upon, a sample size more than adequate for complex data analysis and accuracy of inference. The selection of the sample was accomplished as follows. The lists were arranged by USOE region and within each region by state. Each program was assigned a sequential number indicating its region, state, and locality. For each state and territory, the even-numbered programs were selected, that is, every other program on the list. This procedure yielded a total of 1282 ABE programs. A comparison of this sample with the other 50 percent of the programs (included in another survey) indicated no significant difference in any of the organizational or personal background variables. Consequently, we are confident that this sample reflects the true characteristics of the population.

It was later decided to drop Puerto Rico, the Virgin Islands, and the Trust Territories from the sample because of evidence that ABE programs there were sufficiently different from those in the 50 states to distort our findings. The elimination of Puerto Rico and the U.S. dependencies reduced the sample to 1238 programs. A further elimination, occurring as a result of the use of some randomly selected programs for a pretest of another survey instrument, reduced the sample to 1210. A further reduction was necessitated by inaccuracies in the lists supplied by the state directors. Some programs had ceased to function, others were satellite centers of larger programs, and still others did not have ABE classes. The final adjusted size of the sample was 1158 local ABE programs.

Data Collection

Questionnaires were mailed to the 1282 directors comprising the original sample in March, 1973. A postcard reminder was mailed after three weeks to those who had not yet responded, and a second questionnaire was mailed to the remaining non-respondents in mid-April. Altogether, 897 replies were received, or 70 percent of the total, unadjusted sample. After adjustments for the deletion of U.S. dependencies, invalid cases, and unusable returns, 805 questionnaires remained. These constituted 70 percent of the total adjusted sample, an unusually high response rate for a mailed questionnaire survey.

Measurement of Innovativeness and 309(b) Adoption

Developing a satisfactory measure of program innovativeness proved to be a difficult problem. Are there any objective criteria that, taken together, are valid indicators of innovativeness? Can the researcher arbitrarily determine which practices uniformly define an innovative program? On the other hand, how valid and reliable are self-ratings of innovativeness volunteered by local program directors? In the end it was decided to use several different measures of innovativeness including an "objective" index, self-ratings, and nominations for "most innovative program" on a state-by-state basis.

A list of innovative practices was developed as the basis for the objective index. The items were selected to reflect different aspects of program operation, to roughly parallel each other in scope or magnitude of impact, and to include fairly recently introduced practices. By using a combination of many practices rather than one or two we

hoped to minimize bias against any particular program the objective conditions of which might render a specific practice irrelevant. The practices included in the index were:

- The use of volunteers as teacher aides
- The use of programmed instructional materials
- Classes held in student homes
- The use of coping skills (e.g., how to get a job) curriculum materials
- Teachers trained to perform counseling functions
- Classes held in business or industrial sites
- Aides employed to recruit students

To professionally sophisticated adult educators none of the above practices is extraordinarily novel or exciting. They are, however, distinct departures from conventional practice in ABE and in this sense they can be considered innovative. The latest and "hotest" innovations are by definition not widespread enough to be useful for measuring innovation in a large scale survey study.

The details of scoring and the intercorrelation of the seven index items are given in Appendix D. In brief, each item was weighted equally, and the sum of the item weights was used as the index score. The seven items were positively and significantly correlated with each other, enhancing our confidence that the index measured a single dimension.

Two subjective criteria were also used to measure innovativeness. One was self-ratings. Respondents were asked: "Given the circumstances in which your ABE program has been operating, how innovative

has your program been in the last few years." Response options were "very innovative" (score of 4), "fairly innovative" (3), "not very innovative" (2), and "not innovative" (1). The other subjective criterion was nomination as an innovative program. Directors were asked to identify the ABE program that they considered to be the most innovative in their state. The item defined an innovative program as "one that tries out new ideas and practices sooner and more often than other programs." Of the 348 nominations (some programs were nominated more than once), we were able to locate completed questionnaires for 111. In other words, 111 programs that received one or more nominations were included in our study sample and also returned usable questionnaires. Thus we had data on more than 100 programs judged by at least one local director to be the most innovative in the state. Some directors, not surprisingly, nominated their own programs.

The final dependent measure consisted of an index to measure extent of adoption of 309(b) output. The index was composed of the combined number of 309(b) projects from which the respondent adopted products or ideas. Thus if a respondent reported adoption of some product produced by one 309(b) project, he received a score of 1. If he indicated use of products from two 309's, he received a score of 2. The total index score for any one program ranged from 0-8. Two-thirds of the sample did not adopt any 309(b) products and thus had scores of 0. For a list of 309(b) projects used as the basis for the index and for details on scoring, see Appendix D.

In reporting findings related to innovativeness, emphasis was placed on nominations for "most innovative program" and on the

objective index. In our judgment, the validity of the self-ratings was suspect because of the possible tendency of administrators to exaggerate the virtues of their own organizations. The correlation between self-ratings and the objective index was a moderately high .40, which suggests that the two measures overlapped somewhat but did not tap precisely the same dimension. A problem with the objective index was that it may have been biased against small programs since some of the practices included in the index, such as use of recruitment aides, may not have been feasible for many small or marginal operations. Interestingly, however, program size correlated only slightly lower with self-rated innovativeness (.18) than with the objective index (.26). Thus the size bias of the objective index seems negligible. It is also pertinent that only 10 percent of the small programs rated themselves "very innovative" compared with 23 percent of the medium sized and 37 percent of the large programs. Regardless of the measure used to determine innovativeness, the organizational features of innovative programs that emerged from the analysis were substantially identical.

Measurement of Independent Variables

Our previous research on ABE[2], and other studies dealing with the organizational correlates of innovation[3], suggested a number of organizational variables likely to influence innovation in ABE programs. Size of the organization is one such variable. The few studies[4] that have examined the relationship between size and innovation have found that larger organizations (except perhaps the very largest) tend to

be more innovative. We expected this to be true in ABE because larger programs have more resources, both financial and human, are secure enough to risk innovation, and tend to be "plugged-in" to professional communications networks which are a major source of innovative ideas. Number of teachers was judged a more reliable indicator of program size than number of students. Consequently, the number of full-time equivalent teachers was used to measure program size. Part-time teachers (less than 20 hours per week by our definition but in practice usually less than 10 hours) were counted as one-fourth of a full-time equivalent teacher.

Affluence, which of course is closely related to size, was considered another variable likely to have a positive impact on innovativeness. If size is taken as given, it seems reasonable that relatively more affluent programs will tend to be more innovative simply because most innovations cost money to implement. In the statistical analysis affluence was measured by total operating budget for 1972-73 or the latest year available with size held constant.

Institutional security was another variable considered potentially important in accounting for innovativeness in ABE programs. Adult education is an enterprise plagued with institutional uncertainty and marginality. Havelock identified "need for stability"[5] as a barrier to organizational innovation. It seemed likely that secure programs would be in a better position to run the risks of innovation than would unstable, insecure programs. An index was constructed to measure security based on the following four variables, each weighted equally: success recruiting students, degree of community awareness of the ABE

program, the "supportiveness" of the parent organization, and the program's own assessment of the degree to which it is secure and established. Appendix D contains additional information on the construction of this index.

The final major independent variable was the director's "professionalism." It is almost self-evident that innovation is encouraged by "increased professional identity. An organization member with strong professional ties is quite likely to be interested in applying and advancing his profession."[6] Our own research on ABE[7] indicated that perhaps the single most important factor in program success was employment of a full-time, professionally competent adult educator to direct the program. Professionalism is a broad concept implying numerous components such as professional training, participation in professional associations, and commitment to the profession. In the present study we developed a rather complex index to measure this concept (it is described fully in Appendix D). In brief, the index was based on the following assumptions. The highly professional director:

- Devotes more of this time to ABE and other adult education responsibilities
- Has more formal training in the field of adult education
- Is more active in adult education professional associations
- Sees adult education as central to his future career plans

Data Analysis

The data were analyzed in a number of different ways. First, a correlation matrix was generated so that every variable employed in

the survey was correlated with every other variable. This procedure enabled us to see which independent variables (budget, size, etc.) were correlated with each other and also how each one was correlated with the dependent variables of innovativeness and 309 adoption. It was found, for example, that all the variables bearing on the general dimension of institutional security were correlated with each other and also with innovativeness and 309 adoption. The same was true for variables related to the director's professionalism. Each cluster of related variables seemed to measure the same underlying dimension and thus formed the basis for construction of composite indices. All of the variables used in the ensuing analyses were indices, except for size and budget, which were based on single measures. After examination of the matrix of intercorrelations and the construction of indices, the data were analyzed in cross-tabular form followed by multiple regression analysis to provide more precise estimates of the impact of each independent variable on innovativeness and 309 adoption.

Profile of Programs Nominated Most Innovative

The 805 local directors who responded to the national survey, "Problems of Adopting New Practices in ABE," were asked the following question:

> An innovative ABE program might be defined as one that tries out new ideas and practices sooner and more often than other programs. In your judgment, which one ABE program in your state is the most innovative according to this definition?

Data were not available for every program nominated because the study questionnaire was sent to only half the programs in the U.S. Some of

these programs did not respond, and some of the programs nominated simply could not be identified from our lists. Completed questionnaires were located for 111 of the nominated programs. What follows is a comparison of these 111 programs with the total study sample of 805 programs. The differences would have been even more sharply defined had the nominated programs been deleted from the comparison group.

Program Characteristics. Innovative ABE programs:

- are slightly more likely to be administered by a community college (17% compared to 11% for the sample of 805 programs)*
- have been operating for an average of 7.8 years compared with 6.5 years for other programs
- have an average enrollment of 851 students compared with 296 for other programs
- experience less difficulty recruiting students (about 1/3 reported great difficulty; 1/2 of the other programs reported great difficulty)
- have an average operating budget of nearly $100,000 compared with $35,000 for other programs
- hold a larger proportion of their classes in their own adult education facility (32% compared with 19%)
- report that more teachers have had pre- or in-service training (75% compared with 63%)
- report lower teacher turnover (9% per year compared with 15%)
- employ, on the average, twice as many teachers, supervisors, lab specialists, counselors and aides
- report that they are highly secure and well established (80% compared to 60%)

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*This means that 17 percent of the programs nominated as innovative were administered by community colleges, whereas only 11 percent of the total sample of 805 programs were community college sponsored.

Director Characteristics. Directors of innovative ABE programs:

- are much more likely to devote full time to ABE (37% compared to 15%), and if part-time, their other professional responsibilities are much more likely to be in adult education (64% compared to 35%)

- are more likely to be working on or have completed a graduate degree in adult education (22% compared to 14%)

- report that they are "very active" in adult education professional associations (55% compared to 33%)

- see adult education as "very central" to their career plans in the next five years or so (81% compared to 48%)

Utilization of 309(b) Output. Innovative ABE programs:

- are nearly twice as likely to be familiar with the 309(b) program (56% compared to 32%)

- are considerably more likely to have utilized ideas or products from the seven 309(b) projects listed in the questionnaire, especially Texas Guidance, SWCEL, Adult Armchair, and the Appalachian ABE Demonstration Center. They were roughly twice as likely as other programs to adopt output from these projects (percentages adopting ranged from 10% for SWCEL to 22% for the Appalachian Center)

- are considerably more likely to be familiar with other 309(b) projects not mentioned in the questionnaire (23% compared to 8%)

Innovativeness as Measured by Objective Index

ABE programs nominated as highly innovative more often adopted the seven practices included in the objective index of innovativeness than did programs in the comparison group. Roughly twice the proportion of nominated programs adopted such practices as using volunteers and aides, holding classes in industrial sites, using aides to recruit students, and holding classes in student homes.

Self Rated Innovativeness

ABE programs nominated as highly innovative rated themselves as much more innovative than did programs not nominated. Sixty-three percent of the nominated programs characterized themselves as "very innovative" compared with only 19% of the total sample.

The overall profile of the innovative program that emerges from the preceding comparisons is sharply defined. Innovative programs tend to be larger, more affluent, and more institutionally secure than others. Directors of such programs devote more time to ABE and other adult education responsibilities, are more active in adult education professional associations, are more likely to have had formal training in adult education, and more often see adult education as central in their career plans. The directors of innovative programs, in short, tend to be full time, active adult education professionals. Finally, innovative programs are more likely than others to be aware of the 309(b) program and to have adopted 309(b) ideas or products.

Statistical Analysis of Factors Affecting Innovativeness

The next step in the analysis was to examine more closely the relationship of such variables as size, security, budget and professionalism to program innovativeness. Since all of these variables were correlated with each other, as well as with innovativeness, the major task was to manipulate the variables statistically in order to develop a "causal" model which shows the independent impact of each variable on innovativeness with all the other variables "controlled." For example, size and professionalism are both correlated with innovativeness and also with each other. It could be that the relationship

between professionalism and innovativeness is totally spurious because the highly professional directors are employed by the large programs. Thus the real determinant of innovativeness may be size alone. On the other hand, both variables might be related to innovativeness, but one may have more impact than the other. In the initial part of the following discussion, the relationship of size and professionalism to innovativeness is explored using contingency tables. Percentage distributions are easy to comprehend and provide useful descriptive information. Cross-tabulation, however, is clumsy and inefficient when more than two independent variables are included in the analysis. Consequently, the final analysis is based on multiple regression which permits assessment of the impact of all relevant independent variables on the dependent variable of innovativeness.

Table 4-1 shows the relationship of program size* to innovativeness as measured by the objective index.

Table 4-1

Innovativeness of ABE Programs by Size
(In Percent, N=781)

Program Innovativeness	Size of Program Small (n=355)	Medium (n=308)	Large (n=118)
Low	49.3	29.2	19.5
Medium	23.7	22.1	11.0
High	27.0	48.7	69.5
Total	100%	100%	100%

Tau b** = .28, Sig. at .001 level.

*Small = less than 2 FTE teachers; medium-size = 2-6.75 FTE's; large = 7 or more FTE's.

**Kendall's tau b is a non-parametric correlational statistic analagous to the familiar Pearson r and can be interpreted similarly.

Table 4-1 shows a fairly strong relationship between size and innovativeness. About 70 percent of large programs are highly innovative compared with only 27 percent of small programs. Fewer than a fifth of the large programs fall in the least innovative category, whereas nearly half of the small programs are in this category. Medium sized programs, as one would expect, fall in-between.

While large programs are about 2.5 times as likely to be innovative as small programs, this ratio is more than 3.5 when we compare directors who scored high on the professionalism index with those who scored low. As indicated in Table 4-2, two-thirds of the directors who scored high on professionalism headed highly innovative programs. However, less than a fifth of those who scored low on the professionalism index headed innovative programs.

Table 4-2

Innovativeness of ABE Program
by Director's Professionalism
(In Percent, N=805)

Program Innovativeness	Director's Professionalism Low (n=276)	Moderate (n=267)	High (n=262)
Low	56.5	40.0	15.3
Medium	25.4	21.0	16.0
High	18.1	39.0	68.7
Total	100%	100%	100%

Tau b = .38, Sig. at .001 level.

The logical next question is how do size and director's professionalism interact in accounting for innovativeness in ABE programs? Is the apparent influence of professionalism spurious due to the fact

that large programs tend to have highly professional directors? Or, if size is held constant, is professionalism the more important factor? Table 4-3 shows the effects of professionalism with size controlled.

Table 4-3

Distribution in Percent of Highly Innovative ABE Programs by Size and Director's Professionalism (N=328)

Director's Professionalism	Size of Program		
	Small (n=96)	Medium (n=150)	Large (n=82)
Low	14.3	25.3	29.4
Moderate	26.2	49.1	59.3
High	58.8	66.1	82.4

It is clear from Table 4-3 that director's professionalism, while not completely eliminating the effect of size, nonetheless is an intervening variable of considerable potency. It will be recalled that only 27 percent of small programs were found to be highly innovative. Yet when the variable of director's professionalism is introduced, we find that nearly 60 percent of small programs with highly professional directors are highly innovative. Director's professionalism has equally dramatic effects in the case of medium-sized and large programs. Size, of course, continues to have an independent impact on innovativeness inasmuch as large programs with highly professional directors are more likely to be highly innovative than small programs with highly professional directors.

So far we have examined the one-to-one relationships of size and professionalism to innovativeness and the effects of professionalism

with size held constant. It seems apparent at this point that professionalism is probably the main factor accounting for innovativeness. But what about other potentially important variables such as affluence and security? In order to assess the significance of these variables, in conjunction with size and professionalism, we used the statistical technique of multiple regression. This statistical procedure permits examination of the relationship of a set of independent variables to a dependent variable while taking into account ("controlling for") the interrelationships of the independent variables.[8] The order in which the independent variables are introduced into the regression formula is important because the first variable is not controlled whereas each succeeding variable is controlled on every variable which precedes it. Thus in Table 4-4, budget is not controlled, but professionalism is controlled on budget, size, and security in that order. Regression analysis yields a "pure" estimate of the independent effect of each predictor variable on the dependent variable.

Table 4-4

Summary Table for Multiple Regression: Innovativeness with Budget, Size, Security and Professionalism

Independent Variable	Multiple Correlation	R Square (Variance)	Simple Correlation	Beta
Budget	.28	.08	.28	.08
Size	.32	.10	.26	.11
Security	.35	.12	.19	.09
Professionalism	.51	.26	.48	.41

Table 4-4 represents a model of the relationship of four independent variables to innovativeness in ABE programs. In developing theoretical models for multiple regression, as Blau points out[9], each variable should be entered in logical order so that those variables over which the organization has least control, such as budget and size, precede variables that are more susceptible to the influence of the organization.

Table 4-4 confirms our earlier conclusion that the director's professionalism is by far the most important variable in accounting for innovativeness in ABE programs. Beta, the value in the right column, is a standard partial regression coefficient. It indicates the "weight" of each variable in the equation with the effects of all other variables held constant. The Beta for professionalism is roughly four times greater than for any other variable in the table. It is instructive, too, to examine the multiple correlations. Taken together, budget, size and security correlate .35 with innovativeness. However, when professionalism is added the multiple correlation jumps to .51 and the variance accounted for by the independent variables more than doubles. The table also tells us that the variables in the equation account for 26 percent of the variance, that is we have identified only one-fourth of whatever it is that results in ABE programs being innovative. More than half of the explained variance is accounted for by the professionalism of the local ABE director.

Up to this point we have used only the objective index to measure the innovativeness of ABE programs. Table 4-5 is identical to the preceding table except that the dependent measure is self-rated innovativeness.

Table 4-5

Summary Table for Multiple Regression: Self Rated Innovativeness with Budget, Size, Security and Professionalism

Independent Variable	Multiple Correlation	R Square (Variance)	Simple Correlation	Beta
Budget	.29	.08	.29	.16
Size	.29	.08	.18	-.01
Security	.43	.19	.35	.28
Professionalism	.50	.25	39	.28

It is interesting that budget has a fairly substantial Beta weight on this measure of innovativeness, but that size, independent of budget, has virtually no impact. But what is most surprising is the very heavy impact of security -- with a Beta weight equal to that for director's professionalism. It is possible that directors who rated their own programs highly innovative were in part expressing a sense of well being due to greater institutional security. On the other hand, it could be that security is more important and size less important than our previous analysis suggested. However, it should be kept in mind that programs nominated as highly innovative were on the average more than twice the size of programs not nominated. In any event, even when self-rating are used as the dependent measure, director's professionalism emerges as a critically important variable. It is worth noting, too, that the amount of variance explained is almost identical whether self ratings or the objective index is used to measure innovativeness.

In summary, then, director's professionalism emerges as the key

variable in explaining program innovativeness. Size and budget (which correlate .51) are also important variables, independent of professionalism. Taken together, they seem to have a good deal of impact on innovativeness. Security is also associated with innovativeness, especially when innovativeness is measured by self ratings. Of course, all of these relationships are fundamentally correlational. It has not been demonstrated that size and professionalism "cause" innovativeness in ABE programs. But, as with cigarette smoking and lung disease, the logic of a causal link is more than mildly compelling. It should also be noted that the foregoing analysis was successful in accounting for only about one-fourth of whatever it is that results in innovative ABE programs. Other identifiable factors surely play a major part, most probably teacher and student characteristics and various features of the larger organizational and community environments.

Statistical Analysis of Factors Affecting 309(b) Adoption

The adoption of 309(b) ideas and products is a specific manifestation of general program innovativeness. As pointed out above, programs nominated as innovative were much more likely to have heard of the 309(b) program and to have adopted 309(b) products or ideas. One would expect that the characteristics of 309(b) adopters would be similar to those of innovative programs generally and this turned out to be the case in the multiple regression analysis. However, the relationship of such variables as size and professionalism to 309(b) adoption was not as pronounced as was the case with general innovativeness. Table 4-6 presents the results of multiple regression analysis with 309(b) adoption as the dependent variable.

Table 4-6

Summary Table for Multiple Regression:
309 Adoption with Budget, Size, Security
and Professionalism

Independent Variable	Multiple Correlation	R Square (Variance)	Simple Correlation	Beta
Budget	.26	.07	.26	.13
Size	.28	.08	.22	.10
Security	.29	.08	.11	.05
Professionalism	.36	.13	.30	.23

It is interesting to compare Table 4-6 with Tabel 4-4. The same variables explain roughly half as much of the variance in the case of 309(b) adoption as they did in the case of innovativeness generally. Taken together, budget and size account for about 60 percent of the explained variance, security accounts for almost none, and professionalism for about 40 percent. Thus in the case of 309(b) adoption budget and size appear to loom somewhat larger, security is of negligible importance, and director's professionalism, while somewhat attenuated, remains the most salient single factor. It may be that 309(b) adoption is a different phenomenon from innovation generally and that we have failed to identify some critically important variables. But it seems more probable that the measure of 309(b) adoption was so crude (two-thirds of the sample scored 0) that statistical analysis was less effectual in highlighting important correlates.

Barriers to Innovation

This section briefly addresses the problem of barriers to innovation at the local program level as perceived by ABE directors. The directors were asked: "In your experience, to what degree have the following factors generally inhibited innovation in your ABE program?" Respondents rated each of eight factors on a five point scale. Percent distributions for *each factor*, with scale values collapsed into three categories, are shown in Table 4-7.

Table 4-7

Selected Factors Inhibiting Innovation as Seen by Local ABE Directors (In Percent, N=805)

Inhibiting Factor	Degree of Importance		
	Little	Some	Great
Insufficient funds	28.4	19.0	52.7
Insufficient staff time	23.2	17.9	59.0
Lack of staff support	79.2	12.5	8.2
Insufficient information regarding innovations	38.0	34.5	27.5
Need for staff retraining	42.2	31.4	26.4
Interference from superiors	85.6	6.9	7.4
Scarcity of innovations that would improve program	49.3	30.6	20.1
Lack of innovations that can be tried first on a limited basis	49.3	32.3	18.4

Not unexpectedly, insufficient funds and staff time are by far the most significant perceived barriers to innovation in local ABE programs. But, looked at another way, it is perhaps surprising that nearly half

the respondents indicated that lack of money and time inhibited innovation only slightly or moderately. Lack of staff support and interference from superiors -- interpersonal organizational factors -- seem of minor import for most programs. Significantly, more than a fourth of the directors rated insufficient information about innovations as a major barrier. About a fifth suggested that worthwhile innovations are less than abundant. *Of course, this perception may well* be related to lack of information.

Lack of funds and staff time are problems not easily remedied. But lack of information about innovation, another important barrier, can be at least partly overcome by more vigorous and systematic attempts to disseminate information about promising program practices to those who need it.

The degree to which the above factors are seen as barriers was partially affected by program size and the director's professionalism.* In large programs, and those headed by directors who scored high on professionalism (these variables, of course, are related), lack of funds was seen as a slightly greater barrier than in small programs and in programs with directors who scored low on professionalism. Perhaps this is because large programs have had more experience with innovation and its costs. Less puzzling is the fact that insufficient information is less of a barrier in the case of large programs and programs headed by highly professional directors. However, interference

*The statements which follow are based on the results of cross-tabular analysis. In each case the Chi Square statistic was significant at the .05 level or higher.

by superiors is a slightly greater barrier in such programs, perhaps because larger programs are more bureaucratized.

Opinions of Local Directors on Innovation-Related Issues

The directors surveyed were presented with several statements concerning innovation and asked to indicate the extent of their agreement or disagreement with each. Percentage distributions of responses to each statement, with scale values collapsed into three categories, are presented in Table 4-8.

Table 4-8

Extent of Local ABE Directors' Agreement/Disagreement with Statements Related to Innovation (In Percent, N=805)

Statement	Extent of Agreement/Disagreement		
	Strongly Disagree	Neutral	Strongly Agree
The most useful innovations are those we have created locally for our ABE program	14.0	38.8	47.2
The state ABE staff actively supports innovation in my ABE program	6.8	14.4	78.8
Federal funds available for ABE experimentation and demonstration should be preserved rather than reallocated for operational purposes	33.2	24.7	42.0

Nearly half of the directors indicated strong agreement with the proposition that the most useful innovations are those developed locally. This seems to indicate a large measure of inventiveness and self-reliance at the local program level, although it may also reflect the

shortcomings of the 309(b) system in developing relevant ideas and products and effectively disseminating them. A mechanism for identifying and disseminating locally produced innovations does not exist, although it would appear to be needed. It is of considerable interest to note that the great majority of directors strongly agree that the state ABE unit actively encourages innovation at the local level. Finally, it is noteworthy that the directors were roughly evenly divided on the issue of maintaining funds for ABE experimentation and demonstration, with a somewhat larger proportion favoring continuation of such activities. Since reallocation for operational purposes would directly benefit local programs, it is perhaps surprising that only a third of the directors strongly disagreed with the statement that monies should be preserved for demonstration and experimentation purposes.

The opinions of directors who scored high on professionalism differed slightly from those who scored low. Compared to directors who scored low on professionalism, a larger proportion of highscoring directors: 1) strongly agreed that the most useful innovations are locally developed; 2) strongly agreed that the state ABE staff actively supports innovation; 3) strongly agreed that federal funds for ABE demonstration activities should be preserved.

Opinions of State ABE Directors on Issues Related to Innovation and the 309(b) Program

State ABE directors, who were mailed a separate questionnaire (see Appendix C), were also asked to rate the extent of their agreement with a series of statements relating to the 309(b) program and the problem of dissemination. Their responses are shown in Table 4-9.

Table 4-9

Extent of State Directors' Agreement/Disagreement with Statements Related to the 309(b) Program and Innovation Dissemination (In Percent, N=35)

Statement	Extent of Agreement/Disagreement Strongly Disagree	Neutral	Strongly Agree
Funds currently allocated under 309(b) for experimentation and demonstration should be re-allocated for operational purposes	37.2	28.6	34.0
The best way to disseminate innovations to local ABE programs is through the state ABE agency	2.9	5.7	91.4
Regionalization of ABE staff training is a positive development	14.3	14.3	71.4
There is little prospect for cooperative activities among state ABE agencies in our USOE region	85.7	8.6	5.7
In general, 309(b) projects funded in our state have worked cooperatively with the state ABE agency	26.6	26.7	46.7
The 309(b) program has generally been a success	37.2	28.6	34.0

Interestingly, state directors, like their local counterparts, are about evenly divided on whether or not the 309(b) program should be continued. A rather large proportion (28.6%) indicated uncertainty or mixed feelings on this issue. The distribution of responses to the statement concerning the success of the 309(b) program is similar to that for the item on continuance of funds for demonstration purposes.

State directors obviously have varying perceptions of the worth of the current 309(b) operation. Nearly all the state directors, as might be expected, strongly agree that their state agency is the best vehicle for disseminating innovative practices to local ABE programs. The highly positive attitudes of the majority of state directors toward regionalization of staff training and the prospects for regional cooperation bode well for new multi-state initiatives, such as a regional system for disseminating information about innovative program practices. About half of the state directors indicated that the 309(b) projects in their states worked cooperatively with the state ABE agency, while about a fourth felt the situation was exactly opposite. Again, the experience of the directors seems to have varied considerably from state to state.

The state directors were asked another question pertinent to the future of the 309(b) program: "If responsibility for administering the 309(b) program were to be decentralized to the USOE regional level, what percentage of the funds should be retained by USOE to insure coordination in meeting national needs?" A little less than 20 percent suggested that Washington retain nothing, while about the same proportion suggested that USOE retain 20 percent more of the total 309(b) allocation. The average figure suggested was 12 percent, the median or midpoint figure was 9 percent, and the modal or most frequently mentioned figure was 10 percent.

Summary

Multiple regression analysis was employed to identify the major determinants of innovation in ABE programs. Director's professionalism emerged as by far the most significant factor, accounting for more than half of the explained variance. Size and affluence also had major impact on innovativeness in local programs. Security was another salient factor, especially when innovativeness was measured by self-ratings. Size, affluence, and the director's professionalism were also found to be important factors in 309(b) adoption, with professionalism again having the greatest independent effect.

Local directors saw lack of funds and staff time as the major barriers to innovation. Insufficient information regarding innovations was also seen as a significant barrier. Nearly half the directors indicated that the most useful innovations were those developed locally for their own programs. The great majority viewed the state ABE agency as supportive of their attempts to innovate locally. About a third of the local directors felt that 309(b) funds for experimentation and demonstration should be reallocated for operational purposes.

State ABE directors were divided on the issue of maintaining 309(b) funds for experimentation and demonstration. About a third expressed strong agreement with the statement that such fund should be reallocated for operational purposes. They were also divided about the success of the 309(b) program. About a third strongly agreed that 309(b) has been successful, with a roughly equal proportion disagreeing. Most state directors felt that, should the 309(b) program be decentralized and administered at the USOE regional level, Washington should

retain about 10 percent of the funds to "insure coordination in meeting national needs." Nearly all the state directors felt that the best vehicle for disseminating innovative practices to the local program level as the state ABE agency.

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CHAPTER 5

SUMMARY AND RECOMMENDATIONS

The purpose of this study was to analyze the 309(b) program to determine why dissemination of results to local ABE programs has been less effective than desired. In this chapter major findings are summarized by categories that seem to best explain the dissemination problem from a policy perspective. Action recommendations based on the research follow the summary section.

Summary of Major Findings and Policy Implications

The Study in Perspective

To place this study in perspective, it is first necessary to consider a fundamental question: Who are the intended users of 309(b) output? Because our assignment was to study underutilization of 309(b) results by local ABE programs, we have assumed that local ABE programs were the intended users. This assumption was made necessary by the focus of the study, but we realize that the answer to the user question is not as simple as we have made it seem.

Identifying 309(b) user populations directly relates to the intended mission of the 309(b) program. Were local ABE programs the sole intended users, we could easily infer that the mission of 309(b) was direct support of the Title III state grant effort. Yet, as the analysis in Chapter 2 indicates, the mission of the 309(b) program seems to be considerably broader. In fiscal year 1973 about one-fifth

of the total 309(b) allocation was earmarked for policy planning and adult learner/target population studies. In these cases the direct user of output was primarily USOE itself, though state grant programs will undoubtedly reap eventual benefits. Similarly, about one-sixth of 1973 funds were allocated to experimental demonstrations of new instructional, administrative, or delivery systems such as the four-state educational TV project. In such cases it is not generally clear who the direct users are intended to be. The benefits to state grant ABE programs may be indirect or contingent upon future developmental efforts.

If we wish to infer the primary mission of the 309(b) program from analysis of the types of projects supported, then that mission seems to be the selective support of operational programs to meet high priority local needs. Local impact projects, geared in most cases to the immediate needs of special population groups, such as migrants, model cities residents, or Indians, have consituted the dominant programmatic thrust of 309(b) since 1968. The majority of these local impact projects have had no direct connection with the Title III state grant program. In fiscal 1973, 51 percent of the total 309(b) allocation was used to support projects of this nature. Clearly, development of improved practices and products to directly address the needs of state grant ABE programs has not been the predominant mission of 309(b). In 1973, only 12 percent of the total 309(b) allocation was used to support such projects. Consequently, it is not too surprising that a majority of local ABE programs have never adopted an idea or practice developed by a 309(b) project, although the history

of resource allocation under the 309(b) program is only part of the reason for this situation.

Attempts to infer the mission of the 309(b) program from analysis of the types of projects funded have led us to conclude that the program's purposes need more precise definition. It appears, in fact, that there are two somewhat divergent conceptions of what the program's main purpose is or should be. USOE appears to consider comprehensive program development to be the main objective of 309(b). It has attempted through policy-oriented studies and demonstration of alternative systems, for example, to build the groundwork for systematic efforts directed toward long term change. At the same time it has funded local impact projects to respond to high priority local needs not being met by existing state grant programs. In contrast to USOE, many state-level officials and local practitioners have a more immediate and pragmatic conception of what 309(b) should be. Most feel that highest priority should be given to projects that directly address the needs of ongoing state grant programs. Such projects would include local impacts awarded directly to state or local ABE agencies as well as projects designed to develop improved practices to meet local program needs. These differing perspectives are not irreconcilable and are largely a matter of emphasis. To date, however, USOE's broad conception of the mission of 309(b) has prevailed and projects supported under the program have addressed a variety of intended users. The summary and recommendations that follow should be interpreted in the context of this broader perspective.

The Relevance of 309(b) to Local ABE Programs

A resource system such as a 309(b) project lacks relevance when its outcomes fail to meet the needs of, or to be compatible with, the special institutional environments of potential users, in this case local Title III ABE programs. Rogers has identified two components of what we term relevance, the concepts of relative advantage and compatibility. He states: "Relative advantage is the degree to which an innovation is superior to ideas it supersedes."[1] The central ingredient of relative advantage is the ability of an innovation to meet user needs for improved program practices. Rogers defines compatibility as follows: "Compatibility is the degree to which an innovation is consistent with existing values and past experiences of adopters."[2] In other words, all user systems have certain value systems, technologies, and resource limitations which must be recognized and taken into account if the resource system is to be successful in securing utilization of its outcomes.

Our findings suggest that 309(b) projects often lack relevance for local ABE programs in that outcomes are not focused on local Title III needs and are incompatible with local ABE program environments. Communi-Link, for example, focused on community development processes, not the needs of ABE programs, and few if any local ABE programs possess either the resources or technical expertise to replicate the RFD system. Most local impact 309(b) projects are solely concerned with their own internal operations and have no plan for either developing or disseminating innovative practices for wider

use. Many exist in community or institutional contexts so unique that their outcomes do not fit elsewhere. Since 1968 the majority of 309(b) projects have been local impacts.

If the relevance of 309(b) to local ABE programs is at issue, it is necessary to explain how the problem has developed. There appear to be at least three factors involved. The first is related to the manner in which federal policy regarding the 309(b) program is established.

Although the Division of Adult Education Programs is responsible for administering the 309(b) program, it is incorrect to assume that it alone determines 309(b) policy. A more accurate assessment is that DAEP serves as a focal point for a number of inputs to the policy making process that determines what topics will be addressed by 309(b) projects. In a given year, inputs come from several sources including the administration, Congress, and the Division itself. All 309(b) policy, furthermore, must be made within the constraints imposed by the Adult Education Act of 1966. The various inputs are not of equal importance, however. Rather, the policy determining process has been a "top loaded system" in that inputs from the administration (including HEW and OE), Congress, and the Division itself have had a much greater impact on policy than inputs from the field.

The top loaded nature of the policy setting process seems to have derived from two factors. Because of the position it occupies in the federal bureaucracy, DAEP must accede to policy pronouncements issued from above. Moreover, since DAEP is relatively new and has often operated on a crisis footing, it has had limited resources to

systematically assess, update and act on input from the field. The fact that policy determination has been top loaded bears directly on the relevance issue, for if there is no dependable and continuing mechanism by which the field is capable of significantly influencing 309(b) policy, there is nothing to insure that the nature of 309(b) projects will be relevant to local ABE program needs. The companion study to this volume represents the first systematic effort to establish local program need.

A second factor that influences relevance is that many 309(b) grants seem to have been awarded to help specific minorities rather than to fund projects which will develop innovative program practices for broader use within Title III programs. The situation results both from a genuine desire to assist undereducated minority group adults on DAEP's part, and from pressure applied by minorities on Congress and the administration. The result, however, has been the proliferation of many local impact projects in unique settings which are difficult to generalize to other programs. Moreover, we have found that local impact projects are typically concerned with conducting operational ABE programs for their minority constituents and thus have neither the desire nor intention of conveying any replicable results to others.

The final factor related to the question of relevance has to do with the mission of the 309(b) program as perceived by USOE. As discussed above, 309(b) has several distinct program thrusts and its overall goal is seen as comprehensive program development, including policy studies and demonstration of alternative systems as the basis

for rational long term planning and development. As a result, much of the investment in 309(b) was never intended to address directly the concerns of local programs and thus the outcomes of many 309(b) projects are largely irrelevant as far as local programs are concerned.

Lack of Emphasis on Dissemination

In order for there to be utilization of 309(b) results, outcomes must be conveyed to local ABE programs. Yet dissemination rarely occurs unless there is some stimulus to evoke it. To date that stimulus has generally come from within a few 309(b) projects which consider dissemination to be a developer's responsibility. Most 309(b) projects, however, do not consider dissemination to be their function, and in the absence of DAEP policy and any organized supplementary institutional arrangement which encourages and supports dissemination, they fail to convey their outcomes. The reason why DAEP has been handicapped in stimulating dissemination seems to be twofold. The Division has not until this past year placed a major emphasis on dissemination, and there has been a lack of understanding of the preconditions of succesful dissemination. Clearly, the funding of the present research project represents recognition of the problem and an effort to change this situation.

The contention that DAEP has not assigned high priority to stimulating dissemination is supported by several findings. In selecting proposals to fund, for example, DAEP has not specified as necessary criteria whether the proposed project would be replicable and whether it would be innovative. Both factors are crucial to utilization.

Whether a proposed project would respond to a central need of ABE programs was rated only moderately important by DAEP staff. In short, innovativeness, replicability, and need satisfaction have not been decisive factors in making grant awards, and dissemination and utilization suffer accordingly.

After DAEP has funded a project, its responsibility is to monitor and service it. Projects are monitored according to how well they abide by the objectives set forth in their proposals, but since dissemination is seldom required of a project, dissemination activities do not directly enter into the evaluation process. Comprehensive dissemination, however, is costly, and if DAEP required it of all grantees it would be necessary to make funding provisions which would probably be prohibitively expensive.

A comprehensive, national effort would be unrealistic and unnecessary for every project, but many more projects might undertake limited regional or local dissemination efforts were they encouraged to do so and supported by technical assistance in planning and organizing dissemination efforts. But technical assistance of this sort is seldom provided to grantees because program officers responsible for servicing are isolated from their projects and sometimes lack the needed expertise. Isolation is produced by provisions which restrict program officers from visiting projects regularly, and by the constant shifting of program officers from one project to another. Expertise is sometimes lacking because program officers come from varied backgrounds and there is no staff training for them other than an apprenticeship system which is inefficient in terms of the time it

takes to train a new staff member. The problem of expertise is further compounded by a high staff turnover rate.

The Scope of Dissemination

We found that although no 309(b) project was truly effective in disseminating to ABE programs on a national basis, some were quite successful in disseminating regionally. Proximity of the developer to the user system seems to enhance dissemination. Although the proximity effect can be partly attributed to the fact that many 309's have concentrated their dissemination activities locally or regionally, it also appears that proximity per se facilitates dissemination. If a user is located close to a 309(b) project, he is available for face-to-face dissemination tactics such as training or site visits. Moreover, 309(b) projects can more easily disseminate outcomes through local communication networks with which they are familiar than through communication systems that are distant or foreign to them. 309(b) projects also tend to be more relevant to the needs of ABE programs in their own state or region. In terms of the amount of utilization of 309(b) outcomes per dollar spent on dissemination, regional efforts by individual projects, where warranted, would seem to be more cost effective than national efforts.

Work Cycle of the 309(b) Project

The 309(b) project is a temporary system that is seldom in operation for more than three years. Much of the first year may be spent in getting under way -- hiring staff, setting up offices, planning project activities, gathering data, and so on. This leaves only a

little over two more years for product development and dissemination. Most projects, however, are preoccupied with development activities and if they disseminate at all it is usually at the very last minute and then it is too little too late. SWCEL exemplifies this pattern. Preoccupied with the development and testing of various projects, the staff mounted a crash dissemination campaign only after it became clear that funding would terminate in the near future. Not all of SWCEL's products, moreover, were ready for dissemination even in the last weeks of the project's existence. Prototypes of potentially useful products, such as the "Here's How Recruitment and Motivation Kit," lie gathering dust and are unavailable for purchase. If projects were encouraged and assisted to plan for dissemination at the beginning of the work cycle, many of these difficulties could be avoided. Currently, however, there is no mechanism for salvaging prototype products that cost large sums to develop but were never adapted for local use or mass produced.

The Problem of Continuity

Because 309(b) projects are temporary systems, termination of funding results in termination of all project activities including dissemination. As noted above, SWCEL's materials, which cost over $1.6 million to develop, lie gathering dust in a storeroom because there is no money available either for dissemination or training of potential users. The solution to the continuity problem lies in linking 309(b) projects with ongoing systems that will store 309(b) output and continue to adapt and disseminate it after the project

ends. Currently, commercial publishers, state education departments and regional staff development projects approximate such systems. Of the three, state education departments seem to be particularly effective dissemination channels. Yet there are drawbacks to each as dissemination systems. Commercial publishers, for example, can disseminate only those 309(b) outcomes which are amenable to publication and profitable. Regional staff development projects focus on teacher training and would probably be inefficient as disseminators of 309(b) outcomes that do not relate to the training function. Moreover, the regional staff development projects themselves are temporary systems which are not expected to continue indefinitely. The major drawback to relying solely on state education departments as disseminators is that no state education department could handle the dissemination of the 87 projects funded between 1967 and 1972 -- not to mention innovations from other sources. A national mechanism for identifying and making known promising innovations appears necessary.

Shortcomings of the Advertising Model

Creating awareness about a 309(b) outcome is a necessary but not sufficient condition for producing utilization. If a 309(b) project has developed and demonstrated a new program practice, the potential user requires detailed evaluative information pertaining to the worth of the practice, the problems of local adaptation, and perhaps even training in its use. Securing adoption, therefore, often necessitates personal contact with potential users.

The problem is that most 309(b) dissemination efforts have concentrated on awareness-producing activities which by themselves are incapable of securing widespread adoption. In other words, 309(b) projects tend to concentrate on advertizing their activities in the often vain hope of securing adoption of their results. Of the 309(b) projects included in our field studies, only Texas Guidance and Counseling concentrated to a significant degree on securing utilization through personal contact.

Resources for Dissemination

It is self-evident that if a 309(b) project is to disseminate it must have the resources to do so. RFD and Communi-Link were able to undertake national dissemination efforts because they had trained communications specialists on their staffs and because their dissemination activities were well supported by USOE funding. RFD was able to spend over $150,000 on dissemination alone. The great majority of 309(b) projects, however, have not had either the money or expertise which effective dissemination requires. As already mentioned, if all 309(b) projects were to be allocated sufficient dissemination funds the cost would probably be prohibitive. Moreover, such an approach would be grossly inefficient in that each project would have to develop its own dissemination system which would cease to function upon project termination. If as an alternative, however, one permanent system solely reponsible for nationwide dissemination of 309(b) output were established, economies of scale might lower the cost of operation to a reasonable level.

Characteristics of 309(b) Outcomes Inhibiting Adoption

Communicability

Dissemination is basically a communication process. If a 309(b) outcome is difficult to communicate, it is difficult to disseminate. It was found that many 309(b) products are so complex that they are difficult to disseminate. Project Communi-Link, for example, was apparently unable to secure adoption outside states in its own region because it was difficult to communicate the system without extensive training in the use of "Microville." Moreover, the more complex a product, the greater the probability that face-to-face dissemination strategies and training will be needed for utilization. Such strategies are expensive and time consuming, however, and strain the resources of 309(b) projects operating on tight budgets.

Cost of Adoption

Included in cost of adoption are the price of the product, the cost of needed training in terms of time and money, and any program dislocation that adoption entails. SWCEL and Texas Guidance and Counseling charged between $100 and $200 for their training packages, prices which may have had a significant negative effect on utilization. Communi-Link would have been extremely expensive to replicate nationally because training would have been required in the use of the Microville simulation game and the gameboard itself would have been costly to manufacture. Most ABE programs operate on extremely limited budgets and cost can be a decisive factor in the decision to adopt an innovative practice or product.

Trialability and Divisibility

Trialability refers to the ability of a user to experiment with a 309(b) product on a limited basis before committing the program to adoption. Divisibility permits the user to adopt only a portion of a product, rejecting other parts not considered useful. In a series of nine pilot interviews with local ABE directors it was found that both factors were quite important to utilization. Occasionally, 309(b) products are neither trialable nor divisible. For the Communi-Link system to be effective, for example, it must be totally accepted or rejected, and it is not divisible.

Modifiability

Most of the 309(b) products studied were developed specifically for regional use or use by special populations of ABE students. Thus, if they are to be used by a broad spectrum of ABE programs, they must possess the characteristic of modifiability. Local ABE programs must be able to delete parts of the product and add others to make it relevant to their own situations. RFD's television programs were criticized for lack of modifiability. Each program contained references to rural Wisconsin which would have to be edited out for use elsewhere. Editing is an expensive process, however, and requires considerable technical expertise. In contrast, the fact that Texas Guidance and Counseling packages could be modified for use in Creole ABE programs contributed to a reported 90 percent use rate in Louisiana.

Characteristics of the Innovative ABE Program

Our findings indicate that innovative ABE programs, in contrast to others, tend to be larger, more affluent, more institutionally secure, and administered by full time, professionally oriented directors. Since by definition innovative programs are more likely to adopt innovative practices, including 309(b) output, the implication is that upgrading of local ABE programs is crucial if a maximum degree of 309(b) utilization is to be achieved.

Specifically, our data suggest that the director's professionalism is the major factor accounting for program innovativeness. Consequently, the utilization of 309(b) results would be enhanced by increased emphasis on the professional development of key personnel and an increase in funds to provide for more full time ABE directors. Likewise, since program size, affluence, and security are positively related to innovation, the consolidation of small, marginal ABE programs into larger, better financed programs should enhance 309(b) utilization.

The point is that effective dissemination is but one facet of the utilization problem. The maximum amount of 309(b) utilization can be achieved only if the organizational capabilities that facilitate innovativeness are strengthened.

Recommendations

The policy and action recommendation presented in this section are based on the findings of this study and on our interpretation of them. Others who read this report will undoubtedly discover additional action implications. The recommendations are based on two important assumptions. The first is that a major objective of the 309(b) program is to improve existing state grant ABE programs. The second is that to achieve this objective, local ABE programs must become more aware of 309(b) outcomes and utilize them.

THE DIVISION OF ADULT EDUCATION PROGRAMS SHOULD DEFINE THE GOALS OF THE 309(b) PROGRAM, DETERMINE PRIORITIES, AND ALLOCATE RESOURCES ACCORDINGLY

The goals of 309(b) need clarification. In the present study it was necessary to infer them from analysis of the types of projects funded. Goals define the long term mission of the program and should not be confused with the published annual "priorities" which dictate substantive topics or problem areas to be emphasized by specific projects. Current goals, inferred in the process of research, include: 1) responding to local needs not adequately met by state-grant ABE programs; 2) building the information base needed for rational program planning and development on a national basis; 3) experimenting with and evaluating alternative instructional, organizational, and delivery systems; and 4) development of specific innovative practices and products to directly assist local ABE programs. Another more recent goal appears to be 5) dissemination of 309(b) results to promote their wider utilization. The functional classification of projects presented in Chapter 2 corresponds to these implicit program goals. For example,

local impact projects respond to high priority local needs for operational programs. Policy planning and target population studies generate needed information for long-term planning and program development. These different types of projects vary greatly in the way they are organized and operate, in the staff and institutional capabilities required, in intended users of their results, and in the criteria relevant to their evaluation.

The Division should first determine whether these five goals currently pursued represent the directions it wants 309(b) to follow. If so, it should establish an appropriate balance by rationally allocating its resources among them. For example, 309(b) funds might be allocated according to goals as follows: 1) local needs, 10%; 2) national planning, 10%; 3) alternative systems, 20%; 4) improved program practices, 50%; and 5) dissemination, 10%. Whatever the formula, the point is that resources should be allocated according to a rational plan to achieve program goals.

The current practice of establishing priorities among needs should reflect the legitimate interests of practitioners, systematically assessed, as illustrated in Volume 1 of this study, and periodically updated. For the most part, these priorities will be addressed by funding projects designed to produce improved practices and products, develop improved instructional, organizational, and delivery systems, and to a lesser extent through local impact projects (goals 4,3 and occationally 1). A proportion of total 309(b) funds can be earmarked for responding to such expressed needs of practitioners. Another proportion can be earmarked for national priority needs. These priorities

will involve studies needed to build a data base for rational long term planning and program development and also provision for dissemination (goals 2 and 5). A third proportion of funds can be earmarked for political priorities, which would encompass program decisions and pressures from outside the Division. These priorities may involve funding in any of the five goal directions, but local impact projects would probably receive most emphasis.

Prudent planning would earmark a defensible and practically feasible proportion of funds both according to goal and each of the three designated priority areas. Of course, every effort should be made to channel political pressures into the suggested strategy of funding by goal and according to both practitioner and national priority needs. Having a dependable source of data pertaining to practitioner or field needs constitutes a defense in making resource allocations against political pressures for projects irrelevant to authoritatively establish priorities.

We do not believe that the present practice of annually redefining new priorities for funding is educationally defensible. Politically dictated priorities aside, a systematic updating of field priorities can be routinely undertaken on a tri-annual basis. Most of the field-dictated priorities will require a multi-year effort to yield results at any rate as will almost all national priority projects.

THE DIVISION OF ADULT EDUCATION PROGRAMS SHOULD REQUIRE PROJECT APPLICANTS TO SPECIFY THE INTENDED USERS OF PROJECT RESULTS AND TO DEVELOP APPROPRIATE DISSEMINATION PLANS

We have found that many 309(b) projects do not have a clear idea of who will make use of their results. If 309(b) projects cannot specify their intended users, then effective dissemination is precluded. Most local impact projects do not even see dissemination of results as relevant to their purposes. Nonetheless, many of these projects do demonstrate practices that could have applicability elsewhere. However, we have found virtually no communication even among local impacts serving similar population groups. It is especially difficult to determine the intended users of projects that demonstrate alternative instructional, organizational, or delivery systems. The question needs to be asked, for whom is the demonstration being conducted? Depending on the particular project, intended users might include state ABE agencies, university professors, local ABE programs, or USOE itself. The question of intended users is pertinent to every project of whatever type that is funded under 309(b).

Once intended users are specified, it is possible for projects to develop relevant dissemination plans. This does not mean that every project must make a major dissemination effort on its own. Certain projects, for example, could plan for dissemination through linkages with state ABE agencies or in collaboration with a national dissemination system that might be established to meet this need. What is essential, however, is that every 309(b) project develop an appropriate plan to ensure that its results will be put to use. A major criterion for evaluating projects should be extended to which their results are

effectively communicated to, and used by, potential adopters.

THE DIVISION OF ADULT EDUCATION PROGRAMS SHOULD INSTITUTE A PROCEDURE FOR ASSESSING THE NEEDS OF THE FIELD ON A SYSTEMATIC, PERIODIC BASIS AND USE THE RESULTS IN DETERMINING FUNDING PRIORITIES

The policy setting process that annually determines the kinds of 309(b) projects supported by the Division has been "top loaded" in that the major inputs have come from the HEW bureaucracy and the Division itself. Until recently, there has been no mechanism to systematically assess needs expressed by the field. This situation has served to impede the relevance of 309(b) to local ABE programs. Efforts to enhance the utilization of 309(b) results will prove futile unless projects address themselves to the real needs of ABE programs. But first it is necessary for the Division to establish a mechanism for identifying and ordering these needs, perhaps on a tri-annual basis.

The Division has already responded to this problem by supporting a demonstration project, conducted by the Center for Adult Education, which developed a system for identifying and evaluating priority needs of the field. The question now is how to institutionalize such a mechanism to insure periodic input from the field as a basis for developing specific 309(b) funding priorities. Volume 1 of Planning for Innovation in Adult Basic Education describes the project and reports in detail on needs expressed by the field in 1973.

WHEN EVALUATING PROPOSALS, THE DIVISION OF ADULT EDUCATION PROGRAMS SHOULD CAREFULLY WEIGH WHETHER A PROPOSED APPLICANT'S OUTCOMES WILL BE DISSEMINATABLE

Our findings indicate that the primary criterion used to decide whether or not to fund a proposal is whether or not the proposed project is capable of achieving its stated objectives. This practice is commendable, for abortive projects do not produce results than can be disseminated and used. On the other hand, it was found that whether a potential grantee's outcomes will be replicable (or adoptable) and innovative have been relatively unimportant criteria in evaluating proposals. Since innovativeness and replicability are crucial to utilization of 309(b) outcomes by ABE programs, it is important that the Division strongly consider whether a proposed project will produce innovative and replicable outcomes when evaluating proposals.

Our research shows, too, that there are several characteristics of 309(b) outcomes that impede or facilitate their utilization by local ABE programs. The Division should make use of these findings by giving preference to projects that propose to produce products that are easy to communicate, inexpensive to adopt, trialable, divisible, and modifiable. Local ABE directors report that the most significant impediment to program innovation is cost. Hence the Division should pay special attention to this factor.

THE DIVISION OF ADULT EDUCATION PROGRAMS SHOULD MAKE FURTHER EFFORTS TO IMPROVE THE MONITORING AND SERVICING FUNCTIONS OF THE PROGRAM SERVICES BRANCH

Several factors that inhibit effective monitoring and servicing of 309(b) projects were identified in Chapter 2 of this report. One

problem is that meaningful communication between projects and program officers has been impeded by a constant shifting of project assignments among program officers. When communication is disrupted, program officers have difficulty adequately servicing and monitoring their assigned projects. Another problem related to communication is lack of adequate travel funds for program officers to visit their projects. Projects cannot be meaningfully assisted or monitored if program officers are permitted only one site visit annually. It is clear that the 309(b) program suffers as a consequence of restrictive USOE travel regulations.

Still another handicap is that some program officers, by their own admission, are inadequately trained for their responsibilities. Program officers come from a variety of backgrounds, and many have had no graduate level training in the field of adult education. Appropriate professional training should be a major criterion in selection of new staff. Staff who lack such training or equivalent experience should be encouraged and assisted to obtain it. At present, the Division relies mostly on an apprenticeship approach to on-the-job training for new program officers, but this system has been shown to be unsatisfactory. If a formal in-service training program were instituted, new employees might be better trained in less time, enabling them to perform the monitoring and servicing functions better and more efficiently.

A CONTINUING NATIONAL SYSTEM FOR RETRIEVING, STORING, EVALUATING, ADAPTING, AND DISSEMINATING 309(b) OUTCOMES AND OTHER RELEVANT INNOVATIONS SHOULD BE ESTABLISHED

This study found that many 309(b) outcomes are never used by ABE programs. A major reason for this situation is that 309(b) projects are temporary systems and all dissemination activity ceases when projects terminate. In most cases materials produced by projects are no longer available from any source and sometimes there is no record at all of project activities and outcomes. The traces simply vanish into files and storage bins. Another reason for under-utilization of 309(b) outcomes is that few projects are willing or able to disseminate effectively. Dissemination requires specialized skills and resources beyond the capability of most projects. It is evident, moreover, that it is neither rational nor cost-effective to expect every 309(b) project to undertake its own dissemination effort. An ongoing national system seems to us essential if USOE is to realize the full fruits of its investment in the 309(b) program. The current non-system is simply incapable of securing widespread utilization of 309(b) results by local ABE programs. The main features of the proposed system are briefly outlined below.

- For many reasons, proximity of the user system to the dissemination source enhances adoption. The proposed national system should be decentralized on a state or regional basis, but there should be a national headquarters to plan and coordinate efforts, train regional dissemination agents, retrieve and store materials, operate a computerized data bank, organize a publications program, and perform other necessary functions. Our findings show that state directors

feel that there is significant potential for regional cooperation, a factor that bodes well for the regional operation of such a system.

- The national system, through its regional networks, should work very closely with the state education departments and other established channels of ABE communication such as professional associations and regional staff development projects. State education agencies have been shown to be especially important channels for communication and support of innovations.

- Each 309(b) grantee should be required to consult with the national system regarding its dissemination plans. If the 309(b) project has the capability of disseminating and such an effort by the project itself is warranted, the national system would help the project design a dissemination plan. It would then continue the dissemination effort after the project's termination. For other projects, especially the local impact type, the national system itself would undertake the major burden of disseminating results.

- The national system should maintain a computerized data bank that includes information on 309(b) and other innovations and detailed data about the characteristics of every Title III ABE program in the country. The data bank will enable the system to match innovations with potential users.

- We have found that many promising innovations are not utilized because further development is needed (e.g., field testing) before they are ready for distribution and use. Many of the prototype

products developed by SWCEL fit in this category. Once identified, promising innovations of this kind require "adaptive development" so that they can be disseminated and used. The national system should have adaptive development as part of its function. Funds would be needed for this purpose, but they would dwarf the original development costs of materials salvaged from 309(b) projects alone.

- Our findings have convinced us that person-to-person dissemination efforts are generally necessary if 309(b) results are to be actually utilized by teachers, administrators, and others in local programs. Consequently, each region should be assigned a dissemination officer who would function somewhat like a Cooperative Extension agent. Essentially, his job would be to identify local needs as well as locally produced innovations, to interpret innovative ideas and practices, to provide technical assistance to adopters, and to serve as a general resource and communications channel both for local programs and state education agencies. He would be the link pin between the region and the national headquarters.

- The national system, through its regional dissemination officers, should identify local ABE programs which are opinion leaders in their areas to engage their cooperation as innovation diffusion centers. We have found that the proximity of the disseminator is important, in large part because of the advantage of utilizing familiar and established channels of communication. Local opinion leader programs, with assistance from the regional dissemination officer could be potent forces for change by trying out promising innovations and agreeing to

help disseminate them to other local programs through site visits, workshops, state professional association meetings, and other means.

- The national dissemination system should be adequately funded. The cost would not be insignificant, but it should be weighed against the benefits of sharply increased utilization of 309(b) project results and other tangible benefits to the field. Utilization is the name of the game. There is no satisfactory alternative to some form of national dissemination system.

THE DIVISION OF ADULT EDUCATION PROGRAMS AND STATE ABE AGENCIES SHOULD ENCOURAGE THE CONSOLIDATION OF SMALL, MARGINAL PROGRAMS

The findings reported in Chapter 4 indicate clearly that small, marginal programs are very unlikely to be innovative. This situation exists in part because such programs do not have directors who are professional adult educators and who are able to devote adequate time to ABE. Another contributing factor is that small programs are usually not part of the professional communications network that is a major source of information about innovative program practices. Finally, small, marginal programs generally lack the financial resources, security, and stability that, according to our data, are important organizational conditions favoring innovativeness.

THE DIVISION OF ADULT EDUCATION PROGRAMS AND STATE ABE AGENCIES SHOULD ENCOURAGE AND PROVIDE FINANCIAL SUPPORT FOR FULL TIME ADULT EDUCATION DIRECTORS

This recommendation follows from the preceding one. The most important factor in program innovativeness was found to be the director's

professionalism, and a major component of professionalism was the amount of time devoted to ABE and other adult education responsibilities. It is hardly astounding that programs which employ directors who work ten hours per week and who have no training or career interest in adult education are seldom innovative. The place to begin, if adult education programs are to be rapidly upgraded, is with the director.

THE DIVISION OF ADULT EDUCATION PROGRAMS AND STATE ABE AGENCIES SHOULD PLACE HIGH PRIORITY ON THE PROFESSIONAL DEVELOPMENT OF THE ADULT EDUCATION DIRECTOR

There is no point in consolidating marginal programs and employing full-time directors unless these individuals are prepared for their jobs. An essential component of professional comptence is training. In-service education opportunities should be developed and supported, but particular emphasis must be given to graduate level training if professionalism is to be taken seriously. There is an urgent need for a fellowship program to enable ABE directors, and other full-time professional staff as well, to complete graduate degrees in the professional field of adult education.

References

1. Everett Rogers, The Diffusion of Innovation (Glencoe, N.Y.: The Free Press, 1962), p. 124.

2. Ibid., p. 126.

EPILOGUE

FIRST STEPS TOWARD A NATIONAL DISSEMINATION SYSTEM

USOE's funding of this study constituted a significant initial effort to come to grips with the complex problem of dissemination of 309(b) results to local adult education programs. In fiscal year 1973, the Division of Adult Education followed up on its earlier investment by awarding a new grant to the Center for Adult Education to enable us to put into practice the insights gained through research. In September, 1973 Project IDEA (Innovation Dissemination for the Education of Adults) was launched to demonstrate and evaluate selected elements of a national dissemination network similar to that outlined in the recommendation above. At the time of this writing, Project IDEA is about halfway through its 18 month funding period and therefore little evaluative data are as yet available. The description which follows is limited to an overview of Project goals and operations and to impressionistic judgments concerning our experience to date.

Overview of Project IDEA

IDEA does not constitute a full-fledged national dissemination system such as that described in the recommendations section of this report. It does, however, incorporate key elements of such a system in an inter-regional experiment involving New York, New Jersey, Kansas, Iowa, Missouri, and Nebraska. Nation-wide (as opposed to inter-regional) project activities are limited to dissemination of a few selected innovations and a publications program featuring IDEA Review,

a quarterly newsletter describing innovative program practices in adult education; IDEA reports, detailed analyses of particular innovations written in the format of a replication manual; and IDEA Bulletins, brochures which describe selected innovations available nationally through Project headquarters in New York.

The principal purpose of Project IDEA is to demonstrate an interregional collaborative system that is effective in securing actual utilization of improved practices and products by local adult education programs. A crucial assumption of the project is that effective dissemination requires intensive, face-to-face interaction between trained change agents and practicing educators who can benefit from adoption of improved program practices. A further assumption is that effective dissemination requires that the change agent work with and through existing systems of communication and influence, including state education departments, regional and local professional associations, regional staff development units, and informal networks of professional/social interaction. These assumptions are not new; they have been put into practice for decades by the Cooperative Extension Service through its network of county agents in such fields as home economics and agriculture. In many important respects, Project IDEA is an adaptation of the time-tested Cooperative Extension model of planned change.

The organization of Project IDEA is simple. A full-time program innovation agent is assigned to each USOE region (Region 2, New York, New Jersey; and Region 7, Kansas, Iowa, Missouri and Nebraska). He receives back-up support from a small headquarters staff in New York

City. While the job of the innovation agent is not at all simple, many of his functions can be understood in the context of a four-phase process model. In the first phase, the innovation agent visits local adult education programs to (a) determine what their specific program needs are; (b) to identify any organizational or situational characteristics which might facilitate or impede the utilization of certain new practices; and (c) to note any locally produced innovations worthy of dissemination to other programs. Phase II is an adaptation-development phase. Innovations which meet local needs are adapted to meet local circumstances and promising locally produced innovations are field tested, evaluated and packaged. During Phase III actual dissemination is conducted--dissemination aimed at securing utilization of the innovations rather than merely publicizing them. For each innovation, a dissemination strategy is selected that reflects the nature of the product and the organizational characteristics of the users. Quite often, technical assistance is rendered to aid the user in implementation. During Phase IV, the results of dissemination are evaluated according to the number of adoptions secured and other pertinent data. The evaluation results are used as feedback in the continuing refinement of the system.

As noted previously, the other key element in the IDEA system is the small headquarter staff located at the Center for Adult Education, Columbia University. In addition to operating a varied publications program, the headquarters staff assists the regional innovation agents through (1) identifying, and maintaining a data bank on, relevant innovations; (2) conducting searches for information on innovations

of special interest, utilizing existing data banks and information systems; (3) helping in adaptive development of promising innovations that need field testing, "polishing," or packaging; (4) conducting systematic evaluations of innovations prior to intensive dissemination to assure quality and relevance and to protect local "consumers."

At mid-point in its operations, Project IDEA seems to be quite successful; certainly we have learned a great deal. One important lesson learned is that innovations do not grow on trees, ready to be plucked and consumed like ripe fruit. On the contrary, promising innovations need to be sought out and most require considerable adaptive development before they can actually be disseminated for local use. A second thing we have learned (it was no surprise) is that the program innovation agent needs several months time just to get the "lay of the land." It is vitally important that he spend most of his days in the field (particularly at first) visiting local programs and state and regional staff, attending meetings and conferences, and doing whatever else necessary to assess local needs and problems and to gain the trust and support of practitioners and decision-makers at both the local and state levels.

The intent of Project IDEA is not primarily to provide direct service to the field, but rather to demonstrate and evaluate a model for dissemination that could subsequently be replicated or adapted for wider use on a continuing basis. Consequently, as the Project evolves we are continuously assessing and documenting what experience has taught us. Toward the end of the project period, we will undertake a series of field studies and surveys to evaluate the extent of our

success in securing adoption of innovations by local ABE programs in the two demonstration regions.

The outcome of Project IDEA, whether judged successful or not, promises to have significant implications for future efforts by USOE and the states to develop effective systems for innovation dissemination and utilization. Educational R&D in general, and the 309(b) adult education special projects program in particular, serve no useful purpose unless their outcomes are utilized. The cost of effective dissemination/utilization systems will not be insignificant, but the price of the present non-system is widely recognized as intolerable.

APPENDIX A

LOCAL PROGRAM QUESTIONNAIRE

PROBLEMS OF ADOPTING NEW PRACTICES IN ABE:

A NATIONAL SURVEY

FREQUENCY DISTRIBUTIONS

-PERCENTAGES-

Conducted

by

ABE Project
Center for Adult Education
Teachers College, Columbia University
New York, New York 10027

Project Director
Jack D. Mezirow

Based on 805 completed questionnaires

(Missing answers omitted from percent computations)

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Director Background Information

1. How long have you been director of ABE? Range 1-25 years
   mean 4.0

2. Do you devote full-time or part-time to the ABE program?

   15.3 Full-time

   84.7 Part-time

3. (If part-time), approximately what percentage of your time is devoted to ABE? Mean 31.9%
   Median 19.6%

4. (If part-time), are your other professional responsibilities primarily in adult education?

   35.0 Yes

   65.0 No

5. To whom do you officially report?

   20.0 Director of adult education

   16.7 Assistant or deputy superintendent

   50.5 Superintendent

   12.8 Other (please specify)_____

   _____

6. Is your current salary level roughly equivalent to that of

   17.9 Assistant superintendent

   32.7 Principal

   22.2 Assistant principal

   24.3 Teacher

   2.8 Other (please specify)_____

   _____

7. What formal training have you had in adult education? (Check one)

   5.3 Completed graduate degree in adult education

   8.2 Working on graduate degree in adult education

   46.9 Completed one or more college or university courses in adult education

   39.6 No formal training in adult education

8. How active are you in adult education professional associations?

   33.0 Very active (e.g., usually attend meetings)

   35.0 Moderately active (e.g., attend some meetings)

   12.7 Member--not active

   19.2 Not a member

9. As you look ahead to the next five years or so, how central is adult education to your career plans?

Not Central				Very Central
1	2	3	4	5
15.7	12.3	24.1	17.7	30.2

10. What is your age? Mean 45.0 years

11. The items below ask for your opinions about important concerns in ABE. Please circle the number that best indicates the degree of your agreement or disagreement with each statement.

	Strongly Disagree 1	2	3	4	Strongly Agree 5
a. Educational technology (e.g., programmed instruction, reading machines, TV) holds great promise for improving my ABE program	3.2	11.3	35.1	30.8	19.4

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	Strongly Disagree				Strongly Agree
	1	2	3	4	5
b. The most useful innovations are those we have created locally for our ABE program	2.9	11.1	38.8	32.5	14.7
c. In my ABE program limited resources should be used to assist those who are most disadvantaged even if this means reducing the total served	17.3	20.3	27.4	23.3	11.7
d. The state ABE staff actively supports innovation in my ABE program	3.0	3.8	14.4	34.9	43.9
e. Federal funds available for ABE experimentation and demonstration should be preserved rather than reallocated for operational purposes	15.9	17.3	24.7	22.0	20.0

12. The 309(b) program has been established by the Office of Education to fund experimental and demonstration projects in ABE. Are you familiar with this program?

32.0 Yes

68.0 No

13. Listed below are some major 309(b) projects funded in the past. Please indicate how familiar you are with each project by putting a checkmark in the appropriate space.

309(b) Project		Your Familiarity
a. Project:	Texas Guidance and Counseling	52.7 Never heard of it
Grantee:	University of Texas at Austin	29.7 Heard of it, but have no details
Outcome:	Counselor Orientation Package; Teacher Awareness Kit	8.9 Quite familiar, but have not used project ideas or products
		8.7 Quite familiar. I have used project ideas or products

309(b) Project		Your Familiarity
b. Project:	Project RFD	60.1 Never heard of it
Grantee:	University of Wisconsin at Madison	25.2 Heard of it, but have no details
Outcome:	TV programs to create interest in ABE and to stimulate homebound ABE programs	11.7 Quite familiar, but have not used project ideas or products
		3.0 Quite familiar. I have used project ideas or products
c. Project:	Communi-LinK	63.7 Never heard of it
Grantee:	Colorado State University, Fort Collins	19.5 Heard of it, but have no details
Outcome:	System for community-wide program development; Microville simulation game	10.7 Quite familiar, but have not used project ideas or products
		6.1 Quite familiar. I have used project ideas or products
d. Project:	SWCEL ABE Project	66.5 Never heard of it
Grantee:	Southwestern Cooperative Education Laboratory, Albuquerque, New Mexico	22.3 Heard of it, but have no details
Outcome:	Empleen Ingles TV units; Performance Objectives Package; Lesson Planning Package; ESL Teacher Training Package; ABE Readiness Materials	7.1 Quite familiar, but have not used project ideas or products
		4.1 Quite familiar. I have used project ideas or products

309(b) Project		Your Familiarity	
e. Project:	Adult Armchair Opportunities Industrialization Center, Philadelphia, Pennsylvania	67.2	Never heard of it
Grantee:		20.0	Heard of it, but have no details
Outcome:	Students recruited by local paraprofessionals and classes held in community homes	7.4	Quite familiar, but have not used project ideas or products
		5.5	Quite familiar. I have used project ideas or products
f. Project:	Appalachian Adult Basic Education Center	31.4	Never heard of it
Grantee:	Morehead State University, Morehead, Kentucky	40.8	Heard of it, but have no details
Outcome:	The demonstration of various materials, facilities and educational techniques for undereducated Appalachian adults	15.3	Quite familiar, but have not used project ideas or products
		12.5	Quite familiar. I have used project ideas or products
g. Project:	SREB ABE Project	66.3	Never heard of it
Grantee:	Southern Regional Education Board Atlanta, Georgia	19.1	Heard of it, but have no details
Outcome:	Staff development in region IV; professors as consultants/ trainers	6.1	Quite familiar, but have not used project ideas or products
		8.5	Quite familiar. I have used project ideas or products

14. Many other 309(b) projects have been funded. Some have demonstrated particular practices, others have been of a more general operational nature. Do you know of any 309(b) projects other than those above?

8.2 Yes

91.7 No

15. (If yes), please list those you know of.

Project Enable--7

Project Homebound (Butte, Ma.)--5

16. (If yes), have you adopted for your own program any ideas or products from the 309(b) projects you listed above?

Yes

No

17. (If yes), briefly describe the 309(b) ideas or products which you have adopted in your own program.

_____

_____

_____

18. How did you first learn of the 309(b) projects you know of? (Check one box only)

309(b) Project	At workshop conducted by project 1	At staff development or in-service session 2	At state or national convention 3	From the state education dept. 4	From another ABE director 5	From your own staff 6	From a project publication 7	Other source 8
a. Texas Guidance	13.2	11.9	13.5	25.1	5.0	2.8	13.8	10.7
b. Project RPD	5.5	8.5	19.3	23.2	4.8	7.8	19.6	17.2
c. Communi-Link	11.6	11.2	22.1	26.9	4.8	2.0	12.4	4.4
d. SWCEL ABE project	8.0	8.0	18.2	21.8	3.6	3.1	18.7	13.8
e. Adult Armchair	4.0	12.8	16.4	27.4	5.3	3.1	13.3	15.0
f. Appalachian ABE Center	6.3	15.3	17.0	22.6	6.1	1.9	15.8	11.2
g. SREB ABE project	11.8	17.2	12.3	22.1	3.9	2.0	12.7	12.3
h. Other 309 project(s) (Please list)								
(1)_____	☐	☐	☐	☐	☐	☐	☐	☐
(2)_____	☐	☐	☐	☐	☐	☐	☐	☐
(3)_____	☐	☐	☐	☐	☐	☐	☐	☐
(4)_____	☐	☐	☐	☐	☐	☐	☐	☐

19. If you had a problem in each of the following areas, which two sources of help or information would you be most likely to utilize? (Check two boxes only)

Problem Area	State ABE Staff 1	Other ABE Directors 2	Your Own Staff 3	Experts In Your School System 4	A University or professor 5	Your Own Expertise 6	ABE Students 7	Other Source 8
	Source of Help or Information							
a. Establishing a learning lab	72.9	41.4	29.8	20.8	10.2	12.8	6.8	3.9
b. Recruiting students	20.4	27.7	50.6	6.3	1.2	24.0	56.6	8.0
c. Selecting ABE materials	37.7	30.9	69.6	12.2	3.7	22.7	14.9	2.8
d. Revising curriculum objectives	44.0	17.2	70.0	12.8	6.8	18.2	24.0	1.7
e. Stretching your budget	54.0	23.8	39.6	5.5	0.9	48.5	1.5	3.4
f. Evaluating your program	54.1	19.0	47.8	10.7	8.3	12.9	36.6	3.3
g. Designing in-service workshops	63.4	18.1	46.8	9.3	10.9	20.3	3.5	1.2

20. In general, to what degree do you rely on the following sources of information or assistance for help in solving problems?

Source	Little or No Degree 1	2	3	4	Great Degree 5
a. State ABE department	4.5	8.4	18.6	31.8	36.7
b. Other ABE directors	15.2	18.3	30.7	25.9	9.8
c. Your own staff	1.6	2.7	14.3	37.6	43.6
d. Professional publications	10.1	24.1	39.7	20.6	6.0
e. Your own expertise	1.4	4.1	23.4	42.8	28.4
f. Experts in school system (or community college)	17.5	20.0	29.9	24.5	8.1
g. University or college resources	30.9	27.2	24.7	12.8	4.4
h. ABE students	3.8	13.7	30.8	34.9	16.8
i. 309(b) projects	55.2	24.9	14.9	3.8	1.0
j. National adult education professional associations	36.7	28.2	22.3	10.1	2.7
k. State or regional adult education professional associations	24.0	25.5	27.9	17.2	5.4
l. State or regional staff development projects	20.7	19.3	32.1	20.9	7.1
m. Commercial publishers	21.0	28.4	34.1	14.1	2.4

21. In your experience, to what degree have the following factors generally inhibited innovation in your ABE program?

Source	Little or No Degree 1	2	3	4	Great Degree 5
a. Insufficient funds	12.8	15.6	19.0	22.8	29.9
b. Insufficient staff time	10.5	12.7	17.9	32.9	26.1
c. Lack of staff support	50.1	29.1	12.5	5.1	3.1
d. Insufficient information regarding innovations	17.9	20.1	34.5	19.4	8.1
e. Need for staff retraining	18.1	24.1	31.4	19.8	6.6
f. Interference from superiors	69.9	15.7	6.9	4.3	3.1
g. Scarcity of innovations that would improve your program	25.6	23.7	30.6	15.0	5.1
h. Lack of innovations that can be tried first on a limited basis	27.4	21.9	32.3	13.8	4.6

22. Listed below are a number of practices sometimes associated with ABE programs. For any practice that you have adopted in your own ABE program, indicate if it was recently introduced (within the past two years) or if it is standard practice (adopted more than two years ago). For each practice you have not adopted, indicate if you would be willing to try it on an experimental basis in your own program. If a practice is not applicable in your situation, check the box in the last column.

	Recently Introduced 1	Standard Practice 2	Willing to try Practice 3	Not Applicable in my Situation 4
a. Volunteers used as teacher aides	14.7	22.3	42.0	21.0
b. Use of programmed instructional materials	11.7	66.9	18.1	3.1
c. Classes held in students' homes	9.0	6.2	37.2	47.0
d. Use of coping skills (e.g., how to get a job) curriculum materials	12.0	54.7	26.9	5.2
e. Teachers trained to perform counseling functions	9.2	45.2	35.0	10.3
f. Utilizing TV or radio for ABE instruction	10.2	13.9	51.0	24.4
g. Classes held in business or industrial sites	6.6	17.5	44.7	30.9
h. Radio or TV spots used for recruitment	7.9	58.8	21.6	11.3
i. Aides employed to recruit students	12.6	32.4	38.1	16.7

23. An innovative ABE program might be defined as one that tries out new ideas and practices sooner and more often than other programs. In your judgment which one ABE program in your state is the most innovative according to this definition?

Nationally, the programs receiving most nominations were: Huntsville, Ala.(8), Piketon, Ohio(6), San Diego, Calif.(6).

24. Given the circumstances in which your ABE program has been operating, how innovative has your program been in the last few years?

19.1 Very Innovative

48.5 Fairly Innovative

27.5 Not Very Innovative

5.0 Not Innovative

Program Background Information

25. Is your ABE program administered through:

81.1 a public school system

10.9 a community college system

6.5 a vocational-technical institution

1.5 another arrangement (Please specify)_____

_____

26. About how long has your ABE program been operating?

Mean 6.5 years
Median 6.1

27. What is your approximate total ABE enrollment?

Mean 295.8 students

28. Approximately what percentage of your students are enrolled in English as a Second Language?

Mean 17.7%
Median 3.3%

29. About what percentage of your students receive a major part of their instruction in a learning lab?

Mean 22.0%
Median 4.8%

30. To what extent have you experienced difficulty in recruiting ABE students?

Little or No Difficulty			Great Difficulty	
1	2	3	4	5
7.8	12.2	30.7	29.3	19.6

31. About what percentage of your students are referred to your ABE program by other agencies?

Mean 19.1%%
Median 10.9%

32. What is your approximate total ABE operating budget for 1972/73? (If not available, please indicate figure for latest year available)

Mean $35,320
Median $11,100

33. Approximately what percentage of your budget comes from each of the following sources:

	Mean
Federal government (Title III)	68.4%
State government (e.g., ADA)	22.6%
Local government	8.9%

34. How would you describe the community's awareness of your ABE program?

Little or No Awareness			Great Awareness	
1	2	3	4	5
2.4	13.7	46.9	29.1	7.6

35. Approximately what percentage of your ABE classes are held in:

	Mean
A facility used exclusively for adult education (e.g., adult school)	18.5%
Public school classrooms	69.2%
Non-school facilities (e.g., churches, hospitals, etc.)	14.1%

36. How supportive of your ABE program is the administration of your school system (or community college)?

Not Supportive 1	2	3	4	Highly Supportive 5
1.6	4.2	16.6	27.2	50.3

37. Approximately what percentage of your ABE teachers have had six or more hours of formal pre- or in-service training in adult education?

Mean	62.7
Median	75.9

38. What was the percentage of teacher turnover in your ABE program last year?

Mean	15.0
Median	5.1

39. What is the approximate number of ABE staff you employ in each of the following categories?

	Mean
Part-time teachers	10.4
Full-time teachers	2.1
Teacher supervisors or teachers-in-charge	0.7
Learning lab specialists	0.4
Counselors	0.8
Paraprofessional classroom aides	2.0
Recruiters or community liaison workers	0.8
Secretaries, clerks, administrative assistants	1.3

40. For a variety of reasons, some ABE programs are more secure and established than others. How would you characterize your own ABE program at this point in time?

Insecure, Not Well Established 1	2	3	4	Secure, Established 5
4.3	10.0	25.1	37.6	22.6

41. What is your official position (title)?

_____

If you would like a summary of the results of this survey, please check the box below and fill in your name and address.

(1) ☐

Name _____

Office Address _____

_____ Zip _____

THANK YOU!

APPENDIX B

USOE DAEP STAFF QUESTIONNAIRE

1. BAVTE personnel have suggested that there are a number of inputs which have affected the development of funding priorities for 309(b) grants in the past. In your experience, how great an effect did the following inputs have on the development of this year's national priorities?

		Slight Effect						Great Effect
( ) a.	Inputs from the regional program officers	1	2	3	4	5	6	7
( ) b.	Constraints imposed by the legislation	1	2	3	4	5	6	7
( ) c.	The inputs of individual congressmen	1	2	3	4	5	6	7
( ) d.	Policies set at the secretary of HEW level	1	2	3	4	5	6	7
( ) e.	Policies set at the commissioner of OE level	1	2	3	4	5	6	7
( ) f.	Policies set at the associate commissioner level (Mr. Worthington)	1	2	3	4	5	6	7
( ) g.	The inputs of specific minority groups	1	2	3	4	5	6	7
( ) h.	Recommendations of the National Advisory Council on Adult Education	1	2	3	4	5	6	7
( ) i.	Research findings other than 309(b)s	1	2	3	4	5	6	7
( ) j.	Findings of previous 309(b) projects	1	2	3	4	5	6	7
( ) k.	Inputs of state directors	1	2	3	4	5	6	7
( ) l.	The input of the Division Director (Mr. Delker)	1	2	3	4	5	6	7
( ) m.	The input of Branch Chief (Mr. Brown)	1	2	3	4	5	6	7
( ) n.	The input of Branch Chief (Dr. Bayrd)	1	2	3	4	5	6	7
( ) o.	The input of other BAVTE personnel	1	2	3	4	5	6	7
	Other inputs - please list							
( ) p.	.....	1	2	3	4	5	6	7
( ) q.	.....	1	2	3	4	5	6	7
( ) r.	.....	1	2	3	4	5	6	7

1b. Rank order the five inputs which had the greatest effect on 309 priorities in the last year by placing a "1" next to input which has had the greatest effect, a "2" next to the input which has had the second greatest effect and so on. Use the parenthesis provided.

2. Excluding the Post Office and Model Cities (309) grants, how important have the following factors been in deciding what specific projects to fund over the past year.

	Slight Importance						Great Importance
a. How well the project reflects the national priorities as set forth in the "Open Letter to Persons Interested in Submitting Proposals"	1	2	3	4	5	6	7
b. How well conceived the proposed project's strategy for accomplishing stated objectives is	1	2	3	4	5	6	7
c. Influence of the potential grantee with BAVTE	1	2	3	4	5	6	7
d. Political pressure from congressmen	1	2	3	4	5	6	7
e. Whether the potential grantee has the resources to meet stated objectives	1	2	3	4	5	6	7
f. The amount of funds requested by the potential grantee	1	2	3	4	5	6	7
g. Which minority group the proposed project will serve	1	2	3	4	5	6	7
h. The results of internal reviews	1	2	3	4	5	6	7
i. Indication that the proposed project will be innovative	1	2	3	4	5	6	7
j. Whether the poposal includes well conceived plans to disseminate its results	1	2	3	4	5	6	7
k. Minority group authorship of the proposal	1	2	3	4	5	6	7
l. Whether the proposed project will respond to a central need of local ABE programs	1	2	3	4	5	6	7
m. Whether the results of the 309(b) will be easily adoptable or replicable	1	2	3	4	5	6	7
Other - please list							
n.	1	2	3	4	5	6	7
o.	1	2	3	4	5	6	7
p.	1	2	3	4	5	6	7
q.	1	2	3	4	5	6	7

3a. A number of BAVTE personnel have indicated that in general little of what is produced by 309(b) projects is actually adopted or utilized by local ABE programs. Do you agree? ____ yes ____ no

3b. If yes, how important are the following reasons for this?

		Slight Importance						Great Importance
( ) a.	The form of 309 products makes adoption or replicability impossible for local ABE programs	1	2	3	4	5	6	7
( ) b.	309(b) projects are more interested in "operations" than in disseminating results	1	2	3	4	5	6	7
( ) c.	There is not enough money allocated for dissemination	1	2	3	4	5	6	7
( ) d.	Legislation restricts BAVTE from emphasizing dissemination	1	2	3	4	5	6	7
( ) e.	Most 309(b)s do not have a well conceived dissemination strategy built into their projects	1	2	3	4	5	6	7
( ) f.	309(b) products do not generally meet local needs	1	2	3	4	5	6	7
( ) g.	State directors, RPO's, BAVTE central office personnel and 309 projects have experienced difficulty in cooperating for the purpose of dissemination	1	2	3	4	5	6	7
( ) h.	Commercial concerns are reluctant to publish ABE materials	1	2	3	4	5	6	7
( ) i.	We just do not know enough about dissemination to develop viable dissemination strategies	1	2	3	4	5	6	7
( ) j.	Local ABE programs do not have enough funds to spend on innovations	1	2	3	4	5	6	7
	Other - please list							
( ) k.	.....	1	2	3	4	5	6	7
( ) l.	.....	1	2	3	4	5	6	7
( ) m.	.....	1	2	3	4	5	6	7

3c. Rank order the five (5) most important reasons why 309(b) project results generally are not disseminated by placing a one next to the most important reason, a two next to the second most important reason and so on. Please use the parenthesis ( ) provided.

4. BAVTE personnel have indicated that some 309(b) projects are funded primarily because they are socially significant (i.e., serve needy target groups, aid disadvantaged minorities) while others are funded primarily because of their technical competence (i.e., have highly qualified staffs, have well conceived research strategies). In your experience, what percentage of 309(b) projects have been:

☐ funded primarily because of their social significance.

☐ funded primarily becuase of their technical competence.

5. Comments:

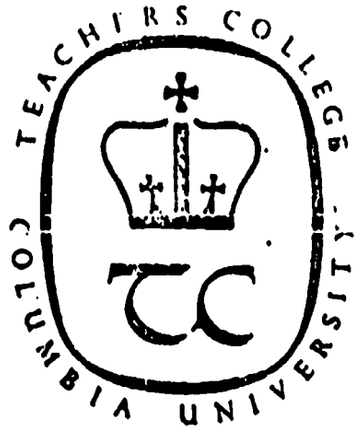
Thank you for your cooperation.

APPENDIX C

STATE ABE DIRECTOR QUESTIONNAIRE

DISSEMINATION OF 309(b) RESULTS:

A SURVEY OF STATE ABE DIRECTORS



Conducted

by

ABE Project
Center for Adult Education
Teachers College, Columbia University
New York, New York 10027

Project Director
Jack D. Mezirow

1. To what extent has your state ABE agency been involved in disseminating any of the following 309(b) products or ideas to local ABE programs? (Please check all that apply for each project)

309(b) Project		
a. Project: Texas Guidance and Counseling Grantee: Univ. of Texas at Austin Outcome: Counselor Orientation Package; Teacher Awareness Kit.	( ) The state disseminated 309(b) materials or products to local ABE programs	5
	( ) The state disseminated information about the 309 project to local ABE programs	6
	( ) The state is aware of the 309(b) project but did not disseminate	7
	( ) The state is unaware of the 309(b) project	8
b. Project: Project RFD Grantee: Univ. of Wisconsin at Madison Outcome: TV programs to create interest in ABE and to stimulate a home-bound ABE program.	( ) The state disseminated 309(b) materials or products to local ABE programs	9
	( ) The state disseminated information about the 309 project to local ABE programs	10
	( ) The state is aware of the 309(b) project but did not disseminate	11
	( ) The state is unaware of the 309(b) project	12
c. Project: Communi-Link Grantee: Colorado State Univ., Fort Collins Outcome: System for community-wide program development; Microville simulation game.	( ) The state disseminated 309(b) materials or products to local ABE programs	13
	( ) The state disseminated information about the 309 project to local ABE programs	14
	( ) The state is aware of the 309(b) project but did not disseminate	15
	( ) The state is unaware of the 309(b) project	16
d. Project: SWCEL ABE Project Grantee: Southwestern Cooperative Educational Laboratory, Albuquerque, New Mexico Outcome: Empleen Ingles TV units; Performance Objectives Package, and Lesson Planning Package; ABE Readiness Materials; and ESL Teacher Training Package	( ) The state disseminated 309(b) materials or products to local ABE programs	17
	( ) The state disseminated information about the 309 project to local ABE programs	18
	( ) The state is aware of the 309(b) project but did not disseminate	19
	( ) The state is unaware of the 309(b) project	20

309(b) Project

e. Project: Adult Armchair Project
Grantee: Opportunities Industrialization Center, Philadelphia, Pa.
Outcome: Students recruited by local paraprofessionals and classes held in student homes

( ) The state disseminated 309(b) materials or products to local ABE programs 21
( ) The state disseminated information about the 309 project to local ABE programs 22
( ) The state is aware of the 309(b) project but did not disseminate 23
( ) The state is unaware of the 309(b) project 24

f. Project: Appalachian Adult Basic Education Demonstration Center
Grantee: Morehead State Univ., Morehead, Kentucky
Outcome: The demonstration of various materials, facilities, and educational techniques for undereducated Appalachian adults

( ) The state disseminated 309(b) materials or products to local ABE programs 25
( ) The state disseminated information about the 309 project to local ABE programs 26
( ) The state is aware of the 309(b) project but did not disseminate 27
( ) The state is unaware of the 309(b) project 28

2. Has your state ABE agency been involved in disseminating products from or information about any other 309(b) project(s) not listed above? 29

1( ) Yes
2( ) No

3. (If yes), please identify the 309(b) project(s) and briefly describe what was disseminated.

4. Of all the 309(b) projects that have been funded, which ones have had the greatest impact in your state? (Please list)

5. On the basis of your experience, how effective are the following methods of disseminating new products or ideas to local ABE programs?

Dissemination Method	Unable to Judge	Very Ineffective				Very Effective	
( )a. Staff development sessions for teachers	0	1	2	3	4	5	30
( )b. Workshops for local ABE directors	0	1	2	3	4	5	31
( )c. Publication in professional journals	0	1	2	3	4	5	32
( )d. Newsletters	0	1	2	3	4	5	33
( )e. Presentation at adult education conferences	0	1	2	3	4	5	34
( )f. Personal one-to-one contact between state ABE staff and local ABE directors	0	1	2	3	4	5	35
Other (describe)							
( )g. _____	0	1	2	3	4	5	36
( )h. _____	0	1	2	3	4	5	37

6. Please place a check mark (✓) next to the one dissemination method listed in Question 5 that has been most effective in your state. ( )38

7. In general, to what degree does each of the following factors inhibit your state ABE agency from disseminating 309(b) products or ideas?

Inhibiting Factor	Little or No Degree				Great Degree	
a. Lack of information about 309(b) products or ideas	1	2	3	4	5	39
b. Lack of funds for dissemination activities	1	2	3	4	5	40
c. Lack of staff time for dissemination activities	1	2	3	4	5	41
d. Failure of 309(b) projects to cooperate with the state ABE agency	1	2	3	4	5	42
e. Difficulty of adapting 309(b) products or ideas to local program requirements	1	2	3	4	5	43
Other factors (please list)						
_____	1	2	3	4	5	44
f. _____	1	2	3	4	5	45

8. Please indicate the extent to which you agree or disagree with the following statements.

Statement	Strongly Disagree				Strongly Agree
a. The 309(b) program has generally been a success	1	2	3	4	5
b. Funds currently allocated under 309(b) for experimentation and demonstration should be reallocated for operational purposes	1	2	3	4	5
c. The best way to disseminate innovations to local ABE programs is through the state ABE agency	1	2	3	4	5
d. Regionalization of ABE staff training is a positive development	1	2	3	4	5
e. There is little prospect for cooperative activities among state ABE agencies in our USOE region	1	2	3	4	5
f. In general 309(b) projects funded in our state have worked cooperatively with our state ABE agency	1	2	3	4	5
g. The 309(b) program should place higher priority on rural problems	1	2	3	4	5

9. There are many factors which may influence whether USOE funds a particular 309(b) project. In your opinion, how much influence do the following factors have?

Factor	Little or No Influence				Great Influence	
( )a. The merit of the proposal	1	2	3	4	5	53
( )b. The judgment of state ABE directors	1	2	3	4	5	54
( )c. The applicant's influence with USOE	1	2	3	4	5	55
( )d. The judgment of the regional program officer	1	2	3	4	5	56
( )e. Whether the proposed project meets national priorities established by USOE	1	2	3	4	5	57
( )f. Whether the proposed project will improve local ABE practice	1	2	3	4	5	58
( )g. Whether the proposed project will serve specific minorities	1	2	3	4	5	59
Other factors (please list)						
( )h. _____	1	2	3	4	5	60
( )i. _____	1	2	3	4	5	61
( )j. _____	1	2	3	4	5	62

10. Please place a check mark (✓) next to the one factor in Question 9 that you feel most influences whether USOE funds a particular 309(b) project. ( )63

11. If responsibility for administering the 309(b) program were to be decentralized to the USOE regional level, what percentage of the funds should be retained by USOE to insure coordination in meeting national needs?

_____% 64-66

12. If you would like, we would welcome your comments concerning the 309(b) program and the dissemination of 309(b) results.

THANK YOU

APPENDIX D

CONSTRUCTION OF INDICES

1. Innovativeness

The objective index of innovativeness was constructed from a list of 9 practices, seven of which were combined into the index, while 2 items were omitted because their correlations with other items were low. (Question 22) For each practice, the respondent was asked to check one of the following answers:

	Score for index construction	Score for individual variable analysis
(1) Standard practice	1	3
(2) Recently introduced (within the past 2 years)	1	2
(3) Willing to try practice	0	1
(4) Not applicable in my situation	0	missing

In constructing the index we did not differentiate between early adopters and late adopters or between various catergories of non-adopters. Adoption was given a single score and so was non-adoption. In computations based on individual items, however, e.g., in the correlation matrix presented below, a greater differentiation between answers was made, with scores assigned as shown above.

The following items were used in constructing the index:

a. Volunteers used as teacher aides
b. Use of programmed instructional materials
c. Classes held in student homes
d. Use of coping skills (e.g., how to get a job) curriculum materials
e. Teachers trained to perform counseling functions
f. Classes held in business or industrial sites
g. Aides employed to recruit students

The following items were omitted:

h. Utilizing TV or radio for ABE instruction
i. Radio or TV spots used for recruitment

Scores were combined, with each practice adopted assigned equal weight. The range of scores was 0-7. For purposes of cross-tabulation index scores

were divided into three groups, with the following distribution of respondents among them:

Category	Index Score	Per Cent Respondents
Low	0 - 2	37.6
Medium	3	20.9
High	4 - 7	42.5
		100.0

The zero-order correlations between the individual items are as follows:

	Volun. Aides	Prog. Matl.	Home Class.	Coping Skills	Counse-ling	Ind. Class.	Recr. Aides	TV* Inst.	TV* Rec.	INNO. INDEX
Volun. aides	1.00	.19	.25	.20	.15	.16	.28	.09	.02	.58
Prog. materials	.19	1.00	.14	.26	.14	.21	.23	.10	.15	.54
Home classes	.25	.14	1.00	.17	.12	.19	.11	.13	.01	.44
Coping skills	.20	.26	.17	1.00	.27	.26	.16	.18	.17	.61
Counseling	.15	.14	.12	.27	1.00	.18	.12	.08	.15	.54
Industry classes	.16	.21	.19	.26	.18	1.00	.22	.13	.17	.51
Recruitment aides	.28	.23	.11	.16	.12	.22	1.00	.09	.19	.56
*TV-radio instuc'n	.09	.10	.13	.18	.08	.13	.09	1.00	.18	-.12
*TV-radio recruitment	.02	.15	.01	.17	.15	.17	.19	.18	1.00	-.12
INNOVATIVENESS INDEX	.58	.54	.44	.61	.54	.51	.56	-.12	-.12	1.00

The correlations are based on unequal N's (pairwise deletion of missing cases). All correlations for the 7 items included in the index are significant at the .01 level.

*Items not included in index.

2. 309 Adoption

The index of the number of 309(b) products, practices or ideas adopted was constructed from the answers to a list of 7 nationally known 309(b) projects presented in the questionnaire. (Questions 13, 15). Respondents were asked to check one of the following answers for each 309(b) project named:

		Score for Index Construction	Score for Individual Variable Analysis
(1)	Never heard of it	0	1
(2)	Heard of it, but have no details	0	2
(3)	Quite familiar, but have not used project ideas	0	3
(4)	Quite familiar. I have used project ideas or products	1	4

As can be seen above, for index purposes, respondents were given credit only for products or ideas actually adopted, not for familiarity per se. To the number of 309(b) projects whose products or ideas were adopted by the respondent was added the number of 309(b) projects he named in answer to questions 14 and 15:

. . . Do you know of any 309(b) projects other than those above?
. . . (If yes), please list those you know of.

This question was judged parallel to the previous question, in which the respondent was asked to check a predetermined list of 309(b)'s, since it was found that those 309(b)'s spontaneously named by respondents were in most cases those whose products or ideas they had adopted. (By contrast, answers to the question which asked respondents to describe the 309(b) products or ideas they had adopted resulted in a duplication of the answers given to the predetermined list of 309(b)'s, and therefore could not be used.)

The list of 309(b)'s presented in the questionnaire was:

a. Texas Guidance and Counseling
b. Project RFD
c. Communi-Link
d. SWCEL ABE Project
e. Adult Armchair
f. Appalachian Adult Basic Education Center
g. SREB ABE Project

For each 309(b) project named, a brief description of the project was provided and the grantee was mentioned, in order to aid the memory of the respondent. This was intended as a relatively exhaustive list of nationally known 309(b) projects. This was evidently the case, as only two additional projects (Enable and Homebound) received more than two mentions.

For cross-tabulation purposes the index scores were divided into three groups as follows:

Category	No. of 309(b) products adopted	Per cent respondents
Low	0	65.1
Medium	1	21.5
High	2-8	13.4
		100.0

omputing zero-order correlations greater differentiation was made between degrees of familiarity with 309(b) projects, with scores assigned as shown above. The zero-order correlations are as follows:

	Texas G&C	RFD	Communi-Link	SWCEL	Ad. Arm.	Appal. ABE	SREB	ADOPTION INDEX
Texas G&C	1.00	.34	.17	.38	.25	.26	.19	.45
RFD	.34	1.00	.32	.30	.37	.34	.22	.42
Communi-Link	.17	.32	1.00	.24	.16	.13	.11	.35
SWCEL	.38	.30	.24	1.00	.23	.18	.13	.31
Ad. Arm.	.25	.37	.16	.23	1.00	.39	.18	.48
Appal. ABE	.26	.34	.13	.18	.39	1.00	.49	.52
SREB	.19	.22	.11	.13	.18	.49	1.00	.48
ADOPTION INDEX	.45	.42	.35	.31	.48	.52	.48	1.00

The correlations are based on unequal N's (pairwise deletion of missing cases). All correlations are significant at the .001 level.

3. Program Security

The index measuring the degree of program security or institutionalization was constructed from four questions. The answers to each question formed a 5-point scale, with an answer of 1 indicating high marginality and insecurity on that variable and an answer of 5 indicating high security. The questions were:

a. (Question 30): To what extent have you experienced difficulty in recruiting students?*
b. (Question 34) How would you describe the community's awareness of your ABE program?
c. (Question 36) How supportive of your ABE program is the administration of your school system (or community college)?
d. (Question 40) For a variety of reasons, some ABE programs are more secure and established than others. How would you characterize your own ABE program at this point in time?

Combined scores ranged from 4 to 20. For cross-tabulation purposes the scores were grouped as follows:

Category	Index Score	Per Cent Respondents
Low	5 - 12	31.7
Medium	13 - 14	27.4
High	15 - 20	40.9
		100.0

*In scoring this question the highest degree of difficulty was given a score of 1 (lowest in security), and the lowest a score of 5 (highest in security).

The zero-order correlations between the variables were as follows:

	Recr. Diff.	Comm. Aware.	Organiz'l. Supportive.	Security Self-Rating	SECURITY INDEX
Recruitment Difficulty	1.00	.15	.14	.31	.65
Comm. Awareness	.15	1.00	.27	.29	.60
Organizational Supportiveness	.14	.27	1.00	.28	.62
Security Self-Rating	.31	.29	.28	1.00	.73
SECURITY INDEX	.65	.60	.62	.73	1.00

The correlations are based on unequal N's (pairwise deletion of missing cases). All correlations are significant at the .001 level.

4. Professionalism

The index measuring the director's professionalism was constructed from the following five items:

	Score for Index Construction	Score for Individual Variable Analysis
a. (Q. 2) Do you devote full-time or part-time to the ABE program?		
Full-time	3	2
Part-time	0	1
b. (Q. 4) (If part-time), are your other professional responsibilities primarily in adult education?		
Yes	3	2
No	0	1
c. (Q. 7) What formal training have you had in adult education?		
Completed graduate degree in adult education	3	4
Working on graduate degree in adult education	2	3
Completed one or more college or university courses in adult education	1	2
No formal training in adult education	0	1
d. (Q. 8) How active are you in adult education professional associations?		
Very active (e.g. usually attend meetings)	3	4
Moderately active (e.g. attend some meetings)	2	3
Member-not active	1	2
Not a member	0	1
e. (Q. 9) As you look ahead to the next 5 years or so, how central is adult education to your career plans?		
5 - point scale:		
1 Not central	0	1
2 .	0	2
3 .	1	3
4 .	2	4
5 Very central	3	5

As can be seen above, variables a and b are combined for the purpose of index construction: either one, but not both, may be assigned a positive value. Hence, the combined index scores range from 0 to 12. For the purpose of cross-tabulation these scores were grouped as follows:

Category	Score	Per Cent Respondents
Low	0 - 3	34.3
Medium	4 - 7	33.2
High	8 - 12	32.5
		100.0

The zero-order correlations were as follows:

	% time* to ABE	Other resp. in AE	Training	Prof'l. Ass'ns.	Career plans	PROF'M INDEX
% time to ABE*	1.00	**	.27	.30	.40	.54
Other resp. in AE	**	1.00	.35	.30	.51	.57
Training	.27	.35	1.00	.33	.35	.61
Prof'l. ass'ns.	.30	.30	.33	1.00	.52	.70
Career plans	.40	.51	.35	.52	1.00	.81
PROF'M INDEX	.54	.57	.61	.70	.81	1.00

The correlations are based on unequal N's (pairwise deletion of missing cases). All correlations are significant at the .001 level.

*No correlations were computed for the variable "FT/PT to ABE."

**No correlation can be expected, since only those who are part-time in ABE were asked about their other responsibilities.