AN EXPLORATORY STUDY OF STRATEGIES AND TACTICS USED TO INTRODUCE PLANNED INNOVATIONS IN SELECTED COMMUNITY SERVICES PROGRAMS

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ABSTRACT

AN EXPLORATORY STUDY OF STRATEGIES AND TACTICS USED TO INTRODUCE PLANNED INNOVATIONS IN SELECTED COMMUNITY SERVICES PROGRAMS

By

Robert Eden Balster

This exploratory study emerges from the confluence of two major streams of interest in contemporary higher education. One is the expanding community services function of community colleges which is often based on a concern for better meeting the needs of the poor, the unemployed, or the racial minority in the urban community. The second is the interest in the application of change and innovation theory to the operation of colleges to make these institutions more responsive to human needs.

The purpose of this study is fourfold: (1) to compile strategies and tactics used by community college community services practitioners in selected social action programs; (2) to develop a classification system for these strategies and tactics; (3) to make a comparative analysis of field-generated and literature-generated strategies and tactics; and (4) to make suggestions for graduate school course work for practitioners.

Criteria for successful community services social action programs were developed and eight programs meeting the criteria were studied. A purposive selection was based on a list of nominations made by Dr. J. Kenneth Cummiskey, Director, Community Services Project, American Association of Junior Colleges, and the identification of programs in Michigan meeting the criteria. Colleges studied included four in Michigan, two in California, and one each in Ohio and Massachusetts. An interview schedule was developed. Practitioners responsible for the programs were interviewed and a tape recording made. A total of 140 strategies and tactics were induced from a content analysis of the interview recordings. These strategies and tactics were then classified. A comparative analysis of field-generated and literature-generated strategies and tactics was made and implications for graduate training of community services practitioners were presented.

Conclusions of the study are limited to the eight programs studied and include:

1. Strategies and tactics used by community service practitioners can be identified through a content analysis of tape recorded interviews made with the practitioners when the interviews are conducted about a specific set of experiences related to a program and are recalled in chronological order.

2. Community service practitioners, in conducting successful social action programs, do not progress through clearly defined stages in an order common to all. Rather, they move to complete areas of developmental conditions. Each moves in a highly individual and unique pattern in response to local conditions.

3. Community service practitioners utilize a wide range of strategies and tactics in administering a social action program. Identified strategies are fewer in number than identified tactics. Specific strategies are sometimes employed by a number of practitioners. Tactics are more unique to a specific program or practitioner.

4. The strategic orientation of practitioners does not coincide with any of the four strategic orientations identified in the literature by Havelock but is instead an eclectic combination of elements of each of the four orientations.

5. Community service practitioners administering social action programs are not generally familiar with change and innovation theory, or strategies and tactics identified in the literature. They do not regard their programs as "planned innovations" and they do not use strategies and tactics in a planned, systematic sequence.

6. A classification of strategies and tactics induced from a content analysis of recorded interviews with community services practitioners conducting social

action programs can be constructed using areas of developmental conditions as the structuring device. Such a classification is useful in compiling and codifying strategies and tactics and in relating them to primary and secondary clients of the practitioner.

7. The concept of areas of developmental conditions is more appropriate to an explanation of the process of introducing an innovation than are the concepts of stages, phases, or steps.

8. The community services practitioner administering a social action program deals with a multi-level category of clients which includes a primary client system and a number of secondary client systems.

Ten suggestions were made for further research.

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Robert Eden Balster

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CHAPTER I

THE PROBLEM

Introduction

This study emerges from the confluence of two major streams of interest in contemporary higher education. One is the expanding community services function of community colleges which is often based on a concern for better meeting the needs of the poor, the unemployed, or the racial minority in the urban community. The second is the interest in the application of change and innovation theory to the operation of colleges and universities to make these institutions more responsive to human needs.

The community services function, according to Harlacher, is responsible for acting "as a catalyst in community development and self-improvement and acting as a locus for the cultural, intellectual, and social development of the district community" (36:14). Community services is regarded in the literature as one of the major functional areas of the community college in addition to the transfer, vocational, general education and counseling function. Various authors have described the major sub-systems of the community college and all have included the community services function as a major sub-system. These authors are

Blocker, et al., (13:201-267), Bogue (14:45-76), Gleazer (31:43-99), and Thornton (94:58-70).

The social problems of the urban areas relating to racial conflict, poverty, and unemployment which drew national attention in the 1960's created a broader concept of the mission of the community college relative to the local community than had existed before. One community services practitioner described this shift of attention in this way:

> A combination of pressures upon the college--including student activists, faculty wanting to relate to here-and-now social issues, Title I of the Higher Education Act, and the insistent voices of community residents--force it to reexamine its function vis-a-vis the community (92:30).

As a result, community service practitioners today are searching for ways to inaugurate and expand social action programs. A community services spokesman has said:

> "Community service" and "community development" are becoming academically legitimatized tasks to be undertaken by universities and colleges in general and by community colleges in particular (69:4).

Interest in the application of change and innovation theory to higher education stems in part from the observation that "A central challenge of the new decade is to discover (and rediscover) methods for humanizing our institutions and our communities" (78:41). These same authors say:

> The singular theme undergirding current social revolution is summarized in the phrase "institutions were created to serve man, man was not created to serve institutions." Whether it be a church, a governmental agency, a corporation, a college, or a university--failure to respond to basic human needs in a direct and humane manner is the central focus of the attack (78:41).

One educator has said:

> There is a growing concern about change everywhere. Changing, the change process, implementation of research findings, dissemination of information, the diffusion and adoption of innovations--however one wished to term this interest, it is present and ever increasing. . . . Moreover, the school has long been considered the one agency in our society charged with the responsibility of effecting change for the good of citizens and government alike (66:1-2).

Another has said, "Educational innovation is currently riding a wave of concern unequaled in the history of American education" (63:81). Another tells us:

> Change--inevitable and universal--is an element in every human situation, and social scientists and educators are today showing an increasing amount of interest in theories of change and the use of these theories to influence society (53:v).

Through the community services function the community college is able to move towards a deeper response to the needs of its community. Through the application of change and innovation theory, the community services function may be able to become more efficient in its response.

Need for the Study

Community services practitioners are undertaking planned innovations in their communities and their colleges when they introduce social action programs. A review of the literature reveals that little is known about the techniques which are used to introduce and establish these innovations. Havelock states:

> There is a need for educators to spell out in detail their "innovative" plans and activities in terms of overall strategies and in terms of the explicit sequences of action steps (tactics) that make up these strategies (41:1).

The need to which this study is a response is the need to identify and clarify the nature of potentially helpful strategies and tactics used in the establishment of successful community services social action programs.

The Purpose

A review of the literature reveals that little or no research has been conducted to determine what strategies and tactics are used by community college community services practitioners or other social action workers to bring about planned innovations. Havelock states:

> Thousands of innovative efforts are made by change agents across the country each week, yet virtually none are documented and reported to others. Millions of man years experience in change process go down the drain each year because these strategies are not articulated, compared, and shared (41:22).

The purpose of this study is fourfold:

1. to compile strategies* and tactics* used by community college community services practitioners in selected social action programs;
2. to develop a classification system for these strategies and tactics;
3. to make a comparative analysis of field-generated and literature-generated strategies and tactics; and
4. to make suggestions for graduate school course work for practitioners.

Limitations of the Study

This study is based on recall of events and actions by practitioners. It was conducted on a post-hoc basis and no attempt was made to verify or document what was recalled by the practitioners.

Further, it is not the purpose of this study to either provide a complete description of the social action programs examined or to evaluate the programs in any way since the focus of interest of the study is not on what was done but on how it was done.

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*These terms are defined on pages 6 and 7.

A more serious limitation is that criteria have not yet been developed by which a given strategy and the related tactics can be evaluated as to their ultimate contribution to a successful program.

Definition of Terms

The terms "change," "innovation," and "planned innovation" have somewhat different meanings for different authors. Miles states:

> Change is very nearly an undefined, primitive term. It generally implies that between time 1 and time 2 some noticeable alteration has taken place (64:13).

Richardson states:

> Change is something that occurs naturally as a result of changing conditions and the improved ability of the institution to relate to these conditions (83:23).

Change

> For the purposes of this study, change will mean those noticeable alterations which have occurred naturally in a system over time as a result of chainging conditions.

'The term "innovation" is variously defined. Miles states:

> Innovation is a species of the genus change. Generally speaking, it seems useful to define an innovation as a deliberate, novel specific change, which is thought to be more efficacious in accomplishing the goals of a system. . . . It seems useful to consider innovations as being willed and planned for, rather than occurring haphazardly (64:14).

Richardson states:

> Innovation, on the other hand, frequently implies a change that is new and which may be a result, not of a change in environment, but of someone's idea as to how a certain response ought to be implemented, as opposed to the way in which it is being implemented (83:23).

Rogers states:

> An innovation is an idea perceived as new by the individual (88:18).

The "planned innovation" is defined by Havelock as:

> An innovation based on realistic diagnosis of educational needs and systematic planning, development, and evaluation (41:1).

Lippitt, et al., define "planned change" as:

> Change which derives from a purposeful decision to effect improvements in a personality system or social system and which is achieved with the help of professional guidance (53:v).

Innovation and Planned Innovation

For the purposes of this study these terms will be used interchangeably and will mean those noticeable alterations which are new to the system, which are introduced in a purposive way based on a diagnosis of the needs of the system, systematic planning, development, and evaluation, and which are introduced to the system with the motivation of helping the system better achieve its goals.

"Strategies" and "tactics" have been defined as follows. "Strategy" is defined by Miles as:

> Essentially that of a general set of policies underlying specific action steps (tactics) expected to be useful in achieving the durable installation of a particular innovation (64:648).

Havelock states:

> Strategies are used to predispose their receivers to accept the innovations being presented (40:5-19).

In speaking of planned innovation, Havelock says:

> "Strategy" is a key aspect of this new concept of innovation because it is now becoming recognized that change will only lead to real progress if it is brought about in an orderly sequence of goal-setting, planning, and systematic execution (41:1).

Strategy

For the purposes of this study strategy will mean a general set of policies arrived at through an orderly sequence of goal-setting, planning, and systematic execution which guide the use of action steps (tactics) in achieving the installation of an innovation.

Tactic

For the purpose of this study tactic will mean a specific action step or procedure to carry out a strategy.

Strategic Orientation

For the purpose of this study strategic orientation will mean a set of inter-related assumptions about the nature of the process of change, usually based on research, and from which strategies are derived and with which tactics are associated.

Technique

For the purposes of this study technique will be defined to include a strategy, a tactic, a helping action, or a means to install an innovation in a system.

Change Agent

a change agent is a professional person who attempts to influence adoption decisions in a direction that he feels is desireable (88:254).

Client

Client for the purposes of this study will mean the persons or group whose needs will be met or partially met by the installation of the innovation.

Client System

Client system is equivalent to client but indicates the fact that the client is usually a group of people who are interrelated and at least partly interdependent (39:3).

It is important to note that in the area covered by this study, social action programs undertaken by community services divisions of community colleges, it is possible to fill the needs of more than one group through the introduction of a single innovation. In such cases, there will be a primary client and secondary clients.

Social Action Program

Social action program for the purpose of this study is defined as:

1. A program involving primarily Black people or other minority people, or the poor, or the unemployed, or underemployed;
2. A planned innovation, not a change that occurred naturally;
3. A program with goals which included producing observable behavioral changes in skills or attitudes or values;
4. A program having impact on the community, involving at least 100 persons or more on a voluntary basis in the community college district during a period of one year;
5. A program in operation at least one year and having taken place within the past five years;
6. A program judged successful by the practitioner.

Organization of the Study

Chapter II is devoted to a review of the applicable literature and theory on change and innovation and the community services division of the community college.

Chapter III is devoted to an account of how the data were collected and analyzed.

Chapter IV is a presentation of the data: a classification of strategies and tactics associated with community services social action programs; a comparative analysis of field-generated and literature-generated strategies and tactics; and suggestions for graduate school training of community services practitioners.

Chapter V contains a summary, conclusions drawn from the interpretation of the data, recommendations, and suggestions for further research.

CHAPTER II

REVIEW OF THEORY AND RELATED LITERATURE

Introduction

The purpose of this chapter is to review the theory and related literature of two areas: (1) the community services function of the two-year, public, community college, and (2) change and innovation. Strategies and tactics identified as useful in educational institutions are also set forth.

The Community College and Community Services

An underlying premise of this study is that the contemporary community college, as compared to the traditional two-year junior college or the four-year college or university, has a specific and unique purpose, that is, to be "community centered" and "community serving" as specified by the 1947 President's Commission on Higher Education (31:28). At this point the implications of this premise will be examined as they exist in the literature of the community college movement.

Bogue comments on the Commission's intended meanings:

> What, then, is a community college and what did the President's Commission on Higher Education have in mind when the term was used? The first qualification is service primarily to the people of the community. The community institution goes to the people who live and work where it is located, makes a careful study of the needs of these people for education not being offered by any other institution of learning, analyzes these needs, and builds its educational program in response to the analysis (14:21).

Gleazer provides an ideal concept of the community college:

> A good community college will be honestly, gladly, and clearly a community institution. It is in and of the community. The community is used as an extension of classroom and laboratory. Drawing upon the history, traditions, personnel, problems, assets and liabilities of the community, it declares its role and finds this accepted and understood by faculty, administration, students and the citizenry (29:1).

Blocker, et al., say it more directly:

> The community college is a functioning segment of the community, and its mission centers around the education of the young, the continuing education of older citizens, and general improvement of the community through beneficial and appropriate educational and cultural services (13:34).

Harlacher provides a somewhat different emphasis:

> The program of the community college may be thought of as twofold: formal education and informal education. Through its formal dimension, sometimes characterized as schooling, the community college provides transfer, occupational, general education, and guidance and counseling programs for youth and adults enrolled in regularly scheduled day and evening classes on the campus. But it is through its informal, community dimension that the junior college truly becomes a community college. . . .

> Since the community college aims at the whole person in a whole community, it sees no one as being unworthy because of his present level of development, his ideas, or his current status within the culture (37:3-4).

How are these general statements made operational by specific community colleges? The general philosophical positions and specific goals and objectives of a representative, comprehensive community college is provided in Appendix A. This is Lake Michigan College, Benton Harbor, Michigan.

The specific goals and/or objectives of Lake Michigan include mention of five sub-systems within the college through which the general objectives are reached. These five areas are:

1. Transfer or pre-professional education which parallels the freshman and sophomore years at a four-year institution; awarding of the Associate of Arts degree;
2. Technical or vocational training program which offers terminal certification; retraining and upgrading programs;
3. General education courses for all citizens on a credit and non-credit basis during regular class hours and at special times;
4. Guidance services to students to assist them in choosing appropriate courses of study in which they can attain their maximum potential;

5. Community services designed to meet the educational, cultural and recreational needs of the community college district.

Various authors have described the functions performed by each of these operational divisions or subsystems of the comprehensive community college. These authors are Thornton (94:58-70), Blocker, et al. (13:201-267), Gleazer (31:43-99), Myran (72:1-2), and Bogue (14:45-76). It is not necessary to discuss each functional area in detail: the point is that the community services function is generally accepted as an area of importance equal to the transfer, technical-vocational, general education, and guidance areas.

Community services is historically the last of the functional areas of the community college to take shape. The exact structure of this division varies from college to college and reflects the needs of the community which the college serves. Several years ago Harlacher noted that the community college has two primary responsibilities to the community:

> 1. As a catalyst in community development and self-improvement (providing) leadership, coordination, and cooperation to stimulate action programs.
>
> 2. As a locus for the cultural, intellectual, and social development of its district community (36:15).

Myran notes that there is no general agreement among practitioners as to the exact programs, courses and activities which fall within the community services concept but he does offer a general description and emphasizes the community-centered orientation of this division:

> Those efforts of the community college, often undertaken in cooperation with other community groups or agencies, which are directed toward serving personal and community educational needs not met by formal collegiate degree or certificate programs (70:12).

In determining whether or not a program, course, or activity will be considered a community service, the orientation of the offering is most important: that is, the degree to which it is viewed as bieng community-centered.

In tracing the origins of community service, Myran notes that service to the community beyond degree and certificate programs has long been a major objective of the community college. Called variously adult education, continuing education, public service, community education or community service, the thrust has been to provide a wide range of educational activities and services directed to specific personal or community needs. He states that "it is in the decade of the 1960's that community services has emerged as an identifiable component of the community college" (70:10).

Raines has prepared a taxonomy of community services functions which describes the scope of community services. It provides a more detailed definition of community services and one which is adaptable to changing concepts of community service through the addition, deletion or change of taxons. The taxonomy is divided into three categories, the functions of individual-development, community-development, and program development (77:4, 6, 8).

1. Individual-development functions:

   Personal counseling
   Educational extension
   Educational expansion
   Social outreach
   Cultural development
   Leisure-time activity

2. Community-development functions:

   Community analysis
   Interagency cooperation
   Advisory liaison
   Public forum
   Civic action
   Staff consultation

3. Program development functions:

   Public information
   Professional development
   Program management
   Conference planning
   Facility utilization
   Program evaluation.

A complete taxonomy with full descriptions of functions is provided in Appendix B.

One important point in the relationship between the college and the community remains to be covered: this is the concept of linkage. Linkage is defined as: "The process by which various parts of a social system such as a community college, learn to act as a single unit in order to achieve specific purposes" (70:40). Various authors have noted that the community college has a special obligation to respond to the educational needs of its community. Since the college is part of the community, it operates in an interorganizational environment: it is one system in a system of systems with "the community" as the supersystem. Working relationships must be formed with other organizations so that the college can involve itself with them, identify with them, and serve them. These working relationships are linkages.

Kleis has developed a listing of 34 generic types of organizations which may be involved in continuing education in any community. Linkages between the community college and these types of organizations would be expected. This listing is included as Appendix C.

Social Action Programs

In his 1970 American Association of Junior Colleges national convention address, AAJC executive director Edmund J. Gleazer, Jr., said:

> I doubt that we will see physical growth as rapid in the next several years. And in winning the battle for public interest there are now other powerful social needs to be recognized--needs, incidentally, which can either be competitors or allies depending on how we move into what I believe is a new arena of action. Public interest

> in our institutions during this next decade will not be captured by dramatic growth but by ways in which our institutions relate to man's most compelling problems. . . . The mission before us now is . . . to discover how our resources can be utilized as the young people and adults in the areas we serve discover their own identities (28:3-5).

Gleazer's call for community colleges to "relate to man's most compelling problems," points to an area served more by word than by deed, as is born out by a review of the literature. Many authors have pointed to the potential for service in the social action area by community colleges. Raines and Myran state that "the community college, with its unique resources and its localized service area, can be a vital force for improving the quality of life in a community" (78:49).

Social action programs which involve Black people or other minority people, or the poor, or the unemployed or the underemployed, and which have as a goal the production of an observable behavioral change in skills, attitudes, or values, are only beginning to emerge in community service programs of some community colleges. Victor Lauter has described social action programs at New York City Community College but he has said:

> Progress has been slower than we would like. The needs of degree-seeking youth must, of necessity, be satisfied before turning to the waiting needs of large, ever-increasing segments of the population (50:35).

Richard Ricca has described the Inner City program of Peralta Junior College District in California (83:73) and George Traicoff, Jr., has described programs at Cleveland's Cuyahoga Community College (23:4-10). According to Dr. J. Kenneth Cummiskey, director of the AAJC's Community Services Project, social action programs involving any substantial number of persons (more than 100 in one year) exist in a relatively few number of community colleges.*

Authors who have written about these "cutting edge" social action programs have often noted the need for community colleges to be more adaptive and open to change. Lauter says "Rigidity is our greatest enemy . . . we must remain flexible--ever alert to new opportunities, new approaches, new techniques, new strengths, and new resources" (50:40). Gleazer tells us "radical change is required in many of our present concepts, definitions, structures" (28:5). Spiegel, in arguing for a "non-campus" community college in the urban ghetto says:

> Merely adding new "community-relevant" courses to the curriculum is not going to fundamentally alter existing relationships which appear to me as essentially paternalistic or at least superficial. The basic nature of the relationship must be changed (92:34).

Miller, in speaking of the need for a greater knowledge of the process of change in education says:

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*Dr. Cummiskey made this statement to the author in a telephone conversation on June 1, 1971.

> Many educators realize that adoption of desireable innovations has not and is not keeping pace with innovations, invention, or the acquisition of new knowledge. There is a great need to learn more about the change advocate, the change agent, and how he or it can be used effectively in helping to improve the quality of education (66:5).

The changes which are taking place in our society and the changes which probably will take place as major cosial problems are dealt with produce new and more complex community concerns to which the community college must respond if it is to remain true to its purpose. As has been pointed out, the community college above all must remain responsive to human concerns:

> The singular theme undergirding current social revolution is summarized in the phrase "institutions were created to serve man, man was not created to serve institutions." Whether it be a church, a governmental agency, a corporation, a college, or a university--failure to respond to basic human needs in a direct and humane manner is the central focus of the attack. There is little doubt that a central challenge of the new decade is to discover (and rediscover) methods for humanizing our institutions and our communities (78:41).

In its short tradition, the function of community services has taken form in a wide variety of ways. Although there is common agreement that "community services in the community college is legitimate only to the extent that it is an extension or expansion of educational resources," as noted by Myran (70:19), the interpretation of what falls within "educational" has been on the conservative side at many colleges. A college must engage in a process of examining its performance and evaluating this performance in the light of its stated goals; also, the community college, as an organization, must examine its goals in light of the needs which are evident in the community it serves.

Blocker, et al., ask this question about the two-year college:

> Can the two-year college continue its adaptation to changing societal conditions and needs, or will it become a traditional and static institution with fixed and limited educational objectives? The history of American higher education is replete with examples of colleges originally organized for specific purposes and later transformed into more traditional institutions conforming rigidly to the accepted patterns of the university. . . . The two-year college confronts the same issue: Will it continue as an experimental college or will it, like many of its predecessors, adopt a more traditional pattern? (13:15)

It is to this question that a concern for the application of theories of change and innovation is directed.

Theories of Change and Innovation

Havelock in Planning for Innovation, a major study on the dissemination and utilization of knowledge, offers a classification scheme for change theories. He divides them in three perspectives or schools: (1) the social-interaction perspective (SI), (2) the research, development and diffusion perspective (RD&D), and (3) the problem-solver perspective (PS) (40:10-29).

Social Interaction Perspective

The social interaction perspective includes studies in which an innovation in the form of knowledge of a product or practice is brought to the attention of a potential receiver population with the receiver as the unit of analysis. The focus is on the receiver's perception of and response to this knowledge coming from outside. The SI perspective is concerned with the stages through which the receiver passes in reaching a decision to adopt or reject. Also of concern is the related issue of the mechanisms by which the innovation diffuses through the adopting group. Studies in this area have shown that the most effective means of spreading information about an innovation is through personal contact. In the SI perspective, the key to adoption is social interaction.

Katz and Kahn comment on the influence of social interaction with emphasis on the peer group in producing individual change. They say:

1. The behavior of associates does exert tremendous power over the individual.

2. Changing several people at the same status level in the organization introduces the possibility of continuing reinforcement of the behavioral changes.

3. The possibility of discovering an acceptable solution calling for change is greater in groups not inhibited by authority figures (45:395).

The peer group is a useful vehicle for intragroup processes of influence because equal status and power encourage full discussion, free decision-making, and the internalization of the decisions which result. Katz and Kahn state:

> Research evidence clearly establishes the effectiveness of such group discussion and decision-making in changing behavior and attitudes where the individual is the target of the attempts to produce change (45:396).

It appears that the major factor in the success of group discussion and group decision in changing group norms and individual behavior is the significance of the decisions for the people involved. They work out problems of importance to themselves and make decisions about their own fate. Katz and Kahn note other factors which are of importance: "Discussion and decision about problems of importance invoke powerful individual forces of self-expression and self-determination" (45:401). Several other points are important:

> 1. Group interaction . . . makes salient the group norm or consensus. . . . After discussion has finally reached consensus the group norms are abundantly clear and psychologically real to the members.
>
> 2. Since the group has to come up with a decision, if it is to be successful, members have to reach a point of crystallization in their own thinking and hence self-commitment.
>
> 3. The self-commitment embodying the group decision is a public commitment. . . . This public visibility of their individual positions helps to freeze the outcome of the group process.

4. Group discussion and decision is more powerful when its decision outcome is clearly stated in terms of a course of action. The changed beliefs are removed from the area of good intentions to the realities of everyday behavior (45:402).

Kurt Lewin and his followers were the first to demonstrate the usefulness of the group method to modify individual behavior. Other research, and the conclusions offered by Katz and Kahn, are based on two assumptions by Lewin which must be kept in mind:

1. The peer group is made up of people who come together as equals with respect to formal authority and formal status.

2. People come into the group because of common interests of their own and not as formal representatives of other groups. They can disagree or even leave the group, without consequences (45:405).

Rogers is perhaps the best known theorist in the SI school. In his book, Diffusion of Innovations, he proposes a five-stage process model as follows:

> At the awareness stage the individual is exposed to the innovation but lacks complete information about it. He then becomes interested in it and seeks information in the interest stage. At the evaluation stage the individual mentally applies the innovation to his present and anticipated future situation, and then decides whether or not to try it. The individual uses the innovation on a small scale in order to determine its utility in his own situation at the trial stage. At the adoption stage the individual decides to continue full use of the innovation (88:119).

Rogers describes the initial stage of awareness as that at which:

> . . . the individual is exposed to the innovation but lacks complete information about it. The individual is aware of the innovation, but is not yet motivated to seek further information. The primary function of the awareness stage is to initiate the sequence of later stages that lead to eventual adoption or rejection of the innovation (88:81-82).

This stage is a relatively passive one on the part of the receiver, as described by Rogers; he feels that awareness of an innovation does not generally come about as a result of need, but instead, awareness of a new idea creates a need for that innovation.

At the second or interest stage, the individual is active in seeking information about the innovation. Rogers says:

> The individual favors the innovation in a general way, but he has not yet judged its utility in terms of his own situation. The function of the interest stage is mainly to increase the individual's information about the innovation (88:82).

Rogers tells us that it is at this stage that positive or negative attitudes toward an innovation begin.

Rogers describes the third stage, evaluation, as a period of "mental trial" which is a necessary step prior to the trial stage. He tells us that:

> At the evaluation stage the individual mentally applies the innovation to his present and anticipated future situation, and then decides whether or not to try it (88:83).

Rogers and others have noted that it is the evaluation stage which we know least about since it is the most difficult stage about which to obtain information. Rogers tells us:

> Different types of evaluation occur at each stage in the adoption process . . . but the decision to try the new idea occurs, by definition, only at the evaluation stage (88:83).

The individual is ready to enter the trial stage only if the results of the "mental trial" are favorable. Rogers describes this stage as follows:

> At the trial stage the individual uses the innovation on a small scale in order to determine its utility in his own situation. The main function of the trial stage is to demonstrate its usefulness for possible complete adoption (88:84).

The last stage postulated by Rogers is that of adoption. Here, the results of the trial are considered and based on this evaluation, the decision to adopt or reject the innovation is made. Rogers says "Adoption implies continued use of the innovation in the future" (88:86).

About the social interaction perspective, Havelock notes that the bulk of the research to support this perspective comes from rural sociology. He identifies five generalizations about the process of innovation diffusion as seen from this perspective. These are:

> (1) the individual user or adopter belongs to a network of social relationships which largely influences his adoption behavior; (2) that his place in the network (centrality, peripherality, isolation) is a good predictor of his rate of acceptance of new ideas; (3) that informal personal contact is a vital part of the influence

> and adoption process; (4) that group membership and reference group identifications are major predictors of individual adoption; (5) that the rate of diffusion through a social system follows a predictabls S-curve pattern (41:7).

Havelock notes that there is a remarkably wide range of situations in every field of knowledge in which these five generalizations have been demonstrated to be operative.

The SI perspective often views the innovation as something relatively fixed and concrete. Often the innovation studied is something such as a fertilizer, a new kind of seed, a new drug, or a new curriculum package which makes the observation of the diffusion of the innovation very susceptible to quantitative empirical analysis.

Havelock has developed four strategies and five tactics which derived from the social interaction perspective. He notes that:

> Because of the strong empiricists orientation of the SI approach, it has generated relatively few explicit strategies or action alternatives. SI theorists generally prefer to sit back and ponder the "natural" process without meddling in it (41:8).

The following four strategies are associated with the SI school by Havelock:

> Natural diffusion. "Diffusion," in the social context, refers to the spread of the adoption of an innovation; . . . after 10% to 20% have adopted, the vast majority of potential adopters will shortly follow . . . (39:Appendix A, 6).

Natural communication network utilization. Such a strategy would include identification of opinion leadership and circles of influence within the social system, and channeling of information to such key points (41:9).

Network building. A complex strategy which results from the use and enhancement of informal social relationships in a client system by a change agent. Through informal personal contact the support of opinion leaders in the system is enlisted in the first phase of network building. Demonstrations and other forms of group meetings are emphasized in the diffusion program . . . (39:Appendix A, 8).

Multiple media approaches. Effective innovation strategies, as well as effective advertising campaigns, employ a variety of media to reach potential users (e.g., newspapers, pamphlets, TV, radio, demonstrations, free samples, etc.). Researchers have verified that different kinds of media are optimally effective at different stages in the adoption process (i.e., awareness, interest, trial, evaluation, adoption). A successful strategy of media use would synchronize different media with the progressive stages of user involvement (39:Appendix A, 7).

The following five tactics are associated with the SI school by Havelock. Although tactics are normally held to be specific action steps associated with a specific strategy, and are employed to carry out the strategy, Havelock does not provide any suggested relationship between the five SI tactics and the four SI strategies. The tactics are as follows:

Mass media dissemination. The dissemination of new ideas through television, radio, and the popular press. It is usually most effective (a) for reaching opinion leaders who are media-oriented, (b) for creating awareness of new ideas, (c) for conveying simple ideas, and (d) for disseminating in crisis situations. Effective utilization usually requires that mass media be combined with other approaches (39:Appendix A, 7).

> <u>The "county agent."</u> Locally based full-time experts on innovation (for which the "county agent" of agricultural extension is a commonly cited model) are crucial adjuncts to the "natural diffusion process" because they serve as the feeding points and personal contacts for the earliest adopters and opinion leaders . . . (41:9-10).
>
> <u>The salesman.</u> The county agent typically does not have the time or resources to reach every member of the social system but the salesman can. Driven by profit motivation, both personal and corporate, the salesman utilizes personal and informal contact to the maximum. Moreover, he may be more effective than the "expert" county agent in reaching the less progressive and more isolated sectors of the community (41:10).
>
> <u>Prestige suggestion.</u> Identifying use of the innovation with leaders and other well-known personalities on the assumption that these individuals have true opinion leadership . . . (39:Appendix A, 8).
>
> <u>Opinion leadership utilization.</u> . . . if opinion leaders can be influenced, then the rest of the social system will follow . . . (39:Appendix A, 8).

Rogers presents five strategies which he says "should apply to a broad range of change agent-client relationships." These are:

1. A program of change should be tailored to fit cultural values and past experiences.

2. A change agent's clients must perceive a need for an innovation before it can be successfully introduced.

3. Change agents should be more concerned with improving their client's competence in evaluating new ideas and less with simply promoting innovations per se.

4. Change agents should concentrate their efforts upon opinion leaders in the early stages of the diffusion of an innovation.

5. The social consequences of innovations should be anticipated and prevented if undesirable (88:278-282).

<u>Research, Development, and Diffusion Perspective</u>

The <u>research, development and diffusion perspective</u> (RD&D) looks at the process of change from the point of view of the originator of an innovation and presumes a receiver need, which the SI perspective does not but both see the sender as the determiner of the receiver's state. RD&D models depict the process of change as an orderly sequence which begins with the identification of a problem, procedes through activities which result in finding a solution to the problem, and ends with diffusion of the solution to a target group.

The RD&D perspective is based on the concept that there is a rational sequence in the development and application of the innovation. This sequence includes research, development, and packaging and takes place before the innovation is disseminated. Planning is seen as taking place on a massive scale and usually over a period of time. A rational division of labor is seen as important to success. The innovation or product is seen as having had all of the "bugs" removed as a result of this rational approach. The receiver or consumer of the innovation is seen as passive but rational. He will accept and adopt the innovation if it is offered to him in the right form, at the right time, and in the right way. High developmental costs, incurred before dissemination, is acceptable in this perspective because of the anticipated long-run benefits and because the innovation usually has a broad, mass-audience application.

The RD&D school views the change process from an earlier point in time than does the SI school. As a result, it considers a wider range of roles and activities which are appropriate to different stages. In general, the RD&D concepts are more complex than either the SI or PS schools and there is a wide range of conceptualizations on the part of different authors to represent it. The SI theorists generally assume some sort of diffusion activity to be taking place but focus on the adoption activity. The RD&D theorists generally note all four of the stages of research, development, diffusion, and adoption, to some degree, but focus on that section or stage which is most directly related to their field of inquiry.

The major emphasis of RD&D theorists is on large scale planning of change and innovation. This involves detailed development of a program, based on scientific knowledge, and a rigorous testing and evaluation to produce an innovation "package" which is as complete and geared to fill the need as research can make it. Also involved are mechanisms for distributing the innovation and installing it in target systems. Havelock notes that to the RD&D change agent:

> The planning of change is conceptualized in terms of a theoretical framework which describes the change process as a continuum of activities from research to practice, and a rational division of labor is specified for carrying out these activities (40:10-53).

The RD&D school does not have a "generally accepted" model. For the purposes of this study Miles will be examined since his change strategy focuses on education. It is described in his book, <u>Innovation in Education</u>. Miles states that all comprehensive strategies for change include the chronological stages of design of innovation, local awareness and interest, local evaluation, and local trial. Miles states that the change process may be initiated either by the target system itself or by systems in the environment of the target system using either existing structures or new structures (64:631).

Miles and Lake suggest a model which employs an external change agent team whose purpose is to "formulate, apply, evaluate, and disseminate some variations of a basic strategy of planned change in collaboration with several school systems" (63:81). An important point involves the purpose of the team: it does not attempt to install specific innovations in the school but rather to assist the school to understand the change process and to become "self-renewing."

The strategic ten steps of the model are as follows:

1. Establish a temporary system or focal group of superintendent and his cabinet, the board and change agent(s). Clarify expectations of the parties involved. (Purposes, time schedule, cost, role relations, data collection methods and data dissemination plans.)

2. Collect information from system members. (Interviews and questionnaires.)

3. Formulate statements of how goals, attitudes, and beliefs in different groups in the system agree with or are discrepant from one another and what problems most urgently need solution.

4. Using the data from step three, examine current operations, work on problems shown in the data and improve problem-solving effectiveness of the focal group as a team. (Problem sensing or identification; diagnosis; setting change objectives or targets; locate or invent alternative solutions to focal group problems; weigh cost and gains of each solution to focal group problems; decide alternative to try for solving focal group problems; plan implementation of solution to focal group problems; and plan how to check diagnosis and change targets with other organizational levels both above and below focal group.)

5. Carry out plans from previous step with other relevant groups. Repeat steps one, two and three with other groups under guidance of focal group.

6. Set up structures and procedures to institutionalize and support continuing self-renewal process. (May include regular meetings of existing groups; creation of new roles, new procedures and/or new groups.)

7. Phase out active participation by external change agent staff.

8. Complete an assessment of the change program to date. (Has the school system become self-renewing, continuing to improve and develop under its own initiative?)

9. Feed the findings back into the school system.

10. Disseminate accounts of the methods and results of the change program (63:83-84).

The objective of this model is substantial. The authors say:

> We intend to help these school systems become <u>self-renewing</u>. A self-renewing school system would have the ability to continuously sense and adapt to its changing external and internal environment in such a manner as to strengthen itself and optimally fulfill its goal of providing quality education for children (63:82).

Miles and Lake note the following "climate" factors of importance to the success of the implementation of the model: (1) a self-study emphasis; (2) an increase in motivation for change; (3) a problem-solving focus; (4) increased collaboration; (5) a change-supportive climate; and (6) change supportive structures. They emphasize also that the kind of change sought through the model is growth in the capacity for adaption and change by the institution. Also, their focus is on the school as a total sociotechnical system (63:85-86).

Since Miles and Lake view the objective of any strategy as the adoption of an innovation by the target system, they focus on the activities of the receiver(s) during the final pahses rather than on the activities of the sender.

Havelock says that, in broad terms, "RD&D is itself a grand strategy for planned innovation." He suggests these strategies as being derived from the RD&D perspective:

> Development of high performance products. . . . In this process, most of the adaptation and translation problems of the user are anticipated and adjusted for. The final outcome is therefore "user-proof," guaranteed to work for the most fumbling and incompetent receiver . . . (41:11).
>
> Information system building. Sometimes the "product" of development will itself be a system for diffusion and innovation . . . (41:11).
>
> Engineered diffusion projects and programs. . . . (1) careful advance planning, (2) innovation packaging, (3) careful identification, selection, and preparation of the target audience, (4) multimedia presentation (written and oral material, group discussion, demonstration, etc.), (5) some sort of active user involvement, (6) systematic follow-up, and (7) experimental evaluation and documentation . . . (41:11-12).
>
> Experimental social innovation. . . . innovative social science projects can be designed as field experiments which include many of the features of laboratory experimentation so as to insure valid and readily interpretable results . . . (41:12).

> _Administered and legislated change_. A change strategy which assumes that an innovation can be effectively diffused through legislative or administrative fiat; . . . (39:Appendix A, 7).
>
> _Fait accompli_. This strategy of change consists of installing an innovation _without_ consulting users or without informing them in advance (39:Appendix A, 6).
>
> _Systems analysis_. . . . a systematic strategy of innovation which begins with the careful construction of an optimum but detailed ideal model of the problem area. Comparison of this ideal model with current operational reality highlights various shortcomings and focal points for change effort . . . (39:Appendix A, 10).

In addition to the seven strategies noted above and derived from the RD&D perspective by Havelock, six tactics have been identified. As Havelock notes, RD&D tactics are essentially the tactics of research itself, that is, hypothesis building and operationalizing, design, sampling, instrumentation, measurement, statistical analysis and inference, and derivation of implications. The tactics provided by Havelock are related to development and diffusion as follows:

> _Experimental demonstration_. In the hands of a skilled demonstrator, and under ideal circumstances, a demonstration of an innovation can be quite powerful for adoption. . . . To be effective a demonstration must look convincing. First it must show clearly and dramatically that the innovation makes a difference, that it changes things for the better. Second, it must look natural, something that the client can really use in his own setting with his resources (39:Appendix A, 6).

<u>Research evaluation</u>. In lieu of using an "experimental demonstration" with its potential bias one may perform a careful documentation and evaluation over time to measure the success or failure of the innovation . . . (Appendix A, 9).

<u>User need surveys</u>. Systematic collection of information on the needs of the client system on the assumption that such "diagnostic" data will be used in problem solving or in the design and development of useful innovations (39: Appendix A, 10).

<u>Successive approximation</u>. Through a series of evaluations and contingent redesigns an innovation can gradually be shaped into a more useable product (39:Appendix A, 10).

<u>Translation</u>. In order that potential users understand fully the innovation and its theoretical basis, the change agent may often be required to translate such information into language familiar to his client (39:Appendix A, 10).

<u>Packaging for diffusion</u>. Clear, attractive and effective labelling, printing and formating of the innovation can add a richness and a potential power for furute adoption (39:Appendix A, 8).

<u>The Problem-Solver Perspective</u>

In the problem-solver perspective (PS) the receiver, which is seen as an individual or a group, initiates the process by identifying an area of concern or by sensing a need for change. Once the problem area is identified, the receiver participates fully in the whole process to bring change about. This may be through his or their group effort or it may involve outside assistance. This outside assistance generally takes the form of a change agent. Whereas the receiver in the SI and RD&D models is passive, the receiver in this model is actively involved in finding an innovation to solve locally identified problems. The change process may be initiated either by the receiver or by the change agent. The relationship between sender and receiver is one of collaboration but generally the receiver determines what the new input will be. The receiver in the PS school is known as the "client system" whereas in the SI and RD&D approaches the receiver is the "target system."

The PS perspective is strongly oriented to the user or receiver of the innovation, as noted above. There is a sequence of activities which is initiated with the <u>sensing</u> and <u>articulation</u> of a <u>need</u> by the user. The user need is the primary consideration and the only acceptable "value-stance" for the change agent. The need is <u>translated</u> into a <u>problem statement</u> and <u>diagnosis</u> follows as an integral part of the total process. The user, assisted by a nondirective change agent, conducts a <u>search</u> and <u>retrieval</u> of <u>possible solutions</u> from various forms of <u>resources</u>. The solution or <u>innovation</u> is user-selected and user-applied. The user concerns himself with <u>adapting</u> the innovation to his situation, with trying out and <u>evaluating</u> the effectiveness of the innovation in meeting his need. If the innovation appears to meet the user need, the user must develop an internal capacity to <u>maintain</u> the innovation. The role of the outside helper, the change agent is consultative and collaborative during the whole process, but at this stage of the sequence, even this help is withdrawn and those within the user system who have worked with the change agent now take on the role of internal change agent so that a self-renewal capacity begins to grow.

There are two PS orientation change models which will be reviewed because of their application to this study. The first is that of Lippitt, Watson, and Westley and the second is that of Watson. Basic to these and other PS models is Lewin's concept of the phases of change which are made up of "unfreezing," "moving," and "freezing" (51:472). Lewin saw broad social change as a series of action steps followed by reconnaisance of results and decisions which lead to the next action step series. This iterative, or repeated recycling procedure is basic to a concept of self-renewal for the organization which is of interest to theorists in the PS school.

First we will look at the model of Lippitt, *et al.*, as set forth in *The Dynamics of Planned Change* which is typical of the PS perspective:

1. Development of a need for change ("unfreezing").
2. Establishment of a change relationship.
3. Working toward change ("moving").
    a. Diagnosis of client problems.
    b. Examination of alternative routes and goals and establishment of goals and intentions of action.
    c. Transformation of intentions into change efforts.
4. Generalization and stabilization of change ("freezing").
5. Achieving a terminal relationship (53:130, 136).

This model is oriented to the introduction of a change agent which, in terms of the general description of the problem-solving school, is an optional course and is determined by the system desiring change.

In discussing the "unfreezing" as it applies to an organization, Lippitt, et al., note that "problem awareness" is necessary. It is usual that "the total system lacks concerted sensitivity to the problems" (53:131). In addition to "problem awareness" in the entire system, it is important to have a desire for change or at least "some confidence in the possibility of a more desirable state of affairs" (53:131). Also, the system, or some influential subpart, must believe that external help is relevant and available. The authors note that resistance to help from the outside is often based on a disinclination to expose problems in the belief that this will be interpreted by some as an admission of failure to manage effectively.

Lippitt, et al., note that the change process "is likely to raise important organizational or procedural questions within the client system" (53:135). The authors focus this concern primarily on the client system relationship with the change agent. It is also important to note that various sub-systems of an organization may be less ready for change than others, and may attempt to engage the sympathy of other subparts in resisting change whether or not an outside change agent is involved.

In discussing the "moving" phase, the authors note several areas of possible problems:

1. Information about the system is needed. How shall it be obtained? The obtaining of information can create a serious work load in the client system.

2. The problem may broaden and become more complex as information is gathered and analyzed. At this point vested interests become aware of threats posed by change and defensive reactions surface.

3. Cognitive and motivational problems arise in considering alternatives for action. The cause of the problem may be isolated but remedial steps may not follow either because they cannot be conceived of or the persons involved refuse to consider use of them.

4. The transformation of intentions into actual change is in the hands of the client. This is the keystone of the whole effort. The day-to-day implementation must usually be done without the presence of the change agent to guide it. Hostile sub-systems may thwart change. Ways to implement change may have to be created and this may take time.

5. Feedback on the consequences of the change effort may be difficult to obtain. Without feedback the system cannot evaluate the efforts and does not have guidance in whether to continue, modify or cease* (53:136-140).

The final two steps in the Lippitt, <u>et al</u>., model are part of the "freezing" concept of Lewin's. On this point Lewin said:

> A change toward a higher level of group performance is frequently short lived: after a 'shot in the arm,' group life soon returns to the previous level. This indicates that it does not suffice to define the objective of a planned

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*Paraphrased by the author.

> change in group performance as the reaching of a different level. Permanency of the new level, or permanency for a desired period, should be included in the objective (53:472-473).

Lippitt, *et al.*, state that the stabilization of a procedural change may come about because it is supported by a structural change. Also, a critical factor is the spread or non-spread of change to neighboring systems or to subparts of the system. They note that many systems possess an inherent momentum which tends to perpetuate a change once it has attained a certain state of equilibrium in the system's normal operations. It is probable that such a system's progressive element is a stronger force than any of its retrogressive elements.

The authors note that usually more direct kinds of positive evaluation and reward are felt to be necessary. They say, "Confirmation, in other words, must come in the form of objectively significant data" (53:141). However, if the nature of the change does not lead itself to objective evaluation, a useful change may be abandoned because of the belief that no evaluation means a poor evaluation.

For Lippitt, *et al.*, the final step is the withdrawal of the change agent from the dependency relationship with the client system. Since their model of change is heavily oriented to use of an external change agent, they note that "the relationship between the change agent and the client system . . . is the most important single aspect of the change process" (53:143). They also note:

> Our sequential order of phrases is too logical to represent the change process as it usually unfolds. In any given case one is likely to see that the phases overlap and repeat themselves. Yet the seven phases, as we have derived them from our case materials, actually do seem to fit almost all of the examples we have examined, and we believe that they are useful not only for the purposes of systematic analysis but also for the purposes of professional change agents (53:143).

The second PS perspective model we wish to look at is that of Watson. He presents a model for introducing innovations into the public school. This model follows closely the general model proposed earlier for all social systems in his book <u>Social Psychology: Issues and Insights</u> (96).

Watson's ten steps are as follows:*

1. Sensing. Everyone in the school system should be involved in the sensing of problems and of new possibilities which are openly expressed, shared, and considered. A general climate of openness and interpersonal trust is essential. A structural implication is the need for mechanisms for registering internal concerns and external trends and resources.

2. Screening. Some order of importance and priority for innovations must be established. The

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*Paraphrased by the author (97:110-115).

structural implication is the need to create a mechanism for setting problem priorities.

3. Diagnosing. It is important to be sure about what the problem is and where it lies before change is undertaken. The structural implication is the need to establish a research and development unit.

4. Inventing. After problems have been sensed, screened and diagnosed, remedial plans must be generated. The structural implication is the need for mechanisms to allow wide participation in the production of solution proposals. Watson suggests use of "brainstorming" sessions involving persons of diverse ages and backgrounds.

5. Weighing. The ideas must be screened and appraised. The structural mechanism needed is a device for screening. Watson suggests an administrative council or a Research-Development Bureau.

6. Deciding. The structural mechanism must provide that those who have to implement the decisions should be involved in making them. A true consensus is the ideal, Watson notes.

7. Introducing. The structural mechanism required is a procedure for strategy planning. The "where and how and with whom" of the introduction of a change must be mapped out.

8. Operating. Watson suggests a moratorium on revision or rejection until the project has had a fair trial.

9. Evaluating. Evaluation should be built in at the time the innovation is designed and it should be both continuous and periodic. The structural mechanism needed is a procedure for objective evaluation.

10. Revising. The structural implication is for a mechanism for re-appraisal and revision of the system, its processes, and specific innovations. Watson notes that the self-renewal process itself needs periodic review, appraisal and revision (97:110-115).

Watson is concerned with _sensing_ on the part of everyone in the school system as his first step which implies a climate of openness and a belief that innovations can be made and will come about when problems are sensed. Watson, like Lippitt, _et al_., is reflective of the PS orientation in this aspect in which the user group initiates and identifies the area of concern. In contrast, the Miles and Lake plan, described with the RD&D orientation, was formed for an external change agent team whose purpose was "to formulate, _apply_,* evaluate, and disseminate some variations of a basic strategy of planned change in collaboration with several school systems" (63:81). As are many RD&D projects, the Miles and Lake model was for use by a major project with significant funding, in this case the New York Region Cooperative Project for Educational Development, called COPED.

*Italics by the author.

Lippitt, et al., noted that the stabilization of a procedural change may come about because it is supported by a structural change. Watson makes provision for a supporting structural mechanism for each of his ten points. They may or may not be structural changes in a given system depending on what structures exist, but Watson stresses that in addition to a climate of openness to encourage the bringing out of sensed difficulties, there must be structural provision for support. He says, "The discussion of each step will close with a summary statement of the structural implication of that step for the self-renewing school" (97:110).

Havelock provides six strategies and nine related tactics derived from the problem-solver perspective:

> System self-renewal. . . . the development of an atmosphere favorable to continuing innovation and an internal capacity for problem-solving through the collaboration of an "inside-outside" team in the training of various "process" skills (39: Appendix A, 10).
>
> Action research. An approach which involves the collaboration of the university social scientists and the school personnel in diagnosing and evaluating existing problems . . . (39:Appendix A, 5).
>
> Collaborative action inquiry. Similar to "action research" (see above), but the collaboration between social scientists outside and school personnel inside is more emphasized than in action research, and a true team effort results (39:Appendix A, 5).
>
> Human relation laboratory. A "temporary system" for improving problem-solving skills which can be adapted for use by individuals, groups, organizations or communities . . . (39:Appendix A, 7).

> Consultation. A widely used and variously defined change strategy, based on the assistance of an outside expert(s) in helping a system work through its own problems and define its own needs, primarily through the use of reflection and authentic feedback (39:Appendix A, 6).
>
> Sharing of practice innovations. Because the PS viewpoint stresses the user and user-involvement it places special value on user-originated innovations. Lippett and his colleagues, for example, have developed elaborate strategies by which teachers can share new classroom teaching practices with each other. The program includes systematic screening and evaluation by teachers, themselves (41:5).

Havelock provides nine tactics derived from the PS viewpoint. He says, "As we have said previously (these tactics) have no necessary or logical connection to particular strategies" (41:5).

> Sensitivity training group ("T-group"). Most variants of human relations training include an extended series of more-or-less unstructured group sessions which give members a chance to examine group dynamics in the "here-and-now." Such groups are designed to build sensitivity to others and to the way others react to one-self. Members learn how to establish norms of trust and openness to giving and receiving new ideas . . . (39:Appendix A, 9).
>
> Reflection. . . . restating the client's problems. By listening to his own words and actions "reflected" back to him by the change agent, the client can begin to move toward serious self-examination and self-diagnosis . . . (39:Appendix A, 9).
>
> Authentic feedback. A non-evaluative perception and interpretation of an individual's behavior as it affects the person who receives it . . . (39:Appendix A, 5).

> Role playing. Acting out roles of other members of a system in "simulations" of real situations . . . (39:Appendix A, 9).
>
> Group observation and process analysis. Self-conscious examination by a group of its own on-going interaction processes in order to understand group processes and to enhance group trust and openness . . . (39:Appendix A, 6).
>
> Derivation conference. Usually comprised of resource persons and client system representatives meeting on a temporary basis to collaborate on problem definition, information retrieval, derivation of implications for action and planning for implementation . . . (39:Appendix A, 6).
>
> Survey feedback. Involves a systematic collection of data from members of an organization on such questions as job satisfaction, supervisory behavior, work motivations, etc. This data is summarized and fed back to administrators and their subordinates as a means of confronting real perceptions and performance . . . (39: Appendix A, 10).
>
> Brainstorming. A group retrieval technique in which members suggest innovative problem solutions while they deliberately restrain critical judgement . . . (39:Appendix A, 4).
>
> Synectics. . . . brainstorming can be systematized and combined with experiment and other problem solving steps to produce a systematic invention and innovation technique . . . (41:7).

Linkage Perspective

Havelock's efforts to organize change and innovation theory into three perspectives, namely social interaction (SI), research, development and diffusion (RD&D), and problem-solver (PS), leads him to suggest a fourth perspective, which he calls linkage (40:11-15).

The <u>linkage process</u> involves a user system and a resource system. The internal problem solving cycle of the user system includes six steps: (1) awareness of need, (2) problem diagnosis, (3) search, (4) retrieval, (5) fabrication of solution, and (6) application.

In the solution of a problem, the user system can, if the situation permits, send problem messages to a resource system. This would begin at the third, or search, step.

The resource system also has six steps: (1) diagnosis (which receives the problem message from the user system), (2) search (from which problem messages go out to more remote resource systems), (3) retrieval, (4) fabrication of solution (which receives input from the more remote resources), (5) dissemination and test (which sends solution messages out to the user system), and (6) evaluation.

Problem messages and feedback on solution effectiveness continue to pass out of the user system and into the resource system. Solution messages and feedback on simulation adequacy continue to pass out from the resource system back into the user system.

The user system links in this way with many resource systems and each resource system links with other resource systems. Havelock provides a graphic illustration of his linkage model and this is included as Appendix D.

The concept of linkage starts with a focus on the user as a problem-solver. The user enters into a reciprocal relationship with a resource system. The resource system then must simulate or recapitulate the need-reduction cycle of the user. This is the heart of Havelock's concept. He says:

> (The resource system) should be able to (1) simulate the user's need; (2) simulate the search activity that the user has gone through; and (3) simulate the solution application procedure that the user has gone through or will go through. It is only in this way that the resource person can come to have a meaningful exchange with the user (40:11-15).

Havelock believes that the development of reciprocating relationships can go beyond the point of improving individual problem-solving processes and develop into a stable and long-lasting social influence network. He says:

> This collaboration will not only make a solution more effective, but, equally important, it will build a more effective relationship--a relationship of trust and a perception by the user that the resource is truly concerned, that the resource will listen, and will have a quantity of useful information to pass on. . . . It builds a channel for resource to user (40:11-17).

Related to, and supportive of Havelock's concept, is systemic linkage. Loomis and Beegle, working in the area of rural sociology, first used the term <u>systemic linkage</u>. Loomis defines this as:

> The process whereby the elements of at least two social systems come to be articulated so that in some ways they function as a unitary system. Systemic linkage is based upon a model which may be conceived as two or more social systems as going concerns which come to be related in such a way that the two eventually, in some ways and on occasion, function as one. This obviously requires the convergence of some elements--in some cases, ends, in others norms, status-roles, or others (55:55-56).

Systemic as used in biology means "pertaining to the general system or body as whole" (98:2562). For instance, material injected into or absorbed by one leaf of a plant, will be carried to all parts of the plant through its systemic processes. Systemic linkage then is a very pervasive, totally-inter-related, totally "using" and "giving" kind of relationship.

Havelock's model of change through linkage incorporates important features from the perspectives of the social interaction, research, development and diffusion and the problem-solver models. From the SI perspective he utilizes:

1. The importance of the social relations network.
2. The user's position in the network.
3. The importance of personal contact.
4. The individual's group identity and group loyalty.
5. The essential irrelevance of the size of the adopting unit.
6. The significance of stages of adoption of strategies.

From the RD&D perspective:

1. Rational sequence.
2. Planning.
3. Division of labor.
4. Defined audience.
5. High investment for maximum pay-off or productivity.

From the PS perspective:

1. The user is the starting place.
2. Diagnosis precedes solution identification.
3. The outside helping role is non-directive.
4. The importance of internal resources.
5. User-initiated change is the strongest.

Havelock sees linkage as a series of two-way interaction processes which connect user systems with various resource systems, including basic and applied research, development, and practice. According to this model, senders and receivers can achieve successful linkage only if they exchange messages in two-way interaction and continuously make the effort to simulate each other's problem-solving behavior. The resource systems must therefore appreciate the user's internal needs and problem-solving patterns, and the user, in turn, must be able to appreciate the invention-solution-formulation and evaluation processes of the resource systems. Conversely, the user system will come to understand the needs, the problem-solving patterns and the possible blockages or "hang-ups" existing within the resource system which can prevent or impede a more open relationship. It is believed by Havelock that this type of collaborative interaction will not only make solutions more relevant and effective, but will also build relationships of trust.

These trust relationships become channels for the rapid, effective and efficient transfer of information over time, according to Havelock.

Although Havelock's linkage model has not been empirically tested, his linkage perspective has been corroborated by a nationwide experiment funded by the United States Office of Education. This experiment involves 19 secondary school systems in 18 different states and has as its general purpose the evaluation of a systems analysis approach to bring about changes in secondary education. The project is called ES '70, the Educational Systems for the Seventies project. The project, as planned, is to run at least five years. No evaluation is available as yet, but an "in progress" report says, "The consequences of ES '70 appear to be evolving as a process for initiating and managing institutional change in the direction of desired objectives, i.e., self-renewal" (82:204).

Rhodes says "There is evidence in ES '70 that linkage concepts also play a major role in the full employment of 'systems' techniques" (82:206).

The importance of a systems approach to changing an organization has been noted by Watson, also (97:106). For ES '70, use of a systems approach has meant:

> The use of systematic management approaches provides a capability for continuous assessment of present actions in light of overall objectives and needs. It becomes possible, therefore, to gauge the relative progress that current status represents at any point, to isolate factors apparently contributing to that progress or impeding it, and to project possible implications--in other words, to view the process under way (82:204).

The linkage perspective has as its basic principle the concept that the internal problem-solving process of the user is the essential starting point for the change-agent and the innovation process. Through linkages with other systems, the user system has access to great many resources and to more and more remote expert resources as resource retrieval is undertaken. A systems approach is important in the linkage perspective just as it is to Watson and the ES '70 project. As Havelock notes, "Each separate role-holder must have some idea of how other roles are performed and some idea of what the linkage system as a whole is trying to do" (41:16).

Havelock does not suggest strategies and tactics derived from the linkage perspective. He says:

> It is too early to say whether this linkage concept can be the generator of uniquely different strategies and tactics. Certainly simulation, role-playing, and feedback all appear to be very relevant as do the various mechanisms which facilitate social interaction (41:19).

However, Havelock does provide a six-stage model of the process of introducing a planned innovation. His model is oriented to education in that he notes a "pre-stage" or "Education the way it is now," and a "post-stage" of "Education the way we would like it to be in the future" (39:10). On the basis of examples he gives of change agents in action, it is obvious that his primary concern is with the secondary school system and presumably his model is oriented to this area, although not restricted to it.

The Havelock model is perhaps closest to the model suggested by Lippitt, et al. (53:130, 136) presented earlier in this chapter. The six stages are as follows:

Stage I: Relationship. This is where the change agent builds a relationship between himself and the people he is trying to help. The change agent may or may not already have accomplished this when he begins to be concerned with introducing an innovation.

Stage II: Diagnosis. This is where the change agent helps people articulate their needs and state them in a defined problem so that both the change agent and the client can work on solutions.

Stage III: Resource retrieval. This is where the change agent helps obtain resources of all kinds to be used in generating possible solutions.

Stage IV: Solution. This is where the change agent and the client system consider alternatives and settle upon a potential solution.

Stage V: Gaining acceptance. At this point the solution or the innovation is put into practice and the change agent helps acceptance of it.

Stage VI: Stabilization and self-renewal. This is where the innovation is stabilized and the change agent withdraws having established the capacity within the client system to be self-renewing, that is to continuously modify and adopt innovations to remain vital and responsive to needs.

Discussion of Previous Research on Strategies and Tactics

A broadly ranging review of the literature on change and innovation reveals that only Havelock has to date placed a special emphasis on strategies and tactics as a key aspect of planned innovation. This observation does not imply that a concern for strategies and tactics is therefore of minor importance in this body of theory and literature. Rather, the implication is clear that this is an emerging interest and will probably be dealt with by researchers in an increasing degree. This observation is based on the fact that Havelock's Planning for Innovation Through Dissemination and Utilization of Knowledge is the most comprehensive review of the literature on change and innovation to date and attempts, far more than other texts, to synthesize what research has produced and what constitutes our knowledge of change and innovation. Planning for Innovation is based on a review of more than 4,000 studies and in its final form was reviewed by Ronald Lippitt, Kenneth Benne, Everett Rogers and other leading researchers in this field.

Prior to Havelock's work, Matthew Miles identified the importance of strategies in Innovations in Education. His concern was with a classification system for strategies rather than with the identification of specific strategies. He said, "The range of strategies now being proposed and carried out in America is very wide . . ." (64:19). Miles' typology of change strategies is concerned with (1) identifying the stage in the adoption of the innovation in which the strategy is used, (2) with identifying the initiator of the strategy--the user (or target) system versus a source outside of the user system, and (3) determining if a new or an existing structure is used. The result is a 16-position grid. Miles' typology is included in Appendix E.

Other authors have noted strategies. In 1968 Miller reviewed the literature on change and innovation and generated seven general strategies as a preliminary step in a study of a Regional Educational Laboratory. Included were:

1. The change agent should identify the characteristics and needs of the client system and base plans upon them.

2. The change agent should seek, and play a major role in, the establishment of rapport and the building of mutual trust and respect between the client system and himself.

These first two and the following four are all concerned with the early or "relationship" stage in which the external change agent and the user system get to know and trust each other. The seventh strategy deals with the "stabilization" stage in which the external change agent withdraws from interaction with the user system:

7. The change agent should teach the clients to be their own change agents, to understand the process of change, to develop self renewing behavior (66:56).

Many authors refer to strategies but are not explicit about them. For instance, Benne, Bennis and Chin say "The change agent must know and use differing strategies of management and resolution of problems" (7:258). Morphet and Ryan state ". . . the strategies and processes of change must include at least as much attention to the development of professional and human competence as they do to other . . . aspects . . ." (67:68), and "An important general strategy is to approach change in such a way that there results a climate hospitable to continuous adaptation and change" (67:72).

Four points relative to strategies and tactics are clear from a review of the literature on change and innovation:

1. There has been a casual use of the term "strategy" by authors in this area;

2. A great diversity of strategies and tactics exists and are in use to bring about change and innovation;

3. It is important to identify and study strategies and tactics used to bring about a planned innovation in specific kinds of educational undertakings, and;

4. Strategies and tactics can be related to the stages in the process of the adoption of a planned innovation.

Summary

Social action programs, undertaken by the community services division of two-year, public, community colleges as a response to basic human needs in the college's local community, are described in the literature as being both an appropriate and a necessary response by the community college. Various authors have noted the importance of a knowledge of change and innovation in the successful undertaking of such programs.

As a context for the focus on social action programs undertaken by community services divisions of community colleges, the philosophical development of the community services function was reviewed. The importance of linkages for the community services practitioner was traced as it has appeared in the literature.

Theories of change and innovation were reviewed in light of the classification scheme advanced by Havelock. The distinctive approaches of the social-interaction perspective, the research, development and diffusion perspective, and the problem-solver perspective were reviewed as they are exemplified by various authors. Models of the stages of the process of the adoption of an innovation were examined for each perspective. Strategies and tactics derived by Havelock from each of the perspectives were presented, as was Havelock's linkage perspective. Finally, a discussion of the previous research on strategies and tactics was set forth and four summary points were made.

CHAPTER III

DESIGN OF THE STUDY

The Sample

In this exploratory study the strategies and tactics used by community college community services practitioners to introduce and establish a planned innovation, that is, successful social action programs, will be compiled, codified, and analyzed.

Development of the Interview Schedule

As a preliminary step to development of the interview schedule, the author felt it would be useful to determine the degree to which community services practitioners were familiar with strategies and tactics used by change agents to introduce innovations. Forty-four such strategies and tactics are identified by Havelock as having been described in the literature on change and innovations (39:Appendix A, 5-10). For this purpose a visit was made to Montcalm Community College, Sidney, Michigan, by the author and a member of his committee, Dr. Gunder Myran. The community services director, Howard Bernson, and his assistant, John Bean, were interviewed.

As an additional step in development of the interview schedule, the author visited Dr. Ronald G. Havelock, on the staff of the Center for Research on Utilization of Scientific Knowledge, Institute for Social Research, the University of Michigan, Ann Arbor. The author had devised shortened and simplified descriptions of the 44 strategies and tactics for use with practitioners. These were reviewed by Dr. Havelock and after additions, deletions, and modifications were ready for use in one section of the interview schedule. Permission was also obtained from Dr. Havelock to reproduce copyrighted material.

During the process of developing the final interview schedule, several interim versions were prepared. These and the final version were discussed with Dr. Howard S. Teitelbaum and others of the staff of the Office of Research Consultation, College of Education, Michigan State University. In addition, an opinion on a procedural point involving recall by the interviewees was sought from Dr. Lee S. Shulman, Professor, Department of Counseling, Personnel Services, and Educational Psychology, College of Education, Michigan State University.

After the interview schedule was developed and reviewed by doctoral committee chairman, Dr. Max R. Raines, the instrument was pre-tested and criticism was solicited from three practitioners in fields related to community services. These were Adelbert Jones, assistant director, community development, Center for Urban Affairs, Michigan State University; Jerry Wilson, director, Center for Community Advancement, Albion College, Albion, Michigan; and Edmond W. Alchin, Community Development Specialist, Institute for Community Development, Michigan State University.

Two full-scale field-test interviews were conducted in which the author went through all of the steps planned for the regular interviews including tape recording of the practitioner's remarks. These interviews were conducted with practitioners who had administered programs which met the established criteria on all counts except number of persons involved. That is, each of the two field-test programs involved only about 20 persons rather than the 100 called for in the criteria. The two practitioners were not aware that these were field-tests of the interview instrument rather than interviews for data collection.

The first of these interviews was conducted with Donald Krischak, community services director, Porterville Community College, Porterville, California, who is currently on leave and is a doctoral student at Michigan State University. The second interview was with Wesley L. Muth, community services director, Southwestern Michigan College, Dowagiac, Michigan. The Porterville interview was conducted at the International Center on the Michigan State

University campus and the Southwestern interview was conducted in Mr. Muth's office on the Southwestern campus.

Suggestions received from those persons contacted prior to the final development of the interview instrument, as well as those interviewed to pre-test and to field-test the instrument, were incorporated into the final version of the instrument. A copy of the Interview Schedule is included as Appendix F.

Development of Criteria for Programs

Early in the planning of the study, the question arose as to the best means to identify techniques used by practitioners to introduce an innovation. Dr. Shulman suggested that practitioners would best be able to recall techniques they had used by associating the techniques with a specific program and reporting them in chronological order. For this reason, programs undertaken by community colleges were examined as a basis for collecting techniques.

It was decided to limit the study to social action programs, involving Blacks or other minorities, the poor, and the unemployed, because such programs are planned innovations, not changes which occur naturally, and because it is indicated in the literature that there is a need to know more about techniques used by practitioners to introduce and establish such programs.

The criteria established for defining <u>social action programs</u> was noted in Chapter I as follows:

1. A program involving primarily Black people, or other minority people, or the poor, or the unemployed or underemployed;

2. A planned innovation, not a change that occurred naturally;

3. A program with goals which included producing observable behavioral changes in skills or attitudes or values;

4. A program having impact on the community involving at least 100 persons or more on a voluntary basis in the community college district during a period of one year;

5. A program in operation at least one year and having taken place within the past five years;

6. A program judged successful by the practitioner.

<u>Selection of Community Colleges to Visit</u>

The 29 community colleges in Michigan were reviewed with professors in the Department of Administration and Higher Education, College of Education, Michigan State University, who were familiar with the programs of each college. It was determined that 12 colleges had active community services programs with full-time directors and should be examined for programs which would meet the criteria. These colleges were Delta, Genessee, Jackson, Lake Michigan, Macomb, Monroe, Montcalm, Oakland, St. Clair, Southwestern, Washtenaw, and West Shore Community College. Following additional examination of their programs and telephone calls to obtain data against which to compare the criteria, four social action programs meeting the criteria were located. These were at Lake Michigan, Genessee, Delta, and Washtenaw. Interviews were sought and obtained at these four colleges.

Because a broader base from which to identify techniques was sought, a letter was written to Dr. J. Kenneth Cummiskey, director, Community Services Project, American Association of Junior Colleges, Washington, D.C. (see Appendix G) asking him to nominate six to eight programs which, in his opinion, best met the criteria. In reply, Dr. Cummiskey noted that there were few programs on the national scene meeting the criteria. He noted that most community services social action programs involve less than 100 people because of the cost of this type of program and that most programs of 100 or more probably would have been Federally funded. Dr. Cummiskey nominated (by telephone) the following seven colleges as having programs to investigate (see confirming letter, Appendix H):

1. Peralta Junior College District,
   Oakland, California

2. New York City Community College,
   Brooklyn, New York

3. Cuyahoga Community College,
   Cleveland, Ohio

4. San Mateo Junior College District,
   College of San Mateo, San Mateo, California

5. Staten Island Community College,
   Staten Island, New York

6. Malcolm X Community College, Chicago, Illinois

7. Quinsigamond Community College, Worcester, Massachusetts

The author was able to locate practitioners in Michigan who had administered social action programs meeting the criteria at four of the colleges nominated by Dr. Cummiskey. These were Peralta, Cuyahoga, San Mateo, and Quinsigamond. Three of the four practitioners are now doctoral students at Michigan State University and the fourth is now president of Ferris State College, Big Rapids, Michigan. Interviews were sought and obtained relative to programs at these four colleges.

Telephone interviews were planned at the time national nominations were sought. In light of the development that personal interviews were available for four of the seven programs, the decision was made to <u>not</u> mix personal and telephone interviews and to limit the study to the eight programs just described.

In total, eight interviews were obtained on as many programs. Colleges represented included four in Michigan, two in California, and one each in Ohio and Massachusetts. Interviews were obtained on all of the programs located in Michigan which met the criteria and interviews were obtained on four of the seven programs nominated by Dr. Cummiskey of the American Association of Junior Colleges.

Arrangements of Visits

The initial contact with each college in Michigan was made by the author with the director of community services by telephone. Program criteria were presented. In each case, after the program meeting the criteria had been identified, the community services director gave permission to pursue the study at his institution and referred the author to the practitioner who had had primary responsibility for establishing the program. In each case, the practitioner was contacted by telephone, the purpose of the interview explained, and an appointment was made for the interview which was convenient to the practitioner.

Practitioners who had administered programs at colleges outside of Michigan, but who now reside in the state, were telephoned directly. After establishing that their programs met the criteria, an appointment for the interview was made, again, at a time and place convenient to the practitioner.

Interviews on all in-state programs took place on or near the college campus involved at places chosen by the practitioner and at a time mutually agreed upon. Interviews on all out-of-state programs took place on the Michigan State University campus with the exception of the interview on the San Mateo College program which took place in the office of the president at the Ferris State College campus, Big Rapids, Michigan.

Administration of the Interview

Administration of the interviews followed the Interview Schedule. Explanations, instructions, and questions in the Interview Introduction, sections I, and in sections II, III, IV, and V were read or repeated to the interviewee exactly as shown in the schedule. Non-directive questioning was employed in section III, when necessary, to move the interviewee's description of his program into areas not previously covered or covered too briefly. All interviews were taped with the stated permission of the practitioner. Each interviewee was asked if he preferred that the identity of the program be concealed. In no case was this requested. A table providing a brief description of details on each interview is provided (see Table 1).

Organization of the Data

The organization, presentation, and analysis of the data as set forth in Chapter IV follows this order: (1) program information, (2) presentation of the data, (3) areas of developmental conditions, (4) classification of strategies and tactics, (5) a comparative analysis of field-generated and literature-generated strategies and tactics, (6) implications for graduate school training of community services practitioners, and (7) a summary.

TABLE 1.--Supplemental data relative to interviews.

Interviewee and Title	College Name and Location	Program Name	Date of Interview	Location of Interview	Time of Interview
Clarence Nixon Program Director	Cuyahoga Community College Cleveland, Ohio	"New Careers"	May 21, 1971	Hubbard Hall, Conference Room, Michigan State University	10 am to 12:15 pm
Fred Martin Program Director	Peralta Junior College District, Oakland, California	"Inner City Project"	May 24, 1971	Erickson Hall, Dr. Raines' office, Michigan State University	10 am to 12:20 pm
Kenneth R. Riley Program Coordinator	Lake Michigan College Benton Harbor, Michigan	"Institute for Professional and Paraprofessional Studies"	May 25, 1971	Mr. Riley's office, Lake Michigan College	10 am to 12:40 pm
Barbara Stephenson Counselor	Genessee County Community College, Flint, Michigan	"Community Counseling for Mature Women"	May 26, 1971	Miss Stephenson's office, Genessee College	10 am to 12:05 pm
Erwin Thomas Program Director	Washtenaw Community College, Ann Arbor, Michigan	"Step-Up"	May 26, 1971	Holiday Inn Ann Arbor	2 pm to 4:30 pm
Mrs. Jan Harmer Program Coordinator	Delta College University Center, Michigan	"Women's Opportunity Workshop"	May 27, 1971	Conference Room Delta College	10 am to 12:30 pm
Brian Connelly Program Director	Quinsigamond Community College, Worcester, Massachusetts	"Project QUEST"	June 4, 1971	Erickson Hall, Seminar Room, Michigan State University	1 pm to 3:30 pm
Dr. Robert L. Ewigieben, President	San Mateo College, San Mateo, California	None	June 7, 1971	President's office, Ferris State College, Big Rapids, Michigan	1:30 pm to 3:30 pm

CHAPTER IV

PRESENTATION OF THE DATA

Introduction

The purpose of this study is fourfold: (1) to compile strategies and tactics used by community college community services practitioners in selected social action programs; (2) to develop a classification system for these strategies and tactics; (3) to make a comparative analysis of field-generated and literature-generated strategies and tactics; and (4) to make suggestions for graduate school course work for practitioners.

This chapter is divided into the following sections:

Program Information. Background information on each of the social action programs selected is included here in Table 2. Included are name of group served, date project began and ended, number of people helped by the program, funding source, and evidence of success.

Presentation of the Data. This section contains 140 strategies and tactics induced from the content analysis of the tape-recorded interviews with the eight practitioners. The social action programs examined are presented in the order in which the interviews were conducted.

Areas of Developmental Conditions. Here five models of change and/or innovation are reviewed and presented in Table 3. Similarities and differences are discussed. Based on these models, five areas of developmental conditions are generated. These areas serve as a framework for the classification of strategies and tactics. Table 4 presents the relationship of clients and areas of developmental conditions. Table 5 presents the assignment of strategies and tactics to areas of developmental conditions for the purpose of determining if a pattern of movement through the developmental conditions exists.

Classification of Strategies and Tactics. Here, the 140 strategies and tactics are related to the areas of developmental conditions.

A Comparative Analysis of Field-Generated and Literature-Generated Strategies and Tactics. Here, the strategies and tactics generated from two sources are discussed as are strategic orientations of the practitioners and the possibility of a "composite social action practitioner orientation" is discussed.

Implications for Graduate School Training. Implications are drawn from the data for the graduate school training of community services practitioners.

The chapter is concluded with a Summary.

Program Information

In Table 1 in Chapter III the details relative to conducting the eight interviews were presented. Here in Table 2, background information is presented on each of the eight social action programs undertaken. This material is drawn from Part II of the Interview Schedule. The complete forms as filled in during the interviews is included in Appendix I.

Presentation of the Data

Following collection of descriptive background data on each program, the practitioner was asked to "start at the beginning of your program and describe the step-by-step development of the program emphasizing the techniques or helping methods you used to initiate and maintain the program." The interviewer asked non-directive questions as necessary to move the interviewee to describe a technique more fully or to touch on an area bypassed.

Following is a presentation of the strategies and tactics identified by the author from a content analysis of the interviews by means of playback of the tape recording made of each practitioner's remarks.

The presentation of the data is made in the same order as the interviews were conducted and as is shown in Table 1. However, no significance is attached to this order.

TABLE 2.--Background information (from Part II of Interview Schedule).

3	5	6	7		8	10
College Name	Group Served	Date Project Began and Ended	Number of People Helped by Program		Funding Source	Evidence of Success
			1st Year	2nd Year		
Cuyahoga	Inner city unemployed (men and women)	Sept. 1968 to current	100	100	Dept. of Labor	Placement of trainees and retention
Peralta	OEO "low income" Blacks, Chicanos (men and women)	April 1968 to	2,000	2,000	OEO	Program components became regular part of college program
Lake Michigan	Blacks (men and women)	Fall 1968 to current	469	-	Model Cities	Trainee evaluations
Genessee	Mature women--poor	Sept. 1966 May 1968*	1,500	1,800	Title I	Evaluation interviews
Washtenaw	Unemployed (men and women)	May 1969 to current	120	80	Private Funding	Trainees placed and employers' evaluation
Delta	Women on public assistance	Spring 1970 to current	110	-	Delta College	Trainee achievement
Quin-sigamond	Low income Black, Puerto Rican, White (men and women)	Sept. 1968 to June 1970*	150	200	Title I	Moved college into new area of service
San Mateo	Under-and-unemployed Blacks	Jan. 1970 to current	2,000	2,000	USOE, OEO, MDTA	Met criteria set

*Operative in a reduced version (varies for each program).

Since each practitioner was asked to "start at the beginning" in describing the techniques he used, care has been taken to present the strategies and tactics in the same order as provided by the practitioner. This was done so that the chronological progression could be charted later. Towards the end of each of the eight interviews, it was noted that the practitioner recalled some techniques which he had used earlier in the program but had failed to mention. These have been placed by the author in the chronological position felt to be appropriate. However, the repositioning of items is noted.

The method of recovery of the strategies and tactics was to play and replay the tape as necessary and to take down the exact words of the practitioner as he described the technique. Strategies were differentiated from tactics through use of the definitions presented in Chapter I. Each quotation containing a strategy or a tactic is identified with a code letter and a number. The code letter indicates the college with whom the practitioner was identified during the program and the number represents the chronological order in which the strategy or tactic was described in the interview. These letters and numbers also serve to identify the original quote which contained the strategy or tactic and are used to cite the source of items which make up the classification strategies and tactics presented later in this chapter.

In addition to the quotation and the reference number, the strategy or tactic is stated in a simple descriptive form. Each item is identified as a strategy or a tactic. In some cases, discussion of the tactic or strategy is undertaken to clarify it or tc connect it to other areas of the study.

Following is an example of how the data will be presented on each of the eight programs:

Example	Explanation
C1	C is Cuyahoga Community College 1 is the first item presented
"We did a feasibility study . . ."	This is the quotation as transcribed from the tape recording of the interview.
Strategy: Conducting collaborative action inquiry and diagnosis.	This is the strategy identified in the transcribed material.

The data resulting from each interview is presented below, beginning with Cuyahoga Community College.

Interview I: Cuyahoga Community College Program: New Careers

C1

We did a feasibility study to determine which programs to focus on--where the biggest gap existed between the professional and the paraprofessional or where there was no paraprofessional . . . We went into the community to try to find specific job needs . . . We had to find out from the staff (a hospital) "Is it possible to train a person in 6 to 9 months?" . . . "Would the pay be adequate for a person to go through the training?" . . . "Would there be employment available?" . . . The study was done jointly with AIM:JOBS (a Cleveland social agency).

Strategy: Conducting collaborative action inquiry and diagnosis. A local, social agency collaborates with the community services division of the college to determine areas of employer needs which, when met, will fill client needs (the unemployed in the community college district). This will be accomplished through course work offered by the college. The goals of both the college and AIM: JOBS will have been met. It should be noted that this strategy is similar to one identified by Havelock in which the social scientist outside the public school system collaborates with personnel inside the system to undertake joint inquiry to meet mutual goals. Havelock identifies this strategy with the PS perspective. Herbert Thelen (93) elaborated on this strategy emphasizing the value of a true team effort for long-range benefits. This joint effort also illustrates the linkage concept described by Myran and fits the third or highest level of "Program cooperation: Establishing working relationships between organizations to deal with a mutually agreed upon need" (70:46).

C2
The hospitals and agencies seem to have accepted us. They were willing to give us a commitment that they had a turnover need of 5 or 6 persons a year . . . they were willing to give us a letter of commitment for at least 3 of these slots . . . It required a formal letter of commitment that they would hire

those persons over a period of time (after the college had trained them).

Tactic: Obtained formal commitment relative to relationship between primary and secondary clients (employers). The formal letter of commitment was in effect a contract. This letter served to place the relationship between the college, the trainees (clients) and the hospital employer on a formal or business-like basis.

C3
During the training period it was necessary to get the users with the raw material to give them a chance to get some idea of what they were like . . . we called it an orientation meeting . . . at times we tried to avoid . . . especially during the initial stages because it is very hard to look at the raw material and see a finished product. Many times our trainees were right off the street. They needed grooming, they lacked work habits . . . we held them (employers) off long enough until they (trainees) were becoming polished. . . . We brought them out when we thought they were ready.

Strategy: Building a positive relationship between primary and secondary clients. This strategy illustrates the complexity dealt with by the community services practitioner as change agent in that he must be concerned not only with his own relationships to multi-clients but also the relations between clients.

C4
We did not run any kind of campaign in the paper, radio, or television . . . With the unemployment rate as high as it was in Cleveland it just wasn't necessary. We turned down at least 100 persons for

> every slot we had . . . We were able to get the word out (about the program) through employment agencies . . . through mouth-to-mouth, a friend telling a friend.

Strategy: Conducting limited publicity on programs when resources are limited. It appears that the numbers of inner-city clients of the community college who wish to participate in this kind of program are so great as to make publicizing of the program unwise. The use of word-of-mouth communication is effective, however. Beal and Rogers found that word-of-mouth was more important than any other type of information source in convincing Iowa homemakers to purchase new fabrics of Orlon, Dacron, and nylon (88:219).

> C5
> We requested services (from community agencies) . . . for instance, legal aid. We wanted to make sure our participants had a knowledge of the legal aspects once they became employed. We also had agencies on drugs, alcoholism . . . consumers' protection . . . We did not want them to fall back into the same pitfalls.

Tactic: Utilized agencies as resources. The general purpose here would be to establish linkage with agencies so as to utilize existing programs and services.

C6
We wanted to make sure that they had a great deal of pride of being in the program . . . We initiated some competition between the groups . . . "grades" . . . attendance . . . It developed into quite a homogeneous group, a protective kind of thing. Very much like a family. Those who were weak; the group protected them. Those who lacked ability; others pushed them forward.

Strategy: <u>Building client group pride and interdependence</u>.

The building of group pride is a broadly used and ancient strategy. In this case, the practitioner provided a strategy and the related tactics (following) in an unusually clear relationship.

C7
We initiated a newspaper which they wrote. They did all of the typing and getting it out. We tried not to edit it at all . . . an internal paper for the group called "New Career Happenings."

Tactic: <u>Established a newspaper</u>. (Related to strategy C6.)

C8
We had a little party where they could bring their family . . . a family day. We had a Black Santa . . . we tried to develop as much as possible a lot of spirit.

Tactic: <u>Involved client's families</u>. (Related to strategy C6.)

C9
We had members in the group who had tremendous talent in singing, in playing musical instruments . . . art was displayed . . . those who could sing, we put them on the program . . . we had sports competition and the gals were cheerleaders.

Tactic: <u>Provided for recognition of individual talents among group members</u>. (Related to strategy C6.)

C10
Plus we formed a student government where they elected a president, secretary, so they could plan their own activity. They had complete use of paper, reproduction, to get out what they wanted . . . We felt "This program is for them and they really do have some input into it."

Tactic: Encouraged client self-governance. (Related to strategy C6.)

C11
We started doing a lot of things to let them know "Hey, we're with you!" . . . You had to go as far as being available 24-hours a day--to extend yourself . . . This is how you get it together.

Strategy: Building positive trust among clients and practitioners. In C3 we noted the complex or multi-level relationships with which the practitioner must deal. C3 involved the relationship between the primary and the secondary clients. Here it is the relationship between the practitioner and the client, the traditional one noted in the literature. The practitioner at this point identified a number of tactics associated with this strategy.

C12
We had weekly staff meetings . . . the officers (of the client self-government) sat in on our staff meetings to assist us to make sure we were going in the right direction.

Tactic: Included clients in program planning and decision making. (Related to strategy C11.)

C13
We had to expect to be lied to; to be "conned" and we almost had to take the attitude "you can use me but don't mis-use me!" We had to realize that just because we were staff we were not God and they were going to "run game" on us . . . You had to accept the fact that a grandmother or a wife had died 5 or 6 times in a month, but at least letting them know, "Hey, I know where you were. That's the third time she's died, man!" You have to build an honest relationship in it; let them know they have your complete support.

Tactic: Responded to underlying message of surface behavior of clients. (Related to strategy C11.)

C14
We found it was necessary to call. We had students who could not get out of bed . . . Every staff member had two or three persons he called personally before he left for work to remind them "Hey, you going to make it today?" . . . a warm kind of thing. Going as far as getting a humidifier from my house and taking it to a gal whose child had a tremendous amount of cold . . . we had to find baby-sitting services.

Tactic: Accepting responsibility of environmental intervention.

C15
We found it was necessary several times to go and get somebody out of jail . . . We had to provide emergency money and transportation constantly . . . We even had to intercede in family problems.

Tactic: Became involved with client welfare. (Related to strategy C14.)

C16
We had a very diversified staff . . . We wanted persons who were indiginous to the area; who could speak the language . . . I got persons who very close to them (clients) as far as their background . . . Indiginous . . . similar background . . . communication is extremely vital.

Strategy: <u>Employing indiginous staff members</u>. Since this is not always possible, the PS orientation tactic(s) identified by Havelock, <u>Role Playing</u> and <u>Rotation of Roles</u> (41:6) should be noted. These are both methods for substituting for authentic or indiginous backgrounds in the practitioner-client relationship. (<u>Role Playing</u> and <u>Rotation of Roles</u> have other applications, of course.) It is common practice to select salesmen and county agents based on their ability to relate to their client groups.

C17
I found it was a good deal easier to get our trainees ready for the job than getting the employers ready for our trainees (clients). It's impossible for us to go in and do any sensitizing of the (employer) staff. That's the crucial point . . . we cannot go into an agency and say "Alright, your supervisors hold prejudiced attitudes." We did find in some cases we were able to go in and have some encounter sessions . . . to help them accept that something good is going to come out of this.

Tactic: <u>Created a better understanding of minority groups mores and needs on the part of employer work force</u>. This is a tactic related to strategy C3.

C18
Sometime during the program, especially at the initial stages, it required some selling. We had to sell the college on the idea it was serving a community need . . . We had to sell the agencies that the person coming in would provide them with entry-level skills they could get nowhere else. We had to show the participant that he would be employed and exposed to an education . . . We had to make each sector feel that they were getting a piece of the pie.

Tactic: Explained benefits of involvement to all clients.

As was C17, this is also a tactic related to the strategy C3 and further traces the linkage network which the practitioner must build and maintain in order to operate a successful program.

Following is a listing of the strategies and tactics induced from a content analysis of the interview with the Cuyahoga practitioner. They are presented in the order described by the practitioner except as noted by number and asterisk. In these cases the author determined that the practitioner had recalled and added these techniques later in the interview as they came to mind.

1. Strategy: Conducting collaborative action inquiry and diagnosis. C1

2. Tactic: Obtained formal commitment relative to relationship between primary and secondary clients (employers). C2

3. Strategy: Employing indiginous staff members. C16*

4. Strategy: Building a positive relationship between primary and secondary clients. C3

5. Tactic: Created a better understanding of minority group mores and needs on the part of employer work force. C17*

6. Tactic: Explained benefits of infolvement to all clients. C18*

7. Strategy: Conducting limited publicity on programs when resources are limited. C4

8. Tactic: Utilized agencies as resources. C5

9. Strategy: Building client group pride and interdependence. C6

10. Tactic: Established a newspaper. C7

11. Tactic: Involved client's family. C8

12. Tactic: Provided for recognition of individual talents among group members. C9

13. Tactic: Encouraged client self-governance. C10

14. Strategy: Building a positive trust among clients and practitioners. C11

15. Tactic: Included clients in program planning and decision-making. C12

16. Tactic: Responded to underlying message of surface behavior of clients. C13

17. Tactic: Accepted responsibility of environmental intervention. C14

18. Tactic: Became involved with client welfare. C15

<u>Interview II: Peralta Junior College District (Laney College and Merritt College). Program: Inner City Project</u>

P1
Our district has over 50% Blacks . . . a need was felt that the people in the inner city had come to view themselves as victims of the college . . . this was from letters, complaints, talking with people . . . the community looked upon the college as an ivory tower and they were afraid to go there. The administration wanted to find some way to bring these people in; to better serve the constituency. So a proposal was written. We had a skeleton idea of what we wanted to do. Not too much detail . . . So we submitted that to the O.E.O. and we got X

amount of money. I think it was about $340,000 the first year, to start this program and it was called the Research and Demonstration Project . . . on a 80-20% basis.

Strategy: Procuring necessary resources for program Development. Havelock notes that "regardless of their potential long-term benefits most significant innovations are perceived as being initially costly" (39:Appendix A, 6). Few authors deal with the obtaining of financial support in describing the phases of stages of change and innovation.

P2
When we got word our funding was to be approved, we went to the community with an outline of what we wanted to do--a framework--we got an advisory committee together and they laid out what the students will do . . . The agencies who request the students must provide supervision; they must keep time cards; they must provide an evaluation . . . this kind of thing.

Strategy: Establishing a community-wide advisory committee. Havelock identifies this strategy as Temporary systems and says "this general descriptor can be applied to any number of non-permanent designs which are employed to introduce an innovation to participants" (39:Appendix A, 10). In this case, actual formation of the program was an important function of the advisory group.

P3
The advisory committee set up a personnel screening committee; representatives from the community, from each college, the faculty, students; and this committee interviewed and brough staff in to administer the program . . .

Tactic: Provided for ad hoc committees to do special projects for advisory committee. This tactic is related to the strategy P2.

P4
We started off with a coordinator on each campus . . . responsible for all four parts of the program on that campus . . . but that didn't work out too well so we moved to another kind of administrative structure.

Tactic: Maintained sufficient flexibility in the administrative structure to address new needs.

P5
We went to a lot of community groups. We were out speaking to different community groups every night for about two weeks . . . We might talk to 2 or 3 groups a night . . . We'd say, "We want you to identify to us people who didn't get to go to college for one reason or another. You tell us who they are." We wanted 30 and we got 300 names.

Tactic: Used nominative procedures from constituences to to identify potential clients. This is a form of the RD&D tactic identified by Havelock as User need survey (39:Appendix A, 10).

P6
We said, in seesnce, that we will select 30 community people who meet O.E.O. low income criteria and will pay them $125 a month to come to college, major in a social service area, get an AA degree, and go back to work in the community.

Strategy: <u>Developing and packaging a visably practical program for clients</u>.

P7
We met with the community agencies as a group so that we could explain our program, our purpose, our goals.

Tactic: <u>Opened communication with local agencies through a conference</u>. This tactic is illustrative of the first, or lowest, level of the relationship between the community services division and community agencies, noted by Myran (70:46).

P8
We invited the sewing groups and neighborhood clubs to our Friday seminars (credit courses for students participating in the program) and we would explain what we were trying to do and get reaction from them . . . how were the students doing? . . . we invited community people to make presentations . . .

Strategy: <u>Providing feedback for the larger constituency</u>. In this case the "larger constituency" would be the Black community served by the college. Two tactics are also included.

Tactic: <u>Invited client groups to seminars at the college</u> (P8A).

Tactic: <u>Invited client group leaders to make presentations at the college</u> (P8B).

P9
Sometimes we would close a street off and have festivals . . . We had arts and crafts, drama groups; festivals; we called this our enrighment program . . . We wanted to build group identity and pride.

Tactic: Held street fairs and festivals to build group identity.

P10
Yes, on staffing we had the emphasis on "third world" people and the emphasis was on Black and Chicano . . . as much as we could we found inner city people who had lived there before or did then . . . we wanted as many indiginous people in as high a level as possible (to administer the program).

Strategy: Employing indiginous staff members.

P11
It was a big program . . . we went to capacity immediately . . . We had four community development centers, two for each campus (Laney and Merritt) and each one served up to 2,000 people each month --there would be some duplication--and this was because we had good publicity. The newspapers covered our activities . . . this was through the community services director . . . the people knew about our program . . . we had TV coverage of our street fairs.

Strategy: Adopting a multi-media approach to attract large numbers of clients. This is the SI perspective strategy identified by Havelock as Multiple media approach. He also notes that different media are effective at different stages in the adoption process and that to have a successful program, this should be taken into account (41:9). The SI strategy of Natural diffusion states that after 10 to 20% of a target group have accepted an innovation, the forces of social interaction are such that the vast majority of the rest follow (41:9).

P12
In reference to the student services corps, we sent letters out to all the indiginous groups in the Oakland target area. We got the list from the Anti-Poverty Program, OADCI, . . .

Tactic: Used direct-mail to reach specific groups. This tactic is related to the strategy P11.

P13
We had journalism students working on indiginous newspapers--mostly small papers, weekly, small daily . . . and we got valuable coverage in that way, you know, in the right place . . . to explain the program.

Tactic: Assigned journalism students as work-study interns on local papers. This tactic is related to the strategy P11.

P14
I'd recommend for anyone going to run a program like this that they keep their advisory committees really informed on what is going on. The typical college mailing list doesn't have inner city people on it so you could be sending out a mailing with news of your program--say a newsletter on community services activities--and your advisory committee wouldn't even get it. The advisory committee is a key to a program like this.

Tactic: Established a specific means to keep advisory committees informed. This tactic would appear to be of special importance in a multi-campus, major program involving great numbers of people. This practitioner expressed the opinion that their program would have been stronger had they had more input from the advisory committee and that the quality level of such input is directly related to good communications. (Related to P2.)

P15
At the end of 2 years the O.E.O. money was going to run out. At first we thought there would be an orderly transition to a college program . . . Then it became evident that this was not going to happen. We called a series of meetings to work out what mechanisms were needed to blend the program into the college . . . Finally we called a meeting and had a knock-down, drag-out session with the college administration . . . the president and the deans were there . . .

Strategy: Accepting confrontation as an essential element of the change process when other means fail. Confrontation is identified as a tactic, a "direct challenge to the leadership of the client system by those who wish to bring about change" (39: Appendix A, 5). In this case the confrontation was not with a client system but with another part of the change agency, the community college. This is illustrative of the multi-dimensional relationships a practitioner must maintain; with a primary client system (those to be helped); and secondary client systems such as employers, local social agencies, funding agency offices, and other divisions of the college.

P16
If I were to do the program again, I'd want to see someone at each campus be responsible so that there would be continuity when the funding source switched.

Strategy: Establishing an internal change agent. Lippett, et al., and Havelock note the crucial importance of establishing an "insider" who will act to continue the program (39:57).

Following is the listing of strategies and tactics induced from a content analysis of the interview with the Peralta practitioner. They are presented in the order described by the practitioner except as indicated. (*Repositioned by the author.)

1.	Strategy: Procuring necessary resources for program development.	P1
2.	Strategy: Establishing a community-wide advisory committee.	P2
3.	Tactic: Provided for ad hoc committees to do special projects for advisory committee.	P3
4.	Tactic: Established a specific means to keep advisory committee informed.	P14*
5.	Strategy: Employing indiginous staff members.	P10*
6.	Strategy: Developing and packaging a visably practical program for clients.	P6*
7.	Tactic: Maintained sufficient flexibility in administrative structure to address new needs.	P4
8.	Tactic: Used nominative procedures from constituences to identify potential clients.	P5
9.	Tactic: Opened communication with local agencies through a conference.	P7
10.	Strategy: Providing feedback for the larger constituency.	P8
11.	Tactic: Invited client groups to seminars at the college.	P8A

12. Tactic: Invited client group leaders to make presentations at the college. P8B

13. Tactic: Held street fairs and festivals to build group identity. P9

14. Strategy: Adopting a multi-media approach to attract large numbers of clients. P11

15. Tactic: Used direct-mail to reach specific groups. P12

16. Tactic: Assigned journalism students as work-study interns on local papers. P13

17. Strategy: Accepting confrontation as an essential element of the change process when other means fail. P15

18. Strategy: Establishing an internal change agent. P16

Interview III: Lake Michigan College. Program: Institute for Professional and Paraprofessional Studies

L1
Members of our staff (community services) realized that there were people in our community that were doing jobs they were not specifically prepared for (in social agencies) . . . We undertook a great deal of investigation, collecting research materials, and talking to persons in the agencies.

Tactic: Conducted a survey of client needs. Havelock identifies this tactic and associates it with the RD&D perspective.

L2
After we had done the research, we realized that what was needed was beyond the resources of the college to offer. We thought about a consortium of institutions--meaning Lake Michigan College, Western University, Andrews University, and Michigan State University . . . We got representatives of each institution together to work on the project . . . You see, the reason for establishing the consortium was that we did not have the expertese at our college.

Strategy: Establishing a consortium, a linkage with other colleges, to broaden the institution's capabilities. In Chapter II, linkage was defined as "The process by which various parts of a social system, such as a community college, learn to act as a single unit in order to achieve specific purposes" (70:40). Myran and other authors have suggested that the community college's greatest strength in making an impact on social problems is to work cooperatively (linked) with other community agencies. He also notes that the college is likely to have its closest linkage with other educational agencies (70:46). Program cooperation, such as that noted in L2, is the deepest level of linkage, according to Myran (70:46). This kind of inter-institutional cooperation is also an example of the linkage perspective on change and innovation suggested by Havelock. In this situation, Lake Michigan College is the user system. The problem-solving process was initiated by them and the other universities serve as resource systems.

L3
At this point it was important for us to consider the question of funding. We applied for Title I funding but were turned down on a technicality . . . we would have had to wait for a year . . . we decided to keep looking and applied to Model Cities . . . They took a look and decided it was the kind of thing they could fund . . . We supplemented this with contributions from the Kellogg Foundation and contributions in kind from the three universities.

Strategy: Procuring necessary resources for the program.

Tactic: Sought funding from alternate sources (L3A). This tactic is related to the strategy L3. Funding is an important strategic consideration in the programs here under study. As noted earlier, funding strategies and tactics are not mentioned in the literature, in spite of their importance, except by Havelock.

L4
Model Cities had already identified the seven large or major problem areas in the community. We used this as the basis of our program.

Tactic: Used data already assembled by agencies.

L5
We just went out to each agency individually. We spoke to the director first . . . Then we spoke to the people in the next level, and so on, until we got to the participants (clients) . . . A number of things they wanted were similar . . . It fell into a pattern . . .

Tactic: Conducted additional client need surveys as necessary for specific purposes. This tactic is a repeat of tactic L1 but it was conducted in greater depth at a later date when additional input on client needs was needed. It is an excellent example of the suggestion made by several authors that planned innovation does not proceed in an orderly sequence through clearly defined stages. Lippett, et al., say "Most change processes probably proceed by a kind of cyclic motion . . ." (53:130). This is demonstrated in tactic L5.

> L6
> The next step was building the curriculum . . . The Model Cities survey of needs was my mandate . . . I said this is what they want done . . . For instance here is a course here, "Available Community Resources." The next step was to translate that into a curriculum . . . We also used what we had learned in our careful interview coverage at the agencies. The first course was entitled temporarily "Sensitivity and Listening Techniques." This came from talking to people in the agency. They told us what kind of experience they wanted us to offer.

Strategy: Relating the innovation or solution to data collected from local agencies. This is probably the educational counterpart of the RD&D tactic identified by Havelock as Product development in which the "product" or innovation has been so carefully constructed that user problems have been anticipated (39:Appendix A, 8).

L7
We had to find somebody, someplace in this big community to teach that course. That meant working with a number of educators. We couldn't find one man to teach the whole course. It was too diverse. I went to Dr. X at Michigan State who pulled the whole thing together. His job was not to teach the course but to find the people who can do this . . . He suggested a number of experts from diverse fields.

Tactic: Employed a consultant to provide expert help.

Havelock provides the PS strategy Consultation which has a special meaning derived from "mental health consultation," that is, a technique of helping a client system to define its own role and work through its own problems by means of reflection and authentic feedback. Both of these are identified as PS tactics (41:4). Consultation in L7 obviously has a different meaning.

L8
We selected students on the basis that they were working at a certain agency (community social agency)--professional or paraprofessional--and each agency had a certain number of slots . . . The Model Cities funds were used to cover tuition. Students did not pay . . . One of the things that is necessary also is released time for participants. Each agency agreed to release participants one-and-one-half-hours early twice a week.

Strategy: Developing and packaging a visably practical program for clients.

Tactic: Arranged for released time for clients to attend program (8A).

L9
We were not interested in general publicity. We were shooting directly into the agencies in which we were interested in and concern with . . . Of course we did make a statement to the papers, "LMC is doing such and such," but we made it clear that it was a closed course.

Strategy: Conducting limited publicity on programs when resources are limited.

L10
We did a simple sheet with course descriptions, stated times and places and other mechanical detail and we delivered these to the agencies and said "This is what we are going to do." We provided "sign-up" cards to each agency.

Tactic: Prepared simple descriptive literature and materials to known client groups. This tactic is related to strategy L9.

L11
After one year of operation we have raised some eyebrows--but the apprehension has disappeared . . . We build good relationships with the agencies by speaking to them individually, by keeping them informed, and up with what was going on; and showing them how it will be evaluated . . . and we listened for feedback . . . they all felt they were making some input into the development of the program.

Strategy: Establishing mechanisms for continuing interaction and feedback with agencies.

L12
We get feedback from every class through an evaluation form. A typical form will have 4 or 5 areas . . . We use it every evening, that is, we have an evaluation of each class . . . We get "that" (form) back from 172 people every meeting and you can tell if they like what is going on . . . For example, session number four, 85.9% of the participants thought that the lecture was excellent or superior.

Tactic: <u>Obtained feedback on the program from clients through regular use of evaluation forms</u>.

Following is a listing of strategies and tactics induced from a content analysis of the interview with the Lake Michigan College practitioner. They are presented in the order described by the practitioner.

1. Tactic: Conducted a survey of client needs. L1

2. Strategy: Establishing a consortium, a linkage with other colleges, to broaden the institution's capabilities. L2

3. Strategy: Procuring necessary resources for program development. L3

4. Tactic: Sought funding from alternate sources. L3A

5. Tactic: Used data already assembled by agencies. L4

6. Tactic: Conducted additional client need surveys as necessary for specific purposes. L5

7. Strategy: Relating the innovation or solution to data collected from local agencies. L6

8. Tactic: Employed a consultant to provide expert help. L7

9. Strategy: Developing and packaging a visably practical program for clients. L8

10. Tactic: Arranged for released time for clients to attend program. L8A

11. Strategy: Conducting limited publicity on programs when resources are limited. L9

12. Tactic: Prepared simple descriptive literature and materials for known client groups. L10

13. Strategy: Establishing mechanisms for conducting interaction and feedback with agencies. L12

14. Tactic: Obtained feedback on program from clients through regular use of evaluation forms. L12

Interview IV: Genessee County Community College. Project: Community Counseling for Mature Women

G1
The dean of students had interviewed every woman of a certain age (in the student body) about a year before we started . . . She was horrified to find that a lot of them had needs we could have met if we'd known about it at the time they were attending college.

Tactic: Conducted a survey of client needs. Havelock has identified User need surveys as an RD&D tactic (41:13).

G2
The opportunity to do something--to start a program providing this service we knew was needed--came along. We had to write the proposal in a hurry, though . . . For Title I. We found out one week and we had to get the project in in two weeks.

Strategy: Procuring necessary resources for program development.

G3
Our original plan was that we would help mature women attending college. As we got into the program (after funding) we found many other women with great needs and we adjusted our program to help them . . . You see, you need an innovative 6 months to get the thing going. If you have to declare what all you're going to do the first minute you hand it in, you get locked into all kinds of things you

don't want to do . . . Private funding sources like Ford, Kellogg, and so on, allow a planning period. They presume the first 6 months are going to be spent in planning.

Strategy: Maintaining maximum flexibility in early programming. The specific steps to carry this out as the RD&D tactic Successive approximation. Involved is a movement from an ideal model, constructed from the best information availab,e towards a sueful product which will work in the particular setting in which you are involved (41:13-14).

G4
We held a day-long conference at the "Y" and invited everyone who was interested in the program.

Tactic: Held a workshop of all interested parties to familiarize them with the program and to get their input. Havelock notes the use of a Temporary system to bring together a mix of new and familiar people in order to introduce a program to them. The setting is often "distinct from the normal daily environment" as it was in this example. He notes that lasting associations may spring from such temporary systems (39:Appendix A, 10).

G5
You can't just talk to the people you know like the YMCA, the League of Women Voters . . . the usual middle-class groups . . . you are getting the same message over and over . . . You must move out and spend time with inner-city groups, like church groups . . . The help I had that gave me

glimmer (of the need) was that I knew some women in the North End, right in the Ghetto, from another project I had been involved in.

Strategy: Involving clients in program planning.

G6
I decided to go out speaking to the women's groups and clubs I could find (in the Ghetto) to get word of our program out and to find out what kind of services they needed.

Tactic: Sought out meetings with client groups to tell of program and learn their needs. This tactic is connected with strategy G5.

G7
In determining the needs of clients you have to learn to listen to all kinds of voices in every group and to actively seek out opinions . . . Each administrator has their "honchos" who they rely on for finding out how Blacks or Chicanos or poor or whatever feel about an issue . . . but you can't just rely on the vocal or the one with influence to "sell." . . . Some of the quiet ones will say "Why don't you ever ask us?"

Tactic: Sought out personal conversations with clients--both the ones who come forward and the ones who don't. This tactic is connected with strategy G5.

G8
We sent out a mailing to all the women at the community college above a certain age to find out what kinds of things they wanted . . .

Tactic: Solicited client input through letters. This tactic is connected with strategy G5.

G9
We started a series of interviews with women students to find out more exactly "What can we do?"

Tactic: Conducted interviews to get client input. This tactic is connected with strategy G5.

> G10
> We found there are so many women who are house-bound . . . we got a tremendous response in passing our telephone number out--just the usual kind of business cards. I was amazed!

Tactic: Solicited client input through their telephoning you. This tactic is connected with strategy G5.

> G11
> We did some limited publicity in the newspaper . . . trying to be a little vague about what we do and de-emphasizing anything to do with therapy . . . we knew there were needs we could not meet.

Strategy: Conducting limited publicity when the resources are limited.

> G12
> We very rapidly had to set up a system for referrals--for jobs, for treatment . . . One of the first groups seeking help were the mentally ill, who we could not help and needed to refer . . . The people who were first to answer the public response were the people who were either desperate for a job or who needed psychiatric treatment.

Tactic: Established working relationships with agencies for client referrals. The need for the community college community service division to establish linkages to accomplish things which could not alone do, as noted by Myran (70:45), is evidenced in this tactic.

G13
We learned as we went along how you really communicate . . . you have to learn who in the community talks to whom. You use them to communicate to others.

Tactic: Used informal channels of person-to-person communication. Havelock notes the importance, in the relationship stage, of identifying both the formal and the informal channels in the client system--the official leaders and the "influencials" (39:40). A great deal of theory exists in this and related areas, that is, on the questions of how individuals and groups accept innovations and how the change agent can utilize this knowledge. Rogers notes the origin of the now well-known "two-step hypothesis" of communications which emerged from the Lazarsfeld, et al., study of the 1940 presidential election. This hypothesis suggests that innovations spread from sources of new ideas via relevant channels to opinion leaders and from them by way of personal communication channels to their followers (88:213). These and related matters are areas useful to change agents.

G14
A program like this is all personal interaction; one to one, personal, direct, specific attention . . . . You follow up with specific people . . . you call them on the phone, send a note, see them someplace; really letting them know you cared. Saying "Let me know how it turns out."

Strategy: Building a positive trust among clients and practitioners.

G15
Don't try to organize the clients or put them into a separate group. They told me "Don't tell us to bring our husbands and come to a damn pot-luck supper."

Tactic: Did not isolate clients by calling attention to their difference. This tactic is related to strategy G14.

G16
We set up a separate home base for them--a place where they could come in and have coffee and study with their friends . . . to talk about their problems.

Tactic: Provided a physical "retreat" or room for client use. This tactic is related to strategy G14.

G17
They (the clients) socialized together--studied--ate. There were tables in the cafeteria where they went every noon. I met and talked and found out what was going on. They would say, "Oh, I've been looking for you," and then we'd talk about the problem right there. This was how I got feedback.

Tactic: Sought out clients on an informal basis for feedback on the program. This tactic is related to strategy G14.

G18
We started having evening hours . . . It suited the women to come then . . . They wanted to come on Saturdays; so we opened. You can't set up 9 to 5 hours if you want to help them. You must say "When do you want to see me?"

Tactic: <u>Arranged program hours to suit clients</u>. This tactic is related to strategy G14.

G19
We utilized academic counseling to get at personal counseling. When a woman came in to talk about her English class she started talking about her personal problems, like, "I'm getting a divorce. Where do I get legal aid?" We found the academic end of it a convenient and safe handle.

Tactic: <u>Utilized the success/acceptance of one program to develop other programs</u>.

Following is a listing of strategies and tactics induced from a content analysis of the interview with the Genessee practitioner.

1. Tactic: Conducted a survey of client needs. G1

2. Strategy: Procuring necessary resources for program development. G2

3. Strategy: Planning on a period of adjustment to shape your program (the innovation or solution) into a more useful state. G3

4. Tactic: Held a workshop of all interested parties to familiarize them with your program and to get their input. G4

5. Strategy: Involving clients in program planning. G5

6. Tactic: Sought out meetings with client groups to tell of program and learn their needs. G6

7. Tactic: Sought out personal conversations with clients--both the ones who came forward and the ones who don't. G7

8. Tactic: Solicited client input through letters. G8

9. Tactic: Conducted interviews to get client input. G9

10. Tactic: Solicited client input through their telephoning you. G10

11. Strategy: Conducting limited publicity when the resources are limited. G11

12. Tactic: Established working relationships with agencies for client referrals. G12

13. Tactic: Used informal channels of person-to-person communication. G13

14. Strategy: Building a positive trust among clients and practitioners. G14

15. Tactic: Did not isolate clients by calling attention to their differences. G15

16. Tactic: Provided a physical "retreat" or room for client use. G16

17. Tactic: Sought out clients on an informal basis for feedback on the program. G17

18. Tactic: Arranged program hours to suit clients. G18

19. Tactic: Utilized the success/acceptance of one program to develop other programs. G19

<u>Interview V: Washtenaw Community College. Project: Step Up</u>

W1
There was a decision to get businesses together under the leadership of the Chamber of Commerce, the Human Relations Development Council and the College to do something about job opportunities for minorities and those whites who were in the very low socio-economic strata. About 33 local businesses got involved--of many descriptions--banks, factories, small businesses, large ones. There were a series of meetings with high echelon people, you know, presidents, vice presidents, managers, of the various enterprizes.

Strategy: <u>Establishing a network of influencial people as a first step in approaching a problem</u>. Havelock identifies the SI strategy <u>Network building</u> and notes that once established, a network may provide an effective medium for the diffusion of other, related, innovations (41:9).

W2
The outcome was that they (the network) agreed to sponsor and fund the program--that each participant would contribute a certain amount to make available a working fund.

Strategy: <u>Procuring necessary resources for program development</u>.

W3
A survey of community agencies was conducted through use of a questionnaire to determine how many people would likely require such a service (job training for employment).

Tactic: <u>Conducted a survey of client needs</u>.

W4
The understanding was that I (practitioner) was responsible for coordinating the training efforts at the College; the Chamber was responsible for job placement; and the recruitment (for the program, i.e. the clients) was to be handled by the Council. . . . I found that our plans had to be changed. I found that I was doing the placement since the Chamber man had left and the recruitment too since the Council was doing very little.

Tactic: Maintained sufficient flexibility in administrative structure to address new needs.

W5
The survey had identified about 200 potential trainees but a lot of time had elapsed between the survey and our initiation of the program . . . I had to go out into the community and seek these people out. To do this I contacted many agencies such as the Department of Social Services, the Employment Security Commission, the Housing Commission, and churches--through personal visits. This served to identify me and to let them know the program was finally underway.

Strategy: Establishing working relationships (linkages) with community agencies. As in other cases noted in this study, this illustrates the point made by Myran that "The college's greatest strength . . . lies in its ability to work cooperatively . . . with other community organizations" (70:45).

W6
We had a series of meetings with the Chamber and the representatives of the participating companies to inform all involved that the program was underway and how it was working . . . to build their support.

Strategy: Establishing mechanisms for continuing interaction and feedback with agencies.

W7
I was always getting publicity about the program--both local papers, radio, sometimes TV--to let people know about the existence of the program and what it was about. Whenever we graduated a class we publicized the number trained to date and information about the next program. The businesses like this, of course.

Strategy: Adopting a multi-media approach to attract large numbers of clients.

Tactic: Emphasized funding sources in publicity to encourage continued support (W7A0.

W8
As part of the program we conducted tours for trainees to job sites, to plants, and to places of business. The personnel managers wanted this too. The purpose was to give employers an opportunity to look at the people . . . take applications . . . mostly it was a question of letting them (employers) meet some of the people (trainees/clients) to learn that they were not "other world monsters" that we have categorically called "disadvantaged" but that they are real human beings that need an opportunity.

Strategy: Building a positive relationship between primary and secondary clients.

W9
Our program was basically a job orientation . . . to give them (clients) the social skills to get a job and to hold it . . . most had had negative experiences in the work world. They were paid $1.60 per hour to attend--an incentive. We ran it as a work simulation. They operated as if they were in a work situation. They were expected to be there on time. If they showed up they would be paid; if not they were docked.

Strategy: Developing and packaging a visably practical program for clients.

Tactic: Created a work-like situation in training (W9A).

W10
As the majority of these persons (clients) were Black, we had some discrimination . . . we had anticipated doing some sensitivity training with the employer staffs, like personnel men and foremen--but we were unable to do this . . . We should have done it. I was constantly writing letters and on the phone to point out artificial blockages that some employers put up which were racially motivated . . . I protested these things . . . Others, seeing what was happening tried to compensate for this.

Tactic: Created a better understanding of minority group mores and needs on the part of employer work force.

W11
There were not contracts that these people (clients) would be employed. But there were promises which were tantamount to a contract.

Tactic: Obtained clear understanding of post program relationship between primary and secondary clients (employers).

W12
After the economic situation got so bad last year, we decided we should turn to another source of funding. The local companies did not have the funds to continue and they didn't have the need for the workers . . . We decided we would go after funds from the National Alliance of Businessmen. . . . To do this we put together a consortium largely of the same companies but we also made a special effort to recruit small companies who could hire 1 or 2 persons--we felt there were many of them . . . The University of Michigan joined, but as one of the largest employers in the area.

Strategy: Establishing a consortium, a linkage with employers in the area, to undertake continuance of the program.

Tactic: <u>Sought funding from alternate sources</u> (W12A).

> W13
> The consortium is a group of employers who enter into a contract with the Department of Labor who provided training funds . . . The College works on a sub-contract with the consortium to provide the training.

Tactic: <u>Utilized contracts to set forth the relationship between the consortium and a funding source and between the consortium and the college as sub-contractor</u>. This tactic is related to strategy W12.

> W14
> I had to build a relationship with the people I was trying to help (clients); also the employers and the agencies; and the college people . . . I was unknown to the college people and they didn't seem to understand . . . I had to go around to each division chairman a number of times--the instructors too. Some of them come in and do their job and take off. They seem to say, "What do I care about what's going on at the college?"

Strategy: <u>Establishing working relationships (linkage) with clients, employers, agencies, and other divisions of the college</u>. This strategy is illustrative of the multi-dimensional concerns the practitioner must have. The value of linkages between the college and community organizations has been noted earlier. Myran also notes that "There is general agreement that, in reality, community services is the responsibility of the total institution rather than of the community services staff only" (70:41). As illustrated here, this "general agreement" sometimes does not permeate throughout the college.

W15
We branched out from our "Step-Up" program to do special programs for agencies . . . I sold programs to other agencies like the Ypsilanti State Hospital, for example. We ran a number of groups for them--things like food service training--but "Step-Up" was the start of it . . . We used the "Step-Up" orientation package in a program we did for the State Department of Education; to train 40 men for retail tire dealer service mechanics.

Tactic: Utilized the success/acceptance of one program to develop other programs.

W16
The key point in making it go was that I made a determination that the program was going to be successful in spite of all the problems and all the opposition and the changes . . . I felt it was really worthwhile . . . I worked night and day; but I thought, "Nobody else is going to do this. It's up to me."

Strategy: Placing the responsibility for the development of a successful program where there are difficultires with one person who is personally committed to make it work.

Following is a list of strategies and tactics from a content analysis of the interview with the Washtenaw practitioner. They are presented in the order described by the practitioner except where noted by an asterisk.

1. Strategy: Establishing a network of influencial people as a first step in approaching a problem. W1

2. Strategy: Procuring necessary resources for program development. W2

3. Tactic: Conducted a survey of client needs. W3

4. Tactic: Maintained sufficient flexibility in administrative structure to address new needs. W4

5. Strategy: Establishing working relationships (linkages) with community agencies. W5

6. Strategy: Establishing working relationships (linkages) with clients, employers, agencies, and other divisions of the college. W14*

7. Strategy: Establishing mechanisms for continuing interaction and feedback with agencies. W6

8. Strategy: Adopting a multi-media approach to attract large numbers of clients. W7

9. Tactic: Emphasized funding sources in publicity to encourage continued support. W7A

10. Strategy: Building a positive relationship between primary and secondary clients. W8

11. Tactic: Obtained a clear understanding of post-program relationship between primary and secondary clients (employers). W11*

12. Strategy: Developing and packaging visably practical program for clients. W9

13. Tactic: Created a work-like situation in training. W9A

14. Tactic: Created a better understanding of minority group mores and needs on the part of employer work force. W10

15. Strategy: Establishing a consortium, a linkage with employers in the area, to undertake continuance of program. W12

16. Tactic: Sought funding from alternate sources. W12A

17. Tactic: Utilized contracts to set forth the relationship between the consortium and a funding source and between the consortium and the college as sub-contractor. W13

18. Tactic: Utilized the success/ acceptance of one program to develop other programs.

19. Strategy: Placing the responsibility for the development of a successful program where there are difficulties with one person who is personally committed to make it work. W16.

<u>Interview VI: Delta College.</u>
<u>Project: Women's Opportunity Workshop</u>

D1
We talked to people who operate job training programs and in most cases these programs were long, quite long, and therefore threatening to these women. The Department of Social Services told us these women simply will not come if they think they are going to have their children baby-sat for long periods. And they are not used to getting out of the house.

Tactic: <u>Conducted an investigation of client needs through contact with local agencies</u>. This is a version of the RD&D tactic identified by Havelock as <u>User need survey</u> (41:13).

D2
We decided on 4 weeks in which we could get in counseling and enough skill training so they could achieve . . . the aim was the creation of a successful experience . . . This is a job entry program and this is what makes it different from a WIN program. We are not saying "You are going to have a job at the end of this program." We are building self-confidence, image, and in a non-threatening situation.

Strategy: Developing and packaging a visually practical program for clients.

D3
Our initial support for the program was from the College.

Strategy: Procuring necessary resources for program development.

D4
We ran a pilot program in Bay City (one of three cities served by the college), in order to establish a way to select students and to establish priorities. We were having a hard time selling the program to the case workers . . . they thought it was "just another program." . . . we took anything but the cream of the crop for our case study; they were mostly women who couldn't get anything else--they were drop-outs from their own programs.

Tactic: Conducted an experimental demonstration or pilot program to convince others of the value of your program and to test your assumptions. Experimental demonstration is an RD&D tactic identified by Havelock. He notes that the purpose is to show clearly and dramatically that the innovation does make a difference. Also, the demonstration must be in a natural setting (41:13). This example is not "pure RD&D" because the Delta practitioner was testing out some of her assumptions for full-scale program use.

D5
We used a survey of the cities as far as job opening available to arrive at what courses we intended to offer. We picked course or job areas where we had some hope of placing our clients.

Tactic: Obtained or made a survey of secondary client needs (employers).

D6
We used a counseling staff of five psychologists. A lot of people say "Why test disadvantaged?" And granted there are no good tests for disadvantages . . . But we needed something to go by. We had hour-long interviews with each individual after we gave them the testing battery.

Tactic: Used the best tests available to determine developmental status of the clients as a basis for curriculum planning.

D7
One of the keys in this thing is to tie in with the Department of Social Services so that they follow up with the gals in channeling them into local jobs, or part-time job, or education, or vocational training.

Tactic: Established a working relationship (linkage) with a specific agency to complete a specific part of the program.

D8
If you can start out in a quiet manner and find out how to do it . . . that's the whole secret--don't make too much noise at first . . . You can over-sell something, that was Head Start's problem . . . We got the word out about the program (at the start) through the social services, the Chamber, O.E.O. . . .

Strategy: Conducting limited publicity on the program until the success of it is certain.

D9
We built in criteria for evaluation of the program before the program began . . . We set it up, not on grades, but on attendance, listening ability, attitudes--the things that count . . . We've completed the evaluation . . . We have an outcome above that of the level of the regular college student. We found that the degree of commitment is higher. We had a lower drop-out rate. The degree of achievement was higher.

Strategy: Setting up an evaluation procedure and criteria before the program begins so that you have objective evidence of success.

D10
The Department of Social Services selected the participants. We had no responsibility as to who would participate. We drew no criteria except that they had to be literate.

Tactic: Arranged for a social agency to select the participants especially where the need is greater than the ability of the program to meet it.

D11
We got into publicity on the program because we are a credit society. The Department of Social Services wants credit; so does D.V.R.; and the college. We were careful on how we handled it . . . only with permission of the client. We took no pictures in class. The publicity rarely mentioned that they were receiving A.D.C.

Tactic: Provided publicity to meet needs of the agencies (secondary clients) involved but respected client's concerns.

D12
We began to have real success when we began to get across to them that we respected them as individuals--we liked them for what they were and that we felt they could achieve . . . Building their self-image is very important . . . If there is one thing a welfare person has it is their failure syndrome . . . We must devise successful experiences for them.

Strategy: Building individual client self-image.

D13
It's important to get them on a college campus. People say "go into the inner city and rent space and do your program there." That's not the idea. We have a graduation at the end. We give them a certificate. It's probably the only graduation many of them will ever have. They are uniquely proud of the fact that they came to the campus . . . They went to college.

Tactic: Utilized the college campus and certificates to build client self-image.

D14
It's a major problem when you have the distance range . . . Bay City is 7 miles; Midland is 20; Saginaw is 15; and no public transportation. . . . We found out who had cars--pin-pointed it on a map. The driver was reimbursed . . . It worked out as an advantage. It became a peer group situation. The girls had formed a relationship . . . one could not say "I'm sick" and not go in the morning because they had to explain. It worked out beautifully to keep attendance up.

Tactic: Utilized peer group pressure to improve client performance. This tactic is similar to the PS tactic identified by Havelock, Group observation and process analysis (88A:6). This kind of activity helps facilitate adjustment to changes.

D15
The clients are very verbal. They will tell you what they like and don't like--much more so than regular college students. At the end we had a 3-page evaluation form. This will be useful in the program.

Tactic: Obtained feedback on the program through regular use of evaluation forms.

D16
We are just getting into our second year. We have requested funding from the Department of Vocational Education in Lansing. We plan to expand the program.

Tactic: Sought funding from new source to expand the program.

Following is a listing of the strategies and tactics induced from a content analysis of the interview with the Delta practitioner. They are presented in the order described by the practitioner except where noted by an asterisk.

1. Tactic: Conducted an investigation of client needs through contact with local agencies. D1

2. Strategy: Developing and packaging a specific program for clients. D2

3. Strategy: Setting up an evaluation procedure and criteria before the program begins so that you have objective evidence of success. D9*

4. Strategy: Procuring necessary resources for program development. D3

5. Tactic: Conducted an experimental demonstration or pilot program to convince others of the value of your program and to test your assumptions. D4

6. Tactic: Arranged for a social agency to select the participants especially where the need is greater than the ability of the program to meet them. D10*

7. Tactic: Obtained or made a survey of secondary client needs (employers). D5

8. Tactic: Used the best available tests to determine developmental status of the clients as a basis for curriculum planning. D6

9. Tactic: Established a working relationship (linkage) with a specific agency to complete a specific part of the program. D7

10. Strategy: Conducting limited publicity on the program until the success of it is certain. D8

11. Tactic: Provided publicity to meet the needs of the agencies (secondary clients) involved but respect client's concerns. D11

12. Strategy: Building individual client self-image. D12

13. Tactic: Utilized the college campus and certificates to build client self-image. D13

14. Tactic: Utilized peer group pressure to improve client performance. D14

15. Tactic: Obtained feedback on the program through regular use of evaluation forms. D15

16. Tactic: Sought funding from new source to expand the program. D16

Interview VII: Quinsigamond
Community College.
Project: QUEST

Q1
My own orientation, my own disposition, determined pretty much what I wanted to do. I raised the question in an academic council, "What are we doing about community needs? We seem to be serving only the middle class in spite of the poor on our doorstep."

Strategy: Establishing an internal change agent. Here the practitioner, in his role as faculty member, began to act as a catalyst to develop an awareness of an unmet need and the formation of an innovation to meet that need. Havelock notes two other roles played by the change agent: that of solution giver and that of process helper. He notes that the roles are not mutually exclusive (39:9).

Q2
I read about a program that sounded like what I wanted to do so I visited that college (Harlacher at Oakland Community College).

Strategy: Observing innovations in action at another location before trying them. At the end of his book, Diffusion of Innovations, Rogers notes 52 "Generalizations" as the major conclusion of what is known about the diffusion of innovations. Two of these apply to Q2. "Earlier adopters are more cosmopolite than later adopters," and "Earlier adopters utilize information sources that are in closer contact with the origin of new ideas than later adopters" (46:313). Havelock identifies Inter-organizational visiting as a PS strategy (41:5).

Q3
I had some experience in writing proposals so I was asked to write a grant proposal for Title I support. I delivered the proposal in person and later went to the State office several times . . . I had to rewrite it.

Strategy: Procuring necessary resources for program development.

Tactic: Persisted in funding efforts through repeated visits, rewriting proposals, etc. (Q3A).

Q4
There were two other grant proposals being submitted to Title I from Worcester so representatives from the three colleges met to coordinate our proposals.

Strategy: Determining what other institutions in your area are or might be submitting to the same potential funding source you seek funds from.

Q5
Quinsigamond is part of the state system and the State of Massachusetts at first refused to accept the grant . . . So I got in touch with the local press . . . I called them deliberately to put on a little squeeze . . . I proceeded on an individual campaign . . . People aren't interested in change, so my orientation is to pressure . . . I sought out and met with a representative of the Governor's office.

Strategy: When seeking funds and support in a political context, utilizing the kinds of pressure politicians respond to. Both Rogers, who reviewed 506 studies for his 1962 book (88:55-56), and Havelock, whose team reviewed 3,931 studies for his 1971 book (40:1-16), found little or no diffusion research in political science. The author was unable to find any collection and codification of strategies and tactics used by politicians or by persons in "political" situations.

Q6
We held a major conference and invited community development and social work people from all over the state to the college--they used our facilities.

Strategy: Hosting a workshop or a conference to generate interest in the area of your proposed innovation. This is the Temporary system noted by Havelock (39:Appendix A, 10). Bennis and Slater have dealt with the implications of the growing use of temporary systems for major projects in The Temporary Society (7). Participation in a temporary system often produces new insights into old problems.

Q7
I started to generate--to seek out--relationships with agencies in the community . . . By this time I had "three rings" going--working on the State to release the money; seeking out agency contacts; and I had already begun some of my programs which the Title I grant would fund.

Strategy: Establishing working relationships (linkages) with community agencies. This statement describes the multi-dimensional nature of the role of the community services practitioner undertaking a social action program.

Q8
I had a Black student in several of my classes . . . I met with him several times and we were able to set up a Black identity club as we later called it . . . I attended a local block meeting several times; the area was mixed . . . I guess I was aggressive in these matters, seeking out a meeting such as this, because I recognized the need for involvement of community people.

Strategy: Establishing contacts or links with persons indiginous to the community or group you wish to help. "Linkages" are often looked upon as existing between groups, organizations, and institutions. Person-to-person linkages are also utilized in many situations. However, since a person may be seen as representing an institution--as occupying a role in the institution--true person-to-person linkages may be difficult to establish wne purposive action (seeking out of persons) is being undertaken versus unplanned, casual encounter.

Q9
I set up with a staff member, the director of continuing education, a faculty-administration-student community services committee to begin investigating the question "What are our responsibilities to the community?

Strategy: Organizing an internal committee (in your organization) to study and make recommendations in the area of your concern.

Q10
In fact, I avoided a confrontation (over the question of obtaining the Federal grant). The time was just not right.

Strategy: Withholding use of confrontation until you are certain of the outcome from its use. Havelock notes confrontation as a "high risk" tactic used either when it is known the leadership will change its position when shown how serious the need is and how strongly people feel about it, or, when the leadership can be overcome (39:Appendix A, 5).

Q11
I got in touch with a couple of State senators to get the grant . . . We had to resubmit it . . . We played the whole political game. I had seen it all done before, on a previous job . . . I indicated to the State that there were terrific local expectations which existed because word of the grant had been in the local papers. It was a matter of keeping the pressure on . . . I just kept after it . . . It was probably all of the things combined which finally got the grant approved . . .

Strategy: Placing the responsibility for the development of a successful program where there are difficulties with one person who is personally committed to make it work.

Q12
I started to get some commitment to the program from the college. They reduced my teaching load.

Tactic: Obtained reduction of other duties for persons working on community service social action programs as a form of commitment by the colleges.

Q13
I contacted the national office of AAJC (American Association of Junior Colleges) in Washington during the writing of the proposal so that they would be involved in evaluation as part of the in-kind contribution.

Strategy: Building evaluation plans into the program from the start.

Tactic: Involved the national association with "jurisdiction" in the evaluation process to both legitimatize and add weight to a successful outcome (Q13A).

Q14
I tried to get the program (Remedial-Tutorial for Black Students) funded by local industries . . . I was attempting to get some financial commitment from the consortium.

Tactic: Sought funding from additional sources.

Q15
I met with the Model Cities task force as part of the legitimatization process with the community.

Strategy: Establishing working relationships (linkages) with local offices of Federal agencies.

Q16
I saw the faculty-administration-student *ad hoc* committee as a necessity in soliciting support from the rest of the faculty.

Strategy: Establishing understanding of and support for the program by the faculty of the college, through their involvement.

Q17
We (ad hoc committee) identified the problem very easily. There were Blacks in the immediate area . . . in the College district . . . It was obvious. Clearly there were not Blacks in the College.

Tactic: Defined the problem preparatory to seeking a solution.

Q18
I set up a task force of college and community representatives. I tried to get broad input . . . from faculty and from different parts of the community . . . from other colleges in the city . . . from the school system . . . from agencies and the consortium. We tried to plug into all the groups to give us guidance in our program.

Strategy: Organizing a community-wide committee to study and make recommendations in your area of concern.

Q19
I had seen a newspaper work in another community . . . to focus on problems and bring people into it. The local problem seemed to be a communication problem. The people who needed help lived in different places . . . pockets. I decided a priori this is what was needed here. We paid for the first edition of the paper from the publications budget of the grant . . . The paper is still going.

Strategy: Installing a solution "fait accompli" if certain it will work. This is an RD&D strategy identified by Havelock. The change agent immediately installs an innovation without consultation with the client or the building of awareness in the belief that the user benefits will be so apparent and so great that the long-run good of the client will be served. Often this is done when initial resistance is expected to be great, according to Havelock, and it is done with some risk (41:12). It appears that this tactic of Fait accompli is used with little risk and without client consultation when the client needs are enormous and a great many different solutions or innovations could all be used with success. As Havelock notes, "The ethical problems inherent in this approach are obvious" (41:12).

Following is a listing of strategies and tactics induced from a content analysis of the interview with the practitioner from Quinsigamond. They are presented in the order described by the practitioner except where noted by an asterisk.

1. Strategy: Establishing an internal change agent.

2. Strategy: Observing innovations in action at another location before trying them out. Q2

3. Strategy: Procuring necessary resources for program development. Q3

4. Tactic: Persisted in funding efforts through repeated visits, rewriting proposals, etc. Q3A

5. Strategy: Building evaluation plans into the program from the start. Q13*

6. Tactic: Involved the national association with "jurisdiction" in the evaluation process to both legitamize and add weight to a successful outcome. Q13A*

7. Strategy: Determining what other institutions in your area are or might be submitting to the same funding source you seek funds from. Q4

8. Strategy: Hosting a workshop or a conference to generate interest in the area of your proposed innovation. Q6*

9. Strategy: When seeking funds and support in a political context, utilizing the kinds of pressures politicians respond to. Q5

10. Strategy: Establishing working relationships (linkages) with community agencies. Q7

11. Strategy: Establishing contacts or links with persons indiginous to the community or group you wish to help. Q8

12. Strategy: Organizing an internal committee (in your organization) to study and make recommendations in the area of your concern. Q9

13. Strategy: Withholding use of confrontation until you are certain of the outcome from its use. Q10

14. Strategy: Placing the responsibility for the development of a successful program where there are difficulties with one person who is personally committed to make it work. Q11

15. Tactic: Obtained reduction of other duties for persons working on community service social action programs as a form of commitment by the college. Q12

16. Tactic: Sought funding from additional sources. Q14

17. Strategy: Establishing working relationships (linkages) with local offices of Federal agencies. Q15

18. Strategy: Establishing understanding of and support for the program by the faculty of the college through their involvement. Q16

19. Tactic: Defined the problem preparatory to seeking a solution. Q17

20. Strategy: Organizing a community-wide committee to study and make recommendations in your area of concern. Q18

21. Strategy: Installing a solution "fait accompli" if certain it will work. Q19

Interview VIII: San Mateo College.
Project: Community Development Program

S1
The "significant others" . . . I learned that lesson early and well. You find out who the "significant others" are. They aren't necessarily who you think they are at first. You have to develop a skill to sense who the key people are who are going to ultimately make a decision. You must reach them and gain acceptance of your plan.

Strategy: Determining who the persons are who will ultimately make the decisions related to acceptance of the program(s).

S2
You have to go back and study a past situation--this is what I do--find a similar situation. To find out who has the power in a community you have to have some sort of an issue . . . you have to watch them in operation . . . or get someone to relate it to you. People with power don't "put it on" every day--they only "wear it" when they have to.

Tactic: <u>Studied past situations, similar to the one you are contemplating, to find out who has the power</u>. This tactic is related to strategy S1.

S3
What we wanted to get at, to solve--the innovation--was kind of an economic thing. To get it spelled out we organized community councils; lay groups put together to define the problems of their neighborhood and the community.

Strategy: <u>Establishing a community-wide advisory committee</u>.

S4
A program, to be successful, if it's going to be of lasting value, has to be seen by the members of the college community as part of that community. This means doing something of enough substance that the college community will accept it . . . If you are going to operate from a college setting your innovation has to be seen as being part of what they see as their philosophical commitment to excellence.

Strategy: <u>Organizing the solution to a defined problem in such a way that the college community can and will support it</u>.

S5
First you gain support . . . I didn't want to go off riding a bandwagon all by myself . . . I enlisted the support of key faculty people . . . through person-to-person contact . . . I sought out people who had in the past taken part in public service.

Tactic: <u>Recruited faculty who will support your program through personal contact with persons with a record of previous service in the area of your interest</u>. This tactic is related to strategy S4.

S6
To sell your program to the faculty, you must get to some of the "Old Buffalo Heads." They are the elders. When they finally make a decision they all shake their heads in unison. If you get some of the key old timers behind something, the rest fall in line.

Tactic: Recruited key persons whose decisions others respect and follow. This tactic is related to strategy S4.

S7
From the very beginning, I tried to find some way that, if we got the grant, the program would become a part of the mainstream of the college's existence . . . In essence I was trying to build an institutional commitment . . . You must find some way to build it into the institutional fabric.

Strategy: Considering those steps which could be taken to assure continuance. This is the "freezing" noted by Lewin as necessary to retain the new level of performance. Lippitt, *et al.*, note, "Too often change which has been produced by painstaking and costly efforts tends to disappear after the change effort ceases, and the system, which wanted to change, slips back instead into its old ways" (53:140). However, through evaluation, a decision must be made as to the desirability of retaining the innovation and presumably, continuing assessment is desirable less the preservation of the new innovation be pursued at the cost of still newer and better innovations to meet changed conditions.

S8
I've seen too many programs falter because it didn't have some one person to look after it when the project director who had started it decided to go elsewhere.

Tactic: Established a permanent office or role as a focus for the innovation to assure continuance of the innovation. This tactic is related to strategy S7.

S9
We had a little warfare . . . about where this new position would report (community services) . . . He ended up reporting directly to the president so that the president would be involved directly in this new program--the interest of his office would help to stabilize it. It made the point that outreach--external affairs--is as important as internal affairs.

Tactic: Considered the location of the office or role in the hierarchy of the administrative structure to assure continuance. This tactic is related to strategy S7.

S10
It's easy to get money--I went to Washington and made sure I saw the right people; agencies; congressmen . . . and at the State level, the same thing--and State level representatives of Federal agencies . . . I made them see the importance of our region to the State . . . and have them intercede with the people who were going to cut the pie, to see that we got our share.

Strategy: Procuring necessary resources for program development.

Tactic: Visited and convinced the Federal agency in Washington who will make the grant of the program's value (S10A).

S11
In coming into a new situation, you seek out and get tips on who the influencials are and you store them away . . . When your issue comes up, you can probably predict quite successfully where the shot is going to be called.

Tactic: Gathered and stored information on who the influencials are in different situations. This tactic is related to strategy S1.

S12
I would try not to do anything with him (the influencial person) in a formal setting until I've had the opportunity to meet him informally--have a drink with him--where he can get to know me and I to know him a little bit.

Tactic: Sought an informal meeting with the influencial person prior to a formal meeting. This tactic is related to strategy S1.

S13
If you're going to operate with people at the community level--this is the key really--you have got to have someone who operates at their level--not an expert really, but someone who is knowledgeable; not phony, someone they can trust.

Strategy: Selecting staff who can relate to clients.

S14
Sometimes we would use the money to hire consultants--we would go to the State University or someone privately. For the most part we were able to get local people . . . people with expert knowledge we needed.

Tactic: Employed a consultant to provide expert help.

S15
I don't place a great deal of weight on using all the various media to publicize a program. Word of mouth is the most effective. If you do an effective job of selecting your advisory committee they will lead you to your clients . . . As with the Chicano group, you plug right into them.

Tactic: Used informal channels of person-to-person communication to gain acceptance of an innovation.

This statement illustrates Roger's 4th "Generalization," that is, "Impersonal information sources are most important at the awareness stage, and personal sources are most important at the evaluation stage in the adoption process" (88:312).

Following is a listing of the strategies and tactics induced from a content analysis of the interview with the San Mateo practitioner. They are presented in the order described by the practitioner except where noted by an asterisk.

1.	Strategy: Determining who the persons are who will ultimately make the decisions related to acceptance of the program.	S1
2.	Tactic: Studied past situations, similar to the one you are contemplating, to find out who has the power.	S2
3.	Tactic: Gathered and stored information on who the influencials are in different situations.	S11*
4.	Tactic: Sought an informal meeting with the influencial person prior to a formal meeting.	S12*

5. Strategy: Establishing a community-wide advisory committee. S3

6. Strategy: Organizing the solution to a defined problem in such a way that the college community can and will support it. S4

7. Tactic: Recruited faculty who will support your program through personal contact with persons with a record of previous service in the area of your interest. S5

8. Tactic: Recruited key persons whose decisions others respect and follow. S6

9. Strategy: Considering those steps which could be taken to assure continuance. S7

10. Tactic: Established a permanent office or role as a focus for the innovation to assure continuance of the innovation. S8

11. Tactic: Considered the location of the office or role in the hierarchy of the administrative structure to assure continuance. S9

12. Strategy: Procuring necessary resources for program development. S10

13. Tactic: Visited and convinced the Federal agency in Washington who will make the grant of the program's value. S10A

14. Tactic: Visited and convinced the local offices of the Federal agencies of the program's value. S10B

15. Strategy: Selecting a staff who can relate to clients. S13

16. Tactic: Employed a consultant to provide expert help. S14

17. Tactic: Used information channels of person-to-person communication to gain acceptance of an innovation. S15

Areas of Developmental Conditions

In Chapter II, five models were presented which represented different author's conceptualizations of the process of change and/or innovation. These were:

1. Rogers, representative of the *social interaction perspective*;
2. Miles and Lake, representatives of the *research, development, and diffusion perspective*;
3. Lippitt, *et al*., representative of the *problem solver perspective*;
4. Watson, also representative of the *PS perspective*; and
5. Havelock, representative of the *linkage perspective*.

Table 3 provides a review of the key stages, phases or steps of each of these five models of the process of change and/or innovation.

Two observations apply to all of these models. The first is that there is some degree of surface similarity to all of the models but at the same time there are some sharp differences. The second observation is that all but one of the authors caution against a direct application of the model to specific, real situations; that is, the models are representative of a general movement of many specific cases. On this second point, Lippitt, *et al*.,

TABLE 3.--Five models of change and/or innovation.*

SI Perspective: Rogers	RD&D Perspective: Miles and Lake	PS Perspective: Lippitt, et al. (phases)
1. Awareness stage 2. Interest stage 3. Evaluation stage 4. Trial stage 5. Adoption stage (46:119)	1. Establish a temporary group and clarify expectations 2. Collect information 3. Formulate problem statements 4. Examine current operations and improve temporary groups' problem-solving effectiveness through: a. problem sensing b. diagnosis c. setting change objectives d. locate or invent alternate solutions e. weigh each alternative f. decide on alternative g. plan implementation 5. Carry out plans of step 4; repeat process with other relevant groups in system 6. Set up structures to institutionalize this process 7. Phase out external change agent 8. Complete an assessment 9. Feed findings back into system 10. Disseminate account to other school systems. (40:83-84)	1. Develop need for change 2. Establish change relationship 3. Diagnose client problems 4. Examine alternate goals; select one and plan action 5. Transfer intentions into actions 6. Stabilization of change 7. Achieve terminal relationship; change agent withdraws. (31:130, 136)
Linkage Perspective: Havelock		**Watson**
1. Relationship stage 2. Diagnosis stage 3. Resource retrieval stage 4. Solution stage 5. Acceptance stage 6. Stabilization and self-renewal stage (25:12-13)		1. Sensing step 2. Screening step 3. Diagnosing step 4. Inventing step 5. Weighing step 6. Deciding step 7. Introducing step 8. Operating step 9. Evaluating step 10. Revising step (51:110-115)

*Paraphrased by the author.

state "Our sequential order of phases is too logical to represent the change process as it usually unfolds. In any given case one is likely to see that the phases overlap and repeat themselves" (53:143). Watson notes that the procedure he suggests may be unduly formal and that experienced persons use short cuts which work better under given conditions. He says "The full-scale ten-step operation can be held in mind as a model, to be used when the innovation is truly momentous; approximations will be sufficient for many lesser problems" (97:115).

An examination of the similarities and differences is also of interest and will be useful in the postulation of areas of developmental conditions which a community services social action program typically moves through.

These models are similar in that each covers the same process and "stages, steps or phases" are discernible across all five. All are concerned with the process of innovation rather than change in the sense that an innovation is planned and change comes about naturally. The differences are perhaps greater. Two of the models, those of Rogers and Lippett, et al., apply to innovations of all kinds and in all sorts of settings. The others, Miles and Lake, Watson, and Havelock, are all concerned with the public schools. Rogers presents five simple stages which repeated observations have born out to be correct. This model represents, however, passive observation. It says, "This is how it happens." Lippitt, et al., on the other hand, offer a model which says "This is how to make it happen." The first words in their book indicate this, saying, "The subject of this book is planned change--that is, change which derives from a purposeful decision to effect improvements in a . . . system" (53:vi). It should be noted that Lippitt, et al., use "change" in the way Rogers used "innovation" and as this paper defines "planned innovation."

As noted earlier, all but one of the models are offered on general, rather than specific, terms. Miles and Lake are the exception. They label their model as "A Strategy for Planned Change" (63:81). It is a step-by-step procedure which requires major financing and is estimated by the authors as requiring three years to progress through. This model is under test as the Cooperative Project for Educational Development (COPED) in New York state. The purpose of the Miles and Lake model is to implant the ability to be self-renewing, that is, to possess an effective problem-solving structure and to implant in the process a developed capacity for continuous adaptation and change. Again, change here means "planned change or innovation." Miles and Lake provide eight tactics to implement the strategy which is set forth as a model.

The Lippitt, _et al_., model and the Havelock model are the most alike. Lippitt, _et al_., are concerned with a first stage of "problem awareness" in which there must be developed "a desire to change and a desire to seek help from outside the system" (53:131). Havelock approaches the process more from the external change agent's viewpoint which dictates that first a relationship must be formed between change agent and client so that these same issues can be taken up. Havelock includes the concern "find out if the client is aware of his own needs" in diagnosis (39:12). Beyond this, each calls for relationship; diagnosis; examination of alternate actions (and for Havelock, resource retrieval); selection of a possible solution or innovation; implanting and acceptance of the solution; and the stabilization period when the change agent withdraws, and (for Havelock) leaving the client with skills to continue the implanting of planned innovations, that is, in a condition of being self-renewing. Lippitt, _et al_., do not take up self-renewal but they do discuss the problem, saying:

> Very few of the change agents whose reports we have studied offered helpful observations about the process of terminating a change relationship . . . the end of the relationship can be made easier for the client system by the development within the system of specific mechanisms to substitute for the role of the outside change agent (53:244-245).

We have noted that each author examined has broken the process of change or innovation into various stages, phases or steps in order to observe and discuss the constituent elements of the process. Rogers cites two major investigations of the validity of stages in the adoption of innovations (88:95). These studies seem to provide evidence that the mental processes of individuals who adopt an innovation move through awareness, interest, evaluation, and trial, to adoption. Our interest here is in "how it happens" but it is also in "how does one make it happen?" Lewin described the process of changing from one level of performance to another as containing three aspects: unfreezing, moving, and freezing (64:129). Lippitt, et al., in warning that planned change does not necessarily progress in an orderly, sequential way through phases, say that "Nevertheless, we have found it helpful to review descriptions of change . . . in terms of this sequence of phases" (53:130). Havelock discusses the process from a rational, problem-solving viewpoint, tracing the process from an initial disturbance through a feeling of need to take action, into diagnosis, search, application of a solution, the solving of the problem, and absence of the initial disturbance.

An additional viewpoint is suggested here for viewing the process. This viewpoint is one which is perhaps better constituted to provide a framework for examining strategies and tactics used by community services practitioners in bringing about the successful completion of social action programs. In this viewpoint various developmental _conditions_ must be satisfactorily met or filled. For example, satisfactory relationship conditions must exist and _continue to exist_ between the practitioner change agent and his clients during the entire process. Likewise, the condition of offering a satisfactory solution through diagnosis, and the retrieval of pertinent resources, must be reached and maintained (through adaptation to changed conditions) throughout the entire process. Adequate funding is a third condition which must be established and maintained during the entire process. Likewise, acceptance of the proposed and tested solution represents a condition which must be attended to throughout the process. Finally, the condition of stabilization is entered. All of these _conditions_, except funding, are suggested as _phases_ by Lippitt, _et al_., and as _stages_ by Havelock. Viewing strategies and tactics as used to bring about satisfactory developmental conditions for the process of planned innovation to take place is a useful conceptual approach and will be utilized here.

One other conceptual approach to the community service practitioner's place in bringing about planned social action innovations must be considered. As one examines the use of strategies and tactics described by practitioners, it becomes clear that the practitioner as change agent has multi-level client concerns. If the person or group to receive the help is the client or client system, then there are secondary clients present also in the form of employers, agencies, funding sources, and other parts of the college constituency, all of whom have needs and concerns relative to the innovation being introduced. For that reason, each of the areas of developmental conditions may involve some or all of the secondary clients. This approach is set forth graphically in Table 4.

Havelock's book, A Guide to Innovation in Education (39), is offered as a manual or handbook to the change agent practitioner in all fields but especially in education. The bulk of the book is given over to an analysis of each of the areas (developmental conditions) noted on Table 3, except funding, which is not covered by Havelock. A brief description of each of these conditions (called stages by Havelock) follows:

Relationship. A satisfactory fulfillment of this condition is crucial to the success of the installation of the innovation. As Havelock notes, "A strong, creative relationship can carry a change program through the most difficult obstacles" (39:39). For each client system, the practitioner should either know or get to know the norms, the leaders, the influencials, and the gatekeepers.

TABLE 4.--Relationship of Clients and Areas of Developmental Conditions.

	1 Relationship	2 Diagnosis and Resource Use Leading to Solution	3 Funding	4 Acceptance	5 Stabilization
Primary Client	x	-	-*	x	x
Secondary Clients					
Agencies	x	-	-	x	x
Employers	-	-	-	-	-
Funding Sources	x	-	x	x	-
Other College Divisions	x	-	-**	x	x

(x usually involved; - may be involved)

*Would be involved if tuition or some other charge were made.

**In-kind services.

The advantages of an indiginous background are obvious when working with "culturally different" people, i.e., different from the background of the majority, as is the case with clients in all social action programs, as have been defined.

Diagnosis and resource retrieval leading to a solution. This is one condition, the development of a solution to a defined problem. Diagnosis is a first stage in which the problems of the multiple clients are analyzed in a systematic fashion through (1) identifying the problems, (2) identifying the opportunities, (3) understanding the client as a system, and (4) making a diagnostic inventory which includes goals, structure, communication, capacity, and reward system. Resource retrieval is the acquiring of information in a wide variety of forms which are necessary or useful in arriving at a solution for client problems. The solution (the innovation) is arrived at, as suggested by Havelock, through a sequential process of (1) deriving implications from research, (2) generating a range of solution ideas, (3) feasibility testing, and (4) adaption of the solution to the special conditions of the client (39:105). Havelock presents these as three separate stages. The multi-client complexities encountered by the community services practitioner in these first two areas of developmental conditions are obvious.

Funding is not considered by Havelock, as noted earlier. The completion of a satisfactory condition in this area, however, is obviously of great importance. As indicated in the literature and as observed in the field, no very satisfactory way of funding social action programs exists. Presumably the small number of major social action programs (involving 100 persons or more) is accounted for by the difficulty in funding them. Federal and/or State tax-supported, special programs are most often the funding source for social action programs, although a consortium of businesses and educational institutions, and private foundations, were noted as being involved. The California community services programs receive support from the State for non-credit courses, which is contrary to the pattern in most other states. In the cases studied, the primary clients did not contribute to funding, but on the contrary, were often subsidized to participate. To some degree, funding agencies such as the Federal Title I and Model Cities programs, impose strategies and tactics on the local practitioner through their own guidelines, it is believed. An investigation of this consideration was not part of the purpose of this study, however.

Acceptance of the offered solution (the innovation) is a condition which is effected both by the success achieved in meeting the other conditions of relationship, diagnosis-resource-solution, and funding, as well as actions the practitioner takes to specifically bring about the condition of having the innovation accepted. Havelock suggests that a knowledge of how groups and individuals accept innovations is necessary, as well as the selection of a strategy to communicate, and the maintenance of a flexible program (39:121). Havelock devotes a considerable portion of his discussion of this stage to communicate methods and media. Perhaps because of our own individual exposure to "selling messages" so continuously during our waking hours, we associate "sell" with the diffusion of innovations. Havelock describes written and oral presentations, films, demonstrations, person-to-person contacts, and group discussions rather than radio, TV, newspapers, etc., as medium to select from (39:138-144). Practitioners interviewed for this study placed an emphasis on person-to-person communication and limited use of mass media, also.

Stabilization describes a condition of both acceptance of the innovation and also the establishment of the capacity in the organization or client system to continuously generate its own innovations to meet new needs and new conditions. This latter condition is called self-renewal by Havelock. This is a relatively new concept in the literature and, as noted earlier, is not dealt with by Rogers or Lippitt, et al. Havelock notes that the key word in insuring continued acceptance of the innovation is "internalization." He cites six important considerations in insuring this condition:

1. continuing reward
2. practice and routinazation
3. structural integration into the system
4. continuing evaluation
5. providing for continuing maintenance
6. continuing adaptation capability (39:150).

Havelock's Guide, insofar as it is oriented to any one area, is concerned with secondary education as indicated by the job titles given as examples of persons who might act as change agents (39:8). The mileau in which the community services social action practitioner works is far more complex. The practitioner has a multi-dimensional client group which means that the satisfactory meeting of each condition is a great deal more complex. An innovation (the solution) has to fill the needs (do something for) the primary client (the Blacks, the Puerto Ricans, the poor, the unemployed, the underemployed, etc.) as well as the secondary clients, the employer who might provide a job after training or counseling, and the agency which may be asked to jointly undertake the program or to participate in some meaningful way, and the funding agency which has special interests and grants funds only to those programs which undertake and continue actions which they approve of, as well as members of other divisions of the college, primarily the faculty, who must at least give tacit approval and minimal involvement for the program to function. It is probable that practitioners involved in programs such as those under study here, are involved in what Havelock describes as overload (40:7-34). In this condition, the change agent is the interchange point for so many stimuli of input, through-put and output that the effectiveness of the role is lessened and the process slowed. There are implications here for the training of practitioners which will be discussed later in this chapter.

In presenting the strategies and tactics induced from the content analysis of the taped interviews, care was taken to ask the practitioner to describe the techniques he used in the order of use and to then present the data in the same chronological order. As noted earlier, in some cases it was detected that the practitioner recalled techniques later which had been used earlier in the process and these were repositioned by the author in what was believed to be their proper location.

Each of the strategies and tactics was then logically related to the developmental condition which it was used to support or bring about. It was found that where there was a possibility of relating the strategy or tactic to more than one developmental condition, a choice could be made, based on the context of use, as to which condition it was <u>first</u> used to support. A listing of the assignment of the strategies and tactics to areas of developmental conditions is provided in Table 5.

A review of Table 5 reveals that the practitioner does not move in a standard pattern through relationship,

TABLE 5.--Assignment of strategies and tactics to areas of developmental conditions.

	Cuyahoga	Peralta	Lake Michigan	Genessee
1.	diagnosis	funding	diagnosis	diagnosis
2.	relationship	diagnosis	resource	funding
3.	relationship	resource	funding	solution
4.	relationship	relationship	funding	relationship
5.	acceptance	relationship	resource	diagnosis
6.	acceptance	solution	diagnosis	diagnosis
7.	relationship	acceptance	resource	diagnosis
8.	resource	resource	solution	diagnosis
9.	acceptance	relationship	solution	diagnosis
10.	acceptance	acceptance	relationship	diagnosis
11.	acceptance	acceptance	relationship	relationship
12.	acceptance	acceptance	relationship	relationship
13.	acceptance	acceptance	acceptance	relationship
14.	relationship	relationship		relationship
15.	relationship	relationship		relationship
16.	relationship	relationship		relationship
17.	relationship	acceptance		relationship
18.	relationship	stabilization		acceptance
19.				acceptance

	Washtenaw	Delta	Quinsigamond	San Mateo
1.	relationship	diagnosis	stabilization	acceptance
2.	funding	solution	resource	acceptance
3.	diagnosis	acceptance	funding	acceptance
4.	acceptance	funding	funding	acceptance
5.	relationship	solution	acceptance	diagnosis
6.	relationship	acceptance	acceptance	acceptance
7.	relationship	resource	diagnosis	acceptance
8.	relationship	solution	resource	acceptance
9.	acceptance	relationship	acceptance	stabilization
10.	relationship	relationship	relationship	stabilization
11.	relationship	relationship	relationship	stabilization
12.	solution	relationship	diagnosis	funding
13.	acceptance	acceptance	acceptance	funding
14.	resource	acceptance	acceptance	funding
15.	funding	acceptance	acceptance	relationship
16.	relationship	funding	funding	resource
17.	acceptance		relationship	acceptance
18.	acceptance		acceptance	
19.			diagnosis	
20.			diagnosis	
21.			solution	

diagnosis, resource retrieval, solution selection, to acceptance and stabilization. Rather, he moves in a highly individual and unique pattern to achieve satisfactory condition levels which fit his local situation. In view of the data presented in Table 5, it appears that use of the concept of stages, phases, or steps, each of which signifies a somewhat logical chronological progression, is less appropriate to the phenomenon than the concept of areas of developmental conditions.

Classification of Strategies and Tactics

It is believed that community service practitioners concerned with introducing social action programs will find that a familiarity with the strategies and tactics used by practitioners who have operated major, successful community service social action programs is useful. As a means to organize this material, both for practitioners and for researchers in this area, a classification of strategies and tactics used in community services social action programs was constructed.

The classification presented here is organized utilizing the areas of developmental conditions just discussed, as follows:

1. relationship
2. diagnosis and resource retrieval leading to a solution to a defined problem
3. funding
4. acceptance
5. stabilization

The general characteristics of each of these conditions was described earlier. Also, in achieving a satisfactory level of performance in each condition area, the practitioner is concerned with primary and secondary clients. For this reason, the strategies and tactics are related to achieving the condition with each of these groups.

1. client
2. agencies
3. employers
4. funding sources
5. other divisions of the college

Strategies and Tactice Used in Eight Major Social Action Programs By Community Services Practitioners

The reference number on the right refers to the transcript of the practitioner's tape recorded statement from which the strategy or tactic was induced. The letters refer to the colleges; the numbers to the transcript order. Key to colleges:

C Cuyahoga
P Peralta
L Lake Michigan
G Genessee
W Washtenaw
D Delta
Q Quinsigamond
S San Mateo

I. RELATIONSHIP

With Client

Strategy: Establishing contacts or links with persons indiginous to the community or group you wish to help. Q8

Strategy:	Building a positive trust among clients and practitioners.	C11,G14
Tactic:	Did not isolate clients by calling attention to their differences.	G15
Tactic:	Provided a physical "retreat" or room for client use.	G16
Tactic:	Sought out clients on an informal basis for feedback on the program.	G17
Tactic:	Included clients in program planning and decision-making.	C12
Tactic:	Responded to underlying message of surface behavior of clients.	C13
Tactic:	Accepted responsibility of environmental intervention.	C14
Tactic:	Becoming involved with client welfare.	C15
Strategy:	Building individual client self-image.	D12
Strategy:	Employing indigenous staff members.	P10*,C16*
Strategy:	Selecting a staff who can relate to clients.	S13

<u>With Agencies</u>

Strategy:	Establishing working relationships (linkages) with community agencies.	Q7,W5
Tactic:	Opened communication with local agencies through a conference.	P7
Tactic:	Established working relationships with agencies for client referrals.	G12
Tactic:	Established a working relationship (linkage) with a specific agency to complete a specific part of the program.	D7

Strategy:	Establishing mechanisms for continuing interaction and feedback with agencies.	L11,W6
Tactic:	Provided publicity to meet the needs of the agencies (secondary clients) involved but respected client's concerns.	D11

With Employers

Tactic:	Obtained a formal commitment relative to the relationship between primary clients and secondary clients (employers).	C2
Tactic:	Obtained a clear understanding of post-program relationship between primary clients and secondary clients (employers).	W11*

With Funding Sources

Strategy:	Establishing working relationships (linkages) with local offices of Federal agencies.	Q15
Tactic:	Utilized contracts to set forth the relationship between a consortium and a funding source and between a consortium and the college as sub-contractor.	W13

With Other Divisions of the College
In General

Strategy:	Establishing working relationships (linkages) with clients, employers, agencies, and other divisions of the college.	W14*
Tactic:	Held a workshop of all interested parties to familiarize them with your program and to get their input.	G4
Strategy:	Building a positive relationship between primary and secondary clients.	C3,W8

Strategy:	Adopting a multi-media approach to attract large numbers of clients.	W7,P11
Strategy:	Conducting limited publicity on the program until the success of it is certain.	D8
Strategy:	Conducting limited publicity on programs when resources are limited.	C4,L9,G11
Tactic:	Prepared simple descriptive literature and materials to known client groups.	L10
Tactic:	Used direct mail to reach specific groups.	P12
Tactic:	Assigned journalism students as work-study interns on local papers.	P13
Tactic:	Used informal channels of person-to-person communication.	G13
Strategy:	Establishing a network of influencial people as a first step in approaching a problem.	W1
Tactic:	Established a specific means to keep advisory committees informed.	P14*

II. DIAGNOSIS, RESOURCE RETRIEVAL, SOLUTION

<u>With Client</u>

<u>Diagnosis</u>

Strategy:	Establishing a community-wide advisory committee.	P2,S3
Strategy:	Involving clients in program planning.	G5
Tactic:	Sought out meetings with client groups to tell of program and learn their needs.	G6

Tactic:	Sought out personal conversations with clients--both the ones who come forward and the ones who don't.	G7
Tactic:	Solicited client input through letters.	G8
Tactic:	Conducted interviews to get client input.	G9
Tactic:	Solicited client input through their telephoning you.	G10
Tactic:	Conducted a survey of client needs.	L1,G1,W3
Tactic:	Conducted additional client need surveys as necessary for specific purposes.	L5

<u>Resource Retrieval</u>

Tactic:	Used nominative procedure from constituencies to identify potential clients.	P5

<u>Solution</u>

Strategy:	Developing and packaging a visably practical program for clients	W9,D2, P6*,L8
Tactic:	Used the best available tests to determine developmental status of your clients as a basis for curriculum planning.	D6

<u>With Agencies</u>

<u>Diagnosis</u>

Tactic:	Conducted an investigation of client needs through contact with local agencies.	D1

<u>Resource Retrieval</u>

Tactic:	Utilized agencies as resources.	C5
Tactic:	Used data already assembled by agencies.	L4

Solution

Strategy: Relating the innovation or solution to data collected from local agencies. L6

With Employers

Diagnosis
Resource Retrieval

Tactic: Obtained or made a survey of secondary client needs (employers). D5

Solution

With Funding Sources

Diagnosis
Resource Retrieval

Strategy: Establishing a consortium, a linkage with employers in the area, to undertake continuance of the program. W12

Solution

With Other Divisions of the College

Diagnosis

Strategy: Organizing an internal committee (in your organization) to study and make recommendations in the area of your concern. Q9

Resource Retrieval
Solution

In General

Diagnosis

Strategy: Organizing a community-wide committee to study and make recommendations in your area of concern. Q18

Strategy:	Determining what other institutions in your area are or might be submitting to the same funding source you seek funds from.	Q4
Strategy:	Conducting collaborative action inquiry and diagnosis.	C1
Tactic:	Defined the problem preparatory to seeking a solution.	Q17

<u>Resource Retrieval</u>

Strategy:	Establishing a consortium, a linkage with other colleges, to broaden the institution's capabilities.	L2
Strategy:	Hosting a workshop or a conference to generate interest in the area of your proposed innovation.	Q6*
Strategy:	Observing innovations in action at another location before trying them out.	Q2
Tactic:	Employed a consultant to provide expert help.	
Tactic:	Provided for ad hoc committees to do special projects for advisory committees.	P3

<u>Solution</u>

Strategy:	Installing a solution "fait accompli" if certain it will work.	Q19
Strategy:	Planning on a period of adjustment to shape your program (the innovation or solution) into a more useful state.	G3
Tactic:	Conducted an experimental demonstration or pilot program to convince others of the value of your program and to test your assumptions.	D4

III. FUNDING

<u>With Clients</u>
<u>With Agencies</u>

Tactic:	Visited and convinced the Federal agency in Washington who will make the grant of the program's value.	S10A
Tactic:	Visited and convinced the local offices of the Federal agencies of the program's value.	S10B

<u>With Employers</u>
<u>With Funding Sources</u>

Strategy:	Procurring necessary resources for program development.	P1,L3,G2, W2,D3,Q3,S10
Tactic:	Persisted in funding efforts through repeated visits, rewriting proposals, etc.	Q3A
Tactic:	Sought funding from additional sources.	Q14
Tactic:	Sought funding from alternate sources.	L3A,W12A
Tactic:	Sought funding from new source to expand program.	D16

<u>With Other Divisions of the College</u>

IV. ACCEPTANCE

<u>From Clients</u>

Strategy:	Building client group pride and interdependence.	C6
Tactic:	Established a newspaper.	C7
Tactic:	Involved client's family.	C8
Tactic:	Provided for recongition of individual talents among group members.	C9
Tactic:	Encouraged client self-governance.	C10

Tactic:	Held street fairs and festivals to build group identity.	P9
Tactic:	Invited cleint groups to seminars at the college.	P8A
Tactic:	Utilized peer group pressure to improve client performance.	D14
Tactic:	Invited client group leaders to make presentations at the college.	P8B
Tactic:	Obtained feedback on the program from clients through regular use of evaluation forms.	L12,D15

<u>From Agencies</u>

Tactic:	Arranged for a social agency to select the participants especially where the need is greater than the ability of the program to meet them.	D10*

<u>From Employers</u>

Tactic:	Created a better understanding of minority group mores and needs on the part of employer work force.	C17*,W10

<u>From Funding Sources</u>

Tactic:	Emphasized funding sources in publicity to encourage continued support.	W7A

<u>From Other Divisions of the College</u>

Strategy:	Establishing understanding of and support for the program by the faculty of the college through their involvement.	Q16
Strategy:	Organizing the solution to a defined problem in such a way that the college community can and will support it.	S4

Tactic:	Recruited faculty who will support your program through personal contact with persons with a record of previous service in the area of your interest.	S5
Tactic:	Recruited key persons whose decisions others respect and follow.	S6
Tactic:	Obtained reduction of other duties for persons working on community service social action programs as a form of commitment by the college.	Q12
Tactic:	Utilized the college campus and certificates to build client self-image.	D13

In General

Strategy:	Providing feedback for the larger constituency.	P8
Strategy:	Building evaluation plans into the program from the start.	Q13*,D9*
Tactic:	Involved the national association with "jurisdiction" in the evaluation process to both legitamize and add weight to a successful outcome.	Q13A*
Strategy:	Accepting confrontation as an essential element of the change process when other means fail.	P15
Strategy:	Withholding use of confrontation until you are certain of the outcome from its use.	Q10
Strategy:	Placing the responsibility for the development of a successful program where there are difficulties with one person who is personally committed to make it work.	W16,Q11

Strategy:	When seeking funds and support in a political context, utilizing the kinds of pressures politicinas respond to.	Q5
Strategy:	Determining who the persons are who will ultimately make the decisions relative to acceptance of the program(s).	S1
Tactic:	Studied past situations, similar to the one you are contemplating, to find out who has the power.	S2
Tactic:	Gathered and stored information on who the influencials are in different situations.	S11*
Tactic:	Sought an informal meeting with the influencial person prior to a formal meeting.	S12*
Tactic:	Used informal channels of person-to-person communication to gain acceptance of an innovation.	S15
Tactic:	Utilized the success/acceptance of one program to develop other programs.	W15,G19
Tactic:	Explained benefits of involvement to all clients.	C18*
Tactic:	Maintained sufficient flexibility in administrative structure to address new needs.	P4,W4
Tactic:	Arranged program hours to suit clients.	G18

V. STABILIZATION

<u>With Clients</u>
<u>With Agencies</u>
<u>With Employers</u>
<u>With Funding Sources</u>

With Other Divisions of the College

Strategy:	Establishing an internal change agent.	P16,Q1
Strategy:	Considering those steps which could be taken to assure continuance.	S7
Tactic:	Established a permanent office or role as a focus for the innovation to assure continuance of the innovation.	S8
Tactic:	Considered the location of the office or role in the hierarchy of the administrative structure to assure continuance.	S9

A Comparative Analysis of Field-Generated and Literature-Generated Strategies and Tactics

This analysis will focus on two points: (1) how many of the strategies and tactics identified in the literature were also identified in field use and how did their circumstances of use compare to the discussion of use provided in the literature? (2) what strategic orientation,* if any, emerged which might represent a "composite social action practitioner orientation" and how does this compare with the four strategic orientations discussed in the literature?

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*Strategic orientation is a term used by Havelock to refer to the action orientation held by a practitioner based on the observation of the strategies and tactics used. Havelock identifies four orientations or perspectives which were discussed in Chapter II.

Of the 140 strategies and tactics induced from a content analysis of the recorded interviews of the eight practitioners, 32 instances could be related to references to such activities in the literature. Seven of the eight practitioners noted a strategy or a tactic related to locating funding for the program, which is a strategy noted by Havelock as used either as "pump priming" or as long-term subsidy. It is interesting to note that the practitioners both used this strategy and had it "used" (quite willingly) on them. The practitioner, in a number of cases, provided a stipend or grant to trainees to both get them to participate and to make it possible for them to participate. This was usually paid as an hourly rate. The funding agencies, such as Title I, Model Cities, etc., also use this strategy to encourage groups, such as the community college community services division, working with community agencies, to follow <u>their</u> guidelines and to develop programs which, presumably, other sources will fund if the program proves useful to the local community. Havelock notes that there is little evidence that funding offered <u>without</u> restrictions, guidance, or "strings," will really lead to innovation (39:Appendix A, 6). Although it was not a part of the purpose of this study to examine it, an examination of the strategies and tactics employed by funding agencies, community agencies, employers, and even community (client) groups and other parts of the community college "family" to bring about conditions which they want to see established would be of interest. These strategies and tactics are certainly issues with which the practitioner must cope in carrying out his own strategy.

The instances of "multiple use" of a given strategy or tactic was limited to two or perhaps three different practitioners being observed as using it. User need surveys, identified by Havelock as an RD&D tactic (39:Appendix A, 10), was employed in various ways. In L1 and L5, surveys were taken to determine user needs. This represents the "cyclic motion" noted by Lippitt, et al. (53:130) in which the needs of the program dictate a repeating of "stages" rather than an orderly progression through clearly defined "stages." In P5, a user need survey was used to nominate clients to participate in the program.

In P2, G4 and Q6, temporary systems (identified by Havelock) (39:Appendix A, 10) were used in the form of advisory committees, workshops, and conferences.

Successive approximation, the RD&D tactic identified by Havelock (39:Appendis A, 10) was used in G3 and P4 to, in the first instance, provide a planned period when the client group could be "zeroed in on," and in the second case, make administrative structural changes. To a large degree, this was an overriding strategy (but not specifically identified) in all of the programs examined. All of the programs can be viewed as experimental and in a constant state of adjustment.

Confrontation is identified by Havelock (39: Appendix A, 5) and was used in P15 within the college "family" and in Q10 was considered for use in a highly political situation which developed between the community college and the State Board governing the college. It is interesting to note that the two instances cited are within a system rather than between systems.

The establishment of an internal change agent was noted in Q1 and P16. Havelock cites the need for this step in stabilization (39:153).

The crucial importance of linkage between the social action community services practitioner (as a role in the community college) and community agencies in the successful operation of the programs examined, should be noted. In almost all of the programs, there was a clear interdependence observed of the kind noted by Myran at the program cooperation level of linkage (70:46). The areas of cooperation include a collaborative action inquiry and diagnosis, as in C1; a survey of client needs as in L1 and L5; establishing input from the community as in Q8; arranging for an agency to select the clients, as in D10; or to arrange for a specific part of the program to be handled by an agency, as in D7; or to receive funding for a program, as in W2.

Of the strategies and tactics used by practitioners which have also been identified in the literature, five were associated with the _problem-solving perspective_, four with the _research, development and diffusion perspective_, and two with the _social-interaction perspective_. A number of strategies and tactics identified in the field and also noted in the literature, are not associated with (derived from) any of the above mentioned perspectives.

Can one construct a "composite social action practitioner orientation" from the interviews? An analysis of the strategies and tactics used does not disclose any clear-cut orientation but shows rather the use of a wide range of both literature-identified strategies and tactics and field-generated ones which do not fall into a pattern. It was not clear from the interviews that any of the practitioners had utilized a highly organized, strategic approach based on an orderly sequence of goal-setting, planning, and systematic execution. This is not to say that the programs were unplanned or that the practitioner operated spontaneously. Quite the opposite is true as the success of each program testifies to. The point is that the practitioners were not oriented to thinking in terms of strategic orientations, strategies, and tactics, as such. One cannot assume from the data that any of the programs would have been more or less successful if this had been the case and it was not the purpose of this study to examine this question.

There are similarities in the programs, however, which provide a pattern for examination. In all cases, the solution or innovation to be introduced was arrived at prior to actually starting the program. In some cases, a certain amount of diagnosis and resource retrieval preceded generation of the solution. This approach was dictated by the need to "have a program" which could be described so that funding could be sought. The problems inherent in this approach were discussed in some detail by the Genessee practitioner. It must be noted that most of the programs the community needs were obvious. In some cases, the practitioners were themselves indiginous to the areas and were steeped in knowledge of the plight of the clients. Also, where the need is so broad and so obvious, almost any kind of solution is apt to be "right" in the sense that at least some of the needs will be filled. The fact that any program at all, irregardless of its appropriateness, was being offered may have itself filled a need for some. We are saying then, that the solution or innovation to be introduced was arrived at more in the style of the <u>social interaction perspective</u>, which views the innovation as something relatively fixed and "understood" as being appropriate, than in the <u>problem-solving perspective</u> which sees an interaction between client and practitioner to arrive at and solve the problem, or the research, development and diffusion perspective which views solution generation as a rational sequence involving a division and coordination of labor.

The programs funded by Federal programs, did, at the point of funding, become part of a larger strategy undertaken by the U.S. Government to encourage local agencies to attempt to solve current, pressing social problems. As noted before, it is not known to what extent any external strategy directed the operation of the local program. It is here that the research, development and dissemination perspective is evident. These programs were, individually, expressions of the RD&D tactic experimental demonstration (39:Appendix A, 6). Title I, Model Cities, O.E.O., etc., see these programs as ways to show clearly and dramatically that "the" innovation makes a difference and that things change for the better as a result of it. When this is seen and appreciated locally, the assumption is that local funding will continue it. Also, in the application of these Federally funded programs (as well as the privately funded program) the RD&D strategy of fait accompli is obvious. By and large, these innovations were installed without consulting the users, the primary clients. This was not done because "excessive initial resistance" was contemplated (as Havelock cites as the usual reason for using this strategy) but for various other reasons. In almost all of the cases a great deal of effort was spent in consulting with secondary clients, the agencies, the employers, the funding offices, prior to installation of the innovation. This perhaps raises the question of which group should be called primary clients but by definition the primary clients of the community college community services division are "the people who live and work where it is located" (14:21). Also, it would have been difficult, if not impossible, to engage in the problem-solving kind of activity which is appropriate to a change agent consultant and a secondary school system in a controlled situation. The Lake Michigan practitioner did consult directly with the primary clients in developing the details or final form of the innovation. All of the practitioners worked closely with the primary clients in the installation of the innovation during the accomplishment of the condition of acceptance. There are many instances of modification of the program to better meet client needs and abilities, especially in the Cuyahoga and Genessee programs.

What emerges as a "composite practitioner" or a strategic orientation is clearly a pattern dictated by the environment in which the programs and the practitioners operate. It is, as Havelock suggests it should be, a "pragmatic and eclectic choosing of strategies and tactics that fit . . . the situation" (41:1). This pattern has similarities to the linkage perspective except that the internal problem-solving process of the user is not the starting point as it is the linkage perspective. The "resource" for the client or user is the community services practitioner. As suggested in the linkage perspective, the resource does have a good "model" of the user and does have empathy and understanding for the user. On the basis of this orientation, the resource is able to devise appropriate solutions and work with the client system to install them.

Implications for Graduate School Training

What implications can be drawn for graduate school training of the community services practitioner from the data presented in this study?

It is clear that the practitioner involved in social action programs both has a need for a knowledge of strategies and tactics and utilizes startegies and tactics in his daily work. It is also clear that the practitioner does not have a very sophisticated knowledge of this area. It is improbable that he views his program as an "innovation" or that he has devised an overall strategy and tactical action steps to bring about the acceptance of his "planned innovation." It is probable that the undertaking of such plans would make him a more efficient practitioner able to execute programs more effectively.

Sections IV and V of the Interview Schedule were administered to half of the sample, that is, in alternate interviews. Part IV is a listing of the six "stages" which Havelock suggests are progressed through during the process of implanting a planned innovation. These "stages," with the condition of funding, are used in this study as conditions which must be filled in order to introduce an innovation successfully, and they form the organizing framework of the taxonomy which was developed. Part V is a list of 21 "techniques" identified by Havelock as strategies and tactics described in the literature. This list of 21 is drawn from a larger list of 44 which he presents (39:Appendix A, 5-10). The 21 used here were selected by Havelock as being of "especial relevance" in at least two "stages." The term "technique" was used with the practitioners because it was found during the initial field trip in developing the Schedule that this term was better understood and was less threatening than the terms "strategies" and "tactics." As a final step, the practitioner was asked to read the list of 21 "techniques" and, if he had actually used a "technique," to describe its use to the author and to relate the use of the "technique" to one or more of the "stages." As Havelock notes in presenting the 44 strategies and tactics, the use of these helping methods "are skills which have to be learned. A good tactic badly executed may be worse than no tactic at all" (39:Appendix A, 1). A large number are drawn from psychology and social psychology and some are rather complicated and sophisticated. "Human Relations Laboratory . . . the use of human relations training experiences" is normally considered to require training from an authorized National Training Laboratories trainer. The purpose of the inclusion of these sections was twofold: (1) to determine to what extent the practitioner was familiar with "techniques" (strategies and tactics), and (2) to determine if the practitioner was able to relate use of the "technique" to a "stage" or "stages." This is done logically and was a second test of the practitioner's understanding of the strategy or tactic. It was also felt that the practitioner might recall other, unlisted techniques which he had used during this part of the interview but this did not occur. None of the 21 "techniques" provided to the practitioner during this part of the interview were included in the strategies and tactics induced from a content analysis of the recorded interviews simply because he mentioned or claimed use at this point.

It was clear in the practitioner's description of the "use" of these "techniques" that most of the practitioners did not have a detailed knowledge of most of these "techniques." This was confirmed in their application of the logical use of these "techniques" in the various "stages." A record of the practitioners' responses, with the logical application points suggested by Havelock, is provided in Appendix J.

From this, one may conclude that a better knowledge of and training in the use of these strategies and tactics would be useful to practitioners. Myran, in his discussion of "Implications for Leadership Training," suggests that the community services administrator might benefit from a course in "planned social change" (72:138). Certainly, Havelock's two texts _Planning for Innovation_ (40), and _A Guide to Innovation in Education_ (39) would be useful materials for such a course as would be Roger's _Diffusion of Innovations_ (88), and the Lippitt, _et al._, text _The Dynamics of Planned Change_ (53). Other resources, as listed in the bibliography of this study, would be useful.

The exact role which the community college will play in the total societal response to the immense social problems which beset our society is not clear. Certainly the small number of social action programs found which met the criteria established for this study is an indication that the community college is not currently involved to any great degree in this response. If those authors who predict a significant role for the community college in the social action area are correct, then education in the theory and process of change and innovation would indeed be useful to the practitioner.

This study did not attempt to investigate the role of strategies and tactics in <u>non</u> social action programs undertaken by the community services practitioner but it is clear that strategies and tactics of some kind would be involved in the relationships the practitioner would have with community agencies, employers, funding agencies and other divisions of the community college.

As noted earlier the question of <u>overload</u> is clearly suggested by this study and is of importance to the practitioner. The community services practitioner stands at the junction point between the community college and the community. All of the programs investigated in this study involved a number of groups and within each group a number of sub-entities. The groups identified and used in the taxonomy were the primary client, the group of persons who the practitioner was attempting to help, and the secondary clients, the agencies, the employers, the funding sources and the other divisions of the college. Each of these groups has multiple membership so that it would not be unusual for the practitioner to have at least two dozen groups or organizations with whom he must maintain close contact and all of whom would expect to put input into the program and to receive regular reports on progress. These groups often represent diverse viewpoints, perhaps the most diverse contained in the community. Somehow the practitioner must move among them and bring his program to pass. A knowledge of the process of change and innovation and specifically an understanding of the strategies and tactics which can be brought into play would be useful, clearly, to the practitioner in coping with such a situation.

Summary

In this chapter the data collected in eight interviews with community services practitioners who had administered successful social action programs, was presented. Following a discussion of the Background Information collected on each program, the strategies and tactics induced from a content analysis of the recorded interviews was presented. The areas of developmental conditions were developed, discussed, and used as the organizing framework of a taxonomy of strategies and tactics used in the eight community services social action programs studied. A comparative analysis of the field-generated and the literature-generated strategies and tactics was provided as were implications for graduate school training of community services practitioners.

CHAPTER V

SUMMARY, CONCLUSIONS, AND SUGGESTIONS FOR FURTHER RESEARCH

The purpose of this chapter is to serve as a summary point for the problem examined, the literature reviewed, and the data collected. Implications of the study are discussed, conclusions are presented, and suggestions for further research are made.

Summary of the Problem

This exploratory study emerges from the confluence of two major streams of interest in contemporary higher education. One is the expanding community services function of community colleges which is often based on a concern for better meeting the needs of the poor, the unemployed, or the racial minority in the urban community. The second is the interest in the application of change and innovation theory to the operation of colleges to make these institutions more responsive to human needs.

The community services function, as one of the major areas of the community college, is the area where a response to the social ills of the community is undertaken. A need exists to know more about the techniques used by community service practitioners to establish successful social action programs. It is the purpose of this study (1) to compile strategies and tactics used by community college community services practitioners in selected social action programs; (2) to develop a classification system for these strategies and tactics; (3) to make a comparative analysis of field-generated and literature-generated strategies and tactics; and (4) to make suggestions for graduate school course work for practitioners.

Summary of the Literature

Social action programs, undertaken by the community services division of the two-year, public, community college as a response to basic human needs in the college's local community, are described in the literature as being both an appropriate and a necessary response by the community college. Various authors, including Lauter, Spiegel, and Miller, have noted the importance of a knowledge of change and innovation in the successful undertaking of such programs.

As a context for the focus on social action programs undertaken by community services divisions of community colleges, the philosophical development of the community services function was reviewed. The importance of linkages for the community services practitioner was traced as it has appeared in the literature.

Theories of change and innovation were reviewed utilizing the classification scheme advanced by Ronald G. Havelock. The social interaction perspective was examined in the form of the model suggested by Rogers. The research, development, and diffusion perspective model of Miles and Lake was reviewed. The problem-solver perspective of Lippitt, *et al.*, and that of Watson were examined as was the linkage perspective suggested by Havelock. Strategies and tactics identified in the literature were set forth.

Summary of the Data

A total of 140 strategies and tactics used by eight community services practitioners in administering successful social action programs were induced from a content analysis of the recorded interviews. Five areas of developmental conditions were postulated. These are (1) relationship; (2) diagnosis and resource retrieval leading to solutions; (3) funding; (4) acceptance, and (5) stabilization. These developmental conditions then served as a framework for the presentation of a classification of strategies and tactics induced from the eight interviews. A comparative analysis of field-generated and literature-generated strategies and tactics was presented as were suggestions for graduate school training of community services practitioners.

Discussion of Implications of the Study

What emerges from this study is, of necessity, a fragmentary picture of the strategies and tactics intuitively used by community service practitioners during the course of their conducting a successful social action program. It is obvious that other strategies and tactics were operative in each of the eight situations studied which were not identified because there were not recalled during the brief two-hour interviews, or because they were not seen clearly by the practitioner as strategies and tactics, or for other reasons.

The important point is that although none of the practitioners had deliberately drawn up a set of specific strategies and related tactics, the existence of strategies and tactics was readily discernible and use of these strategies and tactics were the keys to operating a successful program. The question then arises that if the intuitive, unplanned use of strategies and tactics, with which the practitioner was by chance familiar, was so important to success, would not the planned use of a wide range of strategies and tactics, purposively collected from "success settings," be even more productive in bringing about a successful social action program?

The community services practitioner interested in conducting a social action program in his community is, in effect, introducing an innovation. In order to maximize the possibilities of success, it is suggested that the practitioner adopt the concept that he is introducing a planned innovation, that he proceed through a process of systematic planning, development, and evaluation, that he familiarize himself with theories of change and innovation, and that he seek out, understand, and utilize specific strategies and tactics to introduce and establish his planned innovation, a social action program.

As was noted in Chapter IV, it is believed that a valuable way to classify or organize strategies and tactics to be used in community services social action programs is to relate them to the areas of developmental conditions which characterize the introduction and establishments of a planned innovation, that is, a social action program. Strategies and tactics are used to bring about a satisfactory state in each of these areas. The developmental conditions postulated in Chapter IV are (1) relationship, (2) diagnosis and resource retrieval leading to a solution of a defined problem, (3) funding, (4) acceptance of the solution or solutions, and (5) stabilization of the solution or solutions.

The practitioner may find it valuable, in devising or locating strategies and tactics to bring about each of the above noted conditions, to undertake a set of action steps in each area of developmental conditions. These action steps would take the form of determining certain basic information on which his program would be built. Havelock, in his A Guide to Innovation in Education (39), suggests that considerations of this kind be examined in introducing a planned innovation program.

Developmental Guideline

It seemed desireable to extract ideas, practices, and concepts which might be used as developmental guidelines in developing social action programs. While these guidelines are largely based upon the observations of practitioners in the field, it would seem that their delineation might be a first step to later empirical investigation of their relevance.

In examining the strategies and tactics used by the practitioners to establish effective programs, it appeared that the following guidelines were in evidence:

Relationships with the Client Systems

1. Clarify the nature of the client systems with particular attention to the normative pattern for both primary and secondary client systems.

2. Identify the designated leaders, underlying influentials within the group, and "gate keepers" who control the channels of information in and out of the client systems.

3. Clarify the role of the outside change agent in terms of his perceived role with the membership of the client systems.

4. Identify internal change agents with whom a satisfactory working relationship might be established in the various client systems.

<u>Diagnosis and Resource Retrieval Leading to a Solution</u>

1. Establish the needs of the primary client system and state them as a problem to be solved by examining the symptoms (both surface and underlying), the history, and possible causes of the problem.

2. Identify the positive aspects of the primary client's system by determining areas of maximum potential and strength.

3. Clarify the nature of the larger system in which the primary client system fits with particular attention to the relationships between the primary client system and each of the secondary systems as well as the interrelationship between secondary systems which will bear on the program.

4. Identify the broad purposes, long-range goals, and short-range objectives of the primary client system and the secondary systems and the extent to which they are compatible or incompatable.

5. Identify the structure which exists in each system for achieving the goals and objectives and assess the adequacy of the structure in the primary client system and in the vital secondary systems for achieving the goals.

6. Determine if there is openess in communication internally in each client system and between systems.

7. Assess the ability of the various systems to reward and reinforce those members who work toward the accepted goals.

8. Resources, which can provide potential solutions, exist in the form of printed (or film and/or sound) materials, people, and products and services. Establish a strategy for resource retrieval by determining <u>when</u> the resource will be needed, <u>where</u> it can be found and <u>how</u> it can be acquired.

9. Determine what solution(s) will best meet the needs of the primary client system by utilizing resources to generate and feasibility test alternative solutions and consider adaptions necessary to fit the solution to the needs of the primary client system.

<u>Funding</u>

1. Determine the amount and form of funding needed to implement the solution(s).

2. Review potential sources of funding, determining the historic interests of the funding sources, criteria for participation, and details of their decision-making process.

3. Identify the purposes, goals, and objectives of the funding source being considered and the extent to which they are compatable or incompatable with those of the primary client system.

4. Obtain funding by selecting the most promising sources and identifying and pursuing the critical steps involved.

<u>Acceptance</u>

1. Determine how acceptance of the solution can be brought about within each of the systems by identifying how each system accepts or rejects other innovations and determining to which communications methods each responds.

2. Clarify the role of leaders, influential, "gate keepers," and inside change agents in each system in the process of gaining acceptance of the solution.

3. Determine how flexible application of the solution can be and still meet the needs of the primary client system.

<u>Stabilization</u>

1. Establish ways, from the beginning of the program, to "internalize" the solution developed to meet the primary client system's needs. Determine what rewards or positive reinforcement can be provided to those within the primary client system who adopt the solution. Determine what steps should be taken to provide a non-threatening setting for client trial of the proposed solution. Devise ways in which use of the solution can be made part of the routine of individuals within the client system. Determine how continuing maintenance can be built in.

2. Since the practitioner will not want the client systems with which he is working to "refreeze" permanently around the solution developed to meet a current need, but rather to develop an openess to solutions to other needs and newly developed needs, the practitioner will want to go about his work in such a way as to develop within the client systems a positive attitude towards innovation. Develop an active inclination within the system to become change agents for themselves.

In order to effectively carry out the action steps suggested above, the practitioner must consider his own strategic orientation, his own inter-related assumptions about the nature of the process of change. The four perspectives or schools identified by Havelock and discussed at length earlier are strategic orientations. The strategic orientations of the practitioners interviewed did not fit neatly into one of these perspectives (insofar as could be determined during a two-hour interview) and it is doubtful if the strategic orientation of any practitioner would unless, after instruction and consideration, he deliberately adopted such a perspective. Rather, a practitioner is apt to have a strategic orientation built from observations of what works for him and for those around him. It is eclectic, pragmatic, and intuitively developed.

It was evident in the interviews with the more sophisticated practitioners (who had moved through a number of situations in which they had been change agents) that they had already developed a strategy for obtaining the answers to a basic set of questions about the context in which they were going to attempt to introduce a planned innovation. The development of such a strategy is basic to becoming an effective change agent and it involves deep self-knowledge as well as knowledge of change and innovation theory.

Another viewpoint useful to the practitioner in developing and/or selecting his strategies and tactics to introduce and establish a planned innovation is to view the various client groups as systems and each client system as part of a larger system. It is helpful to view these systems and sub-systems as sets of components which act with and upon one another. On an obvious level, if the primary client group or system is made up of Blacks and the secondary system, in which he wishes to place them in jobs, is an all-white system, the practitioner must develop a strategy and related tactics to sensitize both groups to the norms held by the other if they are going to interact successfully. The complexity of the task of the community services practitioner working with a number of primary and secondary clients (systems) is obvious as is the need, in such a situation, to devise a carefully planned strategic approach.

An important implication of this study is the need for the identification and description of a large number of strategies and tactics now is use by community service practitioners involved in introducing and establishing social action programs, as well as strategies and tactics utilized in related functions, which would provide the practitioner with a wide choice of alternatives to consider. Havelock provides a brief description of 44 strategies and tactics which he relates to the major perspectives or strategic orientations which he has identified (39: Appendix A, 5-10). Many of these require special training in order to be used effectively, as for example those originated by the National Training Laboratories. It is probable that a good tactic which is badly executed is better not attempted. It is often observed that the most valuable part of workshops or professional association conventions is the informal "rap-sessions" where actual successful action-steps are shared. The practitioner assimilates these on a "hit-or-miss" basis and returns home to apply or mis-apply them in his own setting. There would be value in collecting, documenting, and organizing the great number of strategies and tactics used by community services practitioners in social action and related programs so that the individual practitioner would be exposed to the range of possibilities open to him and so that he could select, adapt, and use those which meet his needs.

Conclusions

1. Strategies and tactics used by community service practitioners can be identified through a content analysis of tape-recorded interviews made with the practitioners when the interviews are conducted about a specific set of experiences related to a program and are recalled in chronological order.

2. Community services practitioners, in conducting successful social action programs, do not progress through clearly defined stages in an order common to all. Rather, they move to complete areas of developmental conditions. Each moves in a highly individual and unique pattern in response to local conditions.

3. Community services practitioners utilize a wide range of strategies and tactics in administering a social action program. Identified strategies are fewer in number than identified tactics. Specific strategies are sometimes employed by a number of practitioners. Tactics are more unique to a specific program or practitioner.

4. The strategic orientation of practitioners does not coincide with any of the four strategic orientations identified in the literature but is instead an eclectic combination of elements of each of the four orientations.

5. Community services practitioners administering social action programs are not generally familiar with change and innovation theory of strategies and tactics identified in the literature. They do not regard their programs as "planned innovations" and they do not use strategies and tactics in a planned, systematic way.

6. A classification of strategies and tactics induced from a content analysis of tape-recorded interviews with community services practitioners conducting social action programs can be constructed using areas of developmental conditions as the structuring device. Such a classification is useful in compiling and codifying strategies and tactics and in relating them to primary and secondary clients of the practitioner.

7. The concept of areas of developmental conditions is more appropriate to an explanation of the process of introducing an innovation than are the concepts of stages, phases, or steps, or other terms or concepts which imply a sequence.

8. The community services practitioner administering a social action program deals with a multi-level category of clients which includes a primary client system and a number of secondary client systems.

It should be noted that all of the conclusions are limited to the eight programs studied.

Suggestions for Further Research

Based on analysis of the data set forth in this study, the following suggestions are made as being worthy of further research:

1. A study of additional community services social action programs selected using the same criteria would be useful in testing the conclusions of this study.

2. The further compilation of strategies and tactics used by practitioners in all kinds of community services programs, and the addition of these to the classification offered here, would be useful to practitioners.

3. The generation of strategies and tactics seen as being of possible use by community services practitioners, perhaps through a series of brainstorming meetings in various parts of the country and involving change agents from various disciplines, would be of interest.

4. A compilation and codification of strategies and tactics used in other areas of disciplines, such as community development, urban planning, sociology, political science, etc. would be of interest.

5. A study of the general strategies and tactics used by presidents of community colleges having nationally recognized community services programs, and the codification of these strategies and tactics, would be useful.

6. A study examing the role which strategies and tactics of Federal agencies funding local social action programs have in the administration of those programs by practitioners would be of interest, especially in the case of Federal funding of community services programs.

7. A study of the strategies and tactics employed by the clients of the community services practitioner would be of interest especially as these strategies and tactics influence the administration of the program and are met by counter strategies and tactics by the practitioner.

8. A study of the strategies and tactics useful in creating a renewal capacity in an organization, as distinct from the stabilization of an innovation, would be useful.

9. The development of a training program on change and innovation and the use of strategies and tactics for community services practitioners, and the necessary research to develop such a program would be of value.

10. The development of self-administered instrument for use by community services practitioners to determine their relative knowledge of change and innovation theory and the use of strategies and tactics in community services work, and the research associated with the development of such an instrument, would be of practical use.

11. The development of a user-oriented handbook on the innovation process which is especially constructed for use by community services practitioners, and the research necessary to produce such a handbook, would be of practical value.

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APPENDICES

APPENDIX A

STATEMENT OF OBJECTIVES OF A

COMMUNITY COLLEGE

Statement of Objectives of Lake Michigan College, Benton Harbor, Michigan, from the 1968-69 Catalog, pp. 9-10.

The General Objectives

To provide a level of distinction in its faculty, facilities, and educational program which will insure quality higher educational opportunity in the community at a reasonable cost.

To produce, through superior educational services of the community college, better citizens who will be productive members of their communities.

To recognize the regional and local economic needs of the community: agricultural, business and industrial, and to effect the fulfillment of these needs through the development of appropriate educational and training programs.

To provide wide opportunity for the development and improvement of the personal and vocational competence of individuals through the educational services of the college.

To offer higher educational opportunities to those adults who wish to avail themselves of such opportunities.

To enable the fulfillment of these objectives by providing the facilities, instruction, and atmosphere which will stimulate the acquisition and integration of knowledge.

The Specific Goals

To offer the first two years of transfer or pre-professional education of highest quality to each student eligible for admission and to prepare this student with a sound background within his chosen field of study commensurate with the first two years of education at any four-year college or university.

To provide technical or vocational training programs which offer terminal certification in order to enhance a student's employment opportunities and to provide refresher or retraining courses in order to facilitate a student's adjustment and employment within a changing labor force.

To provide adequate general education for transfer, technical and vocational students in an attempt to prepare them more effectively for the responsibilities they share as citizens of a free society along with the personal and cultural enrichment, which makes for wholesome, creative participation in life's activities.

To provide guidance services to students of all backgrounds and abilities in order to assist them in choosing appropriate courses of study which will allow them to make a notable contribution to and find their place in an ever-changing society.

To provide community educational services to its citizens and to play a leadership role in offering adult education courses, resource personnel, speakers, meeting rooms and facilities, educationa guidance and cultural offerings in the community.

APPENDIX B

RAINES' COMMUNITY SERVICES TAXONOMY

A Community Services Taxonomy

By Dr. Max R. Raines

From A Community Services Inventory for Community Colleges. East Lansing: Michigan State University, 1969.

Individual Development Functions

Developmental Counseling Function.--Providing community members with opportunities for self-discovery and development through individual and group counseling processes; e.g., aptitude-interest testing, individual interviews, career information, job placement, family life, etc.

Educational Extension Function.--Increasing the accessibility of the regular courses and curriculum of college by extending their availability to the community-at-large; e.g., evening classes, TV courses, "weekend college," neighborhood extension centers.

Educational Expansion Function.--Programming a variety of educational, up-grading and new career opportunities which reach beyond the traditional limitations of college credit restrictions; e.g., institutes, seminars, tours, short courses, contractual inplant training, etc.

Social Outreach Function.--Organizing programs to increase the earning power, educational level, and political influence of disadvantaged; e.g., ADC mothers, unemployed males, educationally deprived youth, welfare recipients, etc.

Cultural Development Function.--Expanding opportunities for community members to participate in a variety of cultural activities; e.g., fine arts series, art festivals, artists in residence, community theatre, etc.

Leisure-time Activity Function.--Expanding opportunities for community members to participate in a variety of recreational activities, e.g., sports instruction, outdoor education, summer youth programs, senior citizen activities, etc.

Community Development Functions

Community Analysis Function.--Collecting and analyzing significant data which reflect existing and emerging needs of the community and which can serve as a basis for developing the community service program of the college; e.g., analyzing census tracts, analyzing manpower data, conducting problem-oriented studies, identifying roles and goals of organizations.

Inter-Agency Cooperation Function.--Establishing adequate linkage with related programs of the college and community to supplement and coordinate rather than duplicate existing programs; e.g., calendar coordination, information exchange, joint committee work, etc.

Advisory Liaison Function.--Identifying and involving (in an advisory capacity) key members of the various sub-groups with whom cooperative programs are being planned; e.g., community services advisory council, ad hoc advisory committee, etc.

Public Forum Function.--Developing activities designed to stimulate interest and understanding of local, national, and world problems; e.g., public affairs pamphlets, "town" meetings, TV symposiums, etc.

Civic Action Function.--Participating in cooperative efforts with local government, business, industry, professions, religious and social groups to increase the resources of the community to deal with major problems confronting the community; e.g., community self-studies, urban beautification, community chest drives, air pollution, etc.

Staff Consultation Function.--Identifying, developing, and making available the consulting skills of the faculty in community development activities; e.g., consulting with small businesses, advising on instructional materials, designing community studies, instructing in group leadership, laboratory testing, etc.

Program Development Functions

Public Information Function.--Interpreting programs and activities of community services to the college staff as well as to the community-at-large and coordinating releases with the central information services of the college.

Professional Development Function.--Providing opportunities and encouragement for staff members to up-grade their skills in program development and evaluation; e.g., professional affiliations, exchange visitations, professional conferences, advanced graduate studies, etc.

Program Management Function.--Establishing procedures for procuring and allocating the physical and human resources necessary to implement the community services program; e.g., staff recruitment, job descriptions, budgetary development, etc.

Conference Planning Function.--Providing professional assistance to community groups in the planning of conferences, institutes and workshops, e.g., registration procedures, program development, conference evaluations, etc.

Facility Utilization Function.--Encouraging community use of college facilities by making them readily accessible, by facilitating the scheduling process, and by designing them for multi-purpose activities when appropriate; e.g., campus tours, centralized scheduling office, conference rooms, auditorium design, etc.

Program Evaluation Function.--Developing with the staff the specific objectives of the program, identifying sources of data, and establishing procedures for gathering data to appraise the probable effectiveness of various facets of the program; e.g., participant ratings, attendance patterns, behavioral changes, program requests, etc.

APPENDIX C

KLEIS'S LISTING OF INSTITUTIONAL INVOLVEMENT IN CONTINUING EDUCATION

Department of Administration
and Higher Education
College of Education
Michigan State University
East Lansing, Michigan

Institutional Involvement in Continuing Education

By Dr. Russell Kleis

Educational Institutions

Public	Private
Local School District	Nearby Colleges
Area Voc-Tech School	Parochial Schools
Intermediate District	Proprietary Schools
Co-op Extension Service	Voluntary Education Groups
University Extension	
Public Libraries	
Nearby Colleges	

Official Community Agencies

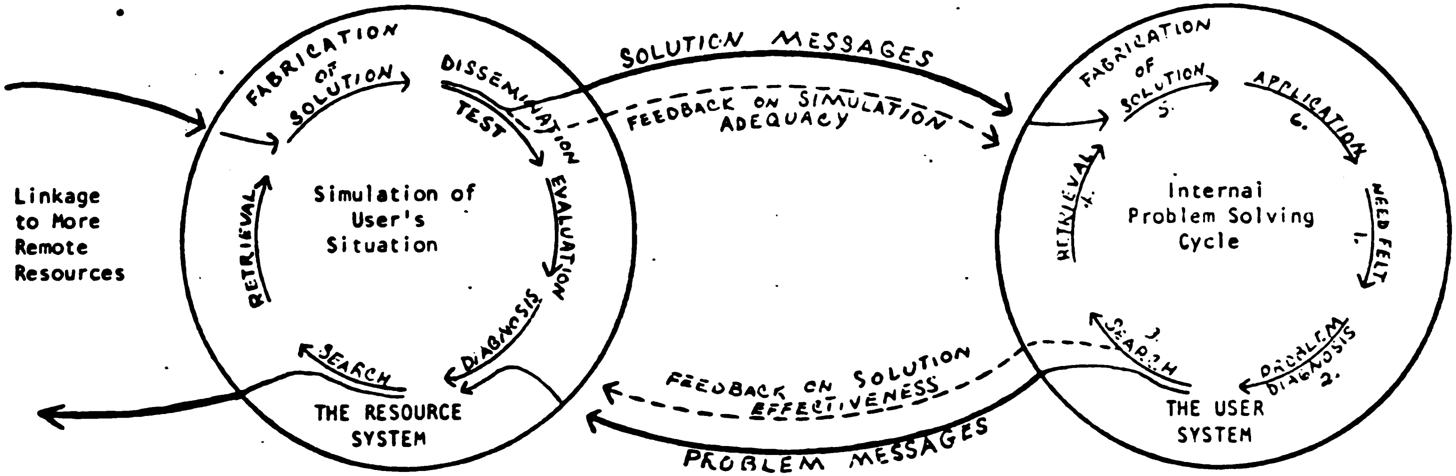
Civil Service
CAAP
Courts
Employment Security
Health Department
Law Enforcement
Social Security
Social Welfare
Other Agencies

Voluntary Community and Member Serving Institutions

Church
Church Council
YM, YW, KC, etc.
Human Relations Groups
Professional Societies
Labor Unions
Labor Council
Business or Industry
Area Development Council
Manufacturers' Association
Trade Associations
Political Organizations
Arts Council
Communication Media
Other Institutions

APPENDIX D

HAVELOCK'S MODEL OF THE LINKAGE PROCESS



Model of the Linkage Process

Source: Ronald G. Havelock, Planning for Innovation Through Dissemination and Utilization of Knowledge (Washington, D.C.: United States Office of Education, Bureau of Research, 1969), p. 11-16.

APPENDIX E

MILES' TYPOLOGY OF CHANGE STRATEGIES

INITIATOR OF STRATEGY		STAGES IN THE STRATEGY PRIOR TO ADOPTION BY TARGET SYSTEM			
		Design of innovation	Local awareness–interest	Local evaluation	Local trial
Target system (school, college, etc.)	Existing structure	1	2	3	4
	New structure	5	6	7	8
Systems in environment of target system	Existing structure	9	10	11	12
	New structure	13	14	15	16

A Typology of Change Strategies

APPENDIX F

INTERVIEW SCHEDULE

INTERVIEW SCHEDULE

COMMUNITY SERVICES SOCIAL ACTION PROGRAMS

STRATEGIES AND TACTICS

Contents

Developed by Robert E. Balster
Doctoral Student
Department of Administration and Higher Education
College of Education
Michigan State University
May, 1971

INTERVIEW SCHEDULE
Community Services Social
Action Programs

I. INTERVIEW INTRODUCTION: (Read the follosing to the interviewee).

A. The purpose of my study is to compile a list of the techniques used by community services practitioners in initiating and establishing their programs. By techniques I mean those actual methods of giving help you used. Examples of techniques or helping methods are research, setting up a demonstration unit, role playing, free association, interpretation, or in some cases, complete silence and inactivity (Lippitt *et al.*, p. 146).

B. I would like to have you tell me about one, specific program with which you were familiar from its beginning. I am interested in a program in the social action area; a program which was a planned innovation and not a change that occurred naturally; a program in which the goals included producing observable behavioral changes in skills, attitudes or values; one which was created to meet specific, identifiable needs of a group of people in your community college district; and a program which you judged to be successful.

C. I'd like to begin the interview by obtaining some background facts; then I'd appreciate your review of the program from the beginning until the end or until you left it (use on alternate interviews); then I have a few questions about a list of identified techniques which you may or may not have used in this or other programs.

D. (Reconfirm permission to tape interview; and, determine if interview is to be anonymous.)

INTERVIEW SCHEDULE
Community Services Social Action Programs

(This form to be completed for each interviewee.)

Tape number____; side 1 or 2; track 1, 4, 3, 2; start number___and___.

Time started___; time ended_____. Location of interview____________.

II. Background Information:

1. Name______________________ 2. Date of interview__________.

3. College sponsoring program_____________________________.

4. Name of program_____________________________________.

5. Name of description of group served_________________________.

6. On what date did the project begin?__________Is it still operative? (yes) (no). If not, on what date did it end? __________Why? (tape). What date did you end your relationship with the program?___________________________?

7. Please estimate the total number of people involved in or helped by the program in the 1st year____: 2nd year____; 3rd year____; etc.______________________________________.

8. Was Federal or State funding involved? Federal____; State___. If so, what is the name of the program?_________. If the program is still operative, is funding still present? (yes) (no). Other funding? (State source and program.)

   ____.

9. Were criteria for evaluating the program established before the program began? (yes) (no). If so, was an evaluation made? What was the outcome? (Tape answer.)

10. What evidence would you point to to show that this program was really successful? (Tape answer.)

INTERVIEW SCHEDULE
Community Services Social
Action Programs

III. Chronological Review: (Read the following to the interviewee).

Please start at the beginning of your program and describe the step-by-step development of the program emphasizing the techniques or helping methods you used to initiate and maintain the program. (Turn on tape recorder and let it remain running until the end of the interview.)

(Note: Interviewer will ask non-directive questions when necessary to get interviewee to describe his program in areas not covered or covered too briefly.)

(Ask at end of interview.)
What were the most critical steps--the key points--in making the program successful?

IV. Stages in the Adoption of an Innovation: (Use on alternate interviews).

Ronald G. Havelock has suggested that there are six stages in the establishment of a program or the introduction of an innovation. I would like to review these with you.

STAGE I. Relationship. This is where you build a relationship between yourself and the people you are trying to help.

STAGE II. Diagnosis. This is where you help people articulate their needs and then transform the needs into a defined problem so that both of you can work on a solution.

STAGE III. Resource retrieval. This is where you help obtain resources of all kinds to help generate solutions.

STAGE IV. Solution. This is where you and those you are trying to help consider the range of alternatives and settle upon a potential solution.

STAGE V. Gaining acceptance. At this point the solution or the innovation is put into practice and you help to get acceptance of it.

STAGE VI. Stabilization. This is where the innovation is stabilized and accepted.

INTERVIEW SCHEDULE
Community Services Social
Action Programs

V. (Techniques Used by Practitioners: (Use on alternate interviews.)

Here is a list of techniques which practitioners have found useful in some situations. Would you please look down this list. If you have had occasion to use any of these techniques in the program we are discussing or in other programs would you indicate this to me and tell me something about the situation in which you used it?

1. Have you provided people with feedback so as to help them better understand their own process of communication? (For example, have you arranged for someone to see themselves on videotape?) (2)

2. Did you use a group to generate potential solution ideas prior to consideration of the feasibility of the solutions? (Brainstorming; "blue-skying.") (3)

3. As an "outsider" to an organization, have you attempted to influence adoption of an innovation? (4)

4. As an "insider" or member of an organization have you attempted to influence an adoption of innovation? Or have you recruited an "insider" to help you? (5)

5. Did you work closely with a university professor to jointly do research to define your problems and seek solutions? (6)

6. Did you call in an outside expert for help? (8)

7. Did you and resource people meet to define your problems and to devise possible solutions and action ideas based on research findings? (9)

8. Have you "primed the pump" with financial support to get an innovation started? (13)

9. Did you make an accounting of the forces for and against the innovation and then work to reduce opposing forces and strengthen favoring forces? (14)

10. Have you used human relations training experiences in a workshop to develop openness so that problem-solving could take place? (16)

11. Did you arrange for persons with whom you were working to visit another group to see how they carried out a program? (17)

12. Did you arrange two-way discussions between innovation users and various resource persons and groups? (20)

13. Did you "infuse the environment with your message," that is, did you use many different media (i.e., newsletters, presentations, ads, audio-visual) to reach people with messages about your program? (22)

14. Did you seek out and convince the people other people listen to? (24)

15. Did you depend on ideas being passed from one group to another by means of a person who belonged to both groups? (25)

16. Have you used a systematic approach to determine and fill needs? If so, what steps did you take? (28)

17. Have you guided your client toward a more careful self-examination by reflecting back to him his own spoken thoughts and actions? (32)

18. Did you provide a careful documentation and evaluation of the success of an innovation over time? (33)

19. Did you build a capacity for continuing innovation and problem-solving in the group you were working with? (39)

20. Did you develop an ideal model of your program, then compare this with reality, and finally systematically tackle the problem spots on a priority basis? (40)

21. Did you hold workshops, short courses, or conferences for people interested in your program? (41)

INTERVIEW SCHEDULE
Community Services Social
Action Programs

VI. Would you now relate those techniques you have used from this list to the six stages we discussed. (Present Schema and insert interviewee name.) Please mark a single "X" in the box if the technique was relevant to the success of the program and mark a double "XX" in the box if the technique was especially relevant.

TECHNIQUES X Relevant XX Especially Relevant	Stage I Relationship	Stage II Diagnosis	Stage III Resource Retrieval	Stage IV Solution	Stage V Acceptance	Stage VI Stabilization
Interviewee name ______________						
1. Feedback						
2. Brainstorming						
3. External change agent						
4. Internal change agent						
5. Collaborative action inquiry						
6. Consultation						
7. Derivation conference						
8. Financial support						
9. Force field analysis						
10. Human relations laboratory						
11. Inter-organization visiting						
12. Linkage						
13. Multiple media approaches						
14. Opinion leadership utilization						
15. Overlapping groups						
16. Problem solving						
17. Reflection						
18. Research evaluation						
19. System self-renewal						
20. Systems analysis						
21. Temporary systems						

APPENDIX G

LETTER FROM AUTHOR TO

DR. J. KENNETH CUMMISKEY

ROBERT E. BALSTER
ALBION, MICHIGAN

May 13, 1971

Dr. J. Kenneth Cummiskey
Director
Community Services Project
American Association of Junior Colleges
One Dupont Circle, N.W.
Washington, D.C. 20036

Dear Dr. Cummiskey:

I am a doctoral student working on my dissertation at Michigan State University. Dr. Max R. Raines is the chairman of my committee.

My purpose in writing is to ask you to nominate from six to eight community services programs for me to study as part of my dissertation. I am interested in social action programs meeting the following criteria:

1. A program involving primarily Black people, or other minority people, or the poor, or the unemployed or the under-employed;
2. A planned innovation, not a change that occurred naturally;
3. A program with goals which included producing observable skills or attitudes or values;
4. A program having impact on the community involving at least 100 persons or more on a voluntary basis in the community college district during a period of one year;
5. A program in operation at least one year and having taken place within the past five years;
6. A program judged successful by the practitioner.

Thank you for your help in this project.

Sincerely yours,

Robert E. Balster

cc: Dr. Max R. Raines

APPENDIX H

LETTER FROM AUTHOR TO

DR. J. KENNETH CUMMISKEY

ROBERT E. BALSTER
ALBION, MICHIGAN

May 20, 1971

Dr. J. Kenneth Cummiskey
Director
Community Services Project
American Association of Junior Colleges
One Dupont Circle, N.W.
Washington, D.C. 20036

Dear Dr. Cummiskey:

Thank you for taking the time to discuss my project on the telephone today.

I am writing to confirm your naming of seven colleges which you have nominated for me to study and having, in your opinion, social action programs which meet the criteria set forth in my letter to you of May 13. They are as follows:

1. Peralta Junior College District, Oakland, California;
2. New York City Community College, Brooklyn, New York;
3. Cuyahoga Community College, Cleveland, Ohio;
4. San Mateo Junior College District, College of San Mateo, San Mateo, California;
5. Staten Island Community College, Staten Island, New York;
6. Malcolm X Community College, Chicago, Illinois;
7. Quinsigamond Community College, Worcester, Massachusetts.

Your help in this matter is appreciated.

Sincerely yours,

Robert E. Balster

cc: Dr. Max R. Raines

APPENDIX I

BACKGROUND DATA ON EACH INTERVIEW

INTERVIEW SCHEDULE
Community Services Social Action Programs

(This form to be completed for each interviewee.)

Tape number 17; side 1 or 2; track 1, 4, 3, 2; start number 0 end 504
Time started 10A; time ended 12^15. Location of interview Hubbard Hall, Conf. MSU

II Background Information:

1. Name CLARENCE NIXON 2. Date of interview 5-21.

3. College sponsoring program CUYAHOGA COMMUNITY CLEVELAND.

4. Name of program NEW CAREERS.

5. Name or description of group served INNER CITY UNEMPLOYED M + W

6. On what date did the project begin? SEPT '68 Is it still operative? Y (yes) (no). If not, on what date did it end? —— Why? (tape). —— What date did you end your relationship with the program? AUG '70.

7. Please estimate the total number of people involved in or helped by the program in the 1st year 100; 2nd year 100; 3rd year ___; etc. ___.

8. Was Federal or State funding involved? Federal ✓; State ___. If so, what is the name of the program? DEPT. OF LABOR.
If the program is still operative, is funding still present? (yes) (no).
Other funding? (State source and program.) ___.

9. Were criteria for evaluating the program established before the program began? (yes) (no). If so, was an evaluation made? What was the outcome? (Tape answer.) ✓

10. What evidence would you point to to show that this program was really successful? (Tape answer.) ✓

INTERVIEW SCHEDULE
Community Services Social Action Programs

(This form to be completed for each interviewee.)

Tape number 17; side (1) or 2; track (1), 4, 3, 2; start number 785 end Flip 287
Time started 10A; time ended 12:30P Location of interview DR RAINES' OFFI MSU

II Background Information:

1. Name FREDDM MARTIN 2. Date of interview 5-24

3. College sponsoring program PERALTA J.C. DISTRICT. LANEY + MERRITT, OAKLAN

4. Name of program INNER CITY PROJECT (4 PARTS).

5. Name or description of group served OEO LOW-INCOME; BLACKS DISTRIC M & W

6. On what date did the project begin? AP '68 Is it still operative? (yes) (no). If not, on what date did it end? —— Why? (tape) ✓ What date did you end your relationship with the program? DEC '69.

7. Please estimate the total number of people involved in or helped by the program in the 1st year 2K; 2nd year same; 3rd year ___; etc.___.

8. Was Federal or State funding involved? Federal ✓; State ___. If so, what is the name of the program? OEO. If the program is still operative, is funding still present? (yes) (no). Other funding? (State source and program.) DISTRICT. SOME PARTS CUT - LANEY

9. Were criteria for evaluating the program established before the program began? (yes) (no). If so, was an evaluation made? What was the outcome? (Tape answer.) ✓

10. What evidence would you point to to show that this program was really successful? (Tape answer.) ✓

INTERVIEW SCHEDULE
Community Services Social Action Programs

(This form to be completed for each interviewee.)

Tape number 7; side 1 or 2; track 1, 4, 3, 2; start number 0 end 790
Time started 10A time ended 12:40 p. Location of interview R's OFFICE. LMC

II Background Information:

1. Name KENNETH R. RILEY 2. Date of interview 5-25.

3. College sponsoring program LAKE MICHIGAN COLLEGE.

4. Name of program LPDS.

5. Name or description of group served BLACKS - SOCIAL AGENCY M + W PARA + PROF.

6. On what date did the project begin? FALL '68 Is it still operative? (yes) (no). If not, on what date did it end? — Why? (tape). — What date did you end your relationship with the program? CURRENT.

7. Please estimate the total number of people involved in or helped by the program in the 1st year 469; 2nd year ___; 3rd year ___; etc.___.

8. Was Federal or State funding involved? Federal ✓; State ___. If so, what is the name of the program? MODEL CITIES. If the program is still operative, is funding still present? (yes) (no). Other funding? (State source and program.) BUT RENEWAL NOT KNOWN.

9. Were criteria for evaluating the program established before the program began? (yes) (no). If so, was an evaluation made? What was the outcome? (Tape answer.) ✓

10. What evidence would you point to to show that this program was really successful? (Tape answer.) ✓

INTERVIEW SCHEDULE
Community Services Social Action Programs

(This form to be completed for each interviewee.)

Tape number 7; side 1 or (2) track 1, (4), 3, 2; start number 0 end 558.
Time started 10A; time ended 12 05 P. Location of interview S.' OFFICE G

II Background Information:

1. Name MISS BARBARA STEPHENSON 2. Date of interview 5-26

3. College sponsoring program GENESSEE CC, FLINT.

4. Name of program COMMUNITY COUNSELING FOR MATURE WOMEN.

5. Name or description of group served ADULT WOMEN.

6. On what date did the project begin? SEPT '66 Is it still operative? (yes) (no). PARTIALLY PICKED UP If not, on what date did it end? MAY '68 Why? (tape).
What date did you end your relationship with the program? CURRENT.

7. Please estimate the total number of people involved in or helped by the program in the 1st year 1500; 2nd year 1800 3rd year ___; etc.___.

8. Was Federal or State funding involved? Federal ✓; State ___. If so, what is the name of the program? TITLE I.
If the program is still operative, is funding still present? (yes) (no).
Other funding? (State source and program.)___.

9. Were criteria for evaluating the program established before the program began? (yes) (no). If so, was an evaluation made? What was the outcome? (Tape answer.) ✓

10. What evidence would you point to to show that this program was really successful? (Tape answer.) ✓

INTERVIEW SCHEDULE
Community Services Social Action Programs

(This form to be completed for each interviewee.)

Tape number 7; side 1 or 2; track 1, 4 3, 2; start number 560 end 516 FLIP

Time started 2P; time ended 4:30 P. Location of interview HOLIDAY INN. EAST ANN ARBOR

II Background Information:

1. Name ERWIN THOMAS 2. Date of interview 5-26.

3. College sponsoring program WASHTENAW C.C., ANN ARBOR

4. Name of program STEP-UP (SPECIALIZED TRAINING EMPLOYMENT) PROGRAM - UNITED PROJECT.

5. Name or description of group served UNEMPLOYED MEN.

6. On what date did the project begin? MAY '69 Is it still operative? (yes) (no). If not, on what date did it end? ______ Why? (tape). What date did you end your relationship with the program? CURRENT.

7. Please estimate the total number of people involved in or helped by the program in the 1st year 120+; 2nd year 80+; 3rd year ___; etc. ____.

8. Was Federal or State funding involved? NO Federal ___; State ___. If so, what is the name of the program? ________. If the program is still operative, is funding still present? (yes) (no). Other funding? (State source and program.) PRIVATE FUNDING — LOCAL EMPLOYERS' CONSORTIUM.

9. Were criteria for evaluating the program established before the program began? (yes) (no). If so, was an evaluation made? What was the outcome? (Tape answer.)

10. What evidence would you point to to show that this program was really successful? (Tape answer.)

INTERVIEW SCHEDULE
Community Services Social Action Programs

(This form to be completed for each interviewee.)

Tape number 7; side 1 or 2; track 1, 4, 3, 2; start number 0 end 400
Time started 10A time ended 12 30 P. Location of interview CONF. ROOM D.

II Background Information:

1. Name MRS. JAN HARMER 2. Date of interview 5-27.

3. College sponsoring program DELTA COLLEGE, U. CENT

4. Name of program WOMEN'S OPPORTUNITY WORKSHOP.

5. Name or description of group served WOMEN ON PUBLIC ASSISTANC

6. On what date did the project begin? SPRING '70 Is it still operative? (yes) (no). If not, on what date did it end? ______ Why? (tape). What date did you end your relationship with the program? CURRENT.

7. Please estimate the total number of people involved in or helped by the program in the 1st year 110; 2nd year ____; 3rd year ____; etc. ____.

8. Was Federal or State funding involved? NO Federal ____; State ____. If so, what is the name of the program? ______. If the program is still operative, is funding still present? (yes) (no). Other funding? (State source and program.) LOCAL - THE COLLEGE.

9. Were criteria for evaluating the program established before the program began? (yes) (no). If so, was an evaluation made? What was the outcome? (Tape answer.) ✓

10. What evidence would you point to to show that this program was really successful? (Tape answer.) ✓

INTERVIEW SCHEDULE
Community Services Social Action Programs

(This form to be completed for each interviewee.)

Tape number 5; side 1 or 2; track 1, 4, 3, 2; start number 0 end 688

Time started 1PM; time ended 3^30. Location of interview ERICKSON, MSU SEMINAR ROOM

II Background Information:

1. Name BRIAN DONNELLY 2. Date of interview 6-4.

3. College sponsoring program QUINSIGAMOND CC WORCESTER, MASS.

4. Name of program PROJECT QUEST.

5. Name or description of group served LOW INCOME BLACKS, PUERTO-R WHITE M+F.

6. On what date did the project begin? SEPT '68 Is it still operative? (yes) (no). If not, on what date did it end? ~~[illegible]~~ Why? (tape). What date did you end your relationship with the program? SEPT '69.

7. Please estimate the total number of people involved in or helped by the program in the 1st year 150; 2nd year 200; 3rd year ___; etc.___.

8. Was Federal or State funding involved? Federal ✓; State ___. If so, what is the name of the program? TITLE I.
If the program is still operative, is funding still present? (yes) (no).
Other funding? (State source and program.) ___.

9. Were criteria for evaluating the program established before the program began? (yes) (no). If so, was an evaluation made? What was the outcome? (Tape answer.)

10. What evidence would you point to to show that this program was really successful? (Tape answer.)

INTERVIEW SCHEDULE
Community Services Social Action Programs

(This form to be completed for each interviewee.)

Tape number 5; side 1 or 2; track 1, 4, 3, 2; start number 0 end 688.

Time started 130 p; time ended 330 p. Location of interview PRESIDENT'S OFFICE FERRIS STATE COLLEGE BIG RAPIDS, MI

II Background Information:

1. Name DR. ROB'T L. EWIGIEBEN 2. Date of Interview 6-7.

3. College sponsoring program SAN MATEO COLLEGE.

4. Name of program COMMUNITY SERVICE.

5. Name or description of group served UNDER & UNEMPLOYED M+W.

6. On what date did the project begin? JAN '70 Is it still operative? (yes) (no). If not, on what date did it end? _____ Why? (tape). What date did you end your relationship with the program? MARCH '71.

7. Please estimate the total number of people involved in or helped by the program in the 1st year 200+; 2nd year same; 3rd year ____; etc. ____.

8. Was Federal or State funding involved? Federal ✓; State ✓. If so, what is the name of the program? USOE CALIF TAX DEMO GRANT, OEO MDTA. If the program is still operative, is funding still present? (yes) (no). Other funding? (State source and program.) STATE TAX PARTIAL

9. Were criteria for evaluating the program established before the program began? (yes) (no). If so, was an evaluation made? What was the outcome? (Tape answer.)

10. What evidence would you point to to show that this program was really successful? (Tape answer.)

APPENDIX J

TECHNIQUES RELATED TO STAGES OF THE PROCESS
OF INNOVATION BY FOUR COMMUNITY SERVICES
PRACTITIONERS AND RONALD G. HAVELOCK
(25:Appendix A, 3-4)

KEY

	relevant	especially relevant
Havelock	X	XX
Peralta	P	PP
Delta	D	DD
Lake Michigan	L	LL
Genessee	G	GG

TECHNIQUES (X Relevant; XX Especially Relevant)	Stage I Relationship	Stage II Diagnosis	Stage III Resource Retrieval	Stage IV Solution	Stage V Acceptance	Stage VI Stabilization
1. Feedback	LL X DD G	L XX DD	P L X D	P L XX D	LL XX D	L X D
2. Brainstorming	P LL DD G	PP L DD	P L DD G	P L XX D	P L XX D	L X D
3. External change agent	P X DD	P XX DD G	X DD	P X D G	X DD	L X DD
4. Internal change agent	P LL X DD	L X DD G	L X DD	LL X D G	LL X DD	P XX D
5. Collaborative action inquiry	XX DD	XX DD G	X DD	X DD G	P XX DD G	X DD
6. Consultation	LL X D GG	L XX D	L XX D	LL XX	L X D	L X
7. Derivation conference	P LL X DD	LL X DD	L XX DD	LL XX DD	L X DD	DD
8. Financial support	LL X DD X	L X DD	L XX DD	L XX DD	L X DD	L DD
9. Force field analysis	DD	XX DD	DD	XX DD	X DD	DD
10. Human relations laboratory	LL XX DD X	L X DD G	P LL DD	P LL DD G	L X D G	L D
11. Inter-organization visiting	D G	X D	P XX D	X D	X	
12. Linkage	LL XX DD	L XX DD	P L XX DD	P LL XX D G	L XX DD	XX DD
13. Multiple media approaches	P L X D GG	X D	XX D	L X D	L XX D G	X D
14. Opinion leadership utilization	LL X DD	L DD	DD	LL X DD G	L XX DD	DD
15. Overlapping groups	P D	D	X D	DD	P X DD	XX D
16. Problem solving	P X DD	XX DD G	X D	XX G	XX D	P X
17. Reflection	P XX DD G	L XX DD G	X DD G	L XX D G	L XX D G	L X D G
18. Research evaluation	P LL X DD	P LL XX DD	P LL X DD	P LL X DD	P L XX DD G	P X DD
19. System self-renewal	LL X DD	L X DD G	L X DD	LL X DD G	L X	P L XX DD
20. Systems analysis	P X DD G	XX D G	P X DD	XX DD	X D	P XX DD
21. Temporary systems	P XX DD GG	P X D	P D	P X DD G	X D	P DD