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ABSTRACT

This publication discusses the need for feasible alternative methods of reaching consensus about major educational issues and identifies several methods that reflect the pluralistic nature of education and yet can produce unified policy directions for education at the national, state, and local levels. Section 1 focuses on the need for and nature of unified policy-setting models. Section 2 examines unified policy-setting models as sets of components with alternative elements. Section 3 discusses the use of unified policy-setting models. Section 4, which comprises most of the publication, presents three general models for educational policy-setting--the public consensus model, the professional consensus model, and the public/professional consensus model. Each model is accompanied by an actual case illustration demonstrating how it has been applied. (JG)

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MODELS FOR POLICY DESIGN

PUBLIC CONSENSUS MODEL

PROFESSIONAL CONSENSUS MODEL

PUBLIC/PROFESSIONAL CONSENSUS

Developed by a three-state consortium of state education departments
Administering State: Ohio
Participating States: Georgia and Iowa

Prepared for the consortium by
Policy Studies in Education
New York, New York

1976

MODELS FOR POLICY DESIGN
Public Consensus Model
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This project was conducted with funds made available by the U.S. Office of Education under a Multi-State Grant authorized under Section 505, Title V-A, Elementary and Secondary Education Act. The grant proposal was entitled Identifying Unified Policy Setting Models.

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PREFACE

The work described here was conducted to identify feasible alternative methods for reaching consensus about major educational issues--methods reflecting the pluralistic nature of education and the professional and public parties with a stake in it--yet simultaneously producing unified policy directions for education at national, state, and local levels.

The result is a set of "components" and "elements" needed to construct models of methods for reaching consensus. Moreover, three such general models are presented, each one accompanied by an actual case illustration demonstrating how it has been applied.

The work was performed during the 1975-76 academic year and was reported in the fall of 1976.

The project under which the work was conducted was supported by the U.S. Office of Education under a Multi-State Grant from Section 505, Title V-A, Elementary and Secondary Education Act. The project was administered by the State of Ohio under the direction of Dr. Martin W. Essex, Superintendent of Public Instruction. Georgia was a participating state under the direction of Dr. Jack P. Nix, State Superintendent of Schools. Iowa was a participating state under the direction of Dr. Robert B. Benton, Superintendent of Public Instruction.

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This final report was prepared by the staff of Policy Studies in Education, New York, New York, a department of the Educational Research Council of America, a not-for-profit educational research and development organization.

Reactions to draft versions of the three policy setting models presented in this report were solicited from a large number of local, state, and federal officials concerned with education. Those reactions were valuable to the project staff in completing this final report.

The three sponsoring states hereby acknowledge their appreciation to all those who participated in the project as members of the staff, consultants, outside organizations, or reactors to the draft models. The work could not have been successfully completed without their generous cooperation.

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NEED FOR AND NATURE OF
UNIFIED POLICY SETTING MODELS

Lack of confidence and credibility characterize the public view of government at the federal, state and local level today. American education is, of course, no exception and the absence of these fundamental qualities--credibility and public confidence--has severely hampered efforts to redesign and reform elementary and secondary education so that it may more adequately respond to the demands and needs of the last quarter of this century.

A History of Unified Educational Policy

In less complex periods, when social and cultural pluralism was less prevalent, American education constructively anticipated and responded to the crises and concerns of society. Reform and improvements have characterized elementary and secondary education during those periods when unified public support was available. Horace Mann's 19th century concept of a grammar school education for all youngsters was a revolutionary and monumental step forward in moving our nation toward literacy. It was an effort which was essential if the myriad of persons from different cultures which found their way to the United States' shores were to become Americanized and it was widely supported. The opening of the high school to the masses which resulted from the Kalamazoo decision was another giant step forward in undergirding this nation's economic and political independence. Public support to implement that decision was, of course, essential. The G.I. Bill, which opened higher education to large numbers of people, represents another major and unique accomplishment in American education. It became a reality, due in large part to a national concern and a unified policy position. The enactments of the National Defense Education Act, the Elementary and Secondary Education Act, and the Vocational Amendments of 1968 are additional examples of how this nation--once unified in one direction--can find solutions to its educational problems.

Many more examples, although lesser known, can be drawn from the experience of individual states and localities.

The Power of Articulate Policy Statements

Unified policy positions have historically had a broad impact upon the direction of American education. The "Report of the Committee of Ten" published in 1893 and the "Report of the Committee of Fifteen" published in 1895 had a significant effect upon expanding high schools to serve noncollege bound youth. The Commission on the Reorganization of Secondary Education, which in 1918 formulated the famous cardinal principles, did much to shape the course of secondary education throughout the first half of the 20th century. Another dynamic influence in the improvement of school curriculum was the Education Policy Commission. Its reports focused on a number of topics, including economic education, citizenship education, international relations, higher education, and preschool education. Their influence on the schools and the schools' curriculum was indeed significant.

The Absence of Policy Consensus Today

Regrettably, the unifying forces which permitted these revolutionary policy changes to emerge and become reality appear to be absent from the American scene today. The absence of such unifying forces—combined with the growing cultural and social pluralism in our society—has left a vacuum of consensus on the most desirable educational policy direction. The absence of unifying forces for education is one of the most critical issues facing the government agencies responsible for education.

The Need for Unified Policy at National, State, and Local Levels

At a time when national priorities must be set in response to worsening crises, a unified national consensus for education is needed to ensure relevance, cohesiveness, and coordination in national policies that affect education.

In addition, arriving at public and professional consensus on matters of state educational policy is essential. The states, as the major instrumentalities for the support of public education, must have broad support for policy improvements.

Moreover, local education agencies are in need of an evident majority of their constituents behind their policy changes or they cannot move forward to solve local problems.

Inadequate Consensus Models

It is difficult to isolate the exact cause and effect factors present when unified policy existed and education responded through significant policy directions. But among those factors, it appears that reaching consensus was easier when communities, states, and the nation were less populous; when the American people were less mobile (every year 1 out of 5 families moves to a new location); and when cultural unity rather than cultural pluralism was the central American ideal. It also appears that reaching consensus was easier when the profession itself was more unified in its own views; when there were fewer alternative educational programs to choose from; when teachers and administrators and boards of education had not yet developed their separate identities and their concerns about power. It also appears that reaching consensus was easier when government agencies and voluntary organizations outside of education were less likely to use legal interventions, confrontation, and pressure tactics to achieve what they wanted: that is, when the courts were not ordering new systems of racial balance, when governors and mayors were not as directly concerned with educational finance, and when parent groups requested rather than demanded changes.

Whatever the causes, we have inadequate mechanisms for reaching consensus about the educational issues which trouble us today. Bold new effective means of reaching consensus and setting policy positions must be found. New unified policy setting models must be identified, tested, and perfected through use.

The Value of Good Consensus Models

It seems quite clear that our nation is able to make rapid progress in education when the agencies, organizations, groups, and individuals concerned with education have reached consensus about a problem and about what must be done to solve it. Lacking such a consensus, we are unable to marshall the moral force, the professional energy, the public enthusiasm, and the taxpayer willingness needed to accomplish ~~major~~ changes.

If we had satisfactory mechanisms for informing public and professional opinions, gathering them, weighing them, converging them, and gaining general acceptance of the public policies and professional activities needed to implement a chosen solution, education could be improved significantly at local, state, and national levels or a combination of the three.

Involving the Public and Professionals in Policy Decisions

Given the patterns of governance we have established for public education in the United States, major improvements cannot be accomplished without creating a broad consensus both within the public and within the profession. Public influence on public education is expressed in myriad ways. Local citizens sit as members of school boards, advisory committees, and parent/teacher associations. Local citizens offer their ideas, form pressure groups, volunteer their time, and vote their taxes as ways of expressing their interest in what the schools teach and how they teach it. Moreover, in about 15% of the school districts, citizens sit as members of municipal governing boards which have a veto power over school taxes.

The pattern of public influence on public education is the same at the state level. Citizens sit as members of state boards of education and advisory committees and councils. They constitute the paid staffs of the agencies of state government with which state education departments must deal. Most important, they sit as members of state legislatures and serve in the state administration, where they make highly significant decisions about what schools will accomplish and how they will be financed and controlled in accomplishing it.

The pattern is repeated at the national level, even though there is no federal board of education. There are advisory committees and councils, there are other federal agencies which influence what federal education agencies can accomplish, and there is Congress and the Administration.

In short, without public involvement there can be no unified policies for public education.

It is obvious that consensus among professionals--those at local, state, and national levels; those who teach, those who specialize, those who administer; those who prepare teachers and those who employ teachers--is a prerequisite to any significant change in education. Furthermore, there are so many thousands of professionals in education--more than two million in the nation as a whole--that formal consensus-building mechanisms are necessary so as to inform their opinions, collect them, weigh them, converge them, and obtain their agreement to implement significant new policy decisions.

There has been and continues to be extended debate about the appropriate domain for public participation in policy setting in relation to the appropriate domain for professional participation in policy setting. The distinction commonly recommended is that the public be asked to decide what is to be taught while the profession be asked to decide how it is to be taught. But there is disagreement even about that. In short, we lack a consensus even about how members of the public ~~and members~~ of the profession should reach a consensus. That is, we do not have a set of clear, agreed-upon rules about how to hold our discussions. The same can be said about mechanisms for reaching consensus within the public and mechanisms for reaching consensus within the profession. That is, within those two sectors as well as between them, we do not have clear, agreed-upon rules for discussion.

Criteria for Adequate Consensus Models

In order to lead to unified policy positions, consensus mechanisms must have certain essential characteristics:

1. They must make it widely known that policy changes are being contemplated.
2. They must open the doors wide to participation so that all interested parties can express their opinions.
3. They must make it convenient for participants to express their opinions.
4. They must have both the actuality and the appearance of fairness in soliciting, recording, and reporting participants' opinions.
5. They must fit the participants--public or professionals or a combination--in the issues they pose, the information they supply, and the kinds of opinions they solicit.
6. They must have a mechanism for identifying policy issues, policy options, and policy arguments.
7. They must frame the policy debate within recognizable boundaries so that participants address the same issues and engage in genuine debate rather than random conversation.
8. They must inform participants about reasonable policy options and the arguments pro and con for each.
9. They must have a means of tallying and/or weighing opinions.
10. They must have a way of dealing with minority views as well as majority views in their recording and reporting.
11. They must arrange not only for the expression of views but for the convergence of views.

12. They must be fast enough to finish collecting and converging opinions before the action deadline.

13. They must have a means of presenting the results to those empowered to adopt new policy.

14. They must result in action or lead toward action so that participants will not feel their efforts were a mere exercise.

15. They must be within the capacity of personnel within the sponsoring agency or an outside agency.

16. They must be acceptable to all parties.

17. They must be affordable.

18. They must be legal.

UNIFIED POLICY SETTING MODELS AS SETS OF COMPONENTS WITH ALTERNATIVE ELEMENTS

This report describes three sample models for reaching consensus about educational policies and presents a case illustration about how each model has been actually applied. But before proceeding to study the models and the cases, the reader needs to consider certain attributes of models and to consider how they can be applied, how they can be modified, and how new ones can be built.

The most important attribute of the models presented in this report is that they are sets of components with alternative elements. What that means is explained below.

Models as Sets of Components with Alternative Elements

A model is an abstract representation of reality.

A unified policy setting model is a general description of procedures that might be used to inform, collect, and converge public and/or professional opinion on policy issues.

The unified policy setting models offered in this document consist of sets of components.

Each component consists of one or more selected elements. (An element of a policy setting model is a procedure for obtaining consensus; thus the terms element and procedure are used interchangeably in this discussion.)

For each component, there are alternative competing elements or procedures which might be better. Thus choosing an element is exercising an option. For example, participants' opinions can be obtained through various procedures: individual interviews, group interviews, voice votes at meetings, applause at meetings, questionnaires at meetings, questionnaires by mail, questionnaires at public places, telephone interviews, responses at computer terminals, and so on. Any model calls for using one or more of those procedures for collecting participants' opinions. But the model could be changed by replacing that element with some other procedure.

Each component of the model is necessary (that is, there must be some way to collect participants' opinions) but each element of the model is optional (that is, there are many ways to collect their opinions).

Applying Sample Models

A model is useful as a general set of procedures but not as an exact blueprint. Any model must be adapted in the process of applying it to a particular circumstance. This is discussed later at length when each of three general models is presented along with an actual case illustration.

Modifying Sample Models

The simplest and most common way to modify an existing model is to substitute some elements for others--to replace face-to-face interviews with telephone interviews or to substitute questionnaires distributed by mail for questionnaires printed in newspapers. The sample models offered in this report can of course be modified in that way. And a list of alternative elements for each component is provided later to make that easier.

Building New Models

Alternative procedures can be thought of as a checklist of optional elements for the set of necessary components. Thus building a model means going to the checklist, reviewing the [illegible] elements, and checking one element for each necessary component.

The list on the following page shows that many, many models could be built using the set of necessary components and choosing from among the optional elements.

CHECKLIST OF MODEL COMPONENTS AND ELEMENTS

Necessary Components	Optional Elements
1. PURPOSE	☐ Select goals
	☐ Select problems
	☐ Select solutions
2. SPONSOR	☐ Policy-setting agency
	☐ Official advisers to agency
	☐ Clients of agency
	☐ Respected public interest group
3. PERSONNEL	☐ Agency staff
	☐ Consultants
	☐ Outside organizations
4. IDENTIFYING ISSUES AND OPTIONS	☐ Expert testimony
	☐ Commissioned papers from experts
	☐ Relevant literature
	☐ Interviews with sample of participants
5. FRAMING DEBATE	☐ Restricted list of topics
	☐ Restricted list of options
6. SELECTING PARTICIPANTS	☐ Sponsor selects
	☐ Cooperating organizations select
	☐ Participants select themselves

7. TYPES OF PARTICIPANTS

- [ ] Leaders
- [ ] Spokespersons
- [ ] Individuals speaking for themselves

8. NUMBER OF PARTICIPANTS

- [ ] Up to 100
- [ ] 100 to 1000
- [ ] Over 1000

9. EXPERTISE OF PARTICIPANTS

- [ ] Low
- [ ] High
- [ ] Combination

10. DETERMINING ACCEPTABILITY TO PARTICIPANTS

- [ ] Rely on past experience
- [ ] Ask leaders
- [ ] Ask spokespersons
- [ ] Survey sample of prospective participants

11. TYPE OF INFORMATION TO BE SUPPLIED TO PARTICIPANTS

- [ ] Topics
- [ ] Background
- [ ] Short descriptions of options
- [ ] Arguments pro and con
- [ ] Sample policy statements
- [ ] Definitions of key terms

12. TYPE OF INFORMATION TO BE COLLECTED FROM PARTICIPANTS

- [ ] Arguments
- [ ] Choices of options
- [ ] New options

13. MEDIA FOR SUPPLYING INFORMATION

- [ ] Television
- [ ] Radio
- [ ] Newspapers
- [ ] Magazines
- [ ] Brochures
- [ ] Books
- [ ] Meetings
- [ ] Telephone

14. MEDIA FOR COLLECTING INFORMATION

- [ ] Face-to-face individual interviews
- [ ] Face-to-face group interviews
- [ ] Telephone individual interviews
- [ ] Voice votes at meetings
- [ ] Applause at meetings
- [ ] Questionnaires at meetings
- [ ] Questionnaires by mail
- [ ] Questionnaires at public places
- [ ] Responses at computer terminals

15. IDENTIFYING PARTICIPANTS

- [ ] Names of individuals
- [ ] Professional position
- [ ] Organization membership
- [ ] Demographic characteristics
- [ ] Geographic location
- [ ] Unidentified

16. WEIGHING OPINIONS

- [ ] One person, one vote
- [ ] Special weight for professional position
- [ ] Special weight for organization membership
- [ ] Special weight for demographic characteristics
- [ ] Special weight for geographic location

17.	CONVERGING OPINIONS	☐ Discussion
		☐ Exchanging minutes
		☐ Repeated voting
18.	REPORTING OPINIONS	☐ Majority views
		☐ Minority views
		☐ Special populations' views
19.	PRESENTING RESULTS TO POLICY-SETTING BODY	☐ Written report
		☐ Oral report
20.	PRESENTING RESULTS TO PARTICIPANTS	☐ Television
		☐ Radio
		☐ Newspapers
		☐ Magazines
		☐ Brochures
		☐ Books
		☐ Meetings
		☐ Telephone
21.	TIME SPAN	☐ Several months
		☐ One year
		☐ Several years
22.	COST	☐ Under $25,000
		☐ $25,000 to $100,000
		☐ Over $100,000

USING
UNIFIED POLICY SETTING MODELS

Formulating policy is slow and difficult. Adopting policy is quick and easy—if the policy has been well formulated.

That is, the final official act which gives a policy authoritative status—as when a state board of education adopts new standards for teacher preparation and certification—usually comes at the end of a protracted period of exchanging information, collecting viewpoints, clarifying opposing positions, negotiating and compromising, and finally reaching sufficient agreement to allow a policy to be adopted. For example, a board of education may spend a year considering a policy change but may spend five minutes adopting a resolution making it official.

The models presented in this report and the case illustrations accompanying them deal exclusively with policy formulation and do not include the mechanics of actual policy adoption, for the reason given above. The adoption of a policy governing public education--"adoption" in the narrow legal sense--usually takes place on the majority vote of a policy board which has been either elected or appointed by an elected official. This pattern holds true at local, state, and national levels. But the "adoption" of a policy in a broad social sense cannot and does not occur on the vote of a public body. Instead, it occurs as the result of agreements reached among and between the public and the profession, agreements usually reached over an extended period of time during which all parties have the chance to exchange views and work out policy positions acceptable to all. The final vote of the public body merely ratifies what has already been established as acceptable to the public and to the profession. If a public body attempts to make a major policy change in the absence of a general public and professional consensus, the policy adopted may never be implemented.

The fact that policy adoption by an official public body simply ratifies what has already been agreed to by a much larger group reflects the complexity of public and professional relationships, the enormous size of the educational system, and the extremely wide distribution of power among many different interested parties. It reflects, of course, the deliberate decentralization of control over education which has characterized our nation from the beginning and which is intended, among other things, to prevent education from being controlled by any one group and used to advance the interest of that one group.

From Consensus of Opinion to Policy Position. The Checklist of Components and Elements presented earlier (see page 10) includes the following essential components:

16. Weighing Opinions

17. Converging Opinions

18. Reporting Opinions

19. Presenting Results to Policy-Setting Body

20. Presenting Results to Participants

Each of these components has to do with processing the results of the consensus activity and reporting it in such a way as to influence policy. However, because the general model was not developed for the exclusive use of policy-making bodies alone, it deliberately allows for instances in which outside organizations, groups, or individuals are conducting the consensus activity. For this reason, the model does not deal with the inner workings of the policy-making body—specifically, how it will process and act on the advice it receives. The actual procedures policy boards use to process and weigh such information, as well as what they consider in weighing it, differ greatly from time to time and place to place and topic to topic. That is, what a specific board does when it receives policy advice based on widely-held opinions varies according to circumstance. But generally, public boards tend to be responsive to such advice. As explained earlier, the policy actions of public boards usually constitute ratifications of what has already been decided by their public and professional constituents.

Guides for Choosing a Model. Certain of the Criteria for Adequate Consensus Models listed earlier (see pages 6-7) can be used, along with other criteria, as guides for choosing a model for achieving consensus. The first five guides below are repeated from the earlier Criteria.

1. The model must be fast enough to finish collecting and converging opinions before the action deadline.

2. The model must be within the capacity of personnel within the sponsoring agency or an outside agency.

3. The model must be acceptable to all parties.

4. The model must be affordable.

5. The model must be legal.

6. The model must fit the intended audience.

7. The model must fit the sponsoring agency.

Each of the three sample models presented in this report has been carefully designed and successfully applied. In general, then, any of the three could be chosen with confidence. But each prospective user should consider whether each model could be operated rapidly enough to meet any upcoming decision deadlines, whether personnel in the sponsoring organization have the time and talent needed to carry it out, whether it would meet with opposition from some significant group inside or outside the sponsoring organization, whether the personnel can be assigned and the money obtained, whether there are any legal prohibitions against its use, whether those who would participate in the consensus activity would prefer one over the other, and whether the policy-setting agency would be more influenced by advice gathered one way or another.

Guides for Modifying a Model. The three sample models presented in this report can be modified to fit situations different from those in the case illustrations. Indeed, the models should be so modified. The Profile of each model provides a convenient list of alternative "elements" which can be substituted for those used in the model.

Again, the earlier list of Criteria for Adequate Consensus Models (see pages 6-7) supply useful guidance for adapting a model to local circumstances. All of the following guides are repeated from that list of Criteria:

1. They must have a mechanism for identifying policy issues, policy options, and policy arguments.

   If an organization wishes to adapt the Professional Consensus Model for use by a small group of highly qualified scholars who know and respect each other, it could turn to item 4 (Identifying Issues and Options) in the Profile of that model and adjust it by eliminating expert testimony, relevant literature, and interviews with a sample of participants--limiting the method for identifying issues and options to commissioned papers from highly respected experts.

2. They must inform participants about reasonable policy options and the arguments pro and con for each.

   If the same organization wishes to adapt the Professional Consensus Model to take advantage of the fact that its membership is already thoroughly acquainted with the topics to be debated and has adequate background information about them, it can modify item 11 (Type Of Information To Be Supplied To Participants) in the Profile by eliminating Topics and Background, asking its commissioned paper writers to supply only short descriptions of options and arguments pro and con.

3. They must have a means of presenting the results to those empowered to adopt new policy.

   If the organization is governed by an Executive Committee of its members, the organization may want to modify item 19 (Presenting Results To Policy-Setting Body) in the Profile by eliminating the oral report and relying instead on a written report, usually a more suitable form of communication for scholarly readers.

These three examples serve to illustrate the fact that each component in each model can be modified by changing the optional elements to make the model a better fit for the organization sponsoring the consensus activity.

Guides for Building a Model. As explained earlier, organizations interested in sponsoring a consensus activity can create a new model by using the Checklist of Components and Elements starting on page 10. Once again, the number of Criteria for Adequate Consensus Models listed earlier (see pages 6-7) can be used for that purpose. Taking the Checklist in one hand and the Criteria in the other, the elected leaders of the organization plus key members of any paid professional staff plus a small committee of outside advisors consisting of members and/or prospective participants who are not members can debate the optional elements for each component of the model and construct a Profile which fits the circumstances perfectly.

Because the Profile and the Criteria are rather complete and because their full meaning is amply demonstrated by the three sample models with accompanying case illustrations presented later in this report, what the builders of the new model need to bring to their planning sessions is a thorough understanding of 1) the policy-setting agency which ultimately must adopt an official policy change, 2) their own membership and the kinds of leadership and assistance they will be willing to supply during the consensus activity, and 3) outsiders whose participation is being sought. Equipped with that information, the designers should be able to build a practical and effective model for unifying viewpoints on significant policy issues.

Selecting Three Models With Case Illustrations. The three models with accompanying cases presented in the next section of this report were chosen from among many other possibilities on the basis of the following criteria:

1. They were developed through careful planning, with early critical reviews of their elements and were modified in accordance with those criticisms.

2. They had been applied on a large scale in a local, state, or national setting.

3. They had been successful--or promised to be successful--in achieving a consensus.

4. They dealt with highly significant educational--or social--problems.

5. They were thoroughly documented, allowing for a complete and detailed description.

As would be true for any models based on the Checklist included in this report (see page 10) the models have 22 identical components (in addition to the fact that they meet the five criteria cited in the list above). But this does not mean that they are completely interchangeable. They differ in significant ways as well as being similar in significant ways.

As explained in detail in the description of each model with its accompanying case illustration, and as summarized in the Profile of each model, they differ in the elements chosen to constitute their components. That is, while each has a purpose, each has a different purpose; while each has a sponsor, each has a different sponsor; while each used a combination of agency personnel and outside personnel, each used a different combination. And so for each of the 22 components, there are significant differences among the three models.

An organization considering using or adapting one of the three models should study the Profile of each model and read the accompanying case illustration carefully, keeping always in mind the characteristics of the policy-setting agency which ultimately must act, the characteristics of the sponsoring organization, and the characteristics of the prospective participants.

THREE SAMPLE MODELS WITH CASE ILLUSTRATIONS

Since policy changes in education cannot be undertaken without the concurrence of public and professional opinion, educational agencies must use unified policy setting models which inform, collect, and converge both the views of laypersons and professionals. Thus, this section of the report offers three sample consensus models designed to reach both populations. Each model is accompanied by an actual case illustration.

Public Consensus Model
- Model 1
- Case Illustration 1

Professional Consensus Model
- Model 2
- Case Illustration 2

Public/Professional Consensus Model
- Model 3
- Case Illustration 3

The models are particularly suitable for state education agencies, federal education agencies, and large local education agencies. They are also suitable, with appropriate adaptations, for use by state professional associations and public organizations interested in education, national professional associations and public organizations concerned with education, and large local professional associations and public organizations dealing with education. That is, the techniques seem applicable to government agencies, quasi-government organizations, and nongovernment organizations and they seem applicable to professional associations as well as to public organizations.

Presumably, small education agencies, professional associations, and public organizations can use policy-determining models that are simpler, less formal, less elaborate, and less expensive than those described here. But the principles embodied in these models seem generally applicable to organizations of any size and type. Moreover, the models themselves can be simplified and made less expensive by the substitution of other elements for those in the models.

Any model must be distinguished from the application of that model in a given circumstance. The model is by nature an abstraction: it is general not particular, it will fit many situations loosely but no situation precisely. In short, the model cannot and should not be used as it stands. It should be adapted to the particular circumstances in which it will be used.

That is the relation between the three models and the three case illustrations presented here. That is, each case illustration is an adaptation of each model. The model has been tailored to the agency, time, place, and circumstances in which it was used. Thus there is not an exact one-to-one correspondence between each model and its accompanying case illustration--and there should not be.

Public Consensus Model

This model is particularly suitable for informing, collecting, and converging public opinion on complex policy issues. Its design characteristics include allowing for extremely broad participation and offering a limited number of simplified policy choices to encourage such broad participation.

The accompanying case illustration is drawn from a recent experience of the Regional Plan Association of the New York-New Jersey-Connecticut Urban Region. With funds from the Federal Housing and Urban Development agency, the Regional Plan Association used a combination of mass media (television, newspapers, films, and a paperback book) plus public meetings to inform nearly three million people in three states about problems and possible solutions and used five printed ballots to collect thousands of opinions.

The effort cost nearly $2 million in money and donated services, roughly a third from foundations, a third from corporations, and a third from HUD.

Although educational issues were not a matter of debate, the case illustration was chosen because of its large scale, its use in a complex and troubled urban region, the competence with which the work was done, and the remarkably frank and helpful way in which the results were reported.

Professional Consensus Model

This model is particularly suitable for informing, collecting, and converging professional opinion on complex policy issues where the differences in choices are relatively subtle. Its design characteristics include providing a great deal of information to participants in traditional modes of communication among professional leaders (policy analysis papers, for example) and arranging for successive tiers of policy debate.

The accompanying case illustration is drawn from an activity of the National Institute of Education. NIE conducted a searching re-examination of its established policies in supporting curriculum development and implementation and considered major changes. NIE knew it could not make major changes without widespread professional endorsement inasmuch as NIE is a research and development agency without power to improve education except through offering scientific evidence and quality products to those who operate schools. Professional support of its policy positions is essential if it is to have constructive influence.

NIE commissioned a variety of professional papers explicating and debating the policy issues it faces, generating a substantial set of discussion guides to frame the debate, attending meetings of professional associations and public organizations, interviewing leading spokesmen for professional and public groups, and conducting small meetings plus a major national conference to inform, collect, and hopefully converge opinion.

The effort will cost over $100,000 in money and contributed services and will require approximately one year to complete.

Although NIE is collecting public as well as professional opinion, the effort is designed primarily as a national conversation among professionals and the communications devices employed are particularly suitable for professionals. The case illustration was chosen because it represents a serious, large-scale effort by a federal education agency to get advice on troublesome issues about which there is much disagreement and because it uses an array of communications devices.

Public/Professional Consensus Model

This model is particularly suitable for informing, collecting, and converging both public and professional opinion on complex policy issues. Its design characteristics include a three-tiered policy debate, repeated returns to participants in a search for convergence, and widespread agreement on policy change prior to making the change.

The accompanying case illustration is drawn from the recent successful experience of the State Board of Education in Ohio in redesigning teacher education. Following a statewide census of problems, the Department of Education officials identified teacher education as a prime area needing reform. The State Board decided that the time and the circumstances were right. Starting by convening leaders from the 52 private and public colleges and universities which prepared teachers in Ohio, the Department sponsored over 100 regional and statewide meetings built around an agenda of pre-selected topics accompanied by printed information sheets to guide the conversations. The work resulted in a new set of widely accepted standards adopted by the State Board of Education to govern teacher education programs in the 52 institutions.

The effort cost nearly $200,000 in money and effort by Department personnel and others and took about one year to complete.

The case illustration was chosen because it is a success story, because it required both public and professional consensus, because it involved many government and non-government agencies and organizations, and because it was conducted skillfully by a state education agency.

1

PUBLIC CONSENSUS MODEL

Prepared under USOE Multi-State Grant from Section 505, Title V-A, ESEA, entitled Identifying Unified Policy Setting Models.

Administering State: OHIO, Martin W. Essex, Superintendent of Public Instruction

Participating States: GEORGIA, Jack P. Nix, State Superintendent of Schools

IOWA, Robert D. Benton, Superintendent of Public Instruction

PUBLIC CONSENSUS MODEL

This model has 22 necessary components and 22 matching optional elements comprising those components, as shown on the following pages.

Each element is one choice from among the available alternatives; thus each element could be replaced with another--perhaps better--element to adapt it to a particular situation. The model should be adapted to the agency, time, place, and circumstances in which it will be used.

The accompanying case illustration--immediately following the 22-item profile and the 22-item description of the model itself--does not use the model in its pure form, of course. Some elements have been replaced and some new components have been added. The case illustrates flexible, skillful use of the general ideas in the model rather than rigid adherence to them.

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PROFILE OF PUBLIC CONSENSUS MODEL

Necessary Components	Optional Elements
1. PURPOSE	☐ Select goals ☐ Select problems ☑ Select solutions
2. SPONSOR	☐ Policy-setting agency ☐ Official advisers to agency ☐ Clients of agency ☑ Respected public interest group
3. PERSONNEL	☑ Agency staff ☑ Consultants ☑ Outside organizations
4. IDENTIFYING ISSUES AND OPTIONS	☑ Expert testimony ☐ Commissioned papers from experts ☐ Relevant literature ☐ Interviews with sample of participants
5. FRAMING DEBATE	☑ Restricted list of topics ☑ Restricted list of options
6. SELECTING PARTICIPANTS	☐ Sponsor selects ☐ Cooperating organizations select ☑ Participants select themselves

7. TYPES OF PARTICIPANTS

- [ ] Leaders
- [ ] Spokespersons
- [x] Individuals speaking for themselves

8. NUMBER OF PARTICIPANTS

- [ ] Up to 100
- [ ] 100 to 1000
- [x] Over 1000

9. EXPERTISE OF PARTICIPANTS

- [x] Low
- [ ] High
- [ ] Combination

10. DETERMINING ACCEPTABILITY TO PARTICIPANTS

- [x] Rely on past experience
- [ ] Ask leaders
- [ ] Ask spokespersons
- [ ] Survey sample of prospective participants

11. TYPE OF INFORMATION TO BE SUPPLIED TO PARTICIPANTS

- [x] Topics
- [x] Background
- [x] Short descriptions of options
- [x] Arguments pro and con
- [x] Sample policy statements
- [ ] Definitions of key terms

12. TYPE OF INFORMATION TO BE COLLECTED FROM PARTICIPANTS

- [ ] Arguments
- [x] Choices of options
- [ ] New options

13. MEDIA FOR SUPPLYING INFORMATION

- [x] Television
- [ ] Radio
- [x] Newspapers
- [x] Magazines
- [x] Brochures
- [x] Books
- [x] Meetings
- [ ] Telephone

14. MEDIA FOR COLLECTING INFORMATION

- [ ] Face-to-face individual interviews
- [ ] Face-to-face group interviews
- [ ] Telephone individual interviews
- [ ] Voice votes at meetings
- [ ] Applause at meetings
- [x] Questionnaires at meetings
- [x] Questionnaires by mail
- [x] Questionnaires at public places
- [ ] Responses at computer terminals

15. IDENTIFYING PARTICIPANTS

- [ ] Names of individuals
- [ ] Professional position
- [ ] Organization membership
- [x] Demographic characteristics
- [ ] Geographic location
- [ ] Unidentified

16. WEIGHING OPINIONS

- [x] One person, one vote
- [ ] Special weight for professional position
- [ ] Special weight for organization membership
- [ ] Special weight for demographic characteristics
- [ ] Special weight for geographic location

17. CONVERGING OPINIONS
- [x] Discussion
- [ ] Exchanging minutes
- [ ] Repeated voting

18. REPORTING OPINIONS
- [x] Majority views
- [x] Minority views
- [x] Special populations' views

19. PRESENTING RESULTS TO POLICY-SETTING BODY
- [x] Written report
- [ ] Oral report

20. PRESENTING RESULTS TO PARTICIPANTS
- [ ] Television
- [ ] Radio
- [x] Newspapers
- [ ] Magazines
- [x] Brochures
- [ ] Books
- [x] Meetings
- [ ] Telephone

21. TIME SPAN
- [ ] Several months
- [x] One year
- [ ] Several years

22. COST
- [ ] Under $25,000
- [ ] $25,000 to $100,000
- [x] Over $100,000

DESCRIPTION OF PUBLIC CONSENSUS MODEL

1. Its purpose is to inform, collect, and converge public opinion about a series of possible solutions to educational problems--solutions which cannot be adopted by an educational agency without widespread public understanding and agreement.

2. It is sponsored by a respected public interest group widely recognized for its impartiality, competence, and concern for public participation in setting educational policy.

3. It is staffed by personnel from the sponsoring agency, supplemented by consultants who specialize in the educational issues under debate and by outside organizations which specialize in communications media and in the logistics of informing, collecting, and converging public opinion.

4. It identifies issues and options by convening consultants to testify, chooses issues of wide public concern, and selects sharply divergent options.

5. It frames debate by restricting both issues and options to a preselected list; designs a response form which allows only agreement, disagreement, or uncertainty; and it disallows supplementary comments.

6. It broadcasts open invitations through mass media to all organizations and individuals in its service area and makes response forms widely available to that participants can select themselves.

7. It arranges for individuals to speak for themselves rather than going through intermediary spokespersons or through their elected or appointed leaders, so as to get the most direct and accurate statements of the full diversity of their opinions.

8. It seeks thousands of participants of every background and viewpoint so that it can study and report background/viewpoint relationships to inform the policy-setting agency about who thinks what.

9. It requires no expertise of its participants and it assumes that it will need to inform them both about the issues and the options.

10. It relies on the sponsor's past experience to determine the issues on which the public is willing to express its views to the sponsor.

11. It supplies the participants with every kind of information they conceivably may need to arrive at informed, thoughtful opinions: topics, background data and historical context, a list of issues, choices for each issue, arguments, for and against each choice, and even drafts of potential policy language for the governing agency to adopt.

12. It collects from the participants only the choices they make, without their accompanying arguments and without their qualifications or strength of feeling about the issues.

13. It employs television, films, newspapers, magazines, special brochures, full-length paperback books, and many kinds of meetings sponsored by cooperating organizations to supply information to participants.

14. It collects the views of participants by arranging for them to answer questionnaires at meetings or to answer them by mail or to answer them at public places where large numbers gather or pass through.

15. It identifies participants only by their demographic characteristics to enrich the interpretation of their answers; otherwise all participants are anonymous and are so assured.

16. It weights every response the same as every other response, irrespective of the participant's professional position, organization membership, or demographic characteristics, when views are recorded and reported.

17. It relies on discussion at group meetings sponsored by cooperating agencies to converge opinions.

18. It reports majority opinions, minority opinions, and breaks out the opinions of special populations when reporting findings.

19. It provides for a written report of the results to be presented to all policy-setting bodies which could make constructive use of them.

20. It summarizes results for the participants themselves and publishes them in newspapers and in special brochures to be used at meetings of the cooperating organizations which conducted discussions.

21. It requires approximately one year to accomplish after necessary funds have been obtained and plans are completed and staff is on hand and ready to work.

22. It costs in excess of $100,000 in money and/or contributed services and should not be undertaken unless resources of at least that quantity can be obtained.

Case Illustration 1: REGIONAL PLAN ASSOCIATION

New York--New Jersey--Connecticut Urban Region

Housing, Transportation, Environment, Poverty, and Cities and Suburbs Choices

CHOICES FOR '76 was conducted in 1973 by the Regional Plan Association, Inc., "a research and planning agency supported by voluntary membership to promote the coordinated development of the New York--New Jersey--Connecticut Urban Region." The following summary of the effort has been developed from Listening to the Metropolis. 96 pp. Regional Plan Association, 235 East 45th Street, New York, New York 10017, (212) 682-7750. December 1974. $5.00.

SEEKING CONSENSUS

CHOICES FOR '76 was a project in which a half-century-old civic research organization, Regional Plan Association, presented information on 51 critical policy Choices to the people of the New York Urban Region (from Trenton to New Haven). The information was conveyed via every single television channel in the Region plus two in Hartford, in both English and Spanish. It was summarized in six daily newspapers and on one or two radio stations. A background book, How to Save Urban America (Signet, 1973), was available on newsstands and in bookstores and was distributed to many social studies teachers in the Region and by some corporations to employees.

The presentations grew out of many years of research by Regional Plan and public agencies at all levels of government. The public agencies reviewed and advised on the material. A 137-member Citizen Advisory Committee also reviewed the material and made considerable changes.

There were five topics, discussed on one-hour television programs every two weeks, beginning March 17, 1973, and in the book and newspapers: Housing, Transportation, Environment, Poverty, and Cities and Suburbs.

The public was asked to discuss the issues in small groups--at home, in church, at work places, in fraternal halls, in schools.

Finally, people were asked to send in their own opinions after each of the presentations on printed ballots available in many banks and libraries, distributed to employees by New York City government and many corporations, and run in nearly all the Region's newspapers. The whole process was referred to as regional Town Meetings.

CHOICES involved nearly three million people in a process of (1) obtaining new information and insights on the New York Region's urban problems, (2) discussing alternatives, and (3) registering their views. There was some disagreement among the organizers on whether the process should seek to replace democratic pluralism or simply improve it. It did not begin to replace the present pluralistic system; it does seem to have taken some steps toward improving the system. The great expense of appealing to a mass audience via elaborate television programs appears to have been worth the cost.

Starting Out

Three commitments are needed: TV time, financing, and recruiting of participants. Each commitment will be tentative until all three are in hand. It probably doesn't matter which commitment is sought first. The sponsoring organization must: (1) have widely recognized competence or, if new, be headed by individuals known to be competent; (2) have sincere interest in enlarging the number of people who rationally deal with public issues; (3) be known to the organizations whose commitment is needed: e.g., TV companies, civic groups, corporations, foundations, governments.

Commitment of Television Time

Having all 18 TV stations in the Region run the Town Meeting films undoubtedly helped gain the newspaper and financial support needed and probably enlarged the number of civic activists who watched by giving them a wide choice of times. But the total audience, especially the hard to interest, might have been larger with much more advertising of the programs, even with fewer stations. Ratings indicated that the network stations outdrew the non-network stations 3-1, that prime time probably is not good for serious documentaries, that listenership did not decline much from the first program to the last compared to the decline of total television viewing as Spring came on--though most series of educational shows do lose audience from the first program to the last.

Getting the Money (And Donated Services)

Nearly $2 million in money and donated services was contributed for CHOICES, roughly a third from foundations, a third from corporations and a third from HUD. The idea appealed quickly, but getting money required multiple trips to the same potential contributors, mainly because the project seemed so difficult that the potential contributor had to be persuaded that Regional Plan could do it all. So we had to carry out the project with day-to-day financing, never knowing the total budget, but using accomplishments from each contribution to persuade other contributors it could be done. Among the fund-raising lessons: small foundations can contribute on the strength of an idea; corporations and large foundations are more cautious. Corporations don't want to move out ahead to support a new idea; they contributed mainly in industry groups. Contributions of services were valuable: corporations contributed about $150,000 worth, in addition to air time. The CHOICES idea appealed to many corporations which never had supported Regional Plan before; some have now begun to contribute to the Association directly.

Content and Choice Development: Goals and Evaluation

The content development goals of CHOICES were: to reach a far broader audience than regional planning issues usually do by making the information clearly relevant, understandable and attractive; to keep the information and Choices unbiased; to get to the essence of the issues below superficial solutions; and to explain these essentials in broad enough principles so the ideas can be used in considering future issues. We feel we did better than previous projects have done, judged by these criteria, but not as well as we had hoped to do. Many more people without a college education saw the films and read the book than usually receive information of this type, and they were influenced by the material in about the same way and degree as college-educated respondents. But we did not present the material in the form we originally had hoped to do--personal and dramatic, like the television programs and reading that do reach most people. Many called the Choices biased, but most of them seemed to be objecting to making a forced choice among difficult alternatives. Some claimed we had left out better alternatives, but no alternatives were suggested which we had not considered carefully and rejected. Only a few said the background material was biased.

The Process of Content Development

The 16 distinct steps of content and Choice development can be summarized as: drafting the Choices, getting expert comments and revising them, drafting information and arguments on each Choice and responding to expert comment on them, responding to a Citizen Advisory Committee's comments on Choices and background information, and shepherding the final material through book publication and filming, relying on comments of only a few outside experts at the end. Most time-consuming were trying to get to the root of the issues so the public would not be diverted to superficial solutions and illustrating the principles so the public would have a basis for judging later issues. Segmenting the interlocked concepts into five Town Meeting pieces also was difficult. Most frustrating was the parochialism of many commentators who did not want to see the viewpoints of the others in the Region with whom they necessarily share decision-making on many issues: city people who would not recognize that zoning of vacant land was as much a city issue as suburban; blacks who did not want to see middle-class white viewpoints on environmental issues even though these viewpoints affected their pocketbooks and opportunities. Among critical issues: we felt we were right in keeping most of the Choices yes-or-no and in consulting the citizen advisers only after we had a great deal of the facts and concepts researched and approved by experts. We are not sure we were right in the way we organized the material (into five topics and separate Choices within those topics).

The Effect of Participation: Television, Reading, Discussions

Watching the film had a great effect on participants' opinions (as expressed on the ballots)--slightly more effect than reading the book. On over a third of the Choices, watching TV made at least a 30-point difference in the ballot responses. The impact was about the same on persons of every educational attainment. A Gallup scientific survey indicated that when the CHOICES voters started the project, they were--on the whole--no more inclined toward policy changes than the whole population. Discussion tended to decrease support for policy change a little more often than it increased support, but the net effect of discussion on votes was very small.

Making the Films

The Regional Plan staff intervened in the film process far more than either they or the film team had anticipated. Regional Plan and the film producers agreed that a several-day seminar with the film team before starting would have improved the process. Regional Plan further concluded that: 1. Both groups must be considered equally in charge. Trying to define areas in which film expertness or subject matter expertness should prevail did not work. 2. Probably the subject-matter agency should hire a film expert on staff to relieve the executive producer of much of the routine work and to mediate between film people and the subject experts. If the sponsor does not hire a staff film person, it should recognize that the executive producer probably will not have time to contribute much directly to the films, so the producer of the individual films should be hired in consultation with the sponsor, not by the executive producer alone. It is the producer of the individual film with whom the sponsor will be working primarily.

Publishing the Book

Six times as many CHOICES "voters" said they watched television as said they read the book, and probably 20 times as many persons saw the films as read the book--and the TV seemed to have even more impact on its audience. Then why bother with a book? 1. The combination of reading the book and watching television had a greater impact than one or the other ballot results. 2. The book could be more complete, so discussion groups which included a book reader had more facts. 3. The book is permanent. (The most important results of previous Regional Plan public participation efforts resulted from persons reading the book after the meeting.) Looked at another way, CHOICES gave Regional Plan a chance to have its material circulated nationally by a major publisher. Only three possibilities for disseminating adequate background reading appear feasible: (1) a fast-published commercial paperback, as CHOICES had; (2) long articles in a regional edition of a magazine or Sunday newspaper supplement; and (3) direct publication of booklets or a book by a sponsor. Since a commercial publisher has to have a national market, that alternative will be difficult for regions which do not include a tenth of the nation's population and a much higher share of the nation's book-buyers, as the New York Region does. Direct publication and circulation by the sponsor can be very expensive, e.g., finding retail outlets or mailing books. So a first target probably should be magazines and Sunday supplements or using Regional Plan's book with brief newspaper articles to apply the points locally.

Newspaper Participation

Newspapers probably were the most selfless contributors to CHOICES. They provided continued publicity, editorial support, ballots published at their own expense, and reports on ballot results; a few of them published extensive background reading before each Town Meeting. All this despite the fact that the newspapers' arch rival, television, was clearly the star of the project (even though we scrupulously refrained from calling it "Television Town Meetings"). Much of this newspaper support appears to have resulted at least as much from a very long, close and trusted relationship between Regional Plan and the newspapers as from their enthusiasm for the project. Unfortunately, the effect of the newspaper contribution has been too difficult to unravel, but data would be made available to social scientists to do so.

Discussion Groups

We estimate that upwards of 20,000 persons took part in a discussion group at least once, with a much higher percentage of non-college than college people in groups. We expected discussions to (1) add information, (2) apply the general TV ideas to personal situations, (3) test the participants' ideas, (4) force careful consideration of the issues after the TV input, (5) demonstrate the need to meld different views in planning decisions, (6) impress people that group action, not just a ballot response, will be needed to achieve policy goals, and (7) perhaps stimulate initial group action. Observers found each of these goals being achieved in some groups, though other groups seemed to achieve none. More help to group leaders and a discussion agenda probably would have improved performance. Although many CHOICES organizers felt that recruiting discussion groups was too complicated and recruitment should have concentrated instead on getting people to watch and vote, the premise that more ballots would have resulted may not be valid.

Recruiting Participants

Explaining CHOICES was difficult: 1. It was complex, involving reading, watching TV, balloting and getting individuals to organize and chair discussion groups. 2. RPA had to be described, too—and many people are not aware of how civic organizations work. 3. The importance of regional issues had to be argued; and most people don't recognize that they live in a Region. Furthermore, the people recruited typically were active in local civic affairs; they had to be convinced that regional issues were relevant to their local concerns. We had hoped that just having the films on every TV station and having extensive publicity in every newspaper would create an event that people would join because everyone was doing it. This did not happen (though in a smaller region, it might). Other lessons: (1) face-to-face recruiting is essential even with mass media publicity; (2) an audio-visual aid is useful for meetings; (3) you cannot rely on large organizations to recruit participants through their own hierarchy, from the top; (4) corporate recruitment of employees probably is the best way to get participants who are not civic activists; (5) most people do not see this kind of project as a favor to them but rather as a civic chore; (6) most people are not dying to have their viewpoint expressed. Tactical decisions to be made: (1) allocation of effort between getting discussion groups and just getting people to watch TV and vote; (2) allocation of effort between organizing through regional associations and organizing through local or county associations; (3) allocation of resources between organizing and advertising.

Handling the Ballots: Design, Distribution, Collection and Processing

The problem: having ballots readily available and easy to deposit but not so ubiquitous that people are (1) encouraged to fill them out without participating in the project in other ways or (2) given the impression that the ballot process is sloppy and not to be trusted. We succeeded fairly well by distributing ballots: (1) by mail to pre-registered discussion hosts; (2) printed in newspapers; (3) in banks and libraries; (4) by corporations to employees; (5) by civic, church and educational organizations to members. Ballots were distributed and picked up by United Parcel, by check delivery systems of banks and by book distribution systems of libraries as well as by mail. Processing of ballots was contributed by corporations; it worked, but it was slow.

Interpreting and Reporting Ballot Results and Getting Policy Results

While it is tempting to ask many and complicated ballot questions, few people will sit still long enough to read or hear the answers, properly explained and qualified, of any but a few simple questions. Even the analysis of complicated questions by demography, geography and type of participation in CHOICES is very difficult. So yes-no questions are much the most useful. Ballot results should inform politicians and civic organizations of issues on which they might successfully exercise leadership, particularly helping them mobilize a majority in favor of policy change when an opposed minority has successfully stopped it. By themselves, the ballot results did not seem to change political leaders' positions. But ballots are not the only impetus for change that CHOICES provided. Many changes in personal viewpoint and motivation have been reported, and Western Connecticut and Westchester civic and business organizations held follow-up conferences stimulated by CHOICES, aimed at direct action on some of the issues the project had put on the agenda.

Managing the Project

Three special management problems might well plague other CHOICES projects as they did Regional Plan: (1) raising the money while the project is going on, (2) operating a project that is as big as the whole continuing program of the sponsor, and (3) having to rely on volunteer help and short-term employees. Operating without a firm budget requires a sequence of priorities which can be plugged in as soon as added money is available. Doubling the staff requires adequate orientation and continued integration of new employees with old. Volunteers require a well-organized operation and good supervision or they should not be employed. Short-term organizers succeeded, on the whole, even though they were not fully experienced and had little time to learn. Contributed services caused some management problems but were well worth the extra trouble.

Regional Plan Association's CHOICES FOR '76

239103

TOWN MEETING ON HOUSING
Sample Ballot

TOWN MEETING SCHEDULE

1. HOUSING	— MARCH 17-19, 1973
2. TRANSPORTATION	— MARCH 31-APRIL 2, 1973
3. ENVIRONMENT	— APRIL 14-16, 1973
4. POVERTY	— APRIL 28-30, 1973
5. CITIES AND SUBURBS	— MAY 12-14, 1973

Please tell us a little about yourself below so that your views on the issues can have their full impact. THIS BALLOT IS ANONYMOUS. Your personal responses cannot be traced to you as an individual.

ZIP CODE of your home address. (refer to your Phone Book for ZIP)

ZIP CODE of the address where you regularly work, study or carry out daily activities

AGE. Enter the years of your age

SEX. Enter 1 for Female, 2 for Male.

How many children under 18 live in your household? Leave blank if none.

Do you feel you should have had more information on a CHOICE in this ballot? If so, enter the number of the CHOICE.

PLEASE CIRCLE THE NUMBER OF YOUR CHOICE

Do you consider yourself

1. Black   2. White
3. Other than Black or White   4. Puerto Rican

What is your approximate family income?

1. Under $4,000   2. $4,000-$8,500   3. $8,501-$13,000
4. $13,001-$20,000   5. $20,001-$35,000   6. Over $35,000

How far have you gone in school?

1. No High School diploma
2. High School diploma
3. Some education after High School
4. Four year college degree (B.A., B.S.)
5. Graduate or professional degree

In participating in this Town Meeting did you. (Circle as many as apply)

1. Watch the television program?
2. Read newspaper articles on CHOICES issues?
3. Read "HOW TO SAVE URBAN AMERICA," the CHOICES background book?
4. Discuss the issues in a group?

CIRCLE THE NUMBER OF YOUR CHOICE

CHOICE 1. Would you favor or oppose replacing local school taxes with some form of a state-wide tax?

1. FAVOR   2. OPPOSE   3. NO OPINION

CHOICE 2. To allow the construction of more private housing, would you favor or oppose zoning more vacant land for less expensive housing (attached or on small lots), even if some zoning responsibility were shifted to county or state governments?

1. FAVOR   2. OPPOSE   3. NO OPINION

CHOICE 3. Do you favor or oppose allowing more mobile home parks in this Region, providing they conform to high design standards?

1. FAVOR   2. OPPOSE   3. NO OPINION

CHOICE 4. Do you favor or oppose public programs which encourage the transfer of management responsibility for deteriorating housing from private owners to tenant groups and community organizations?

1. FAVOR   2. OPPOSE   3. NO OPINION

CHOICE 5. Do you favor or oppose greater public investment in rehabilitating and maintaining older city housing?

1. FAVOR   2. OPPOSE   3. NO OPINION

CHOICE 6. Where should most new subsidized (government assisted) housing for low-income people be built? Check one.

1. Predominantly <u>in</u> ghetto areas
2. <u>Outside</u> ghetto areas
3. No more subsidized housing should be built
4. No opinion

CHOICE 7. If low-income housing were to be located <u>away</u> from ghetto areas, what principle should govern site selection? Check one.

1. Require each municipality, regardless of location, to accept a "fair share" of new low-income housing.
2. Place low-income housing only near jobs and public transportation
3. No opinion

CHOICE 8. Would you favor or oppose a shift away from building public housing projects for low-income families toward providing them with a "housing allowance" that enables them to purchase or rent moderate-income housing in the private market?

1. FAVOR   2. OPPOSE   3. NO OPINION

CHOICE 9. To encourage middle-income people to live in cities, would you favor or oppose greater subsidies for middle-income housing in cities?

1. FAVOR   2. OPPOSE   3. NO OPINION

BALLOT MUST BE TAPED HERE

Funding for CHOICES FOR '76

as of February 14, 1973

Financial support has included a major grant from the U.S Department of Housing and Urban Development and contributions from the following foundations and corporations.

FOUNDATIONS

Vincent Astor Foundation
Robert Sterling Clark Foundation
The Ford Foundation
Fund For The City Of New York
J M Kaplan Fund
Charles F Kettering Foundation
New York Community Trust
New York Foundation
Ralph E Ogden Foundation
Olin Corporation Charitable Trust
The Prospect Hill Foundation
Rockefeller Brothers Fund
Rockefeller Foundation
The Florence and John Schumann Foundation
Taconic Foundation
Wallace Eljabar Fund

COMMERCIAL BANKS

American National Bank & Trust Company
Bankers Trust Company
Chemical Bank
Connecticut Bank & Trust Company — Darien
First National City Bank
First National State Bank of New Jersey
Irving Trust Company
Manufacturers Hanover Trust Company
Marine Midland Bank — New York
Peoples Trust of New Jersey — Hackensack
Prospect Park National Bank — New Jersey
State National Bank of Connecticut — Bridgeport

Prime Contributors

The Bell System
Chase Manhattan Bank
Coca-Cola Bottling Co of New York
IBM

SECURITIES INDUSTRY

Bache & Co Inc
Charles E Merrill Trust
Paine Webber Jackson & Curtis
Shearson Hammill & Co

INSURANCE COMPANIES

Equitable Life Assurance Society
Insurance Company of North America
Mutual Life Insurance Company of New York
Mutual Benefit Life Insurance Company
New York Life Insurance Company
Prudential Insurance Company of America
Teachers Insurance & Annuity Association of America

INDUSTRIAL CORPORATIONS

CIBA GEIGY Corporation
Continental Can Company
General Electric Company
General Telephone & Electronics Corporation
International Paper Company
Merck & Company
Moore Business Forms Inc
J C Penney Company
Pfizer Incorporated
Schering Corporation
Singer Company
The Sperry & Hutchinson Company

UTILITIES

Bell Laboratories
Consolidated Edison Company of New York
Long Island Lighting Company
New Jersey Bell Telephone Company
New York Telephone Company
Public Service Electric & Gas Co
Southern New England Telephone Company
Western Electric

SAVINGS BANKS

American Savings Bank
Bowery Savings Banks
The Bronx Savings Bank
Central Savings Bank
City Savings Bank — Bridgeport
Dime Savings Bank of New York
Dry Dock Savings Bank
Emigrant Savings Bank
Greenwich Federal Savings and Loan Association
The Lincoln Savings Bank
New York Bank for Savings
Norwalk Savings Society
People's Saving Bank — Bridgeport
South Norwalk Savings Bank
Stamford Saving Bank
United States Savings Bank of Newark New Jersey

FOLD BACK HERE SECOND

PLACE STAMP HERE

GEORGE GALLUP, CHOICES FOR '76
P.O. BOX 1476
GRAND CENTRAL STATION
NEW YORK, NEW YORK 10017

FOLD BACK HERE FIRST

In which direction shall we head this New Jersey, New York, Connecticut Urban Region, in time for the Nation's 200th anniversary in 1976? This is your chance to tell those who are making the decisions. Information explaining the CHOICES is being presented on one-hour TV programs to be broadcast over all the Region's TV channels. Many newspapers will publish articles on the CHOICES. "HOW TO SAVE URBAN AMERICA," available at newsstands and bookstores, provides more background. Many schools, churches, union, businesses, civic organizations and individual citizens are forming groups to watch the program and discuss the issues before each person marks a ballot. Participate in a group if possible. Votes will be announced quickly via newspaper, radio and TV.

2

PROFESSIONAL CONSENSUS MODEL

Prepared under USOE Multi-State Grant from Section 505, Title V-A, ESEA, entitled Identifying Unified Policy Setting Models.

Administering State: OHIO, Martin W. Essex, Superintendent of Public Instruction

Participating States: GEORGIA, Jack P. Nix, State Superintendent of Schools

IOWA, Robert D. Benton, Superintendent of Public Instruction

PROFESSIONAL CONSENSUS MODEL

This model has 22 necessary components and 22 matching optional elements comprising those components, as shown on the following pages.

Each element is one choice from among the available alternatives; thus each element could be replaced with another--perhaps better--element to adapt it to a particular situation. The model should be adapted to the agency, time, place, and circumstances in which it will be used.

The accompanying case illustration--immediately following the 22-item profile and the 22-item description of the model itself--does not use the model in its pure form, of course. Some elements have been replaced and some new components have been added. The case illustrates flexible, skillful use of the general ideas in the model rather than rigid adherence to them.

PROFILE OF PROFESSIONAL CONSENSUS MODEL

Necessary Components	Optional Elements
1. PURPOSE	☑ Select goals
	☑ Select problems
	☑ Select solutions
2. SPONSOR	☑ Policy-setting agency
	☐ Official advisers to agency
	☐ Clients of agency
	☐ Respected public interest group
3. PERSONNEL	☑ Agency staff
	☑ Consultants
	☑ Outside organizations
4. IDENTIFYING ISSUES AND OPTIONS	☑ Expert testimony
	☑ Commissioned papers from experts
	☑ Relevant literature
	☑ Interviews with sample of participants
5. FRAMING DEBATE	☑ Restricted list of topics
	☐ Restricted list of options
6. SELECTING PARTICIPANTS	☐ Sponsor selects
	☑ Cooperating organizations select
	☐ Participants select themselves

7. TYPES OF PARTICIPANTS

- [x] Leaders
- [x] Spokespersons
- [x] Individuals speaking for themselves

8. NUMBER OF PARTICIPANTS

- [ ] Up to 100
- [ ] 100 to 1000
- [x] Over 1000

9. EXPERTISE OF PARTICIPANTS

- [ ] Low
- [ ] High
- [x] Combination

10. DETERMINING ACCEPTABILITY TO PARTICIPANTS

- [ ] Rely on past experience
- [x] Ask leaders
- [x] Ask spokespersons
- [x] Survey sample of prospective participants

11. TYPE OF INFORMATION TO BE SUPPLIED TO PARTICIPANTS

- [x] Topics
- [x] Background
- [x] Short descriptions of options
- [x] Arguments pro and con
- [ ] Sample policy statements
- [ ] Definitions of key terms.

12. TYPE OF INFORMATION TO BE COLLECTED FROM PARTICIPANTS

- [x] Arguments
- [x] Choices of options
- [x] New options

13. MEDIA FOR SUPPLYING INFORMATION

- [ ] Television
- [ ] Radio
- [ ] Newspapers
- [ ] Magazines
- [x] Brochures
- [ ] Books
- [x] Meetings
- [ ] Telephone

14. MEDIA FOR COLLECTING INFORMATION

- [x] Face-to-face individual interviews
- [x] Face-to-face group interviews
- [x] Telephone individual interviews
- [ ] Voice votes at meetings
- [ ] Applause at meetings
- [x] Questionnaires at meetings
- [x] Questionnaires by mail
- [ ] Questionnaires at public places
- [ ] Responses at computer terminals

15. IDENTIFYING PARTICIPANTS

- [x] Names of individuals 4
- [x] Professional position
- [x] Organization membership
- [x] Demographic characteristics
- [ ] Geographic location
- [x] Unidentified

16. WEIGHING OPINIONS

- [x] One person, one vote
- [x] Special weight for professional position
- [x] Special weight for organization membership
- [x] Special weight for demographic characteristics
- [ ] Special weight for geographic location

17. CONVERGING OPINIONS
- [x] Discussion
- [x] Exchanging minutes
- [ ] Repeated voting

18. REPORTING OPINIONS
- [x] Majority views
- [x] Minority views
- [x] Special populations' views

19. PRESENTING RESULTS TO POLICY-SETTING BODY
- [x] Written report
- [x] Oral report

20. PRESENTING RESULTS TO PARTICIPANTS
- [ ] Television
- [ ] Radio
- [ ] Newspapers
- [ ] Magazines
- [x] Brochures
- [ ] Books
- [x] Meetings
- [ ] Telephone

21. TIME SPAN
- [ ] Several months
- [x] One year
- [ ] Several years

22. COST
- [ ] Under $25,000
- [x] $25,000 to $100,000
- [ ] Over $100,000

DESCRIPTION OF PROFESSIONAL CONSENSUS MODEL

1. Its purpose is to determine goals, sort out problems, and select solutions to those problems by going to those specialized experts and general practitioners in the profession upon whose good opinion the effectiveness of the educational agency depends.

2. It is sponsored by the policy setting agency itself, for which it is a basic and continuing approach to policy determination because it depends upon professional good will and endorsement for its success.

3. It is staffed by agency personnel, supplemented by widely recognized outside consultants known to be expert in the matters being debated and by outside organizations to assist with producing substantive publications and with logistical matters at meetings.

4. It identifies potential goals, significant problems, and possible solutions by using a combination of expert testimony gathered through face-to-face and telephone interviews, commissioned papers to explicate issues and options and to provide in-depth background information and reasoning, surveys of relevant literature, and interviews with samples of participants.

5. It uses a restricted list of topics and a suggested list of options but invites scholars, experts, and general practitioners to improve the agenda, the arguments, and the solutions.

6. It asks a broad group of cooperating professional associations to appoint or select participants as a way of assuring that many individuals will take part and as a way of gaining endorsement for the enterprise from those associations so as to make it credible.

7. It invites elected and appointed leaders and others who typically serve as spokesmen for their professional colleagues to take part, along with a cross-section of the membership of the cooperating organizations.

8. It seeks to involve many thousands of individual professionals partly to gain an accurate understanding of their views and partly to increase the constituency and improve the image of the agency.

9. It uses procedures appropriate for an enormous range of professional knowledge because it assumes that distinguished scholars in the substance of the discussions as well as persons completely unfamiliar with the issues and options will want to air their views.

10. It checks every aspect of the operational plan and the text of every agency statement about the issues and options with leaders, spokespersons, and typical members of the cooperating organizations before making them official.

11. It supplies all participants with a list of topics, background reading, an overview of the process itself, brief descriptions of the problems and possible solutions, and balanced pro and con arguments about the options.

12. It collects the participants' arguments, choices of options, new options, and new issues as well as deliberately seeking lessons learned from their professional experiences.

13. It avoids all forms of mass media and depends instead on a series of special publications prepared by the agency staff and outside consultants and organizations--plus attendance by the agency staff at many meetings of the cooperating organizations--to explain the issues and the options to participants.

14. It collects information from participants through face-to-face interviews with distinguished scholars and well-placed leaders and spokespersons, through face-to-face interviews with significant groups of professionals, through frequent telephone interviews with influential individuals, and through questionnaires collected at meetings and returned to the agency by mail.

15. It identifies influential individuals by name, position, organization membership and degree of professional expertise; it identifies general practitioners in the profession only by professional position but not by name or other characteristics.

16. It assigns distinctly different weights to the opinions of participants according to their professional positions, memberships, and demographic characteristics, giving especially heavy weights to those who are most expert in the substance being discussed and who are expected to have a close relationship with the agency in the future.

17. It relies on discussion at meetings and the exchanging of minutes among groups as means of converging opinions, along with a serial arrangement of meetings that allows for cumulative thinking by successive groups.

18. It reports majority, minority, and special populations' views, giving differentiated weights to those views not according to quantity but according to the professional standing of those holding the views.

19. It presents results to the governing board and the chief administrators of the agency in a complete technical report accompanied by elaborate oral explanations and interpretations.

20. It summarizes results for participants and for the profession at large in brochures and through presentations by agency staff at meetings of the cooperating organizations.

21. It takes place during a period of at least one year--or longer if necessary to build general understanding and a consensus, at least among highly influential professional leaders.

22. It costs from $25,000 to $100,000, depending upon the number of issues to be considered and the number of participants to be involved.

Case Illustration 2: NATIONAL INSTITUTE OF EDUCATION

Curriculum Development Policy

SEEKING CONSENSUS

The National Institute of Education is a unit within the Department of Health, Education and Welfare specifically concerned with research and development in education. As an agency separate from and parallel to the U.S. Office of Education, NIE is responsible for generating new scientific knowledge and creating new educational ideas and products to improve education.

Policy for NIE is determined by its National Council on Educational Research (NCER). The membership of NCER consists of laypersons and professionals.

The NIE Curriculum Development Task Force was established in November, 1975. It is a temporary group specifically responsible for conducting a national discussion of curriculum development and implementation issues about which NCER must formulate policy for NIE. The Task Force began its work in November, 1975, and expects to conclude it early in 1977.

Curriculum Development Singled Out as a Problem

In August, 1975, a group of outside consultants appointed by NIE submitted to NCER and to the Director a report titled R & D Funding Policies of the National Institute of Education: Review and Recommendations. One recommendation concerned "Issues of the Present Value of Curriculum Development as a Strategy For Aiding Schools":

> That the NIE devote explicit and public attention to issues of the present value of curriculum development as a strategy for aiding schools. We sense strongly-held and diverse views on the subject, and there appear to be policies ~~made~~, in part, on private judgements of the merits of the case. But we notice little public airing of the debate. Some writing, convening, and general discussion of the value of Federal support of curriculum development would be a national service, as well as useful in reaching and explaining a key NIE policy choice.

In September, 1975, NCER passed the following resolution:

> The Council requests the Director to arrange, if possible in conjunction with NSF and the Chief State School Officers, for the preparation of contending, informed "briefs" on the value of curriculum change as an aid to schools, for systematic public discussion of the briefs, and for the preparation of recommendations to the Federal Government on future funding policy in this area.

NCER instructed its Program Subcommittee to oversee the work of the Task Force and to keep NCER informed about its progress.

Identifying Curriculum Issues

In November, 1975, the NIE Director appointed a 4-member Task Force and an 11-member Steering Committee to oversee its work. The Task Force then appointed five outside expert consultants in curriculum to assist it in identifying the foremost issues, problems, and concerns in curriculum development and implementation.

First Round of Interviews. In December, 1975, Task Force members and other NIE staff interviewed representatives of over 60 organizations of laypersons and professionals and studied almost 50 documents. That work turned up an agenda of six critical curriculum issues:

1. Who should play what roles in curriculum development and change? What roles should be played by national, regional, and state agencies? by parents' and citizens' organizations? by schools and districts? by professionals and experts?

2. In situations where values conflict, whose values should be embodied in the curriculum of the schools and how should this be decided?

3. Should the Federal Government be involved in curriculum development? If so, how?

4. How can local prerogatives with respect to curriculum development be preserved and enhanced?

5. How beneficial have been the curriculum changes of the past two decades?

6. What kinds of substantive curriculum improvements are needed now?

A Call for a Larger Conversation

It quickly became clear to the Task Force that these curriculum issues concerned an enormously wide array of individuals and groups. What made it so clear was that the first wave of interviews shouwed the following:

1. The over-riding interest was in having a piece of the action at all levels of decision-making. This means having a voice in what federal and state agencies do, as well as seeing to it that local prerogatives are in no way usurped or infringed upon by these agencies. In fact, the classic curriculum questions of what shall be taught and of how programs shall

be organized were overshadowed by the desire to make a difference, to be consulted, and to be involved in the making of curricular decisions. While individuals and groups often had strong views on what should and should not be emphasized in school programs, concern for "who should make curricular decisions?" appeared to take priority over the question of "what shall be taught?"

2. This concern for involvement and for not "being put upon" was accompanied by a feeling of impotence, of not being heard, and of having only a limited scope of influence. There was also the view, rather widely held, that somebody else or some other group controls the ball game--be it professionals, bureaucrats, or some ubiquitous "they." In effect, there did not appear to be easy communication among groups with parallel concerns but different views. There were many different voices but little joining of these voices in a give-and-take exchange.

3. Most of the views expressed began with or implied assumptions about where decisions were being made, who was and was not listened to and, indeed, what existed in school programs and had to be changed. These assumptions virtually placed one set of positions in competition with some other set; there were antagonists and protagonists, imagined or real. There were undesirable things to be corrected in the schools, imagined or real. The claims and charges were often so contradictory or mutually exclusive that one is led to wonder what actually goes on in schools, whether generalizations are possible and whether anybody knows.

4. Although approaches to resolving the dilemmas for curricular improvement posed by the foregoing observations do not come through, the designated arena for resolution was local. The desired role perceived for federal involvement ranged from no activity in curriculum development to providing resources for those things not easily done solely by local communities. This raises the question as to whether federal (and state) agencies have a responsibility to serve both what various groups state as their interests and needs and what the Republic requires that may transcend more parochial matters. For example, the responses, with a few notable exceptions, failed to mention continuing crises in urban education, the educational needs of ethnic minorities, and those other problem areas dominating the national commitments of the '60's.

5. Related to much of the above, there was widespread dissatisfaction with the failure of past strategies of curriculum development and change to enlist the collaboration of many groups perceiving themselves to have a stake in the enterprise. Consequently, it is doubtful that any logical, rational approach guided solely by "experts" and theories will capture more than a very limited constituency. Further, there did

not arise out of an analysis of what individuals or groups said any strategies or proposals likely to capture the imagination of others. It appeared that there was a need to effect genuine debate over central issues; to sort out what various groups do, wish to do, and might do in curriculum development; and to provide the kinds of information about current programs and practices which might serve both to enlighten the debate and point to areas of needed improvement around which constructive, collaborative efforts might coalesce.

Alternative Plans for a Larger Conversation

In response, the Task Force went to NCER with several alternatives for enlarging the curriculum discussions. It said, in part:

> The NIE should provide a number of forums for discussion of current curriculum issues under conditions that would facilitate and encourage a more genuine debate than has heretofore taken place, and in which there would be a presentation of the full range of views and maximum attention paid to relevant research and scholarship. One goal of this exchange is to better inform the Institute and other agencies (Federal, state, local, and private) about the desires, interests, concerns, and capabilities of the various participants in curriculum development, and thereby to enable the Institute to decide whether and, if so, where and how to commit its energies. To provide such forums, the Institute could employ a variety of devices. It could:
>
> - Organize formal discussions at the scheduled meetings of concerned organizations, professional and lay.
> - Work with the Public Broadcasting Service or the commercial networks to create television programs for nationwide airing presenting issues and contending views. Possibilities in other media should be explored as well.
> - Sponsor conferences at which contending briefs could be presented and discussed, with the printed proceedings made available for the enrichment of local debates.
> - Distribute the various reports emerging from the Institute's curriculum activities to interested organizations with requests for their reactions. Summaries of the responses could be made part of the Institute's ongoing curriculum reporting. Specifically, should the Council approve of the present report as an expression of NIE's current plans and position with respect to curriculum change, the document should be circulated to interested parties. Responses should be solicited.

- Create a public affairs kit showing how local schools and school districts can organize public discussions of curriculum matters arising in their communities. Such a kit might include a list of resources and resource persons likely to be useful in such discussions, ideas for organizing the presentation of diverse points of view, and other helpful suggestions.

- Map out the arenas where curriculum actions now occur, the actors in the process, and the manner in which actions are taken.

- Commission position papers to explore ways to open up the process to all with a legitimate stake in the results. The papers should also examine ways to make the process more effective and efficient, and they should suggest actions NIE and other governmental agencies might take to bring about needed improvements.

Organizing a Larger Conversation

Early in 1976, the NCER Program Subcommittee recommended, and the full membership of NCER agreed, that the Task Force should undertake a six-month interlocked series of events to widen the conversation about what NIE should adopt as its curriculum development and implementation policy.

Bringing in an Outside Agency

The Task Force began to lay out the plan, continuing to talk with its outside consultants and to seek advice from other individuals and organizations as to what the total plan should be. The Task Force also retained an outside agency to help it plan and execute the series of events.

Those consultations resulted in the elaborate plan described below.

Developing Seven Products

In July, 1975, the Task Force presented to the NCER Program Subcommittee and received approval of a plan, a diagram of which appears on the following page.

The activities called for would result in a set of seven policy-shaping documents, as shown in the diagram.

The products are as follows:

1. Framework. The Task Force commissioned its outside agency to develop a logical outline for thinking about school improvements, focusing specifically on topics and issues

surrounding curriculum development as one means for curriculum improvement. It [illegible] to establish clear boundaries for the ensuing work (what is and what is not part of "curriculum development and implementation?") and to delineate a set of important, interrelated topics for the subsequent papers, discussions, and conference described below.

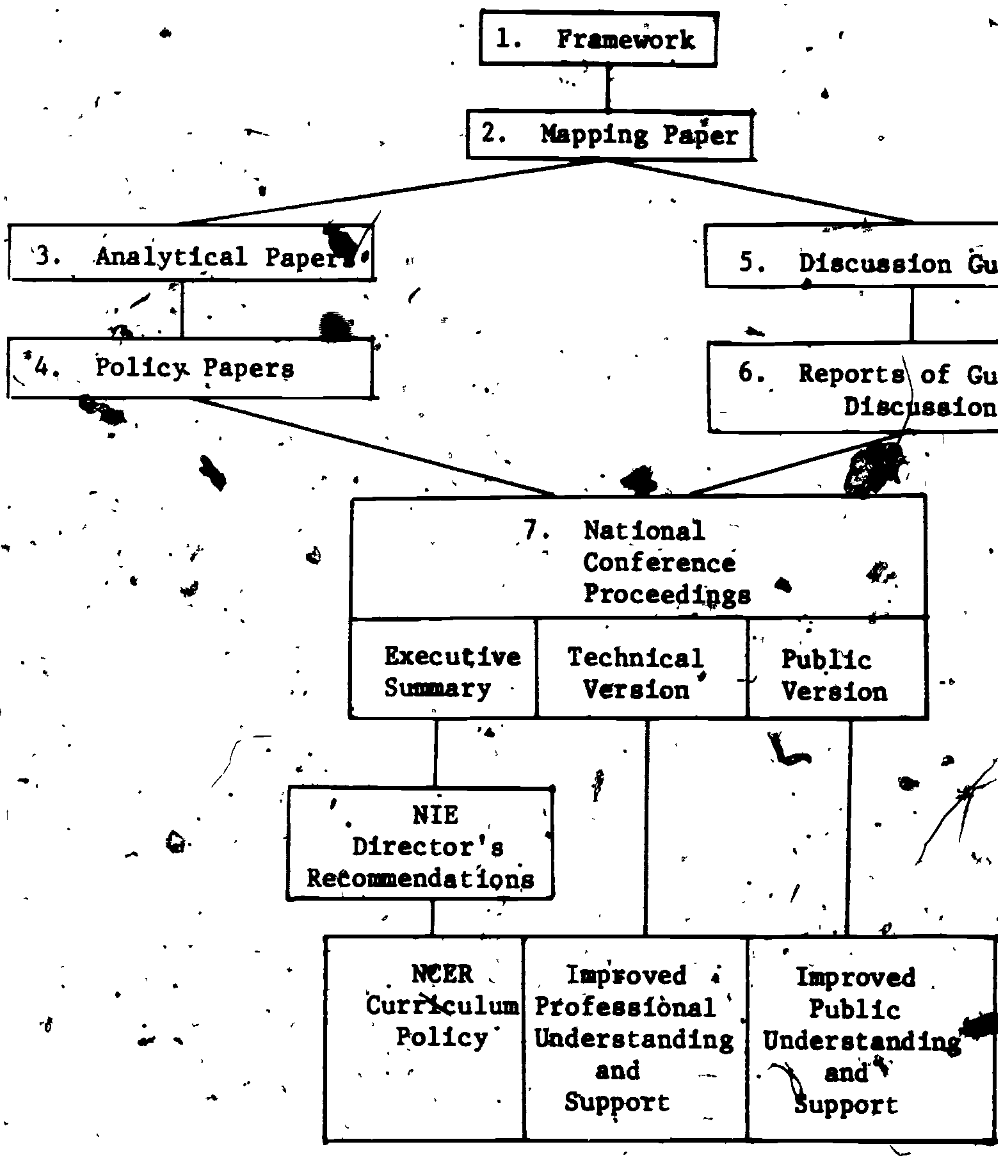
2. Mapping Paper. The Task Force also commissioned its outside agency to prepare a description of the current state of the nation's curriculum development enterprise: the participants, their activities, and dynamics of their interactions. Two versions were called for--the first a detailed, technical version for scholars, curriculum specialists, and other especially interested parties; the second a brief, readable version for the lay public. The mapping papers will be used to establish a backdrop for later papers and conversations and will serve to remind all writers and discussants of the complexity of curriculum activity in the United States.

3. Analytical Papers. The Task Force commissioned six individual scholars to prepare the following analyses:

   - A brief history of systematic curriculum development.
   - An assessment of the legal constraints, responsibilities, and rights of key actors and agencies in curriculum development.
   - Major approaches to curriculum development.
   - An assessment of forces influencing curriculum change and stability.
   - An assessment of who influences the curriculum and in what ways.
   - Educational improvements best served by curriculum development.

   The scholarly analyses will be used to bring forward the history of curriculum development and display what we have learned over several decades. The analyses will be used by the policy paper writers and by those attending the national conference described below.

4. Policy Papers. The Task Force will commission experienced federal policy advisors or advocates of varying policy positions to articulate the arguments for and against NIE's policy alternatives. These papers will be informed by the mapping paper and the analytical papers described above and by the discussion guides and the reports of guided discussions described below. They will be used by participants at the national conference to sharpen the issues and stimulate informed debate.


1. Framework
2. Mapping Paper
3. Analytical Papers
4. Policy Papers
5. Discussion Guides
6. Reports of Guided Discussions
7. National Conference Proceedings
Executive Summary
Technical Version
Public Version
NIE Director's Recommendations
NCER Curriculum Policy
Improved Professional Understanding and Support
Improved Public Understanding and Support

5. Discussion Guides. The Task Force commissioned its outside agency to prepare a set of discussion guides to provide focus to conversations at the meetings scheduled for the fall of 1976, insuring that the deliberations of the various groups will relate to the policy paper topics. This will allow the advice of the experienced federal policy advisors to be compared and contrasted with the advice coming from the diverse groups described below. That, in turn, will enable those attending the national conference to weigh advice from both sources. (Two samples of the set of ten discussion guides are attached.)

6. Reports of Guided Discussions. The Task Force will continue to meet with the representatives of many different educational constituencies at annual meetings (where people from all parts of the nation can participate) and at special meetings with various organizational leaders in Washington. In addition, the Task Force will provide quantities of discussion guides to organizations wishing to hold their own meetings or to mail the guides to their membership as mail-back ballots. The Task Force will write minutes of its meetings with various groups and will tabulate responses to the guides, reporting the results to participants at the national conference described below.

7. National Conference Proceedings. The Task Force will sponsor a national conference at the end of 1976. It will be attended by the paper writers, representatives of important educational constituencies, and representatives of federal agencies having an interest in curriculum development. The results of the deliberations conducted up to that point will be presented in writing and in speeches at the conference, which is expected to synthesize the thinking done up to that time and--hopefully--to reach concensus on what curriculum policies NCER should adopt for NIE. The set of published conference proceedings will include summaries of the various papers, digests of what the participants said about those papers, and summaries of the participants' policy recommendations to the federal government.

   Three versions of the papers will be prepared: The first an executive summary of key points to guide the NIE Director in making curriculum policy recommendations to NCER, the second a detailed technical monograph, and the third a book or series of articles for the general public.

Anticipated Results

The Task Force expects that the above activities and products resulting therefrom will enable the Director in December, 1976, to submit a report to NCER explaining the following:

1. The nature of important current issues in curriculum development and implementation and in federal curriculum policy.

2. Alternative positions and arguments with respect to each issue.

3. The positions of specific groups (students, teachers, administrators, etc.) with respect to each issue.

4. The main alternative policy stances for NIE.

5. The likely assets and liabilities of each stance.

6. The Director's policy recommendations.

Moreover, the Task Force expects the results will lead to improved professional and public understanding and support of whatever curriculum policies NCER adopts for NIE.

NIE CURRICULUM DEVELOPMENT ISSUES

Guides for Public Discussion

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
NATIONAL INSTITUTE OF EDUCATION
WASHINGTON, D.C. 20208

OFFICE OF THE DIRECTOR

The enclosed discussion guides are a significant part of the work of the NIE Curriculum Development Task Force, which was established in November, 1975, at the request of NIE's policy making body, the National Council on Educational Research.

The National Council is now considering a number of policy choices for guiding NIE's curriculum activities. The Council has asked the Task Force to gather information that will help to guide those policy choices.

The Council is seeking the answers to these questions:

1. How should NIE define "curriculum"?
2. Should NIE develop new curricula?
3. Should NIE evaluate new curricula?
4. Should NIE help implement new curricula?
5. Who should plan curriculum activities with NIE?
6. How much curriculum leadership should NIE exert?
7. Who should perform curriculum activities for NIE?
8. Should NIE emphasize research, development, or implementation?
9. How should NIE divide its development efforts?
10. What types of new curricula should NIE develop?

One of the most crucial types of information for answering these questions is the views of all interested parties--parents, other citizens, students, school personnel, curriculum specialists, scholars, and so forth. For each question, the Task Force has developed a yellow discussion guide outlining some policy choices and it has developed a blue summary of all choices for all questions. The yellow guides and the blue summary accompanying this letter have been designed to help us collect your views, either in a discussion session or through your written reactions.

Thank you for your time and interest in responding to these questions. We look forward to hearing from you and promise to consider your statements carefully as we develop our policies.

Harold L. Hodgkinson

Harold L. Hodgkinson
Director

What The Task Force Has Done So Far

A year ago the Task Force began by identifying curriculum issues, problems, and concerns expressed by professionals and laypersons in over 60 organizations and in 50 key documents. The results were published in January, 1976 as Current Issues, Problems, and Concerns in Curriculum Development. The report was widely circulated. (Write for a copy if you are interested.)

Last spring the Task Force continued to seek opinions and then condensed the issues into the accompanying yellow discussion guides and blue summary.

Last summer the Task Force commissioned a national panel of scholars to to describe curriculum development in the U.S. during the past century--particulary the past 20 years--commissioned a national cross-section of curriculum developers to tell what they have learned through personal experience, and commissioned a national panel of policy analysts to write the merits of alternative curriculum policies for NIE. (Write for copies of the papers if you are interested.)

What The Task Force Is Doing Now

The Task Force is currently holding meetings to discuss the topics in the discussion guides. And it is working with professional associations and other organizations to mail the guides to interested members who want to send in their opinions.

What The Task Force Will Do Next

This winter the Task Force is sponsoring a national conference at which the scholars, the experienced curriculum developers, the policy analysts, local school personnel, state and Federal officials, and laypersons will discuss issues in curriculum development, what would be an appropriate Federal role, and what would be the best role for NIE. (Write for a copy of the proceedings if you are interested.)

How To Voice Your Opinion

By responding to the discussion guides, any individual can act as a policy advisor. Opinions expressed at meetings, by telephone, and in the mail will become a very important part of what the Task Force sends to the National Council.

Please discuss, telephone, write, or simply use the blue summary accompanying the yellow guides. (You are welcome to keep the guides.)

If you choose to use the blue summary, note that it contains a place to indicate your opinion on the alternatives presented in each yellow guide. After studying each guide and forming an opinion, select an alternative in the summary or write your own. Then send the summary to us soon so that your opinions can be considered.

Those Are Not NIE's PROs And CONs In The Guides

Those PROs and CONs in the yellow guides are not NIE's arguments, please remember. They are simply arguments the Task Force has heard and are repeated in the guides to stimulate discussion. They do not necessarily indicate NIE's views.

NIE

THE NATIONAL INSTITUTE OF EDUCATION

The National Institute of Education (NIE) was created by the Congress in 1972 to "help solve or alleviate" critical problems of American education through research and development.

The need was and is clear. The Nation invests nearly $120 billion per year in education--more than the total U.S. defense budget--yet less than a fraction of one percent of the total is spent on research and development to improve education. By comparison, agriculture spends about 3.2 percent on research and development; health about 3.6 percent.

The quality of education our children receive will help to determine their future. If we are to improve American education, we must make a firm National commitment to examine critical problems, develop new methods and practices, try out new ideas in schools, evaluate their effectiveness, and help States and local districts adopt proven ideas and practices. State education agencies and local school districts simply do not have the time, money, or personnel to carry on such research and development programs. Nor could the Nation afford the endless duplication that would result from such localized efforts. With this in mind, the Congress concluded in NIE's enabling legislation that "while the direction of the education system remains primarily the responsibility of State and local governments, the Federal government has a clear responsibility to provide leadership in the conduct and support of scientific inquiry into the educational process."

CONTINUED ON THE NEXT PA

---- CUT ALONG THIS LINE ----

---- FOLD ALONG THIS LINE ----

IF YOU WISH MORE INFORMATION, CUT OFF, SEAL WITH TAPE AND MAIL TO NIE.

Please send me any materials circulated by the Curriculum Development Task Force.

Name ______________________________
Please print clearly

Position ______________________________

Institution ______________________________

Mailing Address ______________________________
Number Street

____
City State Zip

Now in its fourth year, NIE has developed a specific problem-oriented program that responds to the concerns and needs of educators, the Congress, and the American public. Institute policy is set by the National Council on Educational Research, a panel of distinguished citizens appointed by the President and confirmed by the Senate. To focus NIE activities on the most pressing academic and administrative problems in the schools, the Council has identified six program areas which form the basis for the Institute's organization. They are: Basic Skills; Educational Equity; Education and Work: Finance and Productivity; School Capacity for Problem Solving; and Dissemination and Resources.

The Institute's plans and activities within each program reflect more than two years of work, involving Chief State School Officers, the Congress, representatives of education associations and minority groups, State legislators, Federal officials, State and local school board members, and scores of teachers, researchers, and school administrators.

To prepare those plans, the Institute has held national conferences on such issues as reading comprehension problems; teaching competencies; "white flight" from urban to suburban communities; declining test scores; mathematical skills; racial, ethnic, or sexual test bias; the role of Federal and State governments in disseminating educational innovations and information; the educational needs of women and minorities; and the neural mechanisms that affect learning and memory.

The Curriculum Development Task Force is continuing that kind of involvement.

CUT ALONG THIS LINE

SEAL HERE

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DEPARTMENT OF
HEALTH, EDUCATION, AND WELFARE
NATIONAL INSTITUTE OF EDUCATION
WASHINGTON, D.C. 20208

PLACE
STAMP
HERE

Jon Schaffarzick, Chairman
NIE Curriculum Development Task Force
National Institute of Education
Room 815
1200 19th Street, N.W.
Washington, D.C. 20208

NIE CURRICULUM POLICY DISCUSSION GUIDE

ONE IN A SERIES

NIE wants to know what you think about the policy alternatives it is considering on this topic. Please discuss, telephone, write, or simply indicate your opinion on the blue summary accompanying these guides and send it to us. If you want further information, please send your name and address.

(4)

SHOULD NIE HELP IMPLEMENT NEW CURRICULA?

The best designed new curricula have no value whatever to students unless they are properly implemented--properly put into practice in the classroom.

If NIE develops new curricula, what should it do about moving them into use by the schools?

One answer is: nothing at all. A reasonable answer. But there are other equally reasonable answers. One is that if NIE has a good reason to develop new curricula, it has an equally good reason to get them used.

But there are answers between those two. NIE might simply offer to cooperate with others who wish to distribute what it has developed. Or it might take its products as far as commercial publication, leaving their fate to the energies of the publishers and the judgments of the schools as to whether they will be purchased. Or it might instead improve the abilities of local education agencies to choose good products and to use them wisely.

Refer to the last page of this guide for background information

Turn to page 4 of the enclosed blue summary. As you read the following discussion, check alternatives on the summary or write your own. And write better arguments in the margins of the summary.

IF NIE DEVELOPS NEW CURRICULA, WHAT SHOULD IT DO ABOUT MOVING THEM INTO USE BY THE SCHOOLS?

1. Nothing. NIE should make no attempt to get its products used.

   PRO • Federal products ought to be selected by the schools on their own merits. They ought to compete with alternative curricula under normal market conditions. If they are poor, they do not deserve Federal promotion. If they are strong, they do not need Federal promotion.

   CON • Anything worth developing is worth using. Anything distinctly better is likely to be distinctly different. Anything distinctly different will need some kind of special promotion, at least at the beginning.

2. Supply information. NIE should offer information (descriptive brochures, illustrative lessons, sample test items) about its new curricula but should play an essentially passive role even at that and should go no further.

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Prepared for NIE by Policy Studies in Education, New York, New York

PRO • NIE owes it to local education agencies, state education agencies, and publishers to announce what it has produced. This is service, not a promotion.

CON • A passive offer of information is not enough to bring new curricula to the attention of the schools, given the flood of competing promotional information they get from other sources. NIE must go further simply to get its products a fair hearing.

3. Stimulate others. NIE should encourage others to help schools use its products. Publishers, nonprofit organizations, universities, state education agencies, service centers in intermediate school districts, individual school districts and cooperatives such as study councils are positioned to to this. Encouragement can come in the form of announcing the new products, explaining the problems and opportunities they address, and suggesting what kinds of training and assistance teachers might need to use them.

PRO • NIE must bring its products at least this far--showing them to prospective distributors and encouraging their interest--if schools are to learn that they exist. This stops short of promotion. Moreover, it interposes a decision-making layer between NIE and the schools to double-check NIE's views about its own products.

CON • No. Federal "encouragement" today will become Federal subsidies tomorrow. The fact that new curricula were Federally-supported--along with their apparent quality--will be sufficient encouragement to distributors. Any product with those advantages which fails to look attractive does not merit distribution.

4. Arrange for publication. NIE should arrange for publication of its curricular materials, offering attractive copyrights and accepting modest royalties to promote their widespread distribution.

PRO • This is the minimum NIE must do to insure that schools get a chance to purchase its products. But purchase is not obligatory and a commercial product must clear many hurdles to be selected by the schools. Thus Federal domination of the curriculum is not a risk.

CON • The repeated experience of the National Science Foundation in marketing its science courses through commercial publishers demonstrated that Federal curriculum products have an immediate and unfair competitive edge in the marketplace, even if they do not merit it. If an NIE product merits publication, publishers will seek it out. NIE need not initiate the publication of worthy products.

5. Offer training and technical assistance. NIE should provide training (either in how to use its specific products or in how to use new products of the same type) to help institutions and classroom teachers implement them.

PRO • Good development means nothing without good implementation. The key to good implementation is good training.

CON • Money for research and development in general education is extremely scarce. NIE's budget is the largest single pool of such money. NIE should not spend those scarce dollars on training and marketing.

6. Promote NIE curricula. NIE should offer the full range of implementation supports needed to promote the spread of its new curricula, taking every necessary step from announcing their availability through arranging the publication of their curricular materials to training teachers in how to use them.

PRO • Judgments about the need for new curricula should be made before they are developed. Once they are developed and tested, anything less than active promotion effectively reverses the original decision and wastes the money spent to create them.

CON • This is without question the surest way to Federalization of the curriculum. It would soon eliminate the diversity and variety that have enriched our culture and sustained our democracy for 200 years.

7. Build selectivity rather than building demand. What NIE should create in the schools is not a desire for its products but instead the ability to choose products intelligently. It should publish guides to help the schools choose products, suggest techniques for small-scale pilot evaluations before massive implementation, discuss what kinds of products work best in what circumstances when used by what teachers with what students.

PRO • NIE should seek nothing more than intelligent consumers. It should let its products stand or fall on their merits.

CON • The best way for NIE to create intelligent consumers is to promote the spread of better products. An educated consumer cannot improve his situation if there is nothing better to consume.

BACKGROUND

The Importance of Curricular Materials. Teachers in elementary and secondary schools depend heavily on instructional materials to carry the substantive content and to support the instructional methods of their teaching. The most useful materials and thus the most influential are those designed for use by students rather than those designed for use by teachers.

It follows that new curricula which cannot be expressed in the form of student materials have difficulty reaching the classrooms and may not stay permanently once they arrive. For example, programs which enter the classrooms in the hands of trained teachers but without supporting pupil materials may leave the classrooms when those teachers leave. In contrast, programs which arrive in the form of student materials--as in the case of textbooks adopted, purchased, and retained in five-year cycles--may survive a shifting cadre of teachers.

Student materials, usually in the form of textbooks designed to provide a year's worth of information and classroom activities, are produced and marketed to schools by commercial publishers. The publishers maintain national distribution networks through advertising and sales representatives which give them access to virtually all the school markets they wish to reach.

This means that new curricula developed by NIE will probably have to travel--possibly in the form of textbooks--through commercial publication channels if they are to reach an appreciable number of schools and to continue in use. Thus the question of how much initiative NIE should use in placing its products into those channels and helping move them through is critical.

The Importance of Teacher Training. Historically, preservice teacher training dealt in specific teaching techniques and occasionally in specific instructional products. But in recent decades--especially since the 1930s--teacher training has become much less specific. New teachers are fairly well grounded in the substantive content they must teach, know something about student psychological development, have a general understanding of classroom organization and teaching methods, but have limited field experience in actual classroom teaching. (The current movement toward competency-based teacher preparation has reversed this trend in some institutions but is not typical nationwide.)

Inservice teacher education is largely a matter of on-the-job learning under sparse supervision. This has been particularly true since the 1930s.

Both beginning teachers and experienced teachers can cope reasonably well with traditional school curricula. But distinctive new curricula which require distinctive new teaching behaviors are difficult for many teachers to implement unless they get special training in those new behaviors.

This means that if NIE produces new curricula which require very different kinds of teaching, some kind of training must be provided. Thus the issue of how NIE should arrange for that training is critical.

3

PUBLIC/PROFESSIONAL CONSENSUS MODEL

Prepared under USOE Multi-State Grant from Section 505, Title V-A, ESEA, entitled Identifying Unified Policy Setting Models.

Administering State: OHIO, Martin W. Essex, Superintendent of Public Instruction

Participating States: GEORGIA, Jack P. Nix, State Superintendent of Schools

IOWA, Robert D. Benton, Superintendent of Public Instruction

PUBLIC/PROFESSIONAL CONSENSUS MODEL

This model has 22 necessary components and 22 matching optional elements comprising those components, as shown on the following pages.

Each element is one choice from among the available alternatives; thus each element could be replaced with another—perhaps better—element to adapt it to a particular situation. The model should be adapted to the agency, time, place, and circumstances in which it will be used.

The accompanying case illustration—immediately following the 22-item profile and the 22-item description of the model itself—does not use the model in its pure form, of course. Some elements have been replaced and some new components have been added. The case illustrates flexible, skillful use of the general ideas in the model rather than rigid adherence to them.

PROFILE OF PUBLIC/PROFESSIONAL CONSENSUS MODEL

Necessary Components	Optional Elements
1. PURPOSE	☐ Select goals
	☐ Select problems
	☑ Select solutions
2. SPONSOR	☑ Policy-setting agency
	☐ Official advisers to agency
	☐ Clients of agency
	☐ Respected public interest group
3. PERSONNEL	☑ Agency staff
	☐ Consultants
	☑ Outside organizations
4. IDENTIFYING ISSUES AND OPTIONS	☑ Expert testimony
	☐ Commissioned papers from experts
	☐ Relevant literature
	☑ Interviews with sample of participants
5. FRAMING DEBATE	☑ Restricted list of topics
	☐ Restricted list of options
6. SELECTING PARTICIPANTS	☑ Sponsor selects
	☑ Cooperating organizations select
	☑ Participants select themselves

7. TYPES OF PARTICIPANTS

- [x] Leaders
- [x] Spokespersons
- [x] Individuals speaking for themselves

8. NUMBER OF PARTICIPANTS

- [ ] Up to 100
- [ ] 100 to 1000
- [x] Over 1000

9. EXPERTISE OF PARTICIPANTS

- [ ] Low
- [ ] High
- [x] Combination

10. DETERMINING ACCEPTABILITY TO PARTICIPANTS

- [x] Rely on past experience
- [x] Ask leaders
- [ ] Ask spokespersons
- [ ] Survey sample of prospective participants

11. TYPE OF INFORMATION TO BE SUPPLIED TO PARTICIPANTS

- [x] Topics
- [x] Background
- [x] Short descriptions of options
- [x] Arguments pro and con
- [x] Sample policy statements
- [x] Definitions of key terms

12. TYPE OF INFORMATION TO BE COLLECTED FROM PARTICIPANTS

- [ ] Arguments
- [x] Choices of options
- [x] New options

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13. MEDIA FOR SUPPLYING INFORMATION

- [ ] Television
- [ ] Radio
- [ ] Newspapers
- [ ] Magazines
- [x] Brochures
- [ ] Books
- [x] Meetings
- [ ] Telephone

14. MEDIA FOR COLLECTING INFORMATION

- [ ] Face-to-face individual interviews
- [x] Face-to-face group interviews
- [ ] Telephone individual interviews
- [ ] Voice votes at meetings
- [ ] Applause at meetings
- [x] Questionnaires at meetings
- [ ] Questionnaires by mail
- [ ] Questionnaires at public places
- [ ] Responses at computer terminals

15. IDENTIFYING PARTICIPANTS

- [x] Names of individuals
- [x] Professional position
- [x] Organization membership
- [ ] Demographic characteristics
- [ ] Geographic location
- [ ] Unidentified

16. WEIGHING OPINIONS

- [ ] One person, one vote
- [x] Special weight for professional position
- [x] Special weight for organization membership
- [ ] Special weight for demographic characteristics
- [ ] Special weight for geographic location

17. CONVERGING OPINIONS

- [x] Discussion
- [x] Exchanging minutes
- [x] Repeated voting

18. REPORTING OPINIONS

- [x] Majority views
- [ ] Minority views
- [x] Special populations' views

19. PRESENTING RESULTS TO POLICY-SETTING BODY

- [x] Written report
- [ ] Oral report

20. PRESENTING RESULTS TO PARTICIPANTS

- [ ] Television
- [ ] Radio
- [ ] Newspapers
- [ ] Magazines
- [x] Brochures
- [ ] Books
- [x] Meetings
- [ ] Telephone

21. TIME SPAN

- [ ] Several months
- [x] One year
- [ ] Several years

22. COST

- [ ] Under $25,000
- [ ] $25,000 to $100,000
- [x] Over $100,000

DESCRIPTION OF PUBLIC/PROFESSIONAL CONSENSUS MODEL

1. Its purpose is to select solutions to problems previously identified--solutions which require a combination of public and professional agreement in order to become an official policy, observed not only in the letter but in the spirit.

2. It is sponsored by the policy-setting agency which must make the final decisions about how to act on the advice it collects from participants.

3. It is staffed by personnel from the agency who specialize in the area of education being debated, supplemented by outside organizations which are experienced in the process of collecting public and professional opinion but which are known to be neutral with respect to the issues under debate.

4. It identifies issues and options by pooling the opinions of the agency staff specializing in the area, soliciting the views of outside experts, and interviewing a sample of prospective participants.

5. It focuses debate around a comprehensive list of topics, addressed one at a time and serially so that participants will engage in orderly discussions and so that the record of their deliberations can be exchanged with other groups in a search for convergence.

6. It has the sponsor select a limited number of key participants to make sure that respected leaders will be represented, but depends largely on cooperating public and professional organizations and on institutions employing professionals to encourage their members to take part. And it makes a limited provision to include volunteers not named by their organizations.

7. It collects views from leaders, from spokespersons, and from volunteers.

8. It seeks thousands of citizens and professionals as participants and makes certain that they hear each other's views both face-to-face and through documents.

9. It does not require expertise of its participants but it does assume that they are acquainted with educational institutions and with the kinds of issues and solutions which are customary in educational circles.

10. It relies on the past experience of the sponsoring agency as to what the public and the profession regard as significant issues and as appropriate ways to debate them but it confirms its understanding by conferring with public and professional leaders.

11. It supplies the participants with a complete roster of topics, brief background information, a short description of the reasonable options, some positive and negative arguments for each option, definitions of key terms, and drafts of policy language which might be adopted once consensus occurs.

12. It gathers both the participants' opinions about the options presented by the sponsoring agency and any new options the participants have generated.

13. It limits its use of media to brochures listing the topics, options, and arguments and it distributes these mainly at public and professional meetings called for the specific purpose of debating the issues. Rather than relying on general public and professional meetings, the agency itself sponsors and staffs all meetings, using a combination of its own personnel and those from outside organizations.

14. It collects the views of partipants through an extended series of face-to-face group interviews and through questionnaires collected at meetings where the issues have been aired.

15. It identifies principal participants by name and professional position and it identifies other participants by organization membership, working on the assumption that recognized leaders as well as key organizations—both public and professional—must ultimately unify their views around specific policies if they are to be adopted and carried out.

16. It gives special weight to the responses of those whose wholehearted cooperation is essential to policy execution, a category which includes both well-placed individual leaders and officials of key institutions as well as the membership of powerful organizations.

17. It relies on discussion at meetings, the exchange of minutes among groups, repeated voting on successively narrower statements of agreement arising from the groups, and the submission of actual policy language for final approval before adoption by the policy-setting body.

18. It reports only majority opinions and identifies the groups and organizations from which those opinions come so that others will be able to modify their views accordingly.

19. It presents results to the policy setting body of the sponsoring agency in writing, along with an indication of the kinds of support that the recommended policy actions would enjoy.

20. It summarizes results for participants continuously through the interchange of minutes and through the submission of successively narrower statements of agreement so that they see the policy recommendations emerge and jell before submission to the sponsoring agency.

21. It requires a time span of one year or longer, depending upon how long it takes to participants to reach consensus.

22. It costs over $100,000 in money and/or staff time.

Case Illustration 3: OHIO DEPARTMENT OF EDUCATION

Teacher Education Redesign

SEEKING CONSENSUS

Through a massive 18-month statewide census of problems in education—a census involving both the public and professionals in elementary, secondary, and higher education—the Ohio Department of Education identified a ranked list of problems causing both professional and public concern.

Teacher education ranked near the top of the list. Moreover, circumstances seemed right—partly because a balance in the supply and demand ratio for teachers had been reached after decades of teacher shortages—for a major redesign in the pattern of teacher preparation.

Selecting the problem for top priority attention, the Ohio State Board of Education called on Department officials to lay out a complete plan for a thorough statewide series of conversations—involving both the public and professionals—not only to probe problems in teacher education but also to design solutions. A schematic representation of the entire effort, which became a major Department activity over the next 18 months, appears on the following page.

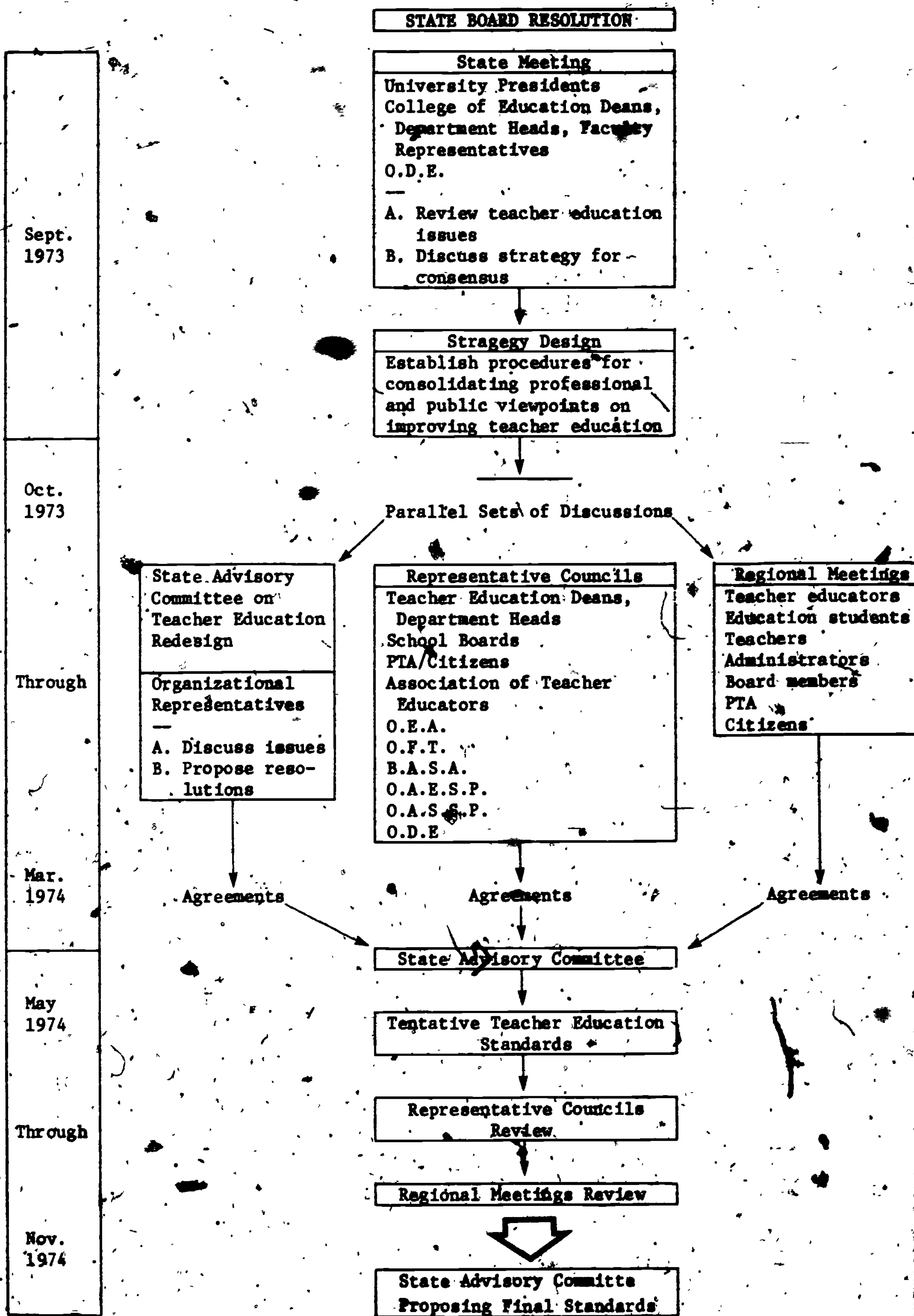
Getting Started

The Ohio State Board of Education resolved in May of 1973 that a statewide meeting of representatives of Ohio's 52 teacher preparation institutions should be held to review the significant issues in teacher education and to discuss a strategy for creating consensus on desirable directions for redesigning teacher education programs. The Board thought that getting the initial approval of key administrative and faculty leaders in the colleges and universities was an essential first step.

In September of 1973, presidents, deans, teacher education department heads, and college of education faculty members were convened. Joining them at the meeting were the President of the State Board of Education, the State Superintendent of Public Instruction, and the 28 officials in the Department of Education who were responsible in one way or another for accrediting teacher preparation programs in the colleges and universities and for certifying individual teachers to work in the public schools. Thus the meeting brought together both the suppliers of teacher education and the government officials who regulated the suppliers.

Key Decisions at the First Meeting

The President of the State Board of Education and Department of Education officials occupied the platform at the meeting. They reviewed the public and professional concerns about teacher education that had surfaced,


STATE BOARD RESOLUTION
State Meeting
University Presidents
College of Education Deans, Department Heads, Faculty Representatives
O.D.E.
A. Review teacher education issues
B. Discuss strategy for consensus
Sept. 1973
Stragegy Design
Establish procedures for consolidating professional and public viewpoints on improving teacher education
Oct. 1973
Parallel Sets of Discussions
State Advisory Committee on Teacher Education Redesign
Organizational Representatives
A. Discuss issues
B. Propose resolutions
Representative Councils
Teacher Education Deans, Department Heads
School Boards
PTA/Citizens
Association of Teacher Educators
O.E.A.
O.F.T.
B.A.S.A.
O.A.E.S.P.
O.A.S.S.P.
O.D.E
Regional Meetings
Teacher educators
Education students
Teachers
Administrators
Board members
PTA
Citizens
Through
Mar. 1974
Agreements
Agreements
Agreements
State Advisory Committee
May 1974
Tentative Teacher Education Standards
Representative Councils Review
Through
Regional Meetings Review
Nov. 1974
State Advisory Committe Proposing Final Standards

during the previous 18 months, reviewed the results of the Department's field evaluations of ten representative teacher education programs, and called for a major redesign of the system.

The State Superintendent of Public Instruction read a list of proposed reforms consisting of these points:

1. Professional methodology should become an organized discipline offering clear principles of teaching and learning.

2. Clinical professors should be certified as being qualified to train teachers to use professional instruments to diagnose learning needs and prescribe instruction for individuals and for entire classes.

3. Field professors should be certified as being qualified master teachers to guide earlier, longer, and more meaningful field experiences for students in training.

4. Elementary teachers should master at least one substantive academic speciality in addition to professional methodology.

5. No individual with a rank below that of associate professor should supervise clinical instruction, field experiences, or student teaching.

6. All teachers should have extensive preparation and experience in the methods of teaching reading regardless of their other specialities.

7. Every graduate should serve a minimum of one year in a closely supervised internship before receiving regular certification as a qualified teacher.

8. The student teaching experience should include both inner-city and perimeter or rural schools.

9. New approaches for screening prospective teachers—including earlier and more frequent contact with school children as a test of the candidate's potential to motivate and manage learning—should be developed.

10. Funding for teacher education should be upped by about 50 percent in state-supported universities, which prepare 75 percent of Ohio's teachers.

The college and university leaders at the meeting agreed that the Superintendent of Public Instruction had identified major problems—if not perfect solutions—and suggested how solution ideas might be elaborated. They also called for attention to additional problems and pointed to the need of a sequential, integrated set of standards for redesigning teacher education.

Conferees were given a proposed outline mapping out the entire territory for a series of public and professional discussions to be held in coming months. After examining the outline, participants pointed out that the topics differed enormously in importance and that some were controversial while others were not. During small group discussions, the conferees suggested changes in the topical outline and said that the final version should have the following features:

1. Topics should be clearly stated to assure proper interpretations.

2. Topics should have continuity and be properly sequenced.

3. Topics should be flexibly structured to facilitate clarity and possible adaptation.

4. Topics should be broadly based, timely, and relevant to teacher education standards and programs.

Conferees were also presented with samples of discussion guides proposed for use at coming meetings. Each guide explicated an issue in teacher education and offered sample approaches to resolving the issue. Participants were asked to react to the clarity, style, and usefulness of the guides for framing the coming discussions. They endorsed the discussion guide technique, recommended that the issues be described objectively, and said that individuals should be encouraged to suggest other approaches to solutions to supplement those contained in the guides.

Conferees were also presented with an elaborate plan for a massive series of regional and statewide discussions involving both the public and professionals in the coming months. The plan called for three groups of discussants to engage in three parallel sets of discussions. The groups gave general approval to the plan, but called for better methods of keeping each group informed about what the others were saying.

Benefits of the First Meeting. The first meeting did several important things:

1. By convening those who provided teacher education with those who governed teacher education, it created the feeling that a critical mass of primary decision makers was available to make whatever changes they could agree to make.

2. By having the State Superintendent of Public Instruction advance specific proposals for change, it created the feeling that things were in the saddle and that any one concerned with teacher education could only hope to influence--but not to stop entirely--the changes to come.

3. By initiating the action with those directly responsible for teacher education, both in the colleges and universities

and the Department of Education, it sought and won their approval before bringing into the conversation the public and professionals who were not directly responsible for teacher education and had less to gain or lose from the ultimate outcome.

4. By submitting the intellectual substance to be discussed at the coming meetings, it pretested the content and obtained the advance approval of those who would have been best able to attack that content subsequently if they had not been consulted.

5. By submitting the logistical plan for the coming meetings, it sought and obtained the endorsement of those who would become the main figures in the future discussions and assured their participation in them.

Using an Outside Agency

The overall strategy for the coming discussions--the list of topics, the discussion guides, the plan for three groups of discussions and three parallel sets of discussions--had been drawn up by a consulting firm external to the State of Ohio and external to the Ohio Department of Education. The personnel from the firm were retained to chair, conduct, and record the results of all the subsequent discussions.

This arrangement had the advantage of having the discussions moderated and reported by neutral outsiders rather than by any one of the parties responsible for or interested in teacher education in Ohio. It served to reassure the participants that no one party would take advantage of a chairmanship to conduct the discussions unfairly or report the conclusions inaccurately.

Three Sets of Discussants

Following the meeting in September of 1973, three sets of people were identified and persuaded to take part in a series of discussions intended to inform and converge public and professional opinion about the redesign of teacher education.

The three groups are described below.

A State Advisory Committee on Teacher Education Redesign was first appointed by the State Superintendent of Public Instruction. The Committee consisted of 30 representatives of the major groups interested in teacher education, nominated by their organizations. Represented were deans and presidents of teacher education institutions, public school boards of education, district superintendents, elementary and secondary principals, teacher education faculty members, supervisors, teachers, citizens, and members of the state legislature.

Representative Councils were also formed by eight interest groups, with each interest being represented by 8 to 11 persons. Those groups included were Ohio School Boards Association, teacher preparation institutions, the Parent Teacher Association, Association of Teacher Educators, Ohio Education Association, Ohio Federation of Teachers, Buckeye Association of School Administrators, Ohio Association of Elementary School Principals, Ohio Association of Secondary School Principals, and the Ohio Department of Education.

Regional meetings (three of them) were held in each of the six regions of the state to hear the views of teacher education faculties, elementary and secondary teachers, college students preparing to be teachers, school administrators, school board members, PTA members, and interested citizens.

Rationale For Using Three Sets. The planners believed that conducting regional meetings open to all interested members of the public and all professionals at six convenient locations throughout the state would have both the actuality and the appearance of making the discussions open to ideas from all sources. They would represent deliberate outreach on the part of the State Board of Education and the Department of Education, continuing the pattern of massive participation which had been used earlier to identify teacher education as a problem of widespread public and professional concern. The planners also thought that mixing the public and professionals at the regional meetings would allow for an exchange of views and a cross-fertilization of ideas. And the planners believed that the problems and solutions identified at the regional meetings would verify--or supplement--those brought up by the elected leaders and spokesmen constituting the Representative Councils and the State Advisory Committee.

The planners thought that the Representative Councils consisting of homogeneous subsets of the public and professionals would make the fastest, most substantial progress. The planners expected the members of each group to have similar opinions and to advocate them vigorously in the absence of opposing speakers from other groups.

The planners intended the State Advisory Committee to converge the public and professional views that had been advanced and debated in greater detail at the regional meetings and by the Representative Councils. Accordingly the planners expected the State Advisory Committee to dedicate its time primarily to controversial issues about which the groups it represented could not agree and to make relatively slow progress. On the other hand, the planners thought that whatever the State Advisory Committee could agree to had an excellent chance of being endorsed subsequently by the members of their constituencies.

Generally, these expectations were confirmed.

Three Parallel Sets of Discussions

The three sets of discussions--each involving the public and professionals--conducted three parallel sets of discussions during October, November, and December of 1973.

Meetings of the State Advisory Committee and meetings of the Representative Councils were scheduled approximately every two weeks at the convenience of the members. Regional Meetings were scheduled in two separate rounds. Dates were announced by the Ohio Department of Education through mailings to school districts and information supplied to news media. School officials were expected to notify school personnel; the news media were expected to notify the public.

Framing the Discussions. An attempt was made to have discussions use a common definition of terms, a common topical outline, and a common set of discussion guides. (All three documents are described later.) The planners thought that 1) without common definitions, it would be impossible for the public and professionals to understand each other and reach agreement; 2) without a common topical outline, it would be impossible to organize or to report the discussions; and 3) without discussion guides, it would be impossible to inform public and professional opinion about problems and solutions, in the absence of which the process would yield a certain amount of ignorant advice.

Reporting the Discussions. Personnel from the outside consulting firm recorded majority opinion (not minority opinion) at every meeting of every group, reported all results according to the common topical outline, and circulated copies to members before the next meeting. In the case of the regional meetings, copies of minutes from the first round were distributed to everyone attending the second round. (The format of those reports is described later.)

The reports were limited to main points only, concentrated on matters of agreement within the meeting, were more formally expressed than the transactions in the meetings themselves, were written in identical language for all groups which had the same ideas, and divided what could become Department of Education regulations from what was merely discussion that fell short of recommending new Department of Education regulations. Every Representative Council and the State Advisory Committee was sent the reports of every meetings of every other group.

Number of Meetings. About 85 meetings were held in 3 months.

Seeking Greater Convergence Through a Supplementary Series of Meetings

In late December of 1973, a Progress Report was drafted to consolidate for convenient review the opinions of all the individuals and organizations participating in the October, November, and December meetings. That report made it clear that consensus had been reached on some but not all topics.

The planners decided that further discussions could lead to further convergence. However, they decided that since the regional meetings tended to produce a divergent scattering of ideas rather than a convergent drawing together of ideas, the regional meetings should not be continued.

Accordingly, additional meetings of the eight Representative Councils and the State Advisory Committee were scheduled and held during January, February, and March of 1974. Both sets of groups used the December Progress Report as a takeoff point for their work and sought to develop positions that would win general endorsement. The pattern of supplying every group with the meeting minutes of every other group was continued throughout the three months. That procedure proved essential in measuring and reporting progress toward agreement.

The Special Contribution of the Representative Councils. As expected, the Representative Councils were able to conduct the most probing, comprehensive, and cumulative discussions of any of the groups. This may be credited to their size (8 to 11 members), to their homogeneity, to the existence of a clear constituency for which each one spoke, to the frequency of their meetings, or to the abilities of the individual members who comprised them. The regional meetings were as representative but they were too large and too infrequent (as well as being attended by individuals with very diverse talents and experiences) to do the same caliber of work. The State Advisory Committee was as representative but it had too many members for reflective, cumulative discussions and had to serve mainly as a board of review, going over what others had proposed.

Thus the central intellectual work and much of the political accommodation was accomplished through the Representative Councils. All of them had available during their discussions the written reports of all the regional meetings and of all the State Advisory Committee meetings. This enabled them to incorporate the thinking of the other groups into their own deliberations and to converge toward a common position which could ultimately be endorsed by the State Advisory Committee.

The result of the extra meetings (about 25 of them) was that by April of 1974, the public and professional members of the State Advisory Committee had reached agreement on most major issues in the redesign of teacher education. The time had come for the next step: converting those agreements into draft regulations which the State Board of Education could consider adopting as the governing guidelines for teacher education thenceforth.

Drafting Tentative Standards

In April of 1974, Department of Education personnel did a job that none of the discussants had sufficient technical knowledge to do: drafting a tentative set of standards governing teacher education. Their work was published as A Tentative Plan in May of 1974.

Reviewing the Tentative Standards

The draft standards were submitted to the State Advisory Committee in May of 1974. Minor modifications were proposed by the Committee, which recommended that the tentative standards be submitted to all discussants for a final review before adoption.

Following the Committee's recommendation, Department of Education personnel convened yet another round of regional meetings and scheduled yet another series of Representative Council meetings in September and October of 1974 to review the standards. Both groups suggested minor modifications.

Reaching Agreement on New Standards

The State Advisory Committee proposed a final set of teacher education standards to the State Board of Education in November of 1974. Subsequently, the State Board scheduled and held a series of public hearings required by Ohio law and then formally adopted the new teacher education standards in December of 1974.

The standards, by that time well known to all interested parties, were well received. The new standards were, in effect, what those parties themselves had asked for during 18 months of meetings.

Samples of Major Documents

The attached pages illustrate the major documents used during the process.

Definitions. A number of terms were formally defined early in the discussions and the definitions widely circulated to build a common vocabulary among the discussants. A sample page is attached.

Discussion Topics. All discussions were organized around a common topical outline, a copy of which is attached.

Discussion Guides. The major topics were explored in a series of written discussion guides, which were widely distributed during the meetings. A sample discussion guide is attached.

Reports of Meetings. A typical page from the Progress Report issued in December of 1973 is attached. The numbers in the left margin designate the groups holding each reported viewpoint, constituting a quantitative measure of convergence and mapping agreements and disagreements among specific groups.

Final Standards. A sample of the language used in the final standards for teacher education as adopted by the State Board of Education is attached.

(Sample page)

DEFINITIONS

OF

SELECTED TERMS

Center, Teacher Education — as used in the Redesign discussions, an administrative organization for supplying inservice education to professional personnel. Such Centers ordinarily involve three-way administration and participation: universities, local school systems, and teachers themselves.

Certification, First — the first professional certificate, perhaps for a limited time and usable only in specified circumstances. An example would be a certificate issued before the first year of teaching, indicating that the holder was qualified to begin teaching -- but would automatically be subject to evaluation after a period such as one year.

Certification, Further — the succession of professional certificates following the initial certificate. In Ohio, as in most other states, the present series of certificates involve graduated requirements and progressively longer terms.

Consortium — a combination of institutions or organizations such as colleges and local school systems joined together to accomplish some common purpose which neither could accomplish as well alone.

Education, General — the broad selection of courses teachers take in order to become generally-educated persons. The term "general education" is used interchangeably in the report with the term "liberal arts".

Education, Professional — courses dealing with the principles and practices of education, including field experience. These are the courses designed specifically to educate a person for entering the profession of education.

Educators, Teacher — the faculty and administration of institutions engaged in the preparation of professional personnel. The term "teacher educators" is used interchangeably with the term "teacher education faculty".

Entry — the initial year of full-time responsibility as a professional after basic preparation has been completed.

TEACHER EDUCATION

Topics for Discussion

I. GOAL: COMPETENT PROFESSIONALS

A. Knowledge

1. General Education or Liberal Arts
2. Professional Education
3. Area of Specialization

B. Skills

1. Technical
2. Human
3. Conceptual

C. Attitudes and Values

1. People
2. Objects
3. Abstractions

II. PROCEDURES: RECRUITMENT, SELECTION, PREPARATION, ENTRY, CONTINUING STAFF DEVELOPMENT

A. Recruitment of Teacher Education Students

1. Responsibility
2. Identification
3. Counseling

B. Selection of Teacher Education Students

1. Responsibility
2. Criteria
3. Retention

C. Preparation of Teacher Education Students

1. Orientation
2. General Education or Liberal Arts
3. Professional Education

a. Counseling of Students
b. Foundations of Education
c. Methods of Teaching

(1) Content Areas

(a) Teaching Areas/Fields
(b) Materials and Media
(c) Role Differentiation
(d) Current Social Concerns
(e) Human Relations

(2) Techniques

(a) Courses
(b) Clinical Experience
(c) Field Experience
(d) Independent Study
(e) Counseling

4. Areas of Specialization
5. Initial Certification

D. Entry Into the Teaching Profession

1. Placement
2. Orientation
3. Teaching Assignments
4. Supervision
5. Evaluation
6. Counseling
7. Further Preparation
8. Further Certification

E. Continuing Staff Development

1. University Courses
2. Local Workshops
3. Teacher Education Centers
4. Informal Experiences
5. Performance Review
6. Compensation
7. Continuing Certification

III. MEANS: TEACHER EDUCATION INSTITUTIONS

A. Colleges and Universities

1. Faculty and Supportive Personnel

a. Preparation and Experience
b. Certification
c. Teaching Load
d. Staffing Ratios
e. Professional Development

2. Program

   a. Administration
   b. Coursework
   c. Research and Innovation

3. Facilities

   a. Classrooms
   b. Laboratories
   c. Media Centers
   d. Other

4. Finances
5. Evaluation

B. Local School Systems

1. Faculty and Supportive Personnel

   a. Preparation and Experience
   b. Certification
   c. Teaching Load
   d. Staffing Ratios
   e. Professional Development

2. Program

   a. Administration
   b. Coursework
   c. Research and Innovation

3. Facilities

   a. Classrooms
   b. Laboratories
   c. Media Centers
   d. Other

4. Finances
5. Evaluation

(Sample page from a discussion guide)

PREPARATION OF TEACHER EDUCATION STUDENTS

Field Experience

> Stated below is one issue of concern to those involved or interested in teacher education. Following the statement are several sample approaches to this issue. As you discuss the topic, you may want to add other approaches.

Issue

Many teacher education students enter elementary and secondary school classrooms after they have completed most of the required professional education courses. This presents certain problems. First, the course work often does not have the immediate relevance to practice which it should have. Second, the field experience often does not have the benefits of the parallel interpretive courses it should have.

Moreover, delayed first-hand experience with children may cause students to spend months or years in a preparation program without an opportunity to discover whether or not teaching is the best profession for them.

Sample Approaches

1. Simulated classroom experiences carried out at the university when professional training begins would be sufficient, especially when combined with observations of actual operating classrooms in schools. Course work designed to prepare teachers both in subject matter and educational methodology, as is presently the case, would continue.

2. The current form of field experience--student teaching after basic professional course work--should continue. Earlier assignment of observation sessions in operating schools might also be a part of this approach. In addition, education students might be encouraged to participate as volunteers or aides in actual classrooms to help them make decisions about their commitment to become teachers.

3. Teacher preparation students should participate in field-based experience, including at least one full quarter following a faculty member's regular schedule, under the teacher preparation institution's supervision.

4. When professional course work at the university is substantially completed, education students should be assigned to work in a school on a full-time basis without pay. The students' work experience should be guided jointly by a member of the school's teaching staff as well as by university advisers. The intent of this field experience should be to provide a student with an understanding of all the major tasks performed by teachers. Consequently, the student would participate by teaching classes, attending school faculty meetings, and assisting in co-curricular and extra-curricular activities on the same basis as regularly employed faculty.

5. Teacher preparation programs should include participation in clinical experiences involving use of diagnostic testing instruments, observation techniques and individualized prescriptions for learning.

Other Approaches

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(Sample page from meeting reports)

Reference Numbers of Groups

II. PROCEDURES: RECRUITMENT, SELECTION, PREPARATION, ENTRY, CONTINUING STAFF DEVELOPMENT

C. PREPARATION OF TEACHER EDUCATION STUDENTS

Professional Education (C3)

Field Experience (C3c2c)

027, 040, 047 — (1) The Department will establish minimum guidelines and standards for field experiences.

042 — (2) Field experience for students preparing to enter the teaching profession will be established after joint development of programs by representatives of local school districts, local association, teacher preparation institutions, and teacher candidates. These experiences will be offered under professional conditions consistent with the existing standards and regulations, including the statutes of the State of Ohio. This experience will establish a quality control through a statewide program which has minimum standards.

001, 003, 010, 023 — (3) The design of field experiences will be the joint and equal responsibility of the teacher preparation institution and the local school system, including teachers. Each teacher education student will be supervised, supported, and advised by a designated college faculty member and cooperating teacher, with assistance from other sources. Evaluation of field experiences will be a joint, equal responsibility based upon criteria worked out by the supervising team and the student.

(Sample Standards)

State of Ohio, Department of Education

STANDARDS FOR COLLEGES OR UNIVERSITIES PREPARING TEACHERS
Adopted by the State Board of Education December, 1974

EDP 303-02 Curriculum

A. The body of knowledge, skills, attitudes, and values determined essential for effective teaching shall be specified for each field in which the college or university is approved to prepare education students.

B. The specified body of knowledge, skills, attitudes, and values shall serve as the basis for development of the teacher education curriculum in each teaching field to include course work in general and professional education and in the content area of specialization, as required by approved teacher certification standards. The teacher education curriculum shall adequately reflect identified and significant academic and social concerns which would include:

1. the teaching of reading, as it pertains to the field for which certification is being sought;

2. human relations related to both teaching in a culturally pluralistic society and working effectively with students regardless of race, political affiliation, religion, age, sex, socio-economic status, or exceptionality not requiring a full-time specialized educational environment;

3. analysis and evaluation of one's performance skills as they relate to teaching behavior;

4. dealing with behavior problems (e.g., aggressive, abusive, withdrawal, etcetera); and

5. selection, preparation, and effective utilization of educational media to facilitate learning.

C. Each teacher education student shall satisfactorily participate in clinical experiences which present different individual cases or problems involving the application of principles and theory in teaching and learning. Through clinical experiences under the direction and supervision of experienced faculty--in a college or university laboratory setting, approved or chartered school, or other approved setting--the teacher education student shall be involved in the use of diagnostic testing instruments and observational techniques to enable an analysis of pupil learning progress or difficulties, on both an individual and group basis, and prescriptions of instructional strategies, educational media, and materials to maximize pupil learning outcomes.

D. Each teacher education student shall satisfactorily participate in a series of carefully planned, supervised, and evaluated field based experiences for which specific learning objectives have been set to assure increasing proficiency in performing the various teaching responsibilities under actual school conditions. Experiences and objectives shall be jointly developed among the representatives of approved or chartered schools or school districts, including administrators, supervisors and teachers; the college or university preparing teachers and teacher education students. Field based experiences shall be completed in a variety of urban and suburban or rural settings. Field based experiences shall include at least one full quarter of student teaching, during which the teacher education student shall be expected to follow a teachers regular schedule. College or university supervision of student teaching shall be conducted or augmented by professional persons having specialization within the particular field of the student teaching assignment. Cooperating teachers in the student teaching experience shall possess the appropriate standard certificate, and have a minimum of three years of classroom teaching experience including one year in the field for which the service is being provided.

E. The clinical and field based experiences for teacher education students shall be:

1. an integral part of the teacher education curriculum, commencing early therein and continuing in a sequential manner;

2. related to school age youth; and

3. equivalent in time to one full quarter in addition to the student teaching experience as specified in part D of this standard.

F. A complete description of the teacher education curriculum for each field—including, but not limited to, the sequential learning needed within the body of knowledge, skills, attitudes, and values as identified through instructional objectives and syllabus for each course, clinical experience, and field based experience therein, together with the identification and specification of essential prerequisites—shall be submitted to the state department of education for approval at least every five years, or sooner if revisions are desired therein.