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AN ASSESSMENT OF THE INFORMATION NEEDS OF
SELECTED STATE DECISION MAKERS REGARDING
THE EDUCATION OF HANDICAPPED INDIVIDUALS.

The University of Oklahoma, Ph.D., 1976
Education, special

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1976

THE UNIVERSITY OF OKLAHOMA

GRADUATE COLLEGE

AN ASSESSMENT OF THE INFORMATION NEEDS
OF SELECTED STATE DECISION MAKERS
REGARDING THE EDUCATION OF
HANDICAPPED INDIVIDUALS

A DISSERTATION

SUBMITTED TO THE GRADUATE FACULTY

in partial fulfillment of the requirements for

degree of

DOCTOR OF PHILOSOPHY

BY

C.D. JONES, JR.

Norman, Oklahoma

1976

AN ASSESSMENT OF THE INFORMATION NEEDS
OF SELECTED STATE DECISION MAKERS
REGARDING THE EDUCATION OF
HANDICAPPED INDIVIDUALS

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DISSERTATION COMMITTEE

ACKNOWLEDGEMENTS

The writer wishes to express his sincere gratitude to all the people who believed in and encouraged him during his research efforts. Special thanks go to Dr. Robert Ragland, chairman of the writer's dissertation committee, for his guidance, helpful suggestions and encouragements; to Dr. Omer J. Rupiper for his invaluable suggestions and confidence in this writer; and to Dr. Charlyce King and Dr. Mary C. Petty for their faithful encouragement.

Others whose invaluable assistance in this research effort must be recognized are Dr. Russell Vlaanderen, Director of the Education Commission of the States' Department of Research and Information Services; Dr. Paul Bradley, Associate Professor of Education and Psychology at the University of Colorado; Dr. Anne Carroll, Associate Dean of the College of Arts and Sciences at the University of Denver; Dr. H. Eugene Hensley, Associate Director of the Department of Elementary and Secondary Education Services at the Education Commission of the States; and Ms. Joanne Sells of the Education Commission of the States' Child Abuse & Neglect Project.

Finally, the writer would like to express a deep feeling of gratefulness to his wife Jeanette and children Jeffery and Camille whose support and encouragement made this achievement possible.

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AN ASSESSMENT OF THE INFORMATION NEEDS
OF SELECTED STATE DECISION MAKERS
REGARDING THE EDUCATION OF
HANDICAPPED INDIVIDUALS

CHAPTER I

INTRODUCTION

Problem

In most state special education agencies, planning information is incomplete or unavailable, and what is available often cannot be used for specific conclusions, decisions or projections. Thus, in response to a serious need currently felt among decision makers in the states, this study seeks answers to the following questions:

1. What types of information are requested by state directors of special education for program planning for the education of handicapped individuals?
2. What types of information do state legislators need in their deliberations on laws and program policy for the education of handicapped individuals?
3. What generalizations, conclusions and recommendations can

be made regarding the types of information requested by state directors of special education and state legislators?

It is not the intent of the investigator to develop a model or new information system and then test its effectiveness, or to determine the nature of the states' planning process. The purpose of this study is (1) to assess and determine the information needs of state directors of special education and state legislators from those states that operate under a particular funding arrangement for special education and (2) to determine what generalizations, conclusions and recommendations can be stated about the utility of such information as it relates to both population samples.

Background

The constitutions of all fifty states provide for free public education for all children, including those with handicapping conditions. Historically, the states have delegated most of the daily operations of public schools to local governments, i.e. local and county school districts. Nevertheless, the ultimate responsibility for education rests with the states. It is the states, therefore, that are primarily responsible for insuring that handicapped individuals receive the educational opportunity for which they are legally entitled.

It has been estimated that approximately 1.5 million handicapped individuals are not receiving an education. The Childrens Defense Fund (1974) reports that of forty-nine states with compulsory school attendance provisions in their school laws, forty-seven have exclusion clauses that exempt certain individuals due to physical, mental or emotional disabilities. However, the state responsibility

to provide adequate education services to all handicapped children has recently been clarified and strengthened by federal and state court cases, attorney general rulings in favor of services for handicapped individuals, and state legislatures enacting comprehensive laws mandating full and appropriate services. Presently, forty-seven states have enacted some form of legislation that requires educational services for the handicapped. Most of the state legislation enacted in the 1970s includes policy statements clarifying the role and responsibility of state and local governments. These policy statements require states and/or local districts to articulate a philosophy embracing the specific goal of full and equal educational opportunity for all handicapped children.

Under the law in each state, either the state board or the state department of education has the primary responsibility to administer free public education to handicapped children. Other state agencies providing services include (1) the department of mental health, (2) social service agencies, and (3) private agencies and others. While the state board of education or the state department of education is statutorially responsible, the laws require that an individual be appointed, usually the state director of special education, to handle daily operations. Recent legislative developments have focused on upgrading the position of state director of special education to the level of assistant commissioner or deputy commissioner, and upgrading the office to a division or bureau of special education, in order to increase the visibility, commitment and stability for program planning of services for handicapped individuals. Kentucky, Massachusetts,

Missouri and Tennessee are recent examples of this trend. Federal legislation has also had an impact on state-level planning. Public Law 91-230 under the Elementary and Secondary Education Act (1969) requires that federal funds received by the states for the education of handicapped individuals be administered and coordinated by an individual in charge of special education in the state department of education.

The Digest of State and Federal Laws (Trudeau, 1972) describes the various statutory assignments of responsibility for special education at the state level as follows:

TABLE 1
Responsible for Special Education Planning

Responsible Agency	Number of States
Division, Office of Special Education	20
State Board of Education	17
State Department of Education	3
State Board and State Department	4
Combination	1

Functions of the Office of Special Education

The Council for Exceptional Children (CEC) (1971) points out that the duties of special education leaders encompass not only general administrative direction, but specific duties unique to the program offered. While these duties vary with internal organization and administrative frameworks, they may, according to CEC, be arranged in the following manner: (1) devising ways of identifying children with

special needs; (2) assessing children with special needs to determine what kinds of programs and services are necessary; (3) planning interventions or program alternatives; (4) organizing the resources needed in a comprehensive program for special education; (5) directing, coordinating and consulting to guide the efforts of those engaged in special education; (6) evaluating and conducting research, and (7) interpreting and reporting information to gain public support.

The Education Profession's Report - Part III (1972) says the functions of state special education agencies vary because of individual state legislation and state board of education department regulations and directives. The range of responsibility varies from practically none to almost complete control of the state's education agencies to enforcing state special education regulations, which pertain to diagnosis and establishment of classes, approval of curriculum content, teacher approval, individual child applicant approval, coordination with other state agencies and private facilities involved in the education of handicapped children.

White (1973) reported that the state directors of special education perceive their chief responsibilities to be policy, administration of funds and management, and that the long-range goals of special education programs at the state level -- the implementation of mandatory legislation, assistance in program planning and evaluation, utilization of management systems, and keeping up with trends -- were formed through the influence of laws, mandates and directives, studies, surveys, special reports, perceived needs, impact from various people and groups, leadership personnel and master plans.

In all of the states, the increasing demands on state and local education agencies to provide appropriate education for all children has heightened the importance of effective program management and accountability. One of the greatest needs is for collection of relevant information to assist in policy making and to develop comprehensive state plans. State special education officials must be able to respond to the inquiries of local administrators as well as other state policy makers on immediate and long-range issues, both programmatic or fiscal. In addition, as the federal government increases its funding for education of the handicapped, improved planning and more precise information will be required of state agencies. For example, federal special education legislation, Public Law 93-380 (1974), requires that each state set forth a detailed plan of the policies and procedures it will undertake in order to assure that all handicapped children will be identified, located and evaluated. The law also requires each state to establish a goal to provide full training and educational opportunities for all handicapped children. Public Law 94-142, enacted in 1975 (Burke, 1976), added the requirement that states develop an individualized education program for each handicapped child. PL 94-142 also makes the state education agency (SEA) responsible for identifying, locating and evaluating the educational and related services that all handicapped individuals in the state receive, regardless of whether those children are in institutional settings under the jurisdiction of the SEA.

Parents and professional associations and advocacy groups are demanding that school officials and state policy makers provide the highest quality of education programs for all handicapped individuals.

At the same time, state and federal policy makers are requiring state agencies serving the handicapped to justify their programs financially as well as educationally. It is crucial that administrators at all levels of planning for education of the handicapped have sufficient and appropriate information that provides a base for program development and decision making.

Factors that Affect the Availability
and Flow of Information on a
State and Nationwide Basis

Coffing (1973) has commented both on the lack of available information and on the methods of obtaining information used for planning educational programs for the handicapped.

In the field of education of the handicapped, as in other fields, there is an absence of standardized, systematic operational rules and procedures for defining and measuring needs. In reviewing the literature and in examining what practitioners in the field actually do, one finds methods, techniques or approaches that are used some of the time to assess some kinds of needs. But one does not find one or more methodologies capable of providing information to decision makers with respect to anywhere near the field range of their actual concerns.

The availability of information for program planning is further complicated by the fact that there are differences in the range and types of information in the states. Some of the major differences are in definitions of handicapped population, the age of eligibility for special education services, methods of estimating incidence rates, the availability of special education programs, and emphasis on particular special education legislation.

Major factors that affect the flow of information include the position of the special education agency within the organizational structure of the state education agency; or when the responsibility of

education services for handicapped individuals is distributed among several autonomous agencies, what results is fragmentation of services. Without statewide coordination, each additional agency, autonomous institution or private facility responsible for special education programs adds to the complexity of the flow of information.

White (1974) believes that due to the scarcity of needs assessment studies, it is very difficult to plan systematically and rationally for solutions to education problems in the field of special education. Thus, most states must face the fact that statewide studies will be required to generate the type of information required by state policy and decision makers regarding education programs for handicapped individuals. Major questions include what kinds of information are most essential, to whom is it essential, for what kinds of decisions will it be utilized, and is there additional information needed but not available.

An important step in improving decision making is to determine the existence and availability of appropriate information. What is most needed is historical, current and projective information designed to anticipate the consequences of alternative directives before final conclusions are reached. Bender (1972) says rightly that any system fails that does not enable planners or decision makers to consider alternative courses of action beforehand.

While it has generally been recognized that legislation or litigation alone cannot guarantee adequate and appropriate education services or effective delivery of such services to all handicapped individuals, a thorough legislative analysis by decision makers and a careful assessment of state board and state department regulations,

policies and practices should be an initial step in determining what additional information is needed, how it will be used, and for what kinds of decisions by state-level policy makers.

Rationale for the Study

The literature has borne out the fact that there is a great need for several types of information at the state, local and federal levels for special education, not only to document services, but to provide additional information that can be useful for decisions regarding a broader legal base in program planning and evaluation. Although information may be available at the local level, it is useless for decisions at the state, regional or national level unless it is relevant and reported in a comparable way. The Education Profession's Report (1972) says that few states have special education systems capable of providing management information that is predictive as well as evaluative. A major step in improving the information base is to provide an understanding of what kinds of information are available, what is needed, and how it is to be used. The concern is not a matter of more information, but of what kinds of information are used for specific purposes by state-level program administrators and policy makers.

A Review of the Related Literature

Information Gathering at the State Level for Program Planning and Policy Development for Handicapped Individuals

White (1973) reports that more than two-thirds of the state directors of special education include, as part of their long range plans, the implementation of mandatory legislation. As a result of

the mandates in recently enacted legislation, many states are being required to conduct studies to determine the educational status of their handicapped populations and to make recommendations to their respective legislatures. Moreover, the Digest of State and Federal Laws (Trudeau, 1972) reveals that planning requirements are generally provided for both at the state and local levels of government (see Table II). Planning requirements range from the development and adoption of a state or local district plan for education of the handicapped, to the establishment of an advisory council to advise and assist the state or local agency in planning, to an annual report by the state department of education or state board of education to the legislature outlining recommendations for program development.

TABLE II

Planning Requirements for the
Education of the Handicapped

<u>State Level</u>	<u>Local Level</u>	<u>State/Local Level</u>	<u>None</u>
8 states	13 states	14 states	15 states

While state planning requirements can be traced back to the late 1940s in Pennsylvania, all fifty states have done some planning for the education of handicapped individuals. However, this has largely been due to the availability of federal funds. Chase (1969) reports that new concepts of planning in education are due mostly to federal participation; he cites the Elementary and Secondary Act (ESEA), which requires proposals to be submitted that incorporate planning. More specifically, Public Law 95-380, Title VI-B ESEA of 1974, and,

more recently, Public Law 94-142 of 1975, provide direct grant-in-aid to states for the development of programs for handicapped individuals. Federal law now requires the states to establish a state plan showing their needs, a procedure for meeting those needs and the role of federal funds.

Although it is difficult to determine the impact of past planning and data collection on program and policy development, such efforts clearly have helped to interpret the needs of the handicapped to the public and to professional policy makers, and have created a wider commitment among decision makers. One of the most publicized efforts occurred in New York State in 1969. The governor and the board of regents appointed the Fleischmann Commission to study the quality, cost and financing of elementary and secondary education in New York State and to make recommendations for improvement in all of these areas. In 1972 the Fleischmann Commission issued a three-volume report (Fleischmann Report, 1972) which contained findings and recommendations for children with special needs. The major findings showed that a minimum of 200,000 school-age children with identifiable handicaps in New York State were not receiving any special education services. Recommendations to improve services for children with special needs included a new weighting formula for distributing funds, in which the Commission's recommendations for such children would cost an estimated \$1.2 billion (\$360 million in new money) for the 1972-73 school year. A later report, The Education of Children with Handicapping Conditions, which contained the policy statements of the New York State Board of Regents, referred to the Fleischmann Commission's findings and made similar

recommendations, including a weighting formula for distributing funds, to improve the education of the handicapped.

Then in 1974, Senate Bill 10539-A was signed by the governor of New York and became Chapter 241 of the Laws of 1974. The bill provided additional "weighted" aid for pupils with special needs and children with handicapping conditions, and required districts to submit a three-year plan for the funds in the fall of 1974 and every third year thereafter.

In a related development, the Louisiana legislature in 1972 passed Act 368, which required special education services for all exceptional and handicapped children from ages three to twenty-one. In 1973 the legislature passed Senate Concurrent Resolution #5, directing the department of education to determine the capacity of the state's parishes and municipal school systems to provide special education services to exceptional children. Resolution #5 also contained a provision that directed the department of education to report what funds were needed to implement Act 368. The Public Affairs Research Council (PARC, 1974) prepared the report of the department's findings. The major findings revealed that, on a statewide basis, the school systems needed 988 additional teachers and 334 aides. A total of 20,607 children needed special services in conjunction with regular classrooms but were not receiving the recommended services. The PARC report projected that an additional \$15.2 million would be necessary for special education programs for the 1974-75 school year, and concluded that while these new funds requested would not be sufficient to implement Act 368 fully, they would be the maximum amount that could probably be utilized because

of the limited availability of special education teachers and qualified evaluation team members, as well as other relevant factors. An independent telephone survey by the Education Commission of the States (1975) revealed that state expenditures for special education in Louisiana for 1973-74 totaled approximately \$20 million. This represents an increase of \$5.8 million over 1972-73.

In another state, the Report on the Study of Learning Disabilities (1973) was a result of the Colorado General Assembly's directive to the state board of education to assist the department of education by means of a state advisory committee to make a statewide study of learning disabilities and submit the report to the governor, the education committees and the joint budget committee of the legislature. The study reported on the status of special education in Colorado for the 1971-72 school year, including the types and number of handicapped individuals served or not served, total costs for services, and whether costs were from state, local or private sources. The findings indicated that the number of students receiving services represented an estimated five percent (5%) of the total population enrolled in elementary and secondary schools, and the total costs of special education services represented three percent (3%) of the total general operating expenditures of local districts that provided special education programs. The sources of funding as reported by local districts were: state, 34.2%; federal, 10%; local or private, 55.4%. In 1973 House Bill 1164 was enacted, requiring comprehensive services to all handicapped children ages 5-21 in Colorado. State appropriations increased from \$6.7 million in 1971 to over \$14.5 million in 1973-74.

Prior to 1975, Ohio was one of the last remaining states with permissive, rather than mandatory, provisions for education services for handicapped children in force. In 1972 a move toward mandatory services began with the passage of Substitute Senate Bill 405, which required the submission of a plan (state and local) for educating the handicapped as the condition for approval of state funds for operation of these programs. Then in 1973, the legislature required the state board of education to submit an interim report to the education committees of the legislature with an analysis of current programs in special education and a detailed outline of the unmet needs of the handicapped population. The report, Ohio's Comprehensive Plan for the Education of the Handicapped (1973), contained the state board's recommendations for implementing a comprehensive special education plan. The recommendations included plans for interdistrict cooperation of all special education programs, early assistance for handicapped children, vocational opportunity, new special education units, state reimbursement for support personnel, statewide master plans for special education training programs, low incidence priority and comprehensive services for the trainable mentally retarded. While planning was mandatory, provisions for services were still permissive until 1975 with the passage of House Bill 455.

The New Mexico Legislature in 1973 passed Senate Bill 14 (Chapter 95), which required all school districts to provide special education services by 1977 to all exceptional children who meet standards established by the state department of education. The state board of education requested the state department's participation in a statewide evaluation of the status of special education and in the identifi-

cation of major problems anticipated in the expansion of public school programs required to meet the needs of all exceptional children by 1977. The findings of their report, A Plan for the Delivery of Special Education Services in New Mexico (January, 1973), indicated that the most critical problem at that time was the lack of organized information concerning the size and nature of the state's population of exceptional children. The acquisition of precise and reliable frequency indices and population demography was judged a priority by the study group in the development of an information base from which to predict expansion levels accurately and to project adequate future financing for specific populations. The state division of special education conducted a needs assessment to generate information for planning and orderly expansion of special education programs. The needs assessment revealed that the mandatory legislation required special education services to expand sixfold over the current level of services. The study also showed that if high quality were to be maintained during the period of rapid expansion, issues of program capability, management and support had to be carefully examined. Three factors were identified as essential to the success of local school district program growth: (1) identification and diagnosis of children, (2) availability and competency of manpower, and (3) a workable system of accountability and quality control.

In 1974 the North Carolina General Assembly passed legislation that established a permanent state commission on children with special needs, charged with monitoring the state's progress in fulfilling the service requirements of children with special needs and designing legislation to strengthen the role of the state in meeting its responsibility

to such children. The commission was directed to study the state's special education needs and report its findings to the General Assembly. Major findings of the commission's report (1975) were in the area of teacher certification. Sixty-one percent of the special education teachers were not certified in the area in which they taught. Legislation also enacted in 1974 (Senate Bill 1238, 1974), required a state-wide census of children theretofore unserved. It was estimated that there were 90,981 children with special needs under age six in North Carolina. The report indicated that, based on the number of children known to have special education needs and who were on waiting lists (1973-74), there was an immediate need for 1,591 additional teachers. Other findings showed that there was no accurate statistical base on which to deliberate intelligently about funding programs for children with special needs. The commission also concluded that the internal organization of the department of public instruction did not lend itself to the orderly implementation and monitoring of the special education law; therefore, the commission proposed that the state board of education order an internal organizational realignment as appropriate.

In 1974 the Idaho State Department of Education undertook a needs assessment of special education programs in response to a legislative request in Senate Bill 1362 (1973). The study, initiated to provide information for state and local planning, identified several factors -- such as fiscal, legislative, organizational/administrative, informational/communicative, social and technological -- that may act simply or together either to facilitate or prevent the development of adequate special education programs. An objective of this study was

to determine the existence of any of the above factors, so that systematic strategies could be developed to manipulate the variables, thereby facilitating program development. Major recommendations called for (1) an improved fiscal and program management system at the state and local levels, so that cost data to monitor efficiency could be available to legislators as well as program planners; (2) comprehensive state plans for all exceptional children, which would provide a continuum of special education from birth to adulthood; (3) regionalized state department services for "on-the-spot" assistance to local districts; (4) additional state support for higher education institutions, and (5) delivery systems applicable to rural areas, multidistricts or other cooperative arrangements.

Elsewhere, the California State Department of Education took the lead in developing its master plan for special education, and the state assembly endorsed it by enacting House Bill 4040 (Chapter 1532) in 1973. Unlike most of the other state plans, California's called for a gradual phase-in of program development by districts and cooperatives over a number of years.

Related Studies

This section reviews major studies that have a bearing on information needs of federal officials.

The Education Profession's Report, Part III (1972-73) provides a thorough examination and discussion of education personnel requirements, i.e., present and future personnel requirements and factors that affect supply and demand in the field of special education. Education personnel was defined as classroom teachers, therapists and aides,

administrative personnel, support personnel and training personnel used by colleges. The staff of the U.S. Office of Education's Bureau of Education for the Handicapped made onsite visits in 1969 to each state education agency to obtain some of the necessary information for this report. A major problem encountered during the visits was the lack of available data. Information was needed on the number of special education personnel in order to calculate the personnel shortage by subtracting those employment figures from the requirements generated by the number of children identified in each handicapped category and the recommended personnel/pupil ratios. However, in most states the needed data was either unavailable or very incomplete; in many states the information available to the special education staff was inadequate for planning and evaluation needs, even without consideration of the personnel requirement estimates. As a result of this study, a number of recommendations were formulated regarding needed improvements in current programs and future projects on the federal, state and local levels. One of the recommendations was to improve data acquisition.

Another survey, entitled Study of Excess Costs of Educating Handicapped Pupils (1975) was initiated at the request of the Select Subcommittee on Education of the United States House of Representatives. The subcommittee asked the U.S. Commissioner of Education to estimate the excess costs of educating handicapped children. The purpose of the study was to provide information concerning pending federal special education legislation being considered at that time by the Select Subcommittee. More specifically, the study sought an analysis of the excess costs of educating the handicapped by type of instructional

situation and by various other detailed categories. The subcommittee also requested a recommendation of an excess cost structure or model, along with an estimate of resource requirements to develop, install and operate a nationally uniform data system to produce excess cost data.

To carry this out, a study team from the National Center for Educational Statistics (NCES) and the Office of the Assistant Secretary for Planning and Evaluation, working in cooperation with the Bureau of Education for the Handicapped, conducted a nine-state survey of state education agencies to collect the necessary data. The survey revealed that only part of the data needed to determine the costs of educating handicapped pupils could be provided by any of the nine states. Much of what was provided was estimated rather than verifiable data, and the data was not comparable from state to state; that is, categories used to report data on disability types and personnel differed from state to state, thus making comparisons and aggregation across states difficult. Many handicapped children were in instructional situations that made allocation of cost difficult -- i.e., speech impaired. No model was available to allocate any of the costs of instruction received in regular classrooms by speech impaired to education of the handicapped. The survey identified "mainstreaming" as a potential costing problem, pointing out that as mainstreaming becomes common in delivering services to handicapped children, the allocation of costs becomes more complex. The survey concluded that it was impossible with existing data to make a national estimate of the "excess cost" of educating handicapped children.

Based on NCES staff experience with the available state data, the report suggested that a thorough analysis of alternative funding strategies be carried out on a theoretical or model basis regarding education programs for the handicapped. It was concluded that a one-time special survey of existing state data would not provide satisfactory data for developing a formula because the states did not have comparable information on special education. NCES staff also proposed, for 1976, funding the development of an implementation handbook to guide record keeping on the education of the handicapped. Such a handbook would also codify, from eight existing handbooks, all pertinent terminology and definitions, and would illustrate standard methods of record keeping to permit calculations of excess costs.

The third study was carried out by White (1973). She assessed the needs of special education as perceived by state directors of special education, with the purpose of using the findings to develop an information system for special education. Among White's findings were that special educators were concerned with financial and legislative data, program curricula and statistical data for planning. Information needed by state directors included the following:

- (1) From other states - information on programming, curriculum, legislation, litigation and funding patterns;
- (2) Federal government - information on requests for proposals (RFP's), funding, information for planning, legislation and litigation, standards and guidelines, management and training;
- (3) Within the state (personnel office) - student/teacher statistical data, evaluation data, general needs, financial data and

data on program trends or study reports;

(4) Information shared with other states - program and curriculum, legislation and litigation, trends for training and evaluation;

(5) Information shared with federal government - statistical data, standards and guidelines, funding and results of studies.

Regarding information for planning, White stated that it appeared desirable by only nineteen states; but taken in the broad sense, all categories pointed toward this concern. She concluded that there is no need for a series of information systems to serve state directors, but that due to the wide variety of information needed there is no single source that could supply all the information and keep within the stated purposes and goals.

Summary Comments

One variable that may have affected the comparability and availability of certain information among the nine states surveyed by NCES staff was that of the variety of funding formulas used for special education program reimbursement. Three states operated under an excess-cost formula, four states under a weighted formula, one state under the unit method, and one other state under a percentage reimbursement method. Each funding method requires different behaviors under which the states' reimburse for program services.

The intent of this study, as stated earlier, is to determine what types of information are needed for program planning and policy development at the state level. More specifically, a key focus is to examine as many states with the same or similar funding base for

special education programs to determine what types of information are normally requested for program planning and policy development at the state level among state decision makers. Thus, a central concern of this study is to determine whether states operating under the same or similar funding formulas for special education request the same or similar types of information, and if so, what types of information are requested for program planning.

CHAPTER II

METHOD

This study is primarily descriptive. The methodology was based on the exploratory nature of the study and sought answers to the following questions:

1. What types of information do state directors of special education need and use for program planning?
2. What types of information do state legislators need and use to develop policy and legislation regarding the education of the handicapped?
3. What generalizations and conclusions can be made regarding the types of information needed and used by state directors of special education and state legislators?

Sample Population

The population and state selection was based on specific pre-determined criteria. The population used in this study consists of two subgroups: state directors of special education from those states operating under the unit finance reimbursement system for special education; and two state legislators (from the same states as the state

directors) who sponsored special education legislation or have been actively involved in special education issues.

Twenty states (Education Commission of the States, 1974-75) were identified as operating partially or totally under the unit finance reimbursement system for a special education program. A unit reimbursement support program provides one unit (teacher) for each class of special education students (e.g. one unit for ten children instead of thirty children as general education). This method of state selection was used because it provided a basis for uniformity among a large number of states for comparative purposes, and the unit funding approach is used by more states than any of the other five funding formulas for special education (percentage, weighted, excess cost, flat grant and per pupil reimbursement).

Three persons (one state director and two state legislators) were identified for the sample population from each unit state, for a total of sixty people. The education staff person of each state legislative council was contacted by telephone and asked to provide or confirm the names of the two most active legislators involved in special education legislation in the state. After the legislators were identified, their addresses were obtained from Selected State Officials and the Legislatures (1975). The addresses of the state directors were obtained from the Directory of Special Education Personnel in State Education Agencies (1974). The geographical distribution of the states predominantly clustered in the southern region of the United States, including border states of Oklahoma, Missouri and Kansas. Western

region states were Alaska, California and New Mexico; midwestern and eastern region states were Ohio and Delaware respectively.

Measures

The measures used in this study were the following:

1. Questionnaires to determine the information needs of state directors of special education and state legislators of those states operating under the unit reimbursement funding method. The questionnaires for both populations were similar in content but modified to fit each subpopulation.
2. Planning Forms (blank) used by the state directors of special education to obtain information from local school districts. These forms were needed to determine the types of information requested and used for planning and program development.
3. A One-Page Form with cover letter to state directors of special education requesting "factors" they considered essential and used in the preparation for program planning for the school years 1973-1975. The purpose of this measure was to verify whether state directors requested the types of information they believed essential for program planning and development.

Procedures Used in Data Collection Measures

1. Draft questionnaires were prepared in early March 1975, after consultation with the director of the Education Commission of the States' Department of Research and

Information Services and staff members of the former Department of Intergovernmental Relations, and a review of Kerlinger (1964). After the draft questionnaires were critiqued by members of both departments, they were revised and final versions were prepared in late April. The initial mailing of the questionnaires, with a letter of explanation by Dr. Russell B. Vlaanderen (Director of Education Commission of the States' Department of Research and Information Services), to the state directors of special education and state legislators occurred on May 3-5, 1976 (See Appendix A). The letters to the state directors also requested a blank copy of the forms used by them to collect planning information.

2. A follow-up letter was prepared and mailed out with another questionnaire on June 4, 1976, to all participants who had not responded by that date (See Appendix B).
3. Another letter was prepared and mailed to the state directors who had returned the questionnaire but not the planning forms, requesting such forms, if available (See Appendix C). Telephone calls to state directors and state legislators took place on June 7-15, 1976, in addition to the follow-up letters. The official cut-off date for all final responses was July 2, 1976.

Responses of the questionnaires concerning the information needs of state directors of special education and state legislators were examined, categorized, coded and key-punched for further computer

analysis. The computer program provided frequencies and cross tabulations by subpopulation and by responses to the questions.

4. The one-page form letter to state directors requesting "factors" they considered important in program planning had been sent out earlier, and returns were received before the initial mailing of the questionnaires and requests for planning forms. This information was to be used in an earlier study that was terminated; however, due to the nature of the information obtained, it was believed by this investigator that it would lend to the efforts of this study by providing a comparison of the types of information state directors of special education actually requested for program planning (See Appendix D).

An examination of each responding state's planning forms was undertaken to determine the categories of information requested by local school districts from state directors for use in program planning and development.

The number of pages in the forms ranged from one (Arkansas, Oklahoma) to as many as 200 (California). The planning forms were prepared for observation and examination in accordance with procedures recommended by Berelson (1952). The content was analyzed and the categories were generated from the information requested. The same procedure was followed for the examination of responses on the one-page form submitted by state directors. In addition to the principal investigator, two persons ("judges") in the field of special education verified and assisted in documentation of the categories of information taken from

the planning forms, one-page factors form and questionnaires.

Framework for Analysis

The method used for examination was a form of content analysis. A content analysis must be built upon a logical progression in design. Once the problem has been identified and defined and the relevant variables to the problem considered, a classification system must be developed containing categories reflecting the presence or absence of these variables. Most content analysis studies have been used to determine the relative emphasis or frequency of various communications phenomena. For the purpose of this study, the definition of content analysis by Kerlinger (1962) seemed most appropriate. "Content analysis is a method of studying and analyzing communications in a systematic, objective and quantitative manner for the purpose of measuring variables."

Because the categorization process is an important part of content analysis, two additional "judges" were used in the verification and documentation of the categories of information. They were Dr. H. Gene Hensley, Associate Director, Department of Elementary/Secondary Services, Education Commission of the States, and Dr. Anne Carroll, Associate Dean of the College of Arts and Sciences, University of Denver. Both individuals have demonstrated professional competencies and lengthy backgrounds in the field of special education.

The framework for analysis of this study was developed in accordance with the procedures recommended by Berelson (1952, Chapter 5, pp. 147-168) and other authorities in the field of content analysis, and from a review of the literature of information needs and from knowledge gained from conversations with other experts in research methodology.

These experts included Mr. Bruce Hunter, Operations Research Analyst for the Department of Planning and Development, Education Commission of the States, and Dr. Paul Bradley, Associate Professor of Education and Psychology, University of Colorado.

The investigator formulated definitions of the categories for the state planning forms, one-page factors form and questionnaires in order to establish the framework for identifying the relevant findings as well as to make a clear and distinct determination of what responses belong to what categories. As stated earlier, this study addresses the lack of appropriate information at the state level for use in planning education for handicapped individuals. The study aims to find out what types of information state directors of special education and state legislators need for special education program planning and policy development, and what generalizations and conclusions can be inferred about the information needs of these policy makers. In order to answer these research questions, the findings are reported within the categories as formulated.

Methods of Analysis

1. The responses on the questionnaires from both groups were examined, categorized and coded for computer analysis. A computer program was developed and modified to treat the data of this study from the Statistical Package for Social Sciences (SPSS).
2. Responses from the one-page form on "factors" were examined and categorized and an analysis of the responses was made to determine what categories were believed to be essential

for program planning. A comparison of categories of the one-page factor form and the planning forms was undertaken to determine whether state directors of special education requested the information they believed essential for planning.

3. The state planning forms were examined and the contents categorized. Once the categorization process was completed, comparisons were made of the similarities and differences among categories of information requested in the states. The categories were also compared with those identified from the one-page form for verification purposes.
4. After the categories of information were developed, the next step was the quantification process, i.e., assigning numbers to objects. Because of the nature and purpose of the study, nominal measurement was used -- that of counting the number of objects in each category after assigning each object to its proper category.

The Design for Answering Research Questions (Table III, page 31) was developed by the investigator to provide a systematic approach in analyzing the information of the respondents.

TABLE III

Design for Answering Research Questions

<u>Problem</u>		
<p>1. What types of information do state directors need for program planning?</p>	<p>1A. Who and where are the providers of information? 1B. What factors were considered important in developing an information base? 1C. What are the program priorities? 1D. What factors complicate or facilitate program development in your state?</p>	<p>1. Summary chart describing types of information requested, source and factors considered important in developing an information base. Factors that complicate or facilitate program development. Chart comparing types of information collected by the various states for planning (See Appendices E, F, H, I, J, K, L, M).</p>
<p>2. What types of information do state legislators request to make policy decisions?</p>	<p>2A. Who and where are the providers of information? 2B. What are your policy priorities? 2C. What factors complicate or facilitate policy development in your state? 2D. What types of information are needed but unavailable?</p>	<p>2. Summary chart describing types of information requested by policy makers. Identify the information providers, factors that complicate and facilitate policy development, and priorities relating to policy development--the types of information needed but unavailable (See Appendices E, F, G, I, J, K, L).</p>
<p>3. What generalizations and conclusions can be made regarding types of information requested by state legislators?</p>		<p>3. Content analysis of information from the three measures to determine what generalizations and conclusions can be stated. (These conclusions will be summarized in the final chapter of the study.) Comparisons between populations appropriate on information needs and priorities (See Chapter 4).</p>

CHAPTER III

RESULTS

Return Rate of Measures

Twenty-two returns were received from the state legislators; one was returned blank. While no specific reason was given, it may be assumed that time constraints and the length of the questionnaire were factors affecting the low number of responses. While the return rate for state legislators appears low, it represents an increase of 61.9% after the follow-up letters and phone calls. By contrast, 15 of the 17 state directors who responded did so before the follow-up letters and telephone calls were initiated.

Nine state directors of special education forwarded copies of their current forms used for planning purposes. The directors from three states (Alaska, Georgia and Louisiana) indicated that no such forms existed in their state. Eight state directors did not respond regarding planning forms. The following table sets forth return rates for both state directors of special education and for state legislators.

TABLE IV

Return Rate of Measures

Population	Questionnaires	Planning Forms	Form Letter
State Directors (n=20)	85 %	45%	45%
State Legislators (n=40)	52.5%	N/A	N/A
TOTAL	63.3%	-	-

Analysis of Information on
State Planning Forms

Categories generated were (1) census, screening and assessment; (2) cost; (3) personnel; (4) program projections; (5) pupil characteristics; (6) program evaluation; (7) coordination; (8) community resources; (9) needs assessment; (10) facilities; (11) special transportation (See Table V).

The following descriptive analysis of the information contained within the categories focuses on the differences and similarities of information requested among the states.

Of the nine state planning forms examined, seven requested information on personnel; six requested information on census screening assessment; five requested information on pupil characteristics and program evaluation; four requested information on coordination, program projection and physical facilities; three requested information on cost and special transportation; two requested information on community resources, and one requested information on needs assessment.

Under the Census, Screening and Assessment category, the types of information requested by most of the states was a description of procedures used to seek handicapped pupils, the number and kinds of

handicapped served, and those unserved due to lack of programs and space. The specific types of information requested were procedures used in screening children. North Carolina requested detailed information regarding screening procedures, such as ways of checking classroom observation, methods for reviewing pupil progress and examples of specialized screening tests. Information on pupil evaluation and placement teams, including team composition and number of people, was most commonly requested, followed by information on specific procedures for diagnosing handicapped pupils and information on interagency coordination in support of pupil evaluations. Information on parental rights to review and to challenge placement procedures (i.e., whether written permission is required to evaluate and place their children in special education programs), was requested in North Carolina and Tennessee. The Tennessee forms were the most comprehensive and detailed, providing procedures to protect the rights and interest of parents and children.

In the category of Costs, the types of information requested related personnel (certified and non-certified) directly to the estimated number of handicapped pupils served with a comprehensive budget by account numbers. Missouri's report was less detailed in requesting estimates of program monies. It requested proposed personnel, classes and teacher aides and used these numbers to calculate funds by means of a flat-grant formula.

In the area of Personnel, information requested reflected the number of children served, followed by the number of state teacher allotments (full and part-time). In-service training information was requested by California and Tennessee. California's request was much

TABLE V*

Categories of Information Generated from State Planning Forms

CATEGORIES	STATES									TOTALS
	AR	CA	KY	MO	NC	OK	TN	TX	VA	
Census Screening Assessment	0	1	0	1	1	0	1	1	1	6
Cost	0	1	0	1	0	0	1	0	0	3
Personnel	1	1	0	1	1	0	1	1	1	7
Program Projection	0	1	0	1	1	0	0	0	1	4
Pupil Characteristics	1	1	0	0	0	1	1	1	0	5
Program Evaluation	0	1	1	1	0	0	1	0	1	5
Coordination	0	1	0	0	0	0	1	1	1	4
Community Resources	0	1	0	0	0	0	0	0	1	2
Needs Assessment	0	1	0	0	0	0	0	0	0	1
Physical Facilities	0	1	0	1	0	0	1	0	1	4
Special Transportation	0	1	0	0	0	0	1	0	1	3
TOTAL	2	11	1	6	3	1	8	4	8	44

0 = absence of information

1 = presence of information

* See Table VII for definitions

more extensive, covering policies, procedures on training needs and evaluation and recruitment policies. Texas was the only state that requested specific information regarding certification and degrees held.

Under Program Projection, all the state forms requested information by program unit, i.e., number of classes or teachers by handicapping conditions, followed by requests for a description of service delivery alternatives. California requested a broad range of information on pupils, teachers and budgetary projections. The number and types of classifications recognized among the states ranged from Missouri's request for projection information on 15 classifications to California's four broad classifications that contain 16 subclassifications. Virginia included preschool services as a classification, while Texas indicated that "early childhood" was not a program category and that students should be listed by their handicapping condition. The gifted, talented and severely handicapped were other classifications not frequently noted among the types of information requested.

The service delivery alternatives as defined by the states had various titles, but further inspection of the types of information requested revealed that these alternatives were quite similar. Most states requested information on services such as those suggested by Reynolds (1962) and Deno (1970). The range of service provisions included self-contained classroom, institutional programs and integration into community settings.

As for Pupil Characteristics, demographic information on numbers of pupils with handicapping conditions, served and unserved (the unserved population included pupils enrolled in regular classes),

was the most frequent request of state directors, followed by information on racial and ethnic backgrounds of pupils. California requested additional information on the philosophy and goals of the responsible local administrative unit, opportunities for education experiences for children, maps showing physical features of the area (residential and industrial), and location of special classes and centers.

Information requested on Program Evaluation ranged from (1) a "self-evaluation" by local school districts of their special education programs and unit capabilities; (2) individual program and unit evaluations covering the assessment and placement of pupils and proposed follow-up, and (3) a general description of district plans for evaluating special education programs and whether or not the program was successful.

While the states requested an abundance of information for planning, only three of the additional categories were similar enough to be compared among states. These were (7) program coordination, (10) physical facilities and (11) special transportation. Information on Program Coordination was requested on the total number of handicapped served by public and private schools and by other agencies sharing responsibility for planning and executing education programs for the handicapped. California requested more detailed types of information on program coordination than any other state responding to the survey. An example was a description of the physical location of the service, a narrative description of interfacing activities of each project, including planning and implementation activities, a description of the management and support services and the designated instructional services provided through outside contacts.

Requests for information on Physical Facilities ranged from (1) a request for provisions for physical facilities, including adequate classroom space and elimination of architectural barriers; (2) provisions for capital outlay by objective, and (3) detailed information on renovation and remodeling of classroom, and space needs to implement the total number of classrooms needed for special education programs.

Information on Special Transportation ranged from a general request for provisions for special transportation, to more specific requests for information by objective, which included activity by whom, when, place, etc. Tennessee requested information on the number of handicapped children recommended for special transportation, the total number to receive such transportation and the method of providing such transportation (i.e., by school system or contractual agreement).

Analysis of Information on One-Page Form

Another consideration of the study was to determine what factors (information) state directors under the unit-formula method of financing believed essential for program planning, and whether they used these factors (information). A descriptive analysis of similarities and differences of the categories on the factor form and planning forms was used as the basis of comparison. The categories of information displayed in Table VI reveal the types of information state directors believed essential for program planning. The categories of essential information generated from the responses were (1) census screening and assessment; (2) cost; (3) personnel; (4) program projection, and (5) pupil characteristics. Of the nine state directors who responded, eight identified the

categories of cost and program projection as essential for program planning; six identified personnel; four identified census screening and assessment, and three identified pupil characteristics.

Under Census, Screening and Assessment, a statewide survey of basic census data was identified most often, followed by a listing of all students by schools and handicapping conditions annually. The information needed for screening and assessment believed most essential for planning was pupil identification, referrals, test results, related support services and re-evaluation data.

Cost Information included state-appropriated funds needed for program services (tabulated) by "exceptionality" or unit, followed by funds for transportation and itinerant personnel. Personnel Information included a listing of personnel (certified and non-certified), followed by a listing of teachers by area of exceptionality and availability of teacher training institutions. Program Data included requests by local school districts regarding allocation of teacher units on a formula basis, followed by general information on district plans and programs. Pupil Characteristics Information included identification by handicapping conditions, demographic data, support services, schools and information on special needs of low-incidence populations.

TABLE VI *

Factors (Information) Essential to State Directors
for Program Planning

<u>CATEGORIES</u>	<u>STATES</u>									TOTAL
	AL	AR	DE	GA	KY	LA	NC	OK	TX	
Census Screening Assessment	1	1	0	1	0	1	0	0	0	4
Cost	0	1	1	1	1	1	1	1	1	8
Personnel	1	1	1	1	0	1	1	0	0	6
Program Projection	1	1	1	1	0	1	1	1	1	8
Pupil Characteristics	0	0	1	1	0	1	0	0	0	3
TOTAL	3	4	4	5	1	5	3	2	2	29

0 = absence of information

1 = presence of information

* - see Table VII for definitions

TABLE VII

Definitions for Identified Categories from
One-Page Factors Form and
State Planning Forms

1. Census, Screening and Assessment

A. Census

Counting population to determine the number of people (pupils) living in a given geographical area under investigation, as well as certain facts about the population, such as number, age, ethnic composition and handicaps.

B. Screening

Administering tests to select from a group those individuals in a specified category.

C. Assessment

Synthesizing and interpreting data concerning a pupil or student.

2. Cost Projection Data

Program operating cost projections relative to teachers or student units (i.e., per-unit cost).

3. Personnel Data

Persons who assist in the operation of an educational institution (school), including teachers and non-teachers.

4. Program Projection Data

The number of courses, properly organized into learning units for the purpose of attaining specified educational objectives. More specifically, a special education entails services for handicapped children, including instructional offerings in schools, as well as classes for handicapped children through service agencies.

TABLE VII
(continued)5. Pupil Characteristic Data

The number of pupils enrolled in schools in a given system or state. Pupils who are in a specified unit or class consisting of children receiving similar instruction and services, i.e., units of mentally retarded, units or classes for emotionally disturbed, an aggregate of persons attending a school by handicapping condition, age, grade level, etc.

6. Program Evaluation Data

Used for analyzing the strengths and weaknesses of an educational institution in view of standards and the goals the school, group or individual is striving to attain.

7. Program Coordination

Action on the part of individuals or agencies directed toward a single effect or toward the achievement of a common purpose, such as program coordination with other public and private agencies.

8. Community Resources

Anything in the community outside of the schools that has educational value and is within the power of the school to use, including individuals and other human resources.

9. Needs Assessment Data

A need may be defined generally as the difference between what is (present program) and what should be (desired program).

10. Physical Facilities (Capital Outlay)

The land, buildings and improvements of campuses and other plots used by the school, including buildings for instruction and administration.

11. Special Transportation

Transportation for handicapped pupils, provided primarily through the use of special vehicles owned or contracted by the school or by regular use.

Analysis of Questionnaires

Of nine questions examined on the questionnaire sent to state legislators, the first one was: What types of information do you need to make decisions relating to policy and legislation in your state regarding the education of handicapped, and from what source? The first question asked state directors of special education: What types of information do you need to make decisions regarding special education expansion, and from what source? Categories generated by both responses were (1) census, screening and assessment; (2) basic trend; (3) personnel; (4) program description; (5) pupil characteristics; (6) cost effectiveness; (7) policy and legislation, and (8) other miscellaneous. The state directors' responses to the first question were primarily in the categories of program description, census, screening and assessment, pupil characteristics, personnel and cost or cost effectiveness. The primary sources of information for state directors were local school districts and the state department of education. State legislators, on the other hand, identified basic trend information and information on cost and cost effectiveness as the types of information they need to make decisions regarding special education. The primary sources of this information were local school districts, state departments of education, federal agencies and other state agencies. Of the state legislator responses that fell in the trend information category, most identified national organizations like the Education Commission of the States as sources of basic trend information. Other sources identified were federal and other state agencies, local school districts and state departments of education (See Appendix E).

The second question on the questionnaire sent to state legislators asked: In your state, what factors make it difficult for you to obtain the information you need for policy and legislative development? The second question for state directors of special education was: What factors restrict you from obtaining the appropriate information needed for special education program planning? Categories generated from the responses were (1) limited personnel; (2) time constraints; (3) administrative constraints; (4) lack of universally accepted definitions; (5) none; (6) cost information; (7) legal constraints, and (8) other miscellaneous.

In answer to the latter question, the state directors identified time constraints and administrative procedures as factors that make it difficult to obtain information. Of the seven state directors' responses that fell under administrative procedures, six ranked it as their first choice. Three responses fell in the "none" category (meaning no problem), and all three ranked it as their first choice. By contrast, the state legislators' responses were minimal and limited to one response, with three exceptions that included two responses. The responses varied among the categories generated (See Appendix F).

The third question was asked only of state legislators: What types of information do you request but do not receive? The types of information state legislators requested but did not receive were: (1) needs assessment; (2) receives all; (3) cost; (4) comparative information, and (5) policy. The primary sources for information were the state department of education, the state legislative reference bureau and local school districts (See Appendix G).

The fourth question was asked only of state directors of special education: What types of information do you provide to state legislators at their request, and on your own? The categories of information generated from the responses were (1) program description; (2) costs; (3) other; (4) census; (5) policy and legislation; (6) personnel needs; (7) none, and (8) pupil characteristics. Most of the information state directors provided to state legislators was provided directly at the request of state legislators. The types of information most frequently provided on request were cost, program description and policy and procedural information. The category with the largest number of responses was cost. Of the 11 responses that fell in the category on cost, all were by request. The types of information provided on their own were program description, annual reports and brochures. Twelve of the responses indicated that information was provided on a routine basis; seven of those 12 indicated information was provided every three months (See Appendix H).

The fifth question was directed at restricting factors in the states. State legislators were asked: What factors have complicated or restricted special education program policy in your state, and why? Approximately the same question was addressed to state directors of special education, stressing program growth. The categories generated were (1) lack of funds; (2) lack of diagnostic services and programs; (3) lack of certified personnel; (4) apathy; (5) lack of awareness; (6) political or communication barriers; (7) lack of interagency cooperation, and (8) other miscellaneous. The majority of state directors' responses fell in the categories of lack of funds, lack of diagnostic

services and lack of certified personnel. Of the 10 responses that fell in the category of lack of funds, 8 had it ranked their first choice. The majority of the state legislators' responses fell in the categories of lack of funds, apathy and lack of diagnostic services. Lack of funds received almost twice the number of responses than any of the other single categories received for this question. Of the 17 responses that fell in this category, 11 gave a reason why, 7 of which identified no new earmarked funds as their reasons. Two responses indicated reasons of political priorities. Apathy received the second largest number of responses by state legislators. Of the 9 responses that fell in this category, 6 ranked it as their second choice and one had it ranked as first choice. The lack of diagnostic services received the third highest number of responses. Of the 5 who made a response, 3 gave a reason why. The reasons were a lack of diagnostic capabilities and no new earmarked funds (See Appendix I).

The sixth question on the questionnaires sought to elicit information about facilitating factors for special education in the states. State legislators and state directors alike were asked: What factors have facilitated or greatly improved special education program growth and policy in your state, and why? The categories generated from the responses were (1) mandatory legislation; (2) advocacy groups; (3) state departments of education; (4) federal legislation and appropriations; (5) state-level appropriations; (6) interagency coordination; (7) court litigation; (8) diagnostic and identification services, and (9) other. The "other" category was composed of responses that did not fit into any of the other areas. The state directors' responses fell

predominantly in the categories of mandatory legislation, advocacy groups, federal legislation and appropriation, state departments of education and state appropriations. The state directors clearly identified mandatory legislation as a factor that facilitated program development. Of the 13 state directors' responses that fell in that category, 10 had it ranked as their first choice, and 10 gave reasons why. The provision of increased funds was their predominant response. The action of advocacy groups received the second largest response by state directors. Increased awareness and lobbying pressure were the primary reasons listed. The provision of federal legislation and appropriations was identified by seven state directors (the third largest category of response), and all seven said the reason was increased funds. Additional categories that received a moderate response were state departments of education and state appropriations. Leadership ability and increased funds were the reasons given, respectively.

State legislators' responses to the sixth question fell predominantly in the categories of mandatory legislation, advocacy groups, state departments of education and court litigation. The action of advocacy groups received more of the state legislators' responses than any other single category of what factors facilitated special education policy. Of the 13 whose responses fell in this category, 9 gave reasons. Lobbying pressure and increased funds were the primary reasons given by the state legislators. The provisions for mandatory legislation received the second largest number of responses from the state legislators; of the 11 whose responses fell in this category, 7 gave a reason why. Increased funds, increased awareness and leadership at the state depart-

ment of education were the reasons given. Of the 11 responses that fell in this category, 8 had it ranked their first choice. The state department of education received the third highest number of responses by the state legislators. Of the 7 state legislators that responded, 6 gave a reason, 5 of which identified leadership activity at the state department of education level. Court litigation was the fourth largest number of responses. Of the 5 responses that fell in this category, 4 had it ranked their first choice (See Appendix J).

The seventh question, directed to the future, asked state legislators: What policy or legislative changes are planned to improve the current legal base for services to handicapped individuals? State directors of special education were asked: What program changes are planned to improve current services to handicapped individuals? Categories generated from responses from legislators were (1) legislative study committees; (2) implementation of legislation; (3) none; (4) increased appropriations, and (5) early intervention. The responses from state legislators were minimal, although varied. The continuation of legislative study committees and the implementation of legislation received the most responses, along with the category "none."

Categories generated from responses from state directors were (1) increase personnel resources; (2) develop a continuum/alternative service delivery system; (3) emphasis on special low-incidence populations; (4) implement policy and legislation; (5) develop appropriate identification and placement techniques; (6) increase funding; (7) other, and (8) interagency planning and coordination. The categories of increased personnel, development of a continuum of services, inter-

agency planning and coordination, and implementation of the law received the largest number of individual responses (See Appendix K).

The eighth question asked legislators: What do you believe the policy and legislative priorities for special education in your state should be over the next five years? State directors were asked: What are your priorities for special education over the next five years?

The categories of information generated from the responses were (1) equal education opportunity; (2) improve identification and evaluation techniques; (3) program emphasis on education of selected population; (4) increase appropriations; (5) obtain sufficient personnel; (6) implementation of policy and legislation statewide; (7) determine appropriate education options; (8) develop accurate information base; (9) improve teacher training programs, and (10) other miscellaneous. Approximately one-half of the responses of the state directors fell in the categories of improving equal education opportunity and improving identification and evaluation techniques as their priorities over the next five years. Of the 12 responses that fell in the category of improve equal education opportunity, 8 (or 66.7%) had it ranked as their first choice. None of the state directors' responses fell in the category of developing an accurate information base. The categories that received the highest number of responses from state legislators were increased appropriations, improving equal education opportunity, improving identification and evaluation techniques, and implementing legislation as priorities over the next five years. Of the 9 responses that fell in the increased appropriations category, 7 had it ranked as their first choice. The category of developing an accurate information base received only 3

responses; however, all 3 had it ranked their first choice (See Appendix L).

The ninth and final questions asked: Is there in existence a state plan in your state for special education? This question applied to state directors only. It also asked several subquestions: the major reason the state plan evolved; whether counties were required to submit plans for approval; whether the state office plans for all handicapped; whether other state-level agencies were involved in the planning of the state office for special education; and whether the state director received information on a timely basis. Fourteen (82.4%) of the state directors responded that they had in existence a state plan for special education. Two state directors responded that they were in the planning process and would have a state plan within the year. One state director said his state did not have a state plan. Seven (41.2%) state directors indicated that their state plan evolved due to legislation (state and federal). However, when including those states that indicated a combination of reasons (which included legislation), approximately 82% of the states were required by law to have a state plan. Seven (41.2%) state directors indicated that they planned for all handicapped populations. Sixteen (94.1%) of the state directors indicated that they planned and cooperated with other agencies. Regarding the flow of information, 13 (76.5%) of the responses indicated that they received information on a timely basis (See Appendix M).

Discussion of the Results

The sample population and states were selected based on predetermined criteria. The discussion, generalizations and conclusions

are based on the sample returns reported. While 52.5 percent of the state legislators returned completed questionnaires and 45 percent returns by the state directors on the state planning forms and one-page factor form, it is the assumption of this investigator that had the additional returns been reported the results would be the same or very similar.

In summary, the categories generated from the one-page factor form of factors considered essential for special education program planning were (1) census, screening and assessment; (2) cost; (3) personnel; (4) program projection; and (5) pupil characteristics. The categories verified that state directors did, in fact, generally request the major types of information they believed essential for program planning in special education. However, while eight of the nine state directors identified information on cost as essential for program planning, only three out of nine state planning forms requested such information.

The types of information requested on the state planning forms by state directors of special education from local school districts for program planning and development were (1) census, screening and assessment; (2) costs; (3) personnel; (4) program projections; (5) pupil characteristics; (6) program evaluation; (7) coordination; (8) community resources; (9) needs assessment; (10) physical facilities; and (11) special transportation. Most of the information requested was categorical (i.e., information on personnel in relation to estimated numbers of handicapping conditions served, and cost in relation to personnel and number of program units). This was probably due in part to the unit funding method, since everything would be funded by units of

handicapping condition and/or personnel needed to provide service. The states requested information on procedures used by school districts regarding census, screening and assessment activities. Requests for information on personnel needs were related directly to the estimated number of handicapped pupils to be served. Information requested on pupil characteristics included the number of pupils served, unserved, or underserved, broken down by racial and ethnic backgrounds. Requests for information on program evaluation ranged from a comprehensive self-evaluation by the local school district on overall district capabilities, to a comprehensive evaluation of individual program units, to a general request for a description of the local district's plan for evaluating the impact of special education. Program projection information requested included pupil class statistical projections, program unit projections calculated in terms of proposed classes or professional personnel, and service delivery options. There were some major differences and lack of agreement among the types of information requested concerning program projections. The number of handicapping conditions, for example, varied extensively among the states. The U.S. Office of Education, Bureau of Education for the Handicapped, in 1968 proposed classifications that recognized nine areas of handicapping conditions. While some states have incorporated them, additional classifications have been developed in such states as Missouri, which recognize 15; North Carolina and Tennessee use 9 and Virginia 10. Requested information on service delivery options revealed a variety of alternative approaches. The states appear to be in a transition period, moving toward providing a broader range of services through alternatives

suggested by Reynolds (1970) and others. While California, Tennessee and Texas requested information on a broader continuum of services (from self-contained classes to degrees of integration into regular classes), two states gave no evidence of requesting information based on a continuum. This could be due to current legal bases for education services, which may or may not allow for a broader range of program alternatives. California, Tennessee and Virginia requested more detailed and varied information than any of the other states. The differences observed among the categories from the state planning forms appeared in the range of information requested, especially in census, screening and assessment, personnel and program projection. It appeared that the request for minimal types of information in the categories of census, screening and assessment (i.e., census), personnel, pupil characteristics and cost were basically the same among the states. However, some states requested more detailed types of information within these categories.

State directors of special education identified the categories of program projection, census, screening and assessment, pupil characteristics, personnel and cost or cost-effectiveness as major information needed for program planning. The primary providers of the information to state directors were local districts and the state department of education. The types of information needed by state legislators were basic trend information and information on cost and cost-effectiveness. The primary providers of this information were local school districts, state departments of education, and national and other state or federal agencies. Other information requested but not

received by state legislators pertained to cost, statewide needs assessment and policy. The primary sources of this information were the state department of education, local school districts and the legislative reference bureau. The types of information state directors provided state legislators on request included program projection and policy, while the types of information state directors provided on their own included program projection and other (i.e., annual reports, brochures).

Constraints regarding time and administrative procedures were identified as factors that made it difficult for state directors to obtain needed information. While the state legislators' responses were varied and fairly evenly distributed among the categories, the lack of universally accepted definitions was identified as a factor that restricted the flow of information. State directors and state legislators identified the lack of funds as their first choice among the factors that restricted special education program expansion and policy development.

Both groups identified mandatory legislation, action of advocacy groups and leadership at the state department of education as factors that facilitated special education program expansion and policy development. The groups' first choices were different, but both ranked leadership at the state department as their third choice. Program changes planned by the state directors included increased personnel and development of a continuum of services. Policy changes planned by state legislators included a continuation of legislative study committees and implementation of legislation. State directors' priorities

over the next five years included improved educational opportunities and improved identification and evaluation techniques. The state legislators' priorities included increased appropriations, followed by improved equal education opportunity and increased identification and evaluation techniques.

Eighty-two percent (82%) of the states had a plan in existence. These plans evolved primarily through enactment of legislation (state and federal). Forty-one percent (41%) of the state directors planned for all handicapped populations. Ninety-four percent (94%) plan and coordinate with other state agencies, and seventy-six percent (76%) receive information on a timely basis from local education agencies.

CHAPTER IV

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

The problem this study addressed was the lack of appropriate information at the state level for use in planning and policy development for the education of handicapped individuals. Thus, in response to a serious need currently felt among policy makers at the state and federal levels, this study sought answers to the following questions:

1. What types of information are requested by state directors of special education for program planning for the education of handicapped individuals?
2. What types of information do state legislators need in their deliberations on policy planning for the education of handicapped individuals?
3. What generalizations, conclusions and recommendations can be made regarding the types of information requested and needed by state directors and state legislators respectively?

In short, this study addressed the lack of appropriate information at the state and federal levels in support of program and policy development for the education of handicapped individuals.

The state director of special education and two state legislators knowledgeable about special education from each of the states that operated under the unit finance reimbursement method composed the sample population of this study. Twenty states were identified as partially or fully operating under the unit finance system for special education. A total sample population of 60 persons was selected for this study based on the above-mentioned criteria. The measures used to seek answers to the major research questions were (1) questionnaires, (2) state planning forms and (3) the one-page factors form. Of the 20 state directors sent questionnaires, 17 actually returned them completed. Of the 40 state legislators sent questionnaires, 21 returned them completed. Nine state directors submitted copies of their state planning forms and 9 returned the one-page factors form completed. The responding states were clustered predominantly in the southern region of the United States, with the exceptions of Alaska, California, New Mexico, Ohio and Delaware.

A content analysis of the questionnaires, state planning forms and one-page factors forms was undertaken to determine the information needs of state directors of special education and state legislators. The responses and information requested in the questionnaires, one-page factors form and state planning forms were examined and distributed into the appropriate categories for further analysis. A descriptive analysis of the results was then made.

The major types of information requested and needed by state directors of special education from local school districts included census, screening and assessment, cost, personnel, program projection,

pupil characteristics, program evaluation, coordination (program), community resources, needs assessment, physical facilities and information on special transportation. The primary source of such information, in addition to local school districts, was the state department of education. Information considered essential in developing an information base was census, screening and assessment, cost, personnel, program projection and pupil characteristics. State directors generally requested the types of information they believed essential for program planning. However, fewer state directors requested information on cost than those who believed it was essential for program planning. Most of the information was requested on a categorical basis. The analysis of the state planning forms revealed that similar baseline information was requested by the states among the categories of census, screening and assessment (primarily census), cost, personnel, program projections and pupil characteristics. California, Tennessee and Virginia requested more detailed and varied information in the above-mentioned categories as well as others. Requests for information on program evaluation were comprehensive; however, the emphasis of the evaluations were as varied as the number of states requesting such information.

Future program changes planned by state directors included the categories of increased personnel and developing a continuum of services. Most state directors identified the category of lack of funds as a major factor that restricted program development. State directors provided information to state legislators on request more often than on their own initiative. Time and administrative

constraints were identified as major factors that restricted the flow of information. Priorities over the next five years included improving equal education opportunity and improving identification and evaluation techniques.

Both groups identified the categories of mandatory legislation, action of advocacy groups and leadership at the state department of education as factors that facilitated program and policy development. Both groups also identified lack of funds and lack of diagnostic services as major factors that restricted program and policy development. The types of information state legislators needed included cost or cost-effectiveness information and basic trend information. The primary sources of the information included the state department of education, local school districts and federal and other state agencies. The category of lack of universally accepted definitions of handicapping conditions was identified a factor that restricted the flow of information. The types of information needed but not received included information on statewide needs, cost and cost-effectiveness, comparative information and policy. The primary sources of this information included the state department of education, local school districts and the legislative reference bureau. Future policy plans included the continuation of legislative study committees and the implementation of mandatory legislation. Priorities over the next five years included increased appropriations, improved equal education opportunity and improved identification and evaluation techniques. The enactment of state and federal legislation has been a primary factor in development of planning provisions for the education of handicapped individuals

at the state and local levels.

Conclusions and Recommendations

Major questions generated from this study were: (1) Why do state legislators receive only a minimum amount of the types of information requested? (2) Why is there such an abundance of certain types of information requested by some states, and minimal amounts requested by other states, for the purpose of planning for the education of the handicapped? and a related issue: Are there other individuals or offices that also plan for the handicapped? (3) What emphasis and priority is given to collecting information for short- and long-range planning? (5) Why such an emphasis on cost information, but seemingly few efforts by state directors to collect such information?

Concerning information needs, the states need to spell out exactly what it is they are attempting to do and the specific reason they are requesting certain types of information. While information is available, much of it has been requested, required and collected for different purposes. Further study is warranted concerning the types of information needs and capabilities among states with a different finance formula than the unit formula focused on in this study. In particular, the weighted formula is receiving an increased amount of attention by state-level decision makers.

While state legislators are an important link in the decision making process at the state level, other members of the policy-level constituency should be included in any further study to determine what their information needs are. State board members, members of statewide

planning councils for special education, education staff of governors' offices and members of state boards of regents are all essential in developing a fuller understanding of the information needs and capabilities of individual states regarding special education. And it is clear that local, state and federal goals for the handicapped will not be achieved until there is a better understanding and more purposeful communication of the information needs and capabilities within the states.

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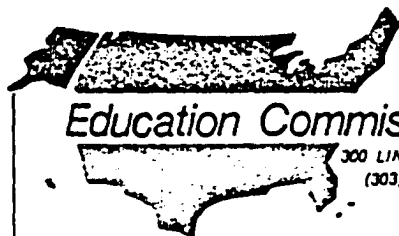
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APPENDIX A

INITIAL MAIL-OUT OF QUESTIONNAIRES WITH LETTER
OF EXPLANATION TO STATE DIRECTORS OF
SPECIAL EDUCATION AND
STATE LEGISLATORS



Education Commission of the States

300 LINCOLN TOWER • 1860 LINCOLN STREET
(303) 893-5200 • DENVER, COLORADO 80203

During the past four years, the Education Commission of the States' Handicapped Children's Education Project sought to assist the states' leaders in improving their state's legal base for education services to handicapped individuals. While the project staff assisted you, your colleagues, and other state policy makers, it became apparent that there is a definite need to improve the current data base to yield the appropriate types of information needed to make program and policy decisions at the state level on behalf of handicapped individuals.

The ECS Department of Research and Information Services is engaging in a small research effort by pursuing a scope of work that proposes to document the information needs of state program administrators and policy makers regarding the education of handicapped individuals. I am requesting your support and assistance as a state program administrator in this research effort. Please take a few minutes to:

- 1) Complete the enclosed questionnaire.
- 2) Forward a blank copy of your department's current planning form(s) used to collect information for program development and expansion.

The results of this research effort will be made available to you upon request. It is most desirable that this information be completed and returned by May 21, 1976. A self-addressed envelope is enclosed for your convenience.

If you have any questions concerning the questionnaire, please contact Mr. C.D. Jones, Jr. at (303) 893-5200, extension 295.

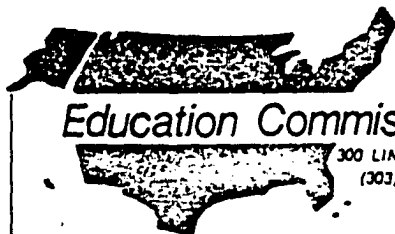
Your participation is most appreciated. Thanking you in advance for your support and assistance.

Sincerely,

Russell Vlaanderen, Director
Department of Research and
Information Services

RV:jps

Enclosure



Education Commission of the States

300 LINCOLN TOWER • 1860 LINCOLN STREET
(303) 893-5200 • DENVER, COLORADO 80203

During the past four years, the Education Commission of the States' Handicapped Children's Education Project sought to assist educational and political leaders in improving their state's legal base for education services to handicapped individuals. While the project staff assisted you and many of your colleagues and state education agencies throughout the United States, it became apparent that there is a definite need to improve the current data base to yield the appropriate types of information needed to make program and policy decisions at the state level on behalf of handicapped individuals.

The Education Commission of the States, Department of Research and Information Services is engaging in a small research effort by pursuing a scope of work that proposes to document the information needs of state level program administrators and policy makers regarding the education of handicapped individuals. I am requesting your support and assistance as a state policy maker in this research. Please take a few minutes to complete the enclosed questionnaire and return it in the self-addressed envelope that is enclosed by May 21, 1976.

The results of this research effort will be made available to you upon request. If you have any questions concerning the questionnaires, please contact Mr. C. D. Jones, Jr. here at the Commission at (303) 893-5200, extension 295.

Your participation is most appreciated. Thanking you in advance for your support and assistance.

Sincerely,

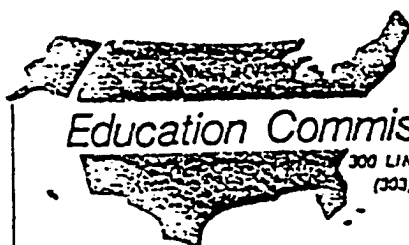
Russell Vlaanderen, Director
Department of Research and
Information Services

RV:jps

Enclosure

APPENDIX B

FOLLOW-UP LETTERS TO STATE LEGISLATORS



Education Commission of the States

300 LINCOLN TOWER • 1860 LINCOLN STREET
(303) 893-5200 • DENVER, COLORADO 80203

June 3, 1976

The Honorable Joe Burton
State Representative
2598 Woodwardia Road N.E.
Atlanta, Georgia 30345

Dear Representative Burton:

This is a follow-up letter to the one from Dr. Russ Vlaanderen dated May 5, 1976 requesting your comments regarding a very important ECS survey on handicapped children.

You were one of forty state legislators across the United States identified by ECS to have the interest and expertise in the area of the handicapped. Since this is a very small group, your comments are most appreciated.

If you did not receive the first questionnaire, or for some reason were not able to respond to it, please take a few minutes and complete the enclosed one and return in the enclosed envelope. If you have responded, please ignore this letter.

Thanking you in advance for your time and comments.

Sincerely,

C.D. Jones, Jr.
Project Director
Child Abuse and Neglect Project

CDJ:jps

APPENDIX C

FOLLOW-UP LETTERS TO STATE DIRECTORS WHO HAD
RETURNED QUESTIONNAIRE BUT NOT
PLANNING FORM(S)



Education Commission of the States

300 LINCOLN TOWER • 1860 LINCOLN STREET
(303) 893-5200 • DENVER, COLORADO 80203

This is a note of thanks for promptly completing the ECS questionnaire regarding the education of handicapped children. Please note that we did not receive the sample copy of the planning form used by your division to obtain the types of information needed from local education agencies, etc. for special education planning purposes. We need a copy in order to complete our survey efforts.

Thanking you in advance for your cooperation.

Sincerely,

C. D. Jones, Jr.
Project Director
Child Abuse and Neglect Project

CDJ:sb

APPENDIX D

ONE-PAGE FACTOR FORM WITH
LETTER OF EXPLANATION

August 19, 1974

Throughout the three years of the ECS Handicapped Children's Education Project (HACHE), it has become increasingly clear that there is a definite need within the states for better information and improvement in data collection systems which relate to special education. Data have not been collected in the states in a uniform manner, and thus do not yield comparable information on which specific conclusions, projections or decisions can be made by federal, state and local agencies regarding special education needs. As a result of this information shortage, state education officials have been unable to effectively relate their needs to their respective legislators and to the federal government.

Since this is a significant problem in the field of special education, HACHE is now in the process of establishing a study, as part of our project work scope, which will determine what types of information relating to the education of the handicapped can be collected from certain states. The study will:

- 1) Collect specific demographic, fiscal and program data from certain states (through the use of a reporting form designed by HACHE); and
- 2) Survey the states' educational and political leadership on current factors affecting special education program growth.

The states involved in the study will be limited to those 20 operating under the unit reimbursement finance support system during the 1973-74 school year. We are, therefore, calling upon you as a state director of special education for both assistance and support. Before HACHE designs the actual reporting form which will be used to determine what kinds of comparable data can be collected, we would very much like to have your input as to what factors you actually utilized in planning and providing

for increased and improved education program services for exceptional children in your state in 1973-74. Please list as many factors or variables (program, fiscal, etc.) as you wish, being as precise and specific as possible. A form and self-addressed envelope are enclosed for your convenience. Please respond by Friday, September 6, 1974.

Once your suggestions have been received, HACHE will develop a reporting form which will then be sent to you for completion. It is our feeling that you should have the maximum opportunity to input the development of this survey instrument.

At the conclusion of the study (spring, 1975), HACHE hopes to make available an analysis of the data to determine what kinds of comparable information related to special education program needs can be collected from certain states. This data will also be incorporated into an approved doctoral dissertation by Mr. C. D. Jones, Jr., Assistant Project Director, HACHE. We feel that this study will provide information of real value as well as provide a resource to others in the field who might benefit from the results.

If you have any questions regarding the initial survey form, or about the study as a whole, please do not hesitate to call collect to Mr. Jones of the HACHE Project, (303) 893-5200 X295. Mr. Jones will be coordinating all aspects of the study and all responses and inquiries should be directed to him.

Thank you very much for your assistance.

Sincerely,

Gene Hensley, Director
Handicapped Children's Education Project

GH:cm

Enclosure

APPENDIX E

QUESTION #1

TYPES OF INFORMATION NEEDED TO MAKE
PROGRAM AND POLICY DECISIONS

Frequency Counts of Information Needed

Categories of information needed	<u>State Directors</u>							<u>State Legislators</u>						
	Source							Source						
	1	2	3	4	5	None	Total	1	2	3	4	5	None	Total
1	5	2		1			8	2	2				1	5
2					1	1	2	1	1	3	2	1	1	9
3	1	2	2	1			6		1				1	2
4	8	1					9	1	1			1		3
5	2	4		2			8		1			1		3
6	3	1		1		1	6	1	1		2		3	7
7				1	1		2		1	2			1	4
8							0		1	1	1		2	5
TOTAL	19	10	2	6	2	2	41	5	9	6	5	2	9	36

Question #1

Types of Information Needed to Make
Program and Policy Decisions

Definitions

1a. Census

Enumeration of population for the purpose of determining the number of people (pupils) living in a given geographical area under investigation, as well as certain facts about the population, such as number, age, ethnic composition and handicaps.

1b. Screening

Administration of tests to select from a group those individuals in a specified category.

1c. Assessment

Synthesizing and interpreting data concerning a student.

2. Trend Information

A general inclination or tendency to move in a specified direction.

3. Personnel

Persons who assist in the operation of an educational institution (school), including teachers and non-teachers.

4. Program Projection

The number of courses, properly organized into learning units for the purpose of attaining specified educational objectives. More specifically, a special education is one pertaining to services for handicapped children, including

instructional offerings in schools as well as classes for handicapped children through other service agencies.

5. Pupil Characteristics

The number of pupils enrolled in schools in a given system or state. Pupils who are in a specified unit or class consisting of children receiving similar instruction or services, i.e., units of mentally retarded, units or classes for emotionally disturbed, an aggregate of persons attending a school by handicapping condition, age, grade level, etc.

6. Cost-Effectiveness

Inherent in such performance is the absence of waste or time, energy and material, i.e., the demonstration of skillful management of means and technical expertise.

7. Policy, Regulations and Legislation

Judgments derived from some system of values and some assessment of situational factors, operating as a general plan for guiding decisions regarding the means of attaining desired objectives.

8. Other Miscellaneous

Question #1

Types of Information Needed to Make
Program and Policy Decisions

Source of Information

1. Local Education Agency

The local level of government responsible for organization, administration and operation of educational programs.

2. State Department of Education

The state level of government responsible for organization, administration and operation of educational programs.

3. Regional and National Organizations

Public and private educational organizations and agencies at the regional and national levels primarily concerned with educational issues, i.e., Education Commission of the States and the Southern Region Education Board.

4. Other Federal and State Agencies

Educational enterprises at the national and state levels involving institutions of mental health, i.e., U.S. Office of Education, Bureau of Education for the Handicapped, and National Center for Educational Statistics.

5. State Councils and Community and Municipal Agencies

Organizations at the state and local levels with a primary interest in educational programs, i.e., state and local advisory committees, Chambers of Commerce and local private organizations.

6. None

No source given.

APPENDIX F

QUESTION #2

FACTORS THAT RESTRICT INFORMATION

Frequency Count of Factors that Restrict

Categories of restricting factors	<u>State Directors</u>					<u>State Legislators</u>				
	Rank					Rank				
	1	2	3	4	Total	1	2	3	4	Total
1	1	3	2		6	2				2
2	3	1	1		5	1	1			2
3	6			1	7	1				1
4	2	2	1		5	3				3
5	3				3	3				3
6	1	2			3	1				1
7	1	2			3	2				2
8			1		1	2	2			4
TOTAL	17	10	5	1	33	15	3			18

Question #2

Factors that Restrict Information

Definitions

1. Limited Personnel

A lack of a sufficient number of persons who assist in the operation of an educational institution (school), i.e., teachers, non-teachers.

2. Time Constraints

Restraints, forced or unnatural, relating to time.

3. Administrative Constraints

Restraints, forced or unnatural, relating to administrative proceedings.

4. Lack of Universally Accepted Prevalence/Definitions

Lack of certain classifications by conditions and a more precise explanation of such conditions.

5. None

No factors/restricted information.

6a. Lack of Appropriations/Funds

A lack of a legislative act authorizing the use of a designed amount of public monies for a specific purpose.

6b. Lack of Information About Program Cost

Lack of information about the amount of monies, expenditures involved in conducting one class or unit of special education for a stipulated period of time.

7. Legal Constraints

Restraints, forced or unnatural, relating to legislation

and legal matters.

8. Other

APPENDIX G

QUESTION #3

INFORMATION REQUESTED BUT NOT RECEIVED
BY STATE LEGISLATORS

Frequency Count of Information
Requested but not Received

State Legislators

Source

Categories of Information requested	Source						Total
	1	2	3	4	5	No source	
1	4				1	1	6
2						5	5
3	2	1					3
4			1			1	2
5				1			1
TOTAL	6	1	1	1	1	7	17

Question #3

Information Requested but not Received

Definitions

1. Needs Assessment

A needs assessment ascertains the difference between what is (present program) and what should be (desired program).

2. Receives All

Receives all information requested.

3. Cost

The expenditures involved in conducting one class or unit of special education for a stipulated period of time.

4. Comparative Information

Information pertaining to, based on, or involving comparison by states, handicapping condition, cost, etc.

5. Policy

Judgments derived from some system of values and some assessment of situational factors, operating as a general plan for guiding decisions regarding the means of attaining desired objectives.

Question #3

Information Requested but not Received

Source of Requests

1. State Department of Education

The state level of government responsible for organization, administration, and operation of educational programs.

2. Federal Department of Health, Education and Welfare

The federal agency responsible for the administration of programs of health, education and welfare.

3. Legislative Reference Bureau

The research branch of the state legislature in each of the respective states.

4. Local Education Agency

The local level of government responsible for organization, administration and operation of educational programs.

5. State Department of Education and Legislative Reference Bureau6. Receives All7. None

No source was given.

APPENDIX H

QUESTION #4

TYPES OF INFORMATION STATE DIRECTORS
PROVIDE TO STATE LEGISLATORS

Frequency Counts of Types of Information
Provided to State Legislators

Categories of information provided		UPON	ON OWN	NO	TOTAL
		REQUEST		RESPONSE	
	1	8	5	4	17
	2	11	0	6	17
	3	4	5	8	17
	4	3	0	14	17
	5	5	1	11	17
	6	2	0	15	17
	7	0	5	12	17
	8	4	0	13	17
	TOTAL	37	16	83	136

68

Frequency Count Showing How Often State Directors
Provide Information to State Legislators

MONTHS		ONCE A YEAR	ON REQUEST	NO RESPONSE	TOTAL
3	6				
7	1	4	4	1	17

Question #4

Types of Information Provided to State Legislators

Definitions

1. Program Description/Projection

The number of courses, properly organized into learning units for the purpose of attaining specified educational objectives. More specifically, a special education program is one pertaining to services for handicapped children, including the instructional offerings in schools as well as classes for handicapped children through other service agencies.

2. Cost

A specified payment, expenditure or effort.

3. Other4a. Census

Enumeration of population for the purpose of determining the number of people (pupils) living in a given geographical area under investigation, as well as certain facts about the population, such as number, age, ethnic composition and handicaps.

4b. Screening

Administration of tests to select from a group those individuals in a specified category.

4c. Assessment

The process of synthesizing and interpreting data concerning a student.

5. Procedural-Legislative

Judgments derived from some system of values and some assessment of situational factors operating as a general plan for guiding decisions regarding the means of attaining desired objectives.

6. Personnel

Persons who assist in the operation of an educational institution (school), including teachers and non-teachers.

7. None

None provided through self-initiative.

8. Pupil Characteristic Data

The number of pupils enrolled in schools in a given system or state. Pupils who are in a specified unit or class consisting of children receiving similar instruction or services, i.e., units of mentally retarded; units (classes) for emotionally disturbed; an aggregate of persons attending a school by handicapping conditions, age, grade level, etc.

APPENDIX I

QUESTION #5

FACTORS THAT RESTRICT PROGRAM
AND POLICY DEVELOPMENT

A Frequency Count of Factors that
Complicate or Restrict

		<u>State Directors</u>				<u>State Legislators</u>									
		Rank				Rank				Reasons Why					
		1	2	3	Total	1	2	3	Total	1	2	3	4	5	None
Catego- ries of restrict- ing factors	1	8	1	1	10	11	6		17	7	1	1	2		6
	2	4	3	3	10	2	1	2	5	1		2			2
	3	3	5		8		1	2	3	1		1			1
	4		2		2	1	6	2	9	1	4	1	1		2
	5		1		1	2		2	4					3	1
	6	1		1	2	3	1		4	1	1				2
	7	1	1		2				0						
	8				0	1		1	2					1	1
TOTAL		17	13	5	35	10	15	9	44	11	6	5	3	4	15

Question #5

Factors that Restrict Program
and Policy Development

Definitions

1. Lack of Appropriations/Funds
Lack of a legislative act authorizing the use of a designated amount of public funds for a specific purpose.
2. Lack of Diagnostic Services and Programs
Lack of a process to determine the nature of a condition through examination and testing techniques.
3. Lack of Certified Personnel (Certification)
Lack of a sufficient number of persons completing a course of study and obtaining a document that may enable them to practice in certain professions.
4. Apathy
Lack of interest in what is generally found interesting; an indifference.
5. Lack of Awareness
Lack of knowing something either by perception or by means of information.
6. Political or Communication Barriers
Anyone or anything that acts to obstruct or prevent passage of legislation or policy.
7. Lack of Interagency Coordination
Lack of cooperative, harmonious formulation of programs for the achievement of a common purpose.
8. Other Miscellaneous

Question #5

Why Factors Restricted Program and
Policy Development

Definitions

1. Lack of New Earmarked Funds
Lack of designated amounts of public monies authorized for a specific purpose.
2. Non-Support
Failure to provide for program development.
3. Lack of Identification - Diagnostic Capability
Lack of a process for determining the nature of a condition through examination and testing techniques.
4. Political Priorities
An authoritative rating that establishes precedence by politicians and other policy makers.
5. Other
Miscellaneous responses that did not fit any of the above categories.

APPENDIX J

QUESTION #6

FACTORS THAT FACILITATE PROGRAM
AND POLICY DEVELOPMENT

Frequency Count of Factors that Facilitate

State Directors

State Legislators

Categories of facilitating factors	State Directors									State Legislators												
	Reasons Why								Rank			Reasons Why								Rank		
	1	2	3	4	5	6	None	Total	1	2	3	1	2	3	4	5	6	None	Total	1	2	3
1	8					2	3	13	10	3		3	2		2			4	11	8	3	
2		4	2	1			2	9	2	4	3	3	1	3			2	4	13	4	7	2
3		1		2			2	5	2	2	1				5		1	1	7	2		5
4	7							7	3	2	2			3					3	1	1	1
5	4						1	5		3	2	1					2	3	3	3		
6				1		1		2		1	1		1						1			1
7	1						1			1		1		1		1	2	5	5	4	1	
8					1		1	2			2	1	1			1		1	4	1	2	1
9			1			1		2					1				1		2	1	1	
TOTAL	20	5	3	4	1	4	9	46				9	6	7	7	1	5	14	48			

Question #6

Factors that Facilitated Program
and Policy Development

Definitions

1. Mandatory State Legislation - Equal Education Opportunity
Recently enacted legislation by states that require a full range of services to all children (usually ages 3-21) in need of special education services, i.e., Tennessee House Bill 2053 Chapter 839; North Carolina House Bill 1814 Chapter 1293.
2. Advocacy Groups
A group of people actively supporting a special cause or interest on behalf of a certain class.
3. State Department of Education
The state-level agency of government responsible for the organization, administration and operation of educational programs.
4. Federal Legislation
A law enacted by the Congress to require full and equal education services to all handicapped children in need, i.e., S-6, P.L. 94-142, enacted in 1975.
5. Appropriations (state, federal, local)
A legislative act authorizing the use of a designated amount of public funds for a specific purpose.
6. Interagency Planning and Coordination
To formulate a program for the achievement of a common

purpose.

7. Court Litigation (cases)

Legal action through the courts in behalf of the handicapped for right to an education, i.e., Pennsylvania Association for Retarded Children v. Commonwealth of Pennsylvania (1972).

8. Diagnostic and Identification Services

Identifying or determining the nature of a condition through examination and testing techniques.

9. Other Miscellaneous

Question #6

Reasons why Factors Facilitated
Program and Policy Development

Definitions

1. Increased Funds/Mandated Services

Additional monies allocated to implement comprehensive provision in legislation for full services.

2. Increased Awareness/Education

Knowing something either by perception or by means of information.

3. Lobbying Pressure

A group of private or public persons actively engaged in influencing legislation, policies, etc.

4. State-Level Leadership

A person or division at the state level of government with demonstrated ability to take command in program leadership.

5. Accurate Identification and Placement Techniques

Precisely identifying the nature of a condition and determining the appropriate program or service.

APPENDIX K

QUESTION #7

PLANNED PROGRAM AND POLICY CHANGES BY
STATE DIRECTORS AND
STATE LEGISLATORS

Frequency Count of Planned Program
and Policy Changes

State Directors

		YES	NO RESPONSE	TOTAL
Catego- ries of program changes	1	8	9	17
	2	8	9	17
	3	4	13	17
	4	5	12	17
	5	3	14	17
	6	4	13	17
	7	2	15	17
	8	6	11	17
TOTAL		40	96	136

State Legislators

		YES	NO RESPONSE	TOTAL
Catego- ries of policy changes	1	4	17	21
	2	3	18	21
	3	4	17	21
	4	3	18	21
	5	1	20	21
TOTAL		15	90	105

Question #7

Planned Program Changes
for State Directors

Definitions

1. Personnel

Persons who assist in the operation of an educational institution (school), including teachers and non-teachers.

2. Alternative Service Delivery Approach

A wide range of services extending from supplementary services provided within the regular classroom by teachers to full-time special education programs such as self-contained classes, schools or institutions.

3. Low-Incidence Populations

Providing educational services to pupils who have been diagnosed or classified as having more than one handicapping condition, i.e., deaf/blind, pupils not receiving any services and the severely handicapped.

4. Policy and Legislation

Judgments derived from some system of values and some assessment of situational factors, operating as a general plan for guiding decisions regarding the means of attaining desired objectives.

5. Identification/Placement Techniques

Precisely identifying the nature of a condition and determining the appropriate program or service.

6. Increased Funds

Additional funds allocated for a specific purpose, i.e., additional educational program services.

7. Other

8. Interagency Planning and Coordination of Programs

To formulate a program for the accomplishment or attainment of a goal in a harmonious effort.

Question #7

Planned Policy Changes by
State Legislators

Definitions

1. Legislative Study Committee

A group of legislators appointed to study a specific issue and make recommendations, usually to the General Assembly, as to its findings.

2. Implementation of Legislation

The act of carrying out enacted provisions of the law.

3. None

No legislative/policy changes are planned.

4. Increased Appropriations/Funds

Additional funds allocated to implement comprehensive provision in legislation for full services.

5. Early Intervention

Providing education or services as early as deemed appropriate for those individuals with special needs.

APPENDIX L

QUESTION #8

WHAT ARE THE PROGRAM AND POLICY PRIORITIES
OVER THE NEXT FIVE YEARS

Frequency Count of Priorities

State Directors

State Legislators

Categories of priorities	Rank				Rank				
	1	2	3	Total	1	2	3	4	Total
1	8	3	1	12	4	2	1		7
2	4		1	5	2	2	2		6
3	2	2		4				1	1
4	2		2	4	7	2			9
5		2	1	3	1	1	1		3
6		2		2	1	2	2		5
7		1	1	2		2	1		3
8				0	3				3
9		1	3	4			1	1	2
10	0	0	0	0	2	2	1		5
TOTAL	16	11	9	36	20	13	9	2	44

Question #8

Policy and Program Priorities

Definitions

1. Equal Educational Opportunity

Guaranteeing or providing every child, regardless of handicapping condition, the right to an appropriate education.

2. Identification and Placement Techniques

Precisely identifying the nature of a condition and determining the appropriate program or service.

3. Low-Incidence Populations

Providing educational services to pupils who have been diagnosed or classified as having more than one handicapping condition, i.e., deaf/blind, pupils not receiving any services and the severely handicapped.

4. Appropriations/Funds

A legislative act authorizing the use of a designated amount of public funds for a specific purpose.

5. Personnel

Persons who assist in the operation of an educational institution (school), including teachers and non-teachers.

6. Statewide Policy

Judgments derived from some system of values and some assessment of situational factors, operating as a general plan for guiding decisions regarding the means of attaining desired objectives.

7. Education Options/Alternative Service Delivery/Approaches

A wide range of services extending from supplementary services provided within the regular classroom by teachers to full-time special education programs, such as self-contained classes, schools or institutions.

8. Develop or Obtain Accurate Information

Develop procedures for obtaining baseline information regarding special education programs.

9. Teacher Training Programs

Colleges and universities providing teacher training programs that prepare special education personnel.

10. Other Miscellaneous

Responses that did not fit into any other category.

APPENDIX M

QUESTION #9

STATUS OF LEGAL PLANNING REQUIREMENTS

Frequency Count of State Planning Information

<u>Categories of Planning</u>	YES	NO	TOTAL
State Plan	14	3	17
County Plan	11	6	17
Plan for all Handicapped	7	10	17
Interagency Planning	16	1	17
Information Received on a Timely Basis	13	4	17
TOTAL	61	24	85

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Frequency Count Showing Major Reasons
for Establishing State Plan

<u>Legislation</u>					No Response
State	Federal	SDE/SBE	Other	Combined	
5	2	2	1	4	3

APPENDIX N

SELECTED SAMPLE POPULATION SENT QUESTIONNAIRES
AND FREQUENCY COUNT OF STATES RETURNING
STATE PLANNING FORM AND ONE-PAGE
FACTORS FORM

Frequency Count by State of the Number of
Forms Returned for Use in This Study

STATE	STATE PLANNING FORM	ONE-PAGE FACTORS FORM
Alabama		
Alaska		1
Arkansas	1	1
California	1	
Delaware		1
Georgia		1
Kentucky	1	1
Louisiana		1
Missouri	1	
New Mexico		
North Carolina	1	1
Ohio		
Oklahoma	1	1
South Carolina		
Tennessee	1	
Texas	1	1
Virginia	1	
West Virginia		
TOTAL	9	9

(1 = states that returned forms)

Selected Sample Population

Alabama

Senator Robert Ellis
Dr. Clinton R. Owens, State Director*
Representative Pete Turnham*

Alaska

Representative Helen Beirne*
Senator Genie Chance*
Mr. Michael Mosher, State Director

Arkansas

Senator Joe T. Ford
Representative B.G. Hendrix
Mr. Roy Woods, State Director

California

Mr. Les Brinegar, State Director
Assemblyman Lawrence Kapiloff
Senator Albert S. Rodda*

Delaware

Dr. Carl Haltom, State Director
Senator Calvin R. McCullough
Representative Richard Sincock*

Georgia

Representative Joe Burton
Mr. Herbert D. Nash, State Director
Representative Wheeler*

Kansas

Mr. James Marshall, State Director*
Senator Jan Meyers
Representative Ben A. Sellers*

Kentucky

Representative Mitchell Denham*
Representative Terry Mann
Dr. George Troutt, State Director

(* - Did not return questionnaire.)

Louisiana

Representative J. Kenneth Leithman
 Ms. Anne Stewart, State Director
 Senator Don Williamson*

Mississippi

Representative Charles J. Lippian
 Dr. Walter A. Moore, State Director
 Representative George Rogers, Jr.*

Missouri

Representative Wayne Goode
 Representative James P. Mulvney*
 Mr. Roland John Werner, Jr., State Director

New Mexico

Mr. Elie S. Gutierrez, State Director
 Representative Lenton Malry
 Senator Frank O. Papen

North Carolina

Representative T. Clyde Auman*
 Mr. Theodore R. Drain, State Director
 Representative Benjamine D. Schwartz

Ohio

Mr. Sam J. Bonham, State Director
 Senator Donald J. Pease
 Representative Michael P. Stinziano

Oklahoma

Senator James Hamilton*
 Senator Al Terrill
 Dr. Maurice Walraven, State Director

South Carolina

Mr. Robert S. Black, State Director
 Senator Thomas E. Smith, Jr. *
 Senator James A. Wadell, Jr.

(* - Did not return questionnaire.)

Tennessee

Representative Bob Davis
Representative DeBerry*
Mr. Vernon Johnson, State Director

Texas

Senator Chet Brooks*
Senator Lloyd Dogett*
Mr. Don Weston, State Director

Virginia

Senator Adelard Brault
Mr. James T. Micklem, State Director
Delegate Eleanor Sheppard*

West Virginia

Dr. Roger P. Elser, State Director*
Delegate Robert Harmon
Senator William Moreland

(* - Did not return questionnaire.)

APPENDIX O

CORRESPONDENCE FROM STATE LEGISLATORS
AND STATE DIRECTOR

PLEASE REPLY TO:

SACRAMENTO ADDRESS
STATE CAPITOL
SACRAMENTO 95814
915-445-7210

DISTRICT OFFICE
424 PENNSYLVANIA AVENUE
SAN DIEGO, CALIFORNIA 92103
714-299-5277

LESLIE YERGER
ADMINISTRATIVE ASSISTANT

118

Assembly California Legislature

COMMITTEES:
RESOURCES, LAND USE AND
ENERGY
CHAIRMAN, SUBCOMMITTEE ON
LAND USE
REVENUE AND TAXATION
WATER
STATE BENEFITS AND SERVICES
ADVISORY BOARD

MAY 07 1976

LAWRENCE KAPILOFF
ASSEMBLYMAN, SEVENTY-EIGHTH DISTRICT

May 4, 1976

Russell Vlaanderen, Director
Department of Research and
Information Services
Education Commission of the States
300 Lincoln Tower
1860 Lincoln Street
Denver, Colorado 80203

Dear Mr. Vlaanderen:

I have received your very lengthy questionnaire to which I do not, quite frankly, have the time to respond.

Since my election to the Assembly in 1972, I have been inundated with questionnaires. If I were to research and respond to all such requests, my legislative duties and ultimately my ability to represent my constituents would necessarily suffer.

If you have specific problems or legislative suggestions, I will give them my prompt attention. I commend you for your efforts and hope you will communicate with me regarding any specific proposals.

Very truly yours,

Lawrence Kapiloff
LAWRENCE KAPILOFF

LK:jp
Enclosure

Oklahoma State Senate



STATE CAPITOL
OKLAHOMA CITY OKLAHOMA
73105

AL TERRILL

June 22, 1976

Mr. C. D. Jones, Jr. Project Director
Child Abuse and Neglect Project
Education Commission of the States
300 Lincoln Tower
1860 Lincoln Street
Denver, Colorado 80203

Dear C. D.:

In cleaning off my capitol desk as we adjourned, I ran across this item I had overlooked. I am sincerely apologetic since this is an area I am most interested and involved in.

Please excuse me and I look forward to seeing you at the next meeting.

Kindest personal regards,

A handwritten signature in black ink, appearing to be "Al Terrill", written over the typed name.

Al Terrill

AT/bc

Ohio House of Representatives



120
Columbus
43215

May 13, 1976

Russell Vlaanderen, Director
Department of Research and
Information Services
Education Commission of
the States
1860 Lincoln Street
Denver, Colorado 80203

Dear Mr. Vlaanderen,

Enclosed please find the return of your recent questionnaire regarding special education.

I am also enclosing a copy of House Bill 455, which I sponsored that provides for the education of all handicapped children in Ohio.

Many of my answers in your questionnaire relate to H.B. 455 and I thought you should have a copy of it.

Thanks for your continuing interest in the need for improving special education throughout the United States.

Respectfully,

A handwritten signature in black ink, appearing to read "Mike Stinziano", written over a horizontal line.

MIKE STINZIANO
State Representative
30th House District

MS/tm
enc:

JUN 1 1976



STATE OF GEORGIA
DEPARTMENT OF EDUCATION
OFFICE OF INSTRUCTIONAL SERVICES
STATE OFFICE BUILDING

ATLANTA 30334

JACK P. NIX
State Superintendent of Schools

H. TITUS SINGLETARY, JR.
Associate State Superintendent

June 10, 1976

Mr. C. D. Jones, Jr.
Project Director
Child Abuse and Neglect Project
Education Commission of the States
300 Lincoln Tower, 1860 Lincoln St.
Denver, Colorado 80203

Dear Mr. Jones:

You recently requested a sample copy of the planning form used to obtain information from local education agencies. We do not have a single document and have tried to interface our needs with other data collection activities in the Department. For example, our teachers are coded into a computer payroll printout which includes all state-supported teachers. Our child count comes from the State Register which includes a section for special education. At this point, only individual projects utilize special data collection forms.

I hope this information will not hamper your report.

Sincerely,

Herbert D. Nash, Director
Special Education Program

HDN:pa