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ABSTRACT

This progress report describes study objectives, research design, field survey activities, and analysis plans for the evaluation of the Emergency School Assistance Program (ESAP), a federal program to aid local educational agencies in bringing about racial desegregation of their public school systems. A need for evaluation is explained in terms of gathering information and guidelines for policy decisions about ESAP, of providing inputs to the legislative process, and of meeting the requirements established by ESAP for an independent evaluation. After a descriptive introductory section, subsequent chapters present the development of the study effort through December 1970. Among the topics covered are a discussion of the Phase I evaluation and data collection plans, an analysis plan for Phase I survey data, the Phase II effort, current (1970) status, and evaluation plans. Tabulations that are part of Phase I analysis plan and a draft of a questionnaire to be mailed to the Bi-Racial ESAP Advisory Committee are contained in the appendixes. (AM)

Interim Report

OUTSIDE EDUCATIONAL EVALUATION OF THE EMERGENCY SCHOOL ASSISTANCE PROGRAM

April 15, 1971

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PREFACE

This interim report presents progress since the start (December 1970) of a contract to evaluate the Emergency School Assistance Program. Since no results are yet available, this report simply describes the study objectives, research design, field survey activities, and analysis plans for this study.

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INTRODUCTION

In broad terms, Emergency School Assistance Program (ESAP) is a federal program to aid local educational agencies (LEAs)[1] in bringing about racial desegregation of their public school systems.

HISTORY AND PURPOSE OF ESAP

The history of ESAP goes back to March 24, 1970, when President Nixon issued a statement on school desegregation and highlighted four special categories of need.[2] In a message to Congress on May 21, 1970, the President proposed the Emergency School Aid Act of 1970, to meet those special needs. In this new legislation he proposed three categories of aid:

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1. Throughout this report the terms local education agency (LEA) and school district are used synonymously.

2. (1) The special needs of desegregating (or recently desegregated) districts for additional facilities, personnel and training required to get the new unitary system successfully started;

   (2) the special needs of racially impacted schools where de facto segregation persists--and where immediate infusions of money can make a real difference in terms of educational effectiveness;

   (3) the special needs of those districts that have the furthest to go to catch up educationally with the rest of the nation; and

   (4) the financing of innovative techniques for providing educationally sound interracial experiences for children in racially isolated schools.

(1) aid to districts now eliminating de jure segregation either pursuant to direct Federal court orders or in accordance with plans approved by the Secretary of Health, Education, and Welfare, for special needs incident to compliance;

(2) aid to districts that wish to undertake voluntary efforts to eliminate, reduce, or prevent de facto racial isolation, with such aid specifically targeted for those purposes; and

(3) aid to districts in which de facto racial separation persists, for the purpose of helping establish special interracial or intercultural educational programs or, where such programs are impracticable, programs designed to overcome the educational disadvantages that stem from racial isolation.

He requested one-half billion dollars be appropriated in FY 71 and one billion dollars in FY 72 for this aid. Anticipating that this proposed legislation would not be enacted in time to be available when schools opened in September 1970, he requested on May 25, 1970 that Congress appropriate $150 million under six existing OE and OEO legislative authorities[1] that could be used immediately to help school districts that were undergoing desegregation. Although the Congress is still considering the basic legislation, it did appropriate one-half the supplemental money requested ($75 million) on August 18, 1970 and thereby established ESAP.

Because of the unusual way the existing program was authorized and initiated, there are several special factors that affect the ESAP activities being evaluated by this study:

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1. (1) The Education Professions Development Act, Part D.
   (2) The Cooperative Research Act.
   (3) The Civil Rights Act of 1964, Title IV.
   (4) The Elementary and Secondary Education Act of 1965, Section 807.
   (5) The Elementary and Secondary Education Admendments of 1967, Section 402.
   (6) The Economic Opportunity Act of 1964, Title II.

(1) Since no legislation has been enacted to establish objectives, requirements, etc., the applicable regulations are those written by DHEW and published in the Code of Federal Regulations as Title 45, Part 181.

(2) Although the six statutory provisions being utilized have their own limitations, their combination and interpretation within ESAP regulations follow a comprehensive group of activities to be supported.

(3) Although the proposed legislation is intended to attack both de jure and de facto segregation, ESAP only deals directly with de jure situation (i.e., Category I above). The critical problem was thought to be the districts just beginning to operate under changed legal requirements.

The ESAP regulations were published in the Federal Register on August 22, 1970 and school districts urged to apply for grants. Special regional briefings were conducted and special processing procedures were established in the DHEW Regional Offices so that funds could be channeled to the districts as fast as possible in order to be of help in the early part of the school year. By September 18, 1970, 301 districts had been granted about $17.2 million. Funds were allocated to states by formula and then the Title IV Divison of the relevant DHEW Regional Office awarded individual project grants. By December 10, 1970 (the cut-off date used for sample selection in this study), 875 districts had been granted almost $60 million. Eventually, $64 million is expected to be granted directly to about 900 local school districts during FY 71. The remainder of the $75 million appropriation will be used for grants to community groups (the so-called 10 percent program) and for DHEW administration costs.

The general purpose of ESAP is evident from the following words of the authorizing regulations:

> The purpose of the emergency assistance to be made available... is to meet special needs incident to the elimination of racial segregation and discrimination among students and faculty in elementary and secondary schools by contributing to the costs of new or expanded activities--designed to achieve successful desegregation and the elimination of all

forms of discrimination in the schools on the basis of students or faculty being members of a minority group.[1]

As a result of such broad wording, an extremely wide variety of educational activities are allowed to be funded under ESAP grants. The assumption is made that the local district knows best what it needs to help its desegregation process and, therefore, that the district has the responsibility to decide what activities should be undertaken. The Regional DHEW Office was to verify that decision when reviewing ESAP applications, but the pressures of quick turn-around (the goal of 36 hours was usually met) meant that almost no requested activities were judged unsuitable (except for air-conditioning requests, for example). The regulations and the applications present a long list of examples of activities and subactivities that were authorized.[2] The list is too long to present here, but the main groupings were as follows:

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1. Part 181.2, Title 45, of Code of Federal Regulations.

2. RMC has adopted the following ESAP definitions for consistency within this study. It is believed they are compatible with the definitions used within OE and most field personnel.

Program: used to describe the overall ESA program. In total, the program consists of grants to about 900 school districts.

Project: used to describe the package of ESAP functions funded at a specific school district.

Activity: used to describe the ESAP functions of a particular type being carried out within a school district. For example, a teacher training activity in five schools of Richmond, Virginia. The ESAP project in a particular school district may include one or more activities.

Subactivity: used to describe subcategories within each broad activity category. For example, the teacher training activity might have two subactivities: an in-service program to improve human relations and a demonstration program for individualized instructions/Team Teaching.

(1) Special Community Programs,

(2) Special Pupil Personnel Services (including remedial services),

(3) Special Curriculum Revision Programs,

(4) Special Teacher Preparation Program,

(5) Special Student-to-Student Programs,

(6) Special Comprehensive Planning and Logistical Support, and

(7) Other ESAP Programs.

NEED FOR EVALUATION

There are several reasons why ESAP is being evaluated at this time. First is the need for information and guidance for policy decisions about ESAP by OE and DHEW staff. Examples of policy decisions that could be influenced are allocation or reallocation of resources, drafting of guidelines and regulations, addition or deletion of authorized ESAP activities, and specification of evaluation criteria and procedures for ESAP projects. Note that this need does not require making judgments or decisions about individual school districts; the emphasis is on policy decisions that affect ESAP as a whole.

The second purpose is to provide inputs to the legislative process. Depending on timing, information about effectiveness and efficiency of existing ESAP activities could and should be a factor in shaping the final details of the pending $1.5 billion legislation and aid program.

A third reason for the study is to meet the requirements of the ESAP regulations for an evaluation by an independent organization--i.e., one not connected with any school district receiving funds or to the parts of OE and DHEW that administer or monitor the ESAP activities. ESAP, and school desegregation in general, is a very controversial subject. It is important to have an unbiased, objective research design if the results of the evaluation are to be credible and useful.

A brief word is needed about the relationship of this evaluation of ESAP to the many other evaluations that also exist. As stated, this evaluation is the independent,

outside evaluation required by the authorizing regulations and is sponsored by the central planning and evaluation agency within OE. The regional staff of the agency within OE that administers ESAP (the Division of Equal Educational Opportunity, DEEO), audits and monitors each ESAP grant, but these are the same people that helped design many ESAP projects and approved all of them before funding could occur. The Office of Civil Rights (OCR) of DHEW also monitors each ESAP school district (as well as others) to see that districts are fulfilling all relevant civil rights regulations (including the special specifications of ESAP regulations).

Congress itself has also initiated a special audit of a sample of ESAP grants via its agency, the General Accounting Office (GAO). Although their initial focus was the policies and procedures for approving ESAP grants, GAO is now apparently examining the ESAP activities and subactivities of specific school districts.

In addition, there have been several other evaluations and audits by private civil rights groups, Title IV desegregation centers, congressional committee staff members, and State Education Department staff. There is no question most ESAP districts feel over-evaluated (and often harassed), and this may be a factor in the reaction of some districts to the RMC survey. Based on present knowledge, none of the other evaluations has interviewed ESAP participants (teachers, prinicipals, etc.), either systematically or in sufficient numbers.

PURPOSE OF THIS STUDY

As was discussed above, the ESA program states that it is directed toward special needs incident to desegregation. To this end, it is providing assistance designed to make the elimination of de jure racial segregation in the public schools a successful and smooth process. The purpose of this independent assessment by RMC is to evaluate the effectiveness of ESAP -- that is, to assess the effectiveness in meeting program goals.

For purposes of evaluation it is unfortunate that more specific and measurable objectives for the Emergency School Assistance Program were not established and published, but such was not the case.

In cooperation with OE, the following several specific objectives were defined to provide guidance during conduct of this assessment of ESAP.

(1) Verify that ESAP projects are being conducted and determine whether changes in objectives or activities have occurred from original plans.

(2) Assess the effectiveness of ESAP on the following bases:

- Has the Emergency School Assistance Program accomplished its goals?
- What social and educational effects have been produced by the several types of ESAP activities?
- Have ESAP projects had a meaningful role in the desegregation process (including specific desegregation plans, if relevant)?

(3) Assess the effectiveness of local project management in contributing to successful operation of ESAP projects.

(4) Assess the utility of the technical assistance provided by Federal ESAP staff to local school districts.

This study is also intended to not examine several issues (except as they relate to the above objectives), in most cases because they are the subject of other studies or agencies. The procedures and process used by both central and regional OE staff to allocate ESAP funds and select ESAP projects were considered outside the scope of this study. Furthermore, although individual ESAP projects in a sample of districts were examined to obtain representative information about overall ESAP activities, effectiveness, and problems, it was not intended to pronounce judgments about the actions of particular school districts.[1] In addition, the checking for legal compliance by LEAs with court orders or HEW desegregation regulations was avoided, partly because other agencies perform that function and partly to increase the probability of getting local cooperation in obtaining the more important information affecting ESAP effectiveness. RMC did not attempt to accurately observe or measure the degree of racial integration in schools or classrooms,

1. In fact, the need to assure anonymity to individual respondents precluded the feedback of ESAP assessments to each LEA as originally desired.

since that information had already been collected by the Office of Civil Rights (OCR). Of course, the precise auditing of accounting and financial records is the function of internal government agencies.

The RFP established two key goals or thrusts of this evaluation that have strong influence on the purposes and the resultant research design.

(1) Independence. The evaluation should be conducted on contract by a non-government organization not selected or responsible to the ESAP program staff or the school districts. Moreover, the design and conduct of this evaluation should be independent of other evaluations of ESAP, although available information from other ESAP studies should be considered when preparing conclusions and recommendations.

(2) Timeliness. This evaluation is clearly short-term in nature, primarily because ESAP projects will have been operating for such short periods of time (some have yet to start implementation). Therefore, the focus will be on short-term or immediate effects resulting from ESAP projects. A second important aspect of timeliness is the short performance schedule. To provide maximum use of results from the evaluation study in the federal decision-making process, early transmission of information (even though preliminary) was encouraged.

RESEARCH DESIGN

The research design being used to assess ESAP follows very closely that specified by OE in the Request for Proposal (RFP). Although the authorizing regulations imply that all ESAP projects should be subject to an outside evaluation, OE has deemed it reasonable and proper to examine a sample of the ESAP projects.

A two-phased approach (in parallel) is being used to obtain information needed to fulfill the several study objectives discussed in the previous section. Although the broad purposes of these concurrent phases are similar, it is important to clearly distinguish between them since the data collection and analysis methodology are considerably different.

Phase I is a broad survey of 252 school districts, which is about 30 percent of those receiving ESAP funds. A stratified,

random sample was selected to obtain data representative of the total program. Field teams visiting each district will administer highly structured interviews to ESAP project directors, principals, teachers, and students. A field staff of about 70 persons will have completed over 10,000 interviews at the close of field work for Phase I.[1] In addition, a brief mail questionnaire will be sent to all members of the ESAP Bi-racial Advisory Committee (BRAC) in each sample district. OE has recently asked that this BRAC survey be widened to cover the committees in all 900 districts. An integral part of Phase I is the coding, processing and analyzing of all returned information so that answers can be formulated to the questions implied by the study objectives.

Phase II is an intensive study of twenty selected ESAP districts, while also seeking information that will assist in fulfilling the study objectives already discussed. Phase II will attempt to identify and document ESAP activities that have successfully aided the desegregation process, while several common data collection instruments will be used in the 20 districts, the basic thrust for Phase II is an in-depth, case study examination of the ESAP activities in an LEA, thus allowing concentration on the special characteristics of each situation.

Details of the research design for each Phase will be discussed in the appropriate chapters of this report.

One important aspect of research design that significantly affects all parts of the study is the need to rely heavily on the views and claims of affected personnel in the school system. These claims will be supplemented by observations and conclusions of our field staff; but there is little opportunity for direct measurement of performance-based effects that could be influenced by ESAP activities. The timing of ESAP and this survey means that (1) the short period of ESAP implementation has allowed little opportunity for accumulative or long-term effects to be felt, and (2) the mid-semester time for most data collection precludes the availability of end-of-school-year measurements and assessments. Moreover,

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1. Although a second wave of interviews was also planned in some of these districts in May, this second wave was dropped from the plans in light of the delayed start of the study and the short elapsed time period that would have been involved.

considerable past research with performance-based measurements such as student achievement and teaching performance indicate they probably have little usefulness in such evaluations. Therefore, as suggested by the RFP, this study is mainly utilizing a personal interview approach to data collection, which obtains information about expectations, attitudes, opinions, and perceived results.

ORGANIZATION OF INTERIM REPORT

The following chapters present in some detail the development of the study effort up to the present time as well as the planned analysis. (Somewhat greater emphasis is placed on Phase I than Phase II because Phase I started earlier.) Chapter 2 presents a discussion of the Phase I evaluation and data collection plans. Chapter 3 presents the analysis plan for the data from the Phase I survey. The Phase II effort, current status, and evaluation plans are discussed in Chapter 4. Appendix A contains layouts of the initial tabulations that will be produced as part of the Phase I analysis plan. Appendix B presents a copy of the current version of the questionnaire to be mailed to the Bi-racial Advisory Committee.

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EVALUATION AND DATA COLLECTION DESIGN AND IMPLEMENTATION

INTRODUCTION

This chapter, in five major sections, covers the development of the evaluation design and the implementation of the data collection effort. It also provides a status report on the data collection phases.

The first section covers the rationale for the design of the four major data collection instruments: questionnaires for the ESAP project director, principals, teachers, and students. In addition, a shorter instrument is being developed for members of the district's Bi-Racial Advisory Committee (BRAC). The development of measures by which ESAP achievements could be assessed played a major role. In addition, the sensitive nature of the problem being studied dictated that the questions be carefully framed and asked.

The second section is devoted to a discussion of the sample selection. The selection procedures are thoroughly documented along with the interview verification plan and results.

The training of the interviewers is covered in the third section of this chapter. Major items included are the training session itself and the mechanisms by which the interview team results are monitored and corrected in the field.

The fourth section discusses the organization of the field effort and reports on the status of the field work as of April 1971. A discussion of problems encountered and our expectations about the completion of this part of the data collection process are covered.

The status of the collected data is discussed in the fifth and final section. The coding and editing processes are covered in depth with some general impressions of data quality being presented.

INSTRUMENT DESIGN AND EVALUATION PLAN

General Considerations

Three general considerations have had significant effects on the design of the data collection instruments. The first of these was the requirement to meet the study objectives by addressing and measuring the attitudes, behavior, and educational performance of the participants. It was necessary to develop and treat analytically specific behavioral measures and, at the same time, place the respondents' perceptions about behavioral changes in a meaningful context. This was particularly difficult due to the highly sensitive nature of the problems and questions dealing with any aspect of desegregation or its effects. We had to address ESAP and black-white interactions squarely but without bringing about an antagonistic, purposefully deceptive, or overly compromising situation.

The second major factor was the time element involved. In many LEAs, desegregation and the initiation of ESAP activities have occurred almost simultaneously. This, of course, is an important reason for making very clear our concern with assessing the impact of the ESAP activities rather than measuring the extent of desegregation itself. Since many of the LEAs receiving ESAP funds have not had significant prior experience with desegregation and its problems, the analysis could not rely on comparisions of the magnitude of problems arising from desegregation or educational performance before and after the introduction of ESAP activities. Another implication of the time element is the limited length of time that ESAP funds have been available. The four instruments are designed to measure changes in desegregation-related problems and behavior to the extent they have occurred thus far. While it is not possible in all cases to assess the magnitude of changes,

it is feasible to detect the participant's view about the direction of change, and, if some change is perceived, the cause of this change.

The third area of concern was to make it clear to the respondents that our effort was not designed to check on the compliance of the particular LEA with their desegregation plan. Thus, we tried to distinguish ourselves from other groups by not asking questions or checking on activities related to civil rights legislation. In an analogous vein, we also tried to steer clear or asking questions regarding the day-to-day conduct of school operations. Thus, no check on bus routes or seating assignments in classrooms or regulations was made. By stressing this concern, we have tried to assure all respondents that we are simply trying to assess the impact of ESAP on easing the problems of desegregations--not that we are checking up on them.

Design Rationale

The means for collecting four major types of data were incorporated into the instrument design. The first was the establishment of respondent's problem-solving attitudes. "Problem" must here be very carefully defined. The concern is with those school situation problems--both classroom and non-classroom--which have arisen as a result of desegregation and which can be addressed by the ESAP activities. The second area of interest is the incidence of perceived change in behavior with regard to these problem areas. Third, any association between the perceived behavioral changes and specific ESAP activities must be established.

The structure of these questions addressing change must clearly distinguish between change attributable to the ESAP program and that change which has to ease the impact of desegregation on schools, perceived change that resulted from the desegregation process itself, or prior to the introduction of the ESAP activities in the district, must be assessed to avoid overly crediting ESAP with bringing about change.

The fourth area deals with the descriptive data about the specific ESAP activities in operation in the various schools and LEAs.

Within this set of problem areas, the respondents' expectations with respect to dealing with specific difficulties in these areas are to be established. That is, participants are to be classified according to whether they approached the solution of classroom problems of racial differences in achievement levels, poor communications between black students and white teachers and between white students and black teachers, or heavy absenteeism with an easy or difficult frame of reference. In effect, we are trying to determine if the participant began the fall term with the expectation that classroom problems could be easily solved or whether they would be difficult to solve. The same approach was taken on the non-classroom problems arising out of desegregation. Thus, information on the existence or magnitude of the problems stemming from desegregation is not sought; rather, we are seeking information on their expectations of dealing with or solving these problems. After all, ESAP is directed at solving or easing of problems.

It must be noted that subsequent change is to be related to the expectations of LEA personnel. Their prior experience with desegregation may be limited or non-existent. For school districts with schools integrating for the first time, the applications for ESAP funds may well be addressed toward solving the problems that were anticipated--not problems they had experienced. Categprizing the participants by their attitudes toward solving these problems will allow us to take account of the fact that change, or lack of change, as perceived by a participant since the initiation of ESAP activities, may be affected by his approach. Thus, the respondent's approach to problem solving becomes an important explanatory variable for perceived behavioral change. If certain activities turn out to be the most productive to those with a difficult-to-solve outlook, this information may be of considerable interest to OE program personnel.

For those LEAs that are using the ESAP funds to perpetutate a previously started activity or to continue a previously desegregated environment, the same expectations are sought, although in those cases the problems may well be real and observable.

Perceived Changes in Behavior. We seek next to determine if changes in specific behavior or performance have been perceived by the respondent. The changes we are interested in are those which are measured from the early part of the school year, although specific ESAP activities are not yet directly mentioned. The specific changes in behavior were developed from the list of problem areas. It would be desirable if each of the behavior changes could be measured precisely. For example, academic achievement can be measured through testing; class participation can be observed and quantified by noting relative numbers of responses by race. However, in this phase of the study, there is neither time nor base data to fully utilize these types of measurements. The interviewers are not in a school or district long enough to produce reliable numbers or incident counts. Limited time and resources preclude examination of school records, although interviewers will be fully familiar with project applications. For the above reasons, the current effort focuses only upon establishing if change has been perceived and the direction of this change.

In the classroom problem area, for example, we seek to find out if the perceived gap in achievement levels between the black and white students is lessening or widening or showing no change since the early part of the school year. We seek additionally to find out if the respondents feel that black students are responding more freely, less freely, or with no change to white teachers since the beginning of the school year, and so forth. Thus, we seek the direction of change in specific behavior or performance.

Not only are the specific behavioral changes related to the problem areas as discussed above, they can also be expected to be influenced by one or more of the ESAP activities if these activities are effective. Thus, after the participant's perceptions of behavioral change are examined, association of these changes with specific ESAP activities can be investigated.

Association With ESAP Activities. The interviewer must elicit from the respondent what he perceives to be the cause or causes of each perceived behavioral change. Thus, if a participant notes that black students are indeed responding more freely to white teachers in the classroom, the interviewer probes for the reasons. He would expect that activities being funded by ESAP will be associated with some of these changes--possibly more often by directors and principals than by teachers and students. The probing by the interviewer does not try to elicit non ESAP-related response--it only allows for the response to arise if the respondent considers it to be of importance. Thus, change is associated with an ESAP activity through this indirect approach. This section of the interview is open-ended to give as much latitude as possible to allow the participant to identify those activities or events in his school that he feels have been of some influence on changing behavior.

We now have the basis for associating perceived change with specific ESAP activities at school. If the ESAP activity is related to the change in a manner that called its attention to the participant, it will become evident. Differences in reasons for change among directors, principals, teachers, and students can be identified. If factors other than ESAP are considered to be associated with change or if an ESAP activity in conjunction with another non-ESAP occurrence appears related to the change, it can be noted.

Descriptive Data. The fourth and final major area of interest incorporated in the instrument design is descriptive data about specific ESAP activities. The activities taking place at the particular school will be identified by the project director. These data are necessary to support the verification and project-management objectives of the study. In addition, the length of operation of the activity will be obtained. The type of questioning varies because directors, principals, and teachers can answer different parts of the verification, management, and descriptive needs. Much of the basic verification data is solicited from the director: how many teachers' aides have been hired, what materials have been purchased,

and so forth. The principals are also asked how the personnel and materials made available to the district by the ESAP grant are being used in his school. For each broad activity category, a set of attitudinal questions has been included to try to assess the impact of the presence of the ESAP activity in the school on the respondent's attitude. These attitude questions are asked of all respondents regardless of their knowledge of the particular activity.

The degree of participation in the formulation of funding applications by the respondents and the lines of communication from teacher to principal to director, recognizing the possibility of problems in black-white interactions, are also investigated as a means of determining how responsive and, thus how effective, project management appears to be.

This evaluation approach is designed to work from the problems of desegregation to the specific accomplishments, as perceived by the participants, of ESAP activities. Considerable effort has been made to avoid becoming bogged down in attitudes toward racial issues and attitudes toward desegregation itself. The direction, throughout, is toward the specific problems being dealt with by ESAP activities, the changes associated with these specific problem areas, and the attribution of these changes to specific ESAP activities. Respondents are categorized on the basis of solving problems and their approach to these problems--not to race relations, per se. The time frame is clearly confined to the same time as the ESAP activities themselves.

By collecting ESAP impact data in this manner, the Office of Education will receive results that will allow them to assess the relative effect on desegregation of each of the several ESAP activities. By soliciting information on other causal factors relating to the improvement of the integrated situation, the effect can be viewed in proper perspective. If certain non-ESAP activities are seen as particularly helpful, they should be considered for inclusion as future ESAP activites. Further, since some activities have been operating for different lengths of time, those activities with the quickest impact can be isolated. Again, it is important that perceived changes be related to ESAP only.

Data Collection Procedures

Types of Instruments

There are four separate survey instruments for the different personnel categories in the LEAs: ESAP project directors, school principals, teachers, and students. For all but the student category, the basic design of these instruments is very similar. In the case of the project director, additional material is required to gain information about the administration and implementation of the various ESAP activities. Because of his more limited base of knowledge, the student questionnaire is much simpler and does not include separate sections for specific ESAP activities.

In addition, a mail questionnaire is currently being prepared to elicit responses from members of the ESAP Bi-Racial Advisory Committee (BRAC) in all 906 affected LEAs. This form will obtain data on the degree of involvement of the committee as a whole and the individual member in particular. A copy of the most recent draft of this instrument is shown in Appendix B.

Instrument Layout and Question Framing

The director, principal, and teachers questionnaires are enough alike to be discussed together. The instruments are composed of three main parts. The first section combines the questions dealing with the problem-solving expectations, the perceived changes, and reasons for the changes. This information is obtained from a series of about two dozen questions. Each "expectation" question is designed to depict a problem that can be addressed by an ESAP activity. Each "change" question has a direct counterpart with an "expectation" question. In addition, the questions can be categorized broadly into the classroom/non-classroom breakdown discussed earlier as well as into personnel relationships and academic performance.

In this section of the instrument the key dependent variables of this analysis are found. They are the incidence of change (positive or negative) and the association of an ESAP activity with this change. The set of expectations are aggregated to produce an independent variable that will allow us to categorize the respondents into their feelings with regard to being able to overcome the problems associated with desegregation.

An indirect approach was selected for the expectation questions; that is, respondents were asked how they thought teachers felt about certain things as opposed to how they felt. In sensitive areas such as integration, indirect techniques have been shown to produce more realistic answers than the direct mode. The "expectation" questions were closed-ended with four possible answers between "very easy" and "very difficult" regarding the solution of problems.

With regard to these expectations, the intent was to determine whether the respondent, at the beginning of this school year, anticipated that the problems likely to arise would be very difficult to deal with, difficult, easy, or very easy to deal with. This type of response is never easy to elicit as the respondent's recent experiece may influence his recall of past expectations. Nevertheless, lacking the opportunity to question respondents on a before-and-after basis, this was the only possible approach. Questions were phrased to remove any suggestion that might make the respondent feel that he was being judged on the basis of what he said he expected as opposed to what actually occurred. In addition, since "the beginning of the school year" marks a very clear time point for school personnel and students, it was a relatively easy point at which to focus for the recall of expectations whereas a date within the school year, even if related to the implementation of the ESAP activities in the district, would have been more difficult with which to associate past feelings.

The "change" questions were partly open-ended and were worded in a more direct manner. Since we were asking about perceived change, we wanted the responses to reflect what the respondent had observed during the current school year.

The changes all had to do with specific occurrences or conditions, that were, in principle, measurable. If a positive or negative change was volunteered by the respondent, the interviewer probed to find to what the change was attributed. In this open-ended portion, the relating of change to an ESAP activity, if it was related, was accomplished. The respondent was never to be guided toward saying that the change was associated with one or more ESAP activities.

To cover the instances where a respondent offered several "no change" answers for the set of "change" questions, another question, which was aimed at determining the current status of conditions of integration in the school, was asked. Thus, we would be able to categorize the perceived status at that school to some extent.

The second major part of the instrument is aimed at finding out which ESAP activities are being conducted in the district and which schools are affected. Once these data were obtained, the appropriate activity-specific modules could be asked.

One question in this section (Question 10 of the director's instrument) is the key to this process. The interviewer must elicit from the project director what he calls the ESAP activities in his district. Since there are many kinds of teacher training programs, for example, a common term for what is going on in the district is needed. It is necessary for two reasons.

First, the appropriate activity-specific modules must be asked of the director and the other respondents in the LEA. Thus, the module for teachers' aides is only relevant when teachers' aides are planned for or are being used in the LEA. Second, this information must be transferred to the principal and teacher instruments so the proper module(s) can be asked of them also.

Thus, the interviewer must be sure that he has obtained from the director a title which will be most likely to be known in the schools that have the activity and that will allow for the proper set of questions to be asked.

The other parts of this question and the modules are then used to provide the descriptive properties of the activities. Thus, several independent variables are generated in this portion of the design. They include the activities in a school and LEA, the amount of funds being spent on each activity, the length of time it has been in operation, the number and type of persons employed in the implementation of the activity, any materials that have been purchased, and how the personnel and materials are being used. In addition, a set of attitude questions is asked to determine the respondent's impression of how the activity has affected specific school problems.

As leeway was needed to allow the project director to describe his activities and subactivities as he best saw it, most of the questions in this section are open-ended. They are mainly descriptive, however, so that they could be asked in a straightforward manner.

The final part of the questionnaire design serves to provide demographic data on the respondent and covers the areas of technical assistance and project management. The demographic data are needed to provide the independent variables such as race, age, experience in education, and length of time spent in the particular LEA.

In the areas of technical assistance and project management, the questions are designed to elicit the impressions of the effectiveness of technical assistance and the extent to which the respondent has played a role in the planning and implementation of the ESAP project in their LEA or school.

Most of the questions in this last section are closed-ended because the response categories could be predefined. Only the nature of the technical assistance and a question regarding ESAP implementation difficulties were open-ended.

In addition to the data collected during the interviews, some data made available by the Office of Civil Rights are being entered into the data base. These data include ESAP LEA and school identification numbers, the number of minority and non-minority students, the percent of students reassigned, the urban/rural designation of the LEA, and the breakdown of the LEA's ESAP grant, as approved.

The questionnaires were precoded to speed up the keypunching and editing processes. Thus, for all the closed-ended questions, the code column and digit to be punched were used as the response that was circled by the interviewer. Thus, much of the coding that tells the keypuncher what to punch has been done in the field by the interviewer.

For the open-ended questions, categories have been created by RMC analysts based upon examining several hundred completed questionnaires. There is one special consideration of note regarding the open-ended coding. Due to the interrelationship of the ESAP activities and the "change" questions on any given ques-

tionnaire, in addition to the director, principal, and teacher questionnaires as a set, a common set of codes has been established. Thus, if teachers' aides are assigned the code 8, then every place in the "change" set of questions and every place the activity modules that teachers' aides are mentioned, is coded as an 8.

This is useful for several reasons. It allows for easy tracking of an activity through a questionnaire and through an LEA. It allows for easy matching of responses to the ESAP activities that the LEA is using. Thus, if positive change is attributed to teachers' aides and if that LEA purchased teacher's aides, the change can be associated with the ESAP project. Finally, the manual coding process is simplified because the coders know to code teachers' aides as an 8 every time they are encountered. Some 50 questions are to be coded using this common code.

The student questionnaire was designed in a different format mainly due to the fact that much of the "change" section and knowledge of ESAP activities was not applicable to them. A short section on their expectations and the changes with regard to classroom performance and behavior was asked, however.

By and large the students were asked several questions about attending classes in a desegregated environment. The concept was to try to pick up an impression of their attitudes about attending an integrated school. There were some specific multicultural and interracial questions asked that are relatable to change and, in some instances, to ESAP activities.

There is a short demographic section that provides race, sex, age, and length of time that they have lived in the LEA area. These will be used as independent variable descriptors.

Pretest of Instruments and OMB Approval

The set of four instruments were pretested in two LEAs in Georgia. The pretest provided a basis upon which to test the series of questions to see if they were providing the necessary information and to obtain estimates of interview time and sample selection means. By and large the pretest showed that the "expectations" set of questions at the beginning of the instruments were picking up differences in

person's approaches to solving the problems of desegregation. The set of behavioral change questions were similarly found to pick up change--both positive and negative--as well as indications of no change. Thus, the first part of the instrument appeared to do what was desired. The length of these questions was reduced because the pretest showed them to be too long and too repetitive in nature.

The pretest showed that the teachers knew little about the ESAP activities, which led to the modification of the activity-specific modules for the teacher instrument. The attitude questions in the activity-specific modules worked well in the pretest.

Teachers and students of both races were interviewed. The school selection procedures were not tested as only one school in each LEA was visited during the pretest by prior arrangement.

The pretest also showed that some of the questions could be asked in a more direct manner--particularly the student questions, so changes were made to reflect this finding.

The time required to administer the questionnaires was found to be about one-half hour for the teacher and student instruments, three-quarters hour for the principals, and one and one-quarter hour for the project director. These times do not include sample selection or traveling times. It was on this basis that the planning for the field operations and the number of teams was based.

In late January 1971 a series of meetings between RMC, OE, and OMB personnel began to prepare for the necessary OMB approval of the survey instruments. OMB was kept apprised of the development of the instruments, from the conceptual design through the final version.

A supporting statement was drafted to accompany the instruments. This statement outlined the study rationale, instrument design, sample selection, analysis plans, and the results of the pretest. OMB approval was received on March 3, 1971, with the trained team leaders heading for the field the next day.

SAMPLE SELECTION

Two hundred fifty-two LEAs out of approximately 875 that were approved for ESAP funding by early December 1970 were to be surveyed in this outside evaluation. Within each LEA, an average of 3-1/2 schools were sampled with the principal, five teachers, and five students being interviewed at each school. Thus, there were four stages of sample selection. First, LEAs were selected. Within each selected LEA a sample of schools was chosen. Teachers were selected from the schools and, finally, students were selected from the classrooms of the teachers. The method and rationale of selection are described for each stage.

Sample of LEAs

The method of LEA sample selection was designed to ensure representation with respect to size of grant, geographical region, percent minority, and percent of students reassigned. The sample was also checked for size with respect to the individual types of ESAP activities. In making inferences about all 875 LEAs from a simple random sample of size 252, the 95 percent confidence interval about a measured proportion of 50 percent would be approximately $\pm$ 5 percentage points.

Representation with respect to size of grant was obtained through stratification of LEAs by the 7 grant categories in use by the Office of Education. Stratification by grant size permitted sampling of LEAs in the larger grant categories at differential rates. Sampling in these categories at higher than average rates is desirable from the point of view of statistical efficiency for estimates relating to pupils and funds. Since the LEAs with the larger grants are more likely to have a greater variety of activities, this also enhances the sample distribution across all types of projects. Thus, all LEAs in the top three grant categories have been included in the sample. The sampling fractions used for the other four grant categories, and for further sampling with the grant size strata, were similarly derived with design efficiency and simplicity of sampling error calculations in mind. The sampling fractions derived for each grant category under this criterion are shown in Table 2-1 along with the populations and sample sizes.

To obtain representation with respect to geographical region and percent minority, categories of LEAs were defined with respect to each of these variables; and LEAs were clustered within grant strata according to groups of these categories. Percent minority was divided into ten categories of ten percentage points each. States were divided into five categories as shown in Table 2-2.

Table 2-1

LEA SAMPLE DISTRIBUTION BY GRANT SIZE

Grant Size	Population	Sampling Fraction	Sample Size
$1,000,000	5	1	5
$500,000-$999,999	11	1	11
$200,000-$499,999	24	1	24
$100,000-$199,999	73	1/2	36
$ 50,000-$ 99,999	173	1/3	58
$ 25,000-$ 49,999	238	1/4	58
0-$ 24,999	323	1/6	60
Total	847		252

Table 2-2

CATEGORIZATION OF LEA'S

I		II		III		IV	
States	No. of LEAs	States	No. of LEAs	States	No. of LEAs	States	No. of LEAs
Texas	101	Kentucky	4	Florida	57	Georgia	148
Oklahoma	10	Maryland	4	Tennessee	37	Louisiana	38
Arkansas	81	North Carolina	82	South Carlolina	68	Total	186
Total	192	Virginia	58	Total	162		
		Total	148				

V	
States	No. of LEAs
Mississippi	94
Alabama	65
Total	159

Table 2-4

LEA SAMPLE DISTRIBUTION BY PERCENT MINORITY

Percent Minority	Grants less than $200,000	Grants $200,000 and Above	Total
0-9	6		6
10-19	22		22
20-29	31	9	40
30-39	48	4	52
40-49	39	11	50
50-59	36	5	41
60-69	18	1	19
70-79	11	5	16
80-89	5	1	6
90-100			

Table 2-5

SAMPLE DISTRIBUTION BY PERCENT REASSIGNED

Percent Reassigned	Grants less than $200,000	Grants $200,000 and Aboye	Total
0-9	16	8	22
10-19	17	7	24
20-29	30	8	38
30-39	36	8	44
40-49	30	3	33
50-59	27	5	32
60-69	17	0	17
70-79	4	1	5
80-89	4	0	4
90-100	38	0	33

For design efficiency, two guidelines were followed in forming clusters of LEAs:

- the total number of LEAs in a grant stratum were distributed as uniformly over the clusters as possible. Specifically, the cluster was to contain the number of LEAs required to produce a sample of 4 or 6 LEAs when the grant stratum sampling fraction was applied.
- each cluster was formed so that it was as homogeneous as possible with respect to percent minority and geographical distributions.

Good representation with respect to percent of students reassigned was obtained by ordering the LEAs within each cluster by percent reassigned and drawing a systematic sample using a random start.

Following these sampling procedures, a random sample of 252 LEAs was drawn. The distributions of the resulting sample of LEAs by state, by percent minority, and by percent reassigned are shown in Tables 2-3, 2-4, and 2-5, respectively.

Table 2-3

LEA SAMPLE DISTRIBUTION BY STATE

State	Grants less than $200,000	Grants $200,000 and Above	Total
Alabama	18	2	20
Arkansas	18	0	18
Florida	13	8	21
Georgia	36	5	41
Kentucky	1	0	1
Louisiana	12	5	17
Maryland	2	0	2
Mississippi	22	1	23
North Carolina	25	6	31
Oklahoma	1	0	1
South Carolina	15	4	19
Tennessee	9	3	12
Texas	23	2	25
Virginia	18	3	21

Sample of Schools

As specified by the Office of Education, a total of approximately 875 schools from the 252 LEAs will be sampled. To ensure representation with respect to grant size, the sample was stratified by this variable. Sampling rates for the strata were chosen in such a way as to enhance the statistical efficiency of estimates relating to pupils and funds. They are shown by strata in Table 2-6, along with the estimated number of schools in the sample LEAs and the size of the sample of schools.

Table 2-6

STRATIFICATION OF SAMPLE OF SCHOOLS

Grant Size	Estimated Total Schools	Average School Sampling Fraction	Sample of Schools
≥ 1,000,000	812	1/8	96
500,000 - 999,999	608	1/10	65
200,000 - 499,999	790	1/10	93
100,000 - 199,999	534	1/3	140
50,000 - 99,999	610	1/3	205
25,000 - 49,999	361	1/3	167
0 - 24,999	197	1/2	113
TOTAL	3,912		879

The sampling rates that are shown in Table 2-6 are average sampling rates for the strata because not all LEAs within a stratum were sampled at the same rate. Rather, all LEAs of the same size were sampled at the same rate regardless of the grant size stratum they are in. Table 2-7 shows a portion of the distribution of LEAs by grant size and LEA size. Also, it shows the sampling fraction by LEA size.

Table 2-7

DISTRIBUTION OF LEAs BY GRANT SIZE AND LEA SIZE
AND SAMPLING FRACTIONS BY LEA SIZE

Grant Size	LEA Size (Number of Schools)										
	1	2	3	4	5	6	...	55	61	71	....
	Sampling Fraction										
	1	1/2	1/3	1/2	1/2	1/2		1/3	1/10	1/10	
0 to 24,999	12	17	12	6	4	2					
25,000 to 49,999	2	9	5	12	2	3					
50,000 to 99,999	2	2	4	6	6	1					
100,000 to 199,999		1	1	1		1					
200,000 to 499,999									1		
500,000 to 999,999										1	
1,000,000 or More								1			

These are the actual sampling fractions used in selecting the sample. For all LEAs of three affected schools or less, the sampling rate was set so that one school would be selected from each of these LEAs. The remaining sampling fractions were set so that the overall sampling fractions for the grant categories would approximate those shown in Table 2-6. A maximum sample of 16 schools from any LEA was specified. To approximate the sampling fraction of one-eighth for the $1,000,000 or more grant category, 16 schools had to be selected from all six LEAs in this category.

The sample of schools in an LEA was selected from the total list of schools participating in the ESA program, even though, as is explained later, students were not to be interviewed in some types of schools. The total list of schools in each LEA was divided into two categories: those that have a heavy concentration of ESAP activities and those that do not. The sample of schools was selected prior to the interviewer's arrival at the LEA. Information on the current list of schools in the ESAP project and the schools heavily involved with ESAP activities was verified with the project directors by phone.

Schools with a heavy concentration of ESAP activities were expected to be in the minority. To ensure adequate representation of these schools with the largest amounts of ESAP funds, they were sampled at a higher rate than the other schools involved in the ESA program. This was accomplished by simply drawing half of the sample of schools from the list of schools with a heavy concentration of programs and half from the remainder of schools receiving ESAP funds. The interviewers were instructed as to specifically which schools they would visit in each district.

Sample of Teachers

In accordance with the objective of sampling to approximate optimum allocation, exactly five teachers were selected from each school in the sample. To ensure good representation of teachers directly involved in ESAP activites, two teachers were

randomly selected from those directly involved in the program and three were randomly selected from the remainder of the list of teachers in that school. The selection was done by the interviewers in the field from lists obtained from the principal of the school. The procedure for selection utilized the random-start fixed-interval technique and was provided to the interviewer when he went into the field.

Sample of Students

As with teachers, five students were selected from each school in the sample, with the exception of those schools whose grade span is less than the fifth grade or those special schools (such as correctional schools or certain schools for the handicapped) where interviewing students was unfeasible. One student was randomly selected from the class roll of each classroom teacher in the sample. If the teacher has more than one class during the day, the student was selected from the first class taught.

If there were less than five classroom teachers in the sample, a classroom teacher in the sample was randomly selected and a second student was then randomly selected from the class of that teacher. To avoid excessive clustering of the sample of students, no more than two students were selected from the class of any one teacher. If at least two students had been chosen from the classes of all classroom teachers in the sample and there were still students to be picked, the remaining students were selected by first randomly picking teachers not in the sample and then randomly selecting students from the classes of these teachers. The additional teachers were not interviewed.

Verification of Interviews

Project director, principal, and teacher interviews are being verified by randomly selecting samples of these individuals and checking, by telephone, their responses to a portion of the survey questions. Student interviews are not being verified because of the difficulty in reaching the students. So that the entire

interviewing period will be covered by the verification process, verification is being made at three intervals: two, four, and six weeks after the commencement of the survey.

Total samples of 60 project directors, 80 principals, and 120 teachers will be called for interview verification. Since the purpose of verification is to ensure only that there are a very small number of questionable interviews, and not to obtain a precise measure of the number of questionable interviews, the sample sizes are relatively small. Adequate representation of all 20 teams has been obtained by apportioning the sample evenly across them. One-third of the total number of each type of verification interview will be conducted at each verification interval. For each team, the interviews to be verified will be selected by simple random procedures from among those that were conducted since the last verification.

TRAINING OF INTERVIEWERS

Pre-Fieldwork Training

Team leaders were selected from among members of the professional staff of the Resource Management Corporation and subsidiaries or from Mark Battle Associates, a subcontractor. Interviewers were selected from among graduate students in the geographical areas in which the field work was to be conducted. A total of 20 three-man teams were thus established, each with a team leader and two interviewers.

All of the teams were assembled from February 16 to February 19 for training in Washington, D.C. The following paragraphs briefly describe the activities of those four days.

Day 1

After the teams checked in and registered, a series of orientation talks were presented by RMC and OE personnel. The role of RMC in conducting the outside evaluation of ESAP was discussed. Other ESAP evaluations and the needs for results such as those that this study would produce were also covered. A history of school

desegregation and other federally supported efforts was presented. The current legislation and the role that ESAP is to play in assisting smooth desegregation was discussed by OE personnel.

Mrs. Ruby Martin of the Washington Research Project described the research conducted jointly by several groups[1] to assess the early implementation of the Emergency School Assistance Program. Her discussion was based on a report by that consortium entitled "The Emergency School Assistance Program: An Evaluation." In addition, Mrs. Martin imparted her own impressions of the Southern school systems.

Day 2

Activities on the second day of training included a lecture on "The Art of Asking Questions." The lecture described in detail the role and requirements of a good interviewer. The following outline shows the topics that were covered.

THE ART OF ASKING QUESTIONS--
LECTURE OUTLINE

I. The Role of the Interviewer

A. General

1. Collecting Data
2. Objectivity

B. The ESAP Interviewer

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1. The American Friends Service Committee; Delta Ministry of the National Council of Churches; Lawyers Committee for Civil Rights Under Law; Lawyers Constitutional Defense Committee; NAACP Legal Defense and Educational Fund, Inc.; and the Washington Research Project.

C. Interviewing Etiquette

1. Developing rapport--informality, human relations
2. Guaranteeing anonymity
3. Ground rules on how to proceed.

II. Using the Survey Instrument

A. General Structure of the Personal Interview Questionnaire

1. Precoding
2. Built-in instructions to the interviewer

B. Specific Structure of the Personal Interview Questionnaire

1. Closed-ended questions

a. closed-ended questions with a card
b. closed-ended questions not including answer categories within the questions themselves
c. single answers
d. multiple answers
e. non-responsive answers

2. Semi-open questions
3. Open-ended questions

a. the art of probing--specific vs. general probes

4. Dependent questions and skip patterns

III. Specific Interviewing Procedures

A. Conducting the interview

1. Interviewing etiquette (refrain)
2. Appointments
3. Setting--privacy

B. Terminating the interview

C. Validation of fieldwork

IV. Points to Remember

A. Study related terminology

B. Review and questions

After the lecture and the question and answer period, a discussion and slide presentation of the use of the director questionnaire was presented on a question-by-question basis. Questions were permitted during the presentation.

Following the presentation of the director questionnaire, the attendees were separated into pairs and each trainee practiced conducting a complete interview. The interviewers were instructed to simulate an actual interviewing situation; that is, with no discussion of the questionnaire or questioning methodology until the interview was completed. Members of the RMC project staff then reviewed the work of each individual, in private, pointing out errors, omissions, and other problems, and answering specific questions.

The group was reassembled and the more salient problems encountered during the practice interviewing were discussed.

Day 3

The third session of the training seminar was opened with the question-by-question presentation of the student questionnaire and related slides. Once again, questions were permitted during the presentation.

Following the discussion of the student questionnaire, the training was turned over to a consulting psychologist. This consultant, a specialist in psychodrama, had prepared simulations of situations that could be expected to occur in the course of actual field work. This session was organized such that certain RMC staff members played the roles of the various people to be encountered in the field. Members

of the training group were instructed to interview an LEA director, then a school principal, then a teacher, and finally a student. The trainees did not know what to expect in terms of personality typologies presented in the simulation and were instructed to cope with each situation as best they could. Following each simulation, the floor was opened to discussion. The role-playing situations offered sensitivity training to the interviewer and the entire group had a chance to see how an actual interview might proceed under generally adverse conditions.

The afternoon session opened with a lecture devoted to summarizing the activities up to that time, bringing the training into perspective, and reviewing fundamentals. Following this, the trainees were divided into three discussion groups in order to stimulate an exchange of questions and ideas. This was followed by further role-playing, and the day was closed with a second round of practice interviews and private trainer-trainee discussions.

Day 4

The fourth day of the training seminar opened with another round of practice interviews. On this occasion, members of the training staff walked about from trainee to trainee observing the interviewing, offering suggestions, and answering questions.

Following the practice interviewing, a lecture on sampling procedures was presented accompanied by a set of practical problems that the trainees solved step-by-step with the aid of the lecturer.

The team leaders remained at RMC's offices during the week of February 22 for additional training. This training included further details of sampling, logistics, and interviewing, including details that were to be passed on to their team members. This additional week also afforded the team leaders an opportunity for in-depth discussions with members of the training staff. The team leaders were entrusted with responsibility of last-minute training of their team members.

FIELD INTERVIEWING

The Phase I field effort entailed interviews of 252 randomly selected LEAs, which require approximately 10,000 individual interviews. The 14-state area encompassing these LEAs was subdivided into 20 target areas, within which an interviewing team was placed. The size of a target area was determined after the random sampling of LEAs and was dependent on several factors, including ethnic composition, geographical area, and the number of schools to be interviewed within a selected LEA. Consequently, the area responsibility of individual teams ranged from one LEA with 16 schools in San Antonio to 19 LEAs with 64 schools in North Carolina.

The composition of the interviewing teams varied according to the number of schools within a target area. Each team was headed by an RMC employee who functioned as the team leader.[1] The remainder of each team, i.e., the interviewers, was composed of graduate students from a college or university within the respective target areas. The teams were bi-racial and, depending on the number of schools assigned, ranged in size from two to four. Normally, the team leader was responsible for interfacing with the superintendent and interviewing project directors and principals. The interviewers followed the team leader into the LEA interviewing teachers and students who were randomly selected on site.

The Phase I field effort commenced on March 4, 1971. For the purpose of this report, the field interviews, completed through April 2, 1971, are shown in Table 2-8. There were several minor instances of difficulty experienced by certain teams. The only real problem, however, was encountered in the State of Alabama. As a consequence, the field work is requiring approximately 20 percent longer to complete than expected. Table 2-9 portrays the weekly school completion rate by team and estimates the respective completion dates for each team.

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1. The only exceptions are in Northern Louisiana and Arkansas where these teams are composed entirely of doctoral candidates from Northeast Louisiana University. This exception was made after conferring with the Dallas Regional Office and being told of the political situation regarding "outsiders" in these areas.

Table 2-8

FIELD INTERVIEWING EFFORT--MARCH 4 - APRIL 2, 1971

Team Number and Location	LEAs		Schools		Individual Interviews Completed				
	Quota	Com.	Quota	Com.	Directors	Prin.	Teachers	Students[a]	Total
1. No. South Carolina	13	9	41	32	12	41	160	140	353
2. So. South Carolina	13	9	41	35	13	41	175	150	379
3. Cent. Georgia[a]	20	17	59	55	17	57	275	225	574
4. Cent. Alabama	11	8	45	30	11	28	149	62	250
5. No. Mississippi/NW Alabama	14	10	40	30	11	32	145	90	278
6. So. Florida	10	6	50	31	7	30	155	135	327
7. No. Florida/So. Georgia	15	11	39	29	12	32	145	140	329
8. West Ga. and Fla/So. Alabama	16	7	46	25	14	27	124	90	255
9. So. Mississippi	12	8	44	34	10	37	170	155	372
10. Arkansas[b]	18	12	30	22	13	22	110	95	240
11. No. Louisiana	8	5	32	25	6	26	125	120	277
12. So. Louisiana	9	8	47	43	8	43	215	200	466
13. No. Texas/Oklahoma	12	10	36	24	11	30	120	105	266
14. SE Texas	14	12	46	38	14	42	193	169	418
15. San Antonio[b]	1	1	16	16	1	16	80	80	177
16. Tennessee	12	6	51	31	6	35	155	155	351
17. No. North Carolina[a]	19	11	64	40	14	41	200	186	441
18. So. North Carolina	12	6	57	37	11	43	193	164	411
19. Western Virginia	12	4	45	28	12	32	140	128	312
20. Eastern Virginia	11	9	28	23	10	23	115	83	231
TOTAL	252	169	857	628	213	678	3,144	2,672	6,707
Percent Completed		67		73					72

a. 4-man team.

b. 2-man team.

Table 2-9

WEEKLY SCHOOL COMPLETION RATE

Week of	Team Number/Schools Completed																			
	1	2	3[a]	4	5	6	7	8	9	10[b]	11	12	13	14	15[b]	16	17[a]	18	19	20
8 Mar. - 12 Mar.	8	9	11	8	9	4	7	5	4	5	5	10	7	9	4	9	9	8	7	11
15 Mar. - 19 Mar.	10	8	15	8	8	8	6	7	10	6	6	10	9	9	5	9	12	8	6	10
22 Mar. - 27 Mar.	5	9	14	6	6	9	10	4	9	6	6	10	5	9	5	6	10	9	6	2
30 Mar. - 2 Apr.	9	9	15	8	6	10	6	9	11	5	8	13	3	11	2	7	9	12	9	
Expected Week of Completion																				
5 Apr. - 9 Apr.		X	X		X							X		X	X					
12 Apr. - 16 Apr.									X	X	X		X							
19 Apr. - 23 Apr.	X			X		X	X	X								X	X	X	X	X

a. 4-man team.

b. 2-man team.

Special Alabama Situation

The field effort in Alabama entailed interviews with 20 randomly selected LEAs, totaling about 81 schools. Four teams were responsible for completing these LEAs, which ranged from the smallest subgrouping of two to the largest of nine LEAs. In addition, these teams were responsible for interviewing other school systems in states bordering Alabama.

Resistance on the part of Alabama's State Department of Education to permit student interviews caused many interviewing delays and inter-team frustrations. Thus, student interviews have not (with the exception of Lee and Escambia Counties) progressed smoothly. At best, some students were interviewed after securing parental permission (a letter or telephone call arranged by the Project Director or Superintendent; at worst, School Boards and/or Superintendents flatly stated either no student interviews would be sanctioned or no student interviews would be permitted unless a parent and teacher sat in during the interview.

Progress in Alabama to date may be divided into three categories: LEAs offering no resistance for interviewing selected respondent; LEAs requiring parental permission prior to interviewing students; and LEAs offering heavy resistance toward student interviews. Table 2-10 categorizes each LEA, lists number of schools in LEA sample, presents LEA completion dates as of April 16 (third column), and date of initial resistance (columns four and five) for the non-completed school system interviews.

A summary of the problems associated with LEAs found in the heavy resistance column are outlined below:

- Baldwin: No student interviews unless
  (1) parental permission given, and
  (2) parent and teacher must sit in during interviewing.
- Colbert: No student interviews permitted even with parental permission.

Table 2-10

LEA INTERVIEWING PROGRESS

LEA	Number of Schools	Completed all Required Interviews	Students Require Parental Permission	Heavy Resistance
Anniston City	5	X (4/2)		
Baldwin	4			X (4/7)[c]
Bessemer City	4	X (4/14)		
Birmingham City	9	X (4/13)		
Calhoun	2	X (4/13)		
Colbert	5			X (3/29)
Dale	3	X (4/17)		
Decatur City	5	X (3/31)		
Demopolis	2			X (3/31)
Elba City	1	X (4/16)		
Elmore	1		X (3/10)	
Escambia[a]	5			
Lee	5	X (3/25)		
Limestone	4			X (3/25)
Montgomery	5	X (4/16)		
Pickins	4	X (4/9)		
Selma City	5		X (4/14)[b]	
Sylacauga City	3	X (4/15)		
Talapoosa	4	X (4/16)		
Talladega City	5	X (4/2)		

a. LEA experiencing racial problems. Superintendent requests a temporary hold before selecting and interviewing students.

b. Students selected and letters mailed to parents.

c. Students were not selected.

- Demopolis: Demopolis school board requires
  (1) OE or RMC representative must convince the school board of the importance for interviewing student;
  (2) if school board is convinced, then get parental permission; and
  (3) a teacher must be present during interview.
- Limestone: No student interviews permitted.

When parental permission was sought, a high acceptance rate was experienced (over 95 percent of the LEAs in column 3). Table 2-11 illustrates the response rate per completed LEA. The plan for conducting interviews with students requiring parental permission is to complete them during the initial LEA visit if time permits, but otherwise to return after all LEAs within the target area are visited. This method provides greater team flexibility and increases the team's probability for conducting subsequent interviews on schedule.

Only two LEAs in other states declined to allow interviewing of students, and both gave permission after discussions with OE and/or state officials.

STATUS OF COLLECTED DATA

As of April 5, a total of 5,155 questionnaires had been received at RMC. These included:

- 131 Director interviews
- 470 Principal interviews,
- 2,470 Teacher interviews, and
- 2,084 Student interviews.

A total of 47 LEAs had been completely finished and the questionnaires were logged in at RMC.

Table 2-11

ALABAMA RESPONSE RATE

Anniston City	19 Students out of 20
Bessemer City	20 Students out of 20
Birmingham City	45 Students out of 45
Calhoun	10 Students out of 10
Dale	15 Students out of 15
Decatur City	25 Students out of 25
Elba City	5 Students out of 5
Lee	18 Students out of 20
Montgomery City	22 Students out of 25
Pickins	20 Students out of 20
Sylacauga	15 Students out of 15
Talapoosa	17 Students out of 20
Talladega City	22 Students out of 25

Editing Procedures

About 75 percent of all the questionnaires received at RMC in the first two weeks of field work were edited. At that time a variety of errors were pinpointed. There were a series of minor errors, which must be expected to occur in a project of this size. These errors are correctable in coding. However, some serious errors were also discovered. Once discovered, the offending teams were notified by telephone and memoranda to correct the errors.

Major errors included:

(1) Omission of information in modules. Four teams were found to be omitting necessary information by not asking module questions for some subactivities, filling out module questions incompletely. A team in Florida was sent a new Team Leader, and the team in Dallas, Texas, was retrained in interviewing procedures.

(2) Question 10d in the Project Director questionnaire. Information for Question 10d was either omitted or the percentages for each activity did not equal 100 percent. Five teams were committing this error.

(3) Omission of Project Director activity information in Principal and Teacher questionnaires. Attitude questions were omitted because the subactivities that Project Directors gave were not transferred to Principal and Teacher grids. Five teams made this error.

(4) Omissions of aided versus spontaneous responses. Some interviewers neglected to record whether a respondent had mentioned the existence of ESAP activities either spontaneously or when aided, though they filled in the respective module. Three teams were contacted by telephone and later by memoranda.

(5) Module Question 3 describing how materials and personnel are being used in subactivities was filled out too briefly. Three teams were asked to provide more detail.

At the time questionnaires are received, random checks are made to make sure the preceding errors have been corrected.

Coding Procedures

The first step in coding the questionnaires was to accomplish a tabulation by hand of all the open-ended questions in a random sample of each of the four questionnaires. The following numbers of questionnaires were hand tabulated:

- 200 Student questionnaires,
- 200 Teacher questionnaires,
- 100 Principal questionnaires, and
- 50 Director questionnaires.

As a result of this tabulation, it was possible to broadly categorize responses of a large number of questions into a "common code." These questions include:

Project Director:	3, 3a, 4a, 4b, 4c, 5a, 5b, 5c, 6a, 6b, 6c, 8, 9, 10a, and the subactivity designators in each module.
Principal:	4, 4a, 5a, 5c, 5d, 6a, 6b, 6c, 6d, 6e, 7a, 7b, 7c, 9, 10, 11a, 11b, 11c, and subactivity designators.
Teacher:	4, 4a, 5a, 5b, 5c, 5d, 6a, 6b, 6c, 6d, 6e, 7a, 7b, 7c, 9, 10, 12a, 12b, 12c, and subactivity designators.
Student:	4, 4a, 5, 8, 12a, 12b, 12c, 12d, 12e, 12f, 12g, 12h, 14, 16a, 16b, 16c, 16d, 16e, 16f.

Table 2-12 contains the description of the "common code." The first 19 categories relate to ESAP activities while the remaining 13 are non-ESAP responses.

In addition, specially tailored open-ended categories were established for each of the other open-ended questions. For the rare instance where questions were the same in two questionnaires--such as the Director and Principal, the same code was used for the same question in each instrument.

Complete code books were developed in cooperation between Datatab, Inc. of New York (the processing subcontractor) and RMC. These code books, as well as explanatory memoranda, are accompanying the questionnaires to the coding subcontractors. Due to the importance of the Director's Question 10, it has been coded by an RMC analyst to assure consistency.

Table 2-12

COMMON CODE

COMMON CODE		DPTS FOR ALL INDICATED QUESTIONS	
1.	Person-to-Person	I.	SPECIAL COMMUNITY PROGRAMS
2.	Media/Non Personnel		
3.	Counseling	II.	SPECIAL PUPIL-PERSONNEL SERVICES
4.	Counseling Support		
5.	Ethnic Classes and Materials	III.	SPECIAL CURRICULUM REVISION PROGRAMS
6.	Non-Ethnic Classes and Materials		
7.	Training	IV.	TEACHER PREPARATION PROGRAMS
8.	Teacher Aides and Other Support Personnel		
9.	All	V.	SPECIAL STUDENT-TO-STUDENT PROGRAMS
10.	All	VI.	BUSING
11.	Personnel (Teachers, Assistants, Specialists)	VII.	COMPENSATORY OR REMEDIAL EDUCATION CLASSES
12.	Programs and Materials		
13.	Special Comprehensive Planning	VIII.	OTHER ACTIVITIES
14.	Personnel-Administrative, all not coded elsewhere		
15.	Remodeling and Equipment		
16.	Portable Classrooms		
17.	All Others		

Table 2-12 (continued)

18. ESAP CONFLICT - Personnel: Use this code if 1-17 is applicable but is non-ESAP and the same 1-17 has been used for ESAP in Q. 10(D), Q. 11(P), Q. 12 (T)

19. ESAP CONFLICT - Materials: Use this code if 1-17 is applicable but is non-ESAP and the same 1-17 has been used for ESAP in Q. 10(D), Q. 11(P), Q. 12(T).

20. Racial and Interracial Attitudes: All mentions of attitudes on race issues in whatever context. Mentions of non-behavioral items such as trust and mistrust, understanding and misunderstanding, friendliness and hostility, others.

21. Racial and Interracial Behavior: all mentions in a racial context--fights and friendly activities, good and bad communications, activities in all school settings, all other race-related behavioral mentions (EXCEPT CODE 26 BELOW).

22. Integration/Desegregation: all references to uniting the races in the school and its facilities.

23. Time: all references to time as a factor in creating, increasing, decreasing or eliminating racial problems.

24. Academic Mentions: all references to academic item not classified elsewhere, general references to achievement levels and abilities, others.

25. Motivation: references to motivation and motivating forces--student motivation, motivation of/by others.

26. Organized Social Mentions: sports, dances, parties, clubs, others.

27. Parents/Community: all references to parents, community not codable elsewhere.

28. Atmosphere, Emotions--Non-Racial: all mentions, more freedom, less freedom; better, worse atmosphere; feel at home; others.

29. Faculty - Teachers, Coaches, Others: professional and social performance, role in interpersonal relations, other mentions.

30. Students/Classmates: all mentions.

31. Special Programs, Materials, Facilities: all mentions not codable elsewhere.

32. Don't Know/Nothing

The Director, Principal, and Teacher questionnaires, which all tie in directly, have all been subcontracted for coding to Beta Research Corp. of New York. The first shipment of questionnaires was sent to New York on April 12. Three more shipments are scheduled to follow on April 16, 21, and 28. The student questionnaires are being coded in Washington by RMC.

Once the questionnaires are edited and coded, they will be ready for key-punching and cleaning. They are scheduled to be shipped to Datatab in three batches on April 22 and 29 and May 6.

Data Quality Assessment

It is, of course, too early to present an accurate quality assessment of the data. However, after preliminary editing, hand tabulations, and preliminary coding (Question 10 series of the Director's instrument), some observations can be made.

Closed-ended question rules were generally closely adhered to and editing and coding procedures will most likely clean up problems that do exist, such as minor skip pattern violations.

One of the objectives of Question 10 of the Director questionnaire was to help develop a better taxonomy of ESAP subactivities. Such a taxonomy is under construction. Table 2-13 is an example of the items that have gone into one ESAP subactivity classification based on a sample of 117 questionnaires. It shows the detail by which the ESAP activities are described.

Because of problems mentioned earlier, some data based on the Question 10 series have been lost. This data base has been further reduced by the reclassification of subactivities here at RMC into their "correct" category groups. In these reallocation instances, in which 15 to 20 percent of the subactivities require shifting, the descriptive data in the transferred module have been retained but the attitude questions have been dropped. This was done because the attitude questions were tied to specific subactivities and thus had been asked erroneously. However, despite the problems, re-interviewing, careful editing, and accurate coding will help pro-

Table 2-13

TAXONOMY OF ONE OF THE "COMMON CODE" CATEGORIES

Code 8--Teachers' Aides and Support Personnel
Substitute Teachers
Teachers' Aides
Communicative Skills Teachers
Tutorial Aides
Teacher/Counselor Aides
Library Aides
Mathematics Supervisors
Resource Specialist
Paraprofessionals
SALT Teacher Aides
Instructional Aides
Clerical Assistants
Team Teachers

vide a solid base for analysis.

The open-ended questions within the modules (descriptive data) often contain sparse answers. The quality of these responses is varied; at least part of the decline in quality from earlier open-ended questions may be attributed to both respondent fatigue and a lack of the precise information these questions require.

Question 5 of the director modules shows very little response; however, Question 5 deals with the reasons for change in the original plans of different activities, thus the reason for little response may be the fact that few projects have required much change.

3

ANALYSIS PLAN

INTRODUCTION

This chapter describes the status of the analysis plan for Phase I. The first section covers the overall approach to the analysis; it discusses why we have selected this approach and outlines the schedule of completion of the analysis. The second section discusses the three major categories of variables used in this analysis--independent, dependent, and descriptive. The final section deals with the special output tables that the analysis will address. Each area is responsive to the broad objectives stated in Chapter 1. Appendix A to this report contains examples of the tabulation layouts that are to form the initial steps in the analysis plan.

CONCEPT OF PLAN

A two-step plan for analysis of the data returning from the field has been selected. The first step tries to find the sets of independent variables that appear to explain most of the variance observed in the values of the dependent variables. Consequently, the dependent variables would be dealt with on a more or less aggregated basis while a great variety of independent variables could be studied. Not all of the possible dependent variables would be included.

The results of this analysis would lead to selecting those independent variables which will be used in the second or final set of tabulations. In this set, all of the dependent variables would be considered in an un-aggregated form.

By using this approach, RMC will be able to produce a useful set of tabulations broken down into meaningful categories without having to produce every combination of tables. There is a surfeit of possible independent variables and the logical breakdowns of some of them can not be easily prespecified. Thus, instead of calling for certain tables on a one-time basis, and being limited to those, it is felt that a more responsive set of tables will result from this two-step approach.

TYPES OF VARIABLES CONSIDERED

There are three main types of variables to be examined in this analytical effort. They are the dependent variables (or measures), the descriptive variables, and the independent variables. Briefly, the dependent variables assess the outcome or results of the ESAP activities. These are the prime performance measures. The descriptive variables are used to describe the ESAP program and certain other ancillary aspects such as technical assistance and project management. Finally, the independent variables are those which serve to explain observed differences in the two preceding types of variables. They generally reflect the inputs of a program or serve to describe the environment in which the program is to operate.

With regard to the dependent and independent variables, causality is commonly sought. Thus, if one could attribute certain values of the dependent variables to certain values of independent variables it would be possible to "cause" predictable levels of results or outcome.

This will not be possible in this study in spite of the large number of independent variables that are going to be considered. Due to the complexity of the education process, not to mention the process of integration, there are so many factors that would have to be included that it would be difficult to try to establish cause and effect.

Therefore, we will only try to associate high values of the dependent variables with certain combinations of independent variables. Even though some independent variables will prove to be strongly associated with better performance, for example, causality cannot be presumed.

Finally, there are some variables that will serve a dual role in this analysis. One example is in the "expectations" set of questions. They would serve as dependent variables when related to the respondent's race and position in the school, for example. Their use as independent variables would be to assist in explaining different incidences of perceived change. Thus, those with positive expectations might see more positive change than those of a negative persuasion. In the following discussion, certain variables will appear in two roles.

Dependent Variables

The relevant dependent variables are usually easy to specify because they have been purposefully placed into the questionnaire design. The most obvious and important sets of dependent variables arise from the "change" series of questions. The first set is the measures relative to the incidence of change--positive or negative. The other is the likelihood that an ESAP activity is associated by an individual with the positive or negative change. These are the basic output measures.

Because of the nature of the "change" questions, it is possible to measure the incidence that positive change is observed for several facets of school operations. Academic performance, attendance, and class participation are specifically sought. For the out-of-classroom situations, measures of personal relationships--student-to-student, teacher-to-teacher, or parental involvement--are also sought. Each of these variables will be included in the first set of tabulations.

In some instances, two will be combined to produce a composite measure--attendance is an example.

For each of the above mentions of change, the degree to which an ESAP activity that existed in the school was mentioned in connection with the change will also be treated as a dependent variable. Again, this is a key output or performance measure.

As mentioned earlier, the "expectations" set of questions are also to be used as dependent variables. They can be grouped along a classroom/non-classroom basis

as the "change" questions were grouped for comparison. For the first step of the analytical plan, we need to be able to examine the way in which these questions were answered. Thus, a "positive" person might be found to be one who answered three or more of the expectation questions "very easy." To the extent that these expectations are dependent on the respondent's race, position, or length of time in the school system, these variables must be studied relative to those descriptive properties.

In the area of technical assistance, the results of this effort might be a function of the DHEW region providing the assistance. Thus, a set of dependent variables assessing the effectiveness of technical assistance is needed.

The sets of attitude questions asked in the activity-specific modules form the last major group of dependent variables. In the first step of the analysis plan, they will be treated somewhat superficially. There were five possible answers for each attitude question. These will be aggregated into three categories with any two of them being included in the tabulations. The categories will be positive and negative in nature without regard to the magnitude of the response.

Table 3-1 portrays the important dependent variables or output measures to be examined in the initial phase of the tabulation process.

Descriptive Variables

Descriptive variables fall into two classes. One class includes the descriptors of the program or projects. They serve to show, for example, differences in length of operation or persons employed as a function of independent variables, but there is no causality implied or sought. They tend to change over time or can be changed easily. The second set includes the descriptions of the LEAs, the respondents, and the environment in which the ESAP grant is working. These latter descriptors are more properly treated as independent or relatively immutable variables; they will be discussed more thoroughly in the next section.

The most important set of program descriptors are those which describe the projects and their component activities as implemented in the field. Thus, such

Table 3-1

CANDIDATE DEPENDENT VARIABLES

Type	Breakdown
Changes	Attendance Student-Student (Classroom) Academic Gap Class Participation Teacher-Teacher Student-Student (Non-Classroom) Activities Parents
ESAP Association	Attendance Student-Student (Classroom) Academic Gap Class Participation Teacher-Teacher Student-Student (Non-Classroom) Activities Parents
Expectations	Student-Student (Classroom) Teacher-Student Teaching Teacher-Teacher Student-Student (Non-Classroom)
Technical Assistance	Extremely and Very Effective In: • preparation of grant • swift action • operation Not Effective In: • preparation of grant • swift action • operation

Table 3-1 (continued)

Type	Breakdown
Attitudes (from Modules)	Positive and Negative Feelings Toward: • classroom behavior • classroom performance • community reaction • teacher performance • teacher-student rapport
Project Management	By Race of Respondent • degree to which he seeks help with ESAP problems • result of help

values as length of operation, degree of completion, numbers of activities funded, number and types of persons employed, and the types of materials purchased become of interest.

Different ESAP activities would be expected to use different mixes of personnel and materials. Funding levels might well vary also. To improve and evaluate ESAP, program personnel must know what resources, in what combinations, have been applied to the effort. Thus, the dual role that can be played by this class of variables becomes clear. Program personnel, for example, might wish to know descriptively how many teachers' aides were utilized by LEAs in conducting this activity. Once this is known, those LEAs with a higher ratio of teachers' aides to teachers could be compared with those having a low ratio to examine whether this new independent variable appears to be associated with positive or negative change. Thus, the descriptive variables can always be utilized as independent variables when needed. The length of time an activity has been in operation is another example of just such a dual-purpose variable.

Table 3-2 portrays the descriptive variables that are to be considered in the first analytical phase of this study. They have been chosen to describe the ESAP activities in enough detail to enable early description of the program, as implemented.

Independent Variables

The final set of variables are the independent variables. They include the "immutable" or environmental descriptors such as race and sex of the respondent. Other descriptors, such as the urban/rural nature of the LEA, and percent minority of the LEA, or its size, are the variables that are of specific interest to ESAP program personnel. In general, it is desirous that causality be attributed to this last set of variables as program personnel can select areas having the required set of descriptors that will produce the greatest impact.

The environmental or immutable variables serve to temper the observed results. Thus, equal dollars per student may have different impact due to the urban or rural

Table 3-2

CANDIDATE DESCRIPTIVE VARIABLES

For Each Major Activity Grouping

1. Number of activities funded
2. Number fully implemented
3. Number partially implemented
4. Number not yet begun
5. Average length in operation
6. Average dollars/student (all and minority)
7. Percent of ESAP funds
8. Number of blacks employed full time
9. Number of all others employed full time
10. Number of blacks employed part time
11. Number of all others employed part time
12. Existence of materials purchased
13. Number of students affected
14. Number of schools affected
15. Principal's knowledge of activity
16. Teacher's knowledge of activity
17. Number of subactivities

On an LEA Basis

1. Number of activities
2. Number of subactivities

Project Management

1. Degree of involvement in planning of superintendent
2. Degree of involvement in planning of director
3. Degree of involvement in planning of principal
4. Degree of involvement in planning of respondent
5. Degree of involvement in implementation of respondent
6. Incidence of problems

Technical Assistance

1. Degree to which each activity grouping received technical assistance

Table 3-2 (continued)

Verification

1. Degree to which extant plan is same as approved plan
2. Degree to which director and principal agree
3. Degree to which director and teacher agree
4. Degree to which principal and teacher agree

Respondent Data

1. Age
2. Education level
3. Years of education experience
4. Years in local educational system

nature of an LEA. Blacks and non-Blacks might see the same results in a different light. Thus, these variables must be examined to ascertain which are the most important.

These variables have important policy implications, however, as priorities must be set to assist in the fund allocation decisions. Thus, if it can be shown that small urban LEAs with a high ratio of non-minority students appear to be using the ESAP funds to best advantage, these types of LEAs might well be funded first. Elementary schools might be funded before secondary schools if the analysis would substantiate this.

The so-called impact variables, however, are the ones most under the control of ESAP program personnel. They can vary the amount of money spent in any LEA, the types of allowable activities, and the mix of personnel to materials to be utilized in implementing the activity. Although length of time in operation is not directly under their control, they need to know the results over time to be able to assess quick response activities as opposed to more longer range activities. Finally, the provision or absence of technical assistance may well affect outcome.

Table 3-2 lists the independent variables that will be considered in the initial analysis phase. They are broken down into descriptive and policy types of variables.

Schedule

It is planned that the first set of tabulations will be available in mid-May. In addition to the tabulations, listing of all responses will be produced so the ranges of the certain independent variables can be specified. Following analysis of this first set of tables, specifications for the final set will be prepared. Since the data tape from which the tables are to be prepared will exist in a complete and cleaned version, these latter tables can be produced with a relatively short turn-around--a week after specification being the longest interval.

Table 3-3

CANDIDATE INDEPENDENT VARIABLES

Descriptive

1. Respondent's position
2. Respondent's expectations
3. Respondent's race
4. Race of respondent's superior
5. Respondent's experience
6. LEA urban/rural designator
7. LEA percent minority
8. School percent minority
9. LEA percent students reassigned
10. School percent students reassigned
11. School size
12. School type
13. LEA size
14. DHEW region
15. State
16. Length of Time School has been integrated

Policy

1. Types of activities funded
2. Types of subactivities funded
3. Funding levels ($/student)
4. Percent of all funds in activity that are ESAP
5. Length in operation
6. Existence of activity in school
7. Personnel/material mix
8. Types of personnel employed
9. Provision of technical assistance

PREPARATION OF TABLES ON SPECIFIC AREAS OF INTEREST TO OFFICE OF EDUCATION

The preceding section discussed the three sets of variables that are to be considered in this phase of the analysis plan. In this section the way in which the variables are to be related or associated to meet specific information needs is covered. If each combination of independent and dependent variable were examined, however, the number of tables produced would be far too many. Consequently, a plan to produce a modest number--about 70--has been developed.

Verification and Description

To meet these needs, the descriptive variables will be used. For verification, we plan to use the degree of matching between what the director says and the grant, principal, teacher, and (later) BRAC responses. These variables will be related to LEA size, activity categories, school type, the race of director relative to the percentage minority in the LEA, and the existence of technical assistance.

For the program description section, all of the other descriptive variables such as numbers funded, length of operation, schools affected, etc. will be related to LEA size, activity types, urban/rural designator, type of school, percent minority, and percent reassigned.

Policy

This area will be addressed in two parts. For both, however, the same set of dependent variables will be used. These are the "change" variables shown in Table 3-1. The first set deals with selecting districts or LEAs for funding. Thus, the appropriate independent variables would include the LEA descriptors such as urban, rural, LEA size, percent minority, percent reassigned, and the like.

The second set concerns the activity selection. In this exercise the dependent variables will be related to the types of activities going on in the school, the funding

level of the activity, and the length of operation of the activity. In addition, both classes of tables will be tempered by the race, position, and expectations of the respondent, to properly assess their impact.

Project Management

This area uses both dependent and descriptive variables. The dependent variables are those which have to do with the incidence of difficulty with the operation of ESAP activities and the seeking of assistance to help solve the problem. Also, the results of this assistance are included. On the descriptive side, the persons who were involved in the planning and implementation process will be tallied. The relevant independent variables are the race of the respondent, the race of his superior, and his position.

To some extent the knowledge of ESAP activities has a management impact as well as that of verification. Thus, the same set of variables used there would be associated with the above-mentioned independent variables.

Technical Assistance

The stubs for this set of tables will include the activities that received technical assistance and the results of that assistance. The independent variables would be the DHEW region and LEA size.

Personal Data

Two kinds of tables comprise this section. The first is to relate the respondent's position and experience to his age, race, and sex. The second is to categorize the expectations of the respondents by the same characteristics, including their experience--in both cases, the experience in the LEA as well as in the field of education.

Sample Table Layouts

Appendix A has been appended to this report to show graphically the relationships discussed above. They are laid out in the same order as described above and they

comprise the cross-tabulations that will be produced in the initial analytical run. In addition, there will be several tables produced that will portray the results to certain questions without any cross-tabulation or categorization. These include a list--or taxonomy as it were--of the ESAP subactivities, the number of persons employed in the ESAP projects, aggregate answers to the attitude and expectation questions, and the incidence of change in the selected areas.

4

PHASE II PROGRESS REPORT

As discussed in Chapter 1, Phase II of the ESAP evaluation is an in-depth study of 20 local educational agencies whose projects have been meeting with success and can be described with some reservations as "exemplary" districts. In this chapter we discuss the progress that has been accomplished toward meeting the objectives of Phase II. The topics presented in this chapter include: (1) a brief synopsis of criteria and procedures for selecting the 20 school districts; (2) the guidelines, objectives, and accomplishments of the orientation visits; (3) the approach to the Phase II analysis; (4) the evaluation design; (5) initial field work; and (6) the preparation of survey instruments. The schedule for past and remaining Phase II tasks is summarized in Table 4-1 below.

It should be pointed out that a significant part of the work in Phase II is being conducted under subcontract by Mark Battle Associates of Washington, D. C. MBA is responsible for part of the field work and on-site evaluation effort of Phase II as well as for contributing to the study design, analysis, and documentation.

SAMPLE SELECTION

To assemble the list of local educational agencies for Phase II evaluation, RMC solicited nominations from a variety of agencies who had current knowledge of the events and progress at districts with ESAP projects. Recommendations were obtained from:

(1) HEW Regional Offices in Philadelphia, Atlanta, Dallas, and Chicago,

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Table 4-1

SUMMARY SCHEDULE FOR ESAP PHASE II

February 26	Complete sample selection and set up initial visits to 26 LEAs.
March 8	Begin orientation visits (6 two-man teams).
March 22	Reduce sample to 20 LEAs and develop comprehensive plan for evaluation and data survey instruments.
April 5	Begin site visits for unstructured (non-survey) data.
April 19	Submit survey instruments on OMB approval.
May 3	Begin site visits using survey instruments.
June 11	Begin documentation of 20 case study reports.
July 15	Submit Phase II Draft Report to Office of Education.
August 15	Submit ESAP Draft Report to Office of Education.

(2) University School Desegregation Assistance Centers in twelve Southern States;

(3) Washington Research Project--a non-profit organization doing early ESAP evaluations;

(4) OE Division of Equal Educational Opportunities;

(5) Staff of Senate Select Subcommittee on Equal Educational Opportunity; and

(6) HEW Office of Civil Rights.

The decision was made to select 26 candidate sites initially and visit all of them before making the final selection of 20 LEAs. The following guidelines were established and set forth for selecting ESAP projects for Phase II evaluation:

(1) Select projects that are helping school desegregation in a particularly effective or innovative way.

(2) Project should be of reasonable size in terms of the amount of resources available to the LEA participants. Avoid projects where resources are thinly spread over school district.

(3) Project should be reasonably well along in its schedule prior to our evaluation.

(4) Project should not be already existing program. It is okay if project was in planning stages prior to ESAP funding.

(5) Any reporting by local newspaper highlighting positive aspects of ESAP project would be useful.

(6) Likelihood of LEA cooperation should be good.

(7) Avoid districts that have been extensively reviewed by other outside agencies.

By mid-February a master list with approximately 75 LEA sites was compiled from the responses from all four sources. These were grouped by state and checked with reports and personnel at the Office of Civil Rights for racial balance and compliance to court order and HEW desegregation plans. Districts with questionable records were eliminated.

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An investigation was then conducted of the remaining LEAs, with ESAP grant applications as a reference for project design and funding. The sample was reduced to 26 LEAs, balanced according to size and variety of projects. Table 4-2 presents several of their relevant characteristics.

The sample was finally reduced to the desired number of 20 upon completion of the orientation visits. Cuts were made on the basis of the subjective opinions of each field team, considering a variety of factors which included size of the ESAP grant, variety of projects, and geographic location.

ORIENTATION VISITS

For two weeks in March, six field teams visited 24 LEAs as listed in Table 4-3. For different reasons, trips could not be arranged to two LEAs--Prince Georges County, Maryland, and Montgomery County, Alabama--and these were dropped from our sample.

Seven primary goals and objectives were defined for the orientation visits. These goals are listed below along with some of the guidelines to the field teams:

(1) To establish rapport and a climate of acceptance and cooperation for the in-depth evaluation:

- Compliment the superintendent and others at the orientation meeting on the fact that the program of the District, under ESAP, has been identified as exemplary.
- Establish that the purpose of the evaluation is to find out what it is that is being done that makes it effective, for use by other districts. A second purpose is to elicit what more needs doing that might be considered for future funding. A third purpose is to use the visitation staff expertise to help improve the program if desired. A fourth purpose is to provide as much data as can be gathered to assist Congress to make future funding decisions. The purpose is not to be critical.

Table 4-3

PHASE II: SCHEDULE FOR ORIENTATION VISITS

Team A	Phase II
Dorchester, Maryland	March 8
Greenville, South Carolina	March 9-11
Sumter, South Carolina	March 12-15
West Palm Beach, Florida	March 16-17
Polk County, Florida	March 18-19
Team B	
Tuscaloosa, Alabama	March 9-10
Macon County, Alabama	March 11
Auburn City, Alabama	March 12
Team C	
Dumas, Arkansas	March 8-9
Indianola, Mississippi	March 10
Williamson, Tennessee	March 11-12
Kankakee, Illinois	March 15-16
Team D	
Durham, North Carolina	March 9-10
Pittsylvania, Virginia	March 11-12
Lexington, North Carolina	March 15
Salisbury, North Carolina	March 16
Charlotte, North Carolina	March 17-19
Team E	
Escambia County, Florida	March 8-9
St. Landry, Louisiana	March 10-11
La Fourche, Louisiana	March 12
Harrisburg, Pennsylvania	March 16-17
Team F	
San Antonio, Texas	March 8-9
Abilene, Texas	March 10-11
Hampton City, Virginia	March 17-18

(2) To secure accurate, up-to-date information describing the programs financed with ESAP funds. To identify differences between the program as operative and the proposal submitted for funding. To identify the rationale for the differences:

- where appropriate, visit the program in action and talk to selected participants to determine if their understanding of the program coincides or differs with the program description; and
- compare the program description with the proposal submitted for funding and elicit and record the rationale for the major differences.

(3) To identify knowledgeable persons within the school system, community, universities, etc., whose opinions might contribute to a sound evaluation:

- Have the superintendent and his associates nominate such people. Secure position titles, addresses, and telephone numbers. Secure the assistance of the superintendent in arranging interviews and a schedule, if appropriate.

(4) To elicit inputs from the superintendent and other persons at the orientation visit, as to what they would consider to be adequate techniques for evaluating their program under ESAP:

- Get them to describe the positives and negatives of what they think is happening.
- Ask them if they have supporting data and information already on hand, and secure it. If not on hand, discuss ways of obtaining it.

(5) To insure that the total of people to be contacted during the evaluation is representative of the minority and majority population:

- This probably cannot be a strict percentage of the proportion of minority to majority. A reasonable judgment will have to be the criterion.

(6) To secure a reasonably comprehensive knowledge of what kinds of information already exist in the school and agency records that might be helpful in the evaluative process:

- examine available central office records on students, teachers, attendance, drop-outs, etc.; and
- record current and past prevalence of racial conflict, racial cooperation and participation in school and community events.

(7) Begin to develop a custom-design for the evaluative process of the District's Program:

- begin to work out a synthesis of RMC's initial design, and all of the above inputs to determine what is reasonable and possible to measure; and to the extent possible--how to measure them.

For the most part the objectives and goals of the orientation visits were accomplished. Site reports were prepared and a summary chart describing each ESAP project activity was assembled to aid development of a comprehensive evaluation plan. The results of this work are described in the following sections.

APPROACH TO PHASE II

The Phase II evaluation of ESAP funded projects at 20 local educational agencies has been separated into two parts:

(1) individual case studies; and

(2) comparative analysis of ESAP activities.

The first research effort will be conducted by six case-study teams--each responsible for three or four LEAs. Each team will be responsible for the field work and data collection activities according to the guidelines set forth in this evaluation plan. The teams will prepare case-study reports in a volume or series of reports separate from the other analysis and independent of the Phase I report.

The other parts of Phase II evaluation will be completed by a smaller group of analysts using data collected by the case study teams and their reported findings and conclusions. This work will be conducted simultaneously with much of the Phase I analysis and will be integrated as much as possible with that effort.

The two parts of Phase II evaluation are specifically designed to address different aspects of the ESAP evaluation and will answer separate questions. The LEA case study reports will focus on these questions:

(1) What are the special problems of each LEA?

(2) What are the ESAP project objectives? Are they clearly stated?

(3) Do objectives relate to needs of target population?

(4) How do goals relate to LEA desegregation? Education?

(5) What were features of project plan?

(6) Did LEA plan relate to objectives?

(7) Is project making progress toward goals?

(8) What is link between plan and actual LEA activities?

(9) Is project staff good? Trained?

(10) What are results?

(11) Is project efficient in terms of output achieved for given inputs?

(12) Are results meeting objectives?

(13) How do results relate to desegregation? Educational quality?

The second part of the Phase II evaluation will be an analysis of similar ESAP activities (e.g., community programs, pupil personnel services, teacher preparation, etc.) at the 20 LEAs. By examining the variety of activities at a number of LEAs, common trends and relationships will be sought. These questions will be addressed:

(1) Does each ESAP activity address a common problem or set of problems at the LEAs?

(2) Is there a common objective?

(3) How do local needs and objectives affect activity designs?

(4) What factors influence actual progress and procedures?

(5) What influences the efficiency of an LEA activity?

(6) What activity results can be expected?

(7) Can factors influencing success or failure be isolated?

(8) Are program results related to desegregation?

(9) What are educational benefits?

In addition to separate activity analyses, a number of policy questions will be raised and examinations made to compare the relative impacts of different ESAP activities. These issues will be evaluated:

(1) Which ESAP activities have objectives strongly related to desegregation?

(2) Which activities focus on educational objectives?

(3) What is relative ranking of activities with respect to role in desegregation? Education?

(4) Are certain activities difficult to implement?

(5) Which ESAP activities offer best results in short run? In long run?

(6) Which activities are most efficient in terms of actual results achieved for inputs used?

EVALUATION DESIGN

To accomplish the objectives set forth in the Phase II evaluation and answer the long list of questions and policy issues, a comprehensive plan for the overall evaluation design has been prepared. The plan establishes the framework for both Phase II tasks: the individual case study evaluations and the comparative evaluation of ESAP activities. In addition, it gives structure to the identification of data needs and the preparation of survey instruments and data collection forms.

General Structure

The overall evaluation design for Phase II is summarized in Table 4-4. It is structured in four parts relating to the chronology of events surrounding a project's inception, design, implementation, and impact. The four categories are defined as follows:

Context: Description of existing local conditions and environment that stimulated project design. Includes identification of special needs and problems as well as target population. Most important, context defines specific objectives, goals and expectations of the ESAP project.

Planned Design: Describes the original project plan designed by LEA to achieve the ESAP goals. Includes statement of procedures, schedules, budget, staffing, facilities and role of participants. Plans can be modified to meet revised objectives or planned variations for specific schools or participants.

Actual Process: A complete reporting of ESAP activities as they actually occurred with a full reporting of all events and circumstances that affected the process. Includes when and where activities were conducted, who participated, how long it lasted, and other relevant facts.

Output: This category defines the ESAP project results in terms of specific effects or impacts. This could include changes to: existing organizations or structures, attitudes and behavior, and academic performance. Unintentional or unexpected effects should also be noted.

As suggested in Table 4-4, information and content identified in the four parts of a project will be secured in three ways:

Claims refer to reports by individuals about events in which they were directly involved. Their involvement can be as project designer, administrator, participant, or anyone who has a special interest in the project's effect. These data can be obtained by personal interviews, written questionnaires, or mailed questionnaires. In all cases, however, the responses are individual opinions. We must realize that even though these reports may in some cases be unreliable and misleading, they constitute the primary source of data for the ESAP evaluation.

Verification is the attempt to obtain outside reports and direct evidence to substantiate the claimed reports. This applies to claims about project context, design, process, and outputs. In some cases opinions of persons outside the project are sufficient evidence for verification. In other cases written reports, memos, observations, and other "hard" data should be secured. The most difficult of all tasks in the Phase II evaluation plan will be the verification of project outputs. This can be traced to a

number of reasons. For one, the lack of pre-test/post-test data; for another, the limited time period which most ESAP projects have been operating. Many projects--particularly curriculum revision activities--are still being developed and will not be completed until next year.

Evaluation, as identified in Table 4-4, requires a value judgment to be made about the worth of the reported (and verified) context, design, process, and output of an ESAP project. Specific evaluation topics are listed in Table 4-4 for each of these areas. Judgments can be secured from ESAP staff as a self-evaluation. However, the primary responsibility will fall on RMC and MBA evaluators.

Guide to Data Collection

The evaluation design for Phase II provides a convenient guide and check list for defining data collection needs. Detailed lists will be prepared for each ESAP activity group identifying what information is needed for each cell in the evaluation matrix. The need for data beyond just self reports is clearly evident and will have to be secured from a variety of sources. The need for proxy measures to test and verify project effects is essential to complete this cell for many projects. A more detailed discussion of data collection needs is given later.

Framework for Case Study Evaluation

The basic structure presented by the matrix in Table 4-4 gives a complete framework for conducting the individual case study evaluations of ESAP projects. As noted in Table 4-4, evaluations can be made about project context, design, process, and outputs. The main analysis should center on how outputs relate to context and how actual process related to design.

Written documentation about the contents of each cell in the matrix and a discussion of the relationships between cells for each ESAP project will constitute a complete and thorough case study report for each LEA.

Comparative Analysis of ESAP Activities

Again, the same matrix structure used to guide the data collection and individual case studies will be the key to our analysis of the major ESAP project activities. Analyses will be designed to compare the contents of identical cells among districts with similar projects. Causes for differences (or similarities) will be examined for project context, design, process, and output. Techniques such as factor analysis, correlation and covariance analysis, and multiple regression techniques are possible tools for investigating and performing the program analysis.

Having completed the analysis of individual ESAP activities for the 20 LEAs, it is possible to attempt a comparative evaluation of their relative merits. The success of this endeavor will depend in part on the outcome of the previous analysis, i.e., the ability to measure and detect differences in project context, design, process, and output. A weighting scheme will have to be devised if a simple ranking of ESAP activities is to be accomplished. More likely, however, this evaluation will lead to activity comparisons against multiple criteria and no single index or measure will be derived.

DATA COLLECTION NEEDS

As pointed out previously, the evaluation matrix design will be the basis for collecting data for the individual case study evaluations and the subsequent cross-district analysis of ESAP activities. The data needs conforming to ESAP project evaluation are discussed in the next section, followed by a list of general LEA data that will be collected and a brief description of the data collection guides and survey instruments that will be used.

ESAP Project Data

Data will be collected for each ESAP project activity at the 20 LEAs in the Phase II sample and will follow the format presented in Table 4-4. A general data guide will be prepared for this purpose for each project type and for each LEA. Certain select districts with especially large or different ESAP projects

will be examined in more depth than others. This means that more persons will be contacted and more time spent collecting direct evidence.

Projects that are very small will receive proportionately less field time for data collection than larger projects--especially if they co-exist with larger ESAP projects. For some of these it is possible that only "claims and self report" data will be collected and no verification or self-evaluation effort made. And for especially small projects, we may disregard them completely in the LEA case study. These decisions will be made as the field work is implemented.

General LEA Data

There are a number of data categories, if examined, that are indicators of trends in school districts. For example, if the average pupil daily attendance in a school district is 89 percent for the school year 1969-70, and is 94 percent for the school year 1970-71, this is a healthy trend. Something must have happened, or is happening, that brought about this improvement. Chances are, there are a number of things happening. Chances are equally good that no one "happening" can be identified, with certainty, as being the cause. However, if nothing has been changed in the school district except that one "happening," one might infer, again with qualifications, that there is a relationship between the "happening" and the improved attendance.

It is for the purpose of identifying significant trends, or the absence thereof, that general data should be secured from all of the districts included in Phase II of the ESAP evaluation. Using the attendance example again, if 18 of 20 districts show marked improvement in attendance following the establishment of ESAP funded projects, the statement can be made that it appears districts with ESAP projects are improving their attendance averages, even though one cannot ascribe the improvement positively to ESAP projects.

There are also incidental factors that sometimes can be found in some of the data. For example, an examination of school budgets and staff deployment data will reveal quickly whether or not a counselor being funded by ESAP is in addition to or a replacement of someone included elsewhere in the budget at some time.

To accomplish evaluation of a program for which hard data are not readily available, it is sometimes useful to identify trends. Another example, if 18 of 20 school districts show significant decreases in incidence of vandalism following the establishment of a program or programs not necessarily directed toward decreasing vandalism, this trend can be identified and pointed out. If something of this kind can be shown to be happening after ESAP, even though it cannot be concluded that ESAP is doing it, the coincidence of timing can be suggested. This is of importance in educational evaluations because educational results are so often the product of a number of contributing factors, the contribution to the result by a single factor being difficult, if not impossible, to identify.

DATA COLLECTION GUIDES

Data collection guides will be prepared for securing both specific project data and the general LEA data. The data collection guide for project information will follow the general Phase II evaluation matrix structure. Separate guides will be used for context, design, process, and output information for each ESAP project activity (i.e., community information, special pupil personnel services, etc.). The guide will identify what data are to be collected and the recommended sources and persons to be contacted in order of importance. The guide for context, design, and process data will be identical for all ESAP activities. The data guide for project output information will vary by type activity. The list of persons to be contacted for all ESAP project data collection guides will be designed specifically for each project.

SURVEY INSTRUMENTS

Three structured survey instruments will be needed to secure common measures of ESAP activity context, design, process, and output across all districts with similar activities. The instruments are designed primarily to secure uniform information and responses in a consistent manner from all LEAs in the Phase II sample and will be used in both the case study evaluations and the cross district analysis. A separate instrument is being used for:

- parents,
- counselors, and
- teachers.

Table 4-5 summarizes the areas of inquiry covered with each instrument and the technique to be used. The areas of inquiry are keyed to the evaluation matrix design presented earlier.

Table 4-5

ESAP PHASE II SURVEY INSTRUMENTS

Target Group	ESAP Program	Area of Inquiry	Technique
Parents	Community Information and Community Understanding	Claims: process, output Verification: context	Mailed
Counselors	Pupil Personnel Service and General ESAP	Claims: design, process output Verification: context, design, process Evaluation: context, plan process, output	Interview
Teachers	Attitude Training	Claims: process, output Verification: context, process Evaluation: context, process, output	Mail back Module 1
	Basic Skills	Claims: process, output Verification: context, process Evaluation: context, process	Module 2
	Teacher Aides	Claims: process, output Verification: context, process Evaluation: context, process	Module 3
	Curriculum Revision	Claims: process, output. Verification: context, process Evaluation: context, process	Module 4

APPENDIX A

TABLE DESCRIPTIONS

This section briefly describes nine tables chosen from a set of about seventy designed to be used in the first phase of the analysis. These nine were chosen only as representative samples. The set of tables are divided into eight areas of interest; only one or two from each area are described in this section. The eight areas are listed below.

VERIFICATION (Table 64)

Table 64 presents the incidence that LEA personnel are knowledgeable of the ESAP subactivities in an LEA or school as a function of the percent minority and number of students in the LEA. Matches are recorded when a director's response matches that on the grant application, when a principal's response matches the director's response, and when the teacher's response matches the director's response. This table will give us an indication of how many of the respondents were aware of the ESAP activities and also give us some insight into how accurate responses were. These results can then be compared to program effectiveness. Other tables in this section will compare matches of the respondents on kinds of programs implemented.

DESCRIPTIVE (Table 56)

This table will show ESAP activities and program categories as a function of LEA descriptors such as urban/rural designation, size, percent minority, etc. This table may show relationships between program types and LEA demographic

Table 64

INCIDENCE OF MATCH ACCORDING TO NUMBER OF ACTIVITIES IN LEA OR SCHOOL AS A FUNCTION OF LEA % MINORITY AND SIZE (STUDENTS)

LEA % MINORITY	<40			40-60			>60		
LEA SIZE	S	M	L	S	M	L	S	M	L
NUMBER OF SUBACTIVITIES									
(1-2)									
D MATCHES GRANT									
P MATCHES D									
T MATCHES D									
(3-5)									
D MATCHES GRANT									
P MATCHES D									
T MATCHES D									
(6 AND ABOVE)									
D MATCHES GRANT									
P MATCHES D									
T MATCHES D									

Table 56

ACTIVITIES AND ACTIVITY CATEGORIES RELATED TO LEA DESCRIPTORS

DESCRIPTOR	Urban Rural		Type		Percent Minority			Percent Reassigned			Size		
CATEGORY	U	R	E	S	L	M	H	L	M	H	S	M	L
I - SPECIAL COMMUNITY PROGRAMS													
PERSON-TO-PERSON													
MEDIA/NON-PERSONAL													
II - SPECIAL PUPIL-PERSONNEL SERVICES													
COUNSELING													
COUNSELING SUPPORT													
III - SPECIAL CURRICULUM REVISION PROGRAMS													
ETHNIC CLASSES AND MATERIALS													
NON-ETHNIC CLASSES AND MATERIALS													
IV - TEACHER PREPARATION PROGRAMS													
TRAINING													
TEACHER AIDES													
V - SPECIAL STUDENT-STUDENT PROGRAMS													
VI - BUSING													
VII - COMPENSATORY OR REMEDIAL EDUCATION CLASSES													
PERSONNEL													
PROGRAMS AND MATERIALS													
VIII - OTHERS													
SPECIAL COMPREHENSIVE PLANNING													
ADMINISTRATIVE PERSONNEL													
REMODELING AND EQUIPMENT													
PORTABLE CLASSROOMS													
OTHERS													

characteristics. Other tables in this section will show the number of subactivities funded, in planning, and implemented. These will be cross-classified by the LEA descriptors mentioned above.

POLICY (Tables 1 and 21)

Table 1 is an attempt to show if a person's expectations at the beginning of the year are related to his interpretation of the changes that actually took place. The positive and negative expectations arise from the responses to the problem-solving questions. These interpreted changes are presented as a function of expectations by several sets of personnel descriptors, by LEA descriptors and by intensity of activities as in Table 21. This section is by far the largest and contains approximately 50 tables.

PROJECT MANAGEMENT (Table 52)

Table 52 shows program involvement and problem solving as a function of position, LEA percent minority, race of supervisor and race of respondent. From this table we will be able to tell who plays the largest part in the projects, the extent to which these personnel are of different races and if problem solving varied with race or position. Other tables in this section will show us who was involved in planning as a function of program intensity.

TECHNICAL ASSISTANCE (Table 63)

This table shows technical assistance effectiveness as a function of DHEW region and type of assistance. From this we will be able to see what kinds of assistance are lacking and what regions are providing acceptable assistance. Other tables in this section will determine if the assistance received was provided directly with the ESAP program in mind.

Table 1

INCIDENCE OF PERCEIVED CHANGE AS A FUNCTION OF RESPONDENT'S POSITION, RACE AND CLASSROOM EXPECTATIONS

POSITION	D				P				T				S			
RACE	B		NB		B		NB		B		NB		B		NB	
EXPECTATIONS	+	-	+	-	+	-	+	-	+	-	+	-	+	-	+	-
CHANGE IN CLASSROOM																
POSITIVE																
Attendance - Black																
Attendance - White																
Student - Student																
Academic Gap																
Participation (BS-WT)																
Participation (WS-BT)																
Total																
NO CHANGE																
Attendance - Black																
Attendance - White																
Student - Student																
Academic Gap																
Participation (BS-WT)																
Participation (WS-BT)																
Total																
NEGATIVE																
Attendance - Black																
Attendance - White																
Student - Student																
Academic Gap																
Participation (BS-WT)																
Participation (WS-BT)																
Total																

Table 21

INCIDENCE OF PERCEIVED CLASSROOM CHANGE AS A FUNCTION OF THE INTENSITY ($/STUDENT) OF THE 9 MOST COMMON ACTIVITIES

9 MOST COMMON ACTIVITIES	1		2		4		6		7		8		9		12		15	
INTENSITY	L	H	L	H	L	H	L	H	L	H	L	H	L	H	L	H	L	H
CHANGE IN CLASSROOM																		
POSITIVE																		
Attendance - Black																		
Attendance - White																		
Student - Student																		
Academic Gap																		
Participation (BS-WT)																		
Participation (WS-BT)																		
Total																		
NO CHANGE																		
Attendance - Black																		
Attendance - White																		
Student - Student																		
Academic Gap																		
Participation (BS-WT)																		
Participation (WS-BT)																		
Total																		
NEGATIVE																		
Attendance - Black																		
Attendance - White																		
Student - Student																		
Academic Gap																		
Participation (BS-WT)																		
Participation (WS-BT)																		
Total																		

Table 52

INVOLVEMENT AND PROBLEM SOLVING AS A FUNCTION OF POSITION, LEA % MINORITY, RACE OF RESPONDENT'S SUPERVISOR AND RESPONDENT'S RACE

POSITION	D												P												T											
LEA % MINORITY	<40				40 - 60				>60				<40				47 - 60				>60				<40				40 - 60				>60			
SUPERVISOR'S RACE	B		NB		B		NB		B		NB		B		NB		B		NB		B		NB		B		NB		B		NB		B		NB	
RESPONDENT'S RACE	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB
PERSONAL INVOLVEMENT IN																																				
Planning																																				
Implementation																																				
Both																																				
OPERATIONAL PROBLEMS?																																				
Yes																																				
No																																				
IF YES, GO TO SUPERVISOR?																																				
Yes																																				
No																																				
IF YES, RESULTS																																				
Very Helpful																																				
Fair																																				
Not Helpful																																				

Table 63

RESULTS OF TECHNICAL ASSISTANCE AS A FUNCTION OF DHEW REGION AND TYPE OF ASSISTANCE

DHEW REGION	III			IV			VI		
TECH. ASSISTANCE TYPE	P*	A*	O*	P	A	O	P	A	O
EXTREMELY EFFECTIVE									
VERY EFFECTIVE									
SOMEWHAT EFFECTIVE									
A LITTLE EFFECTIVE									
NOT AT ALL EFFECTIVE									
DON'T KNOW									

*P = Planning
*A = Swift Action
*O = Operations

PERSONNEL (Table 66)

Table 66 shows a respondent's degree and experience as a function of position, age, sex and race. This table shows differences due to sex or race and age. Other tables will show the incidence or classroom and non-classroom problems as a function of the above descriptors.

ATTITUDES (Table 57)

This table will show attitudes of black and white respondents toward ESAP programs as a function of program type, whether the respondent's district was newly integrated or not, and the duration of the ESAP activity. This table should identify racially related attitudes.

EXPECTATIONS (Table 58)

This table will show us what was expected prior to desegregation in and out of the classroom as a function of position, experience and race. This should show us what problems were anticipated and we can then compare this with the kinds of programs implemented. We can also compare these results with changes that have taken place throughout the year.

Table 66

RESPONDENT DESCRIPTIONS RELATED TO RESPONDENT'S POSITION, AGE, SEX AND RACE

POSITION	D												P										T											
AGE	25				26 - 50				50				25				26 - 50				50		25				26 - 50				50			
SEX	M		F		M		F		M		F		M		F		M		F		M		F		M		F		M		F		M		F	
RACE	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB
HIGHEST DEGREE																																		
Less Than BA/BS																																		
BA/BS																																		
MA/MS/MAT/MEd																																		
PhD																																		
EXPERIENCE IN LEA																																		
0 - 3 Years																																		
4 - 10 Years																																		
Over 10 Years																																		
EXPERIENCE IN EDUCATION																																		
0 - 3 Years																																		
4 - 10 Years																																		
Over 10 Years																																		

Table 57

RACE AND DEGREE OF AGREEMENT OF RESPONDENT RELATED TO SPECIFIC ATTITUDE, TIME SCHOOL HAS BEEN INTEGRATED AND DURATION OF ESAP ACTIVITY

ATTITUDE	1				2				3				4				5			n-2		n-1				n			
NEWLY INTEGRATED	Y		N		Y		N		Y		N		Y		N		Y			N		Y		N		Y		N	
DURATION	S	L	S	L	S	L	S	L	S	L	S	L	S	L	S	L	S	L	S	S	L	S	L	S	L	S	L	S	L
BLACK																													
Extremely True																													
Very True																													
Somewhat True																													
Not At All True																													
Don't Know																													
Not Applicable																													
OTHERS																													
Extremely True																													
Very True																													
Somewhat True																													
Not At All True																													
Don't Know																													
Not Applicable																													

Table 58

EXPECTATIONS AS A FUNCTION OF POSITION, LEA EXPERIENCE AND RACE

	POSITION	D						P						T						S	
	LEA EXPERIENCE	1-3		4-10		>10		1-3		4-10		>10		1-3		4-10		>10		ALL	
	RACE	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB	B	NB
CLASSROOM																					
Student Participation	- Easy																				
	- Difficult																				
Teacher-Student	- Easy																				
	- Difficult																				
Academic Gap	- Easy																				
	- Difficult																				
NON-CLASSROOM																					
Teacher-Supervisor	- Easy																				
	- Difficult																				
Student Activities	- Easy																				
	- Difficult																				
Community Relations	- Easy																				
	- Difficult																				
Student Groupings	- Easy																				
	- Difficult																				
Teacher-Teacher	- Easy																				
	- Difficult																				
Multi-Cultural Environment	- Easy																				
	- Difficult																				

APPENDIX B

DRAFT OF QUESTIONNAIRE TO BI-RACIAL ADVISORY COMMITTEE MEMBERS NOW BEING PRETESTED

RMC INCORPORATED

Dear ESAP Advisory Committee Member:

Resource Management Corporation is a private research firm under contract with the U.S. Office of Education to carry out the outside, independent evaluation of the Emergency School Assistance Program (ESAP) required by its authorizing regulations (Part 181.9, Title 45, Code of Federal Regulations). ESAP provided federal funds this school year to assist eligible local school districts in meeting special needs arising from the elimination of racial segregation and discrimination in their public schools. The purpose of our evaluation is to determine which type projects and activities are most useful to local districts.

Your name was given by your school district as being a member of the Bi-racial Advisory Committee for its Emergency School Assistance Program. Therefore, it is requested that you complete the brief questions that follow and return them directly to RMC in the enclosed envelope. We feel it is important to consider the activities and opinions of community members such as yourself in our evaluation but need your cooperation to provide that information.

Your responses will be anonymous and your name will never be associated with any of your answers. We ask for your name and address only so we will be able to check on unreturned questionnaires. It is also important that you give your personal opinions, not as you feel someone else would answer. We urge you to complete the questionnaire yourself as best you can rather than seek assistance from other people in the school or community.

Thank you very much for your help. Please take the necessary few minutes to complete and return this form as soon as possible.

Name _____

School District Name _____

Your mailing address _____

100

A Division of Resource Management Corporation

315 Wisconsin Avenue, Bethesda, Maryland 20014 Phone (301) 657-1610

1. When did you become a member of the Biracial Advisory Committee?

Month _____
Year _____

1a. How did you become a member of the Biracial Advisory Committee? (CHECK ONE)

- My name selected by an organization to which I belong ☐
- My name selected by School Board or other school officials ☐
- My name selected by court officials ☐
- Other ☐
- Don't know ☐

1b. (QUESTION FOR COURT-APPOINTED COMMITTEES ONLY) Did your committee review and comment on the ESAP application before it was submitted for funding?

- Yes ☐
- No ☐
- Don't know ☐

2. How many times has the committee met this school year? (CHECK ONE)

- None ☐
- One to three ☐
- Four to seven ☐
- Seven times or more ☐
- Don't know ☐

3. The Emergency School Assistance Program Advisory Committees have assisted school officials in various ways, some of which are in addition to their usual duties. Please answer the following items as they apply to the activities of your Committee.

a. Since funding was received, has the Committee helped work out the plans to actually start the activities? (CHECK ONE)
- Yes ☐
- No ☐
- Don't know ☐
- Not started yet ☐

b. Since activities have started, has the Committee helped to solve operational problems that have come up? (CHECK ONE)
- Yes ☐
- No ☐
- Don't know ☐
- Not started yet ☐

c. Has the Committee been asked to advise school officials on ESAP policy matters? (CHECK ONE)
- Yes ☐
- No ☐
- Don't know ☐
- Not started yet ☐

4. Overall, do you feel that the educational authorities in your district are responsive to the committee's work? (CHECK ONE)
- Yes ☐
- No ☐
- Don't know ☐

5. To what extent do you feel involved in the Emergency School Assistance Program in your district? (CHECK ONE)
- Very involved ☐
- Somewhat involved ☐
- A little involved ☐
- Not at all involved ☐

5a. Has the extent to which you have been involved in the Emergency School Assistance Program in your district turned out to be just as you expected, less than you expected, or more than you expected? (CHECK ONE)
- Just as expected ☐
- Less than expected ☐
- More than expected ☐

6. To your knowledge, did the school district make public the names of advisory committee members?

- Yes ☐
- No ☐
- Don't know ☐

7. Have you observed or participated in ESAP project activities in your school district?

- Yes ☐
- No ☐
- Don't know ☐

8. How true is each of the following statements for the Emergency School Assistance Program in your school district?

	Very True	Somewhat True	A Little True	Not at all True	Don't Know
a. It is a program of specific activities designed to help minority students.	☐	☐	☐	☐	☐
b. It is a program to make desegregation easier in the schools.	☐	☐	☐	☐	☐
c. It is a program to give general aid to help pay for all school costs.	☐	☐	☐	☐	☐

9. What is the size of the Emergency School Assistance Program grant in your school district? (CHECK ONE).

- $1,000,000 or more ☐
- $500,000 - $999,999 ☐
- $200,000 - $499,999 ☐
- $100,000 - $199,999 ☐
- $50,000 - $99,999 ☐
- $25,000 - $49,999 ☐
- $0 - $24,999 ☐
- No grant ☐
- Don't know ☐

10. As far as you know, which of the following list of Emergency School Assistance Program activities are taking place in your school district? (CHECK ALL THAT APPLY)

Special Community Programs	☐	Compensatory or Remedial Education Classes	☐
Counseling	☐	Comprehensive Planning	☐
Special Curriculum Revision	☐	Remodeling or Renovation	☐
Teacher Training	☐	Portable Classrooms	☐
Teacher Aides	☐	Other Personnel	☐
Student-to-Student Programs	☐	Other Materials	☐
Bussing	☐	None	☐

11. Do you feel that there has been a change for the better or worse or no change at all in your school district this school year in the following areas?

	Better	Worse	No Change	Don't Know
a. Relations between students of different races	☐	☐	☐	☐
b. School-community relations	☐	☐	☐	☐
c. Relations between faculty and students of different races	☐	☐	☐	☐
d. Classroom performance of black students	☐	☐	☐	☐
e. Classroom performance of white students	☐	☐	☐	☐

PLEASE PRINT OR TYPE YOUR RESPONSES TO THE NEXT THREE QUESTIONS.

12. For the areas in which a change for the better was noted above, describe what you feel caused the change. (EXPLAIN)

13. For the areas in which a change for the worse was noted, describe what you feel caused the change. (EXPLAIN)

14. All in all, do you think your school district did a good job in planning its ESAP application? (CHECK ONE)

- Yes ☐
- No ☐
- Don't know ☐

14a. Do you think your school district did a good job in planning for carrying out an ESAP program? (CHECK ONE)

- Yes ☐
- No ☐
- Don't know ☐
- No started yet ☐

14b. Do you think your school district did a good job in actually carrying out its ESAP program? (CHECK ONE)

- Yes ☐
- No ☐
- Don't know ☐
- Not started yet ☐

PLEASE FILL IN THE FOLLOWING INFORMATION ABOUT YOURSELF

15. AGE:

Under 21 ☐	21 - 25 ☐	26 - 30 ☐	31 - 35 ☐
36 - 40 ☐	41 - 45 ☐	46 - 50 ☐	51 or older ☐

16. ETHNIC GROUP: Black ☐ White ☐ Spanish Speaking ☐

17. Do you have any children currently attending a public school in your district?

- Yes ☐
- No ☐

THANK YOU VERY MUCH