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ABSTRACT

A workshop held on teacher education is discussed. This workshop represented the second phase of a program which sought to encourage and assist institutions of higher education in the western and midwestern States to establish or expand programs in teacher preparation for adult education. Workshop participants met for three days to increase their knowledge about adult education teacher preparation and to develop preparation. Topics discussed include The Adult Education Classroom, Organization and Financing of Teacher Preparation, and Curriculum Building. (Author/CK)

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# Workshop Proceedings

Salt Lake City, Utah  
December 13, 14, 15, 1971

Higher Education Institute  
For Teacher Preparation  
In Adult Education

Graduate School of Education  
University of Utah

PROCEEDINGS:  
HIGHER EDUCATION INSTITUTE FOR  
TEACHER PREPARATION IN ADULT EDUCATION

December 13-15, 1971  
Ramada Inn, Salt Lake City, Utah

Sponsored By The:  
Higher Education Institute for  
Teacher Preparation in Adult Education  
Graduate School of Education  
University of Utah

Dr. Alton P. Hadlock, Institute Director  
Dr. Charles F. Caskey, Institute Associate Director

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Salt Lake City, Utah 84112

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## I N T R O D U C T I O N

The Workshop held in Salt Lake City, Utah on December 13-15, 1971, was the second phase of a program now in its second year. The project, entitled the Higher Education Institute for Teacher Preparation in Adult Education, seeks to encourage and assist institutions of higher education in the western and midwestern states to establish or expand programs in teacher preparation for adult education.

The Workshop followed a Planning and Commitment phase, in which an Advisory Committee was formed to help plan the program of the Institute. Also during this phase, institutions wishing to participate in the Institute during FY-72 were invited to send in their applications. The third, or post-Workshop phase of the Institute, is a Consultation Phase in which institutions that participated in the Workshop will implement their Back Home Plans. In this phase, the participants will be able at Institute expense to call upon experts in the field of adult education to consult with and help them organize and establish programs.

After the December-1970 Workshop, twenty-three of the twenty-five institutions funded by the Institute were involved in some kind of post-Workshop follow-up action in the way of workshops, consortiums, in-service training programs, or fellowships. Nineteen new courses were added and five new degree programs started. It is estimated that more than 600 persons attended workshops and meetings during FY-71 as a result of the Institute's activities. At the end of that fiscal year when participants were asked whether they favored: (1) continuing the Institute; (2) holding another Workshop; and (3) again offering the Consultant Service --- all but two said they favored all three. Thus, in the FY-72 proposal, which was later funded, it was suggested that the Institute follow a sequence very similar to that of FY-71 and that another Workshop be held.

The continuity in the structure of the program has been paralleled by continuity in participants. When invited to apply for a second year's participation in the Institute, all but five of the original twenty-five institutions reapplied and were accepted for the second year. All who were interested and showed evidence of having made some progress toward the Institute's goals during FY-71 were funded for the second year. The five openings were filled by institutions which met the following criteria:

- a. The institution is a higher education institution within the state.
- b. The institution does have a teacher education component and does train teachers who, in turn, may become certified within the state without additional training from another institution.

- c. Adult teacher education is currently not included in the curriculum of the institution or there is need to expand such existing program.
- d. The administrator in charge of the teacher education program does indicate, in writing, that he is committed to learn more about the need for adult teacher education and that he will organize or expand such programs if a need does, in fact, exist.
- e. The institution indicates that it will cooperate with the Director of Adult Education in the Department of Education within the state in organizing the needed teacher training curricula.
- f. The participant will be an administrator of a teacher-education program in a college or university or designated by an appropriate administrator to act in this capacity regarding the training of teachers for adult education.
- g. The participant will be authorized by his institution to organize and administer adult teacher education classes for credit.
- h. The participant need not have had experience in preparing professional personnel for their roles and responsibilities in adult education.

In addition to the representatives selected from institutions of higher education, state directors of adult education from participating states were also invited to attend the Workshop at Institute expense. Earlier in the year the Advisory Committee to the Institute had strongly recommended that state directors be included in the program to encourage and facilitate closer cooperation between the university and state department personnel.

All in all, twenty-three states sent twenty-eight representatives from twenty-five institutions of higher education and fifteen representatives from state departments of adult education.

The goals of the Workshop were to help participants:

- a. Become more aware of the need for the preparation of adult education teachers.
- b. Become more aware of research relevant to the organization and development of adult education programs for teacher preparation.

- c. Develop plans which they might incorporate into their in-service training of faculty members at their own institutions.
- d. Develop measurement and evaluation skills in the area of teacher preparation relative to adult education.
- e. Meet with persons from state departments of adult education and from other universities so they could exchange ideas, opinions and findings.

The topics covered at the Workshop were chosen after extensive correspondence and conversation with members of the Advisory Committee, FY-71 participants, state directors of adult education, and U. S. Office of Education adult education officers. This year the topics suggested for the Workshop and the topics ultimately chosen for the Workshop agenda were much more oriented to actually getting programs off the ground. Hopefully, the usefulness of these "action" topics will be demonstrated in participants' back home activities.

As this report goes to press, all twenty-five funded participants have affirmed that they plan to use the funds allotted them for post-Workshop activities. Seven of the institutions have already held meetings or are involved in some type of on-going activity. Five more have meetings definitely scheduled. Nine have made detailed plans for their follow-up activities but have not yet selected definite program dates. And four are in the process of drawing up their detailed plans. The plans which were written at the Workshop will not be included with this report as was done last year. Rather, each institution's plans and follow-up will be more completely described in the Year End Report.

## S U M M A R Y

The FY-72 Workshop was held December 13-15, 1971 at the Ramada Inn in Salt Lake City, Utah. Present were twenty-eight representatives from twenty-five colleges and universities, fifteen representatives from state departments of adult education, eight guest speakers, and three local adult education practitioners. Workshop participants met for the three days to increase their knowledge about adult education teacher preparation and to develop plans for initiating or expanding programs for teacher preparation in adult education "back home."

### Monday

The first session began with welcoming remarks by Dr. Alton Hadlock, Project Director; Dr. Sterling McMurrin, Dean of the Graduate School at the University of Utah; and Dr. Stephen Hencley, Dean of the Graduate School of Education at the University of Utah. Dr. Hadlock opened the Workshop by greeting participants and summarizing the purpose and goals of the meeting.

Dr. McMurrin then spoke to participants on educational goals. He said he was quite convinced that the biggest problem in educational planning today is the establishment of clearcut goals. Many institutions are going bankrupt and one of the major obstacles to improving management and financing so others won't flounder is deciding what the institutions are for. Dr. McMurrin suggested that those in the field of adult education might do well to be concerned about defining goals now and thereby possibly avoid the problems now faced by other areas of education.

Dr. Hencley agreed with Dr. McMurrin and added that because the rate of social change is so much greater than in the past, purpose must be reassessed more often. Dr. Hencley cautioned, however, that educational purpose should not be too narrowly defined. Education in the past has generally emphasized the productive purpose, or making each person a producing member of society all his life. But there are other categories of educational purpose such as intellectual, personal and social, and Dr. Hencley emphasized that they are important too and should not be left out of education.

After the welcoming remarks, Dr. Fritz Caskey, Associate Project Director, explained how the three-day meeting would work. The program format was to be speech/panel remarks/group discussion. Small group sessions were also scheduled for participants to begin developing their back home plans. The agenda was to be modified, however, as the occasion demanded.

The rest of Monday morning was given to the first major Workshop address. Dr. Alan Knox, Professor of Education at the University of Illinois, spoke on "The Adult Education Classroom: Realities and Recommendations." Due to an illness in Dr. Knox's family, he was not able to attend the Workshop in person, but gave his speech via telelecture or group long distance. Fortunately the connection was excellent and the lecture and discussion were very stimulating.

Dr. Knox discussed a study which is being done through Teachers College, Columbia University, to find out what actually happens in ABE classes and what the implications are for increasing teacher and program effectiveness.

According to Dr. Knox, in most classes the drop-out and absentee rates are very high and the programs fail to reach the very poor. The teachers have had no training in teaching adults, though they are often certified to teach elementary or secondary students, and their classes tend to follow the traditional class assignment and recitation format. Some programs seem to be more effective, however, in reaching and retaining the harder-to-reach students. These programs tend to put more emphasis on individual counseling, to involve participants in designing their own learning, and to have directors who exert strong leadership.

Conclusions regarding teaching effectiveness were that it would increase if the teacher: (1) were helped to analyze his practices and procedures; (2) learned how to understand the participants as individuals; (3) learned how to select relevant knowledge resources; and (4) learned how to match learner concerns with appropriate knowledge resources.

Dr. Knox suggested five roles which could be developed to increase teacher effectiveness. They were: (1) The Participant, who would be encouraged to give feedback and evaluation to the teacher; (2) The Teacher, who would become more reflective about his or her style; (3) The Facilitator Teacher, who would provide the link between new ideas and the teacher in the classroom; (4) The Administrative Supervisor, who would exert influence through staffing decisions, and (5) People Connected with Outside Agencies, who would help with program evaluation, selection of materials and in providing courses and programs to train teachers.

In conclusion, Dr. Knox suggested that some approaches for increasing the effectiveness of teachers might be to expose them to participant problems and innovative practices in some direct way, to use detailed qualitative data from the classrooms in program evaluation, and to find ways to achieve several objectives at the same time, for example through a Clinical Seminar.

The theme for Monday afternoon was the organization and financing of adult education teacher preparation programs. Dr. James Farmer, Assistant Professor of Education at the University of California in Los Angeles, told participants about an adult teacher education program developed at UCLA in the last two years which does not cost the state or federal government any money and which brings in money.

The program is a reconceptualization of the two credentialing courses required of anyone who wants to teach adult education classes in California. The program aims at (1) helping the prospective teachers to see they need training for adult education and (2) meeting the teachers' career needs. Course fees pay for the program.

The program focuses in part on helping teachers or prospective teachers see the need for training in adult education, because people who take the courses often don't think they need special preparation to teach adults. Thus, the courses are oriented to try and get them to see where their past knowledge is applicable to the teaching of adults and where it is not.

The program has also been structured to meet career needs of teachers of adults, largely because of a task force study done two years ago on adult education personnel in California. Based on the task force report, entitled "A Professional Training Plan for Adult Educators," a group of Los Angeles adult educators met to discuss how they might apply some of the report's recommendations to the two required teacher training courses. Out of their discussions developed the idea of a network which would cover and serve the Los Angeles area and which would include personnel involved in all aspects of adult education. This network now plans, implements and evaluates the two credentialing courses. The network has been in operation for two years and has trained 700-800 people each year.

Following Dr. Farmer's address, Dr. Ronald Szczykowski, Visiting Professor of Adult Education at Fordham University, spoke on "Foundation Funds as a Possible Source of Funding." He gave participants general information on what foundations are, how to find out more about them and how to approach them for funds.

According to Dr. Szczykowski, foundations are a good source of funds because they have a lot of money, the funds are often very flexible, and the foundation may be a good means of disseminating information or a good source of expertise. However, foundations are not a permanent source of funds, the funds are not easy to get, and foundations have not been interested in ABE teacher training, though Dr. Szczykowski thought such interest could be cultivated.

The problem in talking about foundations is that of defining and classifying them. Dr. Szczypkowski said he has found it helpful to classify them on a continuum from objective, professionally-run to subjective, non-professionally run foundations. Unfortunately, most fall into the latter category. The three areas which generally receive the most funding from foundations are education, international activities, and health. He suggested participants could obtain more information on foundations through the Internal Revenue Service, the Foundation Directory (4th Edition), foundation annual reports, Foundation Center libraries, certain publications, newspapers, and perhaps most importantly through the professional grapevine.

Dr. Szczypkowski then raised the question of why foundations might be interested in ABE teacher training. One answer is that foundation charters all say their interest is in improving the quality of the life of mankind. By that definition ABE teacher training should qualify for funding. The problem is to make foundation officials see that what they are doing and what you are doing are closely related. To do this you must know their language, history, and past activities. Dr. Szczypkowski then concluded with some suggestions on how to prepare a good proposal to a foundation.

### Tuesday

The theme for Tuesday morning was teacher education curriculum in adult education. Dr. Earl Harmer, Chairman of the Department of Education at the University of Utah, opened the session with "Some Basic Principles of Adult Education Curriculum Building." He spoke to participants on what he felt were some important propositions of adult education curriculum, teacher education curriculum, and program planning.

Dr. Harmer said he thought there were four propositions basic to adult education curriculum. First, the curriculum must be a learning environment rather than just a collection of courses. Second, it should be experience-centered and based on objectives that have value to the learner. Third, teacher and learner should work out the curriculum cooperatively, and fourth, the curriculum should be organized in terms of the learner's culture and values.

With regard to the adult education teacher preparation curriculum, Dr. Harmer proposed that: (1) it should be located in the adult education environment; (2) it should be based on affective goals; (3) the faculty should be selected primarily on the basis of their experience with adult learners; and (4) an agency outside of the training agency should be responsible for admission, de-selection and evaluation.

Finally, Dr. Harmer suggested that as participants began to organize their planning groups, they consider the following propositions in their program planning. First, the unit involved in adult education should be used in developing the teacher training curriculum. Second, primary responsibility for program development must ultimately reside with the faculty, though other sources should be brought in for advice. Third, responsibility for curriculum development should be taken by one faculty member. And finally, the teacher education program should be written out and open for inspection.

Following Dr. Harmer's speech, Dr. Richard Mitchell, Coordinator of Continuing and Adult Education at Central State University in Oklahoma, gave an address entitled "Curriculum Building for Adult Education."

Dr. Mitchell believes that teachers of adults should be trained to teach three categories of students: those interested in ABE, those interested in passing the G.E.D., and those interested in arts, crafts, and other general education subjects. He also believes that a program for such training should be offered at the bachelors degree level.

Dr. Mitchell said that in thinking of such a program for Central State University in Oklahoma, he found it necessary to deal with the questions of: (1) what would the institution gain from such a program, (2) what courses should be included in such a program (and he emphasized a reading course for programs with ABE offerings), and (3) what would the relation of the program be to the career development movement and religion (e.g., many adult students in Oklahoma want to learn to read the Bible).

He then discussed a possible curriculum for such a program and reviewed the pros and cons of courses in administration, guidance, field practicum, introduction to adult education, and methods and materials. He said that if he had three courses to start with, he would choose Introduction to Adult Education, Psychology of the Adult, and Methods and Materials.

Dr. Mitchell concluded his speech by recommending several roles which the state departments of adult education might play in helping institutions of higher education to develop programs for adult education teacher training. First, they might recognize schools which could be of service to adult education. Second, they could try to exert influence to help those schools get programs moving, and third, they could help recruit people to participate in the programs. Finally, they could help institutions with the matter of certification.

On Tuesday afternoon, participants worked in their small groups to outline plans for their back home activities, since the ultimate goal of

the Workshop was for participants to put their plans in written form and to use the plans as guides to subsequent Institute-related activities. Institute staff members and guest speakers were available to help the delegates with their planning.

On Tuesday evening, Dr. Hadlock and Dr. Sue Harry, Head of Secondary Education at the University of Utah, led a session entitled "Human Relations Development and Adult Teacher Education." The session was held to expose participants to several human relations exercises and to demonstrate how human relations might be of use in helping teachers of adults develop the affective skills which might improve their teaching. Those present participated in communication, cooperation and consensus-taking exercises and then discussed the implications and potential of human relations training for adult education teacher preparation.

#### Wednesday

On Wednesday morning, participants met to finish their written plans and then to hear a concluding address by Dr. Howard McClusky, Professor of Adult Education at the University of Michigan. Dr. McClusky discussed the trends in adult and continuing education and then summarized his observations on the Workshop.

He began by saying that the Institute has played a unique and important role in the institutionalization of adult education, a role that probably could not have been played by any other organization.

He then stated emphatically that in his opinion, continuing and adult education is no longer marginal but is becoming the most impressive and promising area of education. As proof of its growing importance, Dr. McClusky cited the movements toward the four-day week, early retirement, career development and lifelong education, pre- and post-retirement education, and continuing professional education. Also contributing to the health of the field are the new technology which makes more creative education possible, the growth of the adult education organizations, and the fact of immense and rapid change which makes it necessary for citizens to be constantly learning and re-learning in order to keep up.

Dr. McClusky agreed with Dr. Mitchell that ABE is the place to begin with adult education, because of the need to redress social inequities. He said he felt there is a moral obligation on the part of those who have "made it" to help those who have been less fortunate, and that ABE is a perfect gateway to do this. However, although ABE is very important and is the first thing which should be tackled if money is limited, it is only the first part of what should ultimately become the field of adult education.

Dr. McClusky said he believed there is a subject matter field in adult education which can be used to build programs all the way from the A.B. to the Ph.D. Like Dr. Mitchell, he favored starting with the Introduction to Adult Education, Psychology of Adult Education, and Methods and Materials courses. He also suggested that adult education has great relevance to K-12 education, both in helping to resolve such issues as busing and decentralization and in making the K-12 teacher more employable. Adult education also has potential importance for designing teacher education curriculum.

In conclusion, Dr. McClusky said he thought the same forces which have led to the emphasis on ABE will eventually have an impact on the whole educational field.

After Dr. McClusky's address and a farewell luncheon, participants left for their homes, hopefully to vigorously refine and implement the plans they developed at the Workshop.

WORKSHOP      PROCEEDINGS

Dr. Sterling M. McMurrin  
Dean of the Graduate School  
University of Utah

Ladies and gentlemen, I am delighted to welcome you here this morning, and I am very pleased that this is to be a tieless, informal occasion.

I was asked to say a few words that may have some substantive merit as well as to welcome you to the city on behalf of the University. What I should like to say is that I am becoming more and more convinced that the largest single problem we face in educational planning is the problem of establishing clearcut purposes, goals and objectives. I am assuming that purposes are very broad in character and goals are a little more specific and objectives even more specific.

As you know, numerous colleges in the country are going bankrupt every year, at the rate now of about twenty per year. I am presently engaged in directing a project for the Committee for Economic Development which is of national scope and funded at more than \$400,000 to see what can be done by bringing experts together in an effort to develop better management in these institutions and better financing, to keep them from going under. So far everything we have been able to get from the experts seems to indicate that our biggest single problem is deciding what the institutions are for.

It is obvious that many institutions, especially those which have a rather limited character, have developed somewhat traditional goals that are handed down from one generation to another, but many others have never seriously attempted to set down anything like a formal conception of institutional purposes, and it is becoming more and more evident that much of the failure in the management of institutions, in the raising of adequate finances, and certainly in the expenditure of human and material resources, is due to this lack of adequate determination of goals and objectives. So I would like to urge that

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Sterling M. McMurrin, Ph.D., University of Southern California, is currently the E. E. Ericksen Distinguished Professor, Professor of History, and Dean of the Graduate School in the University of Utah. He served as the United States Commissioner of Education in 1961-1962, has been a member of the National Commission for UNESCO, and is a trustee of the Carnegie Foundation. He has published monographs and journal articles on philosophy, religion and education.

a basic part of your planning be a very serious consideration of goals. I am quite sure that if we are having this problem in colleges and universities, we must have it on a large scale in elementary and secondary schools and that you have it also in adult education.

I think it's exceedingly difficult to set forth clearcut goals of education in a society which is in various ways maintaining stability in its values but in other ways changing constantly in its conceptions of itself and of the kinds of values it is attempting to achieve. And even when this is done, it's usually done in a highly generalized and almost vacuous, meaningless style with highblown phraseology that is more poetry than anything else. Obviously, what is needed is not simply a statement of goals, but a statement of goals that has operational qualities so that it can be employed in the making of decisions --- in the expenditure of money and the distribution and deployment of human talent.

I would think that in the field of adult education and the preparation of teachers for that field, you can not get very far until techniques are developed for the determination of goals and the constant correction of the goals that are defined at any one time.

I'm quite sure that the weak spot in American education is the failure to state individual program and course objectives. It's essentially a problem in the philosophy of education. As I get more and more into the problems of the philosophy of education, I am convinced that this is its fundamental problem, and that this is what the philosophy is about: the determination of the purposes of education.

My point is that the whole discipline of education in America has been affected by the fact that much of the work that has been done in the philosophy of education has had very little relevance to the actual educational process. Here it seems to me that we need to dig very deeply or we're going to be in serious trouble. We're already in very serious trouble. Our problem is how to get out of it. And since you are in a field which is going to expand very rapidly in the future and involve more and more people, and involve them more importantly, I am inclined to think you might save yourselves from much of the trouble that education is in generally, especially post-secondary education, as a result of this failure to dig deeply into the problem of what it is we're trying to achieve.

You hear a great deal these days about accountability in lower education, and in the future more and more will be heard about holding colleges and universities accountable for their products. But at the present time, we haven't the slightest notion what we're supposed to

be accountable for because we're not sure what kind of product we're supposed to be producing. It seems to me that this is an error that those of you who are working in adult education should want to avoid rather than perpetuate.

Well, may I again tell you that it is an honor and a pleasure for us in this community to have you as our guests, and we hope that you will find your time here in every way very profitable and pleasant.

Dr. Stephen P. Hencley  
Dean of the Graduate School of Education  
University of Utah

Ladies and gentlemen, it's a great pleasure indeed to welcome you on behalf of the Graduate School of Education and the University of Utah to Salt Lake City for your second annual conference. I had the pleasure of welcoming many of you last year when you had your first conference at Park City.

I should like to add just a few comments of a very general nature to the theme that Dr. McMurrin has opened up for us. Many of you know that Michael, a few years back, in his excellent little volume entitled, Cybernation: The Silent Conquest, made a number of points that are of particular significance to this group. At one time the rate of social change was slow enough that each of us could become persons of a productive capacity just by the natural process of becoming socialized within communities, school systems and systems of higher education. This is no longer the case; it is now necessary for us nationally and within each of the institutions to reassess directions in which we're headed every five or ten years --- primarily because of the accelerated rate of change within the professions, the vocations, and all types of productive activity in the world of work.

Most educational institutions are familiar with the history of purpose as it's been enunciated for educational institutions within the last hundred years. Every formulation of purpose appears to include at least four different categories which are elaborated in many different ways.

One of these categories is the productive category. As we look at training and retraining of adults, it seems to me that we are zeroing in upon the productive dimension --- upon the dimensions that will make each member of society a producing member throughout his entire life. The productive dimension in itself is a very important purpose for education at all levels. There are, however, some other

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dimensions of considerable importance. There is the intellectual dimension which is very important for citizenship and for productive learning throughout the entire life of a human being. We ought also not to forget the personal dimensions of education which include bodily health, moral integrity, and ethics. And finally, the social dimension is very important throughout every citizen's life in the national and local community. This last dimension includes social relationships that may be characterized as man-to-man, man-to-state, and man-to-world.

As each of you gives attention to the problems of teacher education, I hope you'll have an opportunity to focus on adult education. The history of teacher education in many institutions in this country is intimately tied to elementary and secondary age level students. In the Intermountain area at least, there has not been a great movement to produce teachers of adults. This particular problem is of considerable salience and significance in today's society because of the nature of the problems currently faced at community and national levels.

I urge you not only to give attention to the development of these programs, but also to try to see what strategies of change both within the university sector and the society at large would help to bring about needed changes. I'm thinking primarily of the great need to employ empirical-rational strategies for building better program conceptions through research, development, diffusion, installation, and field testing. I'm thinking too of the challenge we'll have in engaging in normative re-educative processes to bring the society in tune with what is now known about the need for adult education programs. Finally, I'm thinking of the power we will need to energize to make all of these things become a reality.

Let me again, then, welcome you on behalf of the University of Utah and hope that you have a spirited and productive three days with us here in Salt Lake City.

## THE ADULT EDUCATION CLASSROOM: REALITIES

### AND RECOMMENDATIONS

Alan B. Knox

#### Introduction

I'm delighted to share some thoughts with you about a favorite topic: teaching adults. During the past few years I've been working with Jack Mezirow, Gerry Darkenwald and Dick Videbeck at Teachers College in a study of urban ABE programs. We collected data from classes in cities all over the country to produce generalizations that adult educators could use to raise the effectiveness of teaching and learning in ABE programs. Because the teaching-learning transaction at any level is a complicated business, we were seeking "handles for improvement." Our purpose was to better understand what seemed to make the difference between typical ABE practices and the very effective practices that we found in some ABE programs. We also wanted to facilitate dissemination of these particularly effective practices.

#### Illustration

Several months ago we observed a teacher of adults, and her approach was typical enough of what we have found in many communities across the country that I would like to describe briefly something of what we discovered.

She was teaching an ABE class that was sponsored by an urban public school adult education division. The financing of the class was largely from Title III of the Elementary and Secondary Education Act. The participants in her class numbered about fifteen, but this varied as people would drop out and other people would be added due to the process of continuous enrollment. For the most part the participants were undereducated, underemployed adults who were mostly in their thirties, though there was a fairly wide age range. Most

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of them were reading at about the fifth grade level. Their reasons for being in the class varied. Some wanted to complete the G.E.D. for a high school equivalency, many were interested in a better job, and some wanted to be able to help their children with homework.

The teacher had in recent years taught sixth grade full-time. This was her second year teaching in the ABE program. One thing that she commented on was that she had received relatively little help from anybody connected with the ABE program in that city. By the way, the director was in his third year as head of the ABE program, and he was formerly an assistant high school principal in that system.

The teacher's approach was as follows. She worked with the class by herself and didn't have much contact with other ABE staff such as teachers, supervisors, or counselors. Two evenings a week she would meet with this group of about fifteen undereducated adults. Although most of them had completed some sort of a placement test when they entered the ABE program, there was a wide range of backgrounds from beginning readers to people who were high school graduates but who, as far as reading level was concerned, were operating at about seventh grade level.

A number of these people had been referred to the ABE program by the employment service or the welfare office because somebody had concluded that in order to accomplish what they wanted to do they needed to be able to perform at a higher educational level. For some of these people English was a second language, so they were learning to speak as well as read it.

The participants in the program were seated at desks and the teacher would give them some sort of work assignment which was basically adapted from elementary education materials that she had worked with in elementary school. This teacher would walk up and down the aisles and check on where participants were in the materials and what problems they were having.

After thirty or forty minutes she would select a problem or two that seemed to be fairly widespread among the participants and then she would make a presentation to try and explain things they seemed not to understand very well. She would then ask or answer questions. She also encouraged the participants to recite or describe some aspects of arithmetic or reading that they were working on, and when they would do so she was very careful to keep the atmosphere relatively light. She'd use humor or some sort of supporting comments to encourage them.

The participants tended to be relatively passive. There were very few student-control problems such as most elementary and secondary

education teachers in the day school confront from time to time. She used informal testing procedures and went out of her way to avoid placing these adult participants in any sort of failure situation. When she had completed dealing with a topic, she would then move participants back into some sort of "seat-work" and again made the rounds up one aisle and down the other, repeating the whole cycle with a new topic.

Both drop-out and absentee rates tended to be relatively high. This wasn't quite as apparent as it might have been because as people would drop out or not be there, they would be replaced by new people coming into the class. This tended to create a problem for the teacher, because she would have to accommodate these newcomers and give them the attention they needed while paying attention to the people who had been there for some weeks. She expressed some feelings of inadequacy regarding the diversity of people that she was trying to serve as well as the turnover in the class. She expressed the desire for some sort of help and assistance that would enable her to do a better job.

Some of the ABE classes that we studied were very different from the example that I just gave you. Although these exceptional classes were conducted for the most part in very similar settings as far as the school, neighborhood, and community were concerned, there was a much greater sense of direction on the part of the individual teachers. There was, in some instances, a very substantial counseling orientation, where the teacher saw his or her role as one that combined teaching in some usual group sense and counseling on a one-to-one basis with individual participants.

As we talked with the teachers and directors in these exceptional programs, it seemed apparent to us that a major reason for this greater sense of direction was the leadership that was provided by the local ABE director. He had some sense of his leadership role in the ABE program and was having a very substantial impact on what the teachers in his ABE program were doing.

Some of the programs also differed in terms of the type of participants who attended the classes. In contrast to most ABE programs, these programs seemed to be reaching and retaining a higher percentage of the harder-to-reach adults. In many instances, ABE programs tend to be skimming the cream, just reaching those people who are ready to move and have internalized many of the values and skills that are needed for the mobility and improved job and family situations at which the ABE program is aimed. But in some communities they have been successful in going below that top five or ten per cent to reach the harder to reach.

Also, in some ABE classes, the participants themselves were far more actively involved in planning and making decisions regarding the educational experiences in which they were involved. In some instances there was a high degree of individualization provided partly because of the teacher's approach and partly because of the use of learning labs or other such arrangements.

This provides a picture of the ABE classroom. I realize that some of you are also interested in other settings in which adults continue their education. Examples include other parts of the public school system, community colleges, university extension, educational training programs sponsored by employers for their employees, continuing religious education, and the like. As I review the major conclusions from our urban ABE study, they are very similar to conclusions from our earlier research in other adult education settings. Therefore, although the remainder of my remarks will be focused on ABE, I believe that they will be generally applicable.

#### Teaching Effectiveness

In our ABE study, we arrived at one overriding conclusion regarding teaching effectiveness. That conclusion was that teaching is more likely to improve if someone helps the teachers (1) analyze their practices and procedures, (2) understand the participants, and (3) select relevant knowledge resources.

From our own research and from a number of other studies, such as Louis Rubin's study of "Continuing Education of Teachers" that was conducted in the Center for Coordinated Education at the University of California at Santa Barbara, we have identified a number of characteristics of effective teaching on which the above conclusions were based.

One conclusion is that the image of the ABE program or of the individual teacher attracts some participants and holds them, in large part because they're learning what they want and need.

A second indication of effective teaching is that teachers help participants engage in useful learning activities. This may involve assisting participants to discover educational objectives that are important to them as well as achieving educational objectives that somebody else sets for them.

A third characteristic of excellence is that the more effective teachers seem to be able to unify several different elements in their own teaching. One of these elements has to do with understanding participants and the other has to do with understanding knowledge resources.

Regarding the ways in which teachers gain a better understanding of and relationship with the adult participants, effective teachers tend to have a personality characterized by a degree of warmth, respect, and empathy for other people and an ability to establish a rapport so that teachers and participants can get to know each other. Some of these personality characteristics, which have been identified in several research studies on ABE teaching, have also been identified by teachers and directors themselves.

In addition to the above-mentioned personality characteristics, another characteristic of teachers who seem to understand adult participants, and particularly undereducated adults, is that they make an effort to know the specific people in the class, to know their problems, to know something about the approaches to learning that they typically have taken in the past, and to build on that specific understanding for a specific individual.

In past workshops for ABE administrators or teachers, lecturers have described the characteristics of undereducated adults, which has tended to suggest a new stereotype to replace the old one. The main value of such general statements about undereducated adults is to sensitize the teacher to try and find out what the specific human beings in that classroom are like, not to learn what undereducated people are like and then teach to the new stereotype. So one characteristic of effective ABE teachers is that they make a concerted effort to understand the adult participant with whom they work.

Another characteristic of effective teaching is the ability to relate the two foregoing elements of understanding participants and understanding knowledge resources. Effective teachers of undereducated adults are concerned about the subject matter content that they're trying to teach the adults. In some instances, teachers of adults have taught elementary or junior high school and have come to adult education classes with that content in mind. However, the effective teachers of adults discover relatively soon that the preparatory education content, even though it would seem to be what those adults need, only partially overlaps with the concerns that the adults in the ABE classes do in fact have.

In trying to understand what an appropriate knowledge resource is, it is difficult to separate the subject matter content from the knowledge about teaching methods and techniques that are appropriate for these adults. Because content and methods are closely related, as we analyzed the data from our ABE study the concept of "latent lessons" began to emerge. Latent lessons were what ABE participants learned that did not pertain directly to the subject matter content. Latent lessons emerged about the way in which participants relate to

others in the ABE classroom, the way teachers relate to participants, the extent to which a certain degree of hard work is an important way of achieving some of the goals that the ABE participants come with, and so on.

The basic point regarding understanding participants and understanding knowledge resources is that a moderate amount of each seems to be more important to achieve than a high degree of one of these and a low degree of the other. Much familiarity with knowledge resources and little understanding of adult participants is not enough for it can result in having a lot to say but no one there to say it to. In the reverse instance people may have a "fun time" but eventually realize that they're not really learning very much and leave.

The fourth comment regarding characteristics of effective teaching is that teachers who seem to do a better job of matching up learner concerns and knowledge resources usually have a range of alternative ways of facilitating learning from which they can select those that seem to be most appropriate in a specific instance. It seems to me that this has implications for what beginning teachers in ABE programs or other educational programs for adults might be exposed to.

#### Increasing Teacher Effectiveness

There are a number of ways you could help teachers to become more effective. One is to develop a leadership role for someone locally who will engage on a continuing basis in in-service education of teachers of adults. It seems to me this has to be someone who is close to the teachers. In the Rubin study I mentioned earlier, what they did was to identify other teachers in the same school system and these teachers, who were selected to be facilitators for that particular research project, were selected in part by the teachers who would be engaged in the in-service educational experience. In our own ABE study, some of the supervisors of the ABE programs who had developed fairly close relationships with the individual classroom teachers were able to perform this type of leadership role.

The conclusion is that if teaching is to be improved, it will have to be improved primarily by something that goes on very close to the teaching act. I would contrast this with efforts to develop research and development labs or the dissemination of research findings or demonstrations that are far removed from what master teachers do.

The second way to help teachers become more effective is to help them analyze what they do in their own teaching. In short, try to base improvement strategies on a detailed familiarity with what those specific teachers are doing in their own teaching. This reflects my own conviction that few people learn and use answers for which they do not already have questions. Program evaluation could make an important

contribution here, and participant observers can provide the type of insight into what is going on that the individual teachers may not be aware of because they're dealing with minute to minute concerns. Also, teachers can observe other teachers and learn a good deal by becoming familiar with what other ABE teachers are doing, reflecting on what is similar and different from what they have been doing, and beginning to explore the implications of what they have seen.

### Differentiated Roles

If a leadership role that encourages teachers of adults to reflect on and analyze what they're doing is important, then how do you move in that direction? I would propose five roles that seem to me to be pertinent to improving teacher effectiveness: (1) the adult participant himself, (2) the ABE teacher, (3) someone whom I will identify as the facilitator teacher, (4) the administrative supervisor, assuming that this person is different from the facilitator teacher, and (5) people connected with outside agencies.

One of the things that the adult participant in an ABE class can do if the teacher or counselor helps to open up channels of communication is to provide evaluation and feedback to the teacher. This tends not to occur in many instances. The dissatisfied participants drop out and the teacher may conclude that something is wrong, but may not know what. However, if the approach and style of teaching, whether it's working with typical classroom groups or some type of learning center or lab, is to emphasize the participant's own role as teacher unto himself, that participant will be better prepared to say some very useful things to the ABE teacher. Of course the learner's achievement is also a major criterion for understanding teaching and teaching effectiveness. This is reflected in whether the participant persists or drops out as well as how much he achieves.

Regarding the role of the teacher in the improvement of teaching, one recommendation is that the teacher become more reflective about his or her own teaching style. This is helped if the teacher is exposed to alternatives. There is a tendency for people to form their own teaching styles in their first few years of teaching experience and there are relatively few circumstances in which most teachers observe other ways of dealing with the problems with which they have been dealing. Therefore, some procedures that would help teachers in ABE classes to become more familiar with alternative ways to proceed would be very productive. And remember that it's the teacher you would change, so their role in the improvement of teaching is crucial.

The master teacher role can provide the major linkage between effective ideas and practices that occur elsewhere and changes in the practices of an ABE teacher. One of the ways the master teacher can facilitate linkage between effective practices elsewhere and the practices of an ABE teacher is to become familiar with models or approaches that seem to be particularly desirable and feasible.

The fourth role is that of the administrator or supervisor, who performs his most crucial role in present practice when he makes staffing decisions. The way in which ABE directors in urban areas around the country are influencing the effectiveness of instruction that takes place is by appointing people or participating in the appointment process of people who are going to teach adults, and having some say about who's going to continue and who isn't. Furthermore, in those instances in which we found the most exciting and effective teaching in ABE programs, there was an environment that encouraged growth, not just in terms of spirit and enthusiasm but in terms of opportunities to grow into other things. There were rewards, both financial rewards which seem to be secondary, and other rewards and recognition that came to teachers who tried a bit harder and did a bit better.

The fifth role includes not only colleges or departments of education and what they do, but also people connected with state education departments. This role involves a number of activities. One has to do with developing and providing for ways to analyze professional practice. This could be done by helping with observation procedures, assisting with evaluation and the like, so that people become more familiar with what is going on and can compare their own practice with practices that seem to be effective elsewhere.

A second way that seemed to work in the past was the preparation or selection of instructional materials that not only serve their intended purpose of assisting the participant to learn but can be used as one of the most powerful vehicles for professional development of teachers of adults.

A third part of the role of the agencies outside of the local ABE program is as a source of courses for teachers, as has occurred during the last four or five years. Such courses can help ABE teachers to locate content or procedures that would seem to be useful in their own programs. In some instances these courses provided detailed training on specialized topics. Or a course could, if well designed, explore with the ABE teachers ways in which they can relate the knowledge that they already have and the knowledge resources that they know about, to the action problems that the adult participants confront. This seemed to be one of the weakest links we saw in the ABE programs. Some of these courses have been particularly effective when they have

encouraged teams of staff members from local ABE programs to come to the courses so that together they can better bring about some local change beyond their own practices.

The fourth and final way in which outside agencies have been helpful is to provide graduate programs for administrators and supervisors of ABE programs so that they are better equipped to develop in-service educational programs that are close to where the teaching act occurs. In some smaller communities, people from two or three adjoining ABE programs have gone together to develop some local in-service programs, because many times the small size of the programs makes it difficult to do anything beyond effective supervision.

#### Approaches

In conclusion there are four promising approaches to the improvement of teaching of adults that are based on the foregoing comments.

The first approach is to expose teachers to participant problems in a direct way. There are a variety of ways in which teachers of adults can gain more direct exposure to the problems and concerns of their adult participants. One is to see them in some other setting than the typical classroom setting.

Another one might be the personal counseling function that some of the more effective teachers of adults tend to perform in assisting adults to cope more effectively, not only with educational problems and making related decisions, but particularly for undereducated adults who tend to be reluctant to approach strangers about personal problems.

Some of the effective teachers of undereducated adults also get involved to some degree in personal counseling as a part of their instructional role. Some have done some home tutoring, and in Salt Lake City there have been some very useful examples of working on a one-to-one basis in the homes of undereducated adults. As a by-product of doing this you get more insight into the style of life and the problems and concerns of the participants with whom you're trying to work. This information tends to be insulated in the typical ABE classroom where you're on the teacher's turf rather than on the student's turf.

Some of the ABE programs have day care facilities where mothers may bring their young children while they attend ABE classes. This provides an opportunity for the perceptive teacher to see that mother relating to children as they're coming and going.

Another way to expose teachers to participant problems and the way in which the world looks to them is to arrange as part of the ABE program for some feeder classes in outreach locations, where a few people who may be reluctant to come to a more centralized location will participate for a period of weeks or months and eventually move into a more standard ABE class. The feeder class may be held in a union hall or a church basement or a store front or almost anyplace. As a by-product, the teachers who work in feeder classes come into association with some of the people from that neighborhood who are in settings where they can be more like themselves.

Another way of gaining insight into the participants is to encourage the participants to help make some of the major decisions about their own educational programs, objectives, learning activities and the like.

Another is to have the teacher adapt as instructional materials items such as job application forms or driving test booklets that the adults are going to have to confront successfully if they're going to use what they have learned in class.

Or finally, bring in resource people from the neighborhood. These people may be paraprofessional aides or they may come just as speakers and be the sort of people the participants are likely to have contact with in the weekly round of their activities.

A second promising approach is to use detailed qualitative data and incorporate it as part of a comprehensive program evaluation effort. In our ABE study this involved collecting detailed descriptions of what was going on in the class, not just an outline but a description of the way in which patterns of interaction tend to occur. In this research approach, which could be adapted for evaluation purposes in a local ABE program, somebody has to monitor and read through the resulting notes. We have found it helpful to have two or more different people read through the descriptive material and say, "What seems to be occurring here?" "Are there some processes going on here that we could better understand and then use this understanding to improve the program?" This approach has been used by continuing education centers such as the Kellogg supported centers at Michigan State or Nebraska or Oklahoma or the University of Chicago to evaluate conference and institute programs. Evaluators there described with some richness of detail what went on and extracted generalizations from those descriptions that were useful for planning subsequent programs.

In sum, we've been trying to use the types of qualitative descriptive data that are sometimes swept aside when people think about evaluation, and to use it to understand what's going on and where program improvements might be made.

A third promising approach is to expose teachers of adults to innovative practices. This requires more than just reading an article in a journal or hearing a telelecture at a professional conference. It means that somebody must locate a practice that seems to be innovative, effective and worth looking at more closely, and then the teachers that you're trying to assist must have some opportunity to observe that practice. The practice may well be within the same school system or an adjoining school system, but there has to be enough flexibility to allow an ABE teacher to spend some time becoming familiar with the innovative practices of other teachers.

Another way to provide this sort of exposure to innovation is through team teaching. This is done increasingly, not only in elementary and secondary education, but in adult basic education programs where two or more teachers work together with the same group and see each other in action.

Another part of this exposure is to have teachers try new practices out themselves and have someone like the master teacher or supervisor give them some feedback as to how it seems to be working. One of the very useful ways that has been used with micro-teaching is to use video tapes as a way of providing a sort of holistic feedback to encourage teachers to reflect on what is occurring so that they can begin to say, "Aha, I can see now what I've been doing in this area that seems promising but I didn't know where to go," or "Oh, I'm disturbed by what I see myself doing here and would like to try approaching this a bit differently in the future."

The fourth and final approach that I find promising is to identify some ways in which you can achieve several objectives at the same time. Let me illustrate this by reference to a course I call the Clinical Seminar. Such a course might be useful to colleges working with courses for administrators in ABE programs to help them do a more effective job of improving instruction within their ABE program.

The problem that got me started on this seminar was the problem of competition that tends to occur in many colleges, not only in liberal

arts and sciences but also in the professional schools, between resident teaching and research on the one hand and continuing education efforts on the other. It seems to me that the Clinical Seminar provides a way to reinforce both of these rather than put them in competition with each other.

For instance, you might select one or more ABE programs and work with the local ABE director to identify some of the problems that they have. One problem might relate to using programmed individualized instructional materials in ABE classes. One or more professors from the College of Education and the seminar graduate students, some of whom may be taking course work because they're interested in the administration of ABE programs, might then conduct a project that would serve both the purposes of the local school systems and their ABE programs and also the instructional credit and degree program within the College of Education.

The seminar would allow the local school systems with their ABE programs to get some very direct service that would be useful to them. The professor and his graduate students might come and spend some time becoming familiar with what teachers in that school system were actually doing in their ABE classes, identify some of the materials that they were using, work with them to select alternate materials that look promising, help them get oriented to those materials, and engage in some in-service training programs having to do with using these effective but underused instructional materials. If the professor and his graduate students do an effective job there, I would guess that the local ABE director and his teachers would be delighted. At the same time, however, that Clinical Seminar is part of the course load that the students are taking for credit toward their masters or doctorate.

The seminar would be justified because it's the most effective way that the graduate students can develop a repertoire of effective strategies for alternating between knowledge and action. Through this seminar they can link more effectively the action problems they'll have to deal with out in those school systems and the knowledge resources that came out of other courses, research reports, the library, or the head of the professor. Professors and graduate students can work together to try and relate these two, rather than the professor saying to the students, "Here's the knowledge that you'll need and there are the action problems out in the field. Go to it." I would submit that "going to it" is a more difficult task than either just going out and operating as a teacher or administrator or passing the subject matter courses in the College of Education.

### Conclusion

In conclusion, I urge you, as you prepare your back home plans during the next few days, to explore various ways in which you can help someone working very close to the adult teachers to help these teachers on a continuing basis with the analysis of the ways in which they can relate learner concerns on the one hand and knowledge resources on the other. And if part of your effort in credit-degree programs, non-credit workshops, working on a consultant basis and so on, is aimed at these sort of linkage agents who are close to the local adult education programs, it seems to me you will create a multiplier effect that most Colleges of Education are very much committed to in this day of tight budgets and accountability.

ORGANIZATION AND FINANCING OF TEACHER PREPARATION  
IN ADULT EDUCATION PROGRAMS

James A. Farmer

Introduction

Today I would like to describe aspects of a teacher education program which we have developed at UCLA during the past two years to train approximately 800 adult teachers each year. This program costs neither the state nor the federal government any money. As a matter of fact, this program brings in money to Education Extension.

The program is designed: (a) to help participants overcome problems of selective perceptivity in relation to teacher training for the teachers of adults; and (b) to structure a program to meet career needs by utilizing a professionalization model.

Helping the Participants Overcome Problems of  
Selective Perceptivity

Those who enroll in the required courses for the Adult Education Teaching Credential in the Los Angeles area typically come with a variety of backgrounds and an assortment of problems of selective perceptivity. When they try to approach the teaching of adults merely from the perspective of whatever happens to have been their backgrounds, they often find it difficult. Some of them have likened it to trying to put "square pegs into round holes."

The Teacher-Training program for teachers of adults at UCLA has found that it is necessary to put this problem on the agenda at the beginning of each adult education credentialing course and to structure the courses to assist the participants in overcoming such problems of selective perceptivity.

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To deal with these problems, we have had each learner identify what his or her professional background is and why he or she has enrolled in the course. Typically we have found that one third of the group comes from business and industry. They have never taught before but know a lot about what to do in a factory or office. For the most part, they indicate that they think that anybody can teach and that what a person needs to know to teach adults is primarily content. Since they feel that they already know the content of what they are going to teach, they assume that they already know what it takes to teach adults or to run a program for the teaching of adults. One of our toughest jobs is to help such people understand that there is something important which they can learn about education and about teaching adults.

Another third of the participants typically are housewives. Most of them have helped their own children with homework. They often indicate that they are not at all sure what the teachers were doing in teaching their children and at times they questioned its value. As with those coming from business and industry, these participants typically were not convinced that learning about formal education would be important for them. We have found that we have to help such people approach learning about the teaching of adults in a way that makes sense to them and helps them overcome such negative biases in relation to education.

The final third of the participants typically come from primary and secondary education teaching backgrounds. They often bring with them a large number of ideas, concepts and habits which they have learned in primary or secondary teacher-training classes, which they have had reinforced through teaching youngsters and which are hard for them to set aside while they are learning to teach adults. While some of what they have previously learned may be of value to them in teaching adults, some of it is clearly dysfunctional for this purpose. We have found that we need to indicate to such persons that, "We will try to help you understand what you can use from your background in pedagogy and what you will have to set aside to effectively teach adults."

In trying to help the participants overcome these problems of selective perceptivity, we ask them to describe ways in which square pegs can, in fact, be put into round holes. Sooner or later the point is made that to do so one has to either shave off the edges of the pegs or change the shape of the holes. We then talk about ways in which they can overcome their problems of selective perceptivity in this matter.

We tell them that we hope the courses we offer will be as useful to them as the moose hunt was to the sportsman who told of the following experience. He had wanted to go on a moose hunt in Wisconsin last summer. He lined up a guide, gear and the rest, and was almost ready to take off. But being a true sportsman, he got back out of his jeep, located his fishing rods, put them in the back, and took off for Wisconsin. When he got there, there were no moose. He never saw one. But he checked around in the sports stores and heard that muskies were striking like they had never struck before in that region. So he hired a guide, got his fishing rods out, and day after day limited out on near record muskie. He went home, wrote it up for a sports magazine and got money out of it.

The question: What was the objective of that experience? How do you evaluate it as a moose hunt? If you try to evaluate it in terms of a moose hunt, you're not going to do justice to the experience. Clearly it wasn't just a matter of getting moose. Otherwise when there weren't any moose in sight, he would have gone home. The hunter's more basic purpose, it seems, was to have a recreational experience, and he gave a clue to the fact that he realized that he might have to do more than just moose hunt to achieve his greater objective when he went back in the house and got his fishing rods.

Through the use of this analogy we try to help participants broaden and in other ways redefine their objectives in taking the courses on learning to teach adults. We have found that we cannot base our programs for the training of adult teachers on their initial answers to the questions: "What do you expect from the courses?" Rather, we must ask the question: "What is the underlying need for taking the course?" We have found that when we fail to try to help them overcome the participants' problems of selective perceptivity in this matter we "bomb out," as some of the participants have indicated in their participant feedback sheets. No matter what we teach seems to be translated by the adults into a narrow way of viewing adult education and neither we nor they get anything constructive out of the learning experience.

#### Structuring the Program to Meet Career Needs:

##### A Professionalization Model for Adult Education Teacher Training

Two years ago a careful look was taken at what was going on in the teaching of adult teachers in California. A convenient vehicle to do this presented itself when the State Board of Education mandated a careful examination of the adult education situation in the state and created five task forces to undertake the examination. I served as a member of the Personnel Task Force. A summary of the materials which grew out of our year-long investigation are presented in Items I and II.

Particular attention is given in these reports to: (a) the inter-relationships between the administrators, the counselors, and the teachers in adult education; (b) the need for viewing teacher training in adult education as part of the professionalization of the field through the development of an organized body of knowledge, the development of career lines supported by an association of colleagues, and the establishment of community recognition of professional status for adult education; and (c) the need for the development of a flexible in-plant credentialing system to supplement the present college and university-based credentialing process.

In California there has been a required credential for adult education teaching for a number of years. Those who would teach adults in the Public Adult Schools have to take two courses, one in the Principles of Adult Education and the other in Methods and Materials in Adult Education. This credentialing requirement provides the funding base for the Adult Education Teacher-Training program at UCLA, since all who wish to teach adults in the public school systems in the state need to take the course. The \$50.00 tuition per course pays for the cost of running the course through Education Extension. Without such a credentialing requirement it is doubtful that many adult teachers would enroll in such teacher-training courses, primarily because of their selective perceptivity concerning the need for such training (discussed earlier in this paper). Further, without such tuition, the cost of such training, even if it were to be provided by a governmental or foundation source, would rapidly become prohibitive if there was a need to train a large number of teachers of adults.

Items I and II indicate how career ladders and teacher-training for adult education can be conceptualized on a statewide basis to further the professionalization of the field. After the Task Force's report had been received by the State Board of Education, a group of adult educators from the Graduate School of Education at UCLA, Educational Extension at UCLA, Los Angeles City Schools, and Los Angeles County Schools met to work out a way to implement recommendations in the report relevant to Teacher-Training of Adult Education Teachers. A "network" or "consortium" resulted, consisting of doctoral students in adult education at UCLA and principals of adult education schools in the area. This group met frequently to reconceptualize the two credentialing courses in keeping with the recommendations of the Personnel Task Force.

This planning is done quarterly at UCLA, and the teacher-training classes are offered quarterly in widely separated locations throughout the Los Angeles area to provide a "network of teacher-training for adult education." Between 700 and 800 adult education teachers per year have completed these courses. At one location an intern program

has been established on an experimental basis, coupling teacher-training with interns working under the supervision of master teachers. The content of the courses is re-examined each quarter in light of feedback from the learners and from the adult education systems in which they are employed.

By having a professor of adult education, doctoral students in adult education, administrators and master teachers of adult education, and learners all working together in the network, we have developed an illustration of the "fish scaling" effect described by Donald T. Campbell in "Ethnocentrism of Discipline and the Fish-scale Model of Omniscience" (Interdisciplinary Relationships in the Social Sciences, Muzafer Sherif and Carolyn W. Sherif (Eds.), Aldine Publishing Company, 1969). Each member is encouraged to contribute to the network in terms of his own role perspective toward the identification and teaching of an organized body of knowledge about the teaching of adults, on which the credentialing courses focus.

ITEM X

Professional Training Plan for Adult Educators

Submitted to the Advisory Committee on Adult Education

By the State Board of Education Personnel Task Force

PERSONNEL TASK FORCE

1. Background: The Personnel Task Force has met twice prior to this meeting in Santa Barbara. At the first meeting, which was in Los Angeles, the Task Force organized itself under the chairmanship of Judson Bradshaw. The discussion included consideration of the credential structure, educational opportunities for professionals in adult education, and career ladders in adult education. At the second meeting, it was reported that, of the 12,000 adult education teachers in the state, at least 3/4 are part-time. The generalization was made that, although the present adult education system in the state tends to be bureaucratic and irrational in some of its aspects, in many ways the system is functional and is working satisfactorily. Currently the greatest needs for improvement seem to be in relation to the credentialing and professionalization of adult education administrators, teachers, and counselors.

At the present time most of the adult education teachers in the state come from teaching in primary or secondary schools or from business or industry. The successful adult education administrator in the state, in the view of the task force, tends to operate as a businessman, as a freewheeling entrepreneur. He spends much time in developing community contacts. He adapts to possibilities and needs. His training is primarily from previous experience as an administrator; being an entrepreneur and having previous administrative experience stands him in good stead. According to the NAPCAE position paper on "Professional Development Plan for Adult Educators," (October 30, 1969), the key to increased professionalization of adult education administrators is in graduate study programs designed to enhance their professional development. And yet, according to the position paper, "Only a few have had one or more graduate courses in adult education. What other area of education demands no specialized academic preparation for entry into its cadres? Not only does such a non-descript requirement evidence marginality; it adduces it and contributes to it." (p. 7) The position paper recommends: It is of paramount importance and of utmost urgency that a start be made in enabling present and prospective adult educators in the publicly-supported school systems to participate in graduate study programs designed to enhance their professional development. Such programs would maximize the interplay

of theory with practice by intimately relating internship situations and administrative assistantships with course work." (p. 15)

2. Professionalization: In the discussions of the Personnel Task Force the concept of professionalization has come up a number of times. There is an increasing number of references to the term in Adult Education literature today. A few comments about the professionalization process may assist us in considering implications for Adult Education Personnel in California.

(a) Professionalization is a process. "In my own studies I passed from the false question, 'Is this occupation a profession?' to the more fundamental one, 'What are the circumstances in which people in an occupation attempt to turn it into a profession, and themselves into professional people?'" (Hughes)

(b) Definition: "The concept of professionalization refers to the dynamic process whereby an occupation can be observed to change in certain characteristics in the direction of a profession." (Vollmer and Mills)

(c) Basic Elements of Professionalization: (i) Acquisition of a specialized technique supported by a body of theory; (ii) Development of a career supported by an association of colleagues; and (iii) Establishment of community recognition of professional status. (Vollmer and Mills)

3. Proposals: At the Newport meeting, the following two ideas were discussed by persons present: (a) The acquisition and/or development of more professionalized adult education administrators, counselors, and teachers is a realizable and important goal; and (b) The development of a more flexible, in-plant credentialing system to supplement the present, university and college based credentialing classes is likewise a realizable and important goal. To achieve these two goals the following proposals are presented:

PROPOSAL I: That those who are currently adult education administrators and those who plan to enter this occupation be encouraged to acquire theoretically derived and empirically proven principles of adult learning and program planning through one of the following types of graduate study programs:

- (a) Through existing masters and/or doctoral programs in adult education;
- (b) Through a proposed more limited graduate program leading to a Certificate in Adult Education Administration.

PROPOSAL II: That those hiring and promoting adult education administrators in the state be encouraged to consider graduate program training in adult education as an important component in their decision-making concerning such personnel appointments and promotions and that graduate study time be granted as part of the administrators' work loads to enable them to enroll in graduate programs or the proposed certificate program in adult education.

PROPOSAL III. That an "in-plant" credentialing system be established for adult education teachers and counselors to supplement the present college and university based credentialing system.

- (a) The in-plant adult teacher and counselor credentialing instruction would be team taught by college or university based instructors of adult education and members of the administrative staff of an adult education school.
- (b) Each college or university based instructor involved would concurrently team-teach with adult education administrators in the geographic area of the instructor's higher education institution, creating an "in-plant, credentialing network."
- (c) The instructor and all administrative staff teaming with him would constitute a consortium which would function under the instructor's leadership and which would be responsible for setting educational objectives, developing educational objectives, developing curriculum and evaluation (including the examination of students) for the credentialing courses taught by the consortium.
- (d) On the one hand, such a consortium would be college or university based. On the other hand, the teaching-learning experience for the adult education teachers and counselors being taught by members of a consortium would be based in the local adult education schools in which the administrator parts of the consortium are located. The geographic limit of the consortium network around a college or university would be limited by the distance which the administrators involved are willing to travel to the higher education institution for consortium meetings. Each consortium could meet once, twice, or more frequently each quarter.

References:

- Hughes, Everett C. "Work and the Self." In Men and Their Work, New York: Free Press, 1958.
- Vollmer, Howard M. and Donald L. Mills, ed. Professionalization. Englewood Cliff, New Jersey: Prentice-Hall, 1966.

ITEM II

Adult Education Advisory Committee

Personnel Task Force Report

Adult education lacks a professional image in the eyes of other educators. If we are to attract the best personnel, we must develop a professional image. How do we do this?

1. By developing a career ladder.
2. Allowing for advancement and salary improvements with their advancements.
3. By making it possible to select the best of the trained professional and give him a chance for practical work experience.
4. By selecting the best of those with practical experience and giving them a chance to obtain professional training.

Thus we have come up with the following concepts:

1. Create a developmental personnel system to meet the needs of the adult segment of public education in California.
2. Principles:  
It is assumed that:
  - a. Personnel in Adult Education need practical and professional experience.
  - b. That candidates with practical experience but lacking the formal educational courses may enter various intern steps of the professional ladder.
  - c. That candidates with formal educational training but lacking practical experience may enter at various intern steps of the professional ladder.
  - d. That a more flexible, in-plant credentialing system to supplement the present university and college based system based on credentialing classes is a reliable and important goal.
  - e. That educational courses and work experience should be given in such a

way that the candidate might continue to work and still complete needed in-service training, either at the same time or in concentrated periods of study at specific intervals.

3. The reality of the situation as we perceive it is:
  - a. The majority of our personnel in the foreseeable future will be on a part-time basis even though the movement is toward more full-time employment
  - b. No tenure will be granted within the intern classification.
  - c. If a person at any level has met the specified training requirements for the position, he will be exempt.
4. There should be a place on the professional ladder for those candidates that lack the qualification for certificated positions.

It follows from this that:

- a. There should be more emphasis on the use of paraprofessionals.

5. Procedural statements:

- a. In as much as possible, we would like to fit in under the present credentialing structure. Certain specific changes will be necessary. (See attachment, Pages 4, 5, 6 & 7)
- b. There should be some way for a person to enter any step in the career ladder and by experience and in-service training move up and/or over to steps more desired by the candidate.
- c. Movement up or across this professional career ladder requires an advancement in salary.

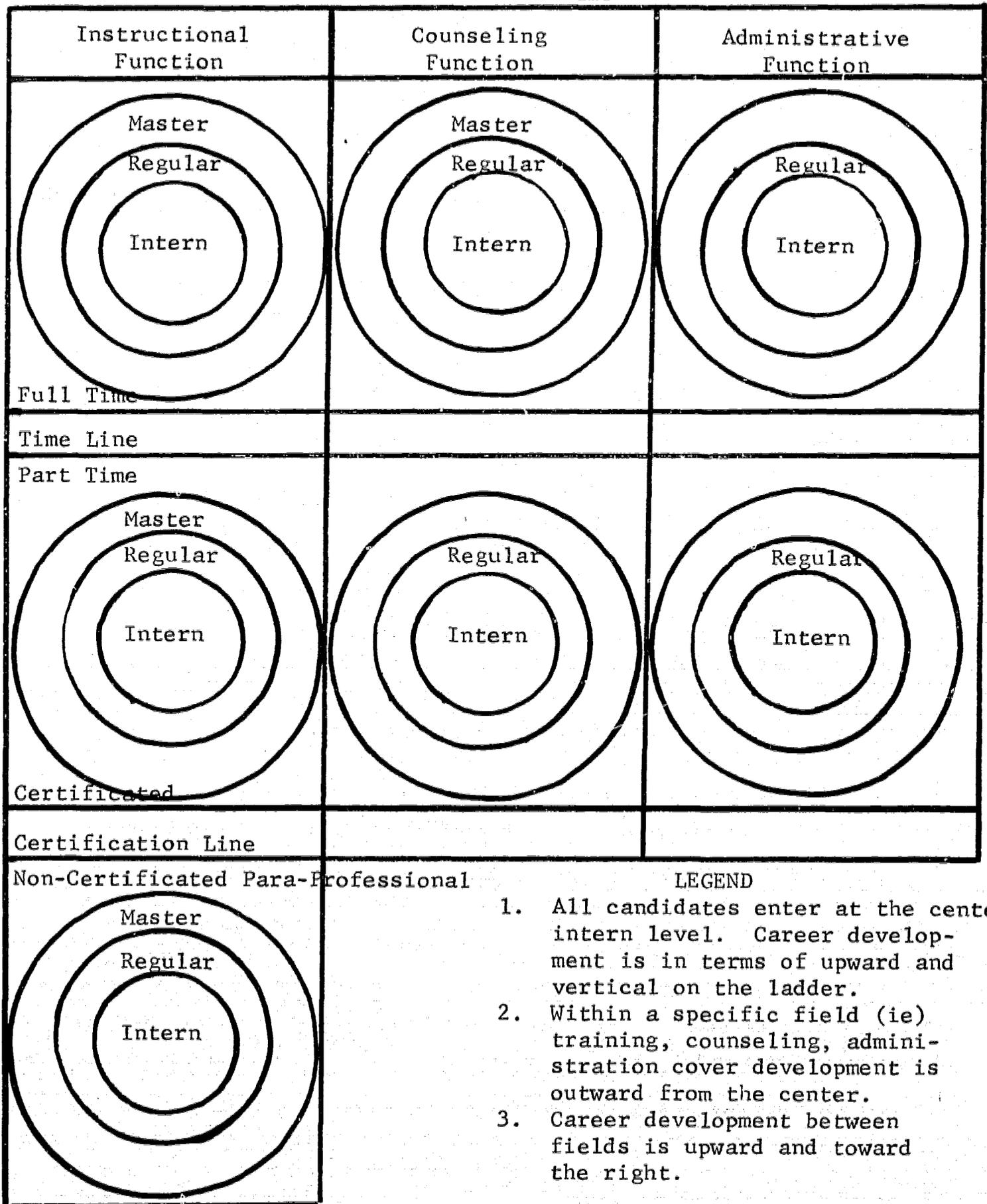
QUESTIONS FOR COMMITTEE:

1. Is this a practical plan? Will it attract the best?
2. How can we get the state legislature to be willing to work out new credential requirements?
3. In order to pay competitive salaries we need comparable state and local aid. How do we get this?

ATTACHMENT I

LADDER FOR PUBLIC SCHOOL ADULT EDUCATION IN CALIFORNIA

CHARTED FOR THE SEVENTIES



ATTACHMENT 2

PARA PROFESSIONAL

|                     | INTERM                                      | REGULAR                  | MASTER                                    |
|---------------------|---|--------------------------|---|
| PRE-REQUISITE       |   | Demonstrated proficiency | Selected group able to work independently |
| IN-SERVICE TRAINING | Working under supervision                   |                          |   |
| TIME                | 1/4 year minimum<br>1 year maximum<br>basis | 1/2 year minimum         |   |

1. The site administrator determines the required specialization for the para professional.
2. There needs to be more flexibility at the para professional level than at the other levels.
3. The para professional is a classified job.

Types of para professionals:

- Clerical - Maintenance
- Instructional - Vocational, Academic
- Auxiliary - Counseling, Health Services, Etc.

ATTACHMENT 3

PART TIME TEACHER

|  | INTERN  | REGULAR  | MASTER   |
|--|---|--|--|
| PRE-REQUISITES FOR PROVISIONAL CREDENTIAL    | B.A. degree for academic teachers. High school diploma and year for year professional experience for the non-academic teacher.<br><br>Provisional Credential  | Requirements of the intern teaching period must be met, and there must be demonstrated proficiency in the classroom.<br><br>Regular Credential                               | Must be an outstanding teacher, a demonstrated leader and should continue teaching while performing other duties connected with being a master teacher such as: supervising intern acting as head of department, etc.  |
| IN-SERVICE TRAINING FOR A REGULAR CREDENTIAL | Two units in Adult Education History, Philosophy, and Principles.<br><br>Two units in methods and procedures in Adult Education.<br><br>Internship teaching adults under a master teacher and observation of other teachers OR supervised student teaching of adults. | Two units in psychology of adult learning and group processes.<br><br>Courses in adult counseling curriculum development, supervision, administrative structure and finance. | Except in small adult schools or under unusual circumstances the master teacher is thought of as a full-time certificated teacher  |
| TIME   | Minimum 1/2 year<br>Maximum 2 years   | Minimum 2 years<br>Maximum None  | A master teacher may supervise several interns at once. He is not expected to be present with an intern teacher at all times. Rather the intern teacher is on his own, working in conjunction with the master teacher. |

ATTACHMENT 4

FULL TIME TEACHER

|   | INTERN   | REGULAR   | MASTER   |
|---|--|---|--|
| PRE-REQUISITES FOR PROVISIONAL CREDENTIAL | B.A. degree for academic teacher.<br>High school diploma and year for year professional experience for the non-academic teacher.   | Requirements of the intern teaching period must be met and there must be demonstrated proficiency in the classroom.               | Must be an outstanding teacher, a demonstrated leader, and should continue teaching while performing other duties connected with being a master teacher such as: supervising interns, acting as head of department, etc. |
| IN-SERVICE TRAINING                       | Provisional Credential<br><br>Two units in Adult Education, History, Philosophy & Principles<br><br>Two units in Methods and Procedures in Adult Education.<br><br>Two units in Psychology of Adult Learning and Group Processes.<br><br>Internship teaching adults under a Master teacher and observation of other teachers OR supervised student teaching of adults. | Regular Credential<br><br>Courses in adult counseling, curriculum development, supervision, administrative structure and finance. | A master teacher may supervise several interns at once. He is not expected to be present with an intern teacher at all times. Rather the intern teacher is on his own, working in consultation with the master teacher.  |
| TIME                                      | Minimum 1 year<br>Maximum 3 years  | Minimum 2 years<br>Maximum None   |  |

ATTACHMENT 5

PART TIME AND FULL TIME COUNSELOR

| INTERN  | FOR REGULAR CREDENTIAL  | MASTER  |
|---|---|---|
| <p>(A)</p> <p>Prerequisites: For Provisional Credentials Teaching Credential</p> <p>(A)</p> <p>One Course in each of the following:</p> <ul style="list-style-type: none"> <li>A.A. Degree or equivalent Counseling</li> <li>Psychology (Basic)</li> <li>Sociology</li> <li>Case Work</li> <li>Vocational Guidance</li> <li>Adults Methods, Principles</li> <li>History &amp; Philosophy</li> </ul> | <p>(D)</p> <ol style="list-style-type: none"> <li>1. B.A. or B.S. Degree</li> <li>2. <u>Adult Counseling Credential</u> * granted on completion of intern requirements described under internship (See (B).)</li> <li>3. Demonstrated proficiency</li> </ol> <p>* New Credential</p>  | <p>(G)</p> <ol style="list-style-type: none"> <li>1. Outstanding counselor</li> <li>2. Demonstrated leadership</li> <li>3. Plus in-service program as described (See (E).)</li> </ol> |
| <p>(B)</p> <p>In-Service</p> <ol style="list-style-type: none"> <li>1. Internship counseling under master counselor or administrator</li> <li>2. B.A. Degree</li> <li>3. 2 years teaching experience</li> <li>4. 2 years cumulative work experience, outside teaching</li> </ol>  | <p>(E)</p> <ol style="list-style-type: none"> <li>1. Graduate courses               <ol style="list-style-type: none"> <li>a. Supervision &amp; Administration</li> <li>b. Curriculum Development</li> <li>c. Adult Education Structure &amp; Finance</li> </ol> </li> <li>2. M.A. Degree</li> <li>3. Pupil Personnel Credential</li> </ol> |   |
| <p>(C)</p> <p>Time</p> <ol style="list-style-type: none"> <li>1. Minimum: 6 months</li> <li>2. Maximum: 6 years</li> </ol>  | <p>(F)</p> <ol style="list-style-type: none"> <li>1. Minimum: 1 year</li> <li>2. Maximum: None</li> </ol>   |   |

ATTACHMENT 6

ADMINISTRATORS AND SUPERVISORS

Regular and Part Time

| INTERN  | ADMINISTRATOR OR SUPERVISOR                |
|---|--|
| <p>(A)</p> <p>Prerequisite</p> <ol style="list-style-type: none"> <li>1. B.A. or B.S.</li> <li>2. Teaching Credential</li> <li>3. 2 years teaching experience</li> <li>4. Requirements for administrative or supervisory credential, whichever is applicable</li> </ol>   | <p>All items in In-Service Section (B)</p> |
| <p>(B)</p> <p>In-Service</p> <ol style="list-style-type: none"> <li>1. Either (a) adult education administrative experience or (b) 6 months adult education administrative internship under an adult education administrator</li> <li>2. M.A. Degree</li> <li>3. Courses: (a) principles and methods of adult education; (b) management; (c) history and philosophy of education; (d) evaluation and research; (3) school administration and school finance and law; (f) counseling and guidance</li> </ol> |  |
| <p>(C)</p> <p>Time</p> <p>Minimum: 6 months      Maximum: 4 years</p>   |  |

ATTACHMENT 7

CONTINUATION 1970

IMPROVEMENT 1975

ASPIRATION 1979

- |  |  |   |
|--|--|---|
| <p>1. Small percentage of trained professional people (professional training is viewed as a terminal process).</p> <p>2. Most personnel have received their training at the elementary and secondary levels.</p> <p>3. Those coming from non-educational backgrounds receive minimal adult education training.</p> <p>4. The Adult Education component in credentialing is minimal.</p> <p>5. Adult Education Career: a. dead end b. lacks status c. relatively poorly paid d. lacks opportunity</p> | <p>Career ladder developed on a demonstration basis in a number of selected districts.</p> <p>Continuous professional training and development.</p> <p>(See career ladder)</p> <p>(See career ladder)</p> <p>Opportunity for personnel advancement on the adult career ladder:</p> <p>a. Improved status. b. Improved salaries. c. Improved opportunity: 1. Professional growth 2. Recognition 3. Advancement.</p> <p>Improved security based on a professionally planned program of Adult Education.</p> <p>(See career ladder)</p> | <p>Career ladder adopted and implemented on a state-wide basis.</p> <p>(Same as above) Build into system with recognition and appropriate salary increases.</p> <p>Adult Education accepted as an equal in the profession within the state-wide educational system. (Same as Item 3)</p> <p>Adult Education accepted as a profession with equal status with other segments of the educational system of the state of California.</p> <p>Single salary schedule for all teachers, both full and part-time. Equal tenure rights with other members of the profession.</p> |
| <p>6. Security - extensive insecurity of Adult Education personnel:</p> <p>a. Tenure b. Tax base c. Change in administration d. Methods of evaluation.</p> <p>7. Counseling. Certain requirements for the pupil, personnel services credentials are irrelevant for a regular adult education counselor. However it is necessary for the level of Master Counselor.</p> <p>8. Administration. Presently for our many small school districts that have part-time Adult Education Administrators.</p>   | <p>Formation of a union district able to hire full-time personnel.</p>   | <p>Unified Adult Education System governed by a separate State Board of Education for adult and continuing education.</p>   |

## FOUNDATIONS AS A SOURCE OF FUNDS

Ronald B. Szczykowski

### Introduction

I feel I have a very limited contribution to make to this workshop this afternoon. My task as I understand it is as follows:

(1) to help you become aware of philanthropic foundations as a possible source of funding ABE teacher training programs; and (2) to assist you in acquiring the following specific knowledge: (a) a general overview of philanthropic foundations, (b) sources for obtaining information on foundations, (c) a possible rationale for foundations' potential interest in teacher training programs for undereducated adults, and (d) helpful hints and guidelines for making specific proposals to foundations.

In addition, I hope to create an awareness among you of the dynamics involved in foundation funding procedures and to give those of you who are interested an opportunity to begin to develop a strategy for contacting foundations and submitting proposals to finance your programs. Please bear in mind that I'm not assuming you will become experts in forty minutes, but I'm hoping that at least you'll become sensitized to some of the key issues involved.

### Rationale for Seeking Foundation Funds

Let me start with a question: Why should you consider foundations as a possible source of funding? I submit that there are some excellent reasons for your considering them, and I'll just list a few.

First, foundations have a great deal of money. The Fourth Edition of the Foundation Directory (Columbia University Press, 1971), which has just been published, estimates the top 5,500 foundations have assets worth about \$25 billion. My guess is that foundations have closer to \$40 or \$50 billion. They give away approximately \$2 billion worth of grants a year.

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Another reason for seeking foundation funds is that foundation dollars are perhaps the most flexible funds you can get, often with few or no strings attached, although the new Tax Reform Act has caused some tightening. Foundation funds may enable you to perfect a demonstration project with the necessary expertise and time that extra support would provide. This might take the form of a sophisticated built-in evaluation and research component that otherwise may not be possible.

Another reason for seeking foundation support for your program would be that it's possible to facilitate the dissemination of your foundation-supported program by using the foundation's image and their dissemination sources, for example their publications and dissemination network among the various universities.

It may also be possible for you to obtain expert consulting advice from foundation professionals and/or their network of consultants and reference groups. For example, six years ago the Ford Foundation supported an ABE teacher training program and four universities were the beneficiaries, one of which is represented today (University of New Mexico). Now they contributed about \$150,000 to that teacher training program in ABE.

I'm sure you have other reasons to support the worthwhileness of foundation support. However, let me list a few limitations of such support. First of all, it's not a permanent source of funds. Most foundation grants are for one to three years, occasionally five years or more. Usually the foundation support is for some sort of demonstration project or for meeting a very critical need for some short term purpose. Another limitation is that foundation funds are not the easiest thing in the world to secure. Some foundations have a 90-95% rejection rate. And finally, foundations are not interested in supporting teacher training in ABE. Perhaps I should stop right there.

But if you're still interested, how do you go about getting a foundation to part with some of its money? Incidentally, I do believe that you can get money from foundations as long as you understand the rules of the game.

#### Overview of Foundations

First, I think you should know something about foundations. It's practically impossible to determine what a foundation is today in the U.S. The legal definition of a private foundation includes all tax-exempt organizations other than educational institutions, hospitals, government agencies, religious organizations, and public supported charities. Other tax-exempt organizations are also excluded from the designation of private foundation if they meet certain support tests.

However, the new Tax Reform Act lumps together for the first time an extremely diversified list of organizations, and establishes the legal presumption that in the event of uncertainty as to whether an organization is or is not a foundation, it is to be considered one. It's really comical to see the list of organizations that the Internal Revenue Service regards as private foundations: Boys Clubs of America, homes for the aged, fund-raising agencies, symphonic societies, etc. I mention this because one of the key sources of foundation information will be the IRS itself, and when you use this source these types of organizations will be thrown into the hopper. Perhaps this situation will become clarified in the next few years, but in the meantime the legal definition of a foundation will not prove very helpful to you.

The definition offered by the Foundation Center, the author of several of the handouts you received, is somewhat more useful as a general definition of foundations. This definition occurs in the Fourth Edition of the Foundation Directory, and I'll mention it very briefly because it's in that source.

For the Foundation Center, a foundation may be defined as a "nongovernmental, nonprofit organization, with funds and program managed by its own trustees or directors, and established to maintain or aid social, educational, charitable, religious, or other activities serving the common welfare." (Foundation Directory, Fourth Edition, New York: Columbia University Press, 1971. Page vii). Employing this definition, the Directory claims that there are about 26,000 foundations in the U.S. The legal definition would bring the total closer to 100,000 foundations. Those include all the legal trusts that have a specified designated beneficiary and are not able to give out grants. However, most of those 26,000 are small in size, and the Directory includes only 5,500. This Directory was just published recently, so it's the most current information source we have available.

A foundation was included in the Fourth Edition of the Directory if it had \$500,000 or more in assets or if it made grants of at least \$25,000 in the year of record. Significantly, the top twelve foundations possess nearly a third of all the assets while the top 200 foundations hold approximately three-fourths of all foundation assets and give away about 60% of the grants reported in the Fourth Edition. (See Item I for a list of the top 200 foundations).

In 1969, the 5,500 foundations gave away 300,000 grants worth a total of about 1.5 billion dollars. The average size of these grants, I think, is worth noting. For foundations with \$10 million or more in assets, the average size of a grant was about \$20,000. Foundations with assets of between \$1 million and \$10 million had an average size

grant of \$3,700. And foundations with assets of under \$1 million had an average grant of \$1,700. I suggest that when we write our proposals, we'd be prudent to keep these figures in mind.

I would like to add, however, that there are over 600 foundations with assets over \$10 million. If the average size grant for the top 100 or 200 foundations was computed, it would certainly be much higher than the \$20,000 figure reported above. The average size grant of some foundations exceeds \$100,000.

As you may have guessed, foundations are difficult to categorize. The Third Edition of the Foundation Directory attempted to do so and classified foundations into five different types: community foundations, company sponsored, family type, special interest foundations, and general foundations. The general foundations were the large national foundations that usually had a comprehensive funding program. Although that classification worked well for community foundations, it worked somewhat less well for company-sponsored ones and practically not at all for the other three types. This classification scheme has been abandoned in the new edition.

I classify foundations by employing the use of two anchor points which define the limits of a continuum. At one extreme, we have foundations that approximate or approach an objective, professional form of operation, that represents a collection of all the glowing statements that foundation people have made to justify their existence in American society. In its ideal form, the foundation has a substantial endowment, has a competent professional staff, and sees its task as devising programs of grants addressed to the solution of basic human problems. Heavy emphasis is placed on research, experimentation and demonstration.

At the other extreme, you have the subjective, unprofessionally operated foundations. These foundations are poorly staffed, often with no full-time officers. In a study to be released in about four months, entitled "The Foundation Administrator: A Study of Those Who Manage Foundations," the investigators of that study report that there are more foundations than there are executives or directors who work for them. Frequently, these subjective, unprofessional foundations tend to support the status quo, i.e., favor long established charities, hospitals, educational institutions of the donor or a key policy-maker of the foundation. Innovation, experimentation, risk-taking are strange words indeed to this group of foundations. An inspection of past giving reveals little change: ten years ago they supported the same charities they supported last year. Unfortunately, most foundations are at the subjective, unprofessionally-operated end of the continuum. (See Item II for a summary of backgrounds of foundation staff members).

Although foundations are quite numerous, they tend to be concentrated in the East. Of the number of foundations that are classified in the Foundation Directory, 63% are in the Eastern region --- Middle Atlantic, New England area --- and they give away 75% of all the grants. A breakdown of the locations of all the foundations by state is given in Item III. Item III is a summary of the whole Fourth Edition of the Directory. I'd like to call your attention to California, which has about 378 foundations. Tiny Massachusetts has almost the same number.

Item IV gives you some idea of how recent the impact of foundations has been on American society. Foundations have been with us for over 75 years, but the tremendous growth has occurred since 1940. In fact, 90% of all foundations listed in that table were established after 1940. The 1950's represent the decade of the greatest growth for number of foundations; 47% came out of that time period alone. I mentioned before that the current growth of foundations is about 1,800 a year, but only about 100 of those are really substantial, i.e., \$1 million or more.

Most of the observers of foundations, however, see a dramatic slow-down in the rate of growth in the number of foundations in the years ahead. In fact, many existing foundations have terminated or combined as a direct result of the Tax Reform Act of 1969. So if you're going to become involved with foundations, you should know something about the implications of that Act in terms of accountability, evaluation, and dealing with grants to individuals.

Now, what have foundations been interested in? Private philanthropy has been the cornerstone of support for a great variety of activities. The average amount of foundation dollars for each of the major fields has been as follows: Primarily foundations have been interested in education. According to the Foundation Library Center, at least one third of all the money that foundations give away is for educational purposes, and that is probably an underestimate. Other areas of foundation grants are: International Activities - 15%; Health - 14%; Welfare - 13%; Sciences - 12%; Humanities - 9%; Religion - 5%. (Also, see Item V for categories of grants.)

#### Sources of Information on Foundations

Where can you find additional sources of information on foundations? As a general statement, the sources of information are highly uneven. There are some changes, of course. The new Tax Reform Act requires reporting, and once you become aware of what the regulations are, I think you can use the IRS to your advantage. The primary difficulty is that a lot of foundations want to remain secretive. You know this is your money that they're spending, but they don't want you to know about it.

The primary source of information on foundations is the Foundation Directory (Fourth Edition). It contains pertinent information for each of the 5,500 foundations listed. It's the most up-to-date source available and can be found in most libraries.

Another important source of information on foundations is the annual report which some of them publish. However, only about 200 foundations prepared an annual report in 1971. So how do you get information on the other 5,300 foundations listed in the Directory? There are two very good additional sources of information that you can utilize.

The IRS has just microfilmed all the 1970 official financial reports of foundations and has made them available to the public at various key districts (See Item VI for a list of the districts). These key districts (and districts which pertain to you are 11-16) contain the microfilms of the official financial reports. Every foundation has to supply basic minimum data, and up to 1970 it really was minimum for most foundations. But after 1970, you can get very accurate information from these files, including a list of every grant that they make, the recipient of each grant, the exact amount of money, and in some cases what the purpose of the grant was. I think this source of information is very important in developing a strategy for approaching foundations.

The Foundation Directory will be of help to you in initially locating foundations that are of interest to you and are in your geographical area. In addition to the IRS key districts, you have the Foundation Library and its depositories (See Item VII). Unfortunately there are a number of states not covered by these depositories; however, the libraries in New York and Washington D. C. have complete files on all 26,000 foundations. These centers will have readers available as of January 1972, which will greatly facilitate information retrieval. What you will get there will be the official financial statements (Forms 990 and 4720) plus annual reports and all kinds of information the Center has been able to secure, including newspaper articles, special reports, etc.

The Foundation Library Center follows foundations very closely and this source will enable you to obtain in one place a good history of most foundations listed in the Directory.

In addition to these sources, there is the Foundation News, which is an excellent up-to-date summary of current foundation grants. Usually every issue has grants that foundations give. The January issue contains a complete summary of major grants given during the year. There are also occasional papers by the Foundation Center or the Council on Foundations.

And sometimes there are commission studies like the one I mentioned before, "The Study of the Foundation Administrator." The Council of Foundations also prepares several reports on conferences that would be helpful to you.

Some good secondary sources would be, of course, newspapers and books written on foundations. But perhaps the most important one would be the professional grapevine. Find out who's getting what at conferences, workshops and the like. When I attend medical conferences, which is the field I've been involved in during the last three years, most of the talk in the corridors concerns this very issue.

In terms of future sources, it's going to be a lot easier to do a search on foundations. First of all, the Foundation Directory will be computerized. So instead of coming out once every four years and being two to three years out of date when it appears (in terms of financial data), it will be published annually. In addition, if you want to spend a little extra money you can obtain a cumulative grant index or data search on foundations' participation in past projects of related interest. As a consequence, more research data on the activities of foundations will be known.

#### A Possible Rationale for Foundations' Interest in ABE Teacher Training

Why should foundations be interested in supporting teacher training in ABE? This will be your most challenging assignment and the better you answer that the more likely your chances of success. There's no one answer, but perhaps I can suggest a starting point.

Foundation charters are uniform in saying that the purpose of their existence is to improve the quality of the life of mankind. You've heard this many times before, but a good number of foundation executives really think they mean it. Now if that's what they say they're interested in, I can't think of any group that would not have a case to present to foundations. All of us think we're improving the lot of our fellow men and teaching functional illiterates to read in a highly technical society would appear to demand the biggest ear.

To the extent that you can make a foundation official see the connection between what he's supposed to be doing (i.e., improve the physical, mental, and moral condition of mankind) and what you are trying to do, you will be successful. This is the most crucial element in developing an effective strategy for approaching foundations.

Persons who work for foundations speak a different language than you and they may have a different connotation for words you use, such as

adult education or ABE. Your task, as I see it, is to make them see what you are about in their terminology and perspective and not in yours. This may require using different words to describe what you are doing and changing the emphasis of your impact just a little.

In my doctoral study, I asked about 165 foundation officials to rate six levels of education (pre-school, K-12, higher education, adult education, continuing professional development, and undergraduate education), and I don't have to tell you which one came out at the bottom and significantly so --- adult education. Often when these foundation officials were asked about adult education, they tended to think of it in vocational education terms only. Not one of the foundation officials that I spoke with mentioned ABE. If you look through the programs they support and at their expressed interest in the disadvantaged and minority groups, you will see that their involvement with vocational education is one of the big areas they support. You may suspect some ulterior motives at work and you might be right. A number of foundations are directly controlled by business, and business is interested in vocational education.

#### Suggestions for Preparing Proposals to Foundations

I'd like to spend the remaining time on specific procedures for preparing proposals to foundations and some strategies for maximizing the effectiveness of your efforts in approaching foundations (Also see Items VIII - X).

First, the fact that we've referred to a number of organizations as foundations does not mean that they have a great deal in common. Alan Pifer, President of the Carnegie Corporation, recently was quoted as saying, "It's customary in American life to talk about foundations as if they're a collection of comparable institutions, where in reality they have little in common except their designation as foundations and not even that, their tax-exempt status, and the wrath of Mr. Patman."

Foundations really vary quite a bit. Some have \$2 total assets whereas some have almost \$4 billion. Probably less than 500 foundations are professionally run according to Pifer. I claim that it is probably closer to 150 or 200.

A second consideration that should be kept in mind in planning strategies for approaching foundations have to do with the radical changes that have taken place in the last few years affecting foundation legal status, image and purpose. The publicity surrounding the Tax Reform Act of 1969 has had a dramatic and permanent effect on foundations; they will never be the same. And if you thought you knew something about foundations before or if you're starting off knowing nothing, you're all at the same point now. It's a new ball game.

Many foundations are completely bewildered. I base a good deal of my remarks from conversations with a dozen or so foundation presidents, executives, or directors, and from reading the foundation literature. In fact if you look at the lead article in this last issue of the Foundation News, it's entitled "Self-renewal for Foundations."

Although most foundations prefer to work behind the scenes and avoid public exposure, contemporary society appears no longer willing to accept this secretiveness. Cries of accountability and relevance are being directed against foundations and these cries now carry with them the threat of legal and moral sanctions. In short, the foundations are undergoing a radical change in contemporary society, and the successful applicant for foundation grants will be perceptive as to the nature of this change, as it applies unevenly to the individual foundations.

Let me just mention the eight specific suggestions for preparing a proposal. First, tailor your presentation, whether it's written or oral, to each foundation. Second, the grant request in the form of a letter should be from the person who will operate the project or program. Third, when you write your proposal, assume you are talking to another professional. I mentioned before that there are more foundations than professionals, but foundations have a very unique network of reference groups and you can be assured that someone may read your proposal who is a professional. They may not, but they do have the opportunity to do so.

The fourth suggestion is to let the length of your written proposal be a function of the nature of your specific proposal, which may seem obvious. Fifth, as most of you have probably already guessed, a good number of grants are obtained by those persons who manage to establish a personal contact with foundation officials. Sixth, recent successful applicants from foundations are an excellent source of information for helpful hints and suggestions regarding your proposal. And that's again why I place so much emphasis on finding out what foundations have done in the past. Who are the successful recipients? Seventh, written requests or proposals should be on individualized stationery. Don't mass copy the proposal or convey the impression that it has been widely circulated. Foundation people are very sensitive.

Some foundations give very specific guidelines for proposals. Most foundations give none; they just say, "Write it on a letter; it's up to you." The Foundation Directory may give you some clues, as most of the items are written by the foundations themselves saying how you should handle your proposal, who you should address it to, and listing limitations such as, "We don't give grants to individuals" or "We don't fund buildings." Most of that you'll find in the Directory.

### Conclusion

This subject is much too broad to cover adequately in the time allotted, but I hope I have at least alerted you to several of the key components that must be taken into consideration when contemplating philanthropic foundations as a source of funds for your programs.

## ITEM I

## RANK ORDER OF TOP 200 FOUNDATIONS

Source: Fourth Edition of Foundation Directory, 1971

| <u>Foundation</u>   | (In Millions)<br><u>Assets</u> | <u>Foundation</u>                   | (In Millions)<br><u>Assets</u> |
|---|--------------------------------|-------------------------------------|--------------------------------|
| 1. Ford Foundation  | 2,871.5                        | 36. Astor (The Vincent) F.          | 90.5                           |
| 2. Rockefeller Found.   | 757.1                          | 37. Brown F.                        | 93.4                           |
| 3. Lily Endowment   | 777.7                          | 38. Olin F.                         | 93.2                           |
| 4. Pew Memorial Tr., The  | 541.3                          | 39. Warren (The Wm.K.) F.           | 89.5                           |
| 5. Duke Endowment, The  | 509.8                          | 40. Richardson (Smith) F.           | 84.1                           |
| 6. Mott (Charles S.) F.   | 413.3                          | 41. Hill (Louis W. & Maud) Family   | 75.0                           |
| 7. Kellogg (W.K.) F.  | 417.4                          | 42. N.Y. Comm. Tr.                  | 99.2                           |
| 8. Kresge F.  | 425.8                          | 43. Grant F.                        | 73.9                           |
| 9. Sloan (Alfred P.) F.   | 302.7                          | 44. Permanent Ch. Fund              | 73.2                           |
| 10. Carnegie Corp. of NY  | 311.0                          | 45. Hayden (Charles) F.             | 66.3                           |
| 11. Hartford (John A.) F.   | 277.4                          | 46. Chicago Comm. Tr.               | 67.3                           |
| 12. Mellon (Andrew W.) F.   | 233.8                          | 47. Timken F. of Canton             | 65.9                           |
| 13. Longwodd F.   | 226.1                          | 48. Heinz (Howard) Endowment        | 64.2                           |
| 14. Houston Endowment, The  | 312.7                          | 49. Evans (Lettie Pate) Found.      | 64.1                           |
| 15. Rockefeller Bros. Fund  | 153.4                          | 50. Callaway F.                     | 65.3                           |
| 16. Moody F.  | 126.8                          | 51. Gannett (Frank E.) Newspaper F. | 70.0                           |
| 17. Danforth F.   | 177.6                          | 52. Dana (The Charles A.) F.        | 57.3                           |
| 18. Woodruff (Emily & Ernest) F.  | 187.2                          | 53. McDonnell F.                    | 62.7                           |
| 19. Mellon (Richard K.) F.  | 139.7                          | 54. Guggenheim (John Simon) Mem. F. | 61.4                           |
| 20. Scaife (Sarah M.) F.  | 145.0                          | 55. Booth Ferris F.                 | 61.0                           |
| 21. Commonwealth Fund   | 125.9                          | 56. Jones (W.A.) F.                 | 60.6                           |
| 22. Clark (Edna M.) F.  | 241.0                          | 57. Johnson (Robert Wodd) F.        | 103.0                          |
| 23. Cleveland F.  | 125.0                          | 58. Herrick F.                      | 58.5                           |
| 24. Irvine (The James) F.   | 126.2                          | 59. Wilder (Amherst) F.             | 57.6                           |
| 25. Carnegie Inst. of Wash.<br>(No longer considered a foundation in <u>Found. Directory</u> , 4th Ed.) |                                | 60. Haas (Otto) Tr.No. 2            | 51.5                           |
| 26. Waterman (Phoebe) F.  | 99.0                           | 61. Carter (Amon G.)                | 50.0                           |
| 27. Kenan (Wm.R.) Jr.Ch.Tr.   | 110.7                          | 62. Meadow F.                       | 54.0                           |
| 28. Clark (Edna M.) F.  | 108.0                          | 63. Dow (The Herbert H. & Grace A.) | 52.9                           |
| 29. Surdna F.   | 103.3                          | 64. Fuld (Helene) Health Trust F.   | 51.7                           |
| 30. Welch (The Robert A.) F.  | 101.7                          |                                     |                                |
| 31. Alcoa F.  | 100.9                          |                                     |                                |
| 32. Bush F.   | 99.8                           |                                     |                                |
| 33. Fleischmann (Max C.) F.   | 92.9                           |                                     |                                |
| 34. El Pomar F.   | 76.0                           |                                     |                                |
| 35. Kettering (Charles F.) F.   | 95.7                           |                                     |                                |

## ITEM I (Cont.)

## RANK ORDER OF TOP 200 FOUNDATIONS

|                   |                                       | (In Millions) |                   |  | (In Millions) |
|-------------------|---------------------------------------|---------------|-------------------|--|---------------|
| <u>Foundation</u> |                                       | <u>Assets</u> | <u>Foundation</u> |  | <u>Assets</u> |
| 65.               | China Medical Board<br>of N.Y.        | 48.4          | 104.              | Crystal Tr.                            | 23.1          |
| 66.               | Carnegie Endowment<br>for Int'l Peace | 51.6          | 105.              | Simon (The Norton)F.                   | 33.4          |
| 67.               | Calder (The Louis) F.                 | 50.0          | 106.              | De Rance                               | 33.3          |
| 68.               | Standard Oil (Ind.) F.                | 45.1          | 107.              | Atlantic F.                            | 33.1          |
| 69.               | Boettcher F.                          | 44.7          | 108.              | Morehead (The John<br>Motley) F.       | 32.5          |
| 70.               | Markle (John & Mary) F.               | 46.5          | 109.              | Hartford F. for Pub.<br>Giving         | 32.3          |
| 71.               | Macy (Josiah) Jr., F.                 | 47.5          | 110.              | Johnson (Christian<br>A.) Endeavor F.  | 32.3          |
| 72.               | Connelly F.                           | 47.4          | 111.              | Independence F.                        | 27.5          |
| 73.               | Altman F.                             | 47.3          | 112.              | Dreyfus (The Camille<br>& Henry) F.    | 25.2          |
| 74.               | Clark F.                              | 46.7          | 113.              | Teagle F.                              | 31.8          |
| 75.               | Sage (Russell) F.                     | 37.5          | 114.              | Research Corp.                         | 30.3          |
| 76.               | Whitehead (Joseph B.) F.              | 46.2          | 115.              | Ailiss (Charles &<br>Ellora( Ed. F.    | 30.8          |
| 77.               | Monell (The Ambrose) F.               | 45.8          | 116.              | Mudd (The Seeley G.)<br>Fund           | 30.0          |
| 78.               | Anderson (M.D.) F.                    | 45.5          | 117.              | Gund (The George) F.                   | 49.5          |
| 79.               | Hearst (Wm. R.) F.                    | 43.8          | 118.              | Milbank Mem. Fund                      | 24.0          |
| 80.               | Regenstein (The Joseph<br>& Helen) F. | 43.8          | 119.              | Cannon F.                              | 29.6          |
| 81.               | Noble (Edward J.) F.                  | 43.1          | 120.              | Schumann (The Flor-<br>ence & John) F. | 29.4          |
| 82.               | Davis (The Arthur V.) F.              | 45.0          | 121.              | Sams (Earl C.) F.                      | 27.7          |
| 83.               | Noble (The Samuel R.) F.              | 41.7          | 122.              | Fairchild Found.                       | 28.7          |
| 84.               | Hoblitzelle F.                        | 41.3          | 123.              | Miabee (The J.E. &<br>L.E.) F.         | 28.0          |
| 85.               | Benedum (Claude W.) F.                | 41.3          | 124.              | Twentieth Century F.                   | 25.0          |
| 86.               | Cary (Mary F.) Ch.T.                  | 40.7          | 125.              | Ford Motor Co. Fund                    | 27.9          |
| 87.               | Eastman Kodak Ch.Tr.                  | 40.5          | 126.              | Ford (The Edward<br>E.) F.             | 27.7          |
| 88.               | Raskob F. for Catholic<br>Activities  | 40.1          | 127.              | Clark (Robert S.) F.                   | 27.6          |
| 89.               | Turrell Fund                          | 40.1          | 128.              | Emerson (Fred L.) F.                   | 27.6          |
| 90.               | Guggenheim (The Solomon<br>R.) F.     | 39.8          | 129.              | Wallace (DeWitt)<br>Fund               | 27.4          |
| 91.               | Hess F.                               | 39.6          | 130.              | Mellon (The A.W.)<br>Ed. & Ch.Tr.      | 26.8          |
| 92.               | Merrill (Charles E.) F.               | 39.3          | 131.              | Assoc. for Aid of<br>Crippled Childrn  | 26.4          |
| 93.               | Doheny (Carrie E.) F.                 | 35.6          | 132.              | Rose (Billy) F.                        | 26.3          |
| 94.               | Rippel (Fannie E.) F.                 | 35.5          | 133.              | Jennings (The Martha<br>Holden) F.     | 25.0          |
| 95.               | Donner (The Wm. H.) F.                | 40.0          |                   |  |               |
| 96.               | Luce (Henry) F.                       | 34.8          |                   |  |               |
| 97.               | Julliard Musical F.                   | 37.9          |                   |  |               |
| 98.               | Annenberg Fund                        | 37.7          |                   |  |               |
| 99.               | Field F.                              | 36.5          |                   |  |               |
| 100.              | Kress (Samuel H.) F.                  | 35.3          |                   |  |               |
| 101.              | Firestone F.                          | 30.2          |                   |  |               |
| 102.              | McGregor Fund                         | 34.8          |                   |  |               |
| 103.              | Babcock (Mary R.) F.                  | 32.1          |                   |  |               |

## ITEM I (Cont.)

## RANK ORDER OF TOP 200 FOUNDATIONS

|                   |  | (In Millions) |                   |   | (In Millions) |
|-------------------|--|---------------|-------------------|---|---------------|
| <u>Foundation</u> |  | <u>Assets</u> | <u>Foundation</u> |   | <u>Assets</u> |
| 134.              | Cambell (John B.) F.                       | 34.4          | 167.              | Lincoln Found., Inc                           | 21.2          |
| 135.              | Eleutherian Mills-<br>Hagley F.            | 24.3          | 168.              | Martin F.                                     | 21.1          |
| 136.              | Irwin-Sweeney-Miller F.                    | 25.3          | 169.              | Bremer (Otto) F.                              | 21.1          |
| 137.              | Beaumont (The Louis<br>D.) F.              | 25.3          | 170.              | Calif. Comm. F.                               | 21.0          |
| 138.              | Clayton F. for Res.                        | 24.9          | 171.              | Bok (Mary L.C.) F.                            | 18.1          |
| 139.              | Kalamazoo F.                               | 23.4          | 172.              | Gulf Oil F.                                   | 20.9          |
| 140.              | N.Y. Foundation                            | 14.9          | 173.              | Guggenheim (M. &<br>L.) F.                    | 20.8          |
| 141.              | New Haven F., The                          | 27.0          | 174.              | Cowell (S.H.) F.                              | 20.6          |
| 142.              | Gould (Edwin) F. for<br>Children           | 19.5          | 175.              | Sears Roebuck F.                              | 18.9          |
| 143.              | Scriven F.                                 | 23.1          | 176.              | Bing Fund Inc.                                | 20.3          |
| 144.              | Carnegie Endowment for<br>Advn. of Teach.  | 24.2          | 177.              | Philadelphia F., The                          | 20.2          |
| 145.              | Winston-Salem F.                           | 21.3          | 178.              | Pittsburgh F., The                            | 16.7          |
| 146.              | Doherty (The Henry L.<br>& Grace) Ch. Fund | 18.0          | 179.              | Hearst F.                                     | 20.1          |
| 147.              | Jackson Hole Preserve                      | 23.7          | 180.              | Lewis (Frank J.) F.                           | 20.1          |
| 148.              | Straus (The Aaron) &<br>Lillie Straus F.   | 23.4          | 181.              | Rubin (Samuel) F.                             | 20.0          |
| 149.              | Stranahan F.                               | 23.3          | 182.              | VanAmaringen F.                               | 20.0          |
| 150.              | Prentiss (The Eliza-<br>beth Severance)    | 20.8          | 183.              | Mandeville F.                                 | 19.4          |
| 151.              | Pfaffinger F.                              | 23.0          | 184.              | Hyde (L.B.) F.                                | 17.3          |
| 152.              | Fels (Samuel S.) Fund                      | 20.4          | 185.              | Frueauff (C.A.) F.                            | 13.8          |
| 153.              | Hillman F.                                 | 22.6          | 186.              | Meyer (E. & A.) F.                            | 19.0          |
| 154.              | Wenner-Gren F. for<br>Anthrop. Research    | 22.9          | 187.              | Grundy F., The                                | 18.9          |
| 155.              | Buhl F.                                    | 22.8          | 188.              | Walker (T.B.) F.                              | 18.8          |
| 156.              | Phillips F.                                | 22.7          | 189.              | Newhouse (S.I.) F.                            | 18.6          |
| 157.              | Manoogian (Marie &<br>Alex) F.             | 22.6          | 190.              | Victoria F.                                   | 21.0          |
| 158.              | Kerr F.                                    | 22.5          | 191.              | Childs (Jane C.)<br>Mem. Fund for Med<br>Res. | 18.5          |
| 159.              | Kennedy (Joseph P.) Jr F                   | 22.1          | 192.              | New World F.                                  | 18.8          |
| 160.              | Pew (J.H.) Freedom Tr.                     | 22.1          | 193.              | Republic Steel Corp.<br>Ed. & Ch.             | 18.1          |
| 161.              | General Electric F.                        | 21.8          | 194.              | Wean (R.J.) F.                                | 18.1          |
| 162.              | Reader's Digest F.                         | 21.8          | 195.              | Collins F.                                    | 18.1          |
| 163.              | Field F. of Illinois                       | 18.0          | 196.              | Trexler F.                                    | 17.6          |
| 164.              | Irwin (Wm. G.) Ch. F.                      | 21.3          | 197.              | Whitehead (L.F.) F.                           | 17.5          |
| 165.              | Sprague (Seth) Ed. &<br>Ch. F.             | 21.3          | 198.              | Dietrich (D.W.) F.                            | 17.4          |
| 166.              | Kirby (F.M.) F.                            | 21.3          | 199.              | Bodman F., The                                | 17.3          |
|                   |  |               | 200.              | Rockwell Fund                                 | 17.2          |

ITEM II

BACKGROUND OF FOUNDATION STAFF MEMBERS FROM 92 OF THE FOUNDATIONS SELECTED FOR PHASE TWO OF THIS STUDY<sup>1</sup>

| Professional Ex-<br>perience or back-<br>ground of foun-<br>dation staff<br>member before join-<br>ing the foundation | % of staff in<br>foundations<br>with 10 or more<br>staff members<br>N = 17** | % of staff in<br>foundations<br>with 3 to 9<br>staff members<br>N = 40 | % of staff in<br>foundations<br>with 1 or 2<br>staff members<br>N = 35 | No. | %  |
|---|--|--|--|-----|----|
| Finance   | 20.9   | 52.4   | 64.0   | 250 | 33 |
| Administration  | 20.3   | 21.3   | 22.0   | 157 | 20 |
| College Teaching<br>and Research  | 29.7   | 6.8  | 10.0   | 165 | 22 |
| Government  | 23.4   | 5.9  | --   | 127 | 17 |
| Medicine  | 2.5  | 6.3  | 2.0  | 27  | 4  |
| Law   | 1.8  | 5.0  | 2.0  | 21  | 3  |
| Clergy  | .2   | .9   | --   | 3   | .4 |
| Other   | 1.2  | 1.4  | --   | 9   | 1  |
| TOTALS  | 100.0  | 100.0  | 100.0  | 759 |    |

\*\* The Ford Foundation alone has 253 staff members and represents over one-half of the total number of staff members reported in the first column above.

<sup>1</sup> Source of data: Zurcher, Arnold and Jane Dustin, The Study of the Foundation Administration, to be published by the Russell Sage Foundation in late 1972.

ITEM III

ASSETS, GIFTS RECEIVED, EXPENDITURES, AND GRANTS OF 5,454 FOUNDATIONS, BY REGIONS AND STATES

Source: Fourth Edition of Foundation Directory, 1971

(Dollar figures in thousands)

| Place              | Number <sup>a</sup> | Assets <sup>b</sup> | Gifts Received <sup>c</sup> | Expenditures <sup>d</sup> | Grants <sup>e</sup> |
|--------------------|---------------------|---------------------|-----------------------------|---------------------------|---------------------|
| New England        | 436                 | \$ 1,013,863        | \$ 47,276                   | \$ 67,883                 | \$ 63,588           |
| Maine              | 15                  | 8,936               | 471                         | 1,123                     | 961                 |
| New Hampshire      | 16                  | 24,115              | 703                         | 2,503                     | 2,278               |
| Vermont            | 4                   | 5,226               | 687                         | 195                       | 103                 |
| Massachusetts      | 244                 | 554,221             | 18,990                      | 30,697                    | 28,881              |
| Rhode Island       | 33                  | 57,738              | 3,743                       | 4,172                     | 3,858               |
| Connecticut        | 124                 | 363,627             | 22,683                      | 29,192                    | 27,508              |
| Middle Atlantic    | 1,875               | 12,615,645          | 449,110                     | 901,604                   | 838,572             |
| New York           | 1,409               | 10,158,455          | 362,483                     | 777,333                   | 729,175             |
| New Jersey         | 139                 | 480,890             | 15,293                      | 23,494                    | 22,232              |
| Pennsylvania       | 327                 | 1,976,300           | 71,379                      | 100,777                   | 87,164              |
| East North Central | 1,177               | 4,684,386           | 175,404                     | 289,972                   | 276,627             |
| Ohio               | 364                 | 1,001,288           | 68,195                      | 78,528                    | 74,781              |
| Indiana            | 78                  | 927,629             | 9,123                       | 22,437                    | 20,963              |
| Illinois           | 389                 | 756,441             | 54,240                      | 82,033                    | 78,112              |
| Michigan           | 206                 | 1,745,791           | 31,621                      | 89,890                    | 86,382              |
| Wisconsin          | 140                 | 253,238             | 12,226                      | 17,085                    | 16,388              |
| West North Central | 363                 | 1,179,149           | 80,004                      | 73,593                    | 69,735              |
| Minnesota          | 142                 | 643,430             | 53,968                      | 33,464                    | 31,829              |
| Iowa               | 40                  | 57,325              | 2,743                       | 4,066                     | 3,815               |
| Missouri           | 128                 | 411,913             | 18,848                      | 29,756                    | 28,288              |
| North Dakota       | 1                   | 32                  | 22                          | 29                        | 29                  |
| South Dakota       | 2                   | 1,766               | 611                         | 51                        | 44                  |
| Nebraska           | 22                  | 40,095              | 1,496                       | 3,913                     | 3,738               |
| Kansas             | 28                  | 24,588              | 2,316                       | 2,315                     | 1,992               |

ITEM III (Cont.)

| Place                | Number <sup>a</sup> | Assets <sup>b</sup> | Gifts Received <sup>c</sup> | Expenditures <sup>d</sup> | Grants <sup>e</sup> |
|----------------------|---------------------|---------------------|-----------------------------|---------------------------|---------------------|
| South Atlantic       | 558                 | \$ 2,101,975        | \$ 211,412                  | \$ 113,995                | \$ 99,275           |
| Delaware             | 56                  | 512,921             | 133,870                     | 22,885                    | 17,776              |
| Maryland             | 75                  | 100,307             | 4,904                       | 7,903                     | 7,254               |
| District of Columbia | 51                  | 149,789             | 14,368                      | 11,365                    | 8,866               |
| Virginia             | 53                  | 93,682              | 4,744                       | 5,763                     | 4,861               |
| West Virginia        | 8                   | 5,289               | 438                         | 191                       | 175                 |
| North Carolina       | 100                 | 419,220             | 10,544                      | 23,778                    | 22,343              |
| South Carolina       | 32                  | 67,377              | 6,213                       | 8,959                     | 8,269               |
| Georgia              | 107                 | 633,252             | 27,919                      | 25,583                    | 22,869              |
| Florida              | 76                  | 120,138             | 8,406                       | 7,567                     | 6,862               |
| East South Central   | 107                 | 180,733             | 14,905                      | 12,587                    | 12,029              |
| Kentucky             | 26                  | 33,490              | 5,823                       | 2,706                     | 2,541               |
| Tennessee            | 55                  | 109,288             | 8,080                       | 6,716                     | 6,450               |
| Alabama              | 20                  | 33,968              | 902                         | 2,319                     | 2,215               |
| Mississippi          | 6                   | 3,988               | 100                         | 845                       | 824                 |
| West South Central   | 362                 | 1,698,762           | 68,390                      | 90,303                    | 67,631              |
| Arkansas             | 20                  | 16,091              | 2,846                       | 1,235                     | 1,103               |
| Louisiana            | 37                  | 69,083              | 5,274                       | 3,737                     | 3,225               |
| Oklahoma             | 57                  | 255,075             | 7,016                       | 9,934                     | 7,614               |
| Texas                | 248                 | 1,358,513           | 53,255                      | 75,397                    | 55,689              |
| Mountain             | 99                  | 318,070             | 8,951                       | 18,196                    | 16,755              |
| Montana              | 5                   | 3,614               | 68                          | 265                       | 237                 |
| Idaho                | 8                   | 7,164               | 3,356                       | 626                       | 616                 |
| Wyoming              | 3                   | 8,298               | 231                         | 456                       | 410                 |
| Colorado             | 43                  | 169,510             | 2,825                       | 10,108                    | 9,468               |
| New Mexico           | 5                   | 7,790               | 297                         | 175                       | 133                 |
| Arizona              | 14                  | 20,983              | 689                         | 846                       | 574                 |
| Utah                 | 16                  | 13,986              | 1,368                       | 1,067                     | 1,028               |
| Nevada               | 5                   | 86,726              | 116                         | 4,654                     | 4,289               |

ITEM III (Cont.)

| Place                | Number <sup>a</sup> | Assets <sup>b</sup> | Gifts Received <sup>c</sup> | Expenditures <sup>d</sup> | Grants <sup>e</sup> |
|----------------------|---------------------|---------------------|-----------------------------|---------------------------|---------------------|
| Pacific <sup>f</sup> | 475                 | \$ 1,378,379        | \$ 96,048                   | \$ 76,141                 | \$ 69,152           |
| Washington           | 43                  | 73,802              | 5,608                       | 6,214                     | 5,823               |
| Oregon               | 39                  | 60,320              | 1,645                       | 4,383                     | 4,117               |
| California           | 380                 | 1,180,054           | 88,612                      | 62,707                    | 56,600              |
| Hawaii               | 13                  | 64,293              | 184                         | 2,837                     | 2,612               |
| Outlying Areas       | 2                   | 9,706               | 126                         | 220                       | 79                  |
| Puerto Rico          | 1                   | 9,700               | 83                          | 182                       | 40                  |
| Virgin Islands       | 1                   | 6                   | 43                          | 39                        | 39                  |
| TOTAL                | 5,454               | \$25,180,668        | \$1,151,628                 | \$1,644,495               | \$1,513,442         |

- 57
- a Total number of foundations on which Directory 4 supplies data.
  - b Assets data were lacking for 2 foundations, neither believed large. An additional 20 foundations had liabilities equaling or exceeding their assets at year end.
  - c Gifts were reported for 1,858 foundations
  - d Expenditure data were lacking for 5 foundations, two of which were new.
  - e Grants data were lacking for 10 foundations.
  - f Alaska had no foundation that met the size qualifications.

NOTE: Detail may not add to totals because of rounding.

ITEM IV

PERIOD OF ESTABLISHMENT OF 5,436 FOUNDATIONS,  
 BY DECADES AFTER 1900: BY LATEST ASSET CLASSES  
 Source: Fourth Edition of Foundation Directory, 1971

| Period                 | Total<br>Foundations | \$10 Million<br>or More |         | \$1 Million Under<br>\$10 Million |         | Less Than<br>\$1 Million |         |
|------------------------|----------------------|-------------------------|---------|-----------------------------------|---------|--------------------------|---------|
|                        |                      | Number                  | Percent | Number                            | Percent | Number                   | Percent |
| Total                  | 5,436                | 331                     | 100     | 1,830                             | 100     | 3,275                    | 100     |
| Before 1900            | 18                   | a                       | a       | 14                                | 1       | 3                        | a       |
| 1900-1909              | 16                   | a                       | 2       | 9                                 | a       | 1                        | a       |
| 1910-1919              | 75                   | 1                       | 7       | 36                                | 2       | 17                       | 1       |
| 1920-1929              | 157                  | 3                       | 10      | 88                                | 5       | 37                       | 1       |
| 1930-1939              | 259                  | 5                       | 19      | 118                               | 6       | 77                       | 2       |
| 1940-1949              | 1,134                | 21                      | 29      | 463                               | 25      | 574                      | 18      |
| 1950-1959              | 2,546                | 47                      | 24      | 799                               | 44      | 1,668                    | 51      |
| 1960-1969 <sup>b</sup> | 1,231                | 23                      | 9       | 303                               | 17      | 898                      | 27      |

a Less than 0.5 percent.

b Record incomplete for recent years.

NOTE: Information on year of organization was unavailable for 18 Directory foundations.

ITEM V

CATEGORIES FOR GRANTS INDEX

1. EDUCATION
  1. General
  2. Elem. & Sec. Education
  3. Higher Education
    - a. General Support
    - b. Special Projects
  4. Adult Education
  5. Vocational Education
  6. Personnel Development
  7. Scholarships & Loans
  8. Fellowships
  9. Communications
  10. Educational Research
  11. Endowment
  12. Libraries
  13. Educational Associations
  14. Buildings & Equipment
2. HEALTH
  1. General
  2. Medical Education
  3. Mental Health
  4. Dentistry
  5. Nursing
  6. Public Health
  7. Medical Care & Rehab.
  8. Hospitals
  9. Health Agencies
3. HUMANITIES
  1. General
  2. Art & Architecture
  3. History
  4. Language & Literature
  5. Philosophy
  6. Museums
  7. Music
  8. Other Performing Arts
4. INTERNATIONAL ACTIVITIES
  1. General
  2. Education
  3. International Studies
  4. Exchange of Persons
  5. Cultural Relations
  6. Peace & Int'l Cooperation
  7. Health & Welfare
  8. Relief & Refugees
  9. Technical Assistance
5. SCIENCE AND TECHNOLOGY
  - Physical Sciences
    1. General
    2. Astronomy & Space
    3. Chemistry
    4. Earth Sciences & Oceanogr.
    5. Mathematics
    6. Physics
  - Life Sciences
    10. General
    11. Environmental Studies
    12. Agriculture
    13. Biology
    14. Medical Research
  - Social Sciences
    20. General
    21. Anthropology & Archeol.
    22. Business & Labor
    23. Economics
    24. Political Science
    25. Law
    26. Psychology
    27. Sociology
  - Technology
6. RELIGION
  1. General
  2. Religious Education
  3. Theological Education
  4. Theology
  5. Religious Welfare
  6. Religious Associations
  7. Churches & Temples
  8. Buildings & Equipment
7. WELFARE
  1. General
  2. Child Welfare
  3. Youth Agencies
  4. Aged
  5. Handicapped
  6. Race Relations
  7. Delinquency & Crime
  8. Community Development
  9. Housing & Transportation
  10. Recreation & Conservation
  11. Social Agencies
  12. Community Funds

ITEM VI

INTERNAL REVENUE SERVICE KEY DISTRICTS

| <u>IRS Key Districts</u>      | <u>Geographical Areas Included</u>  |
|-------------------------------|---|
| 1. Boston, Massachusetts      | Maine, Vermont, New Hampshire, Rhode Island, Connecticut, Massachusetts           |
| 2. Manhattan, New York        | Manhattan, Brooklyn, Albany, Buffalo  |
| 3. Philadelphia, Pennsylvania | Philadelphia, New Jersey, Delaware  |
| 4. Baltimore, Maryland        | Maryland, Pittsburgh (Pa.), Virginia, Washington, D. C.                           |
| 5. Atlanta, Georgia           | North Carolina, South Carolina, Georgia, Florida, Alabama, Mississippi, Tennessee |
| 6. Detroit, Michigan          | Michigan  |
| 7. Cincinnati, Ohio           | Cincinnati, Kentucky, Indiana   |
| 8. Cleveland, Ohio            | Cleveland, West Virginia  |
| 9. Chicago, Illinois          | Chicago   |
| 10. St. Paul, Minnesota       | Minnesota, North Dakota, South Dakota, Nebraska, Wisconsin                        |
| 11. St. Louis, Missouri       | Missouri, Iowa, Springfield, Illinois   |
| 12. Dallas, Texas             | Dallas, Oklahoma, Arkansas, Kansas  |
| 13. Austin, Texas             | Austin, Louisiana, New Mexico, Colorado, Wyoming                                  |
| 14. Los Angeles, California   | Los Angeles, Arizona, Hawaii  |
| 15. San Francisco, California | San Francisco, Utah, Nevada   |
| 16. Seattle, Washington       | Washington, Oregon, Idaho, Montana, Alaska  |

ITEM VII

THE FOUNDATION CENTER AND ITS DEPOSITORY LIBRARIES

Form 990-A on file for foundations in:

The Foundation Center  
444 Madison Avenue  
New York, New York 10022  
(Mrs. Judith Margolin)

All states and D.C.

The Foundation Center  
1001 Connecticut Avenue, N.W.  
Washington, D. C. 20036  
(Mrs. Margot Brinkley)

All states and D.C.

Graduate Social Science Library  
Stephens Hall  
University of California  
Berkeley, California 94720

California, Idaho, Nevada  
Oregon, Washington

Foundation Collection  
Reference Department  
University Research Library  
University of California  
Los Angeles, California 90024

California, Arizona

Foundation Library Collection  
Atlanta Public Library  
126 Carnegie Way, N.W.  
Atlanta, Georgia 30303

Alabama, Florida, Georgia,  
North Carolina, South Carolina,  
Tennessee, Mississippi

The Newberry Library  
60 West Walton Street  
Chicago, Illinois 60610

Illinois

The Associated Foundation of Greater Boston  
One Boston Place, Suite 948  
Boston, Massachusetts 02108

Maine, New Hampshire, Vermont,  
Rhode Island, Massachusetts

The Danforth Foundation  
222 South Central Avenue  
St. Louis, Missouri 63105

Kansas, Missouri

Cleveland Foundation Library  
700 National City Bank Building  
Cleveland, Ohio 44114

Ohio

Regional Foundation Library  
The Hogg Foundation for Mental Health  
The University of Texas  
Austin, Texas 78712

Arkansas, Louisiana, New Mexico,

## ITEM VIII

### SUGGESTIONS FOR PREPARING A PROPOSAL TO A FOUNDATION

Initial inquiry should be made by a letter to the foundation, including a concise summation of the proposal, the estimated cost, and a copy of the organization's tax-exemption letter from the Internal Revenue Service.

If preliminary study indicates that the proposal may fall within the foundation's current fields of interest, the foundation may request a formal application, including the following information.

1. Brief summation of the organization, its purposes, date of establishment, board and staff, budget, program and past accomplishments. Why applicant is better equipped and staffed to achieve desired results than others in its field.
2. The proposal and what it seeks to achieve. Its national or regional impact.
3. Overall financing of the project. Other individuals or organizations supporting this or related proposals. Others whose support has been requested, whose support may be requested, or who have declined to assist.
4. Can evidence be presented that public or private organizations are not already actively pursuing the same, similar, or closely related projects?
5. The expected duration of the project, and of the need for support.
6. The names of informed persons independent of the organization and its leadership, who may be consulted on this project.
7. Any previous contact with this foundation.
8. Copies of last annual report, last audit report, or if none are issued, a statement on income, expenditures and program for the past year.

## ITEM IX

### CONTENT SUGGESTIONS FOR GRANT REQUESTS TO PHILANTHROPIC FOUNDATIONS

1. Give the background of the grantee organization.
2. Give the background of the key person(s) who will conduct or direct the project or activities (i.e., professional credentials, experience, etc.). Sometimes the project director will not be hired until after the money is received, but it would be desirable to list the qualifications of this person.
3. Give sufficient detail to give a general impression of what you intend to do.
4. Specify objectives, goals, procedures, and how the program will be evaluated.
5. No single grant will solve all the problems of the world --- describe realistically the expected outcomes and the implications of this specific proposal (i.e., how the successful achievement of the goals and objectives of the program will relate to the partial solution of a complex problem facing society).
6. The proposal should accentuate the positive and attempt to stimulate interest, but avoid a Madison Avenue promotional approach.
7. Glean from published reports of the foundation key phrases or words that appear to have taken on internalized value within a foundation and sprinkle your presentation with similar statements (e.g., community development, innovation, social change, minority groups, etc.). Keep in mind that foundations are often very unique and adjust your presentation accordingly.
8. Unless desperate, don't try to convince a foundation that has had no previous involvement in your area to fund your project. Inappropriate appeals take up your time as well as the foundation's. However, if the nature of the appeal is general enough, or is taking advantage of one of the current fads in society, then perhaps, selectivity in choosing foundations becomes less of a critical factor.
9. Tailor the size of your grant request to the size of the foundation. Large grant needs can be divided into units and packaged to give smaller foundations an opportunity to support one or more component parts of the total program. Although the average size of a foundation's grant is a factor to be taken into account, keep in mind that the largest 200 foundations often give substantial individual grants.
10. Try to write the proposal in a way that relates to what the particular foundation has been doing in the recent past.

ITEM X

SUGGESTED REFERENCES FOR PREPARING  
FOUNDATION GRANT PROPOSALS

Andrews, F. Emerson, "Application for Grants," Philanthropic Foundations. New York: Russell Sage Foundation (230 Park Avenue, New York, New York 10017), 1956. \$7.50

Church, David M., Seeking Foundation Funds. New York: The National Public Relations Council of Health and Welfare Services, Inc. (419 Park Avenue South, New York, N.Y. 10010), 1966. \$1.50

Pattillo, Manning M., "Preparing the Foundation Proposal." Foundations: 20 Viewpoints. New York: Russell Sage Foundation, 1965. \$1.25

Allen, Yorke, Jr., "How Foundations Evaluate Requests." Foundations: 20 Viewpoints. New York: Russell Sage Foundation, 1965. \$1.25

"A Primer for Student Aid Fund Raisers," Scholarships, Fellowships and Loans News Service, Vol. XII, Nos. 1 and a, January-April 1967. Cambridge, Massachusetts: Bellman Publishing Co. (P.O. Box 172, Cambridge, Ma. 02138).

"The Grant Proposal: A Guide for Preparation," Grant Data Quarterly, Selected Report Number Los Angeles, California: Academic Media, Inc. (10835 Santa Monica Boulevard, Los Angeles, California 90025), 1967.

Dermer, Joseph, "How to Raise Funds from Foundations." New York: Public Service Materials Center (104 East 40th Street, New York, New York 10016), 1968. \$7.95.

## BASIC PRINCIPLES OF ADULT EDUCATION CURRICULUM BUILDING

Earl W. Harmer

### Introduction

This morning I would like to present what I consider to be some fundamental propositions about adult education curriculum, curriculum development, and program planning. There is no question that these propositions reflect my own opinions, but I hope they are useful. At least they will be a point of departure for discussion.

### Basic Adult Education Curriculum Propositions

There are four propositions which I think are essential to an adult education curriculum. First, the adult education curriculum should be in an environment in which education --- or learning and growth --- can take place. That statement would seem to be rather self-evident, but what I think it says in another way is that the adult education curriculum should not be a combination of courses. It should not be an accumulation of content or subject matter organized and set out in advance to be learned, but rather it should be an environment in which the adult can work, learn and grow.

Second, I would argue that adult education should be experience-centered with value-laden objectives. I don't think any of you need to be told what experience-centered means, but I'm talking about a kind of adult education in which the adult spends almost all of his class time actively doing, working, reading, and producing. There is very little room in adult education for a teacher to talk to a group of adults in some kind of an orthodox, traditional classroom style.

By value-laden objectives, I mean objectives that have value to the adults. They're value-laden in the sense that when the adult is in that curriculum, he sees what is there as having value and worth to him. I don't need to remind you that too often the values of the

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curriculum are the values of the teacher or the values of the system.

Third, the adult education curriculum should be planned and evaluated cooperatively between the teacher and each adult. I don't know if that's entirely possible, but I don't think the program can really be successful until the adult has a full and complete voice in designing the curriculum. I think that the curriculum organization and teacher training have got to be such that the teacher is trained to listen to what the adult has to say. For too long in elementary and secondary education we have just organized materials and told kids what they must learn. The consequences of this type of curriculum are pretty obvious. That's probably why a lot of adults are out of the conventional school situation and into adult education. So the teacher must learn that the adult curriculum has got to be a place where the adult can talk, plan and evaluate cooperatively with the teacher.

Finally, the adult education curriculum has got to be organized both in terms of the larger national culture and the more immediate culture of the adult. I think there are all kinds of idiosyncratic subgroups that adult learners are going to come from, and the curriculum must be planned in terms of that group's culture. It can't just be planned in terms of the educators' values or even in terms of our conception of what the good life is as far as they are concerned.

#### Fundamentals of Curriculum Development For Teachers of Adults

Now let me talk about curriculum development for teachers of adults and the kind of program that you are going to organize. First of all, the teacher education should be physically located in the adult education environment and thus be deeply involved with the adult curricula. The agency with the primary responsibility for training should be the agency or system within which the adult program is organized and funded.

What I am saying is that the teacher education program should be placed squarely in the adult education environment so that the adult education curriculum gets developed at the same time the teacher gets trained and that part of the teacher education program is in terms of the development of the curriculum for the adult education program. Physically that means the program is not on the university campus. It means that the teacher education program won't be an offshoot of conventional kinds of teacher education activities but rather that it will center around the particular adult education program. I don't know if that is a radical proposition, but I suspect it is. If the adult teacher education program were located on the university

campus and all courses and facilities were centered there, I think that in the long run this would be a mistake. The campus is not the place where teachers of adults can get the insights and training they need.

Second, I think the teacher education program should be clearly based on affective, humanistic goals and not on competencies or proficiencies. There will probably be disagreement here, because competency/proficiency is very popular now with the U. S. Office of Education and many state departments. But I think that adult teacher education has got to be primarily a consequence of affective, emotional, humanistic kinds of beliefs, attitudes, values, purposes and goals. I think one could contrast that in some respects with academic proficiency/competency.

Third, I think the faculty of the teacher education program, or whoever is going to teach the teachers of adults, should be selected first on the basis of their knowledge and experience with adult learners and secondly on the basis of their expertise in teacher education. That may not be a good priority system, but I suspect that the teacher of teachers of adults needs to have had direct involvement with adult education so that when he works with prospective teachers he knows whereof he speaks.

It would be so easy to just reorganize our teacher education programs and add the word "adult" in the title, and I think that might be tempting to many of us because we have had very little experience with adult education. Many of us don't even get much practical on-going experience with public education in general. But in adult education, I would think that the teacher of teachers of adults definitely has to have some on-going direct experience.

Finally, I would suggest that admission to this teacher education program, de-selection or how to we get people out, and evaluation of the program be under the control and direction of an agency outside the teacher education environment. Such outside agency might be a university bureau of educational research, a private educational consulting firm, a division of the public school system, or the state department of education. My assumption here is that the critical moves in teacher education and probably adult teacher education are selection and admission to the programs. Once people have proved they have the interest and ability and are admitted to the training program, then I think faculty should be able to forget the grades and just work with the expectation of ultimately graduating and certifying students. Admission then becomes a key item, and I think this admission ought to be handled outside the group that is actually involved in the teacher education.

Guidelines for Organizing the Planning Group for a  
Specific Adult Teacher Education Program

I am sure you will recognize some of the guidelines which follow as being common in curriculum development, but I am suggesting them as important for organizing the adult teacher education planning group since that is your purpose at this Workshop.

First of all I would say that each adult education center, however the word "center" is defined, plus the appropriate public school, university and state department resources, are the only satisfactory units for teacher education curriculum development. I don't think you can hope to get a teacher education program that is common to all adult education centers, nor is one desirable. You must use the unit that is involved in adult education as the primary unit for the development of the teacher education curriculum.

Second, I think that the primary responsibility for the teacher education program has got to be with the faculty. That may be self-evident, but it is the faculty, selected perhaps on the kinds of propositions I've made here, that ultimately has got to develop the teacher education program.

Third, I think that appropriate small groups, plus consultants, should function to advise and support the adult teacher education faculty in their curriculum development efforts. In short, I don't think that the faculty ought to operate independently and exclusively, but that other appropriate kinds of groups ought to be included to make their particular contributions. In the end, however, development of the program is a faculty responsibility.

Fourth, one member of the adult teacher education faculty should accept the primary leadership responsibility. If your planning group wants to get a teacher education program ultimately on the boards and functioning, then a key move is to find the single person in the university, neighborhood or area who can assume responsibility for the development of the curriculum.

A fifth guideline is that community leaders, students, and other adults interested in adult education should have an important role in the curriculum development.

Finally, the teacher education program, at least in broad outline, should be written out in a form appropriate for examination and commentary by interested groups. I think that to organize a teacher education program that is just in someone's mind or just a collection of courses and activities would be a terrible error. Ultimately the program ought to have a rationale of its own, an integrity of its

own, and it ought to be written out in such a way that other people can examine and comment on it.

### Conclusion

I hope my contribution this morning has been to suggest, partially from my own opinion, some fundamental propositions that a group intending to build a curriculum for adult teacher education should consider. I am sure there are additional propositions that could be legitimately added to this list, and there are doubtless questions to be raised about my ideas. Perhaps that is our work for the remainder of the day.

## CURRICULUM BUILDING FOR ADULT TEACHER EDUCATION

Richard J. Mitchell

There are three general categories of students which teachers should be trained to meet in the classroom. First, there is the ABE student, the person who is functionally illiterate and needs help in the area of reading. In my opinion, this type of student is one of the most important considerations for teacher training. Second, there is the G.E.D.-oriented adult student, who may or may not have come from an ABE program. I have a feeling that at least in our state and region, most of the people in ABE programs are really G.E.D.-oriented. I don't think any region has identified five percent of their potential ABE students. Third, there is the person who may or may not have a high school diploma but just wants to learn how to make jewelry or sew. The above, then, are the kinds of adult students with whom teachers should be prepared to work.

The type of program I see as important for training teachers to work with adults is a program offered at the bachelor's degree level. Most educators think of a program containing courses which would be appropriate at a masters or doctoral level. But we forget that there is probably not a state department or agency in the country that's not looking very closely now at certification programs. They are looking at early childhood education, at the first and second grades as a possible grouping, and they are beginning to think that maybe the junior high or middle school youngster needs a differently trained teacher too. Maybe we ought to get them thinking about adult education too.

In considering an adult teacher education program at the bachelor's level, there are four areas of concern that need to be dealt with. The first is the question of, "What's in it for my institution?" There is a man in the business office at my school who scares me to death. Every time there is not much of an enrollment in my classes, he comes over and chains my hands to a pole. He doesn't like just four or five people in a class. There is another school in my state which

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offered a Psychology of the Adult course two summers ago and five people enrolled. I had three courses last summer and fifteen people enrolled in each. At the same time, in Louisiana they offer a course and have to fight the people off. If they have sixty chairs, they fill them up. I'm not sure I know what the difference is with the possible exception of the population or maybe the encouragement and backing of the state agencies. At any rate, we're talking about teacher education curriculum now, and you won't get a program off the ground if there are no people in the classrooms.

A second problem that I've been working on over the last few years concerns the kinds of courses which are appropriate for an adult teacher education program. In a survey of what other schools offered (see Item I), I found a lot of courses for teachers of adults that really were not teacher education. There was little emphasis on reading in the training programs for ABE and even G.E.D. teachers. If the people working with curriculum are not sophisticated enough to know what reading level they are working with, we must be concerned about institutions of higher education trying to get involved in ABE or G.E.D. teacher training who do not have outstanding reading programs. In fact, if I were a state director of adult education, I would not fund an institution that didn't have expertise in that area on the faculty or available to them.

One of the handouts (Item II) is a reading instrument developed by Dr. Dale Jordan at Central State University. We found it worked very well for us, and I have seen a half dozen other places around the country where it has worked equally well. I am not necessarily suggesting this particular instrument for your use, but I do think you would need a person who could develop such an instrument for use in your own program. It may seem to you that I am overemphasizing reading, but I see too many students in adult education programs who do well at what they've had the most experience in and that has been failure.

There are other general areas which we have identified as appropriate for the so-called ABE student which might be included in a Methods and Materials class. Areas like consumer education, money management and family relations are certainly important and can be developed by or in cooperation with other departments on your campuses. You could save yourself a lot of time and energy by looking across the campus for people in the Home Economics or Business Education departments, for example, who could make a contribution even though they may not be trained in adult education.

Two other areas of interest for the basic adult are career development and religion. I'm sure all of you are looking into career development, as it seems to be an area where there is some money.

The area of religion is a problem, however. Many adults walk into a program and say, "I'd like to learn to read my Bible." Every time you talk to people in teacher education about this, it becomes a church-state problem, and no one has come up with a way to work effectively with the Bible in these classes. Working with a telephone directory is not difficult, but when it comes to incorporating the Bible into classroom exercises, real problems develop.

I would like to spend some time discussing a possible curriculum for a teacher education program. Handout Items I and III are materials we used to determine what teacher education programs ought to include. As described in Item I, we wrote to thirty-six institutions of higher education to find out what courses and content they recommended for graduate students interested in adult education. Item III describes a proposed curriculum for adult teacher education. I will just discuss the proposed curriculum, not as a fixed program but as a point of departure.

The first course listed is "Administration of Adult Education." I don't necessarily agree with that and might prefer to replace it with a reading course. Let me tell you why. We have had adults with reading handicaps coming on our campus for years. Those handicaps are probably the cause for many drop-outs. For example, a research study was done on welfare applicant letters to analyze sentence structure, grammar and the like. The researcher found that many kinds of symbols were backwards, that inappropriate letters were often made, and that words were often in the wrong order. Now a reading specialist would say, "That's dyslexia." That's where the problem is and that is where the work needs to be done.

However, going back to the handout, I would say that if you like "Administration of Adult Education," there is a very significant textbook that I left off the list. It's a NAPCAE book by Nathan Shaw entitled, The Administration of Continuing Education.

The second course is listed on the second page as "Guidance in Adult Education." One book I have found to be very useful in counselor education programs, though it is rather old, is Donald Super's Psychology of Careers. You could also add Jim Farmer's article which appeared in the Adult Leadership magazine sometime last year, because he expands Super's single career concept into multiple kinds of thinking, which is probably more appropriate.

A third course I would like to suggest to you is the one described on page three as "Practicum in Adult Education." This was a field experience course. For this course the best program I have observed was one where fifteen practicum people lived in with fifteen community workers. The community workers are people who may or may not have

high school diplomas but who work in the public schools. These are people who seem to have a little bit more rapport and contact with people in certain school districts and who can work as liaison representatives between school principals, teachers, and the community. Fifteen of them agreed to have the practicum students live with them for one week. This is the kind of field experience that I would highly recommend.

I would also like to include an "Introduction to Adult Education" course. I would like to take an introductory course that many of us probably think of as a principles course and offer it the sophomore year. We have been doing that for five or six years in our teacher education programs, having students go out and spend a semester in a school, and it works most effectively. There is a bit of a problem in working out hours and keeping this within the accreditation requirements, but I don't think that it is a major problem.

As far as offering a Methods and Materials course, it depends on how many courses you offer. We heard yesterday that California offers a Methods and Materials course, and perhaps I should review for you what the content of that course is. Jim Farmer's course includes looking at the cognitive areas, the affective areas, and he uses a little bit of Simpson's psychomotor. He spends half the semester in terms of this kind of curriculum design. Then, he starts bringing in the experts, perhaps a reading specialist or someone from home economics or business. The idea is to make the future teacher aware of the resources available both on and off campus. That is one approach to the course.

I think if I could only have two courses, I would rather have Psychology of the Adult and Methods and Materials, rather than the Introductory and Methods and Materials courses like they do in California. But more than that I would rather have three: Introductory Principles, Psychology of the Adult, and Methods and Materials.

Before closing, I would just like to make a few recommendations. First, it seems to me that if the people in state departments of adult education are not really interested in encouraging and giving assistance to one or more institutions of higher education in your state, then your programs will be difficult to develop. With the economic problems higher education faces today, there must be help from other sources to build teacher education programs in adult education.

There are several things state department people could do to help. First, recognize the institutions you feel could make a contribution. Then try to exert a little influence in Washington or wherever to help institutions do what needs to be done. Second, I would think that when we offer classes you could help in terms of

recruitment. Third, you could help out with certification. Yesterday a few of us were talking and someone said, "Mitchell, we don't have the expertise to get certification in adult education." I don't believe that. I think if you people working in the state agencies could help us identify the practitioners, that would help resolve the problem.

I would like to suggest something else to the people responsible for this project at the University of Utah. Whereas last year many of us used consultants to try and orient our campuses to stimulate programs, why not use the consultants this year to take a look at what it will take for certification in the states.

## ITEM I

### SURVEY OF PROFESSIONAL EDUCATION COURSES FOR ADULT EDUCATORS IN HIGHER EDUCATION

Richard J. Mitchell

A questionnaire was mailed to 36 institutions. The questionnaire asked the respondent to list the courses and content they recommended for graduate students who were interested in adult education. Sixteen of the institutions listed programs which did not refer to adults; these referred to secondary, elementary, and other school levels.

The institutions who advertised programs designed specifically for adult educators were: Arizona State University, Boston University, Columbia University, Cornell University, Florida State University, George Washington University, Indiana University, Michigan State University, North Carolina State University, Ohio State University, Syracuse University, University of British Columbia, University of California at Berkeley, University of California at Los Angeles, University of Chicago, University of Georgia, University of Michigan, University of Nebraska, University of Wisconsin, and University of Wyoming.

Many of the 20 institutions reported similar course offerings. The list which follows identified 17 courses which seemed to have some unique characteristics which were different from the others. The courses offered by the institutions and designed for adult educators are as follows:

**COMPARATIVE ADULT EDUCATION: INSTITUTIONAL FORMS AND FORCES:** The history and current status of adult education in the United States and in selected foreign countries. The nature, scope, purposes, and historical development of adult education institutions and program areas.

**PROCESSES AND PROCEDURES IN ADULT EDUCATION:** Use of adult learning procedures such as speech, forum, demonstration, clinic, symposium, colloquy, role-playing, workshop, group dynamics, planning and staging of adult educational activities.

**THE DIAGNOSTIC PROCEDURE IN ADULT EDUCATION:** Ways of identifying the educational needs of adults, with major emphasis on the theory and practice of the diagnostic procedure and the use of diagnostic skills for effective adult education program development.

**INTERNSHIP IN ADULT EDUCATION:** Relates theory to practice through supervised field work experiences and faculty appraisal and guidance. Students plan, conduct, and evaluate adult education programs in various institutional and community settings.

ITEM I (Cont.)

READINGS IN ADULT EDUCATION: Guided individual study and consultations with an instructor. Study designed to meet the professional individual needs of advanced graduate students.

TRENDS IN ADULT EDUCATION: Development of adult education in the United States and abroad; explanation of contemporary trends and issues.

IN-SERVICE PREPARATION FOR OCCUPATIONAL AND ADULT EDUCATORS: Identifying and solving problems in program planning, methodology, department operation, and school and community relationships. Primarily to aid beginning occupational and adult teachers in planning and establishing effective programs. Workshop on campus, followed by four small-group meetings during the year and two days of individual instruction in the local department, in addition to student assignments.

SURVEY OF ADULT EDUCATION: Overview of the historical development of adult education, current programs of adult education abroad and in the United States, nature of adult groups, methods and materials, organization and administration, and the philosophy of adult education.

CURRICULUM AND INSTRUCTION AT THE ADULT LEVEL: Intended for persons who have problems in determining the needs of their community and students, stating objectives, developing appropriate materials and methods, and evaluating the outcome of courses.

PROBLEMS OF ADULT EDUCATION: For personnel already engaged in adult education activities. A study of content of public adult education programs; problems of organization, administration, and financing; methods and materials appropriate to adult habits and needs; interpretation of legislation relating to public adult education.

INTERNSHIP IN ADULT EDUCATION: For students preparing for positions as teachers of adult groups, directors of adult education, executives of adult organizations having educational purposes, administrators of college programs of adult education, and professors of adult education. The intern works cooperatively with an appropriate worker in the field of adult education.

PSYCHOLOGY OF ADULT LIFE; MATURITY AND OLD AGE: Genetic survey of the life span with special emphasis on development and problems of adjustment in maturity and old age. Attention to such issues as changes in learning capacity, interests and incentives, social and emotional development, work adjustment, adult and parent education.

ITEM I (Cont.)

THE ADULT AS A LEARNER: Psychology of learning as applied to adults; effect of age on learning; physical and social environment in adult education situations.

COUNSELING OF ADULTS: Concepts and practices with particular emphasis on the needs of adults in work situations.

EVALUATION OF ADULT EDUCATION: Measurement and evaluation of adult education in school and nonschool agencies --- business, industry, government, voluntary and community.

ADMINISTRATION OF ADULT EDUCATION: Program planning, staff development, fiscal operations, facilities, and maintenance of effective community relations.

APPRAISAL OF INSTITUTIONS OF ADULT EDUCATION: Examination of methods of analysis of institutional growth, adaptation, effectiveness, efficiency, and viability.

ITEM II

SCORESHEET - JOST (Jordan Oral Screening Test)

Name \_\_\_\_\_ Date \_\_\_\_\_  
 YR MO DAY

Reading Level \_\_\_\_\_ Birthdate \_\_\_\_\_  
 YR MO DAY

DIRECTIONS: Read the words aloud. If you come to a word you don't know, say "skip."  
 Age \_\_\_\_\_  
 years months

| Level One    | Level Two   | Level Three   | Level Four    | Level Five    |
|--------------|-------------|---------------|---------------|---------------|
| 1. and       | 1. we       | 1. same       | 1. can't      | 1. answers    |
| 2. up        | 2. can      | 2. gave       | 2. circus     | 2. silver     |
| 3. but       | 3. jump     | 3. suddenly   | 3. herself    | 3. careless   |
| 4. so        | 4. foot     | 4. rope       | 4. smart      | 4. grave      |
| 5. it        | 5. help     | 5. heaven     | 5. platform   | 5. speaking   |
| 6. he        | 6. baby     | 6. happened   | 6. exclaim    | 6. already    |
| 7. something | 7. mother   | 7. start      | 7. understand | 7. delicious  |
| 8. run       | 8. play     | 8. farmer     | 8. wouldn't   | 8. dumpling   |
| 9. me        | 9. come     | 9. along      | 9. street     | 9. legion     |
| ___10. see   | ___10. bark | ___10. around | ___10. learn  | ___10. nation |

| Level Six       | Level Seven      | Level Eight         |
|-----------------|------------------|---------------------|
| 1. examples     | 1. radiation     | 1. redundancy       |
| 2. criticize    | 2. medicine      | 2. forfeit          |
| 3. graciously   | 3. customarily   | 3. commercially     |
| 4. snuggle      | 4. yearling      | 4. standardized     |
| 5. natural      | 5. future        | 5. impressionable   |
| 6. punishment   | 6. knowledge     | 6. extraordinary    |
| 7. exercise     | 7. stallion      | 7. physiology       |
| 8. obey         | 8. abundance     | 8. zephyr           |
| 9. musical      | 9. accidental    | 9. environmental    |
| ___10. religion | ___10. preoccupy | ___10. intoxicating |

NOTE: A perfect score on this page yields a reading level of 8.0, which is considered the lower limit of functional literacy. A total score of less than 8.0 indicates functional illiteracy; the lower the score, the less literate the individual.

ITEM II (Cont.)

| Level Nine       | Level Ten                | Level Eleven      | Level Twelve         |
|------------------|--------------------------|-------------------|----------------------|
| 1. destitution   | 1. felonious             | 1. reprehensibly  | 1. vermifuge         |
| 2. burlesque     | 2. disproportion-<br>ate | 2. excruciating   | 2. avuncular         |
| 3. projectile    | 3. antigravity           | 3. xerography     | 3. auspiciously      |
| 4. brogue        | 4. irrepressible         | 4. ionospheric    | 4. antiseccessionism |
| 5. humiliation   | 5. instantaneously       | 5. coalition      | 5. verisimilitude    |
| 6. supplemental  | 6. fiance                | 6. idiosyncrasy   | 6. disassociation    |
| 7. irrelevance   | 7. naive                 | 7. eccentricity   | 7. extracurricular   |
| 8. ingeniously   | 8. requisition           | 8. envisage       | 8. iconoclasticism   |
| 9. depreciation  | 9. noninflammable        | 9. affability     | 9. prestidigitation  |
| __10. intangibly | __10. countermanded__    | 10. irrationality | __10. psychosomatic  |

Level Thirteen

- |                         |  |
|-------------------------|--|
| 1. unameliorative       | 1. Record the number of correct responses on each line.                      |
| 2. omnipotence          | 2. Add to find TOTAL CORRECT.  |
| 3. hyperkinesis         | 3. Insert decimal in tens place in TOTAL CORRECT.                            |
| 4. pseudosophisticate   | 4. This is the Reading Level   |
| 5. lasciviously         | Example: Reading Level 8.3 would mean 8th year, 3rd month grade equivalency. |
| 6. hypothyroidism       |  |
| 7. automatism           |  |
| 8. interlocutor         |  |
| 9. irrefragable         |  |
| __10. semiconsciousness |  |

Correct Responses

One \_\_\_\_\_

Two \_\_\_\_\_

Three \_\_\_\_\_

Four \_\_\_\_\_

Five \_\_\_\_\_

Six \_\_\_\_\_

Seven \_\_\_\_\_

Eight \_\_\_\_\_

Nine \_\_\_\_\_

Ten \_\_\_\_\_

Eleven \_\_\_\_\_

Twelve \_\_\_\_\_

Thirteen \_\_\_\_\_

TOTAL CORRECT \_\_\_\_\_

Reading Level \_\_\_\_\_

NOTE: The Reading Level score is the individual's peak performance level, or the very best he can do. This is called the frustration level. The instructional level must begin at least two years below this point, and leisure reading will be three or more years below the Reading Level score.

### ITEM III

#### CURRICULUM FOR ADULT EDUCATION

Richard J. Mitchell

The purpose of this paper is to suggest a curriculum in higher education for the preparation of adult educators. Adult education is defined as the acquiring by adults of competence in the minimal skills of reading, writing, and computation; extension of these same skills for successful completion of the G.E.D. test or high school diploma; and/or participation in organized classes for acquisition of leisure time activities.

Seven courses are proposed. They are Administration of Adult Education, Education of the Disadvantaged Adult, Guidance in Adult Education, Methods and Materials in Adult Education, Practicum in Adult Education, Introduction to Adult Education, and Psychology of the Adult.

The methods, psychology, and introduction courses are recommended as essential for all teachers of adults. The introduction course would be most appropriately offered for graduate and undergraduate credit.

No available texts seemed appropriate for the administration and guidance courses. Those recommended for these two courses were suggested for use as points-of-departure only.

#### I. ADMINISTRATION OF ADULT EDUCATION

Purpose: A study of the general principles of organization and management of adult education programs with emphasis in program development, supervision, personnel selection, finance, community agencies, and evaluation.

#### Course Topics:

1. Policies, procedures and programs.
2. Assessment of community needs.
3. Organization of programs.
4. Personnel selection.
5. Finance.
6. Community agencies.
7. Curriculum.
8. Research and evaluation.

#### Recommended Texts:

Jensen, Gale, Liverright, A. A., and Hollenbeck, Wilbur. Adult Education: Outlines of an Emerging Field of University Study. Adult Education Association, 1964.

ITEM III (Cont.)

Bergevin, Paul. A Philosophy for Adult Education. Seabury Press, 1967.

II. EDUCATION OF THE DISADVANTAGED ADULT

Purpose: A study of the social, psychological, and economic problems of the disadvantaged with emphasis on analysis of learning difficulties and an investigation of approaches for teaching the adult basic education student.

Course Topics:

1. Survey of the social and economic characteristics of the disadvantaged.
2. Survey of the psychological characteristics of the disadvantaged.
3. Identification of special educational and vocational problems.
4. Educational methods and materials.
5. Guidance and counseling for drop-outs, recruitment, retention, and career development and testing.
6. Community programs.
7. Evaluation of educational programming of the disadvantaged.

Recommended Text:

Lanning, Frank W. and Wesley A. Many. Basic Education for the Disadvantaged Adult: Theory and Practice. Houghton-Mifflin, 1966.

III. GUIDANCE IN ADULT EDUCATION

Purpose: A study of the role of the guidance coordinator with emphasis on identification of student entry levels; recruitment; follow-up; and integration of guidance and curriculum programs.

Course Topics:

1. Assessment procedures for identification of entry levels.
2. Integration of counseling problems into the curricula.
3. Recruitment.
4. Orientation.
5. Counseling.
6. Vocational and educational information.
7. Community agencies and referral.
8. Small-group guidance.
9. Follow-up and evaluation.

Recommended Text:

Mitchell, Richard. "The ABE Counselor --- A New Guidance Role." Adult Leadership. (March, 1971), pp. 289-290.

ITEM III (Cont.)

IV. METHODS AND MATERIALS IN ADULT EDUCATION

Purpose: A study of the methods and materials unique to the adult learner with emphasis on classroom environment; teacher personality; and materials for the basic adult student.

Course Topics:

1. The adult learner.
2. Small group and individualized methods.
3. Diagnostic techniques.
4. Curriculum for ABE students.
5. Curriculum for high school diploma students.
6. Curriculum for special students.
7. Vocational development curriculum.
8. Evaluation of instruction.

Recommended Text:

Miller, Harry L. Teaching and Learning in Adult Education.  
The Macmillan Company, 1964.

V. PRACTICUM IN ADULT EDUCATION

Purpose: To provide field experience in the classroom and in the community with emphasis on individualization of goals and curriculum for the adult learner.

Course Topics:

1. Observation of adult teachers.
2. Orientation and observation to neighborhood and community recruitment processes.
3. Evaluation and placement of students.
4. Field experience in the classroom.
5. Development of curricula for individualized and group instruction.

VI. INTRODUCTION TO ADULT EDUCATION

Purpose: To provide the student with an orientation to the field of adult education with emphasis in the importance, historical development, organization, curriculum, and problems and trends.

Course Topics:

1. Objectives, nature, and scope.
2. Philosophy.
3. Historical background and development.
4. Organization and administration.

ITEM III (Cont.)

5. The adult learner.
6. The adult teacher.
7. Curriculum.
8. Problems, issues, and trends.
9. Evaluation.

Recommended Text:

Smith, Robert, Aker, George, and Kidd, J. R. (eds.). Handbook of Education. The Macmillan Co., 1970.

VII. PSYCHOLOGY OF THE ADULT

Purpose: A study of the learning ability and development of the adult with emphasis on the changes which occur in the adult life and how they affect the learning process.

Course Topics:

1. Readiness to learn.
2. Learning theories.
3. Achievement, aptitude, and interests.
4. Attitudes and emotions.
5. Motivation.
6. Physical and sensory capacity.
7. Significant others.
8. Behavior modification.

Recommended Texts:

Bischof, Ledford. Adult Psychology. Harper and Row, 1969.

Lorge, et. al. Psychology of Adults. Adult Education Assoc., 1963.

## SUMMARY REMARKS AND INTERPRETATION

Howard Y. McClusky

It is a privilege to share in this project again. I note that there are more state directors of adult education here this year than last year, which represents a deliberate effort to build them more solidly into the program. It is also gratifying to see so many younger practitioners present. In my judgment something has been started here that is unique in the institutionalization of continuing and adult education. And while it may not be everything that the staff and participants may have hoped for, this is the most systematic effort of its kind that I know of, with the possible exception of the program of the Southern Regional Education Board.

Where else would we have gone to set up a program of this scale? Not to the National University Extension Association (NUEA) nor to the National Association for the Continuing Education of Adults (NAPCAE) nor to the American Council on Education (ACE). Where else? The Commission of the Professors of Adult Education, a subsidiary of the Adult Education Association of the U.S.A., could have helped in the area of expertise but they would not have been equipped with either the staff or structure for such an ambitious undertaking. In brief, this is a unique enterprise which I predict will pay measurable dividends in professional and academic achievement within the foreseeable future. If I have any misgivings it is what will happen to the project after July 1, 1972.

The basic dilemma which this conference must somehow confront is created by the fact that in general higher education is currently on the defensive and is undergoing a process of severe retrenchment. Thus, we must deal with two contradictory trends: one which calls for curtailment and another which proposes growth and expansion. As Dr. Merigis from Eastern Illinois University asked, "How can I persuade my colleagues to re-order their priorities for the expansion of adult education?" That is the question I will try to deal with in my remarks.

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Howard Y. McClusky, Ph.D., University of Chicago, is a Professor Emeritus of Adult Education and Educational Psychology at the University of Michigan in Ann Arbor. This summer he will be a Visiting Professor of Adult Education at the University of Saskatchewan. He served as co-chairman of the Education Section of the 1971 White House Conference on Aging. He was also the charter president of the Adult Education Association and has recently published "The AEA/USA: Why and What it Must Be," in Adult Leadership, Oct. 1971. He has been a consultant to a number of Institute participants.

To proceed promptly with our task I would at the outset like to state that in my judgment the field of continuing and adult education is well on its way to acceptance as an area of both practice and academic inquiry, and that its development is now irreversible. In other words the time of adult education has arrived, and state Departments of Public Instruction and institutions of higher learning do not need to apologize for their commitment to its importance.

Let us look at some of the hard evidence in support of this point. As citizens in an industrial state, the people of Michigan have become very conscious of working hours. We are hearing more and more about the four day week based on ten working hours per day. What will the worker do with the other three days? As an aside, it is rumored that if you buy an automobile in Detroit, get one that was assembled on Tuesday, Wednesday or Thursday but not on Friday or Monday because absenteeism is much greater on the two days closest to the weekend. Consequently it is also rumored that the employers in the automobile industry are favoring the four day week in the hope that a liberal three day weekend will produce four days of good assembly.

Or consider the unresolved slogan of the last General Motors strike: THIRTY AND OUT. When translated, that slogan means that the workers want thirty years of employment and then want to retire with a generous pension. More specifically, if we start working at age twenty, presumably we will be through working at age fifty. What will we do after age fifty? Vegetate?

In brief, then, what are we going to do with the leisure implied if not envisaged by such trends as the drive for a four day week and a thirty year work span?

Or take the movement for career development which is rapidly becoming the major emphasis of the U. S. Office of Education. If we conceptualize a career as more than an occupation, as a style of life for which we must prepare and which we must be ready to change, we have opened the gate to and have thereby created the necessity for learning as a lifelong process. If the Office of Education is not playing games there can be no career development without adult education.

Next let us take a page from the White House Conference on Aging which completed its meetings in Washington, D. C. on December 2, 1971. I served as co-chairman of the Conference Section of Education. The year before I had prepared a paper organized around Basic Issues in the field, and this paper was discussed by hundreds of working groups throughout the U.S.A. in preparation for the Conference itself. We think that the discussion prior to and culminating in the Conference and the recommendations emerging therefrom have made history and will create a

new thrust not only for the education of Older Persons but also for the education of adults at younger ages as well. More specifically, pre- and post-retirement education could be as significant a development in adult education in the next decade as Adult Basic Education has been in the last decade. President Nixon proposed at the Conference on Aging and the Congress shortly thereafter authorized a five-fold increase in the budget of the Administration on Aging from 20 to 100 million dollars a year. There is a good chance that much of this increase will be devoted to the education of and about Older Persons, which at present is one of the most neglected but most promising opportunities in the entire domain of adult education.

Let us continue our case with a brief look at an entirely different category of evidence: "To him who hath shall be given." One of the revealing and most significant outcomes of research is the high correlation that exists between the amount of formal education one receives in childhood and youth on the one hand and participation in educational programs as an adult on the other. The results of the study entitled Volunteers for Learning conducted by Johnstone and Rivera for the National Opinion Research Center with a subsidy from the Carnegie Corporation is ample confirmation of this point. If then one is attempting to make a case for the future of adult education, he need only be reminded that the level of formal education for young people has been moving steadily upward over the years and with the increase in Community Colleges and other opportunities for higher education the trend will continue in the foreseeable future. In brief, we are currently engaged in a massive program of higher education for youth which will provide a growing market for their education as adults in the future.

In addition to what I have just said, there is another kind of development that promises to generate an expanding interest in the field. I refer to what might be called the development of instructional technology. This would include programmed learning, new kinds and uses of tests, tape recordings, pictures, television, radio, telephonic networks, and the like. Also included would be the more flexible approach to time patterns, settings and locations in which instruction may take place. All this is making it possible to think of education in more creative terms than we have done before. For example, note the increasing attention being given to the idea of the Free University and the University Without Walls. Note also the recent formation of the Commission on Nontraditional Education chaired by Dr. Samuel Gould. Or consider the Open School which the University of Wisconsin Extension Service has proposed for the state of Wisconsin. According to the Wisconsin proposal, the Open School is more than just an Open University. It is a program where anyone regardless of his or her educational level can cue in and gain access to instructional opportunities according to his special needs.

Still another and related straw in the wind is the growing opportunity inherent in the educational uses of television. Both the Adult Education Association at its annual meeting in Los Angeles (1971) and the White House Conference on Aging at its meeting in Washington D. C. (1971) devoted an entire session to cable television. It was predicted at both meetings that cable TV will bring about a revolution in broadcasting with an enormous potential for the development of adult education.

In this connection, if I may refer to my own experience, I recently accepted an appointment to the Advisory Council on Education of the Corporation for Public Broadcasting. The CPB as you know is an entity set up by the Congress to elevate the field of broadcasting and to do for broadcasting in this country what the Canadian Broadcasting Corporation is doing for Canada and the British Broadcasting Corporation is doing for Great Britain. As its first project the U. S. Corporation for Public Broadcasting is planning to do a Sesame Street type program for people who have dropped out of school from between the 8th and 12th grades. A Harris Poll, already contracted by the CPB indicates that although these people are already out of and beyond the years of traditional formal schooling, they very much want to have an education. The CPB is deliberately aiming at this post-eighth grade and pre-G.E.D. segment of the population as a target group because they believe that the response potential is greater here than it is for persons with a lower level of schooling.

Now let us shift our attention to the Universities. Those of you who are associated with universities that have strong professional schools know that the universities can no longer do a responsible job of professional education without undertaking an equally effective job of continuing professional education. If I may, I would like to illustrate this point by referring to our experience at the University of Michigan. We do not have to argue about the value of continuing education in our School of Education at Ann Arbor. Instead, we have a full-scale program and an entire building devoted to this task alone, including the latest equipment in audio-visual aids as well as a helicopter pad where a patient or physician may be launched or landed just outside the main entrance to the building. Across the Huron River on our North Campus the Chrysler Corporation has built a million dollar facility for continuing engineering education alone. We could use a separate building for the continuing education program of the School of Business Administration. Moreover we fill up most of the motels around Ann Arbor every time the Law School holds an Institute in Continuing Legal Education. I cite these examples to indicate that as far as the professional schools at the University of Michigan are concerned continuing education is no fantasy. In fact, it has become one of the most visible, if not influential features of the university's entire outreach to the state and the nation.

CORRECTION: Page 88, Paragraph 3, Line 8 should read "School of Medicine..." instead of "School of Education..."

It should now be appropriate to discuss the practice and development of adult education as a profession as additional evidence for the growing substance and promise of the field. The Adult Education Association of the U.S.A. has now been in existence for twenty years. At the risk again of being personal, as the first (charter) president of the Association and because I have been continuously related to the affairs of the Association throughout these twenty years, I believe I am in a position to defend the view that the AEA is now solidly established. Without any special foundation support it is now able to stand on its own feet and serve as the 'umbrella' organization for adult education as a movement. In addition, there has been a sizeable increase in the number of persons joining the Commission of Professors of Adult Education in the last four years. Its last meeting in Los Angeles was the best yet and is further evidence that the Commission is developing an authentic sense of professional identity.

At the Adult Education Conference in Los Angeles the Commission of Professors for the first time held a session devoted to persons teaching adult education in colleges and universities part-time. To our surprise about 75 persons attended, which convinces me that the Commission of Professors must now reconsider its admission policy in order to expand the ground rules and boundaries whereby those persons who are beginning to identify themselves more and more with the field can make their contribution to its growth as a viable academic discipline.

Regarding research in adult education, Alan Knox whom you heard Monday morning is probably as much responsible as any one in the country for setting up a research group in adult education about eight years ago. This initial effort has since led to the formation of a National Council on Research in Adult Education which now attracts from 200 to 300 professional workers to its annual conference.

Of course, the most basic force which has been responsible for putting adult education on the map is the fact of change. Our society is changing at a profound rate, and the only way in which we can master change is through an educational process. In fact I believe change is now so profound that the entire educational enterprise must be re-oriented in terms of lifelong education.

What I have been trying to say is that adult education is on its way and is rapidly becoming one of the most creative and promising aspects of the total educational enterprise. I know that often you may need to defend your role as adult educators in your state departments and universities, but just remember that powerful social forces are operating in your favor. And if you have some skeptical colleagues and administrators, what I have tried to give you here is ammunition to persuade them that this is a new day and they cannot think of adult

education in the image of even ten years ago. Things are moving so swiftly that the old images are simply no longer applicable.

Let us now turn to the specific task of this conference. I think that Dick Mitchell's formulation yesterday is both operational and relevant. Let us look first at his ideas on Adult Basic Education. I believe that a commitment to Adult Basic Education is sound for many reasons. Above all it attempts to equalize opportunity for a part of the population that has usually been by-passed by the formal K-12 program. As a matter of fact, if we are interested in the disadvantaged, I can not think of a more legitimate and acceptable gate to this group. This is one reason why I am in Keith Wilson's corner on Community Development. Typically Community Development, like most of our work, is middle class in its orientation and consequently has difficulty in getting across to the poor. And yet when we think of mobile Mini-Labs, Home Visitors, babysitters and other devices used by Adult Basic Education for outreach to people who have been neglected by the mainstream of society, what better entry to the realm of the disadvantaged do we have than that provided by ABE?

It is clear that society is now committed to Adult Basic Education. The average tax-paying adult can understand that every one should have an opportunity to learn to read, write and compute even though he is past the traditional ages of school attendance. Moreover, funding for Adult Basic Education by the Congress is solidly nonpartisan and is steadily improving.

I would like also to comment on the human relations and attitudinal aspects of reading skills to which Knox and Mitchell referred. A recent study conducted at Wayne State University has indicated clearly that while the successful completion of Adult Basic Education programs did not lead immediately to better employment, an outcome that could be reached later, it did lead to a substantial increase in participation in community activities. A large majority of those interviewed reported that they voted and had not done so before. Many also joined and took part in the programs of organizations for the first time. In brief, they convincingly increased the range of their social and civic living.

All we know about the self concept and its relation to learning points to the fact that if we can help people get a sense of confidence in their ability to deal with their environment, there will be a gratifying "spread effect" to the rest of their personality. Thus, if I were setting up a program of Adult Basic Education, I would not only rifle in on the development of the basic skills of computation, writing and reading, but I would also devise training in these skills as a means of achieving personality and community development. It is quite possible to view Adult Basic Education in such restricted terms that we could fail

to exploit the opportunity which ABE so richly provides for developing the broader social competence so important for effective behavior.

But even in its most comprehensive dimensions we should not allow ourselves to be concerned exclusively with ABE. We should start with and do an effective job here, but we should use ABE as a lever to attract wider institutional attention to the larger domain of adult education as a field of ~~practice~~ and inquiry.

I agree with Mitchell that there is much more happening on our campuses related to adult education than we realize. We may find help in Social Work, ~~Cooperative~~ Extension, the Health Department, the Behavioral Sciences or in the television studio. We should "case" the campus to discover our total institutional resources and in so doing not be deceived by labels. At the University of Michigan, for example, we find some of our best allies in Public Administration and in the program of Urban Planning.

Let me talk more specifically about the curriculum of the School of Education in our universities because I feel more at home in this domain. Some of you have asked, "Is there a subject matter field in adult education that we can defend with our colleagues?" I would say yes. I would not say that there is a mature and completed "discipline of adult education" yet, but there is a subject matter relevant to the field of adult education which can be brought together in a solid program to satisfy the academic requirements successively of the A.B., M.A., Ed.S. and Ph.D. degrees. In this connection I believe that Mitchell's point about working at the undergraduate level is timely. In my judgment we have now arrived at a point in the development of the field where we can offer courses in adult education as an option for the undergraduate in pre-service teacher education.

Turning now to the graduate level, you will recall that Mitchell proposed inaugurating a program with three courses: an Introductory course, a course in the Psychology of Adults, and a course in Methods and Materials. The Introductory course would open up the field with both a philosophical and historical approach. The Psychology of Adults could readily be a part of the developmental sequence in departments of either Psychology or Education Psychology, while the Methods and Materials course would include the burgeoning theory and technology now being generated by the growing interest in the teaching-learning process. These courses can now be justified as a part of the regular program in professional education, but would also constitute the major "core courses" in a degree program. Included in such a program would be offerings in collateral areas like program development, community education, community services in the community college and administration.

In the meantime, if we are to embrace the full implications of the field, we must become more and more aware of the adult dimension of the regular K-12 program. You have probably heard about the busing problem we are having in Pontiac, Michigan and about the repeated efforts to decentralize the school system in Detroit. We will not be able to bus school children effectively, nor will we be able to decentralize our schools in Detroit until we are able to mount some highly effective training programs for the adults whose cooperation at the local level is necessary for the achievement of these efforts. Moreover, research indicates that the Head Start program and many reading programs for little children do better when the parents, especially the mothers, can be persuaded to cooperate as an assistant or helping teacher. I would also argue that a person's employability as a K-12 teacher would be increased if (a) he or she had skill in working with parents, and (b) if he or she had competence in working with adult leaders in the neighborhood and community in which they worked and lived. In addition, if a teacher should enjoy teaching adults in the night school, the contacts he or she would make with the community through the night school classes could provide insights and material which could be fed back into the curriculum of the regular day school.

Let us not think of adult education, then, in terms exclusively of Adult Basic Education. The adult education component is much more comprehensive. For example, in professional education we cannot deal with comparative education without including adult education. We cannot discuss the history of education without talking about the history of the adult lyceum that helped establish the public schools. More specifically, the public school is to a large degree the product of adult education.

Or take teacher education. I recently made a brief survey of teacher education studies. I found very few categorizing their populations age-wise in such intervals as 20-35, 35-50 and 50-on. Can we for one moment believe that the problem of the teacher at 45 is the same as the problem of the teacher at 25? If so, we are full of purple moonshine. And yet we have designed our investigations and have set up our programs of both pre-service and in-service teacher education as if the maturity level of the teacher were an irrelevant factor in the teaching-learning process.

Or take curriculum theory. Sir Richard Livingstone, the great classics scholar and former provost of Oxford University in England argued about twenty years ago that there are some subjects in the curriculum which we cannot fully understand until we have had experience in coping with some of the critical problems encountered in adult life. Do we find any recognition of this idea in curriculum theory, with the possible exception of Havighurst's concept of Developmental Tasks?

One of the provocative things that happened to me at the White House Conference on Aging was a conversation with the director of the Retirees School of the New School for Social Research in New York City. It is composed of a group of retired professionals who literally teach themselves. The story of these persons 60-75 years and beyond reading history, philosophy and great literature and sharing their insights with one another was fascinating. Our director friend reports that these people get "turned on." And repeatedly they say, "I read that book when I was in school. I didn't understand it then. Because of what I have been through since I left school, I understand it now."

Now the understanding of mathematics is probably unrelated to the number of years a person has lived, but the understanding of philosophy, political science, economics, history and literature is vastly enriched by the time perspective and reflection on the realities made possible by the years of adult experience.

What I have been trying to make a case for is the fact that adult education should not be thought of as being confined solely to ABE. It may be a point of entry and if we have limited resources, ABE is what we should do first. But a program of adult education should be much more. In a more ultimate sense, much of the curriculum must be redrafted in the light of the dramatic changes now occurring that are compelling education to become a continuous enterprise, lifelong in character. From now on, whatever we teach at any stage is preparatory for learning something new at a later stage. We must then reconceptualize and reoperationalize everything we are doing in the light of this new perspective: admissions, promotions, school marks, curricula, and so forth.

As one of the recent reports of the Carnegie Commission on Higher Education has proposed, we must think of dropping into, dropping out of and returning to education in alternating episodes and periods throughout life. More specifically, it is being proposed in some quarters that a grade of failure should never appear on a student's record, so that it will not be used as a barrier to his return and continuation in learning. Hence, we must rethink the entire process of education in terms of what it does to a person as a potential lifelong learner.

In summary, what have I tried to say? First, I have proposed that this Institute and the one held last year are two important steps in an ambitious and unique effort in the institutionalization of adult education. There will be ups and downs and some of you will be able to move faster than others largely because of local circumstances.

Second, we are not dealing here with a dying cause. On the contrary, continuing and adult education is rapidly becoming one of the

most formidable and promising dimensions of the educational scene.

Third, because of its great social and moral need Adult Basic Education is the place to begin. As a person who has been pretty well favored by our system and whose job is dependent on the taxes of the citizens of Michigan, I feel a sense of obligation to those who didn't "make it." I would feel very uncomfortable if I sat in Ann Arbor and tried to argue that we have no educational responsibility for the great number of people who dropped out of school before the twelfth grade. There is a moral obligation on the part of those who have achieved reasonably well in our middle class main stream culture to help open the gate to those who have achieved less well. I can think of no better gate opener than aggressive programs of Adult Basic Education.

Fourth, at the same time I have argued that Adult Basic Education is only the first step in what must ultimately become a much more comprehensive approach to the field.

Fifth and finally, I have suggested that the same forces that are generating so much emphasis in Adult Basic Education will in the final reckoning make their impact on the educational field as a whole.

In conclusion, I do not know how many souls we have saved today. I had planned to plant a few friends in the audience to cheer on signal, but if I had done so we might have started a riot. We have had our share of turbulence at Michigan and Wisconsin, so let us end in peace.

A P P E N D I X E S

W O R K S H O P      A G E N D A

Higher Education Institute for  
Teacher Preparation in Adult Education

M o n d a y - D e c e m b e r 1 3 , 1 9 7 1

8:00 A.M.      COFFEE AND ROLLS - PICK UP WORKSHOP FOLDERS - ALTA ROOM

9:00 A.M.      WELCOME

Alton P. Hadlock  
Project Director, Higher Education Institute  
Assistant Professor, Educational Administration  
University of Utah

Sterling M. McMurrin  
Dean, Graduate School  
University of Utah

Stephen P. Hencley  
Dean, Graduate School of Education  
University of Utah

9:30 A.M.      ORIENTATION . . . . . Fritz Caskey  
Associate Director  
Higher Education Institute

10:00 A.M.      GENERAL SESSION: "The Adult  
Education Classroom: Realities  
and Recommendations" . . . . . Alan B. Knox  
Professor of Education  
University of Illinois  
Urbana, Illinois

RESPONSE PANEL: Sue Harry - MODERATOR  
Professor of Education &  
Head of Secondary Education  
University of Utah

Bob Archuleta  
Coordinator, McKinley  
Manpower High School  
Salt Lake City, Utah

Brent Poulton, Director  
Adult Basic Education  
State Department of  
Public Instruction  
Helena, Montana

Monday (Cont.)

RESPONSE PANEL: (Cont.)

Earl Ringo  
Dean, College of Education  
Montana State University  
Bozeman, Montana

GROUP DISCUSSION

12:00 NOON LUNCHEON - Bonneville Room

1:30 P.M. GENERAL SESSION: "Organization  
and Financing of Teacher Preparation  
in Adult Education  
Programs" . . . . .

James A. Farmer  
Assistant Professor  
School of Education  
University of California  
Los Angeles, California

GENERAL SESSION: "Foundations  
as a Source of Funds" . . . . .

Ronald B. Szczykowski  
Visiting Professor  
Fordham University  
New York City, New York

RESPONSE PANEL:

Larry Walker - MODERATOR  
Dean, College of Education  
University of Wyoming  
Laramie, Wyoming

Joe Allen  
Director of Adult Education  
Granite School District  
Salt Lake City, Utah

Arvin Blome, Chairman  
Department of Education  
Colorado State University  
Fort Collins, Colorado

George Swift  
ABE Program Officer  
State Department of  
Education  
Juneau, Alaska

GROUP DISCUSSION

Monday (Cont.)

3:30 P.M.      SMALL GROUPS - Clarify issues raised by Knox and Farmer and relate to own back home situations.

Begin planning organization and finance aspects of own new or expanded Back Home Program. Formulate rough draft of Back Home Plan to be dittoed and distributed at evening session. Have rough draft to secretary by 5:00 P.M.

5:00 P.M.      FREE TIME

7:30 P.M.      GENERAL SESSION: "Response to Back Home Organization and Financial Plans" . . . . . James A. Farmer  
Ron B. Szczykowski

GROUP DISCUSSION

T u e s d a y - D e c e m b e r 1 4 , 1 9 7 1

8:00 A.M.      COFFEE AND ROLLS - ALTA ROOM

9:00 A.M.      GENERAL SESSION: "Basic Principles of Curriculum Building" . . . . . Earl W. Harmer  
Chairman, Department of Education  
University of Utah

GENERAL SESSION: "Curriculum Building for Adult Teacher Education" . . . . . Richard J. Mitchell  
Coordinator, Continuing and Adult Education  
Central State University  
Edmond, Oklahoma

RESPONSE PANEL:      Chuck Johnston - MODERATOR  
Chief, Adult Education  
State Department of Public Instruction  
Des Moines, Iowa

Tuesday (Cont.)

RESPONSE PANEL: (Cont.)

Bob Archuleta, Coordinator  
McKinley Manpower High  
School  
Salt Lake City, Utah

Elmer Clausen  
Director of Adult Education  
State Department of  
Public Instruction  
Olympia, Washington

Crawford Mims  
Vice President  
Philander Smith College  
Little Rock, Arkansas

Suzanne Weiss  
Coordinator  
Adult Education Programs  
Guadalupe Center  
Salt Lake City, Utah

GROUP DISCUSSION

10:30 A.M.

SMALL GROUPS - Clarify issues raised by Harmer and Mitchell and relate to own back home situations.

Begin planning curriculum aspects of new or expanded Back Home Program. Formulate rough draft of Back Home Plan to be dittoed and distributed at afternoon session. Have rough draft to secretary by 12:30 p.m.

12:30 NOON

LUNCHEON - Bonneville Room

3:00 P.M.

GENERAL SESSION: "Responses to Back Home Curriculum Plans" . .

Alton P. Hadlock  
Richard J. Mitchell

GROUP DISCUSSION

5:00 P.M.

FREE TIME

7:30 P.M.

GENERAL SESSION: "Human Relations Development and Adult Teacher Education" . . . . .

Alton P. Hadlock  
Sue N. Harry

Wednesday - December 15, 1971

8:00 A.M. COFFEE AND ROLLS - ALTA ROOM

9:00 A.M. SMALL GROUPS - FINALIZE BACK HOME PLANS: Use resource people, other Workshop participants, any exhibit materials available --- whatever might be of help. Organize Special Interest Groups if you wish.

THE GOAL IS: To prepare a final draft of your Back Home Plan for publication and inclusion in the Workshop Report. Hopefully, the plan will have helped you to clarify your thinking, will guide your back home activities, and will give the Institute staff a base point from which to chart the year's progress.

12:00 NOON LUNCHEON - Bonneville Room

SUMMARY REMARKS: . . . . . Howard Y. McClusky  
Professor of Adult Education  
University of Michigan  
Ann Arbor, Michigan

AFTERNOON LOOSE ENDS: Informal Discussions  
Special Interest Groups  
Consultations

FAREWELL

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| William S. Griffith | Commission of Professors of Adult Education                |
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