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Multiple Perspectives in the Millennium

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Multiple Perspectives in the Millennium

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The Social Construction of Literacy Development and Classroom Ecologies

George Hruby

A wag somewhere once noted that there are two kinds of people in the world: those who believe there are two kinds of people in the world, and those who don't. By extension and much elaboration, we might observe further that there are at least two kinds of people in literacy education in regard to the paradigmatic narratives they employ in their research: those who subscribe to mechanistic motifs and metaphors, and those who subscribe to contextualist motifs and metaphors. The mechanistic motifs addressing what goes on inside learners and knowers are drawn from research from behavioral and cognitive psychology on learning (e.g., Anderson, 1995; Kintsch, 1998). The contextualist motifs addressing what goes on between learners and knowers are drawn from historical and anthropological research on learning communities (e.g., Kirshner & Whitson, 1997; Lave & Wenger, 1991). We might thus hypothesize that it is because the cognitivist (mechanistic) and anthropological (contextualist) paradigms are not commensurable (Kuhn, 1962; Pepper, 1948), that research on learning processes and learning communities within education has often been at odds, at times quite vehemently (e.g., the phonics-whole language debate; the basics-critical thinking debate; the situativist-cognitivist debate, and so on).

For this reason, I was initially encouraged by the development of alternative attempts to explain learning and literacy development in bio-ecological terms (Abram, 1996; Bidell & Fischer, 1998; Bronfenbrenner & Ceci, 2000; Iran-Nejad, 2000; Guthrie, 2000; Hruby, 2001a; Pearson, & Raphael, 1999; Sumara, 2001; Weiner, 2000). Bio-ecological dynamics, after all, account for both that which occurs inside the organism (biology) and that which occurs outside the organism (ecology). The distinction between

the biological and ecological is one chosen for its privileging of the multi-cellular organism as life's ultimate level of organization – the center of the organic universe, as it were. This is, of course, a “truth” only multi-cellular organisms such as us would find self-evident. However, the dynamics of structural organization, supervenience, adaptation, and agency are similar across the bio-ecological continuum (Michel & Moore, 1995). And, happy happenstance, it just so happens that human beings “are” ecologically situated, biological organisms (at least that has been the long-standing and highly successful narrative assumption of the life sciences). Thus, the ecological motif seemed to suggest a way to reconcile the inner and outer – cognitive and social – domains of literacy development.

Unfortunately, these efforts to employ bio-ecological metaphors have been largely unsuccessful, I believe, because they have generally failed to acknowledge that bio-ecological systems can only be properly understood within an organicist theoretical framework (Pepper, 1948)ⁱ. To misconstrue the organic as wet mechanics (Kosslyn & Koenig, 1992) as the cognitive neo-connectionists do, or as merely inter-nested contextual locations (Bronfenbrenner, 1972) as many “ecological” analyses of classrooms do, is widely off the mark. It is as much of a travesty as thinking of interpersonal transactions as the end result of cognitive processes, or of reducing psychological accounts of behavior to mere rhetorical ploys for privileging the individual over community. In other words, in paying only lip service to the organic nature of bio-ecological systems, some researchers promoting supposedly ecological frameworks have missed the most obvious and helpful characteristics of the organicist trope.

This is not an unimportant matter. Currently, RAND is funding a major long-term research planning initiative that will set the course for future research (and research funding) for years to come (Sweet, Kamil, Alvermann, & Strickland, 2001). (The RAND RSG web site featuring a downloadable pdf. file of the report draft can be found at: www.RAND.org/multi/achievementforall.) The researchers involved in RAND's

Reading Study Group are highly respected and justifiably so. But in patching together their quilt of personal research interests, the issue of just how mechanistic and contextualist research is to fit together in a theoretically cohesive fashion is not adequately addressed. There is not a proper resolution, but a temporary truce, one at best guaranteeing fragmentary and epistemologically anemic understandings of literacy development, and at worse, continued professional infighting into the future. The fact that the RAND group has gingerly indicated that development (i.e. growth) might act as a unifying bridge between the two positions (Anders, 2001) is a masterful bit of irony, for contexts do not nurture just anything, and machines do not grow regardless of their contexts. Human development, as it is scientifically understood today, is an inherently organic, transactional process of extension and integration between and within levels of bio-ecological organization (Bjorklund, 2000; Elman, et al., 1996; Michel & Moore, 1995).

Though theoretically unsatisfying for literacy education researchers, this situation is nonetheless a wonderful example of how social processes foster scientific understandings and worldviews almost without regard for the nature of the central objects of their inquiry. In a phrase, the social construction of reality, or at least that portion of reality centered on literacy education, has literacy research stuck in a pair of parallel ruts on behalf of professional prerogative and the protection of personal legacies. It is this issue and the thematic dynamics of its construction that I wish to explore in this paper. The following, therefore, is not a proper research report, but a meditation on the ways in which we come to construct our understanding of literacy classrooms – what one might refer to as the ecology of classroom research – and how it can be understood as an example of scientific social constructionism.

Which Classroom Ecology?

There are two ways in which the ecologies of learning and literacy development in classrooms can be thought of as socially constructed. The first entails the study and analysis of the factors at play in fostering patterns of classroom discourse. The procedures and tone set by the teacher, the personal behaviors and cultural values brought by the students, the policies and agendas posited by the school administration and the local school board, as well as parents' expectations, political pressures from special interest groups, national policy initiatives, and so on: all of these go into the construction of certain patterns of practice, discourse, workaday schoolroom reality, or what we might otherwise describe as a pedagogic ecosystem. By the light of this first definition, researchers attempt to inventory and account for the multiple and complex transactive relationships between factors that constitute even as they give rise to such ecologies (Pearson & Raphael, 1999).

The other approach to describing the construction of classroom ecologies focuses on the way in which researchers themselves posit and describe learning and literacy development in classrooms. That is, while the first definition above presumes a transparent objectivity by researchers in the observation and description of the behaviors and relationships under examination in a classroom, the alternative definition references the construction of those observations and descriptions by researchers. Research itself is an example of the social construction of knowledge which informs our sense of reality – both directly, in the sense of an accumulation of knowledge artifacts, and indirectly, by the fostering of models and theoretical frames that allow for coherence across artifacts, and, indeed, which allow knowledge artifacts to be identified as such. This second

approach to studying the social construction of classroom ecologies might be considered a special case within the sociology of scientific knowledge, or SSK (Potter, 1996). I believe researchers ought to address this specialized sense of social construction before attempting the broader sense, and it is scientific social construction in literacy education research that we will address in this paper.

Allow us therefore to briefly review how the social construction of realities has been hypothesized in sociological, psychological, and philosophical research, and distinguish between the scientific construction of our understanding of the natural world and the scientific construction of heuristics. I will maintain that it is crucial to differentiate between these two types of scientific constructs. To make the case for that distinction, I will cite some well known constructs in psychology and sociocultural education theory as examples of heuristics that have been inappropriately reified as aspects of the natural world in either its physical or conceptual sense. I will assert that confusing our theoretical models with material or ideational realities engages our predisposition toward territorial claims and all of the aggression, dominance displays, and promotion of hierarchy endemic to primate sociality at its human worst. I will conclude by offering a few suggestions on how we might develop an alternative and more cohesive theoretical framework for literacy research, one informed by empirical research on the natural world but pointedly distinct from it, that is, one knowingly constructed as a narrative purely for its heuristic value in advancing research on literacy and learning.

Social Constructionism: Some Clarification

Up front, it is important to distinguish between social constructionism and social constructivism. The latter is concerned with the social processes that facilitate the

psychological dynamics that produce understanding in learners (Phillips, 2000; Spivey, 1997). Social constructionism, by contrast, is concerned with the social processes themselves and the cultural artifacts they produce and that identify them (Font & Hruby, 2000). These social processes would include identification, classification, and legitimization of knowledge as such; identity assignation; and the institutionalization, preservation, and dissemination of knowledge. Artifacts would include things like books, libraries, schools, universities, professional organizations, and so on (Hruby, 2000). These distinctions are generalizations based on historic use (Hruby, 2001a), but they are not set in stone. Different definitions, inappropriate equation across levels of analysis, and blurring between the terms is common (Font & Hruby 2000; Hruby, 2001b; Phillips, 2000). This confusion is perhaps fostered by the allowance that, in a weak sense, all culture is evidence of social construction, from driving a car, to building a work shed, to dancing the hootchie-cootchie: all demonstrate and can facilitate the distribution of knowledge.

Use of social constructionist theory in literacy education research has been inconsistent and somewhat confusing because of the various and often allusive ways it has been applied (Hruby, 2001a). Some appropriations of the terms and trappings of social constructionism seem little more than window dressing for ethnographies of productive classroom practice. This is worthwhile work, but as social constructionist analysis it has been dismayingly vague. As Schoenfeld (1999) and others have complained, it is difficult to fashion testable hypothesis from overly broad definitions and overly general theoretical assertions about “the sociocultural.” On the other hand, some work in literacy education using social constructionist lenses has been exemplary, both

theoretically rich and philosophically sophisticated (e.g., Blanton, Moorman, Hayes, & Warner, 1997; Rex, L. A., Green, J. L., Dixon, C. N., & The Santa Barbara Classroom Discourse Group, 1998). Nonetheless, the exceptions underscore the general tendency: a failure in most of this research to provide a precise working definition of what the social construction of knowledge entails, and scant attention to the processes of construction ongoing in the research itself.

Elsewhere, I have suggested that social constructionism can be historically and paradigmatically divided into three waves: an empirical wave in sociology beginning in the 1960s, a postmodern wave in social psychology beginning in the late 1970s, and a new-realism wave in philosophy of mind and of science in the 1990s (Hruby, 2001b). The use of the term “waves” in this context was perhaps unfortunate as it suggested more than that the three approaches in the study of social constructionism succeeded one another. It also seemed to suggest, in spite of my cautions to the contrary, that the earlier versions are no longer viable. In fact, all three approaches are possibly useful because they are paradigmatically distinct and therefore not commensurable (Kuhn, 1962). Lenses would have been the better term to describe these three ways of focusing inquiry on the social processes of knowledge formation in communities.

A Brief History of Social Constructionism

One of the more salient features distinguishing these three lenses is where the bounds of the social construction of knowledge are drawn. For the sociological empiricists (e.g., Berger & Luckmann, 1966) the natural world was acknowledged to include the human organism and its species-specific and species-probable traits. However, these traits were deemed to include the capacity both for language (semiotic

systems) and culture (the appropriation and modification of aspects of the natural world, including those aspects directly relating to human lifeways). Hence, humans had the ability to collectively modify behavior through cultural systems built on language. The linguistic rationales, identifications, institutions, models of causation, and so on, developed within communities were matters of social construction born of the dialectic between individual and society, a dialectic that was constrained by the natural world even as it was mediated by language.

In this, the empirical sociologists were much in line with what had been suggested already in pragmatist epistemology (e.g. Dewey & Bentley, 1949). However, many empirical constructionists had placed their theoretical focus squarely on what the common man and woman on the street took to be reality sui generis, something presumed to be quite different from what empirical scientists engaged in. But the pragmatists had already called this distinction into question (Dewey & Bentley, 1949), as had other philosophers of science (Kuhn, 1962; Quine, 1969; Pepper, 1948). It wasn't long before research on constructionism in science as another variant of the same process gave way to the second wave in social constructionism.

The postmodernist social psychologists of the 70s and 80s (e.g., Burr, 1995; Gergen, 1985; Gergen & Davis, 1985; Shotter, 1993) claimed that scientific knowledge itself – and the greater-than-human world it presumed to represent – were all socially constructed. Rather than being the result of empirical observation of the natural world, science was actually the result of humans in social relations making meaning of their social and semiotic selves within historical and ideological contexts. Scientific reality, according to the postmodernists, had no more foundational or essential basis for being

enshrined as inarguably factual or natural than any reformulation except insofar as it served political, ideological, or economic agendas. The numerous epistemological problems with such an encompassing constructionism became immediately obvious to critics and eventually obvious even to proponents (Burr, 1998; Gergen, 1998).

For instance, it was difficult to explain how social oppressors were able themselves to successfully function free of the self-oppressing nature of our shared discourses and institutions. Worse, claims of oppression could be called into question as similarly being social constructions, for everything was a social construction – including the concept of social construction! This self-undermining relativism could only be deemed liberating by the most anti-rationalist among the postmodernists. Stresses between the politically driven critical theorists, literary and rhetorical analysts, and researchers in social psychology proved too great to maintain a growing critical mass in this vein, and the third wave of social constructionists began to step forward.

The new realists and neo-naturalists in epistemology (e.g., Putnam, 1987), philosophy of mind (e.g., Block, Flanagan, & Güzeldere, 1998) and philosophy of science (e.g. Greenwood, 1994) are a varied and recent lot, and it is therefore more difficult to characterize them. Suffice it to say that their positions are not simply a return to a naïve positivist empiricism, nor are they champions of reductionist, determinist, or mechanistic models of causation. Like the empirical constructionists, the neo-realists acknowledge a natural, greater-than-human world that humans are not merely in, but of. However, the new realists' grasp of this bio-ecological relationship is considerably more sophisticated than that of social constructionists a half century earlier.

For the new realists, our ability to perceive and conceive of our world is constrained by evolved, species-probable capacities, capacities whose evolution and development carry the nature of our world (our Umwelt) within them. Those capacities are predisposed to give emphasis to levels of bio-ecological organization of long-standing species-specific significance. They thus structure our perceptions and categories through biologically-grounded qualic phenomena possessing an inherent level of base significance. By their nature, and by evolutionary necessity, these capacities for perception, categorization, and concept formation are variously plastic and adaptive to changing circumstances and can recursively mediate our categorical and conceptual distinctions in ever more sophisticated ways. Thus, our ability to construct better understandings of the world (i.e., more adaptive for a fruitful and satisfying condition), while far from simple or perfectible, is nonetheless usually serviceable and often improvable.

Like the postmodernists, the neo-realists caution against naïve suppositions about the seeming obviousness of fact or reality. Much that passes for reality is indeed a construction, especially in a highly articulated domain such as scientific research. In a limited sense, everything must be a social (linguistic) construction since everything is signified in a language that can never be the thing, perception, or conception itself (Derrida, 1976). But it is not true that every description is therefore equally (or nothing but) a social construction. Some things are more constructed than others (i.e., rationally or aesthetically derived, less based on empirical observation). After all, if wishes were fishes, we'd all live like kings. And we don't. So successfully negotiating our ecological surrounds, presumably on the basis of both perception and a knowledge base, must surely

involve more than simply “constructing reality.” Some constructions about the greater-than-human world are more serviceable than others, and this is often demonstrable.

Indeed, the purpose of science is to pursue such careful demonstrations.

All empirical observation is based on qualic phenomena (sensation and memory) made coherent through theoretically-informed interpretation. It does not follow from this, however, that all observations are equally informed (let alone entirely informed) by theory, or, for that matter, that all statements are entirely informed by interpreted observation. To this end, there is a distinction to be made between epistemic and linguistic objectivity (Greenwood, 1995). Thus, we can distinguish at least two types of scientific construction: those that are attempts to signify careful observations of the natural world, and those that attempt to hypothesize causal factors not actually observed or observable, and which indeed may not exist in the natural world at all. In a word, this is the difference between naturalistic (empirical) and heuristic (rational) constructions. The psychologists Paul E. Meehl and Kenneth MacCorquodale have proposed a similar distinction between hypothetical construct (the scientific description of physical or physiological phenomena) and intervening variable (the stop-gap explanatory abstraction). The distinction in social constructionism is blurry, however, and these two types of scientific construction are perhaps at the ends of a continuum. Still, a rifle barrel, too, is a type of continuum, so I would hedge that it is best to know which end is up when dealing with a continuum.

Failing to distinguish between when we are measuring and describing processes and systems of the natural world, and when we are constructing explanatory narratives or models of the invisible forces presumed at work animating that world is a serious

categorical error. It is one, I believe, that has defined much scientific research in reading and literacy education over the past 30 years. And this ought to be a concern, for when we reify our heuristics we are led to embrace a ghost-in-the-machine or over-the-shoulder dualism that is both philosophically and scientifically unsatisfactory. Worse, we are led to stake territorial claims on what we mistake to be certainties within and of our phenomenological domain.

The Cautionary Tale of Research on the Psyche

Let us then distinguish between the scientific construction of heuristics and the scientific construction of our understanding of the natural world. The construction of heuristics is chiefly an exercise in constructing facilitative theories that allow us to rationally think about, discuss, and research things that otherwise we could not (i.e., the mind, society, unicorns, the number of angels that can dance on the head of a pin, etc.). By contrast, the construction of our understanding of the natural world is an exercise in articulating empirically observable and dependable patterns of ecological constraint and affordance (i.e., the “laws” of nature that allow us to appropriate natural resources effectively; observations on how humans tend to use those resources, etc.). It is important not to conflate and confuse these two types of constructs.

There is a resistance to acknowledging heuristics as such once they have been thoroughly reified through the processes of social construction. Professions, institutions, careers, identities, and practices – these things take on a life of their own. Collective professional identities become as cults, their objects of inquiry fetishes, and their methodologies rituals. But the existence of such entrenched institutions, practices and professional communities is not adequate evidence of an empirical reality represented by

the heuristics entertained therein. An example of entrenched institutionalization grounded on a reified heuristic might clarify what I mean.

Once upon a time, long, long ago, back before the days of the cognitive model of the mind, there was the psychoanalytic model of the psyche (several, actually). Indeed, it is worth noting that before the psyche there were religious, essentialist, empiricist, and romantic models of the spirit, the soul, the pneuma, the humors, the passions, elan vital, etc., many of which still persist in the general vernacular today (e.g., Moore, 1992; Redfield, 1993). The idea behind all of these is the same. Without some animating force, the body is presumed to be an inanimate glob of dross matter, nothing more. Historically, it was inconceivable that living things might, by their very nature, be self-animating, largely due both to a legacy of essentialist, dualistic religious dogma, and to the early scientific use of mechanistic metaphors drawn from Newtonian physics to describe biological organisms and processes in terms of distinguishable bodies and forces (Dewey & Bentley, 1949; Johnson, 1987). Something beside the body itself had to account for its behavior. The hypothetical cause was determined by the way behavioral explication was narratively justified, but the resulting explanation always suggested the causation worked the other way around. As a result, the dualism inherent in the initial assumption was presupposed in any understanding fostered by the model. This sort of circularity is an unfortunate hallmark of heuristic constructions.

In any event, one of the first major disruptions in the development of psychoanalytic theory occurred with the break between Sigmund Freud and his colleague, Carl Jung. One of the reasons for this break was Jung's acknowledgement that Freud's model of the psyche, with its Ego and Id and complexes and sublimations and other

mechanistic arrangements, was not a description of an actual location bounded by time and space, but rather was a heuristic device. Ultimately, Jung noted, the physical mechanisms for the behavior of biological organisms such as human beings would be located in the neurophysiological substrates, but there was no way in the early 20th century to study such things. In the meantime, Jung explained, models such as Freud's – or his own, or Adler's – allowed researchers, therapists, and their patients to think about and talk about what would otherwise be ineffable. And this ability to postulate and share structures of emotion and memory was in and of itself of therapeutic value (Clarke, 1992).

Freud, the logical positivist, vehemently denied Jung's observation, decrying it as mysticism – although he himself tacitly acknowledged and tried unsuccessfully to address the problem in the 1920's (Holland, 1992). Almost a century later, the consensus in psychology is that the success of traditional psychoanalysis is anecdotal, meager and limited to moderate emotional distress. Meanwhile, the impact of psychopharmacological interventions (based on psychobiological and neuroscientific research) has been astonishing even in severe cases of psychosis. Thus, the current trend in psychiatric intervention is based on a situation-specific blend of psychopharmacology, behavior modification, and talk therapy.

The point of this historical digression is to exemplify how easily heuristic models can be reified by even the most sophisticated of minds, and to note how such reification leads to delusions of pseudo-empirical grandiosity. More to the point, it can lead to entire research agendas, academic departments, professional organizations, publications of theory and practice, and highly lucrative professional identities fostered by heuristics that

no more describe the real world than a vibrant description of the Easter bunny. Of course, every spring, countless grandparents across the land delight in the behavior modification they have encouraged as their grand children cavort about backyard shrubbery in search of painted eggs. But is that any basis for justifying a program of literacy research?

The point is, the existence of such an institutional status quo built around a reified heuristic is itself not proof that the heuristic represents causative aspects of the natural world. And the bald assertion that a heuristic must in fact represent unseen aspects of the natural world because it is useful as a heuristic makes no sense at all.

Intellectual History Repeating Itself

This brings us to the long and proud legacy of cognitive psychology's influence in literacy education research. Like earlier dualistic explanations of human behavior, cognitive models rely on a stopgap, intervening explanatory device such as the psyche. That device is called the mind. The mind has a long pre-scientific history as a construct in the vernacular, so its use in psychology has a certain intuitive appeal. Models of the mind are said to account for behaviors, and research on behaviors is said to prove the validity of these models of the mind. The circular reasoning here is obvious, and has been described as "phlogiston theory" by neuro-philosopher Patricia Churchland (as cited in Churchland, 1995). (Phlogiston was an imperceptible gas postulated by fifteenth-century chemists to account for the deterioration of matter by rust and fire. The rationalists who championed this conceptual breakthrough were certain that phlogiston existed even though it could not be observed. Proof of the existence of phlogiston was to be had in the phenomena of rust and fire, the very phenomena phlogiston was supposed to explain. Similar circular reasoning allowed psychoanalysts to justify models of the psyche on the

basis of complaints, and cognitivists to justify models of the mind on the basis of behavior.)

The problem with the mind, as with other examples of phlogiston theory, is not that it makes for a poor heuristic. In fact, the mind is a very powerful pedagogic and rhetorical device. Research on the mind has allowed for important advances in educational and behavioral theory, which in turn have informed solid research. Current models of the mind are certainly more satisfying as intervening variable than the behaviorists' black box. And the mind is destined to continue in the vernacular in the same way that constructs of the soul and of passion do today. The problem is our believing that because the mind is useful as a heuristic it must therefore represent an actual, if imperceptible, causative aspect of the natural world.

Such reifications, I suggest, entice researchers to take on the mantle of ontological certainty and thus engage in a territorial vehemence that demands and indeed fosters professional unity around an orthodoxy (as demonstrated in the case of Freud and Jung), but ultimately retards theoretical development within the profession. Such reification occurs through processes of social construction earlier described. For instance, to have challenged the hegemony of cognitive assumptions and institutions in psychology during the past quarter century would have been professionally disastrous. The more recent advances in psychology along psychobiological and neuroscientific lines has occurred thanks to an end-run around cognitive certainties that avoided openly acknowledging or challenging them. Similarly, the development of sociocultural perspectives in literacy education had more to do with professional exhaustion by many literacy education researchers over arguments surrounding the minutia of mental processes than with a

coherent critique of the inherent flaws of cognitive models (D. Alvermann, personal communication).

Again, the problem is not that the mind is “only” a heuristic. Heuristics are invaluable in advancing human understanding. Nor is the problem the cognitive choice of mechanistic (and thus reductionist and deterministic) metaphors to describe the mind. Mechanistic models are very useful at describing many things, particularly machines, and they are therefore pedagogically useful because they are easy to understand. Nor is the problem the inherent dualism presumed and promulgated through the circular reasoning commonly employed, although such dualism is generally in low repute among most current philosophers of mind (Block, Flanagan & Güzeldere, 1998).

The problem is the unwarranted assertion that the central construct is a natural fact, and thus inarguable, unmodifiable, and professionally possessable. The mind, however, does not exist in the natural world, except in so far as it can be described as a cultural artifact. This is perhaps one reason why research on the mind’s learning does not always readily translate into effective classroom practice. Theories of the mind’s structure can inspire literacy research, but it cannot displace or preempt it. Only research on literacy learning in classrooms can tell us anything about literacy learning in classrooms.

Intellectual History Repeating Itself Repeating Itself

Lest those of a sociocultural stripe delight too much in this critique of cognitive psychology’s influence in literacy research, it should be noted that socioculturalists, too, have run afoul of the same problems. Because socioculturalists rely on a contextualist motif rather than a mechanistic one, the emphasis is on forces rather than structures, but

the Newtonian-articulated dualism of inert bodies and motivating forces still undergirds this perspective as it has since Comte founded “Social Physics” in the 1820s.

Socioculturalists also rely on Idealist rather than Materialist philosophical positions, positing reality as a construct in the realm of ideas rather than in the natural world, but the determinism of their models is similarly manifest in their narratives (Farrell, 1996). As with psychological constructs, something other than the ecologically-situated biological organism in the process of negotiating its contextual surrounds is presumed to account for that organism’s behavior.

The contextualist motif asserts that phenomena arise from unique contextual influences or situations. The contexts of general concern are usually the social and the cultural, although linguistic, semiotic, economic, and ideological contexts are treated similarly (e.g., Gee, 1990). That which arises from such spatially and temporally unique circumstances is either itself unique (say some ethnographers and postmodernists), or exhibits general tendencies of historical progression (say the Hegelians, Marxists, and Frankfurt School-inspired critical theorists) (Farrell, 1996; Foucault, 1978; Pepper, 1948).

Contexts are usually posited as being two-tier in nature, with an immediate, observable micro-cultural level of individuals in relation, and a higher, theoretically postulated macro-cultural level of societal forces contextualizing the micro level. Socio-historical determinists maintain that the macro socio-historical level constitutes the micro cultural level in accordance with certain presumed historical inevitabilities, which in turn constitutes individuals and gives them their sense of identity. Causation is thus basically top-down and reflects a theoretical rationale for authoritarian socio-economic

arrangements. Other contextualists describe a more transactive relationship between individual agents and their immediate surround which gives rise to collective generalities that can feed back upon the lower levels of organization. In these views, agency and identity are developed recursively over time from immediate experience. Lev Vygotsky would be an example of a pioneering socio-historical determinist; John Dewey would be an example of a pioneering transactionalist (Glassman, 2001). Foucault might be an example of a postmodern contextualist emphasizing the incommensurability of historical experience.

But, again, as with the cognitivists, the central problem for sociocultural theory is not with its choice of framing motif. The problem is that socioculturalists posit a macro-level construct – culture, the social, the socio-historical, etc. – the entirety of which would elude observation, were it to actually exist, except by way of a God's-eye view. Human beings have never had, nor never will have, such an all-encompassing perspective. Such demiurgic macro-cultural constructs of historical destiny or cultural influence, therefore, like the construct of the mind or the psyche, by their very nature, can never be empirically demonstrated; rather, they are only rationally postulated. A non-believer might suggest that macro-cultural levels of social or discursive organization are actually abstracted generalizations based on anecdotal observation of behavior and demographic quantifications drawn from the level of immediate experience -- measurements and observations undertaken and selected precisely because they bolster the presumed heuristic model of causation being asserted. Thus, the reasoning supporting these models is as circular as that employed by the cognitivists. More phlogiston.

As with the cognitivists, the socioculturalists tend to reify their heuristic narratives as actual causative forces, and this encourages the same professional territorial prerogatives displayed by the earlier cognitivists. Indeed, a dismaying progression of parallel ideas in Western thought can be identified between those positing internal causation (the soul, the spirit, the conscious, the psyche, the mind) and those positing external causation (God's will, fate, destiny, the zeitgeist, the world spirit, history, inevitable socio-economic progression, culture, the social, etc.). If the academic debates between these incommensurable camps take on the tenor of religious wars, it should come as no surprise. Again, these reifications are bolstered by the processes of social construction that gives rise to institutional systems, identities, and communities of practice. And these, quite literally, apart from the posited intervening variables they entertain, are physical territories that can be fought over. And so they are.

The shibboleth that education is a social practice is often reiterated like a catechism at many a literacy conference and graduate seminar today. To observe that this is a rather banal observation is to invite professional rebuke in most quarters of the profession. To note in addition that history has not been kind to socio-historical prophecy is to provoke severe ostracization. We have not yet exhausted our recent fascination with the social, the continental, and the easy heroics of critical polemics. Thus, borrowing a page on tactics from the psycho-biologists, the best way to produce new knowledge in literacy education is to avoid challenging sociocultural and cognitive pieties altogether, and get on instead with an entirely different research agenda, one grounded in an alternative conceptual motif, staying humble until such time as it bears discernable fruit.

An Incautious Organic Conclusion

This leads us back to a justification of my original interest in bio-ecological motifs in literacy education. The current “peace accord,” on behalf of balance at RAND and elsewhere is an attempt at perpetuating the current Two-World Hypothesis approach, balancing one narrative motif against another, in an effort to preserve personal and professional positions and legacies. This is understandable, but it can likely lead to the preservation of the reification, dualism, and theoretical turf wars endemic to our current condition. And this, I would insist, is an unhappy situation for 21st century researchers.

It would be premature and beyond the scope of this paper to speculate on just what an organic or bio-ecological motif would entail entirely. Indeed, the development of such a motif for literacy education research would be a rich area for extensive future inquiry. There are places to begin, however. Inspirations for an organicist motif might include work in philosophy (Allen & Bekoff, 1997; Block, Flanagan & Güzeldere, 1998; Millikan, 1984), activity theory (Wertsch, 1998); sociocultural dynamics (Minick, Stone, & Forman, 1993), situated cognition (Kirshner & Whitson, 1997), ecological psychology (Reed, 1996), cognitive ethology (Hauser, 1996; Tomasello & Call, 1997), developmental psychobiology (Michel & Moore, 1996), neo-connectionist models of neurological processing (Sinha, 1988; Elman, et. al. 1996), situated robotics (Clancey, 1997), and the integration of these perspectives (Bronfenbrenner & Ceci, 2000; Clark, 1997; Hendriks-Jansen, 1996).

Though informed by the life and social sciences, the organic motif also needs to be kept in mind as a heuristic. It should never be posited as an account of factual reality itself, but only as a means of promoting research on the nature of our realities.

Given the foregoing review, allow me to rather boldly make the following suggestions:

Literacy education researchers need to:

- allow for the value of heuristics as such and resist the seduction of reification;
- acknowledge that reification is a long-standing foundational problem for our theories of literacy development;
- address dualism, and accept that, whatever one's personal or religious views might be on the subject, it has little place in a scientific understanding of learning or learning communities;
- explore encompassing motifs that can provide an idiom to include both cultural and cognitive phenomena – as well as developmental, emotional, motivational, ideological, and individual factors;
- keep in view our participation as researchers in practices that socially construct our sense of reality, and the inherent responsibilities to honesty, effectiveness, fairness, and truth such mindful participation entails.

Given these needs, and what I perceive to be the promise of organicist motifs in addressing them, I believe that bio-ecological narratives are deserving of a second chance. Only, this time around, we need to avoid half-hearted attempts and construct them for real, but not as reality.

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ⁱ Stephen Pepper identified the neo-Hegaliens as organicists. However, as sophisticated as Pepper's analysis might be, it was informed by a less than current understanding of organic processes, the study of which has evolved impressively over the past fifty years. For instance, he mistook biological processes to be static (the popular environmentalist misnomer that nature, left to itself, is in a state of perpetual balance is a perpetuation of this outdated belief). He also thought organicist motifs were unduly determinative, and had qualms about the notion of supervenience, or emergence, a notion that was just beginning to get off the ground in philosophy, biology and ecology (Drai, 1999). The noxious legacy of Social Darwinism and eugenics might have been another inspiration for his misgivings. But, if the contextualists and cognitivists who attempt to employ bio-ecological metaphors fail to relocate their models within an organicist framework, the Pepperian organicists in critical literacy research fail to acknowledge and incorporate what is currently understood about the dynamics of bio-ecological systems. Rather, by dint of ideological prescription, critical researchers continue to propose various forms of a cultural determinism that howsoever effective it might be as political analysis is useless as an organic trope. I would therefore, pace Pepper, categorize socio-historical determinists as teleological contextualists.

A Response to “The Social Construction of Literacy Development and Classroom Ecologies” by George Hruby

Carolyn P. Panofsky

The new editors of the ARF Yearbook have chosen to be more proactive in soliciting responses to the keynote papers. The idea of including responses is important for fostering increased dialogue and debate in our organization, and I was delighted to be asked to contribute to this initial offering, although I had not heard George Hruby’s presentation.

The editors have left the structure of response to the discretion of the respondent. Initially, I planned a sequential discussion of Hruby’s piece, which a reader could compare with her or his own responses and reactions, but I found this approach unworkable. Hruby’s densely written discussion poses a number of problems for both the reader and the respondent. I will begin by trying to summarize Hruby’s argument, and then I will lay out what I see as some problems with the piece.

George Hruby focuses on the phenomenon of the research process itself as one in which knowledge is constructed:

Research itself is an example of the social construction of knowledge which informs our sense of reality—both directly, in the sense of an accumulation of knowledge artifacts, and indirectly, by the fostering of models and theoretical frames that allow for coherence across artifacts, and, indeed, which allow knowledge artifacts to be identified as such. (Page need to insert #)

When knowledge is viewed as constructed, then conceptions and models of understanding are, similarly, seen as constructed. A focus on constructed concepts comprises the core of Hruby's discussion. After first dividing the world of literacy research into the two conceptual camps of "cognitivists" and "contextualists," Hruby focuses on the central concept of "mind" as representative of cognitivist research and, second, on varied concepts, including "culture," "the social," "the socio-historical," as representative of contextualist research. The core of Hruby's discussion, then, is a critique of these concepts—not primarily for their content, but rather for how they are used. Hruby distinguishes between naturalistic concepts and heuristic concepts further characterizing the former as empirical and the latter as rational. Using this formulation, Hruby is arguing that "mind" and "culture" are concepts which have heuristic value but are far too often "reified," taken as having real existence rather than being used as explanatory concepts, that is, concepts having rational utility, rather than empirical utility. The result of conceptual reification, he argues, is that circular reasoning results: findings are used as evidence of the validity of the heuristic concept, while the heuristic concept is also used to explain the findings. It is useful for researchers to be reminded of this thorny issue so relevant to both methodological and theoretical thinking. But Hruby goes further: he believes that the reification of heuristic concepts accounts for stalemated academic battles that are so common and that divert attention and resources, stalling progress in understanding. Hruby writes that confusing a model with reality "engages our predisposition toward territorial claims and all of the aggression, dominance displays, and promotion of hierarchy endemic to primate sociality at its human worst" (page need to insert page #). After taking the reader through an extended discussion, Hruby ends his

paper with a brief discussion of an alternative approach, also mentioned near the outset, that he labels a bio-ecological or organicist model. In addition, he offers a list of suggestions that researchers need to keep in view to strengthen literacy research.

Although Hruby's thesis about the reification of concepts and the role of such logical flaws in fostering the hardening of positions and divisiveness is of value, I find many difficulties in his piece. Rather than addressing every problematic item, I will discuss three global problems in the paper; these problems concern the way the argument is presented, the way the argument is structured, and an assumption on which some of the argument is premised.

Presentation is the first problem noticed by the reader in the form of Hruby's writing: it is at times vague, inaccessible or obtuse in expression and syntax, at other times sarcastic, snide or condescending in tone. Occasionally, the derision and conceit in some of the author's comments perform the very kind of "dominance display" that he claims to condemn. The comparison of psychoanalytic concepts with the Easter Bunny performs one such display. The discussion of "phlogiston" as analogue for mind and culture is another, using gratuitous rhetoric to trivialize concepts.

The second problematic dimension is that Hruby conducts his discussion of conceptual reification at a level of abstraction that makes it hard to scrutinize and sometimes impossible to follow. Hruby cites not a single specific example of conceptual reification or circular reasoning in his discussion and quotes from not a single text. Instead, he paints in broad brush strokes and makes sweeping claims about what the cognitivist or the contextualist "motif asserts." Without examples the reader can only guess at the referents of Hruby's discussion. When Hruby does offer an example of a

specific theorist, his interpretation is mistaken. In his discussion of contextualist approaches, Hruby categorizes Lev Vygotsky and the socio-historical approach as contextualist and brands Vygotsky and the approach “determinist”:

Socio-historical determinists maintain that the macro socio-historical level constitutes the micro cultural level in accordance with certain presumed historical inevitabilities, which in turn constitutes individuals and gives them their sense of identity. Causation is thus basically top-down and reflects a theoretical rationale for authoritarian socio-economic arrangements.... Lev Vygotsky would be an example of a pioneering socio-historical determinist. (Page need to insert page #)

Yet Vygotsky and numerous researchers working in his tradition use a dialectical or interactionist framework which is at pains to transcend the uni-directional view of causality that can characterize both sides in the “nature-nurture” debate and also the false separation of mind and society, which Hruby’s cognitivist-contextualist division reflects (for a discussion of the dialectical and interactionist perspective, see the introduction to John-Steiner, Panofsky, & Smith, 1994, pp. 1-33).

The third dimension I find problematic is Hruby’s tacit acceptance of natural science metaphors for discussing the human world. He repeatedly refers to “the natural world” without acknowledging that a significant literature, going back to the nineteenth century, debates the commensurability of the natural world and the human social world and their inter-relationship. This is a complex issue, with more than two perspectives. One way to join the natural and human worlds is with the concept of “integrative levels,” a notion that Hruby might find useful for his organicist turn (see for example, Greenberg

& Tobach, 1987; Novikoff, 1945). In particular, the concept of integrative levels offers a solid conceptual alternative to reductionism in organic models.

In conclusion, I want to draw some value from Hruby's discussion and this response. The social constructionist perspective on research that Hruby promotes can offer important insights into the character of our conceptual and empirical dilemmas. But the process of social construction in any field does not take place in an historical vacuum. Much of the work done by a researcher comes in response to issues that are taken to be unrecognized or misconceived in the work of others whose work precedes one's own. Such absences may reflect gaps in the larger conceptual frameworks that guide the provoking work or issues not yet addressed within a framework. In addressing an absence, one can rarely take on the whole, whatever that might be, or specify all of one's assumptions—for how would one ever begin, let alone end? In addition, research that does not attempt to represent reality as a whole, nonetheless, may be of value to other work that does try to encompass a fuller perspective.

On the other hand, I certainly agree with George Hruby that learning and learners must be understood in contexts of learning and that, ultimately, research must bring them together, rather than separate them. Perhaps there are some so-called cognitivists who dismiss the work of so-called contextualists and vice versa, but there are also some who are working hard to understand better both learning in contexts and the contexts of learning. Unfortunately, Hruby declines to acknowledge this work or fails to appreciate its significance. This work may be identified variously as sociocultural, cultural historical, socio-historical, Vygotskian, cultural psychology or activity theory, but it is dialectical and interactionist. It really does not accept the determinist agenda that Hruby

ascribes to it. And, as suggested earlier, such a perspective is compatible with some versions of a bio-ecological perspective that Hruby sees as a third path and a way out of the debates.

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Three Perspectives on Critical Thinking: Theory, Research, and Teaching

Marie Cheak, Nancy Douglas, Rick Erickson

There is concern today about the effects of widespread exposure to unsubstantiated information. Electronic print sources like the Internet are not peer reviewed or subject to verification, nor do school textbook authors always provide evidence regarding their sources. While one response to this concern is an increased effort to teach critical thinking, there is evidence that the goal of teaching students to be critical readers is elusive. For example, one line of inquiry has been to have students read multiple text sources to study history. The intent is that students will confront multiple sources and think critically to find and use information that is relevant, valid, and significant for answering questions and satisfying their learning demands. Recent research studied 5th graders' use of multiple sources to study American history (Vansledright & Kelly, 1998) to see how they respond, evaluate, and use information from differing sources. While the students preferred the alternative multiple sources to their class textbook, they did not note differences in form and content between the two types of text and did not attempt to read them differently. Nor did the students have concerns about the validity or historical significance of their sources. Without having a record of where text authors obtained their evidence the students could not assess text sources. Instead, students tended to base their validity judgments on an information-quantity criterion. That is, validity was based on the frequency of detailed information such as dates, names, facts, and figures.

A related finding was reported for tenth grade students who used multiple sources to study history (Stahl, Hynd, Britton, McNish, & Bosquet, 1996). Students in that study relied mainly on the first source they read, and tended to ignore conflicting information in later readings. The authors concluded that unless high school students have received specific instruction in how to evaluate and integrate information from different texts, they might not benefit from studying multiple historical sources.

The evidence of a lack of critical thinking on the part of fifth and tenth graders suggests that teachers need to do more to help students evaluate information from multiple sources. However, another way to understand the lack of critical thinking is to consider that providing students with tools for deciding what to believe and do with information is counterproductive to providing students with strategies for learning and remembering information from a single source. Traditionally, students are supposed to read and remember the information they encounter in school, they are not expected to think critically, raise validity questions, or suggest alternative explanations. School information is supposed to be the truth, and once we open the critical thinking toolbox where do we stop? What school information are students to accept without question and what information are they to critique and possibly reject? Students expect to believe what they read in school so it's no wonder they have trouble when teachers tell them to challenge and not accept everything they read.

With this concern in mind this paper presents information on critical thinking from theorists, researchers, and classroom teachers. First, Marie Cheak presents a hopeful historical overview of instructional theories that support the teaching and assessing of critical thinking. Next, Nancy Douglas presents a review of social

psychology research that uncovers several significant problems humans encounter with critical thinking. Last, Rick Erickson presents some examples of recent classroom observations that describe critical thinking teaching activities and strategies that teachers find useful. There seems to be no argument that teaching students to think critically about the information they encounter in and out of school is an important educational endeavor. However, the evidence suggests that teachers and students will continue to find the task elusive and challenging

Theoretical Perspectives on Teaching and Assessing Critical Thinking

Marie Cheak

Improving students' critical thinking is currently a focus of educational reform as evidenced in recently drafted national and state educational standards (NCTE, 1996). The rationale is that critical thinking skills are necessary if responsible citizens are to make informed decisions in a democracy. Critical thinking is a challenge for teachers and students that has raised questions and concerns like the following (Ogle, 1998): Will the integration of the English language arts into other content areas support students' attainment of critical thinking goals? Will assessment measures to gauge student attainment of critical thinking standards be general or content specific? I will address these questions from several theoretical perspectives.

Curriculum Integration and Critical Thinking

One way we arrange for critical thinking in school is curriculum integration where literacy skills are integrated with content area learning tied to real world problems. The

integration of literacy learning within a content area allows purpose to drive learning and increases both literacy ability and knowledge in the content area (Guthrie, Alao, & Rinehart, 1997). Integration of the curriculum is also consistent with a view that “knowing and understanding” should focus on the learner and the processes of learning rather than some discrete body of knowledge (Tierney & Pearson, 1994). Although current reading theory supports an integrated curriculum to foster critical thinking and augment content area learning, the need for direction in the facilitation of integrating literacy with other disciplines, like science, is great. This begs the question of how such integration can be accomplished in an already burgeoning and demanding school curricula. One idea that accomplishes integration is inquiry-based learning.

Inquiry-Based Learning

The conspicuous focus on critical thinking skills in educational reform movements in 2000 has raised the value of inquiry-based learning. While critical thinking skills are difficult to teach, the potential for their development is most effectively realized in instructional contexts that are student-driven and teacher facilitated. The ideal social context for the development of these skills allows for both individual and collaborative inquiry. Access to a variety of resources (print, technological and community) gives students opportunities to practice, experiment and master ways to synthesize information and apply knowledge to novel problems (Paul, Binker, Martin, Vetrano, & Kreklau, 1989). Inquiry into real-world problems and involvement in authentic tasks gives learning purpose and facilitates the transformation of knowledge to new contexts.

Current research supports the theory that inquiry-based instruction, which incorporates an integrative approach to instruction and provides the needed structure and guidance for students, is conducive to the development of critical thinking skills. It has been shown that theorists in critical thinking, text comprehension, and environmental education agree on how these abilities are developed and nurtured. The picture they present is a complex one that involves the kind of information students are given to explore, the support they are given in processing the information, the social structure of the learning environment, and the actions and consequences students foresee when they think critically.

Action and Consequences

It is not merely coincidental that common threads appear in the goals of general literacy (reading, writing, communicating), the components of critical thinking, and specific content areas such as environmental education. The common thread of an action element is of particular significance. Action refers to a learner's deciding what to say and what to do. In school, action is often a report and a presentation to an audience. Ennis (1989) includes action in his definition of critical thinking and the standards and goals for the English language arts emphasize the communicative aspects of literacy. This definition of literacy includes the ability to actively communicate information to others in a variety of formats, to a variety of audiences and for a variety of purposes. Ennis (1989) stated that action, at least informed action, is precipitated by the use of critical thinking. Critical thinking is the ability to make good judgments, which is based on good reasons and reflective thought. Critical thinking involves serious consideration of the consequences of taking some action.

Assessing Critical Thinking: General or Content Specific?

The call for schools to develop student critical thinking creates the need for assessment measures of critical thinking skills to inform instruction and evaluate instructional procedures. Although critical thinking skills can be general abilities, it is known that critical thinking skills are domain specific. According to Ennis (1989), research is needed to determine how specific aspects of critical thinking apply to a specific content area and "the study and development of new approaches and instruments for evaluating critical thinking" (p. 9). Given the emphasis on the need for instructional contexts that support the development and use of critical thinking skills within specific domains, it seems warranted to develop a domain specific instrument for assessment of those abilities.

Domain Specific Assessment

One multi-dimensional curriculum area that lends itself to the testing of critical thinking is environmental education. The multi-dimensions of science, politics, and social concerns that mark environmental issues create ambiguity, conflict and dialogue among educators (Ramsey, Hungerford, & Volk, 1994). For example, There are different types of environmental education curricula. Some are episodic in nature and occur as add-ons at the end of another course. Other curricula are in-depth courses of study, which engage students in inquiry supported with much teacher modeling and explicit instruction in the tools of inquiry. In an exegetical essay on environmental education, Hungerford (1994) warns of a common myth, that "students are natural investigators and can, without special training, successfully engage in and bring closure to environmental issue investigations" (p. 51). It is his contention that students need explicit instruction in

and modeling of critical thinking skills in order to be successful problem solvers toward the resolution of complex environmental issues. Hungerford's admonition that students need to be challenged with explicit instruction designed to encourage and foster the development of critical thinking skills while maintaining an equilibrium in instructional flexibility, is echoed both in the literature on reading comprehension and critical thinking.

Kintsch (1994) has contributed much to our understanding of readers' comprehension of text and the effects of readers' knowledge on the readers' ability to learn from text as opposed to the memorization of text. Memory of text is a low-level cognitive function. Readers may be able to memorize facts from text or recall details, but be unable to construct new knowledge by synthesizing new information with existing knowledge or knowledge from other texts. Extant domain knowledge also affects how readers process texts. Texts with simple rhetorical structures that fill in the gaps of knowledge for readers with high domain knowledge force the reader to process at the surface (literal) level of the text. These readers perform poorly on synthesis tasks. High domain knowledge readers perform better when given texts with less finely tuned rhetorical structures that require the reader to fill in gaps by cognitively processing the information at deep levels of cognitive processing than with the simpler texts. There comes a point with respect to the completeness of a student's background knowledge, where big trade-offs are made. Explicit teaching of skills is needed especially in the beginning of the acquisition of knowledge in a certain domain. As students gain knowledge, challenge becomes the catalyst for critical thinking, while independence and flexibility support the use of higher cognitive processes.

Ennis (1989) makes the same distinction as Hungerford and Kintsch when he speaks of the relationship between critical thinking and domain specificity. He states, "An experienced person can become in a way so well informed about and embedded in an area that he or she stops thinking, becoming inflexible and, for example, unable to conceive of and consider alternatives" (p. 6). He warns that subject-specific knowledge often consists of rote- memorization of fragmented facts and information is not understood deeply enough to enable processing at deep levels by the learner. Hence, both the structure and delivery of the content compromise the development of critical thinking abilities and dispositions.

Approaches to Teaching/Assessing

Ennis (1989) has classified the approaches to instruction in critical thinking into four types. These are the general, infusion, immersion and mixed approaches. General approaches have the primary purpose of teaching critical thinking skills and are not taught within a content area. General approaches to teaching critical thinking are those which might be taught as an add-on to a course in school. Infusion is deep, thoughtful subject matter instruction in which students are explicitly taught critical thinking skills and are given a content and context in which to use them. Immersion differs from the infusion approach, in that, while students are offered the same rich content and context, they are not explicitly taught critical thinking principles. The mixed approach, favored by Ennis, consists of a combination of the general approach with either the infusion or the immersion approach. In this approach, students are involved in subject-specific critical thinking instruction and are explicitly taught critical thinking principles. The main difference between the mixed and infusion approaches, according to Ennis (1989) is that

the mixed approach uses standard subject matter content and other content in combination. The infusion approach only uses standard subject matter content. There is need then, to broaden our understanding of students' development of critical thinking skills which use a mixed approach which explicitly teaches students to use critical thinking skills.

There is an abundance of theoretical support for integrating literacy skills with content areas, for using student driven inquiry approaches, and using a mixture of general and content specific teaching and assessment approaches. While the call to teach critical thinking is challenging and the knowledge about how to proceed appears to exist, there is a body of research evidence that indicates people find critical thinking both elusive and difficult. The next section describes some interesting social psychology research that is important to anyone who endeavors to teach critical thinking.

Enemies of Critical Thinking from Two Lines of Social Psychology Research

Nancy Douglas

Two lines of social psychology research indicate that critical thinking is neither natural nor easy. One is the notion of human credulity, or, to put it more plainly, human gullibility (Gilbert, 1993). The other is the human tendency to stubbornly resist new information (Nisbitt & Ross, 1980). Interestingly, these two seemingly opposite proclivities seem to operate in all of us at one time or another (Douglas, 2000).

Epistemologists have repeatedly surmised that humans have a tendency to believe

any idea which comes before them, unless they have good reason not to. Gilbert (1993) provides a theoretical explanation of human credulity based on the ideas of the 15th century philosopher Baruch Spinoza, who asserted that ideas are not inert substances, but belief-like states (Bennett, 1984; Gilbert, 1993). Spinoza argued that comprehension entails belief and that ideas are rejected secondarily, but only if one expends the necessary cognitive effort.

A growing line of research supports Gilbert's theory of belief. It seems that in absence of prior beliefs, people have a tendency to initially believe newly encountered information. Gilbert (1993) sought to determine if comprehension entails belief and belief-based decisions. In one experiment college students (71) read a pair of crime reports from a computer screen that contained both true and false information. The readers were told that false information would be colored red. One report contained false statements that intensified the severity of the crime and the other diminished the severity. Some of the readers were distracted by performing a digit-search task as they read the false statements. After reading the statements readers recommended the length of prison term for each criminal, rated the criminal on several related dimensions, and took a recognition memory test for some of the statements contained in the reports. The data revealed that the distracted readers' sentences for the criminals were nearly twice as long than the sentences given by the undistracted readers. The interrupted participants were unable to exert the cognitive effort required to reject the false information. Distraction caused them to act as though false information was true.

In a related experiment college students (161) read brief biographies of two hypothetical people, Bob and Jack. They then read descriptions of Bob and Jack

performing likable, dislikable, or neutral actions. Some readers were forced to read everything as fast as possible while others were allowed more time and asked to assess the truthfulness of the statements. The data revealed that the statements that were inconsistent with the biographical information influenced those who were forced to read fast, whereas those who had time to assess the truthfulness of the statements were not. The hurried readers did not have time to reject information that they would have rejected without time constraints. These and other similar experiments lead Gilbert to conclude that people are unable to comprehend assertions without initially believing them. The studies lend support to the notion that ideas are not simply candidates for beliefs, but are represented as beliefs. In other words people find it much easier to believe than to disbelieve in that it takes more psychic energy to refute an idea and less psychic energy to believe the idea.

If people have a tendency to believe things, as Gilbert and several philosophers have asserted, they will quickly acquire many beliefs. Obviously, people do not believe everything that they read, see, and hear. This is often due to the human tendency to resist changing acquired beliefs, a phenomenon referred to as “belief perseverance.” A vast amount of research in social and cognitive psychology indicates that beliefs are extremely resistant to change, and that when people have preexisting beliefs they reject refutational evidence and cling to their original beliefs (Anderson, Lepper, & Ross, 1980; Chambliss, 1994; Festinger, Riecken, & Schachter, 1956; Lord, Ross, & Lepper, 1979; Ross, Lepper, & Hubbard, 1975; Smith, 1982; Wegner, Coulton, & Wenzlaff, 1985). To study this researchers use a debriefing strategy. In a study by Anderson et al. college students (70) read fictitious information implying either a positive or a negative correlation between

risk taking behavior and success as a firefighter. Participants were told to discover the true relationship between success and risk taking and to write an explanation for it. Later the researchers debriefed half of the participants, telling them that the information they had received had been fabricated. Although the readers accepted the falsity of the data, debriefing had minimal effect on beliefs. Those who initially discovered a positive relationship between risk taking and fire fighting success continued to believe this, likewise those who had initially discovered a negative relationship persisted with this belief.

More recently, educational researchers conducted studies dealing with genuine beliefs participants hold before they engage (read) in an experiment. To explore whether persuasive text changes preexisting beliefs Garner and Alexander (cited in Chambliss, 1994) had 62 college students read an article on the extermination of the Pacific Northwest rain forest. The article blamed scientists, loggers, government officials, timber industry executives, and environmental activists. Using prereading and post reading tests, readers varied as to which participants they blamed. Most readers (71%) seemingly ignored the text, consistently choosing the same group regardless of the text content. Others (18%) appeared initially to accept all evidence as true; they chose groups according to the evidence they had just read. But they reverted to their original choice in the post reading task. Two weeks later they were tested and their recall of the information was poor.

In a similar study Garner and Chambliss (cited in Dole & Sinatra, 1994) gave readers a text presenting both sides of the effects of logging operations in the Pacific Northwest. Most readers did not change their beliefs, instead they became more certain

of their original positions. Readers seem to use initial beliefs as a filter for understanding what they read and this filter is used to reinforce what they already believe rather than examining and rethinking their position. When asked to support their position after reading, the participants used the same segments of text as evidence to support their very different positions. In other words the readers modified text arguments in order to support their positions even when the arguments were not written to support their positions.

If the belief perseverance evidence supports the view that humans are not rational, consider the alternative. If humans did not have a mechanism for holding onto beliefs they would be unable to cope with all of the detailed and conflicting information that bombards the brain every conscious instant. Neuroscientist V.S. Ramachandran has an interesting perspective on how the left and right hemisphere work together to help us cope with all of the detailed information the brain receives. If we didn't have a way to sift through the information and make some sense of it by fitting it into our preexisting belief system we would always be revising our worldview and the chaos would drive us mad. What Ramachandran suggests, in an admittedly oversimplified fashion, is that the left hemisphere works to preserve our existing schema by either ignoring new information that doesn't fit, or by distorting it and squeezing it to make it fit. Meanwhile, the right hemisphere's function "is to play 'Devil's Advocate,' to question the status quo and look for global inconsistencies" (Ramachandran & Blakeslee, 1998, p. 136). We deny the sweepstakes offer if our stable belief system says that the odds are so against us it is silly to play. On the other hand if our stable belief system is that we have a chance we fill out all the forms, return them, and wait for our prize. Either way, the left

hemisphere is at work keeping us consistent, and everyday we effortlessly either deny or accept new information and act in a way to remain stable. However, what if our stable belief system is challenged by new information that is difficult to deny or squeeze in to make it fit? When the new information reaches “a certain threshold, the right hemisphere decides it is time to force a complete revision of the entire model and start from scratch” (p. 136). For example, suppose we are predisposed against gambling, but new “inside” information is introduced that is very convincing. In this instance the right hemisphere can force a paradigm shift that leads us to alter our belief system and place our bet.

This social psychology research is important. Teachers need to know that when they try to teach critical thinking they are facing an uphill battle. What are some implications for teachers in the face of overwhelming evidence that says people find it much easier to believe than to disbelieve; and once beliefs are formed they are very difficult to change? One implication is that teachers need to show students how to expend effort to reject propositions and wait until ample evidence is gathered and multiple perspectives are considered. Another is that teachers need try to develop in students a willingness to reconsider one’s beliefs when they are discredited. Here is a how one researcher and a 7th grade teacher in Michigan tried to show students why they need to think critically (Douglas & Dobos, 2000).

The teacher and the researcher found two versions of history textbooks that presented noticeably different interpretations about a single issue, event, or person. They searched for old and new texts or different articles/editorials from magazines with two different ideologies. The differences were discernible enough so students’ could discover

them by themselves. They made enough copies so that about half of the students would read one version, half would read the other version.

Before they read and responded the class decided that people write to inform, to entertain, and to persuade. They brainstormed examples for each category:

<u>Inform</u>	<u>Entertain</u>	<u>Persuade</u>
texts	fiction	ads
dictionaries	television	bumper stickers
nonfiction	cartoons	magazines
web sites	movie scripts	editorials

Before the passages were read the teacher provided background information, vocabulary, and a purpose for reading with the question: Did America do the right thing by becoming involved in the Spanish American War? Students read, highlighted the selection, and wrote an answer to the question. Responses were discussed when students were asked to raise hands if they thought America did the right thing.

In one 7th grade class students who read the positive version said America was justified. The other students did not agree. A heated discussion took place and the two versions were considered. Students asked to read the other selection and they could see that the two texts were different. When asked to look back at why people write they could see that these textbooks could be placed under the persuade category.

In this classroom activity all students did not draw the same conclusion nor did this lesson teach critical thinking. It only pointed out that texts might not be neutral sources of objective truth and that one needs to take the time and spend the effort to consider if the text is trying to inform, persuade, or entertain. This type of learning

activity helps students to see for themselves that history books contain interpretations of history, along with the facts. Clearly, this is an important first step in helping students develop a disposition to think critically when they read textbooks.

In conclusion, there is evidence that people find it easier to be gullible and harder to be skeptical, and once beliefs are formed people find them hard to change. One implication of this is that teachers need to arrange lessons that energize students to challenge the text because critical reading demands extra effort to overcome the natural tendency to accept textbook information. In the next section classroom observations and teacher interviews describe some guidelines and activities that teachers use to get students to actively engage in critical thinking.

What Teachers Do To Promote Critical Thinking

Rick Erickson

While the social psychology and reading research clearly point out the difficulties people encounter when they are asked to read and think critically about text, teachers continue to seek ways to help students think and read critically. The following information is based on literature reviews, classroom observations of critical thinking lessons, and conversations with teachers about what they do in their classrooms to promote critical thinking.

Teachers say that one thing that helps them is to agree on what is involved with critical thinking so they all can be working together with their students. For example, one school district used Goals 2000 funds to support teacher workshops on teaching critical thinking. At the workshops teachers read about critical thinking and worked together to reach consensus on definitions and assumptions to guide their planning,

reflection, and teaching. Here is a definition that teachers in Carbondale Illinois District 95 (1997) prepared to guide their development of a handbook of critical thinking teaching lessons:

Critical thinking involves reflection and a conscious effort by a person who uses “reasonable, reflective thinking that is focused on deciding what to believe and do” (Norris & Ennis, 1989). Critical thinking is contextual, situational, usually complex and always tied to some social setting where decisions about purpose, value, and outcome or consequences is related to a specific problem, task, or concern.

Another way teachers promote critical thinking is to use highly engaging teaching activities. Classroom observations and interviews with teachers reveal the following collection of instructional elements. While all students do not always exhibit critical thinking, teachers report that the following guidelines increase the chances that students will respond with reasoning and insight, ask better questions, and give multiple explanations.

Challenge, Choices, Chums

Student motivation and engagement are enhanced and critical thinking is present when students are challenged but not overwhelmed by the learning tasks. Moderately difficult work is a basic requirement for critical thinking. When learning tasks are challenging students more readily see signs of progress and feel they have accomplished something. Critical thinking involves making independent decisions, so giving students choices and control over planning, organizing, and evaluating academic tasks helps them feel more committed and they put forth their best efforts. Social collaboration and

interacting with peers also increases the chance that students engage in critical thinking because they have to share, discuss, debate, and negotiate the content and format of products and reports they produce. Critical thinking makes high demands on attention, engagement, and overall psychic effort. The social context of making choices and meeting challenges with chums is an important facet of critical thinking lessons (Turner, 1997).

Direct Observation

Direct observation and first-hand experience often creates a context where learners easily ask questions, try to resolve discrepancies, seek more information, and try to decide what to believe, and what to do. A rule of thumb is to go from concrete encounters to abstracted processes of assessing, categorizing, reasoning. Some formats for this are List-Group-Label, K-W-L and Compare-Contrast. For example, students watched a video of a herd of a dozen-white tail deer stripping the ivy leaves from the trees in the teacher's back yard in the city. This direct observation of a local winter scene led to questions about why they were in the city instead of the surrounding forest and what other problems were created when wild animals move into communities to find food. This video and other information from direct student experiences with animals prompted students to ask many questions. The students concerns formed the basis for the teacher to conduct an environmental science inquiry unit called "Overlapping Habitats" (Erickson, 2000).

Fat Questions-Yes, Skinny Question-No

Skinny questions have simple answers that can be found in one source (Pappas, 2000). They are like the following: What do deer eat? How many deer car accidents

were reported last year? On the other hand, fat questions have multiple answers that may vary across sources: How do we prevent deer from damaging plants and shrubs? What is being done to prevent deer-car accidents? What other animals are visiting the city and what problems does this create? Fat questions require critical thinking because they have multiple answers. Teachers take plenty of class time to help students generate lists of fat questions that are the basis for research activities. One teacher said, “Without fat questions there is little chance for critical thinking.”

Self-generated Questions

Imposed questions are assigned to individuals by others. For example, the teacher says, “Go to the library and find information on how to control deer.” Or, “Based on this newspaper article can you infer what some peoples attitudes are about overlapping habitats?” Self-generated questions arise out of a person’s own circumstances. For example, the student says, “I don’t care about peoples’ attitudes and I am not interested in how deer are controlled, I want to know why there seem to be more deer now than in the past?” Self-generated and “fat” questions are needed because students will spend more time and energy seeking information from different sources when their own questions have multiple answers (Gross, 1997).

Public Production/Performance/Collaboration

When teams of peers organize information and “go public” with a report or a performance the chances of engaging students in critical thinking are enhanced. The challenge of producing a web page, creating a PowerPoint presentation, or presenting their own research to an authentic audience leads to decisions and choices that require

critical thinking. When students know they are “going public” with their information they are prompted to think harder because their choices have social consequences.

The picture that these guidelines suggest is that one context for promoting critical thinking is student-centered inquiry activities directed at issues and topics that students deem authentic. Students exhibit quasi and true critical thinking when they have ownership of topics, questions, and sources. And when they work with peers to report what they find they are prompted to think more critically about what they say, write, and do (Erickson, 2000).

Summary

The current flood of unconfirmed and often conflicting information makes critical thinking and critical reading a particularly timely and important educational issue. This paper examines educational theory that suggests that critical thinking is enhanced when we integrate content areas and literacy skills, and when we use inquiry approaches along with a mix of general and content specific teaching and assessment tactics. Next, research indicates that people find critical thinking difficult and only when extra psychic energy is used will people overcome the natural tendencies to either accept or resist new information. Last, instruction in critical thinking should promote (a) student control and ownership of topics and questions, (b) access to a variety of primary and secondary information sources, and (c) collaboration with peers in the acquisition and presentation of information.

Finally, we cannot leave this three-part discussion of critical thinking without acknowledging a fourth line of inquiry called “the New Literacy Studies” (Gee, 2000). From this perspective there is no such thing as one general literacy. Instead there are

multiple literacies or discourses that people use to negotiate their way through life, work, and play. From a new literacies perspective critical thinking is in itself a special kind of discourse that one acquires and uses in particular educational, social, cultural, and political contexts. From a new literacy studies perspective all literacies occur in social situations. Raising questions about the authenticity, believability, or intent of information always has the potential to both help us and hurt us. There are plenty of situations where we sense the need for critical thinking. But whether or not we raise a question, ask for clarification, or challenge the source, depends on the perceived social consequences of our actions. From a new literacies perspective concerns about how to teach students to think critically are skinny questions we have tried to answer in this paper. A fat question remains that still needs an answer. Will schools and teachers allow students to experience both the social benefits as well as the dangers of critical thinking?

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Literacy and the Affective Domain: Three Perspectives

Carolyn Panofsky, Marilyn Eanet, Ray Wolpow

Introduction to 3 Views from our Problems Court

Carolyn P. Panofsky

Current research and theory in literacy reflects a significant shift in focus over earlier accounts, away from a focus on behaviorist perspectives and, instead, to a focus on both cognitive and social dimensions of literacy. The three authors here represented heartily support this shift but wish to call attention to a still neglected dimension of literacy variously referred to as the affective domain or feeling or emotion. Whatever way this dimension is referred to, it remains an area of human experience that is marginalized by the traditions of research and theory within which education is framed. The marginalization—and perhaps even complete silence—of research and theory on issues of feeling, affect or emotion in literacy reflects a much larger avoidance in the dominant traditions of western science, including social science, of issues that apparently resist objective, empirical or quantifiable study. The consequence of this avoidance is that issues of feeling/emotion/affect can become invisible in both research and, importantly, practice. Each of the papers from our Problems Court session takes up the relation between literacy and feeling/emotion/affect in a different way, yet all of the papers are concerned with the significance of the invisibility of or silence on this dimension for real students in real settings of schooling.

In the first paper, “The emotion/cognition relationship and literacy education,” Marilyn Eanet argues that literacy educators need to incorporate knowledge of social-

emotional learning and development into literacy education. She reports that her attention to this issue developed in response to stories told by exemplary first-year teachers about their feelings of inadequacy in the face of their students' needs beyond the cognitive-academic realm, needs which stymied these new teachers' attempts to teach. Despite the teachers' self-perceptions, they had been nominated for a prestigious award for new teachers, so they were certainly seen as highly capable by educational experts. Eanet highlights research supporting the importance of emotion in teaching and learning from domains as diverse as the field of neuroimmunology and field-based studies of urban classrooms. Eanet's discussion offers a number of sources that will have immediate application for teacher educators.

In the second paper, "Canaries in the literacy learning coalmine: Lessons about the affective dimensions of literacy instruction culled from darkness," Ray Wolpow highlights a tendency of the educational system to focus on cognitive evaluation while neglecting children's affective needs. Wolpow offers the case of a traumatized student with reading difficulties and an overburdened teacher as illustration of his theme. The student, emotionally disabled to the point of being unable to focus on the assessment activity is ultimately removed from the reading class according to what can be viewed as the instrumental rationality that frames educational bureaucratic thinking: she is (mis)diagnosed in a way which renders her "out of bounds" for placement in the literacy program category and her case is seen as an inefficient use of limited resources for the already-too-full and wait-listed classes of the reading teacher. While some may find Wolpow's "holocaust analogy" farfetched, he is highlighting the way in which the instrumental rationality of institutional/bureaucratic dispassionate evaluative practice can

have profound potential for mis-recognizing those it seeks to evaluate. Indeed, important social theorists have identified related manifestations of instrumental rationality in bureaucratic settings to be responsible for seriously flawed diagnostic processes in mental institutions and even for the dehumanizing objectification that enabled the “final solution” as well (Bauman, 1989; Goffman, 1961). Wolpow proposes “the literacy of testimony and witness” as the missing ingredient in literacy practice that can address the realm of feeling and, thereby, provide a way of meeting the needs of the traumatized student.

In the third piece, “Literacy and feeling: Toward a new synthesis,” I develop a framework for understanding the absence of feeling/emotion/affect in Western educational thought and then apply this framework to teacher education and literacy requirements of programs. My discussion draws heavily on the work of feminist analyses of education, particularly Jane Roland Martin (1994). Martin shows that feeling and emotional development have long been assigned to the reproductive and private domain, and thus beyond the concerns of an education which seeks to prepare students for life and work in the public realm. My discussion illustrates the way that the cognitive trumps the affective in the process of teacher education by examining the case of a non-traditional teacher education student . The paper concludes by suggesting a revised scheme for conceptualizing education that would attempt an integration of currently separated dimensions of curriculum to unify the artificially separated realms of human experience.

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The Emotional/Cognitive Relationship and Literacy

Marilyn Eanet

I believe that human development is complex and interactive, and that it is not useful to separate physical, emotional, social, and intellectual growth. We are all whole people – cognition is entwined with affect, and my mind (and yours) is embedded in spiritual, cultural, and psychological being. (Ayers, 1993, p. 62.)

Although we may indeed be “whole people,” in fact, we in education have traditionally separated cognition and effect, and been very clear about which of the two is our primary concern and responsibility. In this paper, I explore my own musings about the consequences of this and share some resources that may be helpful to others who are struggling with similar question. Two questions have guided my exploration: 1) Do we as literacy teachers and literacy teacher educators give adequate attention to the affective realm in our programs and courses? 2) What are some resources that might help us begin to reconceptualize the emotion/cognition relationship in ways that have practical implications for teachers?

I started thinking more about the ways we deal with affective issues in teacher education programs a couple of years ago when I had the honor to be a judge in the Sallie

Mae First Year Teacher Awards. In this competition, outstanding first year teachers were nominated by their school districts to compete to be the First Year Teacher of the Year for their state. I read about a hundred entries from four states representing different regions of the country and including districts of all varieties – rich, poor; small, large; rural to urban. As part of the application, the candidates were asked to write about what had been most surprising about their first year of teaching. Almost without exception, these outstanding first year teachers talked about how surprised they were at how needy their students were in areas outside the traditional cognitive, academic realm of knowledge and skill development. They found themselves having to deal with social and emotional issues rarely addressed in teacher education programs; they often found themselves stymied in doing what they felt they could do well for lack of ability to deal with a fuller range of students' needs.

Considering these observations, along with recent concerns about school violence, with data indicating that 20 percent of all children ages 9 – 17 have diagnosable mental health disorders (Counseling Today, November 2000), and with multiple reports of anecdotal evidence from caring teachers who are frustrated in their work with children and youth, I began to reassess my beliefs about the “essentials” in literacy education. I wondered about ways my content and conduct in preservice and graduate literacy classes might be affecting my students' abilities to deal with the kind of issues identified by the First Year Teacher candidates. Certainly, reading education literature contains some writing focused on affective concerns. For example, Strang (1969) combined her extensive knowledge of both literacy and guidance to provide an unusually balanced perspective given the state of knowledge in her time. Gentile and McMillan (1987) wrote

about the effects of stress on remedial readers in a way that was well-informed, thoughtful, and practitioner-oriented. Still, these and other examples I examined didn't seem to address my larger concerns. Perhaps, I thought, one reason we in literacy education struggle so to meet expectations and standards is that we have not paid adequate attention to the role of the affective in learning and to the social-emotional needs of all students. Perhaps it was time to reframe the cognitive and affective connection.

There is a long and honorable tradition in Western education of separating emotion and cognition and of valuing the rational and the cognitive as the core and essence of the educational process (Panofsky, 2001). However, there have been number of developments in the late 20th century that have the potential for helping to construct a more holistic view of human learning. While a detailed account of each is far beyond the scope of this paper, let us briefly consider a few of the strands that might contribute to an integration of the cognitive and the affective in the life of schools.

Integrative Strands

Both cognitive and developmental psychologists are now taking into account the essential role of emotion in all human activity. One approach that I have found particularly helpful is the work of psychologist Robert Kegan who draws upon constructivism, developmentalism, and object-relations theory to provide a developmental model that incorporates emotion and cognition. He points out that composing meaning is both central and essential to being human: "...it is not that a person makes meaning, as much as that the activity of being a person is the activity of meaning-making.... The most fundamental thing we do with what happens to us is

organize it. We literally make sense.” (Kegan, 1982, p. 11.) What happens to us, i.e., our experience, always has both cognitive and emotional dimensions, and therefore, it follows that our most basic activity, meaning making, also always has both dimensions. Besides building on the work of Piaget, Perry, Kohlberg and others in articulating his most provocative and useful theory, Kegan must also be credited with wrestling with the issues of the effect of culture and gender on what is frequently called “ways of knowing” or styles of meaning making (Kegan, 1994.)

Two other areas of study that have potential for giving both support and substance to rebalancing the attention given to emotion and cognition in schooling are psychoneuroimmunology and neuropsychology. In the first area, consider the work of Candice Pert and her associates in advancing knowledge of the role of the neuropeptides and their receptors in body and brain. In discovering that the limbic system, strongly implicated in the experiencing and expressing of emotion, is also the part of the brain most rich in peptides and receptors, these researchers may well have taken an important step in uncovering the biochemical substrata of emotion (Pert, 1997).

Complementing this research is that reported by neuropsychologist Antonio R. Damasio (1994). Damasio supports the hypotheses that feelings have a powerful influence on reason, that the brain systems required for feeling are enmeshed with those needed for reason, and that both together are closely interwoven with the systems that regulate the body. While cautioning that this information about emotion should not in any way suggest that reason is less important than feelings, he does state that the research suggests that: “the strengthening of rationality probably requires that great consideration be given to the vulnerability of the world within.” (Damasio, 1994, p. 247.)

While considering possible implications of such research, it is important to make clear that clinical and laboratory studies of this kind do not inform us directly about appropriate educational practices. This is a point that even most of those who have helped popularize the idea of “brain-based” education have acknowledged (Jensen, 1998).

Emotional Intelligence: A Synthesis

Daniel Goleman , in Emotional Intelligence: Why It can Matter More Than IQ (1995), synthesizes research such as that cited above with behavioral research to make a strong case for the development of what he terms “emotional literacy.” He summarizes the significance of emotions in this way:

To the degree that our emotions get in the way of or enhance our ability to think and plan, to pursue training for a distant goal, to solve problems, and the like, they define the limits of our capacity to use our innate mental abilities, and so determine how we do in life. And to the degree to which we are motivated by feelings of enthusiasm and pleasure in what we do –or even by an optimal degree of anxiety—they propel us to accomplishment. It is in this sense that emotional intelligence is a master aptitude, a capacity that profoundly affects all other abilities, either facilitating or interfering with them (Goleman, 1995, p. 80.)

Goleman’s definition of emotional intelligence includes five basic emotional and social competencies: self-awareness; self-regulation of emotion; motivation, self-monitoring, and performance; empathy and perspective-taking; and social skills in

handling relationships (Goleman, 1995.) The inclusions of self-regulation and self-monitoring suggest a relationship between some aspects of emotional intelligence and the constructs of metacognition and metacomprehension in literacy.

Much of the increasing interest in educational circles for an approach that includes appropriate attention to social and emotional issues is partially the result of multiple calls upon schools to resolve complex social problems related to values, safety, health, and violence. Goleman calls many of the campaigns designed to resolve some of these problems, such as “the war on drugs” or “the war on teen pregnancy,” mere crisis intervention.

In an effort to encourage a more comprehensive and proactive approach, Goleman has co-founded, along with Eileen Rockefeller Growald, The Collaborative to Advance Social and Emotional Learning (CASEL) currently located at the Department of Psychology at the University of Illinois at Chicago. Social and Emotional Learning (SEL) serves as a unifying concept for various school-based prevention programs. Its stated purpose is “to encourage and support the creation of safe, caring learning environments that build social, cognitive, and emotional skills.” (Elias, M.J., Zins, J.E., Weissberg, R.P., Frey, K.S., Greenberg, M.T., Haynes, N.M., Kessler, R., Schwab-Stone, M.E., & Shriver, P. 1997, p. viii.) Among its projects are synthesizing literature relating SEL to physical health, academic outcomes, and educational outcomes; reviewing SEL programs, and educator preparation and resource development. While supportive of all effective SEL programs, CASEL is equally interested in the integration of social-emotional learning within the regular curriculum.

Although CASEL represents the major, coordinated effort in the area, there are many other programs and/or resources incorporating social and emotional learning that may be useful to literacy teachers and teacher educators. Among those I find most valuable are William W. Purkey's work on Invitational Education (Purkey & Novak, 1996) and William Glasser's work on Quality Schools (Glasser, 1990). In *Mindful Learning: Teaching Self-Discipline and Academic Achievement* (1997), David B. Strahan draws upon the work of Goleman, Purkey, Glasser, and other to explore strategies that successful teachers use to integrate caring for students as people with increasing their mastery of content. Another outstanding approach is that of the Responsive Classroom which was developed at the Northeast Foundation for Children. Ruth Sidney Charney's *Teaching Children to Care: Management in the Responsive Classroom* (1991) is a well-written and very effective tool which colleagues and I have used in student teaching seminars.

A recent book synthesizing the work of national team of teacher researchers addressing literacy in multicultural classrooms (Freedman, Simons, Kalnin, Casareno, and The M-CLASS Teams, 1999) exemplifies the importance and applicability of social/emotional concerns in the literacy classroom. Both the individual studies and the research conclusions make it clear that caring, connecting, establishing trust and using literacy to gain perspective on painful and explosive issues are powerful components of achieving both student empowerment and high academic standards.

Closing Reflections

In attempting to reframe my understanding of the affective/cognitive connection and its relationship to literacy teaching, I have been struck by both the challenge and the opportunity our field provides to contribute to emotional literacy as we develop and support the more traditional literacies. Certainly, one major tool we have is the body of fine literature for children, youth, and adults that allows us opportunities to explore social/emotional in our classrooms issues at all levels – kindergarten through graduate school.

Yet, while “bibliotherapeutic” exploration may be helpful, it is not sufficient. As teacher educators, we need to find ways to equip teachers with greater knowledge and practical skills for dealing with social and emotional needs and encouraging social and emotional development -- for themselves, as well as their students. As Wolpov demonstrates in his case study (Wolpov, 2001), even well-intentioned and highly competent teachers can be limited in their ability to work appropriately with especially needy students.

In my own teaching, I am working to incorporate what I am learning about this topic in several ways. First, I am including related content and resources whenever appropriate, especially when addressing topics such as motivation and classroom organization and management. Secondly, I am striving to being more self-aware in order to increase the likelihood that I am modeling what I hope to teach about respect, empathy, and compassion. Also, when I struggle with issues such as equal opportunity versus standard keeping, I am more likely to share my thoughts with students than to hold them silently as the teacher’s prerogative.

I am convinced that most reading teachers and reading educators care deeply about their students' learning and general well-being; emerging theory and research about the emotion/cognitive connection have the potential to provide us with better ways to actualize that concern. I believe that we as literacy educators have a responsibility to find ways to incorporate this knowledge into our content and practice.

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Canaries in the Literacy Learning Coalmine: Lessons About the Affective Dimensions of Literacy Instruction Culled From The Darkness

Ray Wolpow

A Story from the Darkness

On April 11, 1945, American troops liberated the concentration camp at Buchenwald. Their war-toughened faces were transfixed by what they saw: thousands of starving, skeletal men crowded together into barracks fitted with wooden bunk beds stacked three or four on top of each other. Several people had to fit per level on plank beds that had neither mattresses nor blankets. Lice were everywhere and contributed to the spread of disease. The slightest of breath and shelter separating the prisoners from piles of skeletons stacked outside (United States Holocaust Memorial Museum, 1994, p.115). The soldiers went from barrack to barrack until they reached Barrack 66. Here they discovered hundreds of boys, aged eight to twenty, with deep-set eyes and faces resembling those of elderly men. The commander of the American troops, feeling totally befuddled, sent a cable to the OSE (Oeuvre de Secours aux Enfants, a society devoted to providing help to children), “Have found a thousand Jewish children in Buchenwald. Take immediate measures to evacuate them” (Hemmendinger & Krell, 2000, p. 21).

Two months later, June of 1945, 426 of these children arrived in France. The children were barely distinguishable from each other, their heads shaven, their stares blank, and their bodies emaciated. A team of physicians, psychologists, teachers, and social workers, employed by international child relief agencies, examined the children.

Assumptions were made, allegations whispered, and theories expounded. Some of the mental health workers considered these children psychopaths, assuming that they had survived by developing personalities that were selfish, manipulative and mean-spirited. For the most part, these children, ravaged in the developmental years, were viewed as “damaged beyond hope of repair, of recovery of normalcy” (Hemmendinger & Krell, 2000, p. 8).

History has shown the predications of these well trained and well-meaning professionals were wrong, dramatically so. Yes, a few of the orphans required hospitalization or committed suicide, however, the majority of this group became devoted husbands and fathers. What is more, this group of 426 children produced distinguished rabbis, scholars, physicists, physicians, businessmen, artists and a Nobel Prize winning author.

How did these children, bereft of family and home, security, nourishment, identity, and self-worth, learn to voice the void, to speak the unspeakable? How did they transform mistrust and suspiciousness of authority to integrity and faith in community? How did they turn grief, bereavement and rage to love, compassion and hope?

An Analogue

The experiences of the children liberated from concentration camps, and the experiences of the professionals who, with the best of intentions worked with them after

liberation, are unique. (Perhaps unique is too strong a word given the more recent trauma experienced by children in Rwanda and Kosovo.) Nonetheless, it is the thesis of this paper that the experiences of the survivors of Buchenwald can provide an important analogue for thinking about traumatized children who attend 21st century schools as well as the challenges faced by those entrusted to work with them.

Literature from teachers who are survivors of such trauma substantiates this assertion. For example, these words from Noemi Ban (1996), a survivor of the camps, who went on to become an award-winning teacher:

It is [not] a stretch to compare the traumatic reasons a student might fail in school to the traumatic affect of those who survived the Holocaust. Those of us who are survivors understand...what it is like to not be able to concentrate because we are hurting so much. We understand what it is like to be ashamed to admit that we have experienced “hell” on earth.... That is why it is not a stretch to say that young people today, who are dealing with the trauma of abuse, violence, homophobia, bigotry, and hate are experiencing the same type of hurt as those of us who survived the Holocaust. (pp. 97-99)

Mrs. Ban’s “understanding” is supported by trauma treatment specialists such as psychiatrist Herman (1997) who speaks of the commonalities "...between rape survivors and combat veterans, between battered women and political prisoners, between the survivors of vast concentration camps created by tyrants who rule nations and the

survivors of small, hidden concentration camps created by tyrants who rule their homes" (p. 3).

Traumatic Affect Interferes with Learning in American Classrooms

Professional literature documents the multitudes of American school children whose learning has been negatively affected by trauma (Browne & Finkelhorn, 1986; Courtois, 1994; Gardner, 1971; Pynoos & Nader, 1990; Terr, 1990; van der Kolk, Perry & Herman, 1991; Simmers-Wolpow, 1995). Many of these children, survivors of physical, emotional or sexual abuse, pervasive familial or community violence or drug abuse, the horrors of bigotry, misogyny, rape or homelessness are spending their formative years bereft of the nurturing homes, families, and thus the emotional and physical security necessary to establish the affect necessary for learning.

Despite the prevalence of traumatic affect among students in America's schools there is little in the professional literature to guide teacher preparation. A search of the Educational Resources Information Database (E.R.I.C) and Dissertations Abstracts International keying in "literacy" and "trauma" would find but a handful of (Simmers-Wolpow, 1995, p. 17).

Given the above, this paper has two endeavors: First it will examine similarities between the realities faced by a) the children of Buchenwald and the professionals who diagnosed and predicted their potentialities, and b) current day American children victimized by atrocity and the struggles of literacy diagnosticians and practitioners entrusted to serve their needs. The need for increased preparation and support in dealing with the affective issues that directly effect literacy skill diagnosis and learning will be highlighted.

Second, this paper will elaborate on the affective literacy skills needed to “read” the literature Holocaust survivors invented: the literature of testimony. This paper will attempt to articulate the affective literacy skills of testimony and witness.

An Etiology of Mis-Diagnoses by Well-Meaning Professionals

In order to recover from atrocities, children who are victims of prolonged and pervasive mistreatment need to attach words to their "unspeakable" memories and effectively communicate them to an appropriate, empathetic audience. In so doing they take steps toward restoring integrity, connectedness and community in a world they accurately perceive as fraught with untrustworthy, hurtful adults (Herman, 1997). How is it then possible that well-meaning and sensitive professionals, knowledgeably trained in psychopathology and the art of “talk therapy,” missed so dramatically in their predicative diagnosis for the majority of the children from Buchenwald?

Simply stated, misdiagnosis arises from the clinicians’ inability to listen with courage, empathy and integrity. These inability are often rooted in clinicians’ personal biases and/or unresolved personal issues. Clinicians aware of this personal deficit would be wise to excuse themselves from working with such a suffering child. Often, due to resource constraints, recusal is not an option.

The practitioner, however, is not always aware that she or he is unable to listen. As one might imagine, finding words to describe that which is beyond imagination is time consuming and arduous. Such struggles are usually accompanied by outbursts of tearful, angry or violent behaviors. The process requires careful listening in a supportive trusting environment. Hence, witnessing the child’s struggle may be emotionally undesirable for the clinician. Kluft (1990) describes this as a "...clinical situation in which

the payoff for denial on the part of the clinician may equal or exceed the payoff for denial on the part of the victim” (p.32). When the clinician attributes his or her inability to intervene positively on behalf of the child, to the fault of the child’s alleged pathology itself, misdiagnosis, as was the case in Buchenwald, is inevitable.

A parallel and often interwoven aspect of a clinician’s unconscious inability to listen may be labeled listener incredulity. Psychiatrist Goodwin (1985) expands upon the cause of this error in clinical terms: “... incredulity is an effective way to gain distances from terrifying realities. Thus, [professionals] can be counted upon to routinely disbelieve ... accounts that are simply too horrible to be accepted without threatening their emotional homeostasis” (p.7-8).

Maintaining perspective is of great importance. Let us remember that those who worked with the children from Buchenwald were unprepared for what they would encounter.

Incredulity and Misdiagnoses in the Literacy Classroom

The following case study is chosen because it illustrates how literacy professionals, lacking preparation and support in recognition of affective issues, can make errors not unlike those made by the well-meaning professionals who worked with the children from Buchenwald. It is not intended to represent common practice. It is nonetheless, a true story.

Laverne (a pseudonym), 16, is a child about to have a child. She got drunk at a party and doesn’t know the father. She has never known her dad, but she has known a series of her mother’s boyfriends. Her mom, a late stage alcoholic with an “anger-control” problem, “threw a fit” and gave her a one-way bus ticket to the town in which

her older sister lives. Her sister, not married, has two children. Laverne has seen them abused, physically and emotionally. Laverne earns her rent by caring for the children after school while her sister works swing shift. On weekends, Laverne works dayshift at McDonalds. On these days she often comes home to find her nieces home alone, sitting in their pajamas on the floor amongst broken beer bottles, feeding themselves Cocoa Puffs.

Laverne is not passing any of her classes. Her reading teacher, Mr. Swift (also a pseudonym), earned his masters degree in literacy from a local university. He is known for getting results. The average student enrolled in his class makes significant yearly jumps in their reading scores. Swift, acting in concordance with his training, administers a diagnostic battery of tests to each student upon enrollment in his class. When Swift attempted to administer this battery to Laverne, she tuned out. Swift reported that she was incapable of focusing on small details. The next day Smith persisted hoping this would help her stay on task. Laverne “flew off the handle.” This routine lasted for a week after which Swift requested that Laverne be removed from his class. Swift complains that “Laverne is the worst case of ADHD I have seen in years.” When approached by the school counselor, Swift responds, “I have 4 reading classes, 20-25 students per class. They all have learning needs and there is a waiting list of others who can benefit from this program. They all have problems. I have neither the time or the wherewithal to listen to them.” Seeing the frown on the face of the counselor Swift retorts, “I had problems as a child and I overcame them. If Laverne wants to continue in this class, she can come in after school and complete the required reading test.”

Swift is well trained in literacy diagnosis and remediation. And yes, Swift is overburdened. However, it appears that Swift has had minimal preparation in dealing with the affective issues that effect diagnosis. For example,. Swift's is placing a heavy emphasis on diagnostic pre-tests. The International Reading Association and the National Council of Teachers of English provide standards for assessment in reading and writing (IRA/NCTE, 1994). These include the following:

- The interests of the student are paramount in assessment....Assessment must serve, not harm, each and every student...(pp. 13-14)
- The consequences of an assessment procedure are the first, and most important, consideration in establishing the validity of the assessment. (p. 25)

Nearly all survivors of pervasive and prolonged mistreatment have a history of malevolent control by perpetrating adults (Herman, 1997). Students like Laverne, with a history of classroom failure and subsequent humiliation by peers, may perceive normal diagnostic pre-testing procedures as psychologically invasive. (Is it that Laverne cannot complete the test, or is it that the testing situation increases the manifestations of Laverne's symptoms?) Unless Swift is willing to invalidate the test results, he should postpone all pre-testing until he is certain that the consequences of this assessment serves, not harms, his student.

However, whether by reason of denial or incredulity, Swift chooses to limit enrollment to those students who will benefit from a program almost solely addressing the cognitive learning needs of students. Swift is correct, Laverne does find it difficult to focus, is easily distracted, and has trouble modulating responses. Are not Laverne's symptoms appropriate to her reality? Is not the well-meaning, trained response of Mr.

Swift, looking to see what is organically and/or behaviorally wrong with Laverne, inappropriate to his reality as a teacher of reading? Is Laverne's inability to play chess (diagnostic test) in the hurricane of her life grounds for her disqualification from literacy instruction? Laverne, like an expired canary, has been removed from the literacy-learning coalmine. Yet Swift continues his labors as if her removal is not an indicator of deficiencies of essential ingredients necessary to support life-long learning.

Once again, this true case study is not intended to represent common practice. It does, however, illustrate how literacy professionals, lacking preparation and support in recognition of affective issues, can make unintended errors. Several things are missing from Mr. Swift's practice. One of the missing elements is a working knowledge of the literacy of testimony and witness.

The Literacy of Testimony and Witness

Mr. Swift knew little about Laverne's situation. Was she to try to find the words to describe her living situation, could she? If she did, could Swift understand these words? Could we?

One of the 426 children ravaged in his developmental years, "damaged beyond hope and repair" at Buchenwald is Nobel laureate scholar and writer, Elie Wiesel. It was Wiesel (1977) who first described a new genre of literature: "If the Greeks invented tragedy, the Romans the epistle, and the Renaissance the sonnet, our generation invented a new literature, that of testimony"(p.19).

Reading and writing testimony requires the affective literacy skills of receiving, responding and valuing. Survivors who read and write the affective text of their lives enable themselves to manifest, in words and silences, pathological memories and

somatically buried horror not yet contextualized into current awareness. Dori Laub, a skilled listener of Holocaust survivor testimony, was among the first to describe the process by which a sufferer of violence and trauma gives "testimony" to an attentive listener who "bears witness" to the telling. The listener participates in the personal process of bearing witness by consciously apprehending and responding to words and silences and the meaning they attempt to encompass. When the survivor can "hear the listener witnessing" reconnection occurs (receiving and responding). Through this process a new common knowledge is created, a knowledge that allows teller and listener to restore an understanding of their world (valuing). This mutual understanding might be represented as a new story, what Laub calls knowledge *de novo*... (in Felman & Laub, 1992, p. 57). This notion of engaging in the process of the co-creation of "knowledge *de novo*" is literally at the heart of the process. Within this process is the healing agency of the new story.

Binocularity and Healing: The Place Where the Sufferer and the Listener Meet

For those less accustomed to operating within the affective domain, an analogy from the study of monocular and binocular vision may be helpful. In the case of monocular vision, the observer who views a moving object with only one eye is provided with a clear image. This image, however, lacks depth and can thus lead to errors in perception. With binocular vision, the observer viewing a moving object with both eyes acquires depth; however, she may also acquire substantial perceptual distortion. Boundary problems, manifested by the blurring caused by the overlapping of two distinctly different singular visions, require the brain to locate images in the contexts of time, place and belief.

By analogy, binocular understanding, the overlapping of two distinctly different perceptions of the meaning of symbolic language, may likewise blur the boundaries between "self" and "other," "sufferer" and "listener," and "student" and "teacher." In the negotiation between the picture provided by the sufferer and the picture provided by the listener lies the potential healing agency of telling (writing or speaking) and listening (reading or witnessing). Giving testimony (telling) and bearing witness (listening) require an embrace or melding with the "other" that changes both irrevocably.

Conclusion

During 1995, at the height of the Bosnian Crisis, Elie Wiesel traveled to the barbed-wired gates of camps where victims of ethnic cleansing were being tended to by U.N. troops. Here he met a barrage of reporters who demanded to know the purpose of his trip. He had not come to compare these events to the Holocaust. He had not come to influence American public sentiment. He did not come to proclaim that some 50 years after his liberation from Buchenwald, history was repeating itself. Wiesel came to listen, to bear witness.

Tomorrow a new student may enter a reading lab and act in ways that indicate she is not prepared to succeed in that class. She may not be ready to complete a diagnostic battery. She may exhibit behaviors that are objectionable; in fact, they might interfere with the class' normal operation. Although the literacy of testimony and witness is outside the paradigm of diagnostic/prescriptive instruction and although it may be painful to work with students like Laverne, who suffer from severe mistreatment, their pain, unattended, is our pain too. Like Wiesel, sometimes we have to come to listen. Choosing not to do so is analogous to ignoring asphyxiated canaries in the literacy learning

coalmines. If we, heirs to the universe of the Holocaust, wish to restore the humane in humanity, literacy must also testify and bear witness.

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Literacy and Feeling: Toward a New Synthesis

Carolyn P. Panofsky

In the last several decades, there have been significant shifts in educational thinking, particularly in literacy theory. Behaviorism has been largely superseded by cognitivist and, to lesser degree, social perspectives. A parallel shift in educational philosophy and moral education has seen the rise of feminist perspectives and the development of an ethic of care. For some, the ethic of care entails a critique of education for the neglect of feeling, emotion, and the affective domain. These two changes in

education, however--to the cognitive (and to some extent the social) in reading pedagogy, to the affective in philosophy and moral education--have had little contact.

Yet in myriad ways, literacy is profoundly linked with feeling, emotion, the affective domain. In this discussion, I will use the feminist analyses to view literacy in a new light and I will argue that the neglect of feeling in education generally and in literacy specifically carries significant costs to both individuals and institutions. With some others (e.g., Fox, 1999; Stuckey, 1991) I suggest that literacy has the potential to deny the very humanity that it is claimed to promote. After sketching a framework, and drawing on stories of learners presented by others, I present material about an adult learner from my own work in teacher education.

Part I: A new focus for thinking about literacy

The analysis of education presented by educational philosopher Jane Roland Martin (1994) is useful for introducing the feminist perspective. Martin invokes a fundamental distinction between the productive and the reproductive processes of society and asserts that historical and philosophical discussions of education have defined “the educational realm in relation to society’s productive processes only” (p. 204). The concept of the “productive processes” includes political, social, and cultural activities, as well as economic ones--and these are processes of the public domain. On the other hand, “reproductive processes”--representing human activities not included in the productive processes--refers not only to biological reproduction of the species, but also to the rearing of children to maturity, the related activities of “keeping house” and “managing a household,” as well as serving the range of needs, including care of the sick, and purposes of family members as they arise, often unplanned--and these are processes of

the private domain. Martin puts particular emphasis on the correspondences of production/public domain and reproduction/private domain, “for in our society reproductive processes are for the most part carried on in the private world of the home and domesticity, and productive processes in the public world of politics and work” (p. 204). As much as John Dewey, for example, regretted that liberal and vocational education are organized as opposite forms of curricula, representing a separation of head and hand, mind and body, Martin points out that both are, nonetheless, designed to prepare students to carry on productive, not reproductive, societal processes.

Martin uses the educational autobiography of Richard Rodriguez (1982), Hunger of memory, to expose the costs of the educational separation of productive and reproductive processes. On the surface, the autobiographical story of a Spanish-speaking Mexican child who wins a scholarship to Stanford and goes on to earn a Ph.D. in English literature is a classic American success story.

But in Martin’s reading, Rodriguez’ educational success story “is notable primarily as a narrative of loss” (p. 201). In becoming an educated person,

Rodriguez tells a story of alienation: from his parents, for whom he soon has no names [when teachers convince his parents to forego their native Spanish even at home]; from the Spanish language, in which he loses his childhood fluency; from his Mexican roots, in which he shows no interest; from his own feelings and emotions, which all but disappear as he learns to control them; from his body itself, as he discovers when he takes a construction job after his senior year in college” (p. 201).

In Martin's view, while not every American has Rodriguez' good fortune of "being born into a loving home filled with the warm sounds of intimacy"--sounds that ceased when English replaced Spanish --nonetheless, "the separation and distance he ultimately experienced are not unique to him. On the contrary, they represent the natural endpoint of the educational journey he took" (p. 201).

Martin suggests that "It is not surprising that Rodriguez acquires habits of quiet reflection rather than noisy activity, reasoned deliberation rather than spontaneous reaction, dispassionate inquiry rather than emotional response, abstract analytic theorizing rather than concrete storytelling" (p. 202, emphasis added). These tendencies, she points out, "are integral to the ideal of the educated person that has come down to us from Plato" (p. 202). Martin concludes that, "Only in light of the fact that education turns its back on the reproductive processes of society and the private world of the home can Rodriguez's story of alienation be understood" (p. 205).

Martin links Rodriguez' experience of education as a process of alienation--from family, from ethnic background, from a sense of community--to a set of ideals dominant in western education since the time of Plato. As other feminist analyses have found significant "binaries" in Western thought, so too Martin finds binaries or splits in educational thought. In Platonic ideals, Martin finds profound separations corresponding to the separation of productive and reproductive processes. Martin's analysis can be organized into a set of divisions in Western educational ideals which I present as Figure 1, with the left term of each pair dominant:

Figure 1. Martin's binaries derived from Plato

reason	v.	emotion
thought	v.	action
mind	v.	body
head	v.	hand
self	v.	other
education	v.	life

The dominant ideals represented in Figure 1 were set forth by Plato in The Republic, as Martin writes:

[Plato's] worthies are to acquire through their education a wide range of theoretical knowledge, highly developed powers of reasoning, and the qualities of objectivity and emotional distance.... an education of heads, not hands....

Moreover, considering the passions to be unruly and untrustworthy, Plato held up for the guardians an ideal of self-discipline and self-government in which reason keeps feeling and emotion under tight control. [An ideal of] "inner" harmony at the expense of "outward" connection.... to confirm in them a sense of self in isolation from others. (1994, p. 202)

The separations between the productive and reproductive processes, the public and private realms, and within the productive realm, can be linked with the dominant and subordinate ideas, as I have illustrated in [Figure 2](#).

Martin argues that the separations--generally uninspected, taken for granted--between reason and emotion and self and other, as well as between liberal and vocational education, need not be continued and that reproductive processes can be brought into the educational realm. It is increasingly apparent that society does an imperfect job of preparing the next generation for the whole of family living as well as the specifics of parenthood--of both fathers and mothers. Both sexes have much to learn to carry on the reproductive processes of society, just as both sexes need to be educated for carrying on the productive processes. Yet it is in the public domain of the school that we see these separations taking place, although there is little evidence that the private sphere has been tremendously successful at redressing the separations, as evidenced in social facts such as rising incidence of family violence and child abuse (forms of violence that have consequences in the public domain).

Feminists have long argued that traits and qualities traditionally associated with the reproductive processes have value for society and humanity as well as for individuals and families (e.g., Dinnerstein, 1976). Martin quotes from Jonathan Schell (1982), author of The fate of the earth: "The nuclear peril makes all of us, whether we happen to have children of our own or not, the parents of all future generations." Schell suggests that the will needed to save the human species is a form of love resembling "the generative love of parents." The capacity to which Schell refers is for nurturance and the "ethic of care." Whether the challenge is the nuclear threat which was more salient in the 1980s or the varied forms of environmental degradation more in the foreground today, the qualities associated with the reproductive processes of society have the broadest moral, social and political significance. Martin concludes, then, that, "Care, concern, connectedness,

nurturance are as important for carrying on society's economic, political, and social processes as its reproductive ones. If education is to help us acquire them, it must be redefined" (p. 206).

I began this discussion by pointing to the cognitivist emphasis (some might even say 'bias') in literacy education and the neglect of feeling, emotion, the "affective domain." An example of how literacy teaching, in this case Reading, tends to an exclusive cognitive focus--and even a shunning of feeling and the affective--is presented in this collection by Ray Wolpow. Wolpow (2001) tells the story of "Laverne," an at-risk reader who is excluded from a remedial reading class after she tunes out during the diagnostic test. The reading teacher excludes Laverne from his class on the grounds that he has too many students to deal with, others on a waiting list, and says he cannot take the time to get to know a traumatized student so that he can evaluate her reading. Martin's analysis shows that the traditional view of reason prescribes an "objective standard" be used in such diagnosis, implying in turn a "universal application": everyone is to be treated the same. Reflecting the orientation (of his own education) toward self, rather than other, the reading teacher feels justified in saying, "I'm a teacher, not a social worker." And, besides, Wolpow tells us, this teacher is known for "getting results."

Wolpow (2001) offers the story of the reading student as emblematic of a "canary in the mine" for literacy learning. I see the reading teacher as evidence of the need for an ethic of care in the education of the teacher, as well. Neglect of the reproductive processes constructs both a diminished understanding and experience of texts as well as a diminished commitment to the learner.

Perhaps, however, Wolpow's reading teacher is merely the product of a poor preparation program. His reputation "for getting results" suggests otherwise. The analysis of Jane Roland Martin implies that such questions are not answered by looking at any specific program but at the larger framework in which all teacher preparation programs are situated, a framework so broad it is effectively beyond our peripheral vision, out of view. Wolpow's teacher is not an exception; rather, he is the "successful" teacher that all programs aim to produce.

Part II: The "absent presence" in teacher preparation

Shifting focus away from the habitual attention on the academic and cognitive, to consider the division between productive and reproductive processes, helps to make some important observations about the conventional ways of doing education. J. R. Martin's analysis yields a set of divisions in Western educational ideals, with the emphases suggested earlier: reason over emotion, thought over action, mind over body, head over hand, self over other, education over life.

The resulting splits support conceptualizations of education on multiple levels, with broad implications. Ray Wolpow's story illustrates that teacher education may produce model teachers who are content, even aggressively so, to not know their students. However, Marilyn Eanet (2001) shows that there are many sources to which the interested teacher educator may turn for new knowledge to address these implications.

Perhaps it is not so surprising, though, that teachers may feel justified in ignoring the affective dimension. Post-graduate trained academics including teacher educators, long schooled in a tradition structured by such values, are expected to value:

- *Dispassionate inquiry* (rather than emotional response);

- *Reasoned deliberation* (rather than spontaneous reaction);
- *Abstract analytic theorizing* (rather than concrete storytelling).

Recall that Rodriguez' assimilation of the Platonic virtues of objectivity and emotional distance represent the quintessential academic achievement, but that his journey is one of alienation from home, family, and community.

The same qualities of objectivity and emotional distance are ones teacher educators are expected to embrace as we, too, go about the process of selection, admission and certification of aspiring future teachers. We expect students to pass a dispassionate objective measure of literacy such as the Pre-Professional Skills Test, and later a more rigorous measure of professional preparation, perhaps imposed by state licensure. True, the admissions process asks for other information in which passion may be valued, such as a commitment essay, information about prior experiences, and teacher recommendations. Nevertheless, it is not surprising that the objective and dispassionate measure has the power to trump all the rest. Pass the PPST or the gate to the preparation program remains closed. At the end of the process, pass the teacher test or be denied certification and access to employment.

Jane Roland Martin reveals emotion and feeling in education as an "absent presence," and her reader becomes increasingly aware of the missing elements as her discussion proceeds. While Martin illustrates her analysis with a classic success story that she reads as one of loss, I want to tell a story that some may read as failure, but that I read as one of triumph. This story is important because it illustrates the play of high stakes testing in the current politicized climate of teacher certification and program

accreditation, and it highlights the literacy double-standard between academic and vocational education.

My tale is about “Tom,” an adult student who was seeking to become a technology education teacher. I first met Tom in Fall 1998 when he sought special permission (I was department chair) to enroll in his required practicum course. Special permission was required because he had not yet achieved minimum scores on all subtests of the PPST. Tom had passed the math and reading subtests, but several retakes had not resulted in his meeting the writing subtest requirement. Unlike some students, Tom had been both proactive and accepting in the face of his challenge. He had purchased preparation materials, he had gained the assistance of a more capable peer, he had signed up for help at the academic skills center, he had been “practicing the book” and he was signed up to take the test again. In contrast with some students who requested a waiver and argued about “just one or two points,” Tom accepted the judgment implied by the test scores, wanted to improve his writing, and was pursuing a plan of activity. He was seeking special permission to enroll in practicum because it was only offered once each year and he had already been working on his degree for six years, alternating between part time and fulltime while he worked more than fulltime on graveyard shift in a machine shop and cared for an ailing parent.¹ Compared with other students’ requests, the maturity of Tom’s attitude and his proactive approach made his request simple to support. He appreciated the importance of good writing and understood that he would not be allowed to advance to student teaching until the test score had been achieved.

¹ In fact, by this time, Tom had amassed around 150 credits, representing about a year’s more credit than required for the degree. This number of credits reflected a transfer from a technical college, including credits that did not meet liberal arts requirements, along with shifting interests on his part but also shifting requirements in the program which his slow paced progress had made inescapable.

However, despite diligence on his part, Tom's later attempts at the test brought repeated failures. By late 1999, Tom was quite frustrated and was getting depressed. He was 40 years old, he had been studying at our institution for seven years (following two years of fulltime study at a technical college), and his dream of getting a bachelor's and becoming a teacher seemed to be slipping away. He had tried to work with tutors at the academic development center, but the time they could give him was limited and they did not seem able to offer instruction that helped him. I offered to do an independent study with him, if the dean approved. I had worked as a college writing teacher and academic skills counselor in an earlier phase of my career and had long been frustrated by higher education's ambivalent response to the needs of many non-traditional students who are given access to a degree program without the academic supports they need to succeed.

Indeed, the discovery that a student could get as far as Tom and still face a serious writing challenge should, alone, trigger alarms. Tom had completed 150 credits of college work, had a B average, but could not achieve what was by many considered "a minimal score" on the PPST Writing Subtest. What did this mean? What did such a test score represent? Perhaps Tom was a good enough writer but poor at test-taking, at least at taking a writing test? Perhaps very few of his major courses and cognates required writing? This was in fact the case; his lowest grades, including in two repeated courses, came in courses with more demanding writing assignments.

Tom was delighted that someone was offering to help him. The dean agreed to allow the independent study, rationalized as an experimental approach to explore the needs of non-traditional students. In Spring 2000, Tom and I began meeting weekly, and sometimes more often. Our meetings lasted at least two hours and sometimes three. Over

time I learned a lot about Tom's life story and also about his school experiences, including some of his instructional history. He grew up in a poor working class family. He was the youngest of three, with siblings nine and eleven years older. His father died during his early schooling, but not before leaving memories of drunkenness and battering. Tom recalls episodes of trying to protect his mother, and later of his widowed mother on welfare, taking in laundry to make ends meet, the main room festooned with men's ironed shirts.

Tom's early schooling was not pleasant. He had trouble learning to read, so there was much testing, sometimes lasting all day. He repeated first grade and then second grade and was sent to "speech class" throughout elementary school.² Tom recalls multiple sources of anger as a child and labels himself a "problem kid" throughout school. He tells of being "a common boy," using the local term for boys who grew up in the "tough neighborhood" of the town common. He recalls sitting out games on the bench, despite recognized athletic skill: a fatherless boy without a defender to prod the coach into letting his son play, he was displaced by less capable players whose fathers "knew the coach." He refers to developing "a chip on [his] shoulder" and a willingness to fight back.

Following a rocky path in earlier grades, in high school Tom's school life started to turn around both in coursework and athletics: he discovered industrial arts courses and his emerging height led him to new feats on the basketball court. He persisted in school. He became the president of an industrial arts students' organization. He excelled on the

² It's difficult to know what "speech class" of 35 years ago refers to. Tom has no recollection of any speech "impediment" and his speech bears no trace of speech difficulty. But he does occasionally use working class dialect forms. I suspect that his referral reflects the kind of instruction that Collins (1991), following Piestrup (1973), discusses as 'hegemonic practice' in which the instructional intent is to "correct" a non-standard dialect such as Tom's working class speech.

basketball team. But there were still rough spots: again he faced the unfairness of paternal intervention for a less deserving player. This time Tom's sense of injustice led to a burst of anger in which he quit the team. But he later rejoined when urged by a promise it would not happen again.

At the age of 21, Tom graduated from high school. He was the first high school graduate in his family: neither of his parents, none of his aunts or uncles, neither of his siblings had graduated from high school. There were some G.E.D.s in the family, but Tom was the only one to triumph over the odds against high school completion for a student twice held back, diagnosed with difficulty that today would probably be labeled "learning disability," and frequently referred for behavioral infractions.

Tom did many things between the time he graduated high school and when I met him almost twenty years later: military service, jobs in several locales, a marriage, a divorce. In the late 1980s, Tom returned to the state of his birth to help care for his ailing mother and began attending the local technical college, in part because the machine shop jobs that had paid quite well "down south" were much less rewarding in southern New England. But after finding success in the A.S. program, Tom realized that what he really wanted was to become a teacher so that he could give to future students the gift that had been given to him in industrial arts classes in high school. Tom knew he liked working with kids because over the years he had coached a lot of kids' sports teams, especially basketball, and he'd been a foster-father for his nephews. He had come to place high values on learning, literacy and giving: he'd become a vegetable gardener who supplied his relatives, neighbors and friends all summer with fresh vegetables, a cook who prepared family feasts, and a daily reader of the New York Times. When his teacher

preparation courses led him into schools and classrooms, he repeatedly showed himself to have a wonderful knack for connecting with just those kids whom many teachers cannot connect with at all, the disaffected and “oppositional” students.

As I learned Tom’s story, I came to see him as someone who had progressed in education in spite of tremendous odds and as someone who had great gifts to give to the young people who would be his students. In our work together, Tom wrote some wonderful pieces about his experiences, he perfected his résumé, he wrote letters of application, and we worked on exercises and practice tests of the type on the PPST. We talked about differences between speech and writing and about different ways of speaking in different contexts. In speech he occasionally used “non-standard” grammar such as “seen” for “saw” and double negatives, but these forms did not appear in his writing and he could spot them in workbook exercises.

Interestingly, Tom had no recollection of ever having been taught some of the most basic facts of “standard written English” or even of traditional spelling rules such as “i before e except after c” and dropping an “e” or doubling a consonant before adding “ing.” In fact, he had no recollection of any writing instruction, except for handwriting, during any point in his K-12 schooling, and then only in one course during the associate’s degree (which had satisfied the bachelor’s requirement also). His recollections of schooling suggest that his teachers gave much attention to the acquisition of receptive literacy but none to productive literacy, to reading but not to writing. As others have suggested, such an emphasis prepares students to follow, but not to lead, to take orders, but not give them. Thus, such a distinction reflects the stratified curriculum that a number of researchers have found between the curriculum offered to working class students, in

contrast to the education offered to middle and upper class students (e.g., Anyon, 1981; Collins, 1986, 1991).

Given that Tom may have had almost no writing instruction during his K-12 schooling and only limited instruction once he entered higher education after the age of 30, one might be amazed at his progress. In our work together, he was extremely diligent and learned Microsoft Word at the same time so that he might enter his writing on a computer (in a lab; he owned only an irreparable Kaypro) and keep track of his drafts and his progress. In one of our sessions, Tom took a practice PPST and improved his score on objective items by almost 100 percent over what he had achieved some weeks earlier. In both those exercises and in writing, he seemed to be making progress.

About half-way through the semester, Tom again took the actual PPST and improved his score--but not enough. I had thought that his signing up for that test session would be premature, but he wanted to try it again anyway. We kept working. Later, around the end of the term, he took the test again. We waited for his test score. Regardless of the outcome, we agreed to keep working together throughout the summer (he had become committed to writing, and I had become committed to helping him realize his goals). But, Tom was eager to get his PPST score, so for a second time he decided to spend the extra \$25 to get scores early by phone: again he was disappointed. He received the same score as the previous time. I think we both felt desperate. I saw that Tom had made significant progress and I was disturbed by the discrepancy between his practice test performance and the "real thing." What I saw as a significant increase in both his knowledge and in his comfort level and self-confidence when doing practice tests did not seem to transfer to the actual testing situation. I decided to write a letter of

appeal to the Dean, asking that he admit Tom to the School despite the deficient test score (2 points shy of the cut-off). By this time, Tom had 160 credits; his school history suggested that he may have had a learning disability that years of “speech class” had failed to address during his schooling over three decades before. I marshaled evidence of his potential contribution. I wrote of what I saw as an extraordinary achievement against tremendous odds. After all, how many first and second grade repeaters, not to mention children of high school dropouts, go on not only to graduate high school but also aspire to become teachers and achieve a college degree? Tom already had well beyond the credits for the degree, had a B average (higher than required), and had satisfied every requirement enacted over the last decade. Except, of course, the requirement of the score on the PPST writing subtest.

The Dean denied the appeal.

Tom and I were both discouraged. To me, the Dean’s refusal felt like a miscarriage of justice. Why, I brooded, couldn’t he see Tom’s situation as one that justified some allowance? Why couldn’t he accept that some tests are overwhelming in their intimidation of some test-takers. In addition, I was deeply angry. My professional judgment, the knowledge gained from three decades of experience in education, senior faculty standing, the experience of chairing the largest department in the school of education--all these counted for nothing against the politics of “maintaining standards.”

I came to see in a way that I had not before a complete separation in the Dean’s and my way of looking at the world. I was thinking in terms of the divisions identified by feminist scholars such as Carol Gilligan (1982) between different ways of reasoning about moral dilemmas. I saw the decision to admit or not admit Tom as a moral dilemma,

not a simple matter of a test score. One point in my letter was that Tom had not been well-served by public education--neither K-12 nor higher education. Such an argument takes education as a relationship between two entities having responsibilities to each other, learner and institution, rather than as the self-pursuit of an individual. Noddings (1992) points out that such a relational view is integral to an ethic of care. So I was thinking in terms of an ethic of care, while the Dean thought in terms of upholding a dispassionate and universally applied standard. I thought in terms of the situational specificity of Tom's life and of his chosen field, of his trajectory and his rooted perspective that could offer so much to the kids who often are given so little in schools and society. But my way of knowing Tom evidently held no persuasive force, no credibility. To borrow from feminist theorist Luce Irigaray (1985), perhaps the feminist perspective reflected in such "utterances are unintelligible according to the code in force" (p. 149), a code that takes a standardized test score as an "objective measure."

But there were a few times that universal standard had been relaxed, in one case when a non-native speaker of English appealed beyond the Dean to the institution's Vice President. I let Tom know about this remaining possibility. He called the Vice President's office and was given an appointment for the next week. Tom talked to me about what he would say, but he didn't really need help. Thankfully, the Vice President recommended the Dean admit Tom to the School so that he could be placed for student teaching the following fall. The Dean and the Vice President battled for a week, I later heard, but in the end the Vice President ordered the Dean, and that was the end of it.

In the fall, Tom did his student teaching at a middle school and was a great success, impressing both his cooperating teacher and his college supervisor. Again, kids

whom others couldn't "manage" performed well in Tom's class. Word got out that he was "terrific at classroom management," and he was inundated with substitute-teaching offers after student teaching ended. I didn't see Tom much while he was out student teaching but we emailed and talked on the phone every few weeks. He told me about his students and some great experiences he was having in the classroom, as well as about a tragedy that occurred at the school, when a boy he knew committed suicide. But the grueling schedule of full time swing shift and weekend work on top of student teaching left him exhausted much of the time.

During Tom's student teaching, the school offered little in the way of resources to provision the students' projects. The cooperating teacher seemed content to have students do only book work and to plan projects that they "could do at home," but Tom was angered by that complacency and believed the kids weren't being given a fair opportunity. So he spent several hundred dollars on materials. He also discovered that his students lacked some fundamental understandings that should have been addressed years before: many, for example, could not accurately use a ruler. He organized special help sessions to help students fill gaps in their knowledge, and he developed diagnostic activities to assess students' prior knowledge along with follow-up activities for those who needed help. Tom also became a teacher whom students sought out for help with personal and peer problems. During the second quarter, the suicide occurred. The student had been in Tom's class during first quarter and Tom was devastated; but he was also a teacher to whom many students turned for comfort and understanding, and he was "there" for those students.

Tom showed himself to be deeply committed to his students, creative in designing instruction and in meeting kids' needs, both academic and social. He was caring in his relations with students and insightful in dealing with problem-behavior and other challenges. He brought so much to teaching that others are missing--especially his ability to work with kids from backgrounds similar to his own. Unlike the reading teacher that Wolpow (2000) writes about, Tom gave top priority to getting to know his students, especially those he saw as troubled or less skilled.

Tom's supervising teacher saw him as "a great role model for the kids," which was true, but incomplete. For to see Tom only as a good "role model" is to miss the fullness and depth of his gifts. His way of being with his students embodied Noddings' (1992) notion of the ethic of care, which includes meeting students in genuine dialogue and affirming and encouraging the best in them. Noddings writes that the emphasis of this ethic "is on living together, on creating, maintaining, and enhancing positive relations" (1992, p. 21). Relational skill is reflected not only in Tom's spending of personal funds and the giving of additional time and concern to students whose needs had been neglected, but also in the fact that kids who were seen as "trouble-makers" in other teachers' classes were productive and respectful in Tom's classes.

Conclusion

What should we draw from this story? Tom is a kind of "natural," and there are not enough like him. I suggest that teacher preparation programs needs to shift the narrow focus on content preparation more broadly onto the "absent presence" of feeling and to incorporate an ethic of care in teacher preparation. This means, as well, that schools should be seen as places for promoting both the reproductive as well as the productive

functions, that students have to learn to care for both self and others, and teachers have to care for students. Schools of care could achieve a form of excellence that no current high stakes testing can address. Testing, too, needs to be a way of identifying and then supporting needs rather than a way of excluding potential contributors, as a more “relational” perspective might suggest. If there is truly a teacher shortage--and in Tom’s field of technology education there is--then colleges need to recruit potential teachers and support their development, rather than waste both resources and lives in the empty pursuit of standards that in the end are best at depriving those who are already least well-served by current institutional practices. What’s needed is education that attempts to realize the unifications represented in [Figure 3](#) of head, heart and hand, the productive and the reproductive domains:

The view represented in Figure 3 reflects Jane Roland Martin’s vision of education that aims at “uniting thought and action, reason and emotion, self and other” (p. 211). Instead of a journey like Richard Rodriguez’ from the private world of intimacy to isolation in the public world, from connection with others to alienation from others as well as self, becoming educated can become a journey of integration and connection. In the end, an education of personal integration will be an education of social integration. Education as alienation, whether of the successful, like Richard Rodriguez, or the unsuccessful, like Wolpow’s Laverne, reflects the “absent presence” and necessitates a “meta-reform” in both the means and ends of education.

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Reaction: Literacy and the Affective Domain

Eunice N. Askov

As society moves toward educational standards and high stakes testing, Wolpow, Panofsky, and Eanet stress the importance of the affective domain in literacy instruction. Not listening and responding to children in distress is comparable to suffocating canaries in a coal mine. Just as canaries were used to predict poisonous gases in a coal mine, today we can study our children in distress to see the sickness in our society and education system.

The authors argue for the importance of the affective domain in an era when “reason, head, thought, and mind” are valued more than “emotion, heart, action, and body”. Perhaps because the affective domain cannot be measured by standardized tests, the “system” does not support the caring part of the teaching job. Nevertheless, it is crucial that preservice and inservice teachers become more respectful toward children. The authors argue for “empathetic listening” or witnessing the testimonies of troubled

children. Only when these children feel that someone (the reading teacher, for example) understands them can these children learn.

While teacher competencies relating to the affective domain are usually not required for teacher certification, as cognitive skills are, university faculty members can develop these affective abilities through modeling concern for their students. Narrative texts can also be used to promote multiple points of view so that college students understand children from backgrounds different from their own and with problems that they have not experienced. Students can engage in reflective practice by journaling and by class and/or internet discussions.

While most preservice teachers can be taught at least some empathetic skills, they may not be sincerely applied in a real teaching situation. How does the university know that the preservice teacher really cares about children and understands their problems? Are objective standards for the affective domain even possible or desirable?

If students are to be denied teacher certification due to a lack of affective skills, that implies a set of commonly agreed upon values that can be evaluated at least somewhat objectively. This evaluation could become problematic in dealing with preservice teachers from backgrounds different from their college professors. This type of evaluation could be highly political and potentially litigious.

Another difficulty is the argument that affective abilities are not the province of the reading teacher. The reading teacher's job is thus defined narrowly as teaching cognitive skills without regard to the whole child. The recent emphasis on teaching the basics certainly reinforces this point of view. Rewards within a school system are not

likely to come to teachers who are affectively effective with children unless these teachers are also skilled in teaching cognitive skills.

So, why should we care about the affective domain when all public attention is on mastering the “basics”? The answer lies in the observation of children in our society. It is clear that children are suffering from the traumas of alcoholic parents, drug abuse at young ages, urban and rural poverty, dysfunctional families, and so forth. To ignore the tremendous affective needs of these children is to condemn them to failure. With love, respect, and understanding, they may be able to thrive. The first step is empathetic listening to truly understand and then bear witness to the trauma of the child. Only through such understanding can healing occur. Otherwise, more “canaries” must perish in our school systems until we recognize the importance of the affective dimension.

Instructional Grouping: Examples and Issues

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Stereotypes abound regarding ability grouping, typified by comments such as the following:

"Ability grouping harms students' self-esteem."

"Once placed in a group, always in a group."

"If teachers don't group by ability, they penalize the high-achieving students by holding them back."

"Students in the low-ability group cannot receive the same instruction as students in other ability groups."

These stereotypes prompt us to ask: Why should elementary school teachers group students for instruction? What grouping arrangements do children encounter across subjects? Do purposes for grouping differ across situations and subject areas? Do teacher educators foster in preservice teachers an appreciation of these questions?

The purpose of this Problems Court paper is to explore issues associated with instructional grouping (including ability grouping and its alternatives) in spelling, reading and mathematics in elementary schools. To this end, we describe three program examples with different grouping arrangements: ability grouping for developmentally organized word study instruction, instructionally differentiated reading instruction within a literature circle format, and heterogeneous grouping for discussion-based mathematics instruction. These examples provide a context to explore issues associated with grouping arrangements in elementary schools. Implications for instruction, research, and teacher education will be explored.

Theoretical Perspective and Research Literature

How and when to group students and for what purposes rank among the most important routine instructional decisions teachers make. Instructional grouping options include whole class, small needs-based groups, cooperative groups, pairs, and individuals (Radencich & McKay, 1995). These may be organized by ability, interest, subject matter, and so on. In essence, every teaching activity requires consideration of these arrangement possibilities matched to learning goals. However, often instructional grouping is viewed only in terms of whether or not to group by ability, without consideration of instructional goals.

Ability grouping has been a familiar aspect of elementary school since the turn of the century, yet more recently this practice has been questioned (Hiebert, 1983) and criticized (Allington, 1983). Reading, spelling, and math groups, even though still common, are no longer a staple in teachers' classrooms. Changes in teaching philosophy, instructional strategies, and teacher education programs have diminished the perceived role of ability grouping. For example, interactive teaching strategies encourage and enable changes in the way we think about instructional grouping because with proper prereading instructional support students can comprehend a wider instructional range of material. Preservice and veteran teachers express confusion about the role ability grouping should play in elementary school. The literature addresses only some of their concerns. Slavin (1987) reviews research on four types of ability grouping: (a) ability-grouped class assignment that arranges class assignments based on achievement scores on standardized tests; (b) ability regrouping for reading or mathematics that arranges assignments for instruction in particular subjects, using the rest of school time in

heterogeneous classes; (c) regrouping for reading across grade levels (Joplin Plan) that arranges assignments only for certain subjects, with grouping across grade level, assignments reviewed, and grouping adjusted (flexible assignment); (d) within-class ability grouping that rearranges (flexibly, e.g., Flood, Lapp, Flood, & Nagel, 1992) students in a class to focus on particular subject areas. Overall, research findings do not support ability-grouped class assignment. Barker-Lunn (1970) found no evidence for advantages to ability-grouped class assignment. Goldberg, Passow, & Justman (1966) found the presence of gifted students was beneficial for the achievement of most students in most subjects; the presence of low achievers was neither beneficial nor detrimental. Borg (1965) found that benefits for ability-grouped class assignments were restricted to the highest achieving students; results indicated that ability-grouped class assignments were detrimental to student performance for low achieving students. In general, research findings support heterogeneous rather than ability-grouped class assignments. For ability regrouping in math and reading, research findings are inconclusive, but they suggest that for regrouping to have any kind of positive effect on learning outcomes, instructional pace, materials, and teaching strategies must be adapted to meet students' needs. Simply regrouping without instructional considerations is ineffective. Analysis of the Joplin Plan indicates positive effects on achievement for both high and low achieving students in reading and math (Slavin, 1987). Few studies have measured the impact of within-class ability grouping on reading achievement. However, for mathematics instruction, within-class ability grouping has shown to be effective but only for mathematics computations, with no differences found in concept attainment and application. Slavin's (1987) analysis suggests the following: (a) students should be assigned to heterogeneous classes for most

of the day and be regrouped by ability only in subjects where there is a benefit to instructional pacing, material selection, and content organization; (b) grouping plans should be based on subject specific criteria, not general IQ or standardized test scores; (c) grouping plans should be flexible and allow student movement between groups; (d) teachers should vary level of material, pace, and content of instruction to correspond to students' levels of readiness, learning rate, and interest; and (e) groups should be kept small and should be regrouped often to meet instructional goals.

Barr (1995; Barr & Dreeben, 1991) suggests that within-class ability grouping in reading may be more important in primary grades when children are learning to read than in intermediate grades. In addition, she raises the possibility that ability grouping might make it easier for children to interact with materials they can read with ease, thereby increasing reading fluency. A benefit of small group instruction is that the teacher can provide more support and time for practice with low-group members, but the quality of that instruction is very important (Duffy, 1993). In support of this idea Barr (1995) states, "...the activities in which children participate, the materials they read and write, and the teaching support they experience shape what they learn and their feelings about it" (p. 7).

Educational Significance

In general, the research literature suggests general guiding principles for ability grouping, but does not provide contextualized examples to instantiate these principles. With the lack of these kinds of studies, it is no wonder that teachers are confused about grouping. Grouping effects must be mediated by changes in teachers' instructional strategies (Slavin, 1987), and researchers need to document these changes to fully understand the issues embedded in grouping practices (Hiebert, 1987).

In the following sections, we provide descriptions of three programs that use instructional grouping in various arrangements and point out that these grouping arrangements depend on teachers' instructional goals.

Example 1: Instructional Grouping for Spelling

Classroom teachers have long treated spelling as a whole group activity. This is perhaps because of the popular but mistaken view that spelling is a simple memory task and because spelling books come prepared for whole group use. Yet experts have long recognized that there is a high degree of variability among students' readiness for specific levels of word study. Recommendations for differentiated instructional grouping for spelling extend back to the time of Fitzgerald who argued that "The varying needs of individuals be considered." She urged teachers that "the learning of the gifted child... not be limited to that of the average, nor... the very slow child be overwhelmed in the hopeless undertaking of studying the normal allotment of words for the average child." (1951, p. 8).

Support for the importance of individualized instruction comes from research into the development of spelling ability among children (Henderson, 1981; Templeton & Bear, 1992). Emerging from a linguistic analysis of children's spelling errors (Read, 1975), this line of inquiry has demonstrated that spelling ability is a complex cognitive-linguistic task and that it develops gradually over an extended period of time. Further it has documented the fact that learners acquire the ability to spell by moving through a series of predictable stages of development. In these stages students make errors which reveal their working hypotheses about how the alphabet maps to sounds, to sound patterns, and finally to meanings. The progressive emergence of these identifiable stages

has been observed despite wide variation in types of instruction (Henderson & Beers, 1980).

Developmental research draws from and also confirms analyses of English spelling as a complex hierarchical system which children master through successive systematic approximations as they take in more and more information about the lexicon. As with all developmental phenomenon, however, individuals negotiate these changes at different rates. Because each successive stage of development carries forward patterns and principles learned in previous stages, it is important that students master the problems that confront them at each stage before trying to deal with the problems of the next. Using developmental methods of word study, clinicians have been able to enhance students' knowledge of orthographic patterns by designing word study based on the unresolved elements within their individual developmental levels (Ganske, 1998; Henderson, 1981; Invernizzi, Abouzeid, & Gill, 1994). Individualizing instruction in this way moves low-achieving spellers forward in the quickest way possible.

To individualize instruction for each student in class, however, is a difficult and time-consuming proposition. An alternative way to address differences can be found in the broader practice of instructional grouping for word study. Such groups can be formed by aligning children with others at the same level and creating word lists for them to study based on the types of orthographic features with which they are having difficulty (Bear, Invernizzi, Templeton, & Johnston, 2000; Ganske, 1998). This approach can be too demanding for many teachers: It requires that they understand developmental spelling as well as the basic organization of the spelling system itself. They must also have the time and resources to pull together various appropriate groups of words on a regular

basis. Another perhaps more teacher-friendly way to constitute instructional groups is by creating them around their instructional spelling level. But what are instructional levels in spelling? What reason might there be for exploiting them, and how might a teacher incorporate them into her teaching?

Instructional levels. Darrell Morris and a number of his colleagues have been investigating the issue of instructional level in spelling for some time. Analyzing the quality of student spelling errors on a diagnostic spelling test, Morris, Nelson, and Perney (1986) found that there was a strong correlation between the quantity and the quality of their errors. In line with similar findings for reading (Betts, 1936) and with clinical observations made for spelling (Henderson, 1990; Schlagal, 1982; 1992), Morris and his colleagues found that there was a marked deterioration of the quality of errors when students were scoring less than 40 per cent on a grade-level spelling test. That is to say, when performing within a range between 40 to 85% accuracy, errors tended to be well informed and predictable. Thus misspellings of the words “slammed” and “pebble” were likely to occur in the hard spots in the words: SLAMED and PEBBEL, for example. When scoring less than 40%, however, students made more errors per word, and the poorer quality of these errors at times obscured the target word. The errors SAM and PABL illustrate this. Although each of these latter errors can be explained along developmental lines, they reveal strategies that are insufficient to the task. In other words, the orthographic elements in the target words embody features beyond the reach of the early phonetic strategy shown in the misspellings. These findings lend support to the notion that there is an optimal instructional level for spelling instruction.

In a later study, Morris, Blanton, Blanton, and Perney (1995) tracked instructional and frustrational third and fifth grade students (as defined by scores on a curricular pretest) across a year of instruction in traditional spelling books. Students working at their instructional level learned and retained the bulk of the words they were taught. Students working at their frustration level (scoring less than 40 per cent on the pretest) did well on end-of-week tests but very poorly on pretests for the six-week review units (a strong measure of retention).

In a follow-up to the previous study, Morris, Blanton, Blanton, Nowacek, and Perney (1995) tracked low-achieving spellers for a year. Half of these students were taught in spelling books at their instructional level. The other half was taught in grade-level spelling books (at their frustration level). The results of this study revealed significant gains for the intervention group in mastering the instructional level word lists. However, retention of words studied by the comparison group was poor, mirroring the findings of previous study. Of significant note, the students who were taught in lower level texts made solid gains at their instructional level, but they also scored no worse than their peers on the grade-level posttest. In addition, the intervention group scored significantly better than the comparison group on a transfer test of grade-level words neither had studied. The authors suggest that by improving their knowledge of the words at a lower level of complexity, students were better able to learn something about the spelling system that helped them make better sense of more difficult words they had not studied.

Based on studies such as these, it appears that attention to instructional level is important for ensuring student progress. If teachers provide instructionally appropriate

lists for their weakest students, then significant gains can be made. For most teachers, this is most conveniently done in the context of commercially prepared basal spellers.

Basal spellers. Basal spellers offer the teacher several advantages. First they provide a ready and well-thought out resource for words. Second, there is an abundant history of research contributing to the evolution of the contemporary spelling series (Henderson, 1990; Horn, 1969; Schlagal & Trathen, 1998). Basal spellers offer lists of high use words presented in a sequence graded in difficulty. Difficulty is defined by (a) frequency of use, (b) frequency of spelling pattern, and (c) developmental norms. It is not difficult, then, for teachers to place students with words of appropriate difficulty based on simple measures of instructional level (Schlagal, 1996). A critically important trait of basal spellers is that lists are organized to highlight and teach patterns and principles of the spelling system. This organized structure has the potential to allow teachers to incorporate concept-building techniques into their teaching.

Implementing instructional groups for spelling. With the encouragement and support of the reading faculty at Appalachian State University, a number of teachers in western North Carolina have begun to incorporate instructional grouping into the spelling portion of their language arts curriculum. The critical first step in creating effective groups is assessing individual instructional levels. This is done by using a diagnostic spelling test, the Qualitative Inventory of Word Knowledge (Schlagal, 1982, 1996).

Once students' instructional levels have been determined, they are placed in groups (generally from two to three) with other students who are currently at the same level. Within these groups they work with words drawn from spelling books at an

appropriate level of challenge. The teacher, with the help of her assistant or a parent volunteer, typically does the following with each group:

On Monday, a pretest is given to assess students' readiness for the week's words. (If students are at their instructional levels, they should be spelling correctly about half the words on the list.) Students then self-correct their misspellings and copy the corrected version twice (Horn, 1969). Once that is completed, the teacher or assistant guides the students in each group through a word sort to highlight the targeted word patterns for the week.

On Tuesday, the students receive a copy of the week's words, which they sort into columns according to the patterns established during the previous day's guided sort. The teacher observes and checks the accuracy of the students' sort and assists if there are difficulties. Once this task is complete, students can join in pairs and play games such as "Bingo" or "Concentration" with their combined stack of words. Each game entails naming and matching words by pattern.

On Wednesday, the students pair up and do "Word Hunts" in printed material to find more words that fit the week's patterns. They may also do "Speed Sorts" with a stopwatch. This improves sight recognition as well as the quick grasp of target patterns. Each child may try to improve speed by repeating the drill a maximum of three times. Students may also play the "Race Track Game," wherein the correct spelling of two words enables a player to move around a "race track" oval. Whoever makes a circuit of the track first wins.

On Thursday, students pair up and give each other practice tests on a dry erase board. One child dictates the words from their word slips while the other draws columns

for the words and writes them in the appropriate columns by target pattern. On Friday the end of week spelling test is given.

Activities such as those described above are engaging and useful for students. Students work hard because there are reasonable, concept-building tasks placed in game-like formats. The fact that different groups of students are working with different words does not appear to be an issue. Each group is engaged with the same interesting activities. And each is making progress because each is studying words at a level in which concepts can be mastered, thus building the foundation for the study of more complex words and patterns that extend from those foundations.

Conclusion. Research findings have been cited that validate the concept of instructional levels in spelling. Evidence has been presented demonstrating improved learning and retention when these levels are used to plan instruction. Although few teachers can tailor spelling instruction to meet every individual need in class, these needs can be met more broadly through some of the methods described above. If spelling instruction is to address varied developmental needs, then the use of instructional grouping and multiple lists can and should become part of ordinary elementary and middle school instruction.

Example 2: Instructional Grouping Through Literature Circles

Daniels (1994) describes literature circles as "small, temporary discussion groups who have chosen to read the same story, poem, article, or book. While reading, . . . each member prepares to take specific responsibilities in the upcoming discussion, and everyone comes to the group with the notes needed to [participate in the discussion]" (p. 13). We have taken Daniel's concept of literature circles and expanded it to include

differentiated reading material that is matched to students' instructional reading levels, a form of grouping.

Classroom teachers in elementary schools are faced with the overwhelming task of accommodating different instructional reading levels in their classrooms. A fifth-grade teacher may have students reading on third-, fourth-, fifth-, and sixth-grade levels. How does this teacher help students on so many different reading levels become more strategic and independent readers who are also motivated to read? One solution may be to group these students according to their instructional reading levels. The goals include increasing word recognition, fluency, comprehension, and self-esteem. For students who are reading below grade level, an additional goal would be to bring these students up to grade level through appropriate instruction and pacing while they experience quality literature in the form of real books. This contrasts with Allington's (1983) findings that students in low-track reading groups received instruction consistently poorer than that offered to better readers. As Dewey wrote, "Everything depends upon the *quality* of the experience which is had" (1938, p. 27). We assert that in classrooms where we have worked, literature circles formed by instructional reading levels foster a quality learning experience.

Formation of instructional literature circle groups. Teachers consider many factors when forming and organizing reading groups, among them ongoing assessments. Informal reading inventories, word recognition tests, and qualitative spelling assessments are helpful to teachers when establishing instructional leveled groups for literature circles. Ongoing assessments provide information to create flexible, fluid groups. As students show growth, new groups are formed, added to, and blended together; they are not labeled and tracked into one group for the whole year. Also, as instructional purposes

change, so do grouping arrangements. Teachers will find appropriate occasions for students to read a whole class novel and occasions for students in leveled groups to read different novels. It is instructional intent (purpose) that guides decisions about grouping for literature circles.

Characteristics of instructional literature circles. Generally, literature circles are small discussion groups formed on the basis of a student's instructional reading level. Usually, the circles are formed around a certain genre, theme, or author so that all of the groups have a common reading context. During a circle, students read, complete a written “job,” and come together to discuss a book. After the students read they complete their written jobs as either discussion director, passage picker, character sketcher, word wizard, or investigator. The discussion director develops questions for subsequent discussion about a certain section of the book. This student determines the important ideas and issues raised in the designated section of the book. The discussion director also designs questions that address the targeted ideas and issues. The passage picker selects significant passages from the reading, determines why they are important, calls other readers' attention to the passages, and then leads a discussion about the selected passages. The character sketcher develops a character map of a major character, using implied character traits by referencing the text. The word wizard searches the section of text for words that are key to understanding what is happening in the story, notes the page and sentence where they are found, then checks the dictionary to confirm word meaning. This student also illustrates the word on a card, and then leads a discussion about the contextualized meaning of the word and how the word contributes to the importance of the passage. The investigator examines other sources (e.g., newspapers, Internet,

encyclopedia, content and informational texts) that connect to the targeted text, and then shares this information with the group. The teacher may conduct a mini-lesson (for example, on literary elements to be incorporated into the jobs) for the entire class before the students read the text in their groups. After students complete the written jobs, the teacher checks their work.

It usually takes several weeks for a group to complete a literature circle. After the circle is complete, the students in each group present an artistic impression of their book to the whole class. They may act out a skit, conduct an interview, and create an ABC book, a journal, or some other artistic impression.

The teacher takes on a facilitative role while students read. Because the groups are formed for instructional purposes, the teacher flexibly determines her immediate task. For instance, she may choose to read aloud with the students who need more support. The teacher is there to scaffold, to teach "fix-up" strategies to those students who still are not reading metacognitively. She may "think aloud," reread, read ahead to clarify, make connections with the text, and model all of these strategies, while reading with the students, in material that they can decode and comprehend. Once the text is read, purpose questions and predictions created by the students before reading may be revisited. As students become aware of these reading strategies and skills and as they become more independent, the teacher begins to scaffold the instruction. These scaffolding strategies fortify the quality of students' experience.

Conclusion. In our experience using literature circles with elementary students, the tasks and instruction are similar regardless of the level of the group. Students learn to think critically about literature that they can confidently read, write about, and discuss.

Inferior instruction in low groups is not an issue. We are aiming to teach students in their zone of proximal development (Vygotsky, 1978), where they are at the most desirable challenge level, one that is neither too simple nor too rigorous; in other words, at their instructional level. As they read text in these guided literature circle lessons, students eventually become independent and reading behaviors are internalized. Students are successful because they are not frustrated with the text, and their self-esteem increases because they are successful with the reading and writing tasks.

The underlying goal of these literature circles is to create successful, strategic, and independent readers, readers who can write about the text and lead a sophisticated discussion that facilitates learning and understanding. We wish to create for these students Deweyan (1938) experiences from which they believe they are better readers and writers and are motivated to read and succeed.

Example 3: Instructional Grouping in Mathematics

As society moved from the Industrial Age into the Information Age, it became necessary to give careful consideration to the content and methods of mathematics instruction. Mathematics instruction should focus on content (e.g., number & operation, algebra, geometry, measurement, and data analysis & probability) and process (e.g., problem solving, reasoning, communication, connections, and representations) (NCTM, 1989, 1991, 2000). A problem-centered approach to teaching mathematics allows ideas, strategies, and mathematical relationships to emerge and become the focus of discussion. Communication makes mathematical thinking observable. It encourages students to think about their own strategies and solutions for solving problems as well as to hear other alternative strategies and ways to solve a problem. Talking about mathematics in small

and whole group settings helps students identify gaps in their mathematical understanding as well as clarify their thinking. And, listening to students' thinking enables teachers to ask questions for clarification and to model appropriate mathematical language.

When all students are allowed to hear the various strategies that their peers use to solve mathematical problems, their problem solving and reasoning skills grow and develop. They also are allowed access to mathematical content that previously would have been denied. Teachers can develop concepts and skills through problem solving experiences rather than delaying problem solving until students have mastered a procedure.

Teachers who hold traditional views of what mathematics is and what it means to know and do mathematics often are adamant about the need to ability-group students for mathematics. Teachers who hold a more reform-minded view about the nature, content and pedagogy of mathematics are more likely to think about a heterogeneous view of grouping.

Making decisions about instructional grouping for mathematics depends upon the purpose and goal for the lesson. If one's purpose is to teach rote memorization skills it may be reasonable to temporarily rely upon ability grouping of students for math instruction. However, if the purpose is to develop mathematical thinkers who can make sense of mathematics, reason, problem solve, and communicate about mathematical situations, then a different pedagogy is needed.

An example to illustrate one purpose for heterogeneous grouping in mathematics follows. This example is frequently used in a methods course and models a discussion-

based mathematics lesson using the problem: Write down all of the ways you can represent 16. In response to this question, some students immediately write down strategies while others glance nervously around the room. Typically, some start with familiar mathematical equations (e.g., $8 + 8$; 4×4); others draw pictures resembling the following groupings of four:

Others may write, "age when you get your driver's license." After students record their ideas, they are grouped according to the type of strategies used to work on this problem. Groups are created with a broad range of ideas because collectively the thinking is more powerful. When ideas are shared in this heterogeneous arrangement, individuals may subsequently draw from their bank of ideas. Thus we mix the "equation" people with the "pictorial" people and distribute those who were willing to think outside the mathematical world (in this example, "age when you get your driver's license" or "16 candles") across groups.

When children are given an open-ended problem like this they also approach it from different perspectives. Groups can be created so that they, too, may benefit from a wide range of ideas. As the group works together, thinking often transforms to include ideas from the world of mathematics to the world of music (e.g., sixteenth notes) to the world of language (e.g., sixteen, dieciseis [Spanish for 16]) to the world of cinema (e.g., Sixteen Candles). After brainstorming a list of ideas, students are asked to categorize their ideas using the examples to illustrate.

We can also focus on the mathematics within this problem by examining equations from the same operation to notice patterns (e.g., $0+16$, $1+15$, $2+14$. . . $15+1$, 16

+0; 17-1, 18-2, 19-3, . . .) and also to introduce mathematical vocabulary such as finite and infinite sets. Selecting a problem that does not elicit preconceived responses and procedures allows for more creative mathematical thinking and also opens the door to the notion that there are multiple ways to solve mathematical problems. Everyone has "access" to a problem like this. It empowers students and allows them to successfully enter a mathematical problem. They then are able to hear others' thinking that illustrates additional strategies that solve the problem equally well. And, at the same time new mathematical content is introduced. In this context, the purpose for grouping is to provide students with a broad range of ideas about a problem and thus extend and expand their understanding about the mathematical concepts within a problem situation.

Implications for Instruction, Research, and Teacher Education

The three program examples described above—ability grouping for developmentally organized word study instruction, instructionally differentiated reading instruction within a literature circle format, and heterogeneous grouping for discussion-based mathematics instruction—call into question the stereotypes about grouping that introduced this paper. The issue here is not ability grouping, it is instructional grouping. All three examples underscore one basic tenet: instructional grouping decisions depend on a teacher's instructional goals. And in the three examples, all students, regardless of group, received similar instruction.

When the goal is to improve spelling ability or reading and comprehension, it is logical for teachers to group students at their instructional level, where they are academically stretched but not struggling. Whether acquisition of spelling ability or decoding text, students are experiencing a system that is organized hierarchically. Teachers

(and learners) move through it on a trajectory. As students learn, the goal is to find out what they know and what they need help with next. Many of the processes involved in reading and spelling are below consciousness and should work effortlessly and automatically. Developing automaticity requires practice at the optimal instructional level. A child struggling to decode words will not be able to fully attend to the meaning in a text; in this way decoding affects comprehension. Placing children together to read the same text when their reading skill differs denies some children access to the text's big ideas because they cannot decode the text. And in order to reason about the text, children must have access to it.

It is also logical for teachers to re-group students for discussion of fairy tales or discussion of a mathematical concept such as composition of number (e.g., Write down all of the ways you can represent 16.). Or, teachers may work with a small cluster of learners who can reason about multiplication ideas but do not have multiplication facts memorized.

Whether the goal is to developmentally group students for spelling, reading, or multiplication facts, or to heterogeneously group them for the purpose of discussing a genre or a reasoning task in mathematics, all students need an entry point into the instruction in order to stretch their learning. Grouping need not be an all-or-nothing fixture in day-to-day instruction.

Within and across subject areas, teachers have instructional grouping decisions to consider, as do teacher educators who work with prospective elementary teachers. Regarding instructional grouping, teacher educators must help preservice teachers understand that decisions about instructional grouping can vary across content areas as

well as across goals for the lesson. In addition, preservice teachers must consider the grouping experiences of students across the academic year. It is time for reading educators and researchers to consider instructional grouping from a fresh perspective.

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Educating Esme: Trauma, Travail, and Treasures from the Trenches

Thomas Cloer, Jr.

The book, Educating Esme (1999), a diary of Esme Codell, a fifth grade beginning teacher in Chicago, gives us pause by stating well some of the major problems teachers face today. Esme was an independent 24 year old woman with great enthusiasm, but with disdain for the bureaucratic politics of public education. Her diary is uncensored, and it captures marvelously well the gut feelings and the screams of so many of us when we encountered the inevitable travails of public school teachers. These travails included Esme's problems with her principal, the failure of her curricula materials, and the lack of veritable imagination by some of her veteran colleagues. The book, however, also has great potential for literacy teachers because of the language arts instructional treasures Esme digs from the Chicago trenches.

Analyzing Esme's Trauma and Travail

One of the first things Esme notes in her diary is the incompetence of the principal, Mr. Turner. This man's incompetence ran the gamut from sins of omission to sins of commission. The worst sin of omission was the thing that cut Esme the most, Mr. Turner's inability to say "Thank you" (Codell, p. 12). His sins of commission are frequent and pathetic. One that is basic to all others resounds in Mr. T's question, "What do I think?" The man actually is reported to have asked that in order to retrieve some verbiage from Esme that he could use at faculty meeting, and thereby sound creditable. This lends

credence to Locke's concept of the mind as a tabula rasa, an unformed, featureless blank slate. Poor Mr. Turner didn't have a clue.

What is the best way for a good literacy teacher to perform under such conditions? When the educational chiropractor came to align the curriculum, Esme asked the quintessential question that many of us asked as literacy teachers when we found ourselves in similarly appalling situations.

Can't we just look at the scope and sequence they print in front of all the textbooks and use all the right verbiage? What bureaucrat would be the wiser? Once we close the classroom door, who else but us know what goes on? (p. 138)

I really believe Esme had it right when she said these prefabricated curriculum mandates usually work two ways. They make really gifted and creative teachers prove they are gifted and creative or they serve as scripts for those who need them. "At worse, mediocrity. At best, miracles." (p. 139). I really hope she is wrong in her belief that there may be a conspiracy in our educational system to have all teachers and all children to be alike. Remember Bill Clinton's well-intentioned but lame and misguided attempt to have every child ready for school (instead of every school ready for children)?

As I read this diary, I was amazed at how attitudes at this inner city Chicago school were like attitudes at Shady School in Fetterman's (1967) Stinking Creek. I was particularly interested in Fetterman's book because I had worked in this mountainous section of Appalachia during my second sabbatical. Fetterman related how the children of Stinking Creek, Kentucky were beautiful and how their faces reflected the round, fair

features of their English, Scottish, and Irish ancestors. Fetterman compared their physical beauty to their intellectual world and concluded that the latter was simply shabby. One of the school administrators that served Stinking Creek reminded one of Mr. Turner. "I don't know whether we can ever do anything for those people up the hollows" (Fetterman, 1967). Fetterman concludes that whether anything could or could not be done, no one had really ever tried to do anything significant. I got the feeling while reading Esme's diary that a similar situation occurred in this inner city Chicago school. One of the mantras I hear regularly is how ill-prepared, incapable, and unwilling the students are. Esme referred to it when she was depressed after writing a proposal for a school-wide Fairy Tale Festival. "It doesn't occur to them that they might help or get enthused or at least have the courtesy to get out of your way" (p. 7). Why is it that so many educators argue and complain that the wrong children were sent to their school? When will the clientele be accepted without question, respected, and invited to join in the progress of civilization?

Also, as I read Esme's diary, I wanted to say, alternately, "Right on!" or "Get over it already!" Those of us purporting to be literacy educators can say "Right on!" to most of Esme's language arts instruction for her broad range of fifth graders. I wanted to tell Esme to "Get over it already!" when she wrestled and fought interminably with Mr. Turner about allowing the students to call her Madame Esme instead of Ms. Esme or Ms. Codell. But then I'm reminded that this is her first year – her first year. By now, Esme has learned that Ms. Federman, a colleague who talked Esme out of quitting after yet another brawl over the Madame monicker, was absolutely right. Esme had never seen a real fight. Furthermore, by now Esme has learned, after winning the Dr. Peggy Williams Award from the Chicago Chapter of the International Reading Association for outstanding new

teacher in the field of reading and language arts, that Ms. Federman isn't the only teacher to have taken "more shit than fits in all the septic systems in Chicago" (p. 111). Esme too has persevered; she alas now works within the system. The most beneficial reading in this book for me, a literacy educator, was Esme's language arts methodology. Her language arts classes are really worth analyzing.

Replicating Esme: Treasures from the Trenches

As I read this book, I specifically focused on Esme's literacy instructional activities. Esme, as a literacy teacher, knew how urgent it was to use authentic text. Throughout the book, I was taken aback by how well she integrated her listening, speaking, reading and writing, and grounded them in a meaning-based curriculum. Her very first lesson had children write on little books resembling windows. They wrote about how they felt as to where they came from, and their feelings about coming to their school. After these writings were hung on a big cut-out of a school, one could "open windows" and read. If the basal companies haven't approached Esme yet, they soon will, and we will soon know if those "balls of steel" (p. 114) are malleable.

Esme must have read some of the literature relating directly to fifth graders working with kindergarten and how fantastic cognitive and affective gains resulted (Coleman, 1990; Labbo & Teale, 1990). Cross-age tutoring has fifth graders learning kindergarten skills in order to teach them. Esme used music, much rehearsing (remember repeated readings?), visual displays, and had fifth graders reading meaningful connected text to others in meaningful ways.

Esme cared about the attitudes of her students. She acted caringly. Children unburdened their home worries in her Trouble Basket so they could focus on school.

What a marvelous way to integrate language arts and do it caringly! Esme used Aston-Warner's (1963) organic vocabulary approach, an approach used and promoted by Veatch (1985). This approach for mastering vocabulary has students choose a meaningful word in their listening and speaking vocabularies, and the teacher helps the students put the words in their reading and writing vocabularies. Esme knew about instruction. She knew how critical it was. I suspected it from the get-go. But my suspicions were confirmed when I read, "You can't test what sort of teacher someone will be, because testing what someone knows isn't the same as what someone is able to share" (p. 140).

Reading aloud was Esme's forte. That is why, I presume, that Jim Trelease (1995) wrote the Afterword in her book. Trelease is the name that literacy teachers immediately associate with reading aloud. But Esme created ambience with a Victorian desk lamp, and read poignant books with passion. After thirty-five years in this business, we see this critical aspect of literacy learning lacking in too many classrooms.

Esme correlated her language arts to the holidays. She knew, for example, that all kids know about Halloween. So they read books such as The Bat-Poet (Jarrell, 1964), The Devil and Mother Crump (Carey, 1987), and Raw Head, Bloody Bones: African American Tales of the Supernatural (Lyons, 1995). They had a scary story contest, and performed a dramatization of Old Devil Wind (Martin, 1970). Esme even dressed up like a witch.

Esme had a large classroom library where children read authentic texts of children's literature. Esme bought these with her own money. She knew that children learn to read by reading real literature for real reasons. She knew how critical emotions, attitudes, and schema theory are. The students' histories mattered. She used art as a

corollary with literature. She had her students' artwork displayed featuring exciting scenes from books the school's visiting author had written. All this was done with passion. I agree with Mooney and Cole (2000) that passion "is the fast track to the Buddha. Our passion for things, for life, for art, for anything and everything is what keeps us alive. To live life passionately is our ultimate goal."

Esme recognized the need for engaged learning. Money and Cole (2000) assert that this is the environment to beat all learning environments. It works best because:

Project-based learning or experiential learning is rooted in the fact that the act of doing in a focused manner uses numerous multimodal ways of learning. The power of doing as a learning experience is not just skill oriented but also an effective way to learn content, modes of thought, and models of communication (p. 259).

Esme and her students were always doing. They did writing, reading, listening, speaking, and they did it daily. They had formal debates. They put on shadow-puppet shows. When reading and learning about medieval history, they built a castle and put it in a fairy tale book display. They made video commercials to promote their favorite books. What a fantastic way to teach children to be avid readers! They did a character masquerade party. They made a book of fables. The children had international pen pals. They illustrated books of poetry. They read and then wrote treasure maps. I want my grandson in this classroom! This is engaged literacy learning.

Esme's Directed Reading Activity had the kids arranged in groups. She bought eight copies of really beautiful children's books (with her own money). Each child had a

job in the group. The Discussion Director made up questions about the book. A wealth of literature has been written about the value of having children ask questions about the text (Manzo & Manzo, 1995). The Literary Luminary read aloud notable parts, thus the proper mix of cognitive and affective tasks. The Language Lover defined the hardest words in the section, building a repertoire of language for other listening, speaking, reading, and writing. The Practical Predictor promoted inferencing by modeling how to predict what would happen next. The Process Checker summed it all up, kept track of participation, and decided how many pages they should read outside of class. They all documented everything by writing, writing, and writing for real reasons.

Conclusion

Most of us as literacy educators would agree, I think, that at least three major goals are necessary in a comprehensive language arts curriculum. First, we know that all children will benefit from building listening language. In a study involving thousands of students, listening language at Esme's fifth grade level predicted high school achievement better than any other measure of aptitude or achievement (Atkin, Bray, Davidson, Herzberger, Humphreys, & Selzer, 1977). Secondly, most of us agree that instructional reading and writing strategies for all types of reading and writing can be helpful. And thirdly, we all strive to have our students to become avid readers and writers. I have spent my career trying to ascertain which one of these three goals could serve as a major conduit for the other two. For example, will teaching reading strategies also automatically make avid readers? Will focusing on listening language, by reading aloud, sharing tapes of books, etc., inevitably make avid readers? I still don't have an answer, but I'm inclined to go for the third goal, avid reading and writing. If we are worrying about balance, let's try

this goal as the major conduit. With avid reading and writing as our goal, we surely won't continue to worship in the standardized temples where one size fits all, and serve to advance the petty intellectual subterfuge (Mooney & Cole, 2000) that Esme alludes to when she speaks of a governor of a certain western state declaring that students and teachers will be held accountable. This accountability is ostensibly housed in the innards of the state's student proficiency text, petty intellectual subterfuge indeed!

Would Esme's time machine in her classroom, an old refrigerator covered with aluminum foil, a flashing police car light on top, and various knobs and keyboards glued on, be worth more than preparation for a state proficiency test? The kids would go in the time machine for thirty minutes at a time. No child saw the time machine just as an old refrigerator full of books. How much is this worth to time travel through books? Or is it really more important to point out the cognitive lepers on these state proficiency tests? Mooney and Cole (2000) assert that the single most destructive force of education is the devaluing of originality. They also ask us to examine a system of education that cannot understand differences as anything other than defects. Esme said it best. "Sometimes a little song is sweet to hear, even if an orchestra is more accomplished" (p. 158).

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Three Years (1998-2000) of Children's Book Award

Winners/Contenders from Five English-Speaking Countries

Ira E. Aaron, Sylvia M. Hutchinson

Many good books for children are published each year, and unlike the situation 15 to 20 years ago, more of them today are crossing national borders. Classroom teachers can use books from other countries in ways they can use books from their own countries. However, many titles, but certainly not all, offer additional possibilities. Some of them give the reader information about other people, other places, and occasionally interesting bits about the history of other countries. However, one of the most important outcomes of 'reading books from other countries is that they help readers to understand that people across countries are more alike than they are different.

This presentation focuses on three years (1998–2000) of selected children's book award winners/contenders from five English-speaking countries: Australia, Canada, Great Britain, New Zealand, and the United States. This report is a part of the study of two decades (1981-2000) of award winners and nine years (1992-2000) of contenders for 11 awards. Three earlier presentations on portions of this collection of books have been made at the American Reading Forum. Yearbook articles on these presentations are the following:

(1998) 1997 contenders/winners: children's book awards in five English speaking countries.

American Reading Forum Yearbook. Volume XVIII (pp. 57-71)

(1996) Children's book awards and 1995 shortlists from five English speaking countries.

American Reading Forum Yearbook. Volume XVI (pp. 193-216)

(1991) Literacy through literature; International award winning children's books. American Reading Forum Yearbook. Volume XI (pp. 67-80)

Awards from countries other than the United States are those that these reviewers consider to be similar to Caldecott and Newbery Medals of the American Library Association. The awards are the following:

- A1. AUSTRALIA: PICTURE BOOK OF THE YEAR (Children's Book Council of Australia)
- A2. AUSTRALIA: BOOK OF THE YEAR - YOUNGER READERS (Children's book Council of Australia)
- A3. AUSTRALIA: BOOK OF THE YEAR - OLDER READERS (Children's book Council of Australia)
- C1. CANADA: AMELIA FRANCES HOWARD-GIBBON AWARD (Canadian Library Association)
- C2. CANADA: BOOK OF THE YEAR FOR CHILDREN (Canadian Library Association)
- G1. GREAT BRITAIN: KATE GREENAWAY MEDAL (Library Association - British)
- G2. GREAT BRITAIN: CARNEGIE MEDAL (Library Association - British)
- N1. NEW ZEALAND: RUSSELL CLARK AWARD (NZ Library & Information Association)
- N2. NEW ZEALAND: ESTER GLEN AWARD (NZ Library & Information Association)
- U1. UNITED STATES: CALDECOTT MEDAL (American Library Association)
- U2. UNITED STATES: NEWBERY MEDAL (American Library Association)

Each country has an award for illustration and another for quality of literature. Australia also has an in-between category — younger readers (A2). Library associations administer the awards in

four countries; in Australia, the awards are given by the Children's Book Council of Australia, which includes librarians. By use of letters and numerals (as A1, A2, and so on) keyed to the above listing of the 11 awards and to the listing of all books, each title in this article will be identified.

This project began in 1986 with winners for the 11 awards, and then other winners back to those announced in 1981 were collected. Beginning in 1992, "finalists" (contenders) as well as winners were added. These are honor books and "shortlisted" books, from approximately 55 to 65 books each year. Australia, Great Britain, New Zealand, and sometimes Canada announce shortlists (usually from four to ten titles for each award) a few weeks to a few months before winners are selected from those lists. New Zealand did not announce shortlists or winners in 1999 and 2000. The total collection, from 1981 through 2000, consists of 643 books.

In this article, availability of the 130 non-United States books in this country will be discussed. Then in tables and lists, information will be presented about selected characteristics of the total of 154 books: literary types (genre); historical elements; treatment of humor; geographical elements; and diversity. Then selected titles, first from illustrated books and then from books in the "quality of literature" category, will be reviewed briefly. The article will close with a listing of the 154 titles and a summary.

Published/Distributed in the United States

In Table 1, information about availability of non-United States titles in the United States is given. Information is based mainly on Books in Print and on selected issues of Publishers Weekly. Contrary to the situation in 1986 when this project began, almost half (48%) of all winners and contenders from the four non-U.S. countries are published or distributed in the United States. More than two-thirds (70%) of the illustrated books and more than one-fourth (29%) of the quality of literature titles are available in the United States. Almost all (92%) from

Canada and more than two thirds (71%) from Great Britain can be obtained in this country. Far fewer titles from Australia (17%) and from New Zealand (18%) are available in the United States.

Table 1. Published/Distributed in the United States, 2000 (Non-U.S. Countries)

	Illustration			Quality of Literature			Total	
Australia	7 of	18	39%	2 of	36	6%	9 of	54
Canada	13 of	14	93%	8 of	9	89%	21 of	23
Great Britain	21 of	22	95%	9 of	20	45%	30 of	42
New Zealand	1 of	6	17%	1 of	5	20%	2 of	11
	<hr/>			<hr/>				
	42 of	60	70%	20 of	70	29%	62 of	130
							48%	

Genre (Illustration and Quality of Literature Titles)

Tables 2A and 2B deal with classification of the 154 books (74 for illustration and 80 for Quality of Literature) according to literary type. As would be expected, most of the illustration titles can be classified as fantasy (42%) and realistic fiction (24%). For quality of literature titles, 56% are realistic fiction and 30% are fantasy including science fiction. Far fewer titles, as may be noted in the two tables, fall into other genre categories.

Table 2A. Genre (Illustration)

	Aust.	Can.	GB	NZ	US	Total	%
Realistic fiction	5	7	3	0	3	18	24%

Fantasy	10	2	14	4	1	31	42%
Historical fiction	1	0	2	0	0	3	4%
Verse	1	3	2	1	3	10	14%
Legend/myth/folktale/fairytale	1	2	1	0	3	7	10%
Information/biography	0	0	0	1	4	5	7%
	—	—	—	—	—	—	
Total	18	14	22	6	14	74	

Table 2B. Genre (Quality of Literature)

	Aust.	Can.	GB	NZ	US	Total	%			
Realistic fiction					24	5	8	3	5	45
Fantasy/science fiction	8	2	11	2	1	24	30%			
Historical fiction	3	2	1	0	2	8	10%			
Information/biography	0	0	0	0	1	1	1%			
Verse	1	0	0	0	1	2	3%			
	—	—	—	—	—					
	36	9	20	5	10	80				

Historical Elements

Only 11 of the books contain strong historical references. Others do mention history very briefly, though in these books history does not appear to be central to the story. Seven of the 11 books deal with events set in or referenced to World War II, another set in the period of World War I, and a second refers to a veteran of World War I. The 11 books, along with the historical references or settings, are:

A1 (2000) <u>Memorial</u> (WWI/WWII/Vietnam)	G1 (1999) <u>Castle Diary</u> (1285)
A2 (2000) <u>Hitler's Daughter</u> (WWII)	G2 (1999) <u>Postcards from No Man's Land</u> (WWII)
A2 (2000) <u>Captain Mack</u> (WWII)	G2 (1998) <u>The Lion and the Unicorn</u> (WWII)
A3 (P1999) <u>The Divine Wind</u> (WWII)	U2 (2000) <u>Our Only May Amelia</u> (1899)
C2 (2000) <u>The Hydrofoil Mystery</u> (WW1)	U2 (1998) <u>Lily's Crossing</u> (WWII)
C2 (1999) <u>War of the Eagles</u> (WWII)	

Humor

Only 10 of the 154 books are classified as humorous books though some others do contain bits of humor. The 10 books are listed below.

A1 (1999) <u>Mr. McGee and the Biting Flea</u>	G1 (1999) <u>Clarice Bean, That's Me!</u>
A1 (1998) <u>Grandad's Teeth</u>	G1 (1998) <u>Pumpkin Soup</u>
A2 (1998) <u>Queen of the Universe</u>	N1 (1998) <u>Emily's Wonderful Pie</u>
A2 (1999) <u>Buzzard Breath & Brains</u>	N2 (1998) <u>Fat, Four-eyed and Useless</u>
C1 (1998) <u>The Party</u>	U2 (1999) <u>No, David!</u>

Geographical Elements

Almost one-third (49 of 154) of the books contain geographical references. Some of these references are quite specific (as Brisbane, Nova Scotia, London, and Dunedin) whereas others are broader in reference (as Pacific coast, Australian outback, and British town). The 49 titles, with their geographic references, are listed here.

A1 (2000) Memorial (Australian town)

A1 (1999) Highway (Australian city/countryside)

A1 (1998) The Two Bullies (Japan/China)

A2,(1999) Daughter of the Regiment (Australia)

A2 (1999) A Ghost of a Chance (Australia/England)

A2 (1998) Someone Like Me (Rural Australia)

AZ (1998) Rattler's Place (Edge of Australian outback)

A3 (2000) 48 Shades of Brown (Brisbane)

A3 (2000) Stripes of the Sidestep Wolf (Small Australian town)

A3 (2000) Stony Heart Country (Victoria farm)

A3 (1999) Deadly, Unna? (Several Australian places)

A3 (1998) The Last Shot (Melbourne/Sydney/small Australian town)

A3 (1998) Guitar Highway Rose (Perth area)

C1 (2000) The Dragon New Year (Pacific Northwest)

C1 (2000) Claire's Gift (Nova Scotia)

C1 (2000) Dreamstones, (Arctic)

C1 (2000) Flags (Pacific coast)

C1 (2000) Me and Mr. Mah (West coast)

C1 (2000) The Prairie Fire (Canadian prairie)

C1 (2000) Prairie Summer (Canadian prairie)

C1 (1999) Music for the Tsar of the Sea (Caspian Sea)

C1 (1998) Rainbow Bay (Pacific Northwest)

C2 (2000) The Hydrofoil Mystery (Nova Scotia)

C2 (1999) Stephen Fair (Vancouver/California)

C2 (1999) The Quebec City Crisis (Quebec City)

C2 (1999) War of the Eagles (Prince Rupert/Vancouver) .

C2 (1999) Bat Summer (Toronto)

G1 (1999) Wombat Goes Walkabout (Australian outback)

G1 (1998) The Lion and the Unicorn (London/English countryside)

G1 (1998) The Lion, the Witch & the Wardrobe (Rural England)

G2 (1999) Kit's Wilderness (British town)

G2 (1999) Little Soldier (London)

G2 (1999) Postcards from No Man's Land (Netherlands)

G2 (1999) King of Shadows (England)

G2 (1998) Heroes. (U.S. New England/London)

N2 (1998) Dare Truth or Promise (Dunedin, NZ)

N2 (1998) Lave. Charlie Mike (NZ South Island)

U1 (1999) Snowflake Bentley (Vermont)

U1 (1999) Duke Ellington (Washington. D.C./Harlem)

U1 (1999) Tibet Through the Red Box (Tibet)

U1 (1998) Harlem (Harlem)

U1 (2000) Sector 7 (New York)

U2 (2000) Bud. Not Buddy (Flint/Grand Rapids, Michigan)

U2 (2000) Our Only May Amelia (Washington state)

U2 (2000) 26 Fairmount Avenue (Connecticut)

U2 (1999) Hales (Texas).

U2 (1999) A Long Way from Chicago (Illinois small town)

U2 (1998) Out of the Dust (Oklahoma)

U2 (1998) Lily's Crossing (New York beach)

Diversity

Reading books treating diversity offers children opportunities for getting to know other people and how they may differ from the readers. Such experiences also help readers to understand that people across countries, races, social classes, economic levels, or ethnic groups have many common characteristics and concerns. The 26 titles listed below reflect for the most part minority groups within the countries of the origins of the books.

A1 (1999) Highway (Whites/Aborigines)

A2 (1999) My Girragundji (Aborigines/whites)

A2 (1999) A Ghost of a Chance (Australian/English)

A2 (1998) Chickpea (Iranian/Australian cultures)

A3 (1999) Deadly, Unna? (Whites/Aborigines)

A3 (1999) The Divine Wind (Whites/Japanese Australian)

A3 (1998) Idiot Pride (Hungarian/Australian/Greek/Italian)

C1 (2000) The Dragon New Year (Chinese Canadian)

C1 (2000) Flags (White/Japanese Canadian)

C1 (2000) Me and Mr. Mah (White/Chinese Canadian)

C1 (1999) Music for the Tsar of the Sea (Russians)

C2 (1999) Stephen Fair (Argentinian)

C2 (1998) The Quebec City Crisis (Canadian/French/Indian/Japanese Canadian)

G1 (1998) The Lion and the Unicorn (Jewish)

G1 (1997) When Jessie Came Across the Sea (Jewish/European/American)

G2 (1999) Little Soldier (African/British)

G2 (1999) Postcards from No Man's Land (British/Dutch)

G2 (1997) Pig-Hearted Boy (African)

N1 (1998) The Sandman (Maori)

N2 (1998) Dare Truth or Promise (Jewish/Italian/American)

N2 (1998) Love, Charlie Mike (Whites/Maori)

N2 (1998) Fat, Four-eyed and Useless (Maori/Chinese/whites)

N2 (1998) Ticket to the Skydance (Jamaican/Irish)

U2 (2000) Bud, Not Buddy (African Americans)

U1 (1999) Duke Ellington (African American)

U2 (1999) Holes (Whites/African American)

Brief Reviews of Selected Titles (Illustration and Quality of Literature)

Very brief reviews of 15 of the 74 illustrated books and 14 of the 80 quality of literature titles are presented here. These few are samples from among those these reviewers consider to be the most interesting. In parentheses following each review, the genre is given, and in parentheses following the name of the original publisher, the United States publisher is cited for each of the seven illustrated and the seven quality of literature titles from other countries which are available in the United States.

Selected Reviews (Illustration)

A1 (2000) Bob Graham. Buffy an Adventure Story. Walker. (US: Benny an Adventure Story. Candlewick, 1999) Highly talented Buffy, performing dog, is kicked out of the act by his master who was jealous of the applause for Buffy, and the poor dog is homeless - until along comes Mary Kelley; the story is illustrated in watercolor and ink. (Fantasy)

A1 (1999) John Marsden/Shawn Tan (ill.) The Rabbits. Lothian. In this allegory, rabbits

(whites) have moved into the country, threatening the animals (Aborigines) who live there; surrealistic illustrations add an emotional tone. (Fantasy/also historical fiction - early white settlers in Australia)

A1 (1999) Pamela Allen. Mr. McGee and the Biting Flea. Penguin. Mr. McGee, out flying his kite, is bitten by a flea, and piece by piece, he removes his clothing in search of the flea - until only Mr. McGee is left. (Verse)

A1 (1999) Stephen Michael King. Henry and Amy. Scholastic. (US: Walker, 1999) Imperfect Henry and perfect Amy become friends; Amy teaches Henry how to do things better, and Henry teaches Amy how to be less perfect. (Fantasy)\

A1 (1998) Rod Clement. Grandad's Teeth. HarperCollins. (US: Grandpa's Teeth) (PS-3) When grandad's teeth are missing and police begin searching for the thief, everybody in the community smiles to show they don't have Grandad's teeth; when new teeth are presented to Grandad, old teeth are located in unexpected place. (Fantasy).

C1 (2000) Andrea Spalding/Janet Wilson (ill.) Me and Mr. Mah. Orca. (US: Orca, 2000) (PS-3) Young Ian, missing the prairie after he and his mother move a thousand miles to the city, meets elderly next-door neighbor Mr. Mah, now living in Canada but missing China, and they become friends in this well written and illustrated story. (Realistic fiction).

C1 (1999) Kada MacDonald Denton. A Child's Treasury of Nursery Rhymes. Kids Can Press. (US: Larousse Kingfisher Chambers, 1998) (PS-1) This extensive collection of "verse, rhyme, and songs," divided into several age levels, is delightfully illustrated. (Verse).

C1 (1998) Barbara Reid. The Party. HarperCollins. (PS-3) This story, told in verse and colorful illustrations, describes Gram's 90th birthday party as viewed by active grandchildren; children's antics shown in pictures add comedy to the story. (Verse).

G1 (1998) Helen Cooper. Pumpkin Soup. Doubleday. (US: FSG, 1999) (K-up) All goes well in the white cabin deep in the woods, with Cat, Squirrel, and Duck each having specific

responsibilities in making pumpkin soup - until Duck wants Squirrel's job as stirrer.

(Verse/Fantasy).

G1 (1999) Lewis Carroll/Helen Oxenbury (ill.) Alice's Adventures in Wonderland.

Walker. (US: Candlewick, 1999) (2-up) This classic tale, originally published in 1865, is reproduced with Oxenbury's interesting watercolor illustrations. (Fantasy)

G1 (1997) Amy Hest/P.J. Lynch (ill.) When Jessie Came Across the Sea. MacDonald.

(US: Candlewick, 1997) (2-up) Jessie, 13-year-old orphan, helped by Rabbi, migrates from Eastern Europe to America and becomes seamstress; when she saves enough money, she sends ticket to her grandmother so she can join her in America. (Realistic fiction)

N1(1998) Jane Cornish/Sue Hitchcock-Pratt (ill). Emily's Wonderful Pie. Scholastic.

Emily's "all squishy and squashy and mincey to munch" lunch pie looks so tempting that, one by one, her friends take a bit, and little is left for Emily — but friend Harriet has a cream doughnut, in this tale told in delightful rhyme and comic pastel pictures. (Verse)

U1 (2000) Simms Taback. Joseph Had a Little Overcoat. Viking. (All levels) As Joseph's little overcoat becomes tattered and torn, he salvages the good part to make a smaller item of clothing (first a jacket, then a vest, next a scarf, then a necktie, next a handkerchief, and finally a button) until he loses the button and nothing is left — except the book he writes about it; story is based on old Yiddish folk song and is enhanced by deep-colored illustrations and die-cut pages; Joseph looks very much like the author/illustrator. (Folktale).

U1 (1999) David Shannon. No, David! Scholastic. (PS-up) Grownup David, in comical pictures and remonstrative words attributed to his mother, relives episodes of five-year-old David's misbehaviors. (Autobiography)

U1 (1998) Paul Zelinsky. Rapunzel. Dutton. (K-up) In classic-style illustrations and text, the German folktale of a beautiful maiden imprisoned by a sorceress in a tall tower is retold; three pages of explanatory text about the history of Rapunzel close out the book. (Folktale)

Selected Reviews (Quality of Literature)

A2 (2000) Jackie French. Hitler's Daughter. HarperCollins. Several children on the way to school play the story game; Anna tells a story of Hitler's daughter, living in Germany during World War II; Mark gets caught up in Anna's story. Is Anna's story fiction, or did Hitler really have a daughter? (Realistic fiction/Historical fiction)

A2 (1999) James Maloney. Buzzard Breath & Brains. UQP. (US: Intl. Spec. Bks., 1998) Natalie tries to rescue her cousin Rex (Buzzard Breath) from the influence of Tony (Brains), who uses large Rex to intimidate other classmates and manages to escape blame himself, in this humorous yet serious story. (Realistic fiction).

A2 (1998) Elaine Forrester. Someone Like Me. Penguin. Life goes on as usual for Tas until Enya and her mysterious family move to a nearby farm and Tas becomes involved in her problems. (Realistic fiction).

A3 (2000) Nick Earls. 48 Shades of Brown. Penguin. While his parents are in Geneva, 16-year-old Dan shares a house in Brisbane with his university-student Aunt Jacq and Naomi, another University student; he tries hard to fit in, but his adolescent crush on Naomi complicates his life; some of his immature efforts to attract Naomi's attention add light comedy. (Realistic fiction).

A3 (1999) Steven Herrick. A Place Like This. UQP. (US: Intl. Spec. Bks., 1998) In 79 blank verse poems, this sequel to Love, Ghosts & Nose Hair tells that mature story of Jack and Annabel breaking away from University to travel, but spending time working on an apple farm; viewpoints of several persons are used, and poems range from light humor to heavy emotion, with a few being very mature in theme. (Verse).

A3 (1998) David Metzenthen. Gilbert's Ghost Train. Scholastic. In this sad but engrossing tale, 15-year-old Martin, his family and friends try to ease pain of Martin's 13-year-old, intelligent and likeable brother Dally, who is dying of leukemia; and Martin wonders about

mysterious Gilbert Cutler, seemingly from nowhere, who entertains, Dally with stories about the local railroad that ceased operation 80 years earlier. (Fantasy)

C2 (2000) Eric Walters. The Hydrofoil Mystery. Penguin. Thirteen-year-old William goes to Nova Scotia in 1915 to work with Alexander Graham Bell who is trying to develop a hydrofoil boat for the allies to use against German U-boats. (Historical fiction).

C2 (1999) Andrea Spalding/Janet Wilson (ill.) Sarah May and the Red Dress. Orca. (US: Orca, 1999) (PS-3) A grandmother remembers a time when she was young, living with her family on a farm and craving for a red dress — which she got in a roundabout way; colorful illustrations depict rural countryside many years ago. (Realistic fiction).

C2 (1998) Kenneth Oppel. Silverwing. HarperCollins. (US: Simon & Schuster, 1997) (3-7) Shade, runt of young bats and sensitive about his size, gets lost from flock as they migrate south for winter; his curiosity occasionally gets him into trouble, but his keen intelligence plus friend he meets help him survive in this well-written modern fantasy in which bats, pigeons, and owls are given human-like emotions and intelligence. (Sequel Sunwing won same award in 2000.) (Fantasy)

G2 (1999) J.K. Rowling. Harry Potter and the Prisoner of Azkaban. Bloomsbury. (US: Scholastic, 1999) (4-7) In this third book in a projected series of seven, Harry, now 13 and in his third year at Hogwarts School of Witchcraft and Wizardry, finds the school and himself threatened by Sirius Black, an escaped prisoner who was considered to be a strong supporter of the murderer of Harry's parents. (Fantasy)

G2 (1997) Henrietta Branford. Fire, Bed & Bone. (US: Candlewick, 1998) (4-up) An old hunting dog narrates the story, giving a dog's eye view of the 1381 Peasants' Revolt and what happened to his families — dog and human. (Historical fiction)

N2 (1998) David Hill. Fat, Four-eyed and Useless. Scholastic. "Fat, four-eyed and useless," Ben gains confidence and makes friends when he joins a writers' group; he also learns

that class bullies may be better persons than outer appearances would lead observers to believe.

(Realistic fiction)

U2 (2000) Christopher Paul Curtis. Bud, Not Buddy. Delacorte. (4-6) A 10-year-old African American orphan, Bud (not Buddy), sets out on foot from Flint, Michigan, hoping to reach Grand Rapids to contact a well-known musician he believes is his father; readers will like Bud and his determination as he narrates his story with touches of humor sprinkled among the sad parts; Bud tells his story as he might say it, including frequent grammatical errors, in this interesting tale. (Realistic fiction)

Three Years (1998-2000) of Children's Book Award Winners/Contenders

In the listing below of the winners and contenders for the 11 awards from the five countries, an asterisk indicates the winner of the medal or award. Recommended interest levels, in terms of grades, based mainly on information in Books in Print or in issues of Publishers Weekly, are cited in parentheses for each title when such information could be located. For each non-U.S. title available in the United States, the U.S. publisher or distributor is given in parentheses following the name of the original publisher. The order of the listings are 2000/1999/1998 for three of the countries. Great Britain uses the year of publication rather than the year the awards are given; therefore, the order for Great Britain is 1999/1998/1997. Since New Zealand did not give awards or publish shortlists in 1999 and 2000, only lists for 1998 are presented here.

A1.AUSTRALIA: Picture Book of the Year (Children's book Council of Australia)

*Margaret Wild/Anne Spudvilas (ill) Jenny Angel. Penguin.

Bob Graham. Buffy an Adventure Story. Wlaker. (US: Benny an Adventure Story.

Candlewick, 1999)

Gary Crew/Tan Shaun (ill.) Memorial. Lothian.

Libby Gleeson/Armin Greder (ill.) The Great Bear. Scholastic.

Jenny Overend/Julie Vivas (ill.) Hello Baby. ABC Books. (US: Welcome with Love. Kane-Miller, 2000)

Nadia Wheatley/Matt Ottley (ill.) Luke's Way of Looking. Hodder.

*John Marsden/Shawn Tan (ill.) The Rabbits. Lothian.

Pamela Allen. Mr. McGee and the Biting Flea. Penguin.

Stephen Michael King. Henry and Amy. Scholastic. (US: Walker, 1999)

Colin Thompson/Ann Pignaturo (ill.) The Staircase Cat. Hodder.

Lilith Norman/Noela Young (ill.) Grandpa. Hamilton Books.

Nadia Wheatley/Andrew McLean (ill.) Highway. Omnibus

*Junko Morimoto. The Two Bullies. Random House. (US: Crown, 1999)

Rod Clement. Grandad's Teeth. HarperCollins. (US Grandpa's Teeth. Harper, 1998)

Bob Graham. Queenie the Bantam. Walker. (US: Queenie, One of the Family. Candlewick, 1998) (PS-3)

Janet McLean/Andrew McLean (ill.) Josh. Allen & Unwin.

Tobby Riddle. The Great Escape from City Zoo. HarperCollins.

Bruce Whatley & Rosie Smith/Bruce Whatley (ill.) Detective Donut and the Wild Goose Chase. HarperCollins. (US: HarperCollins, 1997) (PS-3).

A2. AUSTRALIA: Book of the Year - Younger Readers (CBC of Australia)

*Jackie French. Hitler's Daughter. HarperCollins.

Elaine Forrester. Graffiti on the Fence. Penguin.

Libby Gleeson/Ann James (ill.) Hannah and the Tomorrow Room. Penguin.

Odo Hirsch. Hazel Green. Allen & Unwin.

Emily Rodda. Rowan and the Zebak. Omnibus.

James Roy. Captain Mack. University of Queensland Press.

*Meme McDonald & Borri Pryor/Mem McDonald (ill.) My Girragundji. Allen & Unwin.

Jackie French. Daughter of the Regiment. Angus & Robertson.

Nette Hilton/Chantal Stewart (ill.) A Ghost of a Chance. Puffin.

James Maloney. Buzzard Breath & Brains. UQP. (US: Intl. Spec. Bks., 1998)

Emily Rodda/Craig Smith (ill.) Bob the Builder and the Elves. ABC Books.

Normal Spaulding/Stephen Michael King (ill.) The Little Blue Parcel. Scholastic.

*Elaine Forrester. Someone Like Me. Penguin.

Libby Gleeson/David Cox (ill.) Queen of the Universe. Omnibus.

Odo Hirsch/Andrew McLean (ill.) Antonie S and the Mystery of Theodore Guzman. Allen & Unwin.

Robin Klein. The Listmaker. Penguin.

Patricia Wrightson/David Cox (ill.) Rattler's Place. Penguin.

Margaret Hann Syme. Chickpea. Scholastic.

A3.AUSTRALIA: book of the Year - Older Readers CBC of Australia)

*Nick Earls. 48 Shades of Brown. Penguin.

Helen Barnes. Killing Aurora. Penguin.

Anna Fienberg. Borrowed Light. Allen & Unwin.

Sonya Hartnett. Stripes of the Sidestep Wolf. Penguin.

David McRobbie. Tyro. Penguin.

David Metzenthien. Stony Heart Country. Penguin.

*Philip Gwyne. Deadly, Unna? Penguin.

Judith Clark. Night Train. Penguin

Garry Disher. The Divine Wind. Hodder.

Sonya Hartnett. All My Dangerous Friends. Viking.

Steven Herrick. A Place Like This. UQP. (US: Intl. Spec. Bks., 1998)

Sara Walker. Camphor Laurel. PanMacmillan.

*Catherine Jinks. Eye to Eye. Penguin.

Allan Baillie. The Last Shot. Omnibus.

Brigid Lowry. Guitar Highway Rose. Allen & Unwin.

David Metzenthen. Gilbert's Ghost Train. Scholastic.

Tim Winton. Lockie Leonard, Legend. PanMacmillan

Matt Zurbo. Idiot Pride. Penguin.

C1: CANADA: Amelia Frances Howard Gibbon Award (Canadian Library Association)

*David Bouchard/Zhang-Yang Huang (ill.) The Dragon New Year. Raincoast Books. (US: Peachtree, 1999) (1-5)

Davie Bouchard/Kimball Allen (ill.) Barnyard Bestiary. Orca. (US: Orca, 1999)

Julie Lawson/Brian Deines (ill.) The Bear on the Train. Kids Can. (US: Kids Can, 1999,) S-3)

Maxine Trottier/Rajka Kupesic (ill.) Claire's Gift. Scholastic.

Maxine Trottier/Stella East (ill.) Dreamstones. Stoddart. (US: Stoddart, 2000)

Maxine Trottier/Paul Morin (ill.) Flags. Stoddart. (US: Stoddart, 1999) (PS-up)

Andrea Spalking /Janet Wilson (ill.) Me and Mr. Mah. Orca. (US: Orca, 2000) (PS-3)

Marilyn Reynolds (Don Kilby (ill.) The Prairie Fire. Orca. (US: Orca, 1999) PS-3

Nancy Hundal/Brian Deines (ill.) Prairie Summer. Fitzhenry & Whiteside. (US: Fitzhenry & Whiteside, 1999)

Marie-Louise Gay. Stella, Star of the Sea. Groundwood. (US: Pub. Gp. West, 1999)

*Kady MacDonald Denton. A Child's Treasury of Nursery Rhymes. Kids Can Press. (US: Lorraine Kingfisher Chambers, 1998) (PS-1)

Celia Barker Lottridge/Harvey Chan (ill.) Music for the Tsar of the Sea.

Groundwood. (US: Groundwood, 1998)

*Barbara Reid. The Party. Scholastic. (US: Harcourt, 1999)

Stephen Eaton Hume/Pascal Milelli (ill.) Rainbow Bay. Raincoast Books. (US: Orca, 1997) (K-3)

C2. CANADA: Book of the Year for Children (Canadian Library Association)

*Kenneth Oppel. Sunwing. HarperCollins. (US: Simon & Schuster, 2000) (3-7)

Andrea Spalding/Janet Wilson (ill.) Me and Mr. Mah. Orca. (US: Orca, 2000) (PS-3)

Eric Walters. The Hydrofoil Mystery. Penguin.

*Tim Wynne-Jones. Stephen Fair. Groundwood. (US: DK, 1998) (5-up)

Roy MacGregor. The Quebec City Crisis. McClelland & Stewart. (US: McClelland & Stewart, 1998)

Andrea Spalding/Janet Wilson (ill.) Sarah May and the Red Dress. Orca. (US: Orca, 1999) (PS-3)

Eric Walters. War of the Eagles. Orca. (US: Orca, 1998) (4-7)

Sarah Withrow. Bat Summer. Groundwood. (US: Groundwood, 1999) (4-7)

*Kenneth Oppel. Silverwing. HarperCollins. (US: Simon & Schuster, 1997) (3-7)

G1. GREAT BRITAIN: Kate Greenaway Medal (Library Association - British)

*Lewis Carroll/Helen Oxenbury (ill.) Alice's Adventures in Wonderland. Walker. (US: Candlewick, 1999) (2-up)

Patrick Benson. The Sea Thing Child. Walker. (US: Candlewick, 1999) (1-up)

Lauren Child. Clarice Bean, That's Me! Orchard. (US: Candlewick, 1999) (1-5)

Paul Fleischman/Kevin Hawkes (ill.) Westlandia. Walker. (US: Candlewick, 1999) (3-up)

Kathy Henderson. The Storm. Walker. (US: Candlewick, 1999) (K-up)

Simon James. Days Like This. Walker. (US: Candlewick, 2000) (3-up)

Michael Morpurgo/Christian Birmingham (ill.) Wombat Goes Walkabout. HarperCollins. (US: Candlewick, 2000) (2-up)

Richard Platt/Chris Riddle (ill.) Castle Diary. Walker. (US: Candlewick, 2000) (4-up)

*Helen Cooper. Pumpkin Soup. Doubleday. (US: FSG, 1999) (K-up)

Quentin Blake. Zagazoo. Cape. (US: Orchard, 1999) (1-up)

Anthony Browne. Voices in the Park. Doubleday. (US: DK, 1998) (1-up)

Emma Chichester Clark. I Love You, Blue Kangaroo. Anderson Press. (US: Bantam, 1999)

Shirley Hughes. The Lion and the Unicorn. Bodley Head. (US: DK, 1998) (3-up)

C.S. Lewis/Christian Birmingham (ill.) The Lion, the Witch & the Wardrobe.

Collins. (US: Putnam, 1999) (3-up)

Jane Simmons. Come On, Daisy! Orchard. (US: Come Along, Daisy! Little, 1998) (PS-2)

*Amy Hest/P.J. Lynch (ill.) When Jessie Came Across the Sea. Macdonald. (US:

Candlewick, 1997) (2-up)

Ken Brown. Mucky Pup. Anderson Press. (US: Dutton, 1997) (PS-up)

Anthony Browne. Willy the Dreamer. Walker. (US: Candlewick, 1997) (All levels)

Peter Collington. A Small Miracle. Jonathan Cape. (US: Random House, 1997) (1-2)

Bob Graham. Queenie the Bantam. Walker. (US: Queenie, One of the Family. Candlewick, 1997) (PS-3)

Michael Rosen/ Clare Mackiel (ill.) Michael Rosen's Book of Nonsense. Orchard. (1-up)

Geraldine McCaughrean/Sophie Windham (ill.) Unicorns! Unicorns! Orchard. (US:

Holiday, 1997) (1-up)

G2. GREAT BRITAIN: Carnegie Medal (Library Association - British)

*Aidan Chaalbers. Postcards from No Man's Land. Bodley Head. (4-up)

David Almond. Kit's Wilderness. Hodder. (US: Delacorte, 2000) (4-up)

Bernard Ashley. Little Soldier. Orchard. (7-up)

Susan Cooper. King of Shadows. Bodley Head. (5-up)

Gillian Cross. Tightrope. Oxford. (US: Holiday, 1999) (7-up)

Jenny Nimmo. The Rinaldi Ring. Mammoth. (6-up)

J.K. Rowling. Harry Potter and the Prisoner of Azkaban. Bloomsbury. (US: Scholastic, 1999)
(4-7)

Jacqueline Wilson. The Illustrated Mum. Doubleday. (5-up)

*David Almond. Skellig. Dodder. (US: Delacorte, 1998) (9-up)

Robert Cormier. Heroes. Hamish Hamilton. (US: Delacorte, 1998) (9-up)

Peter Dickinson. The Kin. Macmillan. (US: The Kin-Suth's Story, 1998; The Kin-Noli's Story, 1998;

The Kin-Po's Story, 1998; The Kin-Mana's Story, 1999; Grossett & Dunlap)

Chris d'Lacey. Fly, Cherokee, Fly. Corgi Yearling. (5-up)

Susan Price. The Sterkann Handshake. Scholastic. (US: HarperCollins, 2000) (9-up)

*Tim Bowler. River Boy. Oxford. (7-up)

Malorie Blackman. Pig-Hearted Boy. Doubleday. (5-up)

Henrietta Branford. Fire, Bed & Bone. Walker. (US: Candlewick, 1998) (4-up)

Geraldine McCaughrean . Forever X. Oxford. (6-up)

Philip Ridley. Scribbleboy. Puffin. (4-up)

J.K. Rowling. Harry Potter and the Philosopher's Stone. Bloomsbury. (US: Harry Potter and the Sorcerer's Stone. Scholastic, 1998) (4-up)

Theresa Tomlinson. Meet Me by the Steelmen. Walker. (2-up)

N1. NEW ZEALAND: Russell Clark Award (NZ Library & Info. Assn.)

*Jane Cornish/Sue Hitchcock-Pratt (ill.) Emily's Wonderful Pie. Scholastic.

Gavin Bishop. Little Rabbit and the Sea. North-South Books. (US: North-South Books, 1997)

Vivienne Joseph/Ruth Paul (ill.) The Penguins' Day Out. Mallinson Rendel.

Lesley Moyes. Alphabet Apartments. Mallinson Rendel.

Richard & Pamela Wolfe. Midnight in the Museum. Scholastic.

Esther Tamehana/Kerry Gemmill (ill.) The Sandman. Huia Publishers.

N2. NEW ZEALAND: Esther Glen Award (NZ Library & Info. Assn.)

*David Hill. Fat, Four-eyed and Useless. Scholastic.

Paula Brock. Dare Truth or Promise. Longacre. (US: Houghton, 1999)

Joy Cowley. Ticket to the Sky Dance. Viking Penguin.

Kate De Goldi. Love, Charlie Mike. Penguin.

Jack Lasenby. Because We Were Travellers.~Longacre.

U1. UNITED STATES: Caldecott Medal (American Library Association)

*Simms,-Taback. Joseph Had a Little Overcoat. Viking. (All levels)

Hans Christian Andersen. (Adapted/illustrated by Jerry Pinkney) The Ugly Duckling.

Morrow. (PS-up)

Molly Bang. When Sophie Gets Angry - Really, Really Angry. Scholastic. (PS-2)

John Updike/Trina Schart Hyman (ill.) A Child's Calendar. Holiday. (All levels)

David Wiesner. Sector 7. Clarion. (K-up)

*Jacqueline Briggs Martin/Mary Azarian (ill.) Snowflake Bentley. Houghton. (4-up)

Andrea Davis Pinkney/Brian Pinkney (ill.) Duke Ellington. Hyperion. (K-4).

David Shannon. No, David! Scholastic. (PS-up)

Uri Shulevitz. Snow. FSG. (PS-up)

Peter Sis. Tibet Through the Red Box. FSG. (4-up)

*Paul Zelinsky. Rapunzel. Dutton. (K-up)

Walter Dean Myers/Christopher Myers (ill.) Harlem. Scholastic. (All levels)

Sarah Stewart/David Small (ill.) The Gardener. FSG. (All levels)

Simms Taback. There Was an Old Lady Who Swallowed a Fly. Viking. (All levels)

U2. UNITED STATES: Newbery Medal (American Library Association)

*Christopher Paul Curtis. Bud. Not Buddy. Delacorte. (4-7)

Audrey Coloumbis. Getting Near to Baby. Delacorte. (5-up)

Tomie dePaola. 26 Fairmount Avenue. Putnam. (2-6)

Jennifer L. Holm. Our Only May Amelia.. HarperCollins. (5-up)

*Icuis Sachar. Holes. FSG. (7-up)

Richard Peck. A Long Way from Chicago. Dial. (4-7)

*Karen Hesse. Out of the Dust. Scholastic. (6-8)

Patricia Reilly Giff. Lily's Crossing. Delacorte. (3-7)

Gail Carson Levine. Ella Enchanted. HarperCollins. (3-7)

Jerry Spinelli. Wringer. HarperCollins. (3-7)

Summary Comments

Each year around the world, a great number of excellent children's books are published, and teachers, media specialists and others interested in children's literature need all the help they can get in keeping up with what is available. This presentation, an attempt to present some information that might help in filling this need, is based upon a review of 154 winners and finalists for 11 children's book awards, over a three-year period (1998-2000), in five English-speaking countries (Australia, Canada, Great Britain, New Zealand, and the United States).

To help teachers and others in making decisions about selections, attention in the presentation focused on availability of non-U.S. books in the United States (62 of 130 titles, or 48%), literary types of each book, and selected characteristics: historical settings (11 of 154, or 7%), geographical settings (49 of 154, or 32%), diversity among characters (26 of 154, or 17%), and humorous theme (10 of 154, or 6%). Perhaps the most important outcome of bringing children, through books, into contact with other people and other places is that it helps them to learn that people across countries and from different ethnic, racial, social, and cultural groups are much more alike than they are different.

An Analysis of Family Relationships in the Caldecott Medal-Winning Books

Erin L. Rowe, Cindy Gillespie Hendricks

Thinking back to the typical American family of the 1950s and 1960s, many people picture the stereotypical happy, suburban mother/homemaker, father/breadwinner, a bright-eyed girl and a boy playing outdoors with the family dog. These ideas could stem from the fact that 75% of households in the 1960s consisted of a married couple, with half of those including one or more children (Hutter, 1998). The typical American family of the 1990s is more difficult to describe, as changes of the past decades have left the American family more diverse. Over the past 50 years, family size and marriages have decreased while divorce rates have increased. More single parent families and cohabitation exist today than ever before, and the present American population has a higher percentage of elderly people than any other historical period (Lystad, 1984).

Family Demographics

Family Size

The U.S. Census 1990 reports that children account for 25.6% or about one quarter of the total population (U.S. Government, 1990). Adults, aged 18-64, make up 61% while the remaining 12.6% includes the elderly (65 years of age and older) (U.S. Government, 1990). The average household size was 2.63 persons (U.S. Government, 1990). Just over 21% of all households in the United States are occupied by a person 65 years of age or older (U.S. Government, 1990).

Marriage/Divorce Rate

According to The Federal Interagency Forum on Child and Family Statistics (FIFCFS), “Over the last 40 years, the American population has married at progressively older ages and with progressively less frequency while they have divorced at rising rates” (FIFCFS, 1999, p. 1). Currently, the median age of marriage for women is 24.5 years of age, and 26.7 years of age for men (Hutter, 1998). The 1990 U.S. Census reports indicate that 70.2% of American households contain a family of some type, with 55.1% of those families including a married couple (U.S. Government, 1990). Statistics report that in 1990, 37% of those couples had at least one child (Hutter, 1998). Not only are fewer people marrying or remarrying, but also fewer married couples are having children. Some reasons for the decline in family size include, but are not limited to: acceptance of contraception methods, older marrying age of women, and changes in attitudes about women’s roles (Lystad, 1984).

The current divorce rate in the United States is double that of 1960, and nearly twice that of other industrialized nations (Hutter, 1998). The divorce rate increased steadily from 1960 to the 1980s (Hutter, 1998). In 1990, nearly half of all marriages were remarriages (Hutter, 1998). A remarriage can mean the addition of stepparents and stepchildren to an existing family. The ratio of stepfather households to stepmother households was 5.1, meaning that a stepfather is more likely to be present in the home than is a stepmother, and, more often than not, the mother gains custody of the children when a divorce occurs (Hutter, 1998). As a result, in 1990, 2.3 million blended families existed in the United States (Hutter, 1998).

Diverse Families

Issues of racial and ethnic equality that came strongly to public attention in the 1960s and 1970s have helped to increase the acceptance of biracial families and couples in the United States. The idea of a relationship with a person of another race is more accepted today by many societies today than in the 1950s (Hutter, 1998). Also seen more often during the present time are multi-generational families, such as grandparents raising their grandchildren. Storck and Cutler are aware of the positive implications of this diversity: “The nuclear, two-generational family has sometimes been regarded as a poor provider of the diversity considered ideal for the child’s developing concepts both of the adult world and of his or her relationship with that world” (1977, p. 293).

Working Parents

Today, the average family contains from one to two children who are supported by two working parents, although the number of single parent families continues to increase (Hutter, 1998). In 1980, 51% of wives worked away from the home, while in 1991, 66% of the women with a child under the age of six worked outside the home (Hutter, 1998). While the number of families with two working parents has increased, so has the number of single mother families. In 1990, 11.6% of all households were headed by a single mother (U.S. Government, 1990). Forty eight percent of these single mothers and their children were living below the poverty line and this population continues to grow (FIFCFS, 1999). In 1996, 59% of children under the age of six in single mother families were living below the poverty line.

As shown by the aforementioned statistics, the American family of present day has certainly changed from the stereotypical family of the 1950s. Some may see this

change as a degeneration of a basic American institution. Others may take the optimistic view that families are evolving in natural ways. “Some believe the family is dying, other believe it is just taking on a new form” (Hutter, 1998, p. 12).

Research Question

As children grow and mature, the family unit generally provides a strong caring support system to allow them to accept the risks and challenges of learning and decision-making. When changes occur in the family causing a breakdown and failure in the support system, the child must seek support elsewhere. The influences on a child during his/her formative years are both powerful and lasting and therefore strong determiners of a child’s development of attitudes (Storck & Cutler, 1977). “Literature can often play a useful role by providing fictional counterparts who are experiencing similar crises” (Bracken, Wigutloff & Baker, 1981, p. 28).

With the increased use of children’s literature in early childhood reading instruction, picture books become particularly important and influential sources of learning, containing as they do powerful messages interwoven into creative storylines and beautiful illustrations (Dellmann-Jenkins & Yang, 1997).

According to Lystad (1984), “Focus on the family in American children’s books is relevant because the family, however constituted, is the most universal social group” (p. xii).

The purpose of this investigation was to examine the portrayal of the family unit in children’s literature through analysis and comparison of the Caldecott Medal-winning books by decade from 1938-2000. Data were gathered using strategies similar to those used in other content analysis investigations (Bracken, Wigutloff & Baker, 1981;

Czaplinski, 1972; Davis & McDaniel, 1999; Dellmann-Jenkins & Yang, 1997; Hurst, 1981; Lystad, 1984). Books were read to determine presence of family units. Books containing family references were then analyzed and classified into categories according to the familial unit type present in the book.

Procedures

To gather and analyze essential data, all of the Caldecott Medal-winning books published since their origin in 1938 until the 2000 winner, were located (see Appendix A). Each book was read to determine if a family unit was present. A family unit is here defined as a social unit living and functioning as one household. It may include animals taking on human roles.

Books without reference to family were eliminated. Some books did not have characters engaged in a plot. Examples of these are Ashanti to Zulu: African Traditions (Musgrove, 1976), an alphabet book, and Fables (Lobel, 1980), a collection of fables. These books were identified as “unspecified” in the analysis and were omitted. The remaining books were reread and evaluated as to family unit type:

1. Single parent?
2. Dual parent family (defined as a family including both a birth mother and a birth father and at least one child)?
3. Two or fewer, or more than two children in family?
4. Multiethnic family (family members belonging to more than one race)?
5. Blended family (defined as an immediate family containing parents and children who are not all direct blood relatives but live and function as one household. May include stepparents, stepchildren, and half- siblings)?

6. Grandparents represented (also included multi-generational family defined as a group of people who are members of more than two different generations living in one household and functioning as a unit)?
7. Extended family (defined as a social unit consisting of parents and children along with other relatives, living in one household and functioning as an integrated family)?

Data were recorded on spreadsheets. The books were not rated or judged; rather, they were classified by the familial relationships between characters appearing in the story.

Results

A total of 29 books were excluded from the study (see Appendix B), because a familial relationship was not identifiable (labeled No Family) or because there were no main characters or plot (labeled Unspecified). The results of the content analysis will be discussed by decade.

1938-1939

Since the Caldecott Medal Award began in 1938, only two winners were chosen from the decade of 1930-1939 (see Table 1). The second winner of the 1930s, chosen in 1939 was Mei Li (Handforth, 1938). This story, about a Chinese girl named Mei Li, includes her brother, mother and uncle; therefore, it is considered to contain a single parent family relationship with two or fewer siblings. There is no mention of a father in this story.

1940-1949

Of the ten books selected as the Caldecott Medal-winning books for the 1940s, five included a relationship between a child character and an adult

Table 1

Analysis of Family Relationships

Year	Title	Family relationships
1939	<u>Mei Li</u>	mother, daughter, brother
1940	<u>Abraham Lincoln</u>	father, mother, stepmother, son, daughter, 3 stepsiblings
1941	<u>They Were Strong</u> <u>Good</u>	grandfather, grandmother, mother, <u>and</u> father, son, wife, grandson
1942	<u>Make Way for Ducklings</u>	mother, father, 8 ducklings
1944	<u>Many Moons</u>	father, daughter
1951	<u>Egg Tree</u>	grandmother, grandson, granddaughter
1953	<u>Biggest Bear</u>	grandfather, grandson
1955	<u>Cinderella or the Little</u> <u>Glass Slipper</u>	stepmother, girl, 2 stepsisters
1956	<u>Frog Went A-Courtin'</u>	uncle, niece
1958	<u>A Time of Wonder</u>	mother, father, 2 daughters
1959	<u>Chanticleer and the Fox</u>	widow, 2 daughters
1960	<u>Nine Days to Christmas</u>	mother, son, daughter
1963	<u>Snowy Day</u>	mother, son
1964	<u>Where the Wild Things Are</u>	mother, son
1966	<u>Always Room for One More</u> <u>More</u>	mother, father, 10 children
1967	<u>Sam, Bangs, & Moonshine</u>	widower, daughter

1969	<u>Fool of the World</u>	mother, father, 3 sons
1970	<u>Sylvester and the Magic Pebble</u>	mother, father
1975	<u>Arrow in the Sun</u>	mother, son
1979	<u>Girl Who Loved Horses</u>	mother/ father/ daughter
1980	<u>Ox-Cart Man</u>	mother, father, brother, sister
1982	<u>Jumanji</u>	mother, father, son, daughter
1984	<u>Glorious Flight</u>	mother, father, 5 children
1986	<u>Polar Express</u>	mother, father, brother, sister
1988	<u>Owl Moon</u>	father, daughter
1989	<u>Song and Dance Man</u>	grandmother, grandfather, 2 boys, 1 girl
1990	<u>Lon PoPo: A Red Riding Hood Story From China</u>	mother, grandmother, 3 daughters
1991	<u>Black and White</u>	mother, father, 2 sons
1993	<u>Mirette on the High Wire</u>	widow, daughter
1994	<u>Grandfather's Journey</u>	grandfather, grandmother, mother, father, son, wife
1995	<u>Smoky Night</u>	mother, son
1998	<u>Rapunzel</u>	mother, father, daughter, husband, twin son and daughter
1999	<u>Snowflake Bentley</u>	mother, father, 2 sons

relative (see Table 1). One of the five books included a single parent family. A dual parent family occurred in the other four of the five books. One of the books classified as dual parent family also contained a blended family with a stepmother and stepsiblings.

The one book exhibiting a single parent family was Many Moons (Thurber, 1943), in which a princess is cared for by her single father, the king. No mention is made of her mother. Four books had characters in a dual parent family. Prayer for a Child includes a line that says, “Bless my father and mother and keep us close to one another.” (Field, 1944, p. 21). They Were Strong and Good (Lawson, 1940) is a first person narrative in which the author briefly describes the lives of his parents and grandparents. The 1942 Caldecott winner, Make Way for Ducklings (McCloskey, 1941), is a story about a mother and father duck who desire the best possible location to raise their eight ducklings. Finally, Abraham Lincoln (d’Aulaire & Parin, 1939) is a story not only about a mother/ father, son, daughter nuclear family, but it also includes a stepmother and three stepsiblings who come to live with the Lincolns after the death of Mrs. Lincoln.

1950-1959

The Caldecott Medal winners of the 1950s included six books exhibiting familial relationships (see Table 1). Of the six winners displaying families, one was a dual parent family, and one exhibited a single parent. The remaining four books included a relationship between one or more children and an adult relative who was not a parent. Of these four books, two included a grandparent family, one portrayed a stepmother/stepchild relationship, and the last relationship was of an uncle and niece.

Only two of the books of this decade included a relationship between a natural parent and child. Time of Wonder (McCloskey, 1957) featured a dual parent family of a

mother and father and two children who enjoy a summer vacation on the ocean and beach. The Chanticleer and the Fox (Cooney, 1958) portrays the primary caregiver of two girls as a widow who assists efforts to outsmarting a fox. Four books included adult relatives other than parents. The Egg Tree (Milhous, 1950) is about a boy and girl who are staying with their grandmother and hunting for Easter eggs. Cinderella or the Little Glass Slipper (Perrault, 1954), the popular fairytale, portrays the family of Cinderella and her two evil stepsisters headed by the evil stepmother. The Biggest Bear (Ward, 1952) is a tale of a boy who lives with his grandfather and takes a bear as a pet against his grandfather's wisdom. Finally, the main character in Frog Went A-Courtin' (Langstaff, 1955) is Miss Mousy who needs her Uncle Rats permission to marry; obviously, he is an important figure in her life.

1960-1969

The Caldecott Medal-winning books of the 1960s featured the same quantity of families as the preceding decade and just one more than the 1940s. Six of the 10 Caldecott Medal Award-winning titles feature a relationship between a child and an adult relative. Two of the six Caldecott medal winners that feature families, include dual parent/ mother-father characters. Four of the six books exhibit a single parent, three single mothers and one single father.

The two Medal winners exhibiting dual parent families during the 1960s were: The Fool of the World and the Flying Ship: A Russian Tale (Ransome, 1968) and Always Room for One More (Alger, 1965). Three of the six books mention a mother but not a father. Nine Days to Christmas (Ets & Labastida, 1959) is Mexican Christmas tale which also includes extended family such as uncles, aunts, and cousins. Snowy Day (Keats,

1962) is the story of a young boy's adventures in a winter wonderland, while Where the Wild Things Are (Sendak, 1963) is about an imaginary adventure that takes place when Max is sent to his room by his mother. Of the six award winners that include families, one has a widower fisherman as the adult caregiver of his daughter, Samantha, who likes to tell tall tales in Sam, Bangs, & Moonshine (Ness, 1966).

1970-1979

Three Caldecott Medal winners in the 1970s exhibited a family relationship between a child and an adult relative. Of the three families, two included a dual parent family of both a mother and a father. One book featured a single parent family of only a mother and son.

The two selections that include dual parent families are Sylvester and the Magic Pebble (Steig, 1969) and The Girl Who Loved Horses (Goble, 1978). A single parent family was found in Arrow to the Sun (McDermott, 1974) in which a boy is cared for by his mother alone. In Sylvester and the Magic Pebble (Steig, 1969), the goat child sets out to discover new rocks for his collection. His parents miss him dreadfully but value his happiness. The Girl Who Loved Horses (Goble, 1978) follows the same story line, except she longs to run with and become one of the wild horses. When she returns for a visit, he parents miss her but release her to follow her true love of the horses. Finally, Arrow to the Sun (McDermott, 1974) is the story of a boy who wants desperately to meet his father, the sun god. His mother understands that this is something she must allow her son to do.

1980-1989

The number of families represented in the ten Caldecott winners climbed from three during the 1970s to six during the 1980s. Of the ten award-winning books reviewed for the decade, six contained a relationship between a child character and an adult relative. Four of the six books exhibited dual parent, mother/ father families. One selection features a grandfather and grandmother who are caring for their grandchildren. Finally, one Caldecott Medal contains a single parent situation of a young girl character who is cared for by her father in the story.

The four books exhibiting dual parent, mother/ father families are Ox-Cart Man (Hall, 1979), detailing each season's chores on a farm; Jumanji (Van Allsburg, 1981), a story of a game that comes to life for a boy and girl; The Glorious Flight: Across the Channel with Louis Bleriot (Provinsen & Provinsen, 1983), a tale about flying; and The Polar Express (Van Allsburg, 1985), a classic Christmas dream tale. The book that portrays the multigenerational family is Song and Dance Man (Ackerman, 1988) in which a grandfather entertains his three grandchildren with a tap dance while the grandmother prepares dinner. Owl Moon (Yolen, 1987), published during the 1980s, is the story including a single father who takes his young daughter for a midnight owl search in the snowy woods.

Four of the six award winning books with families have a four-member family that includes a mother, father, daughter, and son. Only two of the six books feature more than two child characters: Song and Dance Man (Ackerman, 1988) has a girl and two boys, and The Glorious Flight: Across the Channel with Louis Bleriot (Provinsen & Provinsen, 1983) includes five children of unspecified gender.

The familial characteristics of the books of this decade that present themselves most frequently are the four-member family (mother, father, daughter, and son), surfacing four times in this collection of ten books. To a lesser extent, a small number of single parent families and multigenerational families are portrayed (one time each).

1990-2000

The final decade of the Caldecott award winning books was the 1990s. Seven of the ten Caldecott Medal winners published during the 1990s included a family among the characters. Four books featured a dual parent family of both a mother and a father. The other three books included a single parent relationship between a mother and child or children.

Of the seven families portrayed in the books during the 1990s, the four that featured a dual parent family were Black and White (Macaulay, 1990), a unique story told in several parts; Snowflake Bentley (Martin, 1998), a true childhood story of a famous scientist; Grandfather's Journey (Say, 1993), including in it three complete families; and Rapunzel (Grimm Brothers & Zelinsky, 1997), including in it two complete families. The other three books all featured a single mother family and are titled Lon PoPo: A Red-Riding Hood Story from China (Young, 1989), a Chinese version of the Little Red Riding Hood fairy tale; Mirette on the High Wire (McCully, 1992), in which a circus performer teaches Mirette to walk on the tight rope; and Smokey Night (Bunting, 1994), the story of the Los Angeles riots.

Interestingly, two of the books told the story of more than one family. Grandfather's Journey (Say, 1993) tells of three generations of a Chinese-American family. Rapunzel (Grimm Brothers & Zelinsky, 1997) begins with an expectant couple,

and ends as that child lives happily ever after with her husband and their twin daughter and son.

Conclusions

Of the 34 books containing families, 17 of the books (50%) included a dual parent/ mother and father family, making this the most commonly occurring type of family found in the Caldecott Medal winners (see Table 2).

The next most commonly occurring type of family in the Caldecott books was the single mother family. Nine of the 34 Medal winners (26%) that included families, mentioned a mother, but not a father or stepfather. The father appeared as a character (without mention of a live mother) in three of the 34 books that included families. In one of the three books, the father was a widower, but the other two do not mention a mother. The character of a stepmother appeared twice in the 63 years of Caldecott selection. She was portrayed as evil in Cinderella or the Little Glass Slipper (Perrault, 1954) but presented as a welcomed addition to the family in Abraham Lincoln (d'Aulaire & Parin, 1939). Three of the Caldecott Medal winners portrayed grandparents as caregivers for the child character. In the Song and Dance Man (Ackerman, 1988), both grandparents care for the three children. Appearing separately, the grandmother was mentioned in two books and the grandfather in a third. Relatives other than parents, such as cousins and uncles, were mentioned in a few books, but only the main caregiver in one book, Frog Went A-Courtin' (Langstaff, 1955) in which Miss Mousy won't marry without first consulting her Uncle Rat. Only four of the 34 of the books with identified families contained the stereotypically ideal family

Table 2

Summary of Analysis by Decade

<u>Characteristic</u>	<u>1930</u>	<u>1940</u>	<u>1950</u>	<u>1960</u>	<u>1970</u>	<u>1980</u>	<u>1990</u>	<u>2000</u>	<u>Total</u>
Unspecified		1 (10)	1 (10)	0 (0)	0 (0)	1 (10)	1 (10)	0 (0)	0 (0) 4 (6)
No family		0 (0)	4 (40)	4 (40)	4 (40)	6 (60)	3 (30)	3 (30)	1 (10) 25 (39)
Dual parent family		0 (0)	4 (40)	1 (10)	2 (20)	2 (20)	4 (40)	4 (40)	0 (0) 17 (27)
Single parent		1 (10)	1 (10)	2 (20)	4 (40)	1 (10)	1 (10)	3 (30)	0 (0) 13 (21)
Blended family		0 (0)	2 (20)	1 (10)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0) 3 (5)
Grandparents	0 (0)	0 (0)	2 (20)	0 (0)	0 (0)	1 (10)	3 (30)	0 (0)	6 (10)
1-2 children		1 (10)	3 (30)	5 (50)	4 (40)	3 (30)	4 (40)	4 (40)	0 (0) 24 (38)
3 or more children		0 (0)	2 (20)	1 (10)	1 (10)	0 (0)	2 (20)	3 (30)	0 (0) 9 (16)
Multiethnic family		0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0)	0 (0) 0 (0)

Number before parenthesis= occurrence of the given type during the decade

Number in parenthesis= percent of occurrence of the given type during the decade,
rounded to the nearest whole number

Note: Some books contained more than one characteristic, such as both a dual parent family and a blended family, therefore, totals may not sum to ten books per decade.

of a father, mother, son, and daughter. Of the books containing families, 27 (75%) contained one or two children, and nine (25%) contained three or more children. The total number of books does not sum to 34 because two of the books contained more than one family with children.

Discussion

Data showed that some type of family relationship was present in 55% of the Caldecott Medal winners from 1938-2000. This means that one or more of the following joined a child character: parent, grandparent, stepparent, or other adult relative in just over half of all Caldecott Medal winners. Although not compelling evidence, the Caldecott Medal books do support the notion that family is important to society and has remained important throughout the past six decades.

The number of families present in each decade was fairly consistent. With the exception of the 1970s, each decade had very nearly, if not exactly, 60% of its books with some type of child-adult relative relationship. This lends support to the argument that through changing times, the family is still desirable in children's books. One or two related children, occurring in 75% of the books with families, was much more common (three times more common) than the presence of three or more child sibling characters, occurring 25% of the time. While books may not be chosen as award winners simply because they include a family relationship, nevertheless, this could be an element of the characters and/or plot that makes the selection one of award winning quality.

The notion that children's literature, as all literature, mirrors the values, mores, and ideals of the time period and society in which it was written held true in this study of the Caldecott Medal winners. A strong family bond has always been a desired element of

a healthy childhood. The presence of some type of family during each decade illustrates that this ideal remains constant even through changes that our society continues to undergo.

Interestingly, certain types of families appeared more often during some decades than others. First, the stereotypically ideal dual parent family of mother, father, and child or children appeared a total of 17 times over the 63-year history of Caldecott Medal-winners. The dual parent family was found most frequently during the 1940s, 1980s, and 1990s. The abundance of the dual parent family seems to occur at time periods of American history in which this type of family was not as common as other times. During the early 1940s, when four of the books containing dual parent families were published, many American families were divided due to World War II. During the 1980s and 1990s, we see many families divided by divorce as the rate of failed marriages climbs to over 50%. Perhaps either subconsciously or consciously, authors and award committees believed that writing and honoring books that value the traditional family would encourage its regrowth. Or perhaps these stories are reminders of the ideals that are valued and desired in our present lives.

The second most commonly occurring type of family found in the Caldecott Medal winners was the single mother family, which appeared nine times in the collection of Caldecott Medal-winners. Three of those instances were during the early 1960s while three others occurred during the early 1990s. The frequency of this type of relationship is not as strong as that of the dual parent family; however, a pattern is evident. In many of the single mother family books, the whereabouts of the father are unknown. He is simply not mentioned. Perhaps the author intended for the father either to be at work or not

involved in the care of the children. During the 1960s, many more women stayed home and cared for children while men worked outside the home. There is no way of knowing where any of the absent parents are in these stories. Simply, their absence is worthy of notice. This presence of a single parent caregiver in the stories is, however, helpful during the 1990s with many single parent families. These books are reflecting the relationships of families in current society, rather than the relationships for which society may long.

The single father relationship is seen only three times in the 34 family-inclusive stories. These instances are distributed evenly throughout the decades. In two of the books, the reader is unsure of the location of the mother; she is simply not mentioned in the story. The implications of these findings are similar to that of the single mother circumstances previously mentioned. Although the authors' intentions are unknown, these stories can be valuable for a child who finds himself or herself living with a single father.

The Caldecott Winners of the 1970s offer only half as many families in the books as the other five decades. Perhaps this is a reflection of the decade itself, a time of rebellion and change. The book selections of this era included as many as nine stories from other cultures in the genre of folk tales with messages.

The most commonly occurring type of family in this sample was the stereotypically complete dual parent family. In comparing the portrayal of the family in children's books to actual family change outside books, the stories we choose for our children are heading in a reasonable right direction: we are seeing more single parent

families in the most recent decade, yet we are still seeing the dual parent family representation.

Conclusion

“Picture books provide young children with an exposure to world cultures and mores that is particularly influential because the books are used before many other influences are present in a child’s life” (Allen, Allen, & Sigler, 1993, p. 72). To foster lifelong reading habits, children need exposure to meaningful experiences with literature (Gillespie, Clements, Powell & Swearingen, 1993). People who assist children in book selection--teachers, parents, librarians--will want to take note of the patterns of family representation in the Caldecott Medal award-winning children’s books.

While the Caldecotts are an excellent collection of books, they may not meet the needs of all readers. “Care should be exercised in book selection and presentation to provide full information, without censorship or stereotyping influence” (Allen, et al., 1993, p. 72). We are aware that the two most recent decades of Caldecott winners feature a strong presence of dual parent families. For a child who is in a single parent or foster parent situation, other selections may also be needed for that child to relate to the characters. “If children never see themselves in books, then subtly they are being told that they are not important enough to appear in books” (Gillespie, et al., 1993, p. 110).

It is also beneficial for children to experience stories about family types other than their own so that they may learn they are not all alike and learn to value differences. Picture books are useful tools for fostering a child’s acceptance and understanding of differences and as well as respect for his/her own and others’ backgrounds and situations (Dellmann-Jenkins, Florjancic & Swadener, 1993). If books that portray the family as

multiracial are desired, one will have to look elsewhere, for only one such book was located in this collection. Overall, the Caldecott books are a worthwhile selection of children's literature when evaluated for presentation and variety of family relationships. With approximately half of the books exhibiting a familial relationship between a child and an adult relative, these books value that which our society desires.

When selecting books to teach children about specific kinds of families or to start a discussion about the different type of families, a teacher may want to investigate the Caldecott Medal winners, because they do portray different types of families. Hopefully, young children are exposed to various genre--fiction, nonfiction, poetry--in order to develop their love of reading. Books can be great teachers, exposing children to a variety of characters in different situations throughout life. Educators must not simply choose the books that focus on our ideal situations, but also on real life situations so that children can relate to and learn from them.

Books will never replace personal human contact, but literature can raise a children's level of consciousness and expand their understanding of others' circumstances (Huck, Hepler & Hickman, 1987). Through reading, children may learn to accept families that may or may not resemble their own. This understanding and empathy is necessary if children are to become whole and healthy individuals and members of society.

Diversity in children's literature educates young children to the importance of being a unique individual and of valuing differences in others. The inclusion of stereotypes in children's literature can either help or hinder children in "the discernment of who they are and who they might become" (Allen, et al., 1993, p. 68). Parents and

teachers can use quality children's literature to teach about cultural diversity as well as family diversity while at the same time increasing their interest in the world beyond their immediate situation. A lifelong interest in reading, however, is often best promoted--at least at the outset--when the stories and characters used in some ways mirror children's own lives and circumstances (Gillespie, et al., 1993).

"Children's books...offer unusual insights into the ideal values and behavior patterns prescribed for children...they reveal what adults- parents and observers- believe the society to be at its best, despite what it actually is or may be" (Lystad, 1984, p. xii). "Children's literature that reflects the contributions, lifestyles, and values [of everyone] ... will not only help children ... to better understand who they are, it will also teach ... children to respect the contributions and lifestyles of individuals ..." (Ramirez & Ramirez, 1994, p. 137).

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Straus, & Giroux.

Appendix A:

Caldecott Medal-Winning Books 1938-2000

Year of Award	Title
1938	<u>Animals of the Bible: A Picture Book</u>
1939	<u>Mei Li</u>
1940	<u>Abraham Lincoln</u>
1941	<u>They Were Strong and Good</u>
1942	<u>Make Way For Ducklings</u>
1943	<u>The Little House</u>
1944	<u>Many Moons</u>
1945	<u>Prayer for a Child</u>
1946	<u>Rooster Crows: A Book of American Rhymes and Jingles</u>
1947	<u>The Little Island</u>
1948	<u>White Snow, Bright Snow</u>
1949	<u>Big Snow</u>
1950	<u>Song of the Swallows</u>
1951	<u>Egg Tree</u>
1952	<u>Finders Keepers</u>
1953	<u>Biggest Bear</u>
1954	<u>Madeline's Rescue</u>
1955	<u>Cinderella, or the Little Glass Slipper</u>
1956	<u>Frog Went A-Courtin'</u>
1957	<u>A Tree is Nice</u>

1958	<u>A Time of Wonder</u>
1959	<u>Chanticleer and the Fox</u>
<u>Year of Award</u>	<u>Title</u>
1960	<u>Nine Days to Christmas</u>
1961	<u>Babouska and the Three Kings</u>
1962	<u>Once A Mouse: A Fable Cut in Wood</u>
1963	<u>Snowy Day</u>
1964	<u>Where the Wild Things Are</u>
1965	<u>May I Bring a Friend?</u>
1966	<u>Always Room for One More</u>
1967	<u>Sam, Bangs, & Moonshine</u>
1968	<u>Drummer Hoff</u>
1969	<u>Fool of the World</u>
1970	<u>Sylvester and the Magic Pebble</u>
1971	<u>A Story, A Story: An African Tale</u>
1972	<u>One Fine Day</u>
1973	<u>The Funny Little Woman</u>
1974	<u>Duffy and the Devil</u>
1975	<u>Arrow in the Sun</u>
1976	<u>Why Mosquitoes Buzz in People's Ears: A West African Tale</u>
1977	<u>Ashanti to Zulu: African Traditions</u>
1978	<u>Noah's Ark</u>
1979	<u>Girl Who Loved Wild Horses</u>

1980	<u>Ox-Cart Man</u>
1981	<u>Fables</u>
<u>Year of Award</u>	<u>Title</u>
1982	<u>Jumanji</u>
1983	<u>Shadow</u>
1984	<u>Glorious Flight</u>
1985	<u>Saint George and the Dragon</u>
1986	<u>Polar Express</u>
1987	<u>Hey Al</u>
1988	<u>Owl Moon</u>
1989	<u>Song and Dance Man</u>
1990	<u>Lon PoPo: A Red Riding Hood Story From China</u>
1991	<u>Black and White</u>
1992	<u>Tuesday</u>
1993	<u>Mirette on the High Wire</u>
1994	<u>Grandfather's Journey</u>
1995	<u>Smoky Night</u>
1996	<u>Officer Buckle and Gloria</u>
1997	<u>Golem</u>
1998	<u>Rapunzel</u>
1999	<u>Snowflake Bentley</u>
2000	Joseph Had a Little Overcoat

Appendix B:

Books Without Familial Relationships

and

Books Identified as Unspecified

<u>Year of Award</u>	<u>Title</u>	
1938	<u>Animals of the Bible: A Picture Book</u>	Unspecified
1943	<u>The Little House</u>	No Family
1946	<u>Rooster Crows: A Book of American Rhymes and Jingles</u>	Unspecified
1947	<u>The Little Island</u>	No Family
1948	<u>White Snow, Bright Snow</u>	No Family
1949	<u>The Big Snow</u>	No Family
1950	<u>Song of the Swallows</u>	No Family
1952	<u>Finders Keepers</u>	No Family
1954	<u>Madeline's Rescue</u>	No Family
1957	<u>A Tree is Nice</u>	No Family
1961	<u>Baboska and the Three Kings</u>	No Family
1962	<u>Once A Mouse: A Fable Cut in Wood</u>	No Family
1965	<u>May I Bring a Friend?</u>	No Family
1968	<u>Drummer Hoff</u>	No Family
1971	<u>A Story, A Story: An African Tale</u>	No Family
1972	<u>One Fine Day</u>	No Family
1973	<u>The Funny Little Woman</u>	No Family
1974	<u>Duffy and the Devil</u>	No Family

1976	<u>Why Mosquitoes Buzz in People's Ears:</u> <u>A West African Tale</u>	No Family
1977	<u>Ashanti to Zulu: African Traditions</u>	Unspecified
<u>Year of Award</u>	<u>Title</u>	
1978	<u>Noah's Ark</u>	No Family
1981	<u>Fables</u>	Unspecified 1983
	<u>Shadow</u>	No Family
1985	<u>Saint George and the Dragon</u>	No Family
1987	<u>Hey Al</u>	No Family
1993	<u>Tuesday</u>	No Family
1994	<u>Officer Buckle and Gloria</u>	No Family
1998	<u>Golem</u>	No Family
2000	<u>Joseph Had a Little Overcoat</u>	No Family

The Power of Phonological Awareness as a Predictor of Basic Reading Skill

Michael P. French, Carrie Opatrny, Lessie Cochran

The importance of phonological awareness as a foundation for the development of basic reading skills has been demonstrated in recent studies and reports (Ehri, 1991, 1994; Morais, Bertelsen, Cary, & Alegria, 1987; Share, Jorm, MacLean, & Matthews, 1984; Snow, Burns, & Griffin, 1998; Stanovich, 1994). Further, additional studies (Bradley & Bryant, 1983; Bruck, 1992, 1993; Fawcett & Nicholson, 1995; Fletcher, Shaywitz, Shankweiler, Katz, Lieberman, Stuebing, Francis, Fowler, & Shaywitz, 1994; Fox & Routh, 1980; Lindamood, Bell, & Lindamood, 1992; Lyon, 1995) have demonstrated the importance of PA in the assessment and remedial instruction of disabled readers. And finally, PA has been a focus of substantial inquiry in government reports (National Reading Panel, 2000) and reviews (Ehri, Nunes, Willows, Schuster, Yaghoub-Zadeh, & Shanahan, T. 2001). As such, for clinics and reading centers in which reading abilities and disabilities are assessed, the understanding of the impact of PA on basic reading should be a critical element of any reading assessment protocol. Accordingly, the purpose of this paper is to report two investigations conducted at a Midwest university reading center in which the predictive relationship of phonological awareness on basic reading was studied.

Defining Phonological Awareness

Phonological awareness (PA) has been defined by literacy authorities (Adams, 1990; Snow, et al., 1998; Stanovich, 1994; Torgesen, 1996) as the ability to work explicitly with sound elements smaller than the syllable. PA involves the conscious

ability to manipulate individual speech sounds within words (Lundberg, Frost, & Petersen, 1988). More recently, ability in PA has been associated with six specific linguistic tasks that have become the target of assessment and instruction (Ehri, et al., 2001; National Reading Panel, 2000). These include the following:

1. Phonemic isolation – ability to recognize individual sounds in words.
Example: “Tell me the first sound in ginger.” (/j/)
2. Phoneme identity – ability to recognize the common sound in different words.
Example: “Tell me the sound that is the same in peach, pile, and pickle?
(/p/)
3. Phoneme categorization – ability to recognize the word with an odd sound among a sequence of three to four words.
Example: “Which word does not belong? bug, rug, bun, bus.” (rug)
4. Phoneme blending - ability to listen to individual sounds and to combine them into a recognizable word.
Example: “What word is /k/ /æ/ /t/?” (cat)
5. Phoneme segmentation – ability to break a word into its sounds by tapping or counting the sounds.
Example: “How many phonemes are in rain? (3: /r/ /ā/ /n/)
6. Phoneme deletion – ability to recognize what word remains when a specified phoneme is removed. Phoneme deletion is also referred to as elision.
Example: “What is left without the /s/?” (tall)

Two of these tasks, phoneme blending and phoneme deletion are assessed as part of the phonological awareness cluster on the Comprehensive Test of Phonological Awareness (CTOPP) (Wagner, Torgesen, & Rashotte, 1999) and were the focus of the present studies.

The Studies

The first study, Opatrny (1999), investigated the correlation of two subtests from the CTOPP (Wagner, et al., 1999) with two subtests from the Woodcock Diagnostic Reading Battery (WDRB) (Woodcock, 1997). The subjects for the first investigation were fifty-three children enrolled in a university reading center intervention program.

In the second investigation (Opatrny, French, & Cochran, 2000), a regression analysis was conducted to ascertain the predictability of significant relationships of the six subtests from the CTOPP with the Total Reading cluster from the Woodcock Diagnostic Reading Battery. In this second investigation, thirty existing diagnostic case records from an existing data base of client records were reviewed.

These studies are justified for the following three reasons. First, just as teachers conduct action studies to evaluate their teaching methods, clinical diagnosticians must also assess their practice. One way in which this can be done is by studying the tests used in assessment. The second reason for the studies stems from the technical development of the CTOPP. The authors completed several studies in which the CTOPP was correlated to formal reading tests. One study compared the CTOPP to the Woodcock Test of Reading Mastery. However, no previous test had been conducted to correlate the CTOPP to the Woodcock-Johnson Achievement Test or to the Woodcock Diagnostic Reading Battery, which contains the reading subtests of the WJAT. Finally, the studies were justified in

that they provided the clinical staff of the participating university reading center with information needed to provide better reading interpretations and diagnoses.

Study 1

Defining basic reading. For the purpose of these investigations, the definition of basic reading was taken from the Basic Reading Skills Cluster of the Woodcock Diagnostic Reading Battery (Woodcock, 1997). Specifically, this includes letter-word identification and word attack. On the Woodcock Diagnostic Reading Battery, word identification involves the recognition of sight words, such as get, was, part, presented in isolation. Word attack involves the pronunciation of nonsense words (letter combination or pseudo words) such as tiff, zoop, and dright.

The subjects. The students in this study were children enrolled in a Saturday morning reading program at a Midwest university reading center. Testing was conducted on the first day of instruction as part of a pre-testing protocol. In all, 53 children were assessed using the sound blending and elision subtests from the CTOPP and the letter word identification and word attack subtests from the WRDB. The children ranged in age from 6 to 12 years. All assessments were administered and scored by graduate students enrolled in a literacy practicum experience.

Results. In order to determine correlations between the variables, means and standard deviations for the subtests and clusters were calculated. These are presented in Table 1.

Table 1.

Phonological awareness and basic reading subtests and clusters

Subtest/Cluster (n=53)	Mean*	Standard Deviation
<u>CTOPP</u>		
Elision	7.58	2.73
Blending Words	10.58	2.67
Phonological Awareness	91.00	11.83
<u>WDRB</u>		
Letter-Word Identification	82.60	14.91
Word Attack	81.30	15.00
Basic Reading Skills	82.20	13.43

* Subtest average means on the CTOPP = 10.0 (+/- 3). Cluster means on the CTOPP as well as the subtest and cluster scores on the WDRB = 100 (+/- 15).

As shown in Table 1, the children assessed in the first study displayed low average abilities in phonological awareness and below average abilities in basic reading. This is consistent with the fact that the students were enrolled in a program to enhance their basic reading skills.

Next, correlations between subtests were calculated. These results are presented in Table 2.

Correlations between PA subtests/clusters and WDRB subtests/clusters

CTOPP section	Letter-Word ID	Word Attack	Basic Reading Skills
Elision	.603**	.776**	.716**
Blending Words	.489**	.390**	.466**

Phonological Awareness	.695**	.732**	.749**
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** $p < .05$.

As shown in Table 2, significant correlations were seen among all tests and clusters. It was anticipated that correlations between CTOPP and WDRB tests would be significant. In further reviewing the data, it was found that elision correlated most strongly with word attack, whereas sound blending correlated most strongly with letter-word identification.

Discussion. The results are consistent with the concurrent correlation study reported in the CTOPP examiner's manual (Wagner, et al., 1999). However, in that study, the CTOPP was correlated with the Woodcock Reading Mastery Tests-R. As in the present study, the correlations were significant, elision correlated to word attack (.74, $p < .01$) and to word identification (.53, $p < .001$). Blending words correlated significantly to word attack (.32, $p < .01$) but not to word identification.

In developing assessment protocols for intervention programs, it is important to utilize tests that are valid and reliable in the results they generate. In the first study, consistent with the studies previously cited, phonemic awareness was shown to be a significant factor in basic reading development. Thus, the supposition that PA should be assessed in intervention programs was confirmed, as it would appear the subtests from the CTOPP used in this study proved to be not only valid, but also a reliable indicator of word-level reading skills in these reading center children.

Study 2.

The second study (Opatrny, et al., 2000), in which existing diagnostic records were reviewed, sought to extend the first. Specifically, the objective of this second study

was to use regression analysis to ascertain which CTOPP subtests most impacted the total reading score on the WDRB. The WDRB uses four core subtests to calculate the Total Reading Score. These are Letter-Word Identification, Word Attack, Vocabulary, and Reading Comprehension. The core battery of the CTOPP consists of six subtests. In addition to the phonological awareness subtests of elision and word blending, the assessment includes two tests of rapid naming (digits and letters) as well as two phonological memory subtests (memory for digits and non-word repetition).

In order to select profiles for inclusion in the review, sixty case files were selected at random from diagnostic cases completed in 1999 and 2000. The first criterion for inclusion in the analysis was the age of the children assessed matched the children's ages included in Study #1. The second criterion for inclusion was that the client was tested with both the CTOPP and the WDRB. Those in which one or the other was not administered were excluded. The first thirty files that met these criteria were selected.

Means and standard deviations were calculated as in the first study. Then, using the SPSS computer application, a step-wise regression analysis was completed using the WDRB total reading score as the dependent variable and the CTOPP subtests as the independent variables.

Results. The summary of means and standard deviations of the CTOPP and WRDB for the thirty reviewed cases is presented in Table 3.

Table 3.

Subtest scores for the CTOPP and WRDB

Subtest/Cluster (n=30)	Mean*	Standard Deviation
<u>CTOPP</u>		
Elision	8.17	2.81
Blending Words	7.90	2.41
Memory for Digits	8.97	3.07
Rapid Digit Naming	8.16	2.32
Non-Word Repetition	8.80	1.93
Rapid Letter Naming	8.16	2.15
<u>WRDB</u>		
Letter-Word Identification	93.10	12.93
Word Attack	92.10	14.67
Reading Vocabulary	95.60	13.45
Reading Comprehension	97.63	13.36
Total Reading	94.33	12.54

* Subtest expected means on the CTOPP = 10.0 (+/- 3).

* Subtest expected means on the WRDB = 100 (+/- 15).

A review of the scores presented in Table 3 demonstrate that the children assessed at the reading center generally do score in the low average range on both the CTOPP and the WRDB. This is generally expected of children being assessed for reading disabilities as previously cited.

Since the first previous study (Opatrny, 1999) had demonstrated strong correlations between the CTOPP and WDRB, a regression analysis was completed to further ascertain which subtests of the CTOPP might predict the total reading score on the WDRB. A significant finding in this regard would help to focus the intervention of these students as well as allow for fewer subtests to be administered. In fact, the regression ANOVA was significant for two predictors—Elision ($F=7.506$, $p = 0.011$) and Blending Words ($F=6.539$, $p = 0.005$).

These results of the regression analysis are presented in Table 4, follows:

Table 4.

Regression Coefficients for Significant Predictors

Model	Coefficients		Coefficients		Significance
	B (Unstandardized)	Std. Error	Beta (Standardized)	t	
1 (Constant)	77.535	6.472		11.981	0.000
Elision	2.057	.751	.460	2.740	.011
2. (Constant)	86.757	7.454		11.638	.000
Elision	2.857	.799	.639	3.576	.001
Blending Words	-1.994	.929	-.383	-2.146	.041

Dependent Variable: WDRB Total Reading

As shown in Tables 4, the Elision and Blending Words subtests from the CTOPP were shown to be significant predictors for Total Reading. Of the two, the Elision subtest appears to be the subtest having the greater prediction value on the total reading variable.

Discussion. In the second study, elision stood out as a significant predictor for total reading success. Since further analyses of the Center's diagnostic profiles are ongoing, these results should be considered as preliminary. Still, these results appear to support the following conclusions:

1. Elision is a key element of phonological awareness.

Of the elements evaluated by the CTOPP measuring phonological awareness, this one element has been consistently powerful in identifying children who have reading difficulties.

2. Elision predicts success in reading nonsense words more than real words. Since elision deals with manipulation of phonemes, it would make sense that children who can perform this task would do better at reading abstract pseudowords. Further study is needed to ascertain the range of influence that elision has over other reading skills and behaviors.

3. Elision may be an important element in the screening of reading success, albeit at the level of basic reading and broad measures of total reading. Teachers continually ask how they can quickly assess young readers who may be at difficulty for reading failure. It would appear that using elision tasks may be one answer to this question.

In summary, although further research will be conducted to investigate these findings, it would appear, at least for now, that the use of elision as a key element in reading assessment and diagnosis is a sound practice.

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Response to the French, Opatrny, & Cochran

Darrell Morris

Comments on Assessing Phoneme Awareness

I enjoyed reading the preceding study, *The Power of Phonological Awareness as a Predictor of Basic Reading Skill*, which examined the predictive validity of several subtests on the Comprehensive Test of Phonological Processing (CTOPP). In my own clinical work I, too, have found the elision subtest to be better than the blending subtest in prediction reading skill. Past item 11 (of a 20-item subtest), the CTOPP blending subtest seems to be an artificial measure of language (or reading-related) ability. For example, on confronting a two-syllable word in text (e.g., mistake), children do not try to sound through or “blend” each phoneme (/m-I-s-t-a-k/). If they do, they are in trouble. Therefore, why try to measure such a blending capability with multi-syllable words?

I would like to make one suggestion with regard to assessing phoneme awareness in beginning readers (kindergarteners and first graders). From our work (Morris, 1998; Morris & Perney, 1984) and that of others (Mann, Tobin, & Wilson, 1987; Stahl & Miller, 1994), it appears that the best measure of beginning readers’ phoneme awareness is their performance on an invented spelling test. That is, ask children to spell six to ten words (e.g., back, mail, feet, stick, bed, etc.) and simply count the number of phonemes they represent appropriately. In a recent study (Bloodgood & Morris, 1999), we administered an oral segmentation task and a spelling task to 104 children at the end of kindergarten. On retesting the children one year later, we found that the invented spelling measure was a stronger predictor of end-of-first-grade reading ability ($r = .62$) than was the oral segmentation measure ($r = .46$). It seems that, for young children, invented

spelling provides a more concrete, understandable way to display their awareness of sounds within words.

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Effects of the Success for All Reading Program on Achievement Test Scores for Elementary Grade Levels

Bobbie J. Greenlee, Darlene Y. Bruner

Schools are under pressure to foster continuous improvement and to achieve excellence in preparing students for the 21st century workplace. Schools have been struggling for decades to prepare students for the world of work, as well as to meet the ever changing demands of the political agendas at the local state, and national levels that govern schooling decisions (Sarason, 1990). In this era of increased demands to improve public schools and their accountability, districts and schools look increasingly toward external groups for assistance with school improvement efforts. To meet the needs of a growing at-risk population, schools are looking to reform models for support and assistance.

One school reform model that has widespread implementation is the Success for All reading program. Robert Slavin, Nancy Madden, and a team of developers from Johns Hopkins University founded Success for All in 1986. The program name reflects the developers' aspiration that all children will learn to read at or near grade level by third grade (Madden, Slavin, Karweit, Dolan & Wasik, 1992). Success for All (SFA) restructures elementary schools (usually high poverty Title I schools) to ensure that all children learn to read. The program uses a school-wide reading curriculum based on effective practices for beginning reading (Adams, 1990), and cooperative learning strategies (Slavin, 1995).

The SFA reading program prescribes specific curricula and instructional strategies for teaching reading. Reading Roots is the K-1 program that emphasizes oral language development and pre-reading skills through thematically-based units. It includes a Story Telling and Retelling (StaR) component that involves students listening to, retelling and dramatizing children's

literature. The K-1 beginning reading program's base uses phonetically controlled vocabulary minibooks and emphasizes repeated oral readings to teachers and reading partners. Letters and letter sounds begin with oral language and move into written symbols, and instruction is provided in story structure, comprehension skills, and strategies for self-assessment and self-correction (Slavin & Madden, 1999).

Reading Wings begins at the second grade reading level and proceeds through sixth grade level. Wings makes use of cooperative learning strategies to engage students in developing skill with story structure, prediction, summarization, vocabulary development, decoding skills, and story-related writing (Slavin & Madden, 1999). Direct instruction in comprehension skills is provided.

SFA regroups students in grades one to six by reading performance levels for a school-wide daily 90-minute reading block. The model for the regrouping is a form of the Joplin Plan that has been found to raise elementary reading achievement (Slavin, 1987). For the remainder of the day students are in heterogeneous, age-grouped classes. Students are initially placed in reading groups based on informal reading inventories with subsequent group placement based on curriculum-based assessments given at eight-week intervals (Slavin, Madden, Dolan, & Wasik, 1996).

One component of the SFA reading program includes reading tutors who work one-to-one in 20-minute sessions with students in need of support in their regular reading curriculum. Teacher and tutor training emphasizes relatively brief initial training (usually 3 days) followed by classroom coaching and group discussions (Slavin & Madden, 1999). Another component is a Family Support Team, consisting of a parent, administrator, counselor, facilitator, and other appropriate staff that work to increase parental involvement and intervene to help solve social or

academic problems students may be having (Slavin, et al., 1996). Program Facilitators at the school site assist in the planning, coordination, and implementation of the SFA model.

Studies have reported that the Success for All reading program has favorable effects on reading achievement in elementary schools. Results indicate that SFA significantly improves reading performance, especially for students in the lowest 25% of their class (Madden, Slavin, Karweit, Dolan & Wasik, 1991; Madden et al., 1992; Slavin, Dolan, Madden, Karweit & Wasik, 1992). Success for All has produced a long list of research that shows, for the most part, that SFA schools' test scores improve more than in similar demographic schools (Viadero, 1999).

Ruffini, Feldman, Edirisooriya, Howe & Border (1991) pointed out that previous evaluations of SFA focused on whether SFA schools performed better than a comparison group rather than testing SFA's expressed goal that all students would be performing at or near grade level by third grade. Venezky (1998) carried out an independent evaluation in Baltimore schools, where SFA originated, and found that children participating in SFA fall increasingly behind national norms the longer they are in the program. Venezky's Baltimore study found that the SFA program produced no further gains after the first grade. Ross and Smith (1994) found similar results in an evaluation of SFA in Memphis, Tennessee. The fact that SFA relies heavily on its own research is also a criticism of the program (Jones, Gottfredson, & Gottfredson, 1997; Pogrow, 2000; Walberg & Greenberg, 1999).

There have been few independent studies on the implementation of Success for All and its impact on student performance. Currently, the most detailed information about Success for All program effectiveness in terms of student performance is from the co-developers of the program. There is a need to develop a systematic understanding of how schoolwide programs work during their initial years, and a need to provide evidence of significant student

achievement gains. As research data become available it is important to develop a picture of school-wide program implementation.

Purpose of Study

In this study, we question whether program effects on student reading comprehension measures differ for the individual grade levels within and across SFA schools during the initial years of implementation. In addition, we examine the effects on reading comprehension achievement scores for students in each grade level whose performance, at the outset, is at or above grade level (Normal Curve Equivalent scores of 50 and above [explained below]), and students whose performance is below grade level (NCE scores below 50). Comparisons between schools following first year of implementation of SFA and the second year of implementation are also made.

Samples and Data Collection

This study examines the Comprehensive Test of Basic Skills (CTBS) 5 Terra Nova (CTB/McGraw-Hill) test scores on the Reading Comprehension sub-test for each student (N=2,481) in grades 3-5 from eleven SFA schools. The reading comprehension scores used in this study were part of the achievement data routinely collected by both the district and state based on a Spring-to-Spring test cycle. The primary focus of this investigation is on elementary schools in their first experiences with SFA and on a subset of their grades. The homogenous selection of schools with high-poverty student populations decreases the extent to which these findings can be generalized to all schools. Thus, the generalizability of the findings in this study is limited.

The sample consists of students selected because they had attended the SFA school for two consecutive years and took the test both years. The students in the sample were in grades 2,

3, and 4 in 1998, then subsequently in grades 3, 4, and 5 in 1999. We analyzed the NCE scores of the individual students who were administered the CTBS/5 test in the spring of 1998 and were in the same school to take the test in the spring of 1999. The sample may include students that have been retained, students in exceptional student education programs (if standardized testing is on their individual educational plan), and students whose primary language is not English.

Each of the selected schools was a Title I elementary school from the same school district. This school district had 63 elementary schools, 37 of which were Title I schools. All eleven of the selected Title I schools had elected to implement SFA by a more than 80% approval of the faculty. Slavin points out that schools that achieve such a agreement are likely to have more uniform practices and philosophies (Walberg & Greenberg, 1998). Five schools had completed their first year of implementation of SFA, and six schools had completed their second year.

To assess effectiveness, this study examined reading performance using individual students' normal curve equivalent scores for two consecutive years. Normal curve equivalent (NCE) scores are a type of standardized test score with a range of 1 to 99, a mean of 50, and standard deviation of 21.06. NCE scores allow for comparison across students and tests to facilitate measurement of the effectiveness of Title I programs. A properly derived NCE score of 50 is the national average for that grade level.

The test data used in this study are generated from the only two years this district used CTBS/5. In the 1999-2000 school year the district began using the SAT/9 (Harcourt Educational Measurement, Inc.). For the five schools in their first year of SFA, these measures represent before and after one year of school-wide program implementation. In six schools, performance measures compare before and after the second year of implementation.

Data Analysis Methods

The primary index of effect size was used to estimate the differences in reading achievement test scores. Effect size enables investigators to compare multiple outcomes and obtain a numerical average for a set of experiments. The effects of SFA on reading achievement scores were described using the Glass approach. This is calculated as the difference between control and treatment groups' mean scores divided by the standard deviation of the control group. The control group standard deviation is used because it is not affected by the treatment (Glass, McGraw & Smith, 1981). The effect size statistic represents the difference between the means of two groups in standard deviation units. Cohen (1988) suggests that a .25 score is a small effect size, a .50 is a moderate effect size, and a .75 is a large effect size.

Three comparison strategies are used in the analyses in this report: 1) comparisons of reading comprehension achievement scores within grade levels (3-5) in SFA schools; 2) comparisons of students, at the outset, below grade level performance (NCE scores below 50), and at or above grade level performance (NCE scores 50 or above) in reading comprehension based on the 1998 test scores; and 3) comparisons of grade levels and performance groups in schools completing their first year of implementation to schools completing their second year.

Findings

First, we address whether the effects of SFA on reading comprehension scores differ between grade levels in each school. We examined the test score differences of children who were administered the CTBS/5 test in the spring of 1998 and were in the same school to take the test in the spring of 1999. Means, standard deviations and effect sizes are summarized in Tables 1-3 by grade levels for each of the 11 SFA schools. We find that there are almost no achievement differences from one year to the next. The overall average effect size for third,

fourth, and fifth grades were very small at only 0.09, 0.10, and 0.04 respectively.

Table 1

Comparison of a Cohort of Students Tested in Second Grade in 1998 and in Third Grade in 1999

Within SFA Schools

School	% free lunch	N	Year	1998		1999		Effect size
			began SFA	M	SD	M	SD	
School A	78	40	1997	45.25	21.92	48.25	19.45	0.14
School B	92	70	1997	43.14	18.19	44.89	14.72	0.10
School C	82	103	1997	39.80	19.15	39.76	19.24	0.00
School D	68	92	1997	41.13	18.86	43.34	21.56	0.12
School E	75	59	1997	44.08	19.20	45.93	19.21	0.10
School F	68	132	1997	37.54	19.60	43.87	18.55	0.32
School G	83	72	1998	45.56	19.40	49.97	19.15	0.23
School H	65	55	1998	38.24	18.33	38.51	18.69	0.01
School I	68	90	1998	40.66	18.92	40.87	16.77	0.01
School J	71	102	1998	39.24	16.64	39.92	20.07	0.04
School K	81	53	1998	39.94	20.56	36.06	20.12	-0.04

Table 2

Comparison of a Cohort of Students Tested in Third Grade in 1998 and in Fourth Grade in 1999Within SFA Schools

School	N	Year	1998		1999		Effect size
		began SFA	M	SD	M	SD	
School A	41	1997	43.20	18.77	43.61	19.27	0.02
School B	92	1997	38.16	13.70	38.17	14.86	0.00
School C	116	1997	33.58	17.67	37.76	17.68	0.24
School D	62	1997	39.32	19.70	45.77	17.84	0.33
School E	71	1997	46.34	19.71	45.01	20.14	-0.07
School F	106	1997	43.72	17.05	53.38	16.24	0.57
School G	71	1998	38.77	15.59	35.27	13.26	-0.23
School H	69	1998	44.35	19.57	44.81	22.29	0.02
School I	89	1998	37.40	18.55	41.40	17.84	0.22
School J	90	1998	43.54	17.56	44.58	16.93	0.06
School K	42	1998	41.45	19.06	41.05	18.45	-0.02

Table 3

Comparison of a Cohort of Students Tested in Fourth Grade in 1998 and in Fifth Grade in 1999Within SFA Schools

School	N	Year	1998		1999		Effect size
		began SFA	M	SD	M	SD	
School A	31	1997	44.75	23.39	43.68	21.85	-0.05
School B	79	1997	44.13	17.13	43.08	17.54	-0.06
School C	102	1997	39.60	18.05	42.88	20.08	0.18
School D	76	1997	43.47	20.90	45.59	22.91	0.10
School E	57	1997	48.32	17.27	45.23	17.66	-0.18
School F	89	1997	50.24	16.97	49.52	17.17	-0.04
School G	58	1998	44.34	14.60	43.43	14.78	-0.06
School H	62	1998	41.77	19.93	45.24	21.27	0.17
School I	78	1998	44.22	19.59	46.01	19.66	0.09
School J	84	1998	42.35	19.65	42.98	21.12	0.03
School K	48	1998	46.46	17.62	51.00	21.39	0.26

Students were sorted into performance groups based on the 1998 reading scores, which serves as the pretest. Students who scored below 50 NCE had below grade level performance and students with a score of 50 NCE and above had at or above grade level performance. The 1999 test serves as the posttest. Using the grade level as the unit of analysis (Table 4) we measured the differences between grade levels across schools. For grades 3 - 5, the average differences were

small with effect sizes ranging from +0.05 to +0.13. When initial test scores in reading comprehension are used to sort students in each grade level cohort (those scoring below 50 and those scoring at or above 50 NCE), there are striking differences. Performance group analyses across grade levels found that average effect sizes for students whose reading scores were initially below grade level were positive and small to moderate at each grade ranging from +0.26 for fifth grade to +0.48 for third grade. However, for students with an initial reading comprehension score at or above grade level, average effect sizes were clearly negative for each grade, ranging from a small -0.20 for fifth grade to a large -0.79 for third grade.

Overall, there are increased differences in reading scores when grade level cohorts are controlled for initial reading performance. For students in the below grade level group, SFA reading seems to have a positive effect on their reading achievement. On the other hand, for students in the at or above grade level group, SFA reading program appears to have a negative effect, particularly for third grade in this study.

Table 4

Comparison of Grade Level Cohorts and Performance Groups Within Grade Levels in SFASchools

1999 Grade	N	1998		1999		Effect
		M	SD	M	SD	
Third grade	868	40.63	19.09	42.66	19.19	0.11**
Below 50	608	30.80	12.61	36.90	17.36	0.48***
50 and above	260	63.63	9.49	56.14	16.30	-0.79***
Fourth grade	849	40.52	18.08	42.86	18.25	0.13***
Below 50	604	31.31	11.01	36.18	14.88	0.44***
50 and above	245	62.99	10.91	59.33	15.09	-0.34***
Fifth grade	764	44.29	18.7	45.23	19.66	0.05*
Below 50	473	32.47	11.07	35.36	14.71	0.26***
50 and above	291	63.51	11.04	61.25	15.78	-0.20**

Note. Means differ significantly at * $p < .05$, ** $p < .01$, or *** $p < .001$, in the 2-Tailed T-Test.

We continued the comparisons of the grade level cohorts from schools completing year 2 (began in 1997) of SFA implementation to schools completing year 1 (began in 1998). When grade levels are sorted by initial reading performance and by year of SFA implementation, the differences were consistent with previous findings. That is, increasingly negative effects for students initially at or above grade level and increasingly positive effects for students below grade level. For the five schools completing their first year of implementation the mean effect size for students who at the outset were reading at or above grade level was a moderate -0.47 in

grades 3-5. A virtually identical average effect was found for the schools completing their second year. The mean effect size for students who were initially performing below grade level was +0.32 for first year schools and +0.43 for second year schools. This suggests that length of implementation may make a difference in the achievement scores for students reading below grade level, while there are essentially no differences for high pretest students in intermediate grades.

Table 5

Differences for Grade Level Cohorts and Performance Groups by Year of Implementation
Indicated by Effect Sizes

Grade	2nd year			1st year		
Third grade	0.13			0.05		
Below 50		0.61			0.40	
At or above 50			-0.83			-0.89
Fourth grade	0.18			0.01		
Below 50		0.53			0.25	
At or above 50			-0.28			-0.69
Fifth grade	-0.01			0.10		
Below 50		0.16			0.31	
At or above 50			-0.30			0.17
Average effect size	0.10	0.43	-0.47	0.05	0.32	-0.47

Conclusions and Implications

This study shows that the SFA program and materials, in the first years of implementation as measured in this study, are not providing substantial effects required for increasing reading comprehension achievement scores for high stakes testing. The results of this study are based on the first experiences of these schools implementing SFA. To a large degree, whether SFA is viewed to have positive or negative effects depends upon the basis of comparison that is used. Grade level comparisons indicate unremarkable effects on achievement in the intermediate grades. The positive effects of SFA on reading comprehension test scores are most consistent and strongest for students in this study who are reading below grade level. In contrast, clearly negative effects on comprehension scores were shown for students who, at the outset, showed reading comprehension scores at or above grade level.

How do schools make use of that information to improve instructional practice? What might account for the negative effects on proficient students' performance on measures of reading comprehension, and the less consistent effects of the program overall on the grade levels? These concerns might be related to an emphasis on prevention and remediation in the SFA program, rather than on skills and strategies for reading different types of content area materials.

These preliminary findings lend some insight into initial implementation of the SFA program, and the differences in student performance provide some basis for examining components of the program. As components of SFA become more routine in the work of the schools beyond the initial phase, will evaluation results detect reading comprehension achievement differences between SFA and non-SFA Title I schools, and will there be more consistent effects on all students' performance? A central component of a schoolwide program is

the provision of service to all students in the school. With this increased capacity for providing instructional services comes increased responsibility to meet the needs of all students and tend to achievement gaps within the school. Further research on implementation of SFA needs to focus on the variation in student performance.

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An Exploration of Students' Perceptions of Their Rights as Readers

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In Better Than Life, Pennac (1999) asserts that schools unwittingly diminish children's interests in reading by placing constraints on what they read, where they read, and by generally ignoring readers' interests and preferences. The consequence, he maintains, is that many, initiated into the joys of reading on the laps of their parents, come to view reading as a task to be avoided. In response and in protest to how this impacted his son, Pennac identifies ten rights all readers should be accorded. These are:

1. The right to not read.
2. The right to skip pages.
3. The right to not finish.
4. The right to reread.
5. The right to read anything.
6. The right to escapism.
7. The right to read anywhere.
8. The right to browse.
9. The right to read out loud.
10. The right to not defend your tastes.

Pennac's concern that constraints placed on individuals when they read might have detrimental consequences for their interest in reading is supported by current models of the reading process. Reading, once perceived as a perceptual task, is now conceived as a more complicated process comprised of multiple dimensions that interact and influence each other (Dole, Duffy, Roehler, & Pearson, 1991; Ruddell & Unrau, 1994). At the center of this process is the reader. Readers are influenced by their knowledge and background; their teachers' knowledge and background; the characteristics of the text; and the social, physical, and cultural contexts within which they experience reading.

As teacher educators in literacy, we realized the potential influence of Pennac's Bill of Rights. This interest led us initially to survey teachers' perceptions of their rights as readers (Elish-Piper, Matthews, Johns, J. L., & Risko, 1999). We then compared teachers' perceptions of their rights as readers with their perceptions of their students' rights as readers (Elish-Piper, Matthews, Risko, Johns, Bass, Dasinger, & Illig-Aviles, 2000). The research described in this paper extends our interest in exploring readers' rights by examining differences in the students' perceptions of their rights when they read for pleasure and when they read school assignments. First, we discuss the potential influence a reader's and a teacher's stance has on the reading event and possible connections between stance and students' perceptions of their rights as readers. Next, we present the results of the investigation. This is followed by a summary of the feedback solicited about the survey and the investigation during a Problems Court Session at the 2000 American Reading Forum Conference. We conclude by discussing possibilities for future exploration into students' perceptions of their rights as readers.

The Reader's Stance

Stance is broadly defined as the perspective or orientation a reader assumes while reading. Much has been written about the influence a reader's and teacher's stance has on literacy development (Galda & Beach, 2001; Marshall, 2000). Louise Rosenblatt (1978) was among the first researchers to describe how the reader's stance, either efferent or aesthetic, influenced how a text was read. When a reader is processing text efferently, he/she is reading to learn facts and remember details. On the other hand, one reads aesthetically for the joy of the experience. An aesthetic reading experience draws the reader into the world of the text, and the story is relived through the eyes of the reader. Rosenblatt calls this an "evocation" to which the reader responds. Langer (1995) describes this as an "envisionment," living through the experience of the text. When teachers require students to assume an efferent stance to what should be an aesthetic experience, the students' enthusiasm for reading may be squelched (Flint, Lysaker, Riordan-Karlsson, Molinelli, 1999).

A teacher's stance has been shown to influence how students read and respond to text (Galda & Beach, 2001). Flint et al. (1999) described how a teacher's rigid ideological stance was evident in conversations between students even when the teacher was not present. A student who was routinely praised for her ability to provide factual answers during whole-class discussions of text was unable to react to another student's more personal response to literature. She had adopted her teacher's belief that text-bound responses were more valuable than personal responses. Another example cited a teacher whose rigid adoption of the aesthetic stance precluded any discussion of the literary skills or reading strategies during the shared reading with first graders. This lack of integration

of stance led to confusion about the nature of reading and dampened some children's motivation to read. It appears that inflexible teacher stances may restrict the ways that children respond to text.

By contrast, Flint et al. (1999) also described a third grade-teacher who exhibited a high degree of flexibility in her adoption of stance. This was evidenced by the wide latitude and variety of choices to respond to literature she afforded her students. There was evidence that the teacher allowed the students to discuss multiple interpretations of text and react aesthetically while also developing the students' understanding of literary/strategic skills.

Therefore, individuals' orientation or stance, whether it is the stance teachers assume while teaching reading or the stance students assume while reading, appear to influence behavior. This influence can be positive and result in readers who can accommodate to the different purposes for reading and to the multiple types of texts with which they come in contact. On the other hand, the influence can be detrimental if the rights of readers are constrained or not considered (Pennac,1999).

We assert that an examination of Pennac's Reader's Bill of Rights can provide insights into readers' perceptions while reading, which in turn might influence the stance they assume while reading. A previous study examined the Reader's Bill of Rights from the teachers' perspective (Elish-Piper, et al, 2000). Teachers were asked to agree or disagree with the statements in the Reader's Bill of Rights as they related to themselves or their students. Teachers afforded themselves more rights than they afforded their students. Consequently, teachers may inadvertently create students who are aliterate by adopting a rigid stance during literacy instruction. The focus of this study is on students

and their perceptions of their rights when reading for pleasure and when reading their school assignments. These results are presented in the next section.

Methodology

Pennac's 10 rights formed the basis of a two-part survey (See Appendix.). On the first part, the respondents rated on a five-part Likert scale (A = Strongly Agree, B = Agree, C = Not Sure, D = Disagree, and E = Strongly Disagree) the degree to which they agreed or disagreed with 10 statements about their rights when they read for pleasure. On the second part, the respondents rated the degree to which they agreed or disagreed with the same 10 statements, but they were asked to respond within the context of when they read school assignments.

Participants

Two hundred (200) sixth-grade students were surveyed. Sixty-seven (67) students attended a kindergarten through sixth-grade elementary school in the Midwest, and 133 students attended a sixth through eighth grade middle school in the Southeast. One hundred of the students were female and 100 were male. The classroom teachers administered the survey and were instructed to assure the students that the survey was not a test and that their grades would not be impacted by their responses. A sample practice item was included to provide practice in using the five-part response scale. The students independently completed the survey. The responses were analyzed to identify means, and t-tests were run to determine significance.

Results

Table 1

All sixth graders' perceptions of their rights as readers when they read for pleasure and when they read school assignments

Question	Pleasure M (SD)	School M (SD)	<u>t</u> ₍₂₀₀₎
1. Choose Not to Read	3.52 (1.33)	2.25 (1.26)	11.04**
2. Skip Pages	2.71 (1.44)	2.08 (1.14)	5.71*
3. Not Finish	3.31(1.29)	2.19 (1.22)	10.10**
4. Reread	4.54 (.95)	4.50 (.85)	.64
5. Read Anything	3.95 (1.14)	3.53 (1.24)	4.13*
6. Escape	3.97 (1.08)	3.67 (1.17)	3.20*
7. Read Anywhere	4.15 (.99)	3.77 (1.16)	4.79*
8. Browse	3.95 (1.02)	3.41(1.23)	6.36*
9. Read Out Loud	3.45 (1.32)	3.05 (1.31)	4.77*
10. Not Have to Defend Taste	4.21 (1.10)	3.94 (1.14)	3.32*

*p < .01

**p < .001

To determine if there are differences in children's perceptions of their rights as readers when they read for pleasure and when they read their school assignments, the means for the paired questions were analyzed. Table 1 displays the results of this analysis. (To facilitate analysis, the numerals 5-1 replaced the letters A-D.) Column one lists the means and standard deviations for the students' perceptions of their rights when they read for pleasure. Column two lists the means and standard deviations for the

students' perceptions of their rights when they read school assignments. Column three displays the t-tests when the means were compared. For all ten, paired questions, students had stronger perceptions of their rights as readers when they read for pleasure than when they read their school assignments. These differences in perception were significant in all but one of the pairs of statements. The one exception was the students' perception of their right to reread. In summary, students have stronger perceptions of their rights as readers when they read for pleasure than when they read their school assignments.

Table 2

Sixth graders' perceptions of their rights as readers when they read for pleasure and when they read school assignments ordered from strongest to weakest

Question	M (SD)
(P) Reread	4.54 (.95)
(S) Reread	4.50 (.85)
(P) Not Defend Taste	4.21 (1.10)
(P) Read Anywhere	4.15 (.99)
(P) Escape	3.97 (1.08)
(P) Read Anything	3.95 (1.14)
(P) Browse	3.95 (1.02)
(S) Not Defend taste	3.94 (1.14)
(S) Read Anywhere	3.77 (1.16)
(S) Escape	3.67 (1.17)
(S) Read Anything	3.53 (1.24)
(P) Choose Not to Read	3.52 (1.33)
(P) Read Aloud	3.45 (1.32)
(S) Browse	3.41 (1.23)
(P) Not Finish	3.31 (1.29)
(S) Read Aloud Loud	3.05 (1.31)
(P) Skip Pages	2.71 (1.44)
(S) Choose Not to Read	2.25 (1.26)
(S) Not Finish	2.19 (1.22)
(S) Skip Pages	2.08 (1.14)

To determine the perceived rights that were the strongest and the ones that were the weakest, the means for students' responses to the statements from both parts of the

survey were rank ordered by strength. Generally, with five representing strongly agree and one representing strongly disagree, the students strongly agree they have the right to reread in both contexts; they perceive they have the right to not have to defend their tastes when reading for pleasure; and they perceive they have the right to read anywhere when reading for pleasure. They do not perceive they have the right to skip pages when reading for pleasure. When reading school assignments, they do not believe they have the right: (a) to choose not to read, (b) to not finish what they read, and (c) to skip pages. To summarize, four of the five rights students perceive they have that are the strongest are when they read for pleasure. In contrast, three of the four rights they perceive they do not have are in the context of when they read their school assignments.

To explore further the differences in the students' perceptions of their rights as readers when reading for pleasure and when reading school assignments, an analysis of the girls' responses and an analysis of the boys' responses were performed. Tables 3 and 4 display the results of these analyses. As demonstrated in Table 3, the girls' perceptions of their rights as readers reflected the pattern revealed in the total group. That is, they perceived they had stronger rights when reading for pleasure than when reading school assignments, and the differences were significant in nine of the ten, paired questions. The one exception, as with the total group, was their perception of their right to reread.

Table 3

Sixth-grade girls' perceptions of their rights as readers when they read for pleasure and when they read school assignments

Question	Pleasure M(SD)	School M(SD)	<u>t(100)</u>
1. Choose Not to Read	3.47 (1.35)	2.16 (1.20)	7.74**
2. Skip Pages	2.69 (1.45)	1.95 (1.02)	4.63**
3. Not Finish	3.41 (1.30)	2.07 (1.17)	8.56**
4. Reread	4.60 (.92)	4.56 (.84)	.51
5. Read Anything	3.83 (1.21)	3.41 (1.25)	2.80**
6. Escape	4.01 (1.04)	3.63(1.14)	3.14**

7. Read Anywhere	4.14 (1.03)	3.78 (1.12)	3.20**
8. Browse	4.00 (.93)	3.48(1.12)	4.36**
9. Read Out Loud	3.62 (1.30)	3.18(1.30)	3.28**
10. Not Have To Defend Taste	4.28 (.89)	3.99 (1.05)	2.91**

** p <.001

However, when the boys' perceptions were analyzed, differences from the girls' perceptions were revealed. Table 4 displays the results of this analysis. Similar to the girls, the boys perceived they had stronger rights when reading for pleasure than when reading school assignments. In contrast, the differences were significant in seven instead of nine of the statements. The two exceptions were in the boys' perceptions of their right to read to escape, and their right to not defend their tastes.

Table 4

Sixth-grade boys' perceptions of their rights as readers when they read for pleasure and when they read school assignments

Question	Pleasure M(SD)	School M(SD)	t(100)
1. Choose Not to Read	3.58 (1.30)	2.27 (1.29)	8.53**
2. Skip Pages	2.73 (1.46)	2.20 (1.22)	3.38**
3. Not Finish	3.22(1.30)	2.27 (1.26)	5.80**
4. Reread	4.52 (.93)	4.46 (.82)	.63
5. Read Anything	4.11 (1.07)	3.67 (1.24)	3.03**
6. Escape	3.95 (1.12)	3.76 (1.20)	1.41
7. Read Anywhere	4.14 (.95)	3.74 (1.23)	3.41**
8. Browse	3.88 (1.10)	3.32 (1.34)	4.49**
9. Read Out Loud	3.33 (1.33)	2.94 (1.32)	3.49**
10. Not Have To Defend Taste	4.11 (1.29)	3.91 (1.24)	1.64

** p <.001

Results of this survey suggest that students do perceive they have stronger rights when they read for pleasure than when they read their school assignments. These results and their implications are examined in the next section.

Discussion

To understand the findings and their implications, the perspectives garnered from the participants who attended the Problems Court Session are shared. The participants' comments focused on the format of the instrument and the research design as well as future investigations of a reader's rights.

Summary and Implications of the Research

This study found that both boys and girls in sixth grade had stronger perceptions of their rights as readers when reading for pleasure than when reading their school assignments. This finding indicates that sixth graders may feel that they are in control when reading for pleasure, whereas the teacher is in control when students are completing school assignments. Students know they are not going to be held accountable for reading for pleasure so they feel they can skip pages, browse, and stop reading a piece if it is not interesting. They know that reading assignments must be completed because they will be held accountable for them, either through oral or written responses.

Students' perceptions of their right to reread when pleasure reading and reading school assignments were not significantly different. This finding indicates that students may have been instructed to read for meaning and to reread when they realize they are not comprehending. On the other hand, they may intuitively reread in order to make sense of what they are reading.

Students' perceptions that they have the right not to have to defend their tastes when reading for pleasure suggests that, as stated earlier, they may feel they are in control when reading for pleasure. They may feel that pleasure reading is between the reader and the text, and outside influences (e.g. teachers, tests) do not have the right to enter their private domain.

The sixth graders in this sample strongly agreed that they have the right to read anywhere when reading for pleasure. They may have read for pleasure in a variety of places or seen others reading for pleasure in different locations. Reading assignments, however, are to be completed in school sitting in a desk. As one Problems Court attendee pointed out, sixth graders often do not have the opportunity to sit on the floor. Sixth-grade classrooms sometimes lack classroom libraries and reading centers with informal seating usually found in the lower grades.

Students responding to the survey indicated that they do not believe they have the right when reading school assignments to choose not to read, not to finish what they read, and to skip pages. This finding led to a discussion among Problems Court attendees of the classroom environment found in many schools today. One discussant stated that students do not have the right not to read their assignments because of the negative consequences involved. Students have learned that skipping pages, not finishing a piece, or refusing to read the assignment may result in a lower grade or some type of punishment being imposed by the teacher. With the abundant use of programs such as the Accelerated Reader Program, students are being tested on everything they read. There is no time in the daily schedule for sixth graders to engage in self-selected reading because teachers are feeling the pressure to improve standardized achievement test scores. One person

raised the question: How can we face the challenges of the current political climate while attempting to implement what we know about effective reading instruction?

In viewing the findings and considering the culture within which most students read, it is not surprising that students perceive fewer rights when reading assigned materials. However, given another culture, one in which students are taught to be flexible in their use of strategies, and one in which students are guided by their efforts to construct meaning rather than to complete an assignment, students may come to perceive they have more rights.

The Format of the Instrument and Research Design

Several persons attending the Problems Court questioned the use of certain terms on the survey instrument. They questioned the use of the terms pleasure and school assignments. They wondered if students could make a distinction between reading for pleasure and assigned reading. Also questioned were the use of the terms escape from reality and defend my tastes in what I read. Several participants thought sixth graders might not have a clear understanding of these terms. One person suggested providing prompts for teachers to read in an attempt to clarify the meanings of certain terms. The researchers were not present when the surveys were administered, so they do not know what guidance, if any, the teachers gave their students in completing the survey or clarifying terms. This lack of oversight of the administration of the survey is an acknowledged limitation of the study. Another limitation is that only sixth graders from two geographic areas of the United States were participants.

Questions about the children's ability to understand terms used on the survey led to discussions about appropriate grade levels in which to use the instrument and whether

children's perceptions of their rights as readers are developmental. The group agreed that the instrument should not be used below fourth grade because of the metacognitive limitations of younger children.

Concerning the research design, some participants thought the study should have included interviews or focus groups with students to find out why they answered as they did. Some participants thought interviewing teachers about their philosophy or beliefs about reading and reading instruction, the type of instruction delivered by the teacher, and the reading programs and materials used in the classroom might provide insights into the stance assumed by the teachers and thus shed light on the students' perceptions of their rights as readers.

Further Investigations into a Reader's Bill of Rights

Participants in the Problems Court suggested that another study that would include the changes mentioned above could be conducted. The researchers might try to have a large number of students from several grades so comparisons among grade levels could be made.

Another possible investigation would be to determine if reading achievement and perceptions of rights as readers are related. One person pointed out that good readers and struggling readers are often treated differently. Another remarked that in many cases a student must become a capable reader before he or she has any rights as a reader.

Still another study could involve surveying students and their teachers and comparing their responses. Follow-up focus groups with students and interviews with teachers could further determine the role that a teacher's philosophy and the type of

instruction play in the perceived rights of readers. The teachers could be observed periodically during the school year to verify the instructional methods.

Concluding Thoughts

The results of this investigation reveal that children as young as 11 and 12 years old have acquired distinct perceptions between their rights when they read for pleasure and when they read their school assignments. These differences might suggest readers have acquired positive understandings about the complexity of reading. Readers need to be able to adjust their approach, i.e., their stance, to accommodate the different purposes for reading and the varied materials available to read. However, if the differences are the consequence of unnecessary constraints placed on reading opportunities, then the differences in perceptions of their rights might detrimentally affect readers' engagement in reading. The line between the two may be thin and easily crossed. There are situations (for example, when choosing instructional materials) when limits on reading are appropriate. These limitations should be viewed as temporary and their use restricted to specific situations.

In this day of accountability and pay for performance when readers' success is often narrowly defined by scores on achievement tests, attention could be easily deflected from what stimulates interest and engagement in reading and that is providing opportunities to read deeply and broadly in areas of personal interest. To ponder if there are rights all readers should be accorded has the potential to refocus attention on the organizing center of the reading event—the reader.

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Appendix
Reader's Bill of Rights Student Survey
Directions for Use

The Reader's Bill of Rights Student Survey is a quick survey of students' perceptions of the rights they have as readers. It consists of 20 items and can be administered to the entire class in approximately 10 minutes.

Administration

Begin by telling the students that you are interested in their views of the rights they have as readers. Emphasize to the students that this is **not** a test and that there are no right or wrong answers. Also ensure them that their grades will not be affected by their responses. Encourage the students to think carefully about each item and to answer each item as honestly as possible.

Distribute the forms and ask the students to identify their gender and grade. Work through the example with them. Then, point out that the statements are in two sections. One section refers to when they read during school assignments and the second refers to when they read for pleasure. The students are to complete the 20 items independently.

Appendix continues
Reader's Bill of Rights Student Survey

1. Female_____ Male_____

2. Grade_____

You have many opportunities to read in school. Sometimes you have assignments you have to read and sometimes you read for pleasure. Below are statements about reading for these two purposes. Then circle the letter that show how much you agree or disagree with the statement. Use the following :

- A = Strongly Agree
- B = Agree
- C = Uncertain
- D = Disagree
- E = Strongly Disagree

Example:

I believe I have the right to choose the TV shows that I watch. A B C D E

If you are really sure that you think you have the right to choose the TV shows you watch, circle **A**.

If you think that most of the time you should have the right to choose the TV shows you watch, circle **B**.

If you can't make up your mind about if you should have the right to choose the TV shows you watch, circle **C**.

If you think that most of the time you should not have the right to choose the TV shows you watch, circle **D**.

If you are really sure that you should not have the right to choose the TV shows you watch, circle **E**.

Appendix continues

When I read my school assignments, I believe I have:

	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
1. The right to choose not to read.	A	B	C	D	E
2. The right to skip pages.	A	B	C	D	E
3. The right to not finish what I read.	A	B	C	D	E
4. The right to reread.	A	B	C	D	E
5. The right to read anything.	A	B	C	D	E
6. The right to read to escape from reality.	A	B	C	D	E
7. The right to read anywhere.	A	B	C	D	E
8. The right to browse.	A	B	C	D	E
9. The right to read out loud.	A	B	C	D	E
10. The right to not have to defend my tastes in what I read.	A	B	C	D	E

Appendix Continues

**When I read for pleasure,
I believe I have:**

	Strongly Agree	Agree	Uncertain	Disagree	Strongly Disagree
1. The right to choose not to read.	A	B	C	D	E
2. The right to skip pages.	A	B	C	D	E
3. The right to not finish what I read.	A	B	C	D	E
4. The right to reread.	A	B	C	D	E
5. The right to read anything.	A	B	C	D	E
6. The right to read to escape from reality.	A	B	C	D	E
7. The right to read anywhere.	A	B	C	D	E
8. The right to browse.	A	B	C	D	E
9. The right to read out loud.	A	B	C	D	E
10. The right to not have to defend my tastes in what I read.	A	B	C	D	E

Exploring Distance Learning in Literacy Instruction: Offering Multiple Perspectives in the Millennium

Eunice N. Askov, Mary Simpson

At the 1999 conference in a Problems Court and in the Yearbook of the American Reading Forum (Askov, Hager, & Chatel, 2000), we explored three models for online distance education in higher education, including graduate and undergraduate reading education programs. The research questions generated in the Problems Court became the basis for the study that is reported here as Penn State launched its first online master's degree program in January 2000. The study was conducted as part of the first online course offered during spring semester, 2000.

For faculty using these technologies for the first time, there are new issues related to teaching, learning, and learner characteristics to be considered as they come to meet the personal challenges of teaching in a new way. Windschitl (1998) has urged university researchers to become involved in researching instruction using the internet to explore emerging possibilities for improved instruction at all levels.

Research Background

The question that formed the foundation for a review of theory and research was: What are the elements of an effective online learning environment? This question was set within the context of a survey course on research methods that focused on developing an online learning community for graduate students enrolled in a web-based master's degree program in Adult Education. The course focused on introductory research methods, covering the experimental, survey/descriptive, and field (qualitative) research methods.

After reading an introductory section on the web, students were assigned to study textbook and/or journal readings and other web sites, followed by self-checks and group or individual project work. Hands-on activities, group assignments, and application in the students' workplaces were emphasized in the course. Approximately half of the students had a literacy focus in their professional careers, whether it was teaching in a school, community, or workplace setting.

Graduate Students as Adult Learners

Group work and collaboration have been widely used as a means of sharing experience, exploring ideas, and building new learning (Tennant, 1991). Activities in small groups and with learning partners can develop a sense of community that supports learning (Cook, 1995). The development of self-direction and collaboration, in distance education, needs support and guidance, and providing this becomes an important role for the instructor (Eastmond, 1997).

Distance study at a graduate level has strong links to adult learning. It is increasingly through distance education that an adult returns to school. The need for an advanced degree to study as a preparation for a re-focused stage of life often lead adult students to graduate school (Pitman, 1997). In a survey of graduate students, Hammon and Albiston (1998) found study is usually undertaken on a part-time basis. Family and work constraints were factors considered in the decision to return to study. The challenge is for higher education to adapt objectives, content and presentation to support learning for this group. Graduate level study calls for attributes of independence and focused effort. Dialogue and debate are expected (Swenson, 1995).

Learning Environments

Traditionally most learners have assembled together in classrooms of some type. In these settings professors aim to guide the learning activities that help students construct knowledge. Typically this guiding process involves three key steps: (a) understanding and knowing the prior knowledge of the students so links can be made between old learning and new, (b) responding to the students to promote feedback and gathering the responses to use in the construction of new or refined knowledge, and (c) helping the students see how activities and ideas presented build or combine to increase understanding and knowledge (Slavin, 1997).

Such a constructivist approach emphasizes the active role learners take in knowledge construction. Learning thus defined has strong social aspects, and interactions between learners and instructor as well as learners and learners are important. This type of learning environment has been valued in the adult education program that is the context for the research reported here. Maintaining such an approach in a distance education environment was considered important.

Online Groups/Learning Communities

The social dimension of learning and social interactions can have a significant impact on learning outcomes (Jonassen, Davidson, Collins, Campbell & Bannan-Haag, 1995; Burge, 1994). Learners need the chance to interact, discuss, refine and reflect. Collaboration allows them to do this. Computer-based collaboration adds flexibility with its anytime, any place capability (Harasim, Hiltz,, Teles, & Turoff, 1995). It also makes collaborative discussions, peer activities and small group work possible. These activities encourage independence and self-direction and demonstrate the interactivity that is the major advantage of computer conferencing. (Mason, 1994; Eastmond, 1998; Schrum;

1998). A key role for the instructor is to act as a facilitator and to carefully monitor and support the interactions (Wegerif, 1998; Burge, 1994). A skilled instructor (or facilitator) seems to be required to ensure that groups work well together (Gunawardena & Zittle, 1997; Wegerif, 1998).

Context of the Study

This study is based on the results of four surveys, time tracking charts, and evaluations used to gain students' responses to the online teaching and learning environment that was developed for them. The theoretical perspective reflects the importance of developing an online learning community for graduate students, collaboration, and self-direction in learning.

The graduate students in this study were a "typical" adult group. Many were returning to study, most were women, and all had other responsibilities. Twenty- six students logged on at the beginning of the course. After the first week, when two students withdrew, the group settled to 24 students. Later in the course two students decided to defer completion of the course due to family responsibilities. The students were advised in advance that they should allow 12 hours per week for their coursework and have access to the computer equipment required for the distance education course that had no face-to-face component.

The online master's degree program is offered by Penn State University, a land grant institution that has a history of outreach and distance education. Recently, in response to the changes in student demographics and needs, the university has developed a virtual campus (known as the World Campus, <http://www.worldcampus.psu.edu>) that is designed to continue the outreach mission and extend that commitment to distance

students primarily through web-based instruction. Central to the virtual campus development has been a focus on using new technologies to provide an interactive environment for students.

Although the course was an existing one that had been previously taught by the researcher, careful planning and preparation occurred before it was placed online. A team approach was employed as for all courses on the World Campus, involving an instructional designer, programmers, program manager, marketing and research specialists. (Faculty members are released from one course for the two semesters prior to instruction for course development. Whenever they teach for the World Campus, they are also released from teaching a course on campus. Thus, all instruction through the World Campus is part of a faculty member's load.) An additional instructor was added to assist with grading some assignments as a way to prepare him for teaching upcoming courses through the World Campus.

The online version of the course was developed using WebCT to create a password protected web site whose major features were multiple bulletin boards, email system, automatic record-keeping that is available to faculty and individual students at any time, online text and images, and links to other web sites. Students were provided with a weekly schedule for course task completion. Assignments included an approximately even balance of those to be completed individually (and submitted to the instructor by email or done as a self-check) and those that required small group work that was posted to the appropriate bulletin board.

Methods

Data were gathered before, during, and at the end of the course. There were four major survey points. A pre-course survey was administered online at the beginning of the course. The questions focused on technology use, the learning process, the course structure and content. The post course survey repeated the same questions and also included two questions related to the time tracking exercise. A mid-course survey (referred to as “mid- survey”) focused on the course objectives, feedback, assignments, support material and faculty/student interactions. Students were given the opportunity to add further comments, were asked to indicate their willingness to take another course designed in a similar way; and were asked whether they would recommend the course to others. The reflection survey (referred to as “reflect survey”) asked students how well they felt they had met course objectives. It also asked for comments about teamwork and the development of an online community. In addition to the surveys the students were asked to keep a weekly Time Tracking Chart and to post evaluative comments on group work to a discussion forum. A “suggestion box” was available throughout the course for student input and feedback.

The surveys used a semantic differential approach that asked for students to react on a seven-point scale to polar opposite adjectives about specific content (Osgood, Suci, & Tannenbaum, 1967). The pre and post surveys were used to determine changes in student response over the duration of the course. The two remaining surveys and a time tracking chart provided additional data relevant to the pre-post survey themes. The evaluative comments were used to gain an overall understanding of the students’ experiences. The qualitative data were then analyzed to identify themes in the comments that develop a richer picture of the student experience. According to Windschitl (1998),

using mixed methods, as in this study, is superior in identifying and describing the impact of the Internet on instruction.

From the pre and post survey, sixteen paired responses were analyzed using the Wilcoxon matched-pairs signed ranks test to determine if there was a statistically significant change in responses to the pre and post items. For all items in the technology use theme, a directional change was hypothesized. It was thought that students would report (a) moving toward expertise in computer use (Q. 2), (b) felling less apprehension about Internet use for the course (Q.6), and (c) likeing the use of the computer (Q.14). Hence one-tailed tests are used for these items. One-tailed tests are also used for two items in the course and content theme. It was hypothesized that students would report becoming more expert in their knowledge of adult education (Q.4) and research (Q.5). Tests for all other items were two-tailed tests since no hypothesis for direction of change was made. All tests used a significance level of .05. Zero differences were not included in the analysis. Coding for Questions 3, 4 and 7 (negative items) was reversed before analysis.

Results

The pre and post semantic differential surveys provide information about changes in the students' perceptions of various aspects of the delivery and the course. The other surveys (mid, completed by 80% of the students, reflect completed by 67% of the students) and student evaluations provided comments and further responses that enriched the picture. This section reports the results of the pre and post surveys and includes supplementary information from the other surveys where relevant. Tables 1, 2, and 3 give z-scores arising from use of the Wilcoxon Signed Ranks test with the pre and post

surveys. These tables indicate that there were significant differences in specific items between pre and post surveys.

Table 1. z-scores for Technology Use Pre and Post Survey Items

	Q.2	Q.6	Q.14
z-score	-1.84*	-2.59*	-0.31

Table 2. z-scores for Course and Content Pre and Post Survey Items

	Q.3	Q.4	Q.5	Q.17	Q.18
z-score	-2.19*	-1.82*	-2.59*	-0.34	-1.15

Table 3. z-scores for Learning Process Pre and Post Survey Items

	Q.1	Q.7	Q.8	Q.9	Q.10	Q.11	Q.12	Q.13	Q.15	Q.16
z-score	-1.18	-2.66*	-1.07	-0.05	-1.01	-1.78	0	-1.29	0	-2.25*

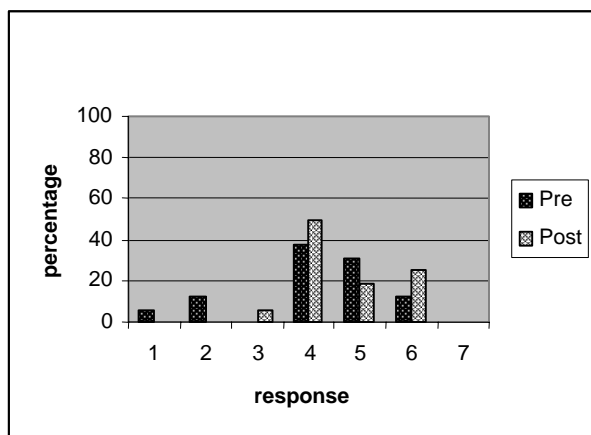
For all tables * = $p < .05$.

In the section that follows, items identified as showing significant change are also presented in graphic form to indicate the direction of the change. The nature and potential cause of this change are discussed in a later section. Relevant information from other data sources is included. Four (4) is in all cases a neutral response.

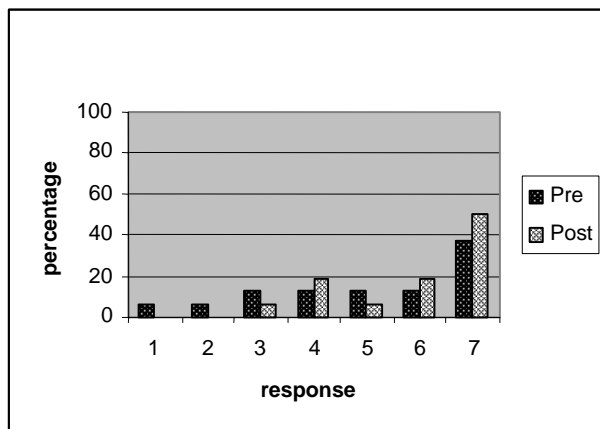
Technology Use

Two questions related to the use of technology are presented below, showing that students became more confident in using both computers and the Internet:

Question 2: A range from a computer novice (1) to computer expert (7).

Figure 1: Pre/post Pairs Question 2

Question 6: A range from apprehensive about Internet use for the class (1) to confident about Internet use for the class (7).

Figure 2: Pre/post Pairs Question 6

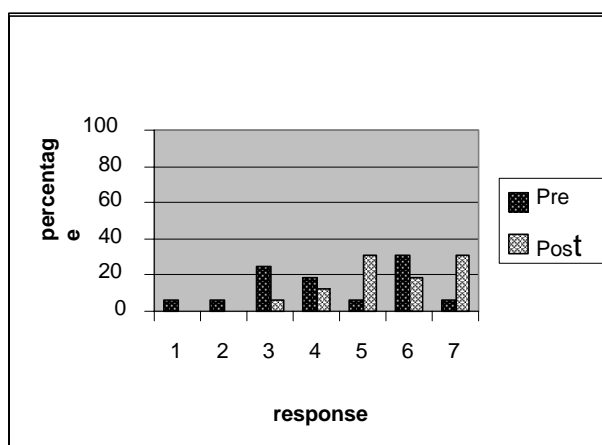
Course and Content

Related to Internet use was a question that asked about exploring resources found on the web. Students in this course needed to develop skills in locating and using resources for research purposes as well as other foundational research skills. These are skills that they will use later in their program as they write their master's papers. The

significant positive change in this item indicated that students felt more confident in their research skills by the end of the course:

Question 5: A range from research novice (1) to research expert (7).

Figure 3: Pre/post Pairs Question 5



Question 1 in the reflect survey also asked: How well do you feel you met the following course objective: “Through this course, you will critically analyze research studies published in adult education journals for factors such as assumptions, biases, and contributions to the knowledge base and practice.” All students (100%) indicated they either mostly or completely mastered the objective.

Question 5 in the reflect survey asked: How well do you feel you met the following course objective: “Through this course, you will gain a foundation for your course in Adult Education and for writing your master’s paper in ADTED 588, which you will take toward the end of your degree program.” Ninety-four (94%) indicated they mostly or completely mastered the objective.

The other responses (questions 2, 3 and 4) from the reflection survey, which focused on course content mastery, indicate that most students rated their mastery of course objectives very highly.

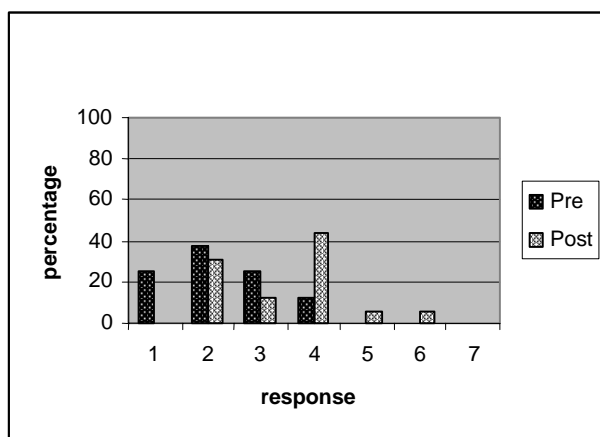
The mid survey provided some course and content related perspectives. At that point in the course 80% of students were finding the course objectives easy to understand, 85% said the assignments and activities were clearly explained, and 95% said the assignments provided practice of the lesson objectives. The performance expectations and effort required were seen by 75% to be clear, feedback was timely (80%) and detailed (70%).

The Learning Process

The learning process, as already indicated, was a key consideration in the planning, delivery and teaching of this course. Two of the pre and post survey responses related to this concept. Students perceived that they had become more self-directed and independent:

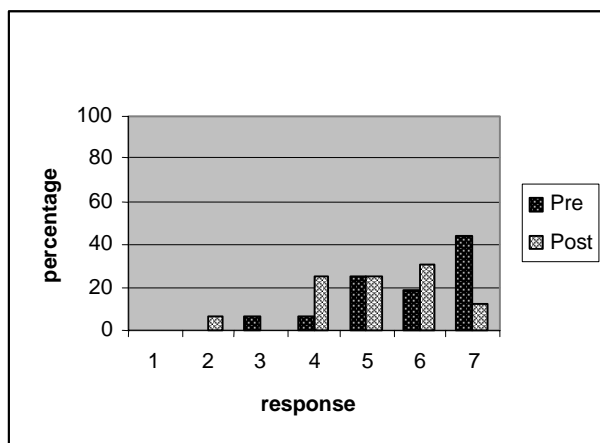
Question 7: A range from prefer to be a self-directed learner (1) to prefer direction (7).

Figure 4: Pre/post Pairs Question 7



Question 16: A range from dislike being helped in class by others (1) to like to be helped by all others (7).

Figure 5: Pre/post Pairs Question 16



In support of this finding question 17 of the mid survey showed that 80% of the students interacted with other students between four and five times a week. From the mid survey students indicated that they were “almost always or better” at applying concepts in actual or simulated situations, that 90% felt they were “very often or always” active participants in the teaching and learning process, and that 75% of them “very often or always” felt encouraged to challenge the instructor’s and other student’s ideas. Most (60%) also felt they interacted with the instructor “very often or always.”

Data about time spent working on coursework and about working with others were gathered through a time tracking chart and question 18 in the mid-survey. At the mid-point of the course 55% of the students indicated they spent 11-15 hours on the course, 20% indicated more than 15hours. The time tracking charts, when analyzed at the end of the course, showed an average of 6.91 hours online and 6.26 hours offline per

week over the whole course. The instructors also spent a total of approximately 12 hours per week on the course (both on and offline).

There were two final questions in the mid survey. When asked if they would be willing to take another course that was designed in a similar manner, 100% of the students responded positively. They were also asked if they would recommend another student to take a course designed in a similar manner; 95% indicated they would.

The students were given the opportunity to comment on various aspects of the course. These were group work, strengths and weaknesses, teamwork, and online community. Comments from these evaluations illustrate some of the discussion points that follow.

Discussion

While this section comments briefly, in turn, on each of the three areas that formed the basis of the pre and post surveys, it became clear from the data analyses that the formation of online learning communities was an essential characteristic in a distance education course. Group work and interactivity with the other students and instructors were the key ingredients in the students' perception of a successful course. This finding answers the research question that was posed at the beginning of this article.

Technology Use

In two of the items related to this theme significant change can be seen. As might be expected in a course that requires considerable interaction via computer, students reported feeling more expert in computer use and less apprehensive about the use of the Internet for the class.

Course and Content

The responses to Q.5 (pre/post survey) about research novice/research expert show that while most won't call themselves expert they did become more confident. The learning objective related to using research studies (Q.1 reflect survey) and the one relating to using their research skills (Q.5 reflect survey) show very high levels (100% and 94% respectively) of confidence appropriate to their level of study.

The greatest strength of the course for the students was the instructors and the guidance and support provided. Interaction was the second greatest strength.

Strengths: Flexibility of timing, well thought out and planned, ease in use once you get started, availability of support, positive support from instructors, printed material and course is user friendly, non-intimidating (most of the time). (Comment from student 24).

The Learning Process

The results showed that the learning environment created made good matches to the learning principles that had guided the delivery design. Instruction via the Internet can allow the interactive and collaborative aspects of learning to flourish. As has been indicated, many student comments pointed to the importance of the instructor in the learning process.

Strengths: positive support from instructors. (Comment from student 8).

Of the eleven items that contributed to the learning process theme, two were found to be significant. First though, note the change reported in the previous course and content section that students grew to feel more capable of using the Internet to search for and find information useful in the course. This item also reflects the confidence in

technology use noted already, but it must be more than that. Students reporting a shift to expertise must also be weighing their ability to make judgments about the nature of the material useful in their particular learning environment. This increasing expertise is matched by a significant shift in feelings towards self direction in learning (Q.7). These changes point to the increasing independence of students. This conclusion is supported by the results of Q.16 that students grew to dislike being helped. These points do not, however, indicate that students did not enjoy or appreciate working together.

The evaluative comments gathered about group work enriched the picture of student interaction and support that emerged. These supported the literature findings suggesting that, for distance students, the learning process can be enriched through small group work. Group work was important for the students and a valuable aspect of the course. Ninety –three percent (93%) of the students responding mentioned that they had found the group work valuable. Those who elaborated on this mentioned the sense of community or classroom that was built and the value and support they had found in this. It was also evident that most groups and partnerships had worked well.

It [the group work] gave me the feeling that I was actually in a classroom environment. (Comment from student 17.)

I (we) thought the group work was the best part of the class. It really gave me that much needed human contact and sounding boards. (Comment from student 23)

I think it [group work] did establish a learning community and for me, it added some discipline and structure to an assignment. Peer pressure is useful for procrastinators. (Comment from student 13).

I found that we worked so well together that I would have preferred all assignments to be done that way. (Comment from student 9).

The students also commented on group size indicating that a group of six was the maximum size they would want. They had found the amount and timing of group work to be about right but experienced some difficulties getting together even online.

There was further support for the group work and the development of an online community in the comments associated with the reflect survey. Over ninety percent of the students indicated they felt part of an online community. Most also commented on the value of shared contributions that had helped them develop the course concepts. It had been, they indicated, a valuable and enjoyable experience. Clearly, the students grew to increasingly value independence and interdependence, but not dependence.

I really felt like part of a class with this experience. With the exception of knowing what people looked like I feel I got to know personalities, interests and levels of experience in Adult Education. We interacted a lot which I found an interesting experience. I enjoyed the web pages that we had to do during that first week. Great idea. I really feel like part of a community. (Comment from student 6).

Conclusion

While the study demonstrated that an appropriate online learning environment could be developed for distance adult students, we should not consider that the move from traditional class teaching to online is without questions and mysteries of its own. There are areas to research that would further develop our understanding of online teaching and learning and benefit the new and returning students who are moving into higher education. We need to know more about how students interact with the material,

how groups work to support learning, and the role the instructor plays in facilitating and developing learning in a collaborative distance environment.

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Table 1. z-scores for Technology Use Pre and Post Survey Items

	Q.2	Q.6	Q.14
z-score	-1.84*	-2.59*	-0.31

Table 2. z-scores for Course and Content Pre and Post Survey Items

	Q.3	Q.4	Q.5	Q.17	Q.18
z-score	-2.19*	-1.82*	-2.59*	-0.34	-1.15

Table 3. z-scores for Learning Process Pre and Post Survey Items

	Q.1	Q.7	Q.8	Q.9	Q.10	Q.11	Q.12	Q.13	Q.15	Q.16
z-score	-1.18	-2.66*	-1.07	-0.05	-1.01	-1.78	0	-1.29	0	-2.25*

For all tables * = $p < .05$.

Figure 1: Pre/post Pairs Question 2

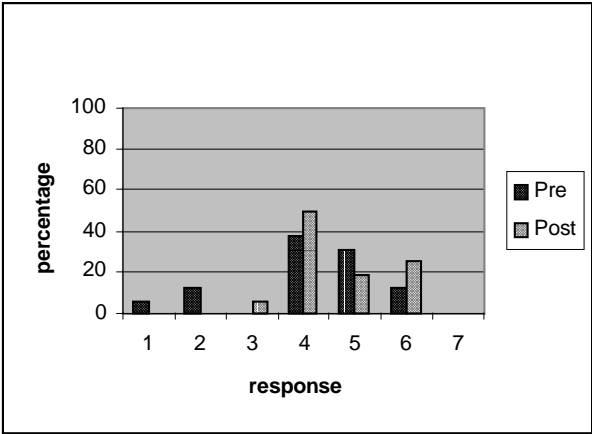


Figure 2: Pre/post Pairs Question 6

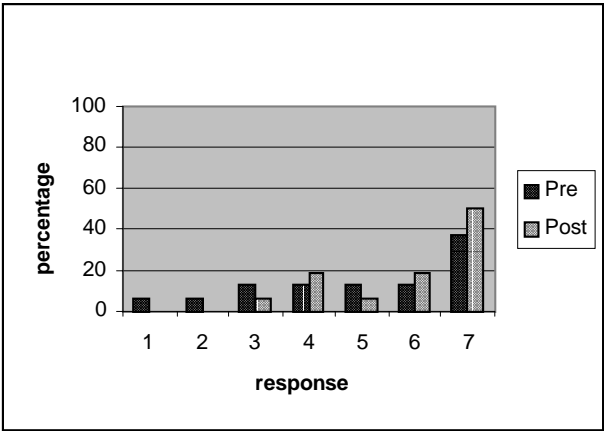


Figure 3: Pre/post Pairs Question 5

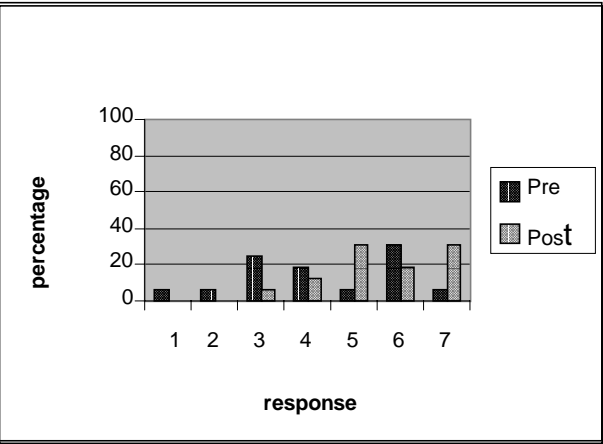


Figure 4: Pre/post Pairs Question 7

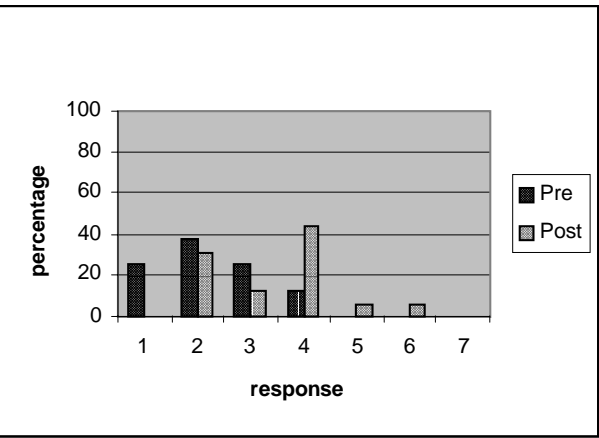
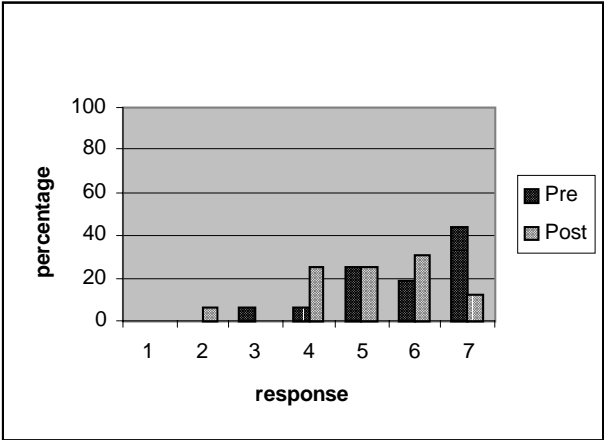


Figure 5: Pre/post Pairs Question 16



Literacy, Criminal Activity, and Recidivism

Cindy Hendricks, James E. Hendricks, Susie Kauffman

Never before in the history of the United States has reading taken such a vital role in shaping policy, practices, and politics. The nation's literacy rates have been at the forefront of many discussions by local, state and federal government agencies. A federal goal that all students read independently and well by the end of 3rd grade has been responsible for a variety of programs aimed at increasing students' reading performance.

But, what happens to those students who do not learn to read? For many students, reading problems lead to poor academic achievement, which, in turn, may lead to dropping out of school. According to recent statistics, 15% of the U.S. population dropped out of school before graduation because they fell so far behind in school that they lost hope of ever catching up (Adult Basic Education, 2000).

Although no single cause accounts for all delinquency and no single pathway leads to a life of crime, one of six factors identified as important predictors of delinquency among our nation's youth was poor educational performance (Lieb, 1994). Hodges, Giuliani and Porpotage (1994, p. 1) concurred, "one recognized characteristic of juveniles incarcerated in correctional and detention facilities is their poor experience with elementary and secondary education."

The purpose of this investigation was to examine the nature of the relationship between literacy, criminal activity, and recidivism. Through an examination of the literacy levels of the prison population, a comparison of literacy levels of the prison population with non-prisoners, an understanding of correctional education, and measures

of correctional program effectiveness, conclusions may be drawn regarding the role literacy plays in reducing recidivism among inmates.

Examining Literacy Levels of the Prison Population

After an in-depth analysis of the results of a 1978 study funded by the Office of Juvenile Justice and Delinquency Prevention, Hodges, Giuliotti and Porpotage (1994) reported the average detainee was functioning at the ninth grade level, but reading at a fourth-grade level. Similarly, of all the inmates admitted through the Florida Department of Corrections, 69.9% performed at a literacy skill level of 8.9 or less (Florida Department of Corrections, 1997-98). Moreover, Correctional Education Connections (2000) reported that statistics from Texas indicated that the average prison inmate had an IQ of 87 with a sixth-grade education. Chaiken (1997) explored the educational level of death row inmates and found that of those on death row, sent to death row, or removed from death row in 1995, 44.5% had less than a 12th grade education. In a more generalized fashion, the Center on Crime, Communities and Culture reported that approximately 19% of adult inmates were completely illiterate, and 40% were functionally illiterate.

Paul Barton, director of Educational Testing Service's Policy Information Center, explained:

...a large proportion of the prisoner population is weak in using printed materials of the kind encountered in work places and daily life. One-third of prisoners at Level 1 (the lowest on a five-point scale) were unlikely to be able to do tasks such as finding an intersection on a map, filling out an application for a Social Security card, or calculating the cost of a purchase. Another third at Level 2 were unlikely to

be able to write a letter explaining a billing error or figure out miles per gallon using information from a mileage record chart. (ETS, 1996, p. 1)

According to a study conducted by Project READ (1978), the median age of youth confined to correctional facilities was 15.5 years. They were in the ninth grade, and read, on average, at the fourth-grade level. More than one-third of all juvenile offenders of this age group read below the fourth-grade level.

Comparing Literacy Levels of Prison and Non-Prison Populations

In 1992, an extensive investigation of the literacy skills among inmates was conducted by the Educational Testing Service in collaboration with Westat, Inc. and funded by the National Center for Education Statistics within the U.S. Department of Education (Haigler, Harlow, O'Connor & Campbell, 1992). The purpose of the survey was to profile the English literacy of adults in the United States, including prison inmates, based on their performance across a wide array of tasks that reflected the types of materials and demands encountered in their daily lives.

A total of 1150 randomly selected inmates in 80 randomly selected federal and state prisons were interviewed. Their answers and results were compared with 13,600 randomly selected adults over the age of 16, who lived in households across the country. Each participant spent approximately one hour responding to a set of literacy tasks as well as to questions about demographic characteristics, educational background, reading practices, and other literacy-related areas. Proficiency scores were reported on three scales that reflect varying degrees of skill in prose, document, and quantitative literacy.

Results indicated the average proficiencies of the prison population were 246 on the prose scale, 240 on the document scale, and 236 on the quantitative scale, substantially

lower than those of the household population (273 on the prose scale, 267 on the document scale, and 271 on the quantitative scale (Haigler et al., 1992). Approximately 70% of the prisoners performed in Levels 1 and 2 on the prose, document, and quantitative scales. Prisoners were more likely to experience difficulty in performing tasks that require them to integrate or synthesize information from complex or lengthy texts or to perform quantitative tasks that involve two or more sequential operations and that require the individual to set up the problem.

Nearly 51% of the prisoners completed high school or its equivalent, compared to 76% of the non-prison population. Prisoners who did not receive a high school diploma or GED demonstrated lower levels of proficiency than those householders (non-prison participants) who completed high school, earned a GED, or received some post-secondary education. Although inmates who received a GED demonstrated about the same proficiencies as householders with a GED, inmates with a high school diploma demonstrated lower proficiencies than householders with a high school diploma.

Another reported finding was that, generally, the higher the level of parental education, the higher the prisoners' proficiencies. The results also suggested that inmates who came from homes where only a non-English language was spoken demonstrated significantly lower proficiencies than those who came from homes where English was spoken.

Haigler, Harlow, O'Connor and Campbell (1992) concluded that inmates possessing a high school diploma should not necessarily be viewed as possessing the literacy skills needed to function in society; given that their performance was lower than that of householders with a high school diploma.

Understanding Correctional Education

Correctional education, having roots dating back to 1789 in Philadelphia's Walnut Street Jail (Gehring, <http://www.ibiblio.org/icea/history.htm>), refers to all education (from basic literacy to vocational training to a college degree) given to people within the criminal justice system (probation, city jail, county jail, state prison, federal prison, parole). Educators within corrections facilities operate on the principle that attitudes, ideas and behavior can be corrected -- that humans are capable of progressing to higher thresholds of awareness (Gehring, <http://www.ibiblio.org/icea/history.htm>).

Correctional education programs help inmates to break the cycle of poor literacy skills and criminal activity by providing them with the knowledge and skills necessary to succeed both in the workplace and in society. Effective correctional education programs help inmates develop problem-solving and decision-making skills they can use within the prison industry and in employment after their release (Steurer, 1996).

Measuring the Effectiveness of Correctional Education

The ultimate goal of correctional education is to reduce recidivism -- to help inmates become self-sufficient so that they can be re-integrated into society and become productive and successful workers, citizens, and family members (Cortley, 1996). Recidivism is defined as the rate at which released prisoners return to jail or prison without considering the reason for incarceration. While few deny the value of education or the significance of other outcomes, the ability to keep individuals from re-entering the criminal justice system is the ultimate test of correctional education program effectiveness (Using Correctional Education Data: Issues and Strategies, 1997).

In 1971, the California Department of the Youth Authority conducted an investigation to determine if gains in reading skill or participation in remedial education programs would lower recidivism for the nearly 1,000 participants who were determined to be academically deficient. Recidivism status was determined after three and fifteen months of parole. Neither reading skill gain nor participation in a remedial education program was found to be related to recidivism at either of these intervals. However, reading ability was found to be related to recidivism time. Those with low reading ability were more likely to recidivate within three months, while those with higher reading ability were more likely to recidivate during the fourth through fifteenth months.

Mace (1978) examined parole and intake records to follow 320 adult male inmates discharged in 1973 from West Virginia correctional institutions. At the end of 4 years, there were 76 recidivists; 55 were from the group that did not participate in educational programs. Only 7 of those completing the GED and only 4 of the college-level participants were re-incarcerated.

Holloway and Moke (1986) investigated 95 graduates of AA degree programs who were paroled during 1982-83. The graduates were compared to a randomly selected group of high school graduates (including GED) who had received their degree inside or outside of prison and a third group of 106 randomly selected inmates who had no GED or high school education and were released during the same time period. The findings indicated that recidivism was lower as educational level increased (college graduates recidivated lower than high school graduates and both recidivated lower than non high school graduates).

Anderson, Anderson and Schumacker (1988) investigated how many of the 760 detainees who received vocational training while incarcerated obtained employment, especially in areas in which they received vocational training, upon their release. The detainees were divided into four research groups: vocational training, vocational and academic training, academic training, and no vocational or academic training. Vocational and vocational and academic groups had higher employment rates and fewer re-arrests than the other groups. Those who received no education had the highest recidivism rate.

Ramsey (1988) reviewed the relationship between receiving a GED and recidivism. Five groups were used: 175 offenders who received the GED while incarcerated, 175 offenders who did not receive the GED, 100 Adult Basic Education students who received the GED while incarcerated, 100 Adult Basic Education students who did not receive the GED, and 100 who had achieved an 8.0 reading level but were not schooled while incarcerated. Among the GED groups, 22% who received a GED recidivated, while 35% recidivated who had not received a GED. Among the ABE students, 16% who received a GED recidivated, while 33% who did not receive a GED recidivated. Of the 100 individuals who did not received any schooling, 36% recidivated.

More than 16,000 prisoners from 11 states participated in an investigation conducted by Beck and Shipley (1989). An estimated 62.5% were re-arrested for a felony or serious misdemeanor within 3 years. Offenders with an 8th grade education or less were rearrested at a rate of 61.9%; high school graduates had a re-arrest rate of 57.4%. Individuals with some college had an even lower re-arrest rate of 51.9%.

Dugas (1990) evaluated the effects of basic literacy tutoring programs (using inmate tutors) on recidivism. Of the inmates who received their GED diplomas while

incarcerated (557), less than 4% returned to the jail compared to a national recidivism rate of 65%.

A study conducted by Porporino and Robinson (1992) involved 1,736 federal offenders who were released in 1988 and monitored for an average of 1.1 years. The effectiveness of an Adult Basic Education program was evaluated through examining recidivism rates. Three groups were studied (program completers, released before completion, and program dropouts). Results indicated that 30.1% of the completers had re-admissions compared to 35.5% of those released before completing and 41.6% for the offenders who had withdrawn.

Gainous (1992) examined graduates of seven Alabama colleges providing correctional education to prisoners. The average recidivism percentage was approximately five percent (5%) for those inmates completing courses during the study period (1987-1991). This figure is significantly below the DOC recidivism figure of 35% for the entire prison population.

A report issued by the Congressional Subcommittee to Investigate Juvenile Delinquency estimates that the national recidivism rate for juvenile offenders is between 60% and 84%. For juveniles involved in quality reading instruction programs, the recidivism rate can be reduced by 20% or more (Brunner, 1993).

Jeffords and McNitt (1993) investigated 1,717 Texas youths who were released between July 1, 1990 and June 30, 1992. While incarcerated, 475 received their GED. The youths were tracked for one year after release. The authors concluded that the recidivism rates of youth attaining a GED were significantly lower than those who did

not. The treatment group had a 41.3% re-arrest rate and a 10.1% re-incarceration rate as compared to a 53.5% re-arrest rate and 19.1% re-incarceration rate for the control group.

An 18-month study by Jenkins, Pendry, and Steurer (1993) utilized 4 subgroups (Adult Basic Education, GED, vocational education and post secondary students) to investigate recidivism. The study concluded that there was a positive and significant benefit of education for students at all levels when compared to similar inmates who did not receive any educational program while incarcerated. The post secondary group contained no recidivists. Other groups also experienced reduced recidivism, increased employability and higher wages.

Harer's (1994) three-year investigation using 1205 releasees showed a strong positive relationship between education and a reduction in recidivism. This study found that the more education the releasee had upon entering the system, the less likely the inmate was to recidivate. The highest recidivism rate was 54.6% for individuals with some high school and the lowest rate was 5.4% for college graduates. Recidivism rates also decreased according to how much education a student received during incarceration. Inmates who did not take education classes recidivated at 44.1%, while individuals who completed at least one course every 6 months of their incarceration recidivated at a rate of 35.5%.

Project LEAD (Life Enrichment and Development), an educational program in Genesee County Jail (Michigan) was investigated by Williams (1996). Project LEAD used a holistic approach to identify inmates whose functional literacy levels were such that it would be difficult for them to secure and maintain jobs. The program also integrated academics, life skills and vocational instruction, tailoring them to meet the

individual needs of participants. Inmates received a minimum of 15 hours of instruction weekly, including a minimum of 5 hours of computer-assisted instruction and 10 hours of classroom instruction, life-skills sessions, and individual academic tutoring. The 1995 performance report showed that the recidivism rate for the 611 Project LEAD participants from September 1993 through September 1995 was 3.5%.

A five-year follow-up study conducted by the Arizona Department of Adult Probation concluded that probationers who received literacy training had a significantly lower re-arrest rate (35%) than the control group (46%). Those who received GED education had a re-arrest rate of 24%, compared to the control group's rate of 46% (Siegel, 1997).

Robinson (2000) investigated Utah's Project Horizon, designed to help inmates prepare for jobs suited to individual needs when they were released. The project's nine-point plan includes inmate assessment, multi-agency collaboration, family involvement and support, research and evaluation, post-release tracking and support, job placement, career skills, basic literacy skills and cognitive problem solving skills. Horizon parolees recidivated 18-20% less than non-participants and found post-release jobs which they consistently tended to keep 89% of the time.

Conclusions

Steurer (1996) suggests that while a direct correlation between educational disadvantage and crime has not been verified, descriptions of prison populations suggest that poor literacy skills and crime are related. According to the Federal Bureau of Prisons, there is an inverse relationship between recidivism rates and education. The more

education a prisoner receives, the less likely he/she is to be re-arrested or re-imprisoned (Harer, 1994).

The Educational Testing Service (1996) reported that the most common finding of twenty years of research is that inmates exposed to education programs are more likely to be employed and less likely to end up back in prison than non-participants. The reasons for educating the prison population are clear:

Most of the people in America's prisons will eventually be paroled yet two-thirds don't have the literacy skills needed to function in society. It is counterproductive. . .to have people released from prison who are lacking in the most fundamental skills for employment and citizenship. (ETS, 1996, p. 1)

A review of selected investigations indicated that inmates who undergo correctional education average up to a 20% reduction in recidivism from that of the general prison population (Steurer, 1996). The majority of individuals released back into the community will be unskilled, undereducated, and likely to become re-involved in criminal activity. Haigler, Harlow, O'Connor and Campbell (1992) suggested that unless inmates' skills were improved considerably, their prospects for being employed upon release from prison were diminished.

Acknowledging that a high school diploma is the basic academic requirement for almost all entry-level jobs and that persons who function below this level often encounter serious difficulty in obtaining employment and carrying out day-to-day activities and responsibilities, it is almost impossible for a person to get and keep a job in our global, technological society if he/she does not have an education. Once a criminal record, no work experience, and the negative social experience of prison are added to the mix, the

enormous barriers which ex-offenders must overcome become obvious. Each time one barrier can be removed, it becomes easier to become a productive citizen (Correctional Education Connections, 1999).

In the words of former U.S. Supreme Court Chief Justice Warren Burger, “We must accept the reality that to confine offenders behind walls without trying to change them is an expensive folly with short-term benefits -- winning battles while losing the war” (Taylor, 1993, p. 90).

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Patterns in Partnership for Elementary Reading Teacher Preparation

David Bishop and Teresa Young

Introduction

The message from accrediting agencies and subject-specific professional organizations is unmistakable: undergraduate teacher preparation candidates need earlier, more, and better field experiences before entering the profession (Carnegie Forum, 1986; Holmes Group, 1986, 1990). The terms “partnership”, “school/university collaboration”, and “professional development school” have been used extensively to describe the various arrangements between colleges of education and K-12 schools designed to meet this mandate. In fact, these terms have been used so widely that they remain relatively meaningless unless the users describe fully what they do. The major purpose of this paper is to describe how Northern Kentucky University’s School of Education and Covington, Kentucky’s Independent School District have evolved an operational definition of their partnership at the elementary level. We will limit our comments to the preparation of literacy teachers, and focus primarily on what Jaquith (1994) refers to as “mid tier” field experiences just prior to student teaching.

We describe two major dimensions along which partnerships can vary. One we call Relationship Patterns due to its emphasis on how people work together. The second, we call Immersion Patterns to signal the level of involvement of teacher preparation candidates in the host school. Our conclusion from the past six years is that variations of these Relationship and Immersion Patterns are not just necessary, but also desirable to meet changing needs, resources (human and other), and situations. We hope that by describing the differing patterns we have used we can contribute to a

comprehensive picture of how schools and universities can cooperate to the mutual benefit of all participants.

Theoretical Perspective

The call for improved field experience has led many schools, ours among them, to embrace the tenets of constructivism in designing their programs. As Brooks and Brooks (1993) noted “Learning from this perspective is understood as a self-regulated process of resolving inner cognitive conflicts that often become apparent through concrete experience, collaborative discourse, and reflection” (p.vii). Explicit in NKU’s redesign of field experiences was the premise that we needed not only more experience, but examined experiences (Dewey, 1938). In fact, our college adopted the thematic statement, “The teacher is a reflective decision-maker” as an overarching principle for all coursework. Clarken (1993) emphasizes another, related principle which states that preservice teachers need to be guided through the process of connecting their studies with their hands-on experience. “It is through the professional field experiences that concepts, generalizations, or theories that are emphasized in the professional sequence are evaluated with respect to their relevance and usefulness in the real world” (Clarken, 1993, p. 5). We set out to create a program responsive to these conditions, a program that would allow our students a maximum opportunity to construct their own repertoire of best practices by melding study, observation, and direct contact with children.

Practical Application of Theory

The Holmes Group and Carnegie Forum were not the only sources of influence in our program development. NCATE, The National Council for the Accreditation of Teacher Education, has placed increasing weight on the quality of field experiences. The

standards and requirements detailed in NCATE 1995 and 1997 were instrumental in guiding our decision.

In addition, a growing literature on professional development schools revealed sources of support for this basic thrust of what we wanted to do. For instance, Herrmann and Sarracino (1993) noted how both the content of literacy courses and the sense of ownership changed as constructivist principles took root. Selke and Kueter (1994) demonstrated that professional development schools provided advantages for undergraduates as well as the already-documented benefits for teachers, professors, and public relations between schools and universities. Quisenberry, McIntyre and Byrd (1990) and McIntyre (1994) showed that “resident professors”, or full-time tenure-track university faculty involved in coursework, field supervision and liaison with the elementary school, were critical to success of preservice field experiences. With these principles in mind, a joint committee of NKU faculty and Covington school personnel met to design a program beneficial to all stakeholders.

Context

In order to help readers interpret our efforts and evaluate our application of the patterns we have employed, we will provide contextual information on:

- A. salient demographics of Covington school district
- B. NKU and its School of Education
- C. Genesis of this partnership
- D. Where the “Covington Experience” fits in the teacher preparation sequence for elementary major

Covington schools are officially in crisis, based on Kentucky's accountability system. They have scored at or near the bottom in the state's rankings of schools at elementary, middle and senior high levels. The city is the largest in northern Kentucky at approximately 25,000. There is one comprehensive high school with 1,000 students, a junior high with 500, and five elementary schools totaling 2300 students. One alternative school serves as a behavioral outlet for 100 students in grades 3 – 6. 70 % of the students are eligible for free/reduced lunch. The racial/ethnic breakdown is 75% Caucasian, 25% African American and Hispanic. There are three major government subsidized housing projects totaling 15% of the school population. The average household income is \$23,000 and 40% of families with children in school are headed by a single parent. 20% of the city's population are on welfare. In contrast to the low scores of the district overall, the high school houses an International Baccalaureate program, and one elementary school hosts a gifted and talented program for 3rd through 6th graders. Contrary to the states of many urban school systems, Covington's elementary, physical plants are in good repair – generally bright, cheerful, up-to-date facilities.

Northern Kentucky University is a state assisted public institution with an overall population of 12,000. Approximately 8,000 are undergraduates, with about 1,000 living on campus. NKU's mission statement emphasizes good teaching and engagement with the local community. NKU's School of Education has 26 full-time, tenure-track faculty and serves 1150 undergraduates and 440 graduate students. The School of Education has adopted a conceptual framework for all its programs that reinforces the desirability of significant school/university relationships. Five interlocking themes of Diversity, Assessment, Intellectual Vitality, Professional Community, and Technology guide the

School's planning and implementation. We will elaborate on these themes later as we describe the patterns we have used in the Covington program.

The genesis of the grant that initiated Covington and NKU's partnership was Goals 2000 monies obtained by an application co-written by a Covington schools administrator and two NKU professors. The purpose of the grant was to underwrite the development of three professional development schools – one each at elementary, middle, and secondary levels. To that end, faculty and administrators from both institutions met throughout 1995 to generate ideas for enriching practicum experiences for NKU students and learning opportunities for Covington students. The secondary program began in the fall of 1995, with the first elementary version beginning in Spring 1996. Programs have been running continuously at all three levels since the Fall of 1996.

The place of the practicum experience in the overall elementary program bears some examination. Students who are accepted for admission to the School of Education have completed 48 credit hours, have a minimum GPA of 2.5, and pass several screening tests. They complete an Admissions Semester consisting of an observation/participation practicum of 60 clock hours, plus courses in computer application, human growth and development, and an introduction to the profession. Then they take the block of courses which is the focus of this paper (called Professional Semester I), and which will be described in more detail later. After Professional Semester I, students take Professional Semester II, consisting of methods courses in language arts, mathematics, science, and social studies. They also participate in a practicum two mornings per week for 2 hours. Finally, they complete a student teaching placement.

As we mentioned earlier, Professional Semester I is the focus of this paper. Students take course work in assessment, early childhood concepts, management, reading, and special education. At our institution, they may elect to take these courses in a traditional campus-based plus once-a-week practicum format, or they may choose the “Covington program” as it has come to be known. Roughly one quarter to one third of students taking Professional Semester I choose the Covington program.

What are the differences in these Professional Semester I offerings for the college student? First, the campus-based program offers 10 – 20 hours of contact with elementary students, only 5 – 10 of these hours are actually teaching. The Covington program offers 70 – 80 hours teaching and tutoring contact. In the campus-based program students teach for an hour on Fridays. The Covington program, depending on the variation any given semester, offers nearly total immersion in the school culture. In the least involved manifestation, college students are working with elementary children two hours a day, three days a week, for ten weeks. In the most involved version, college students are working with elementary children 2 ½ hours a day, four days a week, for 12 weeks. In this most involved version, college students are in the elementary school from day one of the semester until test week, with all of the college “chalk-talk” sessions conducted on site.

The campus-based program requires student to integrate ideas from isolated courses in order to teach on Fridays. The Covington program offers the same courses as an integrated package; class time is spent more on problem-solving and selective application of principles than it is on systematic lecture and discussion of each subject. In

the campus-based program, many assignments are done to explore the subject. In the Covington program, every assignment is directly tied to involvement in the school. Perhaps the most important difference lies in the personnel. In the campus-based program college students see five professors, some of whom supervise them in their Friday practicum. In the Covington program, their course professor(s) also observe and evaluate their teaching, and coordinate activities with elementary school personnel. In a later part of this paper, we will evaluate the strengths and weaknesses of our program's variations, and at that time will expand on the differences between the traditional, campus-based program and the Covington program but the above differences should serve to underscore the dramatic contrast between the two.

Patterns of Partnership

Over the past five years, we have seen several types of arrangements emerge from the Covington/NKU collaboration. We will enumerate those arrangements here, then go into more detail in an attempt to show not only how they differ, but how several can coexist and even weave together to form a complex and vital relationship. It is our belief that all participants (or "stakeholders" as they are commonly called) be informed of the nature of the collaboration underway and its overall goal or goals. Only under conditions of informed participation is it possible to evaluate success of the program by rational, empirical means. Furthermore, only by examining the varieties of partnership available is it possible to determine what is most relevant and beneficial to any given organization.

As we mentioned earlier, one of the dimensions along which partnerships can vary is a Relational one. The major Relationship Patterns we have identified are:

1. Organizational. A structural, broadscope agreement between two (or more) organizations.
2. Co-teaching. A situation where a pair of professors or a professor and K -12 teacher share responsibilities for teaching teaching candidates and/or school age students.
3. Collegial. A cadre of professors and K-12 teachers teach separate areas of Expertise, essentially on an independent basis but coordinating efforts for the benefit of students.
4. Mentoring. Close and frequent teacher-candidate pairings with pre-during-post teaching support and direction from the K-12 teacher.
5. Special projects. Collaboration between a school and university class for a specific assignment – such as doing a series of read alouds or storytelling sessions, doing a miscue analysis on a class, interviewing an elementary student and writing a book for him or her.
6. Demonstration or Model sites. A school and university collaborating to produce a “best practices” school for others to observe and learn from.

The second dimension of partnership patterns involves the level of immersion of the college student in the elementary school. If one thinks of student teaching as a total immersion in the culture and activities of a school, and a one-time, hour or two visit for a special event or assignment as the least involved possibility, it will help to place our attempts on a continuum. The Immersion Patterns we have used are:

1. Total Immersion. From day one until semester’s end, college students are on- site at the local elementary school. After some early preparation days,

students are fully integrated into the culture of the school.

2. Early Preparation/Intensive Teaching/Pullback. College students spend two or three weeks on campus learning reading, assessment and management concepts, then attend the elementary school to teach several lessons per week (usually 10-11 weeks), and return to campus to do culminating activities, final reports, and exams.
3. Early Preparation/Back and Forth/Pullback. This is similar to (2) above, with the exception of the middle phase. Instead of intensive, five-day-a-week teaching, students teach three days a week (typically Tuesday through Thursday) and go back to campus on Mondays and Fridays for classes with professors.
4. The Sample Traditional Pattern. Campus-based, this pattern emphasizes all-day classes for college students on Mondays and Wednesdays, and teaching a short lesson or completing observation/assessment activities in the elementary schools on Fridays.
5. Campus Compromise. The campus-based pattern of the future (Fall 2001 implementation), this plan emphasizes two days in college classrooms alternating with two days in the field. This plan has been used for several years in the next block of courses (language arts, mathematics, science, and social studies).

Please remember that Patterns 1 through 3 all revolved around involvement in the elementary school as a priority, with university concerns taking a backseat. Patterns 4 and 5 operate on the assumption of the university's schedule as a priority. For the past six

years, some variation of 1, 2, or 3 has been available to undergraduates in at least one section. The campus-based options still enroll two-thirds to three-quarters of undergraduates at this stage of their program.

Evaluation of the Program's Successes and Problems

As we implied earlier, no program like this can remain static and still serve useful purposes to the many people involved. Each relationship and immersion pattern (and, more importantly, the concatenation of the two) has its advantages and disadvantages. We have made many changes to improve the overall experience for undergraduates and children. However, we have also made changes that reflect exigencies of the moment, including most prominently the availability of professors, cooperating teachers, and space. In order to help readers judge the strengths and weaknesses of their own efforts in comparison with ours, and to help generate ideas for future action, we will present an in-depth look at our most intensive approach, which used Immersion Pattern One and took advantage of all Relationship Patterns except number 6, The development of a Model School. We focus on this instance because it is so unusual at this early level of undergraduate preparation. It is very close to a half-time student teaching situation with a university supervisor present at all times.

To better understand the most intensive university/public school partnership approach used by NKU, we will examine the following figures. Figure 1 shows the salient data related to the program. Compared to the average for mid-tier field experiences of 45 hours (Jaquith, 1994), our students double the clock hours with elementary children. Similarly, the time commitment for university faculty is

significantly higher than on-campus professors, averaging 20 contact hours per week for a 12 credit assignment as opposed to the more typical 10 contact hours. Figures 2 and 3 provide a detailed look at undergraduates' involvement in the program and professional preparation. Figure 2 highlights both the chronological flow of a semester's work from Orientation through Unit Teaching and the types and numbers of experiences students have during the practicum. Figure 3 describes the many and varied activities in which practicum students participate.

- **Students receive 14 credits for coursework.**
- Students log 17 ½ hours per week for 15-week semester.
- Students are at the school Monday through Friday 8:00 – 11:30.
- Students teach in major classroom assignment approximately 6 hours/week. They help in the same classroom another 2-3 hours/week.
- Students tutor reading, writing and assorted other subjects approximately 3 hours/week.
- Total student/child contact averages 90 hours/semester.
- Main NKU faculty spends approximately 20 hours/week for 12-credit load. (With two schools, two faculty, 15 hours/week.)
- 20 Students per section may enroll each semester. Enrollment averages 17.

Figure 1. Covington elementary partnership by the numbers.

- **ORIENTATION:** School tour, ½ hour visits to each of the participating classrooms, presentations by administrators, specialists and teachers.
- **PREPARATION:** Approximately 2 1/2 weeks of intensive preparation in assessment, management, reading and writing pedagogy, concepts of developmental appropriateness, topics in special education.
- **ENTRY-LEVEL TEACHING:** Approximately three weeks of teaching relatively short (30-60 minutes) lessons on a specific skill, strategy or topic. 4-8 lessons.
- **MORE INVOLVED LESSONS:** Two or three weeks of longer lessons, spanning 2-3 days and covering topics or sequences that need more time. 2-3 lessons.
- **UNIT TEACHING:** Two or three weeks of teaching a thematic, integrated unit tied to one of the major performances in Kentucky’s Early Learning Profile, or similar unit organization.
- **SELF-EVALUATION:** Each lesson, each day. In conferences after being observed. Through video documentation project. In final exams and reports.
- **COMMUNITY CONTACT:** Participate in Readifest (August) or Mayfest, go on home visits or neighborhood canvassing with Family Resource Center personnel.
- **TUTORING:** ½ hour per week with 4th grader in writing, ½ hour per week with 1st grade student in reading, 2 hours per week varied subjects in the major classroom.
- **EXPOSURE TO VARIED AGES AND ABILITIES:** Students tutor a primary student and an intermediate student, work in a major-assignment classroom with a two-year age range, teach in “inclusion” settings, and make observational visits to on-site adult learning centers, infant daycare room and 3-4 year old preschool.

Figure 2. Covington elementary partnership major experiences.

- Read and take notes on seven books.
- Do an extended assessment of two children – reading tutorial and writing portfolio development.
- Do daily anecdotal logs on reading practices, assessment topics, and management.
- Complete observations of teaching styles and classroom environment in 10-12 rooms at several grade levels.
- Self-evaluation: after every lesson. During conferences. On videotapes. In final examinations. In compiling portfolio.
- Compile a portfolio to meet conditions of Kentucky's New Teacher Standards.
- Draw up and revise a classroom management plan.
- Complete a video documentation project (3 tapings plus report).
- Submit lesson plans and reflections regularly (10-12 weeks).
- Develop manipulative materials for enhancing literacy lessons and submit final report.
- Participate in collaborative project investigating Kentucky's Seven Primary Attributes.
- Submit midterms and final exams (largely take-home; given out first week of classes; designed to make students integrate book learning, direct experience, and college classroom activities.

Figure 3. Covington elementary partnership.

This program can be exhausting for the supervising professor and students. However, anonymous program evaluations reveal that fully 90% of undergraduates say it was not only rewarding but they would do it again. Many cite the intangibles, immersion in the school culture, getting to know children well, having a real idea of what day-to-day teaching is about, as their strongest reasons for favoring this approach. Just as success breeds success, authenticity breeds authenticity. The environment, and continuous presence in the school, creates genuine opportunities, both for fortuitous learning, and for flexing with less desirable situations like last-minute assemblies. This continued exposure to the real world of children in school in turn creates the opportunity for better test questions and project assignments, and of course, for better answers and completed products. For professors, the experiences offer a real setting and reality check on expectations and assignments. It can be a pleasure reading multiple papers on the same assignment prompt because each answer has uniqueness, individual voice and perspective generated from rich, differing circumstances.

Students develop sharper skills of self-evaluation due to the increased time in schools, and they have many more opportunities to refine not only their teaching practices, but also their ability to reflect on their strengths and weaknesses. NKU's School of Education claims to develop "The Teacher as a Reflective Decision Maker" and each course syllabus states that "a reflective decision maker is one who knows how to evaluate and modify teaching approaches to meet emerging student needs." While this may be true in piecemeal fashion in other courses, the integrated block of courses offers a comprehensive setting for this reflection. Students do all of the following:

- video documentation project, in which they tape themselves at least three times, evaluate the tapings, and prepare a final report and showing of tape reflecting their growth.
- post-teaching conferences with university supervisor in which they take the lead in self evaluation before the supervisor offers observations.
- post-teaching and long range conferences with cooperating teachers
- daily lesson reflections
- textbook study logs focusing on response/reaction/questions
- observational notes in all courses, tied to the final exam questions

Of course, all of this takes place in a context in which students evaluate the program anonymously several times; cooperating teachers fill out evaluations weekly, at mid-semester, and at the end of experience; university supervisors complete evaluations based on the state-mandated form; qualitative mid-term exams replace the typical memorize and regurgitate test; and issue-driven chalk talks replace more typical informational lectures. All of this leads to the selection and evaluation process of determining which documents best represent the student as an emerging excellent teacher according to Kentucky's New Teacher Standards.

In addition to the heavy emphasis on reflection and maximizing undergraduates' time in elementary classrooms, the following positive features mark this approach. This program:

- offers consistency and coherence for undergraduates. The same professor teaches nearly all course work, observes lessons, and coordinates the overall program.

- relies on students' construction of meaning out of the interface of book learning, direct experience, and expert seminars in the college classroom.
- occurs early in the undergraduate career, allowing a real test of the students desire to become a teacher.
- reflects a true partnership of agendas, honoring the elementary school personnel's needs in curriculum, scheduling, and the like rather than assuming that the school will simply adjust to the university's decision on when they'll be there and what they'll do.
- serves to unleash college students' intelligence, rather than dragging it out of them or leveling it.
- expects-demands creativity and initiative rather than making those qualities merely desirable.
- fosters an atmosphere in which the NKU School of Education's five interrelated themes can thrive. These themes include: Diversity, as addressed through the diverse backgrounds of elementary students, the diverse perspectives of professional who teach the NKU students, and the diverse literature, materials, and strategies needed to teach youngsters at the school.; Evaluation and Assessment, both of elementary students and of self, are continuous and embedded in instruction.; Intellectual Vitality, which emanates mainly from the heady atmosphere NKU students experience when they are totally immersed in the culture of the school. Simultaneous with their course studies they are introduced to all facets of the workings of an elementary school. In addition they find that they will learn from many professionals,

with expertise in diverse areas; Professional Community is exemplified through the very nature of the program – conceived collaboratively by NKU and Covington personnel, co-taught by elementary and NKU teachers, and dependent upon daily collaborations between NKU students and cooperating teachers. Additionally, NKU students are introduced to various inservice and professional development opportunities. The Use of Technology is manifested in various ways. NKU students work with writing portfolio 4th graders in the computer lab each week. They use a variety of media in their major-assignment classrooms, and they videotape themselves at least 3 times for self-evaluation purpose.

Finally, this approach allowed for utilization of all but one of the Relationship Patterns we identified earlier. The Organizational relationship was reflected in the genesis of the partnership and in the beginning-and-ending-semester meetings among all involved parties to evaluate the latest effort and plan for the next. Co-teaching was employed to integrate the content of reading, assessment, management, and special education. This was successfully accomplished first by two professors, then by a professor and elementary teacher. Collegial relationship became more common as the university's representation is reduced to one. Figure 4 illustrates the collaborative activities across the partnership. A host of other resource people became available to undergraduates. These resource people also augmented the Mentoring relationship of the cooperating teacher to the undergraduate. Several people provided individual support beyond their role as expert presenters and information sources. Due to the long-term availability of undergraduates in this program, many Special Projects relationships thrived. These were frequently spur-

of-the moment helping assignments for the whole school or individual teachers, involving field trips, teaching, assessment, or making materials. They would not have been possible in infrequent, assignment-driven practicum.

- University and School District Personnel Co-Wrote the Goals 2000 grant.
- Elementary faculty steering committee and NKU professors co-planned the experiences NKU students would have.
- Two NKU professors co-taught five-course block (assessment, early childhood education, management, reading, special education, plus “practicum” course) when the program began.
- After the first semester, courses co-taught by elementary faculty and NKU faculty.
- One elementary teacher serves as on-site coordinator and liaison.
- Family Resource Center directors provide special events, training, and activities for NKU students.
- At least six elementary faculty do training for or give presentations to NKU students on: remedial reading tutoring, writing portfolio tutoring; use of computer lab; roles of school psychologist, speech therapist, principal, EBD teacher, FMD teacher.
- Seminars by Kentucky Department of Education field resource personnel.
- NKU students collaborate with cooperating teacher from elementary faculty to plan and evaluate (occasionally co-teach) lessons.
- Occasionally NKU students are paired to teach two to a room instead of singly.
- Both elementary teachers and NKU faculty evaluate NKU students’ planning, teaching and follow-up.

There are, of course, disadvantages. As was already mentioned, this program can be extremely challenging. Students need to be organized and highly motivated. Even with advance interviews and extensive printed material available, few undergraduates that elect this option are still not ready for the jump-start into the profession.

Professors find their time dominated by the program. If they have a full course load, they spend about 20 contact hours with more devoted to preparing and reading student work. As rewarding as it can be, it precluded other forms of professional life (such as writing about what one is doing). If the responsibility is shared, there is always the dilemma of splitting time between campus assignments and partnership school assignments. In addition, there can be considerable sentiment against the program by the campus-based faculty. The main complaint continues to be the larger numbers of students in campus-based sections. (For instance, if two sections of partnership program students average 15, the campus classes will have 25 rather than 20 students.)

The issue of retaining and recruiting high quality elementary faculty is major. Only spotty efforts have been made to select only the best cooperating teachers, to provide appropriate professional development, and to move schools toward model site status. Once more than one elementary school is used, the issue of how to coordinate resources becomes more complicated. In a sense, smaller is better, if smaller also means self-contained.

Many undergraduates experience disorientation and culture shock the ensuing semester when they return to a traditional, campus-based program. With the campus-based program, they are likely to experience four differing college professors, none of who supervise their teaching, in an alternating-day, teach-a-lesson-at-a-time format.

Perhaps, most disorienting, though, is the loss of ownership of their developing teaching career.

Program Evaluation and Future Research

In order to continue to better understand the effectiveness of the program, we believe one area that needs more data is the program's organization. Currently, the Covington Partnership reflects a pattern much closer to Immersion Pattern 3: The Early Preparation/Back and Forth/Pullback pattern. This has allowed faculty to juggle both on-campus and partnership responsibilities, coordinate efforts among four professors, and maintain relationships in two buildings. Many of the details described in the Total Immersion pattern are still operating. It is likely, with changes in personnel, that a new pattern may emerge. Also, a small group of NKU and Covington personnel are meeting to redirect and improve the partnership arrangement originating in the Goals 2000 grant in 1995. If effected, the overall direction will be the most involved ever between the two institutions, with provisions for recruitment of future teachers, alternate curricula in general education and professional preparation, and incentives for going back to Covington for several years of teaching after graduation.

In addition to continuing further research on the organization of the program, we also felt more research was needed to determine how well prepared students felt for the next block of classes. To accomplish this goal, each semester, we have informally surveyed all of the stakeholders in this program. Questions included their perceptions about coursework and practicum experiences. The data from these surveys can be found in the appendix. Of particular interest to us was how students felt in regards to classroom confidence, assessment, developmentally appropriate practice, classroom management,

and reading instruction. The results indicate students exiting this program felt more self-assured in many areas specifically classroom management, school culture and organization, self-assessment, and reading content. Gathering more systematic, formal data relating to questions about content covered in the 390 block would help provide needed instructional information about the program.

We have also compared the mean scores on Praxis II exams of those who participated in the intensive field-based approach and those who did not. There were no measurable differences, but we relied on volunteered scores and the field-intensive group supplied their data at a much higher rate (85% to 43%) than did the traditional practicum participants. A systematic and comprehensive collection and analysis would be needed.

In addition, we collected observation data from one faculty member who taught in the intensive program and visited classrooms of students during the following semester's practicum (language arts, mathematics, social studies, and science teaching) to observe possible differences between the intensive and traditional practicum students. While obviously not an unbiased source, this professor concluded that the intensive practicum students were more confident teachers, more child-focused than lesson-focused, better managers of climate, routines, flow, and unexpected events, more comfortable being observed and evaluated, and more capable of sustaining lessons of longer length. We believe a worthwhile hypothesis would be to investigate observations by professors who do not know the students and who do not know the differing programs from which they have participated. These observations would supply the needed information to help determine how well students are prepared after leaving this program. And finally, we gathered data from mentor teachers, host teachers, and student observations. Weekly,

mid-semester, end-of-experience evaluations of students were gathered as well as evaluations regarding the overall program. These data provide a rich base for internal changes and judgments of effectiveness.

Although we have collected the surveys and gathered student and program evaluations, we have not systematically and objectively measured the effectiveness of this approach to mid-tier field experiences versus the more traditional approach with fewer hours in the elementary classroom. We hope that the lessons learned from attending to constant change will help us to improve our offerings. With more systematic research, we hope to improve the effectiveness of the program and help prepare students for teaching in the best possible “partnership” circumstances.

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- Students receive 14 credits for coursework.
- Students log 17 ½ hours per week for 15-week semester.
- Students are at the school Monday through Friday 8:00 – 11:30.
- Students teach in major classroom assignment approximately 6 hours/week. They help in the same classroom another 2-3 hours/week.
- Students tutor reading, writing and assorted other subjects approximately 3 hours/week.
- Total student/child contact averages 90 hours/semester.
- Main NKU faculty spends approximately 20 hours/week for 12-credit load. (With two schools, two faculty, 15 hours/week.)
- 20 Students per section may enroll each semester. Enrollment averages 17.

Figure 1. Covington elementary partnership by the numbers.

- **ORIENTATION:** School tour, ½ hour visits to each of the participating classrooms, presentations by administrators, specialists and teachers.
- **PREPARATION:** Approximately 2 1/2 weeks of intensive preparation in assessment, management, reading and writing pedagogy, concepts of developmental appropriateness, topics in special education.
- **ENTRY-LEVEL TEACHING:** Approximately three weeks of teaching relatively short (30-60 minutes) lessons on a specific skill, strategy or topic. 4-8 lessons.
- **MORE INVOLVED LESSONS:** Two or three weeks of longer lessons, spanning 2-3 days and covering topics or sequences that need more time. 2-3 lessons.
- **UNIT TEACHING:** Two or three weeks of teaching a thematic, integrated unit tied to one of the major performances in Kentucky’s Early Learning Profile, or similar unit organization.
- **SELF-EVALUATION:** Each lesson, each day. In conferences after being observed. Through video documentation project. In final exams and reports.
- **COMMUNITY CONTACT:** Participate in Readifest (August) or Mayfest, go on home visits or neighborhood canvassing with Family Resource Center personnel.
- **TUTORING:** ½ hour per week with 4th grader in writing, ½ hour per week with 1st grade student in reading, 2 hours per week varied subjects in the major classroom.
- **EXPOSURE TO VARIED AGES AND ABILITIES:** Students tutor a primary student and an intermediate student, work in a major-assignment classroom with a two-year age range, teach in “inclusion” settings, and make observational visits to on-site adult learning centers, infant daycare room and 3-4 year old preschool.

Figure 2. Covington elementary partnership major experiences.

- Read and take notes on seven books.
- Do an extended assessment of two children – reading tutorial and writing portfolio development.
- Do daily anecdotal logs on reading practices, assessment topics, and management.
- Complete observations of teaching styles and classroom environment in 10-12 rooms at several grade levels.
- Self-evaluation: after every lesson. During conferences. On videotapes. In final examinations. In compiling portfolio.
- Compile a portfolio to meet conditions of Kentucky's New Teacher Standards.
- Draw up and revise a classroom management plan.
- Complete a video documentation project (3 tapings plus report).
- Submit lesson plans and reflections regularly (10-12 weeks).
- Develop manipulative materials for enhancing literacy lessons and submit final report.
- Participate in collaborative project investigating Kentucky's Seven Primary Attributes.
- Submit midterms and final exams (largely take-home; given out first week of classes; designed to make students integrate book learning, direct experience, and college classroom activities).

Figure 3. Covington elementary partnership.

- University and School District Personnel Co-Wrote the Goals 2000 grant.
- Elementary faculty steering committee and NKU professors co-planned the experiences NKU students would have.
- Two NKU professors co-taught five-course block (assessment, early childhood education, management, reading, special education, plus “practicum” course) when the program began.
- After the first semester, courses co-taught by elementary faculty and NKU faculty.
- One elementary teacher serves as on-site coordinator and liaison.
- Family Resource Center directors provide special events, training, and activities for NKU students.
- At least six elementary faculty do training for or give presentations to NKU students on: remedial reading tutoring, writing portfolio tutoring; use of computer lab; roles of school psychologist, speech therapist, principal, EBD teacher, FMD teacher.
- Seminars by Kentucky Department of Education field resource personnel.
- NKU students collaborate with cooperating teacher from elementary faculty to plan and evaluate (occasionally co-teach) lessons.
- Occasionally NKU students are paired to teach two to a room instead of singly.
- Both elementary teachers and NKU faculty evaluate NKU students’ planning, teaching and follow-up.

Figure 4. Collaborative activities across the partnership.

Classroom Discourse Routines: Changing the Rules

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Students in our schools today represent a wide diversity of linguistic and cultural groups at different levels of proficiency in their literacy development, creating achievement ranges that are difficult for teachers to accommodate within existing classroom language routines. New research suggests a need for change in the forms of pedagogic verbal interaction that drive classroom instructional activities; however, the nature of the modifications in language routines for students with cultural or linguistic differences is not as clearly documented. The purpose of this article is to address the issue of expanding classroom discourse routines beyond the traditional, covert rules of most classrooms and to examine the roles that teachers—in this case, preservice teachers—play in creating those changes.

Theoretical Framework

The first area of research that informs this line of study focuses on the nature of classroom discourse and the important role it serves in teaching and learning in the schools. Within reading activities in classroom settings, pedagogic language routines take specific forms (Bernstein, 1990; Cazden, 1988; Wells, 1999). Students' learning in the classroom is tied to these language routines that are set by the teacher and used by peers to question and respond to new information (Lemke, 1985; Tharp & Gallimore, 1988). Gutierrez (1995) argues that these instructional language patterns provide a context that influences learning and literacy development. Specifically, language routines impact upon students' opportunities for

clarification and repair of misunderstandings (Pennington, 1998), and shapes students' understandings and thinking processes (Wells, 1999). Teachers use students' verbal responses to questions and comments for evaluative purposes. Thus, language is the medium of education (e.g., Lemke, 1985; Nystrand, Gamaron, Kacher, & Prendergast, 1997).

The second area of research that situates this study of language routines in schools draws from observations of the varying language needs of diverse student populations as they affect the form and function of classroom discourse. Areas of language diversity may be considered in four groups: cultural/linguistic differences, dialectical variations, borderline learning problems, and variations in communication styles. Cultural differences may appear as variations in classroom members' question-answer response patterns from the traditional **initiation-response-evaluation** format (Au, 1993; Davidman & Davidman, 2001), literacy experiences and background knowledge different from mainstream vocabulary and lexicon (Heath, 1983), and home experiences or parental expectations that shape students' organization of knowledge (Goldenberg, 1994). Linguistic differences include confusions and miscues in sound-symbol associations and vocabulary, including bilingual and deaf students (Gunning, 2000) and dialectical variations in language (Goodman & Buck, 1973; Seymour, Bland-Stewart, & Green, 1998). Specific learning problems, such as in reading, language, and/or attentional problems create difficulties in organization of language within traditional discourse patterns (Silliman & Wilkinson, 2000). Communication disorders, such as dysfluency, word retrieval difficulties, or speech misarticulations may disrupt teacher-directed language exchanges between a student and the teacher or peers (German & Simon, 1991). Lastly, cognitive giftedness and challenges, including students with special talents and slow

learners, require different approaches to literacy instruction through language exchanges (Gardner, 1983).

A third line of academic investigation that is re-gaining attention in the form of new classroom and case studies surrounds changes in the characteristics patterns of pedagogic discourse. The predominant and persistent form of classroom discourse remains one of teacher initiation, student response, and teacher evaluation (Nystrand et al., 1997).

Researchers have argued for more expansive forms of interaction that derive from students' inquiry and experience (Pappas, 1997; Wells, 1999) and reflect shared authority in the classroom (Nystrand, Gamaron, Kacher, & Prendergast, 1997; Oyler, 1996), because children who are unable to participate in these restricted verbal interactions will be at a distinct disadvantage in the classroom activities and, in many cases, may lag in achievement levels (Silliman & Wilkinson, 2000). The premise that language and literacy learning are socially constructed processes (Halliday & Hasan, 1985; Wells, 1986; Wertsch, 1985) suggests that all children's language strategies be acknowledged and addressed in the classroom as they attempt to cope with the interactional challenges of various daily routines (Falk-Ross, 2000; Gutierrez, 1995). Expansions in language routines for literacy activities suggested by these researchers include use of: dialogic conversations, scaffolded instruction, student-negotiated development of meaning, increased interactive opportunities, question uptake, and high level evaluative response forms.

Implication of these research findings focused on the need for implementation of relevant expansions in language routines. Thus, changes in language routines served as the goal for preservice teachers' verbal interactions with students in their classes. The questions that drove their inquiries were: How can these expanded language routines be integrated into

existing literacy activities? What changes in students' participation are created by these modifications in discourse patterns? Responses to these inquiries in the form of qualitative descriptions of changes in the nature and amount of student participation during literacy instruction would further inform other literacy educators.

Methodology

The study was situated in a suburban elementary school district, encompassing two elementary schools and one middle school. The school district was part of an evolving school-university partnership, including practicum placements for preservice students such as this study required. The student population of the schools was fairly diverse, composed of children in regular education classrooms having varied cultural, linguistic, and special needs backgrounds. For reading instruction, the cooperating classroom teachers used a basal series combined with occasional literature-based and thematic units. The preservice teachers were paired in classrooms to complete all phases of the study in a one-month period of time. This was their first teaching practicum experience.

Participants and Procedures

Fifty preservice teachers enrolled in an undergraduate reading methods course within a midwest university's Teacher Education Program received a 3-hour workshop-format presentation detailing theoretical perspectives and practical applications of variations in classroom discourse routines within literacy activities. Following two weeks of reflection and planning, they began an assigned three-stage action project involving the study of classroom language routines, i.e., consisting of a week each of participant observation, development of modification suggestions, and new language routine implementation. Each week consisted of part-time classroom experience, during which the preservice teachers were expected to

implement the specific focal activities (i.e., observation, hypothesized suggestions, new language routine implementation), as well as other assignments. Specifics of each portion of the study follow.

Observations of discourse routines. In order to gain a deeper awareness and understanding of the nature of classroom discourse, preservice teachers were asked to collect participant observation notes describing variables in student-teacher and student-peer interactions. Observations of teacher initiatives were focused on their levels of questions (i.e., literal, inferential, or critical), the frequency of teacher-led questions, the nature of evaluative remarks, and the perspective (i.e., naïve/non-naïve) that was taken by the teacher. Student initiatives were considered for the types of responses, frequency of questions, and general topics of questions. Student-student interaction was focused on the frequency of occurrence of exchanges and the context of interaction, e.g., in small groups, at play (or lunch, recess), or within whole class discourse.

Suggestions for modifications in observed discourse formats. The preservice teachers were first required to consider and generate new language routines to expand those that they observed in the classroom among teachers and students as a practice prior to the next stage in the study, i.e., implementation of new routines in their own interactions with students. The written suggestions were provided for discussion among the members of the reading methods class only, i.e., not distributed to the cooperating teachers. The suggested changes needed to be changes in the cooperating teacher's language that would be specifically supportive and responsive to one student's need for language modification or to a group of students' line of questioning. For example, if the cooperating teacher was observed to ask a student, "Who was the first President of the United States?" which requires a one or two-word

literal response from one student, the preservice teacher might provide a written suggestion that s/he ask instead, “Who can tell me about the first President of the United States?” or, “Tell me what you know about the first President,” directed to a group of students or the whole class. These reformulations required longer response statements and more information provided by each of several students. The new suggestions were intended to allow all students, including marginalized class members, to be successful in providing some information, not just that one word or idea, i.e., a ‘psycholinguistic guess’, that would match the teacher’s expectation.

New routine implementation. Consistent with the stages of an inquiry approach, i.e., observation, reflection/hypothesis (or suggestions), and action, the preservice teachers submitted short anecdotes detailing the nature of five instances of their own in-class implementation of discourse routine expansions and the context, or literacy activity, in which the new routines were introduced. The emphasis of the implemented activity was on the development of new, more inclusive language expansions. Each preservice teacher noted general observations of the changes in the nature of students’ responses and participation following use of the modified discourse patterns. In many instances, the preservice teachers implemented, when possible, the same suggestions that they offered earlier in the study, or developed other appropriate patterns that would elicit more evaluative, critical, and extended (i.e., longer) student responses. For example, if a preservice teacher had been asking questions that required literal, one-word answers, he or she would open, or expand, the format to include higher level of questions requiring students’ own experiences and opinions. Representative examples of the new routine implementation are explained in more detail in the next section.

Data Sources and Analysis

The study consisted of qualitative descriptions of pedagogic discourse during reading instruction. Data sources for this study consisted of students' observational field notes, observation checklists and note sheets, preservice teachers' written accounts of changes in language routines, and the university supervisor's reports. Language production by preservice teachers and students was categorized by episodes that began with a question and ended with a set of student responses to that question. The data were collected and analyzed qualitatively using a constant comparative method of determining major patterns of preservice teachers' responses (Glaser & Strauss, 1987). Response patterns were clustered by type and reviewed repeatedly throughout the study to locate discrepancies and to refine coding. This variety of complementary data sources provided triangulation of data for effectively presenting research results.

Patterns in Preservice Teachers' Changes in Language Routines

The preservice teachers each chose five different instances within literacy activities to develop and use modification(s) in the language routine within classroom discourse. These matched or were similar to those presented from a research presentation, class explanation, or group discussions of the appropriateness of the previously suggested changes. Coding of their new language routines indicated that the preservice teachers focused on eight areas of change: requesting elaboration, eliciting student initiations, individualizing comments, providing positive evaluations, increasing wait time, asking higher order questions, and assigning peer interactions. Transcriptions of their comments illustrate the changes each preservice teacher made in discourse and the empowered attitude that each seemed to assume in their reflection.

Requesting Elaboration

“[I tried] Asking why the student used this answer. I used this more [often] to find how they arrived at their answer.”

“I would ask them for their reasoning in their own words.”

“I tried to open up my classroom to interactive opportunities...let the children talk about each other’s ideas.”

“I attempted to ‘act dumb’ and then suddenly understand.”

Recognizing and Encouraging Student Initiations

“[I said,] That’s a great question. Any others?”

“When one student didn’t understand, I had a few students raise their hands and explain the directions step-by-step. It was [then] easier to understand.”

“During this [reading out loud] time, I would also let the children ask me questions about the story.”

Individual Conferencing

“ I worked with a student who struggles with language arts. I asked her literal and inferential questions, guiding her through the assignment.”

“One student needed a little extra attention, so I talked to him before class. I just...made conversation with him.”

“I want to do it more [frequently].”

Providing Positive Evaluations of Language

“I found that the children had better responses if I told them, ‘Good sport,’ when they answered incorrectly.”

“In the area of self-esteem....I let them know that it is okay to not understand something.

“I asked for their opinions-this let them know that their thoughts were important. It kept their interest up.”

“I tried to call on different students-even those I knew may not provide the correct answer. I coached and guided them...and tried to give positive feedback to any student who contributed.”

“Get all the students involved...cannot have the same handful of students answering all the time.”

“The students’ names were chosen from a jar.”

Allow Extended Wait Time

“Whenever I asked a question ... I would count to five in my head. This was my way of letting each student have enough time to answer before I called on someone else (which wasn’t easy to do when I was in a rush).”

“I really wanted the students to think about a question not just to regurgitate it.”

“I allowed more time after asking questions so they could respond successfully.”

Increasing Peers/Pairs Assignments

“I organized more small group cooperative work in the class.”

“I tried to have the children work in groups. The peer interaction helped students teach each other.”

“We gave the pair [of students] a worksheet to and they were to move anywhere in the room. It was amazing to see the students teach one another what they could not normally understand.”

Asking Higher Order Questions

“I wanted them to broaden their thinking.”

“I asked more critical questions...allow the students to use their minds and imagination.”

“Another interaction I was cognitive of was asking them, ‘Why?’ ”

“A question that was more appropriate was, ‘If you were Jane in this story, what would you do if someone stole your bike?’”

“I also got in the habit of asking a question and when I received an answer, I would ask other students to add to that answer .”

“After a student answers, attempt to get responses from other students, as well.” “this may clarify misconceptions.”

Results of Changes in Language Routines

Changes were documented in the preservice teachers’ understanding of the pivotal role of teacher-student language routines in supporting literacy activities as well as the general changes that occurred in students’ responses as a result of modifications in these exchanges. Preservice teachers discussed the increase in the quantity and quality of marginalized students’ verbal participation in literacy activities, and acknowledged the difficulty they experienced as they attempted to vary their teacher-student interaction due to models and experiences they have followed.

Further analysis of data revealed relationships between expanded forms of teacher-student language routines and participation in reading activities for students with cultural or linguistic differences. Changes in the form of expansions in language routines indicated an increase in the quantity and quality of language participation in literacy activities, in students’

engagement and attentiveness during literacy instruction, and in more independent use of reading strategies in the classroom. For example, more than one third of the preservice teachers reported students' increased retention of information/strategies following class lessons and more independent use and initiation of language constructions (i.e., questions and comments) by students. More than one half of the preservice teachers documented an increase in risk-taking by marginalized students and communicated that they perceived their modifications to assist them in more accurately identifying the children's literacy needs. All but three preservice teachers noted in their observations that their students were better listeners, i.e., they were more attentive and responsive to peers' contributions to classroom conversations than during more traditional, initiation-response-evaluation (IRE, Cazden, 1988), formats.

In addition, the preservice teachers' notes and discussions revealed secondary changes in literacy instruction as occurring. These were not as clearly documented but are implications for future research and academic conversations. These secondary observations included changes in materials used for literacy instruction, such as fewer worksheets, and development of an increased number of projects reflecting student choice.

Discussion

The findings of this study revealed several positive advantages to changing the traditional, unstated rules for instructional language routines during literacy activities. In fact, all of the preservice teachers in this study described the expansions in language routines to be motivational for students' discourse participation and supportive of educators' facilitative actions. It is important to note that although the preservice teachers were encouraged to note the positive and negative observations with regard to students' responses, they each found

their own experiences to bring them closer to the middle of conversations, rather than on the edge in a teacher-directed role. They did not have a great deal of experience with which to compare these new findings, but were able to judge the consequences of the language expansions in practical ways that may help them with guiding students' literacy and learning development and will inform teacher educators.

The preservice teachers' descriptions of changes in students' discourse participation were of a qualitative nature. They were experimenting with modifications in language routines, a topic that has gained importance in teaching methods now that school populations are more diverse than in the past. Due to the nature of the preservice teachers' responsibilities in the classrooms, i.e., complementary to that of the cooperating teachers, they were not able to control or reliably measure all forms of pre- or teacher questions or the amount of student participation. A more focused and controlled study of student engagement in pedagogic discourse, perhaps with student teachers or practicing graduate students, is suggested for more specific, measurable changes.

This project was a difficult one for preservice teachers, as it would be for practicing teachers, due to the heightened level of metacommunicative awareness that was required to change their predominantly traditional language patterns during literacy lessons. These changes in questioning and interactive patterns occurred as they were gaining their second semester of teaching experiences. However, the importance of learning early in the teacher preparation process the necessity of observing, suggesting, and then integrating new expanded patterns of discourse routines became obvious as they completed the project and reflective discussions ensued. That is, the higher level of discourse approached that of more authentic conversations and the inclusive nature of the language was a draw for marginalized students.

An incidental finding was that preservice teachers began to discuss the need for modifications in teacher-specialist collaborations, which is an important move for all educators and has implications for future research. The movement from observation, to modification plans, and the implementation of changes in language routines, i.e., this modified action research approach, builds onto the research work focusing on preservice teachers' need for reflection on practice and leads the way for more equitable, meaningful literacy education.

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Standards-Based Movement: Implications for Reading Teacher Development

Sharon Kossack

With the monstrous groans, sharp cracks, and the irresistible forward momentum of an avalanche, the Standards Movement thunders across the face of American education, forever altering the face of the institutions it touches, including teacher development. Dissatisfied with poor student achievement and inadequate readiness for the workplace, the U.S. Department of Labor launched calls for educational reform that evolved into the development of numerous National Standards that serve as benchmarks for achievement and assessment. The Standards Movement is one of a number of educational reform initiatives, which were intended to modernize classroom instruction in ways that would improve student achievement (Center for Educational Reform, 1995). What makes this one unique was the origin—the U.S. Department of Labor.

We minimize this cataclysmic, 20-year movement at our peril. Educators have been able to ignore governmental reform mandates because there was little follow-through or consequence for non-compliance, given the historical precedent of local authority over schools (Walker, 1990). Complacent, educators have watched instructional fads come and go over the years, with little more impact than minimal changes in course requirements and objectives (Cohen & Spillane, 1993). Coincidentally, or maybe not, student performance has steadily declined over the last twenty years. A number of groups have demanded change, but there were a number of obstacles from union resistance to lack of a united focus. The Standards Movement capitalized on the weakest links, i.e., those groups who had no voice. The movement began with student mandates and then moved to certification mandates for beginning teachers. Building momentum,

this reform movement has evolved to holding schools accountable for specific levels of performance, “standards.” The accountability expected by the business community who initiated these reforms (U.S. Department of Labor) has broken decades-long stagnation and K-12 schools now frantically scramble to meet these objectives. Colleges of Education and programs that train reading educators also should take notice as these reforms have already begun to encroach on their domains.

The intent of this paper is to review significant phases of the Standards Reform Movement, explore the immediate effects on teacher development initiatives, and consider the consequences to programs that develop literacy professionals.

Standards Reform Movement – Historical Retrospective

Initial Steps: Late 1970s Accountability

The first harbingers of this movement toward accountability may have begun in 1976, when three states (Florida, California, and Colorado) initiated high school minimum competency tests. Since then, accountability, standards, and assessment have dominated the focus of education, with the bar rising every year.

Next Steps: Causes and Systemic-Reform Mandates of the 1980s

The poor performance of U.S. students on international tests and research reports, e.g., A Nation at Risk (1983) prompted late 1980s shifts in state (Nation’s Governors’ Meeting - Goals 2000 initiative) and district mandates. State legislature mandates, such as Florida’s Blueprint 2000, were launched which specified the numbers of academic courses and dictating their content and quality (Elley, 1992; Kirst, 1993; Porter, Kirst, Osthoff, Smithson, & Schneider, 1993). This standards-based, systemic reform’s essential elements included standards, curricular alignment, testing verification of performance, and professional development revisions.

There are two highly significant factors in this current movement: the across-the-board, nonpartisan, uniform political support it enjoys, and the influential role of the business sector. The latter surfaces in the U.S. Department of Labor report, Secretary's Commission on Achieving Necessary Skills (SCANS) Report: What Work Requires of Schools (1991), which polled national businesses for essential workplace skills. Three areas were targets for reform (a) basic skills, (b) problem-solving skills, and (c) interpersonal skills. Unlike U.S. Department of Education reforms, this business involvement suggested that there was a strong likelihood that schools would be held accountable and that reforms would be long term.

1990s State Reform Policies

By 1995, 49 states had versions of standards-based, systemic reform that initiated changes in state policies, many of which mirrored the marketplace, supply-and-demand influence of business (Gandolf, 1996). These included charter schools (20 states), school choice, vouchers (two states legislated them and five others experienced narrow-margins defeats), deregulation (waivers), outcome-based programs (OBE - Outcome Based Education), and central office downsizing. In an effort to allow for liberal interpretation, policymakers broadly defined standards, which allowed districts to make independent decisions about what to apply. Massell, Kirst, and Hoppe (1994) found that districts requested more specificity, especially those held accountable for student performance on state standards-based tests. Their research reveals that increased involvement of the state in education has amplified the development of local policies (Fuhrman and Elmore, 1990) in which high performing districts served as models for designing state-level policies. Thus, these state policy actions initiated and focused local initiatives. More

educators expressed support for standards-based reform than at the end of the 80's decade (Fuhrman & Massell, 1992).

Effects on Teacher Development

While most states now have some sort of statewide testing program that ensures accountability, the uses of the results vary considerably. However, how student scores are used tends to fall into two categories: diagnostic-intervention or reveal-demerit.

Highest overall performance improvements occur in states that have chosen a diagnostic use of standards-based tests. In these states, student performances are analyzed to identify individual or program strengths and weaknesses. The weaknesses are analyzed for the purpose of improving curriculum and instruction. Educators are apprised of the areas of curricular weakness and are provided appropriate training and assistance to make the necessary instructional interventions or adaptations that result in improved student performance on future tests. As might be expected, these states have tended to show significant gains in student performance.

Other states use such statewide test results to evaluate programs as a means of holding schools and districts accountable for student performance, often publishing the test results in local newspapers with accompanying grades of "D" or "F." These kind of test results often are reported during the summer, when there is no way a teacher could use the results to adjust instruction. Florida is one such state that has adopted the "reveal and penalize" use of statewide assessment, while at the same time facing a period of severe teacher shortage. In the academic year 2000-2001, Broward County alone needed over 100 teachers. Data from informal polls (conducted by the author) of students enrolled in graduate classes and at state conferences suggest that teachers were leaving the field in droves, as many as 30% of a school's staff, by one

educator's estimate, due to the stress emanating from the consequences of these statewide testing procedures. These educators expressed concern that it is not the less able teachers who are leaving these schools. They worried aloud about how the vacancies would be filled, as there were scores of unqualified and ineffective teachers in surplus pools who would have access to classroom positions.

The interviewed teachers complained of the demoralization of working in a pejoratively labeled school and the stress of administrator demands for isolated test preparation at the expense of instructional time. This finding is confirmed by reports from our university undergraduates who report that they cannot find elementary classrooms where science or social studies lessons are being taught. Some educators have anonymously reported incidents of cheating, e.g., principals announcing prior to the test that teachers are to "Do whatever it takes to bring our scores up. What ever!" which results in teachers giving students answers or changing student responses on actual tests. It is almost impossible to express the frustration of educators who read headlines of "FCAT SCORES UP!" emblazoned in the media and listen to the Governor and the Secretary of Education brag about how Florida's Standards-Based Assessment System is working, while knowing the contrasting realities that exist in the field. Rage follows when the same Governor announces a month later that the bar will be raised, passing scores will be more stringent the following year since student performances have improved so much.

These developments promise enormous changes in teacher development. Given the current tendency to hand accountability over to the schools, reform initiatives transform teacher and administrator responsibilities and have significant implications for those involved in educator training, licensing, certification, and ongoing development. Massell and Fuhrman

(1994) report that initial standards movement efforts focused on instruction and classroom improvement. Now, since the data have been gathered already, efforts need to shift to deliberate and systematic capacity building (Massell, 1994a; 1994b).

Teacher certification reforms began in earnest in the 1980s, with the advent of minimal basic skills and subject matter tests. Many states also developed peer support and review of beginning teachers. By 1995, at about the same time that states were concluding minimum basic skills tests of students, there was a public outcry to “teach-to-the-basics.” This was inconsistent with the high-level functioning, required of the standards-based reform initiative. It became evident that the minimalist nature of certification tests presented a similar significant mismatch when certifying teachers who need the complex combination of knowledge and skills required of educators, especially in an era of standards-based reform (Corcoran, 1995). Florida and Texas were the first of a string of states who adopted a performance-based assessment for initial certification and professional development initiatives. It is significant to note that reform progress was more easily mandated for entry-level educators.

Massell, et al. (1994) report significant obstacles to making changes in the classrooms of some seasoned teachers. Certainly the unions have opposed recertification policy changes, insisting that permanent certificates be renewed with only minimal requirements for re-training. However, any training offered might never reach classroom practice because it can be subverted by the classic obstacle of the teacher who resists current instructional changes. Opposition to reform exists because of a lack of unawareness for need or potential effectiveness. It’s all a matter of attitude: if you believe it will work or if you believe it won’t, either way, you’re right because teachers make their own classroom realities. To overcome the misguided roadblock of

unions who protect the resistant attitude of the staid and protect-the-status-quo educators, some states are moving toward launching regional certification renewal using independent professional educator licensing boards.

In teacher development, there is a significant need for reform that supports the complexity of skills required of today's educators. Traditional training involving lecture delivery, for example, is being replaced with job embedded training involving demonstrations and observations with students. Clearly, thoughtful, standards-aligned, long-term professional development is needed to significantly influence practice (Porter, 1993; Little, 1993). Unfortunately, the time of greatest need for professional development has coincided with a time of significant budget shortfall. A number of the states have reduced budgets for such training opportunities (Massell and Fuhrman, 1994). States initiated a creative variety of standards-related teacher development reforms (see Table 1).

Table 1. Standards-Based Teacher Development Reforms

School-Based Initiatives	College/University Initiatives
<p><u>Workshops</u></p> <ul style="list-style-type: none"> • <u>one-day workshops</u> (now standards-aligned, targeted, professional development training that is consistent with the curricular reforms, often delivered by specially trained teachers.) • <u>summer institutes</u> aligned to standards • <u>teacher instructional centers</u> • <u>turnkey training</u> (teacher pairs receive training and come back to train the school staff) • <u>grant funded initiatives</u> (grants or cooperatives with businesses, e.g., TechPrep, or state funded initiatives, e.g. Florida's SB 1956 STAR: Secondary Strategies Accelerate Reading) <p><u>Curriculum Development</u></p> <ul style="list-style-type: none"> • <u>teachers on special assignment to develop curriculum or training</u> (significant positive effects have been reported) • school-developed <u>professional development plans</u> <p><u>Self Study</u></p> <ul style="list-style-type: none"> • <u>study and professional development sabbaticals</u> • participation at <u>professional conferences</u> • <u>teacher instructional centers</u> • National Board for Professional Teaching Standards master teaching certificates incentives 	<p><u>Programs</u></p> <ul style="list-style-type: none"> • <u>customized graduate courses</u> • <u>Alignment with National Teacher Board Standards/Objectives</u> • <u>Program Alignment with National Standards</u> (NCATE, IRA, NCTE) • <u>Standards-embedded or –driven Action Research</u> <p><u>School Links</u></p> <ul style="list-style-type: none"> • <u>Professional Development Schools with change agency focus</u> • <u>Job- and Student-embedded courses</u> <p><u>Service</u></p> <ul style="list-style-type: none"> • <u>Websites for Standards-based resources</u>

As educators seek answers within school systems, these challenges have become a time of growth and opportunity for businesses and professional organizations who have readily stepped into the void, sometimes supplanting traditional teacher development offerings (e.g., inservice workshops, advance degree programs) and recertification offerings of traditional universities and school systems. Professional organizations have created networks (e.g., National Science Foundation's SSI: Statewide Systemic Initiative; Sizer's Coalition of Essential Schools; Schlechty's Center for Leadership in School Reform's WOW: Working on Work; National Council of Teachers of English's Reading Initiative) that allow for collaborative, reflective change agency. Just as national charter school business initiatives have stepped forward in the wake of charter schools, a significant number of staff training companies have been developed (e.g., Accelerated Schools Program or Equity 2000). Initially these educator training initiatives provided in service training only, but more recently they have been aligning themselves with universities to provide Master's degrees, within which the courses offered are tailored to local standards-based realities. Some of these are now offered online, so that professional and personal scheduling realities can be offset.

Challenge to University Teacher Development Programs

The Standards Movement presents both opportunity and danger to university teacher preparation programs, at pre- and in-service levels. The same standards trends that have been sweeping the K-12 public schools are now affecting Higher Education. We can ignore the imperative and be reactive, or we can study the K-12 trends and proactively guide the manner in which the Standards Movement will impact teacher development programs in literacy.

Testing/Accountability

The National Center for Public Policy and Higher Education (2000) just issued a state-level report card evaluating university performance for undergraduate education in the areas of participation, affordability, completion rate, and economic benefits. The NCPPHE Measuring Up 2000 – The State by State Report Card for Higher Education asserts that many states perform well in several areas, but no state received straight A's in its delivery of higher education. We can expect similar evaluation measures to evolve from literacy professional organizations. The International Reading Association, for example, is currently exploring the possibility of requiring specific, evaluative course rubrics from which they can gather data to evaluate reading programs, which is consistent with the first step of the K-12 Standards Movement.

Table 2.

Measuring Up 2000: The State-by-State Report Card for Higher Education Grading

Characteristics of Measure Up 2000 Initiative

1. Identify Indicators

Measuring Up is built on a foundation of 30 quantitative indicators. Each performance category (preparation, participation, affordability, completion, and benefits) has several indicators. All of these indicators are important in assessing performance in the category; are collected regularly by reliable, public sources that follow accepted practices for data collection; are comparable across the 50 states; and measure performance results.

2. Weight indicators

Each indicator is assigned a mathematical weight based on its importance to the performance category, as informed by research and policy experience. For each category the sum of all weights is 100%

3. Identify top states for each indicator

State results on each indicator are converted to a scale of 0 to 100, using the top five states as the benchmark. This conversion "called indexing" is a statistical method that allows for accurate

comparisons of different measures. In Measuring Up 2000, the median of the top five states (or the third best state) scores 100. This establishes a high, but achievable standard of performance on each indicator.

4. Identify best state for each category

State scores for each category are calculated from the state's index scores on the indicators and the indicators' weights. In each category, the sum of all the index scores on the indicators times the weights of the indicators is the raw category score for the state. These raw category scores are then converted to a scale of 0 to 100 based on the performance of the top state in the category.

5. Assign grades

Grades are assigned based on the category index scores, using a grading scale common in many high school and college classes: A=<92; A-=90-92; B+=87-89; B=83-86; B-=80-82; C+=77-79; C=73-76; C-=70-72; D+=67-69; D=63-66; D-=60-62; F<60.

Standards Alignment

In the present accountability/reform climate, a static, insular teacher development program won't survive. A number of states are now requiring standards alignment for program approval, e.g., Florida state statute requires all Colleges of Education be accredited by NCATE (National Council for Accreditation of Teacher Education), which is predicated on alignment of programs with all subject-specific national standards. Florida also has funded the University of Central Florida to facilitate a curriculum alignment program (FLARE: Family Literacy and Reading Excellence), which includes a component that comes perilously close to creating standardized course syllabi for all reading courses. These syllabi include specific performance rubrics for specific strategies from which data must be collected and compiled; specific textbooks and materials are recommended for each course. There is enormous threat to academic freedom in such a statewide syllabi initiative. With static syllabi, it is difficult for an individual professor to fold in current research or choose non-traditional approaches. The rubrics,

determined by someone other than the instructor, constrain both method and delivery. All of this could make for stilted teaching. As an organization, American Reading Forum needs to be on guard against the consequences of such initiatives, however well meaning.

The irony is, at the same time as the state stiffened program requirements for universities, Florida also approved alternative certification channels, which maintain far less rigor and oversight and are not subjected to the same certifications to which the state university programs must adhere. The state also does not require the same certifications, entry and exit requirements, or standards alignments of its non-public institutions, but is dismayed that the College of Education enrollments are depressed and its state Colleges of Education are not producing enough graduates to meet the current and persistent teacher shortage. It would seem traditional programs are, once again, between the classical rock and the hard place.

Change is inevitable. Massive forward momentum rules the day with these educational reforms. Colleges and universities must heed the warning or be rendered obsolete in the next decade. When the whole of a school day is focused on accountability, when they live and die by making the grade and are fervently seeking strategies by which they can do this, the university must offer connections between its training programs and classroom reality.

Preservice programs must prepare educators who can deal with accountability and reform challenges. They must be knowledgeable about the standards movement, the history of it, the reasons behind it, and the necessity for it. Teachers need to know the standards and be firmly grounded in how to teach in ways that facilitate student learning that is aligned with those standards. They must understand when students are unable to meet standards, and what interventions would bridge this gap. This form of targeted teaching is moderately consistent with

the philosophy of most reading educators, so it will not be as much of a challenge as it might be for educators in other fields, who do not ascribe to evaluation and intervention. However, the students, as unseasoned and malleable as undergraduates are, the level of complexity that will be required of them as they enter the field, the absolute necessity of grooming them to be disposed to maintain a lifelong tradition for professional development, and their experiential unfamiliarity with targeted assessment-intervention instruction poses an enormous challenge to teacher literacy development. Such training may need to be school or classroom embedded, involve demonstration lessons, include pre and post standards-based assessment and interventions to convince students that such unfamiliar ways of approaching literacy are not only effective but necessary.

Graduate programs must provide effective change agency and help teachers mold themselves into thoughtful, results-oriented practitioners. It is imperative the graduate programs offer reinforcement to the incentives of national certification, perhaps folding preparation for such certificates into the program itself. Programs built on grounded philosophical standards-based frameworks must supplant isolated strings of classes. Seasoned teachers who seek graduate work at universities tend to be more serious about their studies and open to alternative approaches, but the same experiential classroom embedded, evaluation-intervention, standards-based, results-driven model used for the undergraduates can induce our graduate students to become agents for positive change. This is especially possible when graduate teacher training is embedded in Professional Development Academies (Kossack & Fine, 1998). Graduate courses, offered at a school sites, allow for planned demonstration and guided observation of targeted teaching episodes between students and teachers. While providing modeling and hands on

opportunities, these activities can increase student performance at the school sites. In addition, the teachers take these “lessons learned” back to their home schools where more children are impacted positively (Kossack, 2001). Such change agency courses will demonstrate to the schools that quality teaching, not test preparation via isolated commercial programs, can and will improve student performance, but we must give this fact a strong research voice.

If undergraduates were linked to graduate students, undergraduate field experience would be compatible; graduate students would deepen their mastery of craft and technique by demonstrating it and sharing it with the undergraduates, and the undergraduates would be exposed to professionals disposed to career-long learning and self-improvement.

Teacher training programs can create website clearinghouses, working with students to develop quality standards-based curriculum products, which can be placed on a website for easy use by other educators. In this way, technology can be folded into teacher development programs as a tool. Students will have a reason for accessing and assessing standards: matching curriculum to evaluated student needs. And, their products will be useful to practitioners. Thus, the learning itself becomes a useful product for the field. The Florida Sunshine State Standards WebLinks Database, a series of Internet products from the University of Central Florida’s Instructional Technology Resource Center, provides lessons and units keyed to the state objectives. These examples, illustrate ways literacy programs provide such technological support, enhance their perception as proactive supporters of state reform efforts, and serve as an essential resources for same (<http://www.itrc.ucf.edu/techsss/>). University of West Florida’s STEPS: Support for Teachers Enhancing Performance in Schools (<http://www.scholar.coe.uwf.edu/pacee/steps/welcome.cfm>) is another such electronic support

system designed to facilitate teachers in the development of lessons, units, and standards-aligned curricula.

Literacy programs should be attuned to reflective practice and self-assessment. There is a need for teacher preparation programs that focus more on current knowledge and how to access it (e.g., websites of collated and implication-annotated research like CIERA, active participation in professional organizations). These programs should guide teachers in lifelong professional growth and empower them to do the kinds of action research and problem solving that would enable them to improve their teaching.

Why can't our teacher development programs be creative initiators of change? Why shouldn't our training be held to similar accountability measures? Why can't at risk students be folded into teacher preparation courses, with pre and posttest evaluations gauging the effect of our students' teaching on the performance of students? Such concrete evaluation serves several purposes: (a) it authenticates training programs, (b) it provides contexts for guided practice and feedback, (c) it assists at-risk student development in the schools, and (d) it molds preservice teachers into the types of professionals who self-measure as a routine part of doing duty.

As a profession, we would do well to review the progress of the K-12 Standards Movement, reflect on the implications it will no doubt have on our teacher development programs, and offer proactive leadership through the voices of our professional organizations, in ways that allow us to direct how our programs will evolve. In this way, we can choose to be professionally proactive rather than reactive. As the reform movement calls for accountability, authentic embedded practice, and similar self-monitoring adjustments, teacher preparation entities should heed the momentum and prepare for change.

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Constructivist Learning Experiences in a Graduate Reading Course

Dan Rothermel

The purpose of this paper is to explore the effect that constructivist learning practices have on student learning in a graduate teaching of reading course. The following classroom activities enable students in the reading course to build personal meaning in their exploration and understanding of literacy: personal artifact presentation, Dear Classmates Letter writing, Discussion Leading Experience, and self-selected literacy research projects. The analysis of student writing, teacher reflection, and classroom observations in the *Process, Development, and Teaching of Reading* course in the Education Department of Eastern Connecticut State University during the 1999-2000 academic year are the data sources for this research.

Constructivist classrooms are places of conversation and discussion where students and teachers search for meaning, build on prior knowledge, appreciate uncertainty, and inquire reasonably (Brooks, J. & Brooks, M., 1993). As such, teachers focus attention on the learner and create learning environments in which both their students and they are encouraged to think and explore. As companion learners, teachers establish that the constructivist model of learning theory applies to all in the classroom. Grounded in the literacy studies of Graves (1994) and Hansen (1998, 2001) that support learner-centered classrooms, this teacher research looks at learning experiences that establish the importance of knowing students as individuals and creating classroom atmospheres of acceptance that promote individual success in a group setting.

Constructivist Learning Experiences

Artifact Presentation Experiences

Emphasizing the reasons why Artifact Presentation Experiences are part of a reading course, I state in the handout: *The purposes are to: (1) develop a learning community, since if we are going to learn from each other, we need to know each other (Hansen, 1998) and (2) do what teachers do when they organize information and present it in an engaging and meaningful way.* Students are asked to present: (1) a favorite pleasure reading book - fiction or non-fiction, (2) two things that represent a part of who they are or what they value, and (3) one piece of their own writing. As teacher, I am the first to share my artifacts (John Grisham's A Time To Kill), pictures of my family, my running shoes, and a copy of a book of poetry I've written, Sweet Dreams, Robyn). Table 1 shows the rubric used to assess the Artifact Presentation Experiences. The rubric outlines the required specifics of this learning experience.

Table 1

Artifact Presentation Experience Rubric (points in parentheses)

	Incomplete	Acceptable	Proficient	Distinctive
Time (10)	0-2 minutes over 6 minutes (0-7)	5-6 minutes 2-3 minutes (8)	3-4 minutes (9)	4-5 minutes (10)
Eye Contact (10)	Little (0-7)	Tend to look down, but look at one side of audience (8)	Mostly straight ahead and to one side (9)	Include all members of the audience (10)
Details (10)	Minimal (0-7)	Sufficient (8)	Detailed description (9)	Many details with reflective insights (10)

This experience reinforces the importance of the individual being known and valued by teacher and classmates. Martha (all student names are pseudonyms) wrote:

...The artifact presentations have been the part of the class that I look forward to the most each week. When I have my own class, I will definitely ask each of the children to tell the class a little about themselves. I really believe that it does build community. I feel that I know something about everyone in the class; it gives you a perspective of where each is coming from...

Dear Classmates Letters

Dear Classmates,

I did not have a hard time deciding what to write about today, after class I ran right home and started typing. Something disturbed me in class tonight, and I don't know if all of you picked up on it, so I will you tell what I heard.

I heard an experienced teacher, a teacher in our class, say to the person, next to her, "I think it should be made clear to the inexperienced teachers in this class that this doesn't happen in schools. They should know that they shouldn't walk in with expectations of these ideas being accepted." This woman went on with her comments throughout the class. I don't know how this is making all of you feel, but not only was I offended because I felt this person thought that the non-classroom teachers, including myself, were ignorant, but I felt sorry for this woman that she really feels inside her soul that there is nothing she can do to make a change. She honestly believed in what we were discussing, incidentally, the topic was whole language, but she couldn't see why it was necessary to learn about it in our class because it wouldn't be accepted anyway...

Lara

While Artifact Presentation Experiences open the door to constructivist practices, the Dear Classmate Letters, such as Lara's, value students' prior knowledge and their personal inquiry into matters in the teaching of reading. Dear Classmates Letters are written reactions to class discussions, students' own experiences in K-12 classrooms, and issues from the course texts (i.e. Mosaic of Thought, Keene and Zimmerman, 1997 and Invitations, Routman, 1994). The one page letters are published for classmates in order to share the writer's insights, perceptions, and questions. At times, these letters become the

basis for small group conversation and whole class discussion.

Heather's Dear Classmates Letter is evidence of her own meaning making from the Mosaic of Thought.

Dear Classmates,

In my first response paper I wrote how excited I was by some of the ideas in Mosaic of Thought...Student response to "reading on the rug" has been significant in my classroom. They are excited, vie for good seating, and are extremely attentive and enthusiastic during discussion of the book and their related life experiences.

I did however, learn through what I now see as a valuable mistake. During my first reading of Abuela, I was so excited to share the questioning techniques and text-to-life, etc...ideas that I think I overdid it slightly. In retrospect, I would have done a complete read through with very little comment and preceded with a second reading of the book and brought in the dialogue, questioning, and think-alouds. We did discuss this a bit in class last week, and I agree that it is important to read a book the first time to just take it all in and become engrossed with its content and upon second reading revisit the themes, illustrations, and key events...

Heather

Discussion Leading Experience

...During my Discussion Leading Experience presentation I had the opportunity to learn a few things about myself and about teaching. When planning the presentation, I intentionally left out some important pieces that should have been discussed. I knew that I was teaching people who already had a basic understanding of the topic, and, therefore, thought I could simply demonstrate the use of schema (prior knowledge) without defining parts of the method. I soon realized that this was mistake. Students need to have a quick lesson review before moving onto a new aspect...

As we were beginning our large group discussion about the small groups' schema, I found myself uncomfortable and unhappy with the responses I was eliciting. I should have had a different set of questions and prompts to fall back on. I am not sure if the questions I was asking were inadequate or if it was because I did not correctly exercise wait time. I have read about and talked about wait time, but I never experienced the effects of it before. As I was in front of the class asking the questions, I knew I was not using wait time, but it felt like an uncomfortable silence was looming over the class. Instead of waiting for a response I quickly moved on to avoid the silence.

I am glad we were given this opportunity to practice our teaching skills in front of our peers. The comments and suggestions at the end helped me to see other areas that needed work that I may have otherwise missed...

Kyla's reflection on her growing understanding of herself as a teacher is evidence of the learning that can occur when classrooms are places of conversation and discussion. In groups of three to five, students select a section of the course text and lead a forty to forty-five minute hands-on experience and participatory discussion. During the discussion portion of the experience, they come up questions to challenge the thinking of their classmates on the topic as well as include discussion about classroom applications and problematic issues. Table 2 illustrates the rubric used for assessment of the Discussion Leading Experience.

Table 2

Discussion Leading Experience Rubric (points in parentheses)

	Incomplete	Acceptable	Proficient	Distinctive
Time (10)	Under 30 minutes Over 55 minutes (0-5)	30-35 minutes Over 50 minutes (6)	35-40 minutes 45-50 minutes (8)	40-45 minutes (25-30 hands-on and 15-20 discussion) (10)
Group Involvement (10)	One dominates (0-5)	Two dominate (6)	All but one involved (8)	All participate equally (10)
Attention to Learners (oral, visual, and kinesthetic) (10)	Only lectured (0-5)	Two (6)	Three (8)	Four to Five (10)
Enthusiasm (10)	Passive (0-5)	Some enthusiasm (6)	Grab our attention (8)	Enthusiasm with fire (10)
Focus, Organization (10)	Outlined chapter (0-5)	One or two main points, scattered organization (6)	One or two main points, organized step by step (8)	One or two main points, well organized with flow (10)

In my assessment and evaluation, I choose to focus on: (1) time to emphasize the need for organization and the importance of sufficient development of the learning experience as they inquire, (2) group involvement to encourage the students to work as a team to develop their ability to collaborate with, learn from, and respect the knowledge of others, (3) attention to learners to expect that they engage their classmates and meet the diversity of learning needs in the classroom, (4) enthusiasm to emphasize that public school students need to believe that their teachers really care about what is going on in the classroom and understand students themselves as individuals, and (5) focus and organization to highlight the importance of purpose.

Throughout the semester, Richie writes in three separate Dear Classmates Letters about how Discussion Leading Experiences are influencing his learning.

#1 ... *Although we talked about the presentation repeatedly in class for the past three weeks, I was still cautious as to our chances of pulling it all together on Tuesday night. We knew the material: no problem there. The people in our group were knowledgeable too. My largest worry was that we would run out of material at the twenty-five minute mark and be left begging for questions to fill out our time. To add more anxiety to the mix, the group that presented before us did an incredible job!...*

#2 ...*Last week, our DLE group (a new one) met and discussed our presentation topic, Chapter 3 in Invitations (Routman, 1994). We decided to do activities in shared and guided reading and writing. I was really impressed with the dynamic interaction and the wealth of ideas generated in the short time we had together. Jeanette brought a general outline of her idea for the presentation and the creativity spring boarded from there. Everyone contributed, and one idea exploded into the next until we had a final, finished, and hopefully successful plan. It was exciting being part of that group and watching the synergy develop...*

#3 ...*This is our last Dear Classmates Letter, and it has been a pleasure reading, writing, and working with you this semester. I don't know about you, but I really have enjoyed this class and feel as if I have learned a ton. The classroom climate is open, friendly, and leads to a great learning environment...Even when you have different philosophies, two students who know a little about each other's personal side will value those differences of opinion, use them as a learning experience, and not escalate those*

differences into personality conflicts. Presentations also go better in front of a supportive and interactive audience, and the climate in our class leads to that environment.

Student Choice Literacy Experience

To study a literacy interest of their own in depth, students select an inquiry that may be very practical and related to some classroom literacy instruction that they are currently using in their own classrooms during the semester. The intent of this experience is to construct knowledge by addressing a personal, learner-centered interest.

The Student Choice Literacy Experience handout includes these possibilities:

(1) Plan and write a lesson plan for reading and writing for three to five days duration, then teach it (videotape it if possible). Reflect in writing what you have learned and what you can apply to future learning.

(2) Choose to read a series of books or journal articles on a literacy topic (e.g. about portfolios, whole language, evaluation, gender differences in literacy education, using writing with reading, etc.). Then respond to your reading and note how what you have learned might be applied in the public school classrooms at your grade level.

(3) Write a philosophy of literacy education based on your readings and experiences to date. Include these sections with subheadings: (a) beliefs on literacy instruction, (b) key vocabulary, (c) types of schools necessary to teach, (d) appropriate roles of students and teachers in such schools, and (e) problems, objections, and counter-arguments to your vision.

(4) Observe one student as she/he learns to read and write and write a case study. Include the reasons you chose this student, her/his behaviors and examples of her/his work. Write about the interventions and interactions with this student as well as reflect on and suggest what should be done for continued learning of this student.

(5) Month by month calendar of reading workshops. Organize your planning for reading and writing for the coming school year. Include the reading you will do, too. Once done, write three to five pages of explanation and rationale for the choices you make. This is not a finished project, but a work-in-progress.

(6) Create an alternative literacy project to further your understanding of reading and writing.

In attending to their individual needs, students' choices have included: *Reading and Writing Experience Strategies for High Schoolers*, *Engaging Fourth Grade Readers*, *Literature Response Logs*, *Books Clubs for At-risk High School Students*, *Literacy is the Future*, *Asperger's Syndrome and Reading Comprehension*, and *Reading Aloud to Build Success*. Given the choice to think and explore, students drew upon their own interests as they constructed understanding of the teaching of reading and its application to the classroom.

Jane writes about her reasons in choosing a project, *The Directed Independent Novel Experience*, to meet the needs of her high school students.

I teach English in a small, rural school in northern Connecticut. The curriculum for each class has been designed by the same person for years, and is rigid and flawed. Within this curriculum, there is mandated a reading program for all ninth and tenth grade, and some of the upper grades, consisting of weekly in-class reading time and bi-weekly reading letters written to the teacher.

One of the glaring defects in this system is that there is not reason given for the reading. The book choice is random and unassisted. Students pick from unorganized shelves in the back of the room. Secondly, the bi-weekly reading letters are written in isolation of fellow students. The format is formulated, read by the teacher only, and is graded based on grammar and set structure. There is little attention given to students growing level of interpretation and synthesis.

The self-selected and self-diagnosed emphasis of the Student Choice Literacy Experience helps Jane develop a plan to meet the literacy learning needs of her students.

If my graduate students truly believe this learning experience is to meet their needs, not merely to write a paper to play the game of figuring out what I want, such dynamic projects as Jane's can occur.

Conclusions

By listening to my students as they participated in their learning experiences, I have learned that they: (1) want to be known. Known by me and their classmates, (2) come with many self-doubts about their ability to teach successfully and have students pay attention and learn, (3) despite initial resistance, come to appreciate the many opportunities to speak in front of their classmates, and (4) want to be actively engaged during our class time together. My role is to build on their own competencies and to inspire them to believe in themselves. As their teacher, I want to affirm that they matter as individuals and that they are, indeed, worthy.

By acknowledging, accepting, and valuing the individual learner, these constructivist learning experiences meaningfully engaged students in their study of the teaching of reading. In having their own students construct meaning in the social context, the learner-centered model of education came to life for students in a graduate reading course in teacher education as students "lived" its merits and made connections to their own classrooms. The constructivist experiences based in a group setting and the demonstration of their learning took the anonymity, and subsequent isolation, out of the university classroom for students. Having their own questions, reflections, insights, and demonstrations of learning valued, students began to see their classmates as resources, which minimized the competitive structure of securing high placement in the ranking and sorting of students in the traditional teacher-centered university classroom.

The Educational importance of this study is the threefold recommendation for the teacher education: (1) to reduce class size so students can be known and valued as individuals; ideally fifteen to twenty students and certainly no more than twenty-five, (2) to create classroom learning experiences that allow students choice and discretion in their own learning, and (3) to model ourselves what we believe is effective constructivist pedagogy so that university students have themselves experience the learner-centered practices that they in turn may implement in their own K-12 classrooms.

Note: Please contact the author at rothermeld@easternct.edu for copies of any of the described handouts.

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