

The Long-Term Effects of a Public School/State University Induction Program

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Abstract

This paper describes a school/university graduate induction program that has provided support to beginning teachers since 1994. A 10-year follow-up study of program graduates was recently conducted to examine these questions: (a) How many graduates are still in the education profession? (b) How many have remained in the classroom? and (c) What are their retrospective perceptions of the induction program on their initial teaching experiences? Quantitative and qualitative data were collected. Findings revealed a high percentage of graduates who are still in the field of education. Graduates reported positive retrospective perceptions of the influence of the program on their initial teaching experiences.

Current statistics reveal that beginning teachers are leaving the profession at an alarming rate. According to Ingersoll (2003), 14% of new teachers leave by the end of their first year, 33% leave within 3 years, and almost 50% leave in 5 years. To ensure quality education for students in the future, it is imperative that the educational community finds ways to support and retain new teachers.

In recent years the importance of providing induction support has received more attention in the teaching profession (Breux & Wong, 2003; Dangel, 2006; Moir, 2003; Smith & Ingersoll, 2004). Higher retention rates as well as increased teacher effectiveness have been cited as benefits of induction programs. Most studies have examined 1- to 4-year retention rates; few have investigated long-term retention (e.g., beyond 5 years). As faculty in the Teacher Fellows Program (TFP), a school/university induction partnership, we wondered about our graduates' retention rates as well as their perceptions of the support they received. How many were still in the education profession after 5 years? Of these, how many have remained in the classroom? What do they have to say about the influence of an induction program on their beginning experiences? This study attempts to expand on the literature related to induction by examining these issues.

In this paper, we will provide an overview of the TFP and share the results of a recent follow-up study of graduates. First, we will summarize the current literature related to induction and retention.

Literature Review

In *What Matters Most: Teaching for America's Future* (1996), the National Commission on Teaching and America's Future (NCTAF) states that the most important ingredient in education reform is "a caring, competent, and qualified teacher for every child (p. 3)." The report adds that the missing link in school reform has been an "investment in teachers" and concludes, "Student learning in this country will improve only when we focus our efforts on improving teaching" (p. 5). However, the report lists "inadequate induction of beginning teachers" as one of the barriers to improving teaching.

More recently, the No Child Left Behind Act (NCLB) of 2001 also addressed the teacher quality issue. NCLB attempts to help students achieve high academic standards by requiring that every class is taught by a "highly qualified teacher." While the NCLB definition of what constitutes a "highly qualified teacher" remains debatable, no one disputes the need for effective teachers in today's classrooms. Since teacher effectiveness is determined to be an important predictor of student success, and induction has been shown to help improve teaching practice, the need to continue the education of

novice teachers in the first years of teaching through comprehensive induction programs is greater than ever.

Numerous studies have documented the effectiveness of induction programs in helping to support and retain beginning teachers. Ingersoll and Kralik's (2004) comprehensive review of the effects of induction programs is one of the most notable. They conclude that induction programs do have a positive impact on teachers and their retention. They point out, however, that these findings are limited by the fact that most of the studies reviewed were unable to control completely for other factors that may have affected the outcomes.

In a related study, Smith and Ingersoll (2004) examined data from the 1999-2000 *Schools and Staffing Survey* (SASS) and its supplement, the *Teacher Follow-up Survey* (TFS). From this analysis they concluded that the number of teachers who receive some kind of formal induction has increased dramatically in recent years. They found, however, that the type of support these new teachers received varied. They also examined the association between receiving induction support and the likelihood of beginning teacher turnover (i.e., moving or leaving) at the end of their first year on the job. They concluded that induction support did improve the retention rates of beginning teachers at the end of their first year of teaching. Moreover, they found that "getting multiple induction components had a strong and statistically significant effect on teacher turnover" (p. 35). In other words, as the number of induction components increased for teachers the probability of their turnover decreased.

Strong (2005) extended Ingersoll and Kralik's (2004) review by examining several comparative studies. He concluded that, like Ingersoll and Kralik, "the available research does point to a positive effect on retention of comprehensive mentoring and induction programs for new teachers" (p. 193).

The induction program described in this paper represents a 5-year program that provides extended preparation and support for beginning teachers who have received their initial elementary certification through a traditional undergraduate program. This 15-month extended induction process includes opportunities for beginning teachers to serve as the teacher-of-record in a classroom while gaining additional preparation through rigorous, academic coursework on teaching and learning. According to Darling-Hammond (2005), recent studies indicate that

graduates of extended programs are not only more satisfied with their preparation; they are viewed by their colleagues, principals, and cooperating teachers as better prepared; are as effective with students as much more experienced teachers; and are much more likely to enter and stay in teaching than their peers prepared in traditional undergraduate programs. (p. 11)

Program Description

Established in 1994, the TFP represents a unique collaborative effort between a state university and several school districts located in the southwestern United States. This partnership addresses first-year teacher needs based on a no-additional-cost exchange of resources between the participating university and area school districts. In this model, Teacher Fellows, fully certified teachers who are graduate students, are contracted by the university to serve as first-year teachers in participating school districts. In exchange, experienced classroom teachers (referred to as Exchange Teachers) from participating districts in the surrounding geographical area are released from classroom assignments to serve as on-site mentors to the beginning teachers. For each Exchange Teacher the school district gets three full-time, certified Teacher Fellows who are assigned to available elementary classrooms. The Exchange Teachers, who are certified in the same field as their mentees, are involved in the Teacher Fellow selection process whenever possible. The Teacher Fellows earn a master's degree, tuition free, within a 15-month program and are supported by a \$15,000 fellowship in lieu of a district salary.

During its 10-year history, the TFP has partnered with 13 public school districts within a 50-mile radius of the university. The districts range in size from 1,500 to 80,000 students; they include rural, suburban, and urban districts. Data collected during the past 5 years indicate that a majority (69%) of the Teacher Fellows have been placed in high-needs, low socioeconomic schools that serve 32% to 95% “economically disadvantaged” students. District participation fluctuates from year to year based on hiring needs and the number of candidates who apply for the program.

Methods

A longitudinal survey design was used in this study. This method was selected to determine retention rates and retrospective perceptions of program participants over time.

Participants

In this study, we wanted to identify which TFP graduates were still employed in the field of education as teachers in public or private schools, which graduates were still employed in the field of education but had left school teaching, and which graduates were no longer employed in the education field. We wanted to know how many years they had stayed in education and what their current employment position was. In addition, we were interested in the program graduates’ retrospective perceptions of their experiences in the program as well as any perceived influences of the program. We drew our sample, therefore, from the entire population of graduates of the TFP (N = 215) over the first 10 years of the program’s existence (1994-2004).

Initial Follow-up Survey

We attempted to locate as many program graduates as possible for inclusion in our study. Through a brief follow-up mail and e-mail survey, current addresses and employment status were determined. Concerted efforts were made to locate non-respondents to this initial survey. These efforts included contacting former mentors, following up with phone calls, consulting school district websites, and checking the state teacher database. Of the 215 individuals who graduated from the TFP from 1994-2004, we were successful in locating 202 (94%) of them. This information was used in determining the teacher retention rates. We were unable to locate 13 program graduates.

We classified the located program graduates into two categories: *employed in education* and *not employed in education*. For the purposes of this study, we defined the field of education as any employment as teachers or administrators in a public or private school (Pre-Kindergarten through 12th grade), school district, or university. For example, classroom teachers, school administrators, university instructors, and child-care directors were classified as being in the field of education.

We further subdivided those who were employed in the education field as *schoolteachers* or *nonschoolteachers*. We defined a *schoolteacher* as a teacher in a public or private school (Pre-Kindergarten through 12th grade). Our definition included classroom teachers, special education teachers, and most other special area teachers. We excluded reading specialists, instructional facilitators, and program coordinators (who were not also classroom teachers) from the schoolteacher category of employment. These people were classified as *employed in education, nonschoolteacher*. This subgroup also included individuals such as school administrators and university instructors.

The category of TFP graduates, *not employed in education*, was defined as those individuals who were not currently employed within the traditional academic education field, even though they might do some teaching in their current employment position. This category included people who were employed in other fields, as well as mothers who had left teaching positions to stay at home with their own young children.

Interviews

In addition to determining which TFP graduates were employed as schoolteachers, which graduates were employed in education but were not schoolteachers, and which graduates were not employed in the education field, we also were interested in learning more about these subgroups' perceptions of the TFP and their experiences after graduating from the program. We decided, therefore, to interview a purposive sample from each of these three groups. In selecting individuals for the interviews, we tried to select people who would provide information-rich typical cases while also representing a broad cross-section of the diversity within the program: males and females; Caucasians, African-Americans, and Hispanics; urban and suburban teaching experience; first-generation college graduates and not. We interviewed 13 program graduates.

Drawing ideas from Johnson and Birkeland's (2003) interview protocol, we developed an initial interview protocol of open-ended questions for each subgroup of participants. The questions explored areas such as the program graduates' teaching experiences, leadership roles, perceptions of the TFP, and the degree to which they perceived teaching to be (or to have been) a good fit for them. Using a slightly different interview guide for each subgroup of participants, we interviewed 13 individuals. Although most of the interviews were conducted face-to-face, upon request of the interviewees, two of the interviews were conducted by email, and one was conducted over the telephone.

We independently transcribed and analyzed the 13 interviews using open coding (Glaser & Strauss, 1967) to sense broad themes and to inductively identify categories in the data. One researcher then returned to the interview data and used her categories to deductively code the interview data, producing sets of frequency distributions for each of the three groups of respondents. Another researcher used her own inductively generated categories to code the data and used some grounded theory techniques (e.g., open coding, axial coding, selective coding) to identify additional dimensions and relationships (Strauss & Corbin, 1998). As she analyzed the data, she also developed integrative diagrams, which showed relationships among and within the categories and identified areas for further data collection that would enhance conceptual density (Strauss, 1987). The two researchers then met, described independent findings, discussed similarities and differences in the two sets of findings, and identified what kind of data to collect next and how to collect it.

Questionnaire

We used the results of the interview data analysis to develop a new set of open-ended questions. We mailed this questionnaire to the 202 program graduates for whom we had addresses. A unique identification number was placed on each questionnaire for the purpose of monitoring the follow-up process (Rea & Parker, 1997). Two months from the initial mailing, a second follow-up was mailed to all survey recipients who had not yet responded. As of May, 2005, 146 were returned, for a 72% return rate. Ninety-five percent of the respondents were female and 5% male. Eighty-four percent of the respondents were Caucasian, 14% Hispanic, 1% African American, and 1% Other.

As with the interview analysis, we once again read the questionnaire data separately, with each researcher using the same methods as she had used with the previous data set. Then we met to discuss our findings. One researcher represented her findings with sets of frequency distributions, and one researcher represented her findings with common themes and illustrative participant quotes.

Enhancing Credibility

Throughout the study, we made choices to enhance the study's validity or credibility (Lincoln & Guba, 1985). We triangulated through the use of multiple investigators and multiple data collection methods. We looked for negative cases and opposing perspectives.

Both researchers have been instructors in the program for varying numbers of years. Because of this relationship with the program, we were particularly aware of the need to reflect on, and monitor, our own subjectivity through the study (Glesne, 1999). We also tried to follow Feldman's (2003) suggestions for increasing the validity and quality of self-study. For example, within our report we tried to clearly describe our data collection and analysis methods and to clearly explain how we each constructed our data representations. We went beyond the triangulation of multiple data sources to include the use of multiple investigators and of multiple kinds of data representation, which could show how the findings supported each other as well as show areas of difference.

Findings

Where Are They Now? Employment Status of the TFP Graduates

Data from the initial survey were used to determine teacher retention rates. Qualitative data from the interviews and open-ended questionnaire were used in discussing themes in the program graduates' perceptions and experiences.

As of May, 2005, 177 (82.3%) of the 215 TFP graduates were still employed in the field of education. The majority (n = 156) of these were employed as schoolteachers (see Table 1). Years of school teaching experience for these individuals ranged from 2 to 10 years. The majority of these TFP graduates were teaching in kindergarten through third grade at the time of the study. Figure 1 depicts retention data for the 10 Teacher Fellow cohorts who participated in the program between 1994 and 2004.

Table 1
Teacher Fellow Follow-Up Study Categories (Spring, 2005)

Cohort Year	Number in Cohort	Schoolteacher	Education Related Nonschoolteacher	Not Employed in Education	Not located
1994-1995	17	8	3	4	2
1995-1996	27	12	8	3	4
1996-1997	24	13	2	4	5
1997-1998	31	17	3	9	2
1998-1999	24	20	2	2	
1999-2000	15	15			
2000-2001	15	10	3	2	
2001-2002	15	14		1	
2002-2003	26	26			
2003-2004	21	21			
Total	215	156	21	25	13

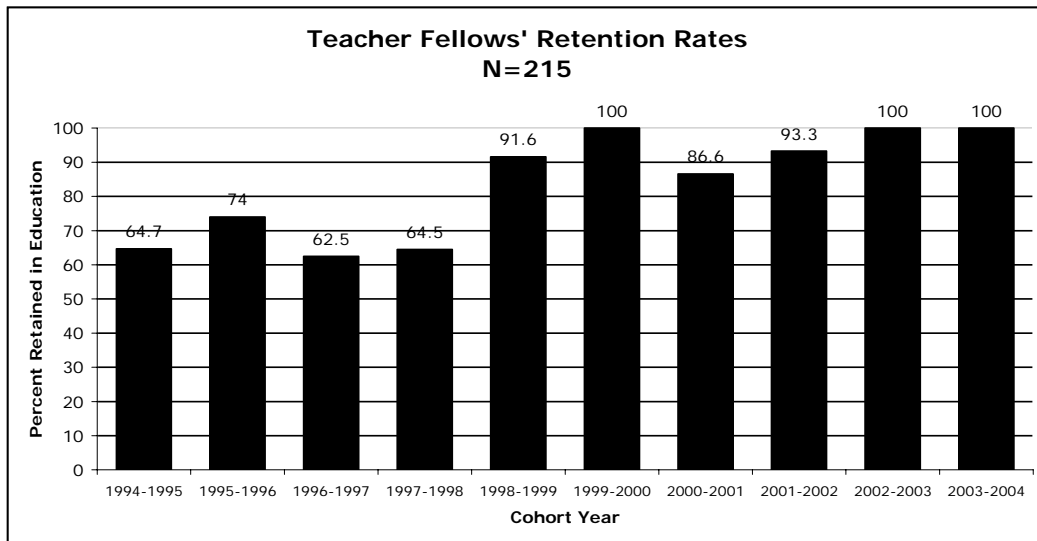


Figure 1. Follow-up Study (Spring, 2005)

Twenty of the 25 people who were not employed in the education field perceived their current employment position as one in which they were still “teaching,” although they were not teaching in the traditional, academic definition. These people were not employed as schoolteachers in public or private Pre-K through 12th grade schools, but they perceived aspects of their jobs to be teaching. Many of the respondents explained that they were training adults as part of their current positions and commented on the transferability of the skills that they had developed. For example, one graduate now working in the staffing field wrote,

I modify, develop, and implement systems to increase production just as I modified, developed, and implemented lessons to increase learning with my students. In addition, I can say with confidence that I am probably the most organized, multi-tasking person in the office, and I owe that all to teaching.

A skin care instructor noted, “I’m still teaching but in a different way. [I enjoy] making people feel good about themselves [and] making a difference in people’s lives.”

Several were no longer employed as schoolteachers because they had decided to stay home as full-time mothers. These people also remarked that they were still teaching, even though the children they taught were now their own. “In so many ways,” wrote one respondent, “I use a lot of the same techniques I did with students and can see all of the child development stages firsthand. That’s really neat!”

The sole respondent who did not describe herself as still teaching, though in another context, had been an attorney for the past two years. She noted that her current position was not as rewarding as being a schoolteacher. She stated that she was looking for “a more satisfying job incorporating my skills as an attorney and possibly as an educator.”

As noted previously, we were unable to locate 13 of the Teacher Fellows. Since we were not able to verify their employment status, we assumed they were no longer teaching and included them in the overall attrition rate of 17.6%.

Teacher Fellows’ Perceptions

All of the respondents selected “yes” to the survey question “Do you feel the Teacher Fellows Program had a positive influence on your experience as a beginning teacher?” Five (3%), however, answered both “yes” and “no” to this survey item. In follow-up comments, all five explained the negative response was due to a less than positive relationship with their mentor.

The responses on the open-ended questionnaire described a variety of ways in which the Teacher Fellow graduates retrospectively perceived that the program had affected them. The major categories of perceived effects were: (a) the receiving of support, (b) the development of relationships, (c) the development of knowledge and skills for teaching, (d) the development of attitudes and dispositions, and, to a lesser degree, (e) the development of leadership skills.

Receiving support. Program graduates described the positive influence of receiving both professional and emotional support from their participation in the program. Professional support was discussed both in terms of having a support system (in the form of their mentor teacher, their program peers, and their university instructors) but also in terms of receiving guidance from their mentor teachers in understanding various systems that affected them as teachers. Looking back on their first year of teaching, many program graduates identified how beneficial their mentor teachers were in helping them to figure out district- and school-specific system details, in guiding them through the effective organization of a classroom, and in helping them learn how to work with parents and families. For example, one program graduate wrote, “I was so blessed to have someone who knew the ‘system’ and how to get things done. She showed me what my resources were, how to involve my parents, and how to organize my teaching life.” Another wrote, “I had the support I needed to feel comfortable enough to take risks, ask questions, and try new things. I have more confidence now due to the Fellow’s year.” Other respondents used the terms “life saver” and “safety net” to describe their mentors.

Although professional support was mentioned more often, some program graduates also mentioned the positive benefit of receiving emotional support through the program. Several remembered shedding tears during their first year of teaching and remembered “how hard” the TFP had been. These teachers spoke of the emotional toll of participating in a master’s degree program as a beginning teacher, while also expressing appreciation that the program afforded them support that other beginning teachers did not have. The following excerpts from three different teachers illustrate these perceptions:

- Teacher Fellows was grueling at times, but hands-down the best educational training I have received in preparation for being a teacher. I know that the teacher I am today is in direct relation to the Fellows program.
- Teacher Fellows was a very difficult program for a first-year teacher. However, no matter how stressful, I learned more about myself, my occupation, and my goals for life in one year than I did in the previous four years of college. I am very proud of my achievements and myself.
- The Teacher Fellows program was intense. It was a lot of work, but the research we did and learned about was invaluable. I felt more educated to walk into teaching with enough preparation for success. [In] my second year of teaching, and thereafter, I have **not** taught to the [state] test but had at times 100% [student] passing and other times 90% passing [on the state assessment]. Learning how to develop those critical thinking skills in young children is essential. The Teacher Fellows program really prepared me for that role.

Relationships. This emotional support was linked to another perceived effect of the program: the development of relationships. Some program graduates noted that they had developed important relationships through their participation in the program. For example, a 1996 graduate stated, “I still keep in touch with one of my cohorts from Fellows. I count her as one of my dearest friends, partly because of the bond we formed during our year in the Fellows program.” Although most of these respondents mentioned meaningful friendships that they had developed, some also noted that they had developed important professional contacts or networks through the program.

The majority of program graduates perceived the mentor-mentee relationship to be one of the most positive aspects of the induction experience. The following responses from three different graduates illustrate this point:

- The mentor-teacher [mentee] relationship was the most important and helpful aspect of the program.
- It [Teacher Fellows Program] was a positive influence because I had a wonderful Exchange Teacher [mentor] who guided me through the lesson plans and had great tips for classroom management.
- Having a mentor to be with me during my first year was an awesome experience!

As noted previously, not all of the program graduates perceived the mentor-mentee relationship in such a positive light. Five respondents indicated the relationship with their mentor was a negative aspect of the program. One wrote, “I had a horrible mentor/mentee experience.” She adds, however, “Otherwise, the program was amazing—cohort members pulled me through and taught me tons—most are still my best friends.” Another stated, “I did not find my Exchange Teacher [mentor] to be a positive influence, in fact, quite the opposite.” She also added that working with her cohort members was “extremely helpful” and the university faculty “superb.” These comments suggest that various types of support, in addition to having a mentor, are important during the induction process.

Knowledge and skills. Another aspect that emerged from the responses was related to the development of specific teaching knowledge and skills. For example, numerous respondents shared how the program coursework helped them learn how to integrate curriculum, conduct action research, implement effective teaching strategies, and create a positive learning environment. One respondent shared how program support helped her implement an effective reading program in a bilingual classroom. “You learn how to teach reading in college,” she stated, “but not how to actually do it in the classroom.” She credits the support of her Exchange Teacher with helping her bridge the gap between theory and practice. Others mentioned how they felt the program helped them be on the “cutting edge” of effective teaching practices.

One described how the “rigor of the program” helped her seek out professional development opportunities (e.g., Gifted/Talented and English as a Second Language certification) in the years following her graduation. This 1996 graduate has remained in a low-income, urban school throughout her teaching career. She recently became a National Board Certified Teacher and credits the program with playing an integral part in “developing this thirst for knowledge.”

Attitudes and dispositions. Many program graduates mentioned how they had developed certain attitudes and dispositions through the program. Two of the most frequently mentioned attitudes or dispositions were the development of confidence and self as life-long learner. For example, one respondent wrote, “The Teacher Fellows program established my roles as a LEARNER (life-long) first, teacher second. I’m always excited to learn innovative ways to think about education.” Also mentioned by some of the program graduates was the development of an inquiry disposition in teaching. These

respondents commented on how much they enjoyed observing their students, in the educational “kid-watching” sense.

Leadership. Finally, some program graduates spoke of the program’s influence in developing leadership within them. The least number of respondents specifically cited this category, although the majority of the program graduates (across all subgroups) had held leadership positions within their schools and school districts.

In summary, we found that a majority (82.3%) of the TFP graduates were still employed in education. While most were employed as schoolteachers, 21 were employed in other positions in the education field, such as school administrators and university instructors. The attrition rate, which includes those not located, was 17.6%. All of the TFP graduates who responded to the open-ended questionnaire perceived that the TFP program had positively affected their teaching experience in some way. Five indicated disappointment in the mentor-mentee relationship.

Conclusion and Discussion

This follow-up study describes a school/university induction program that has successfully addressed beginning teacher needs for the past 10 years. Results of the study suggest strengths of this partnership as well as areas that could be improved.

Perhaps the strongest aspect of this program is the multiple layers of support it provides beginning teachers. These supports include a mentor from the same field who is released from classroom responsibilities, university coursework that encourages the implementation of effective teaching strategies, and a cohort group who are provided opportunities to work together in solving problems associated with the first year of teaching. As Smith and Ingersoll (2004) point out, it is this combination of supports that has the greatest impact on teacher retention. In their research on teacher induction they found that some activities appeared to be more effective than others in reducing teacher turnover. These include having a mentor in the same field, collaborating with other teachers on instruction, and being part of an external network of teachers. While some of these components did not have an impact individually, they found that most did collectively. We found this to be the case in the present study. For example, the respondents who did not view their mentor-mentee relationship to be a positive influence still perceived the overall induction experience to be effective based on other aspects of the program.

Another strength of the TFP that is evident from this study is the university/school partnerships that have existed for the past 10 years. Since 1994, several public school districts within close proximity of the university have participated in the program. While district participation fluctuates from year to year based on staffing needs, four districts, including three suburban and one urban, have consistently partnered with the university program since its inception. Through this collaboration, the university and partner districts are better able to share resources to meet the needs of beginning teachers. For example, the respondents frequently mentioned effective teaching strategies and inquiry-oriented assignments they were required to implement in their classrooms as part of the university coursework. In addition, most described the positive impact of having a “real time” public-school mentor who was able to assist them in the actual implementation of these strategies. Collaborations such as these serve to link university preparation with actual teaching practice.

This study also revealed an aspect of the program that continues to be a challenge: what to do when the mentor-mentee relationship is not working well. While this has not been a frequent problem, it can be extremely intense when it does occur. The mentor-mentee relationship is a major component of the TFP, and we want to ensure that this is a positive experience for both parties involved. Therefore, we continually seek ways to strengthen these relationships. In recent years, we have encouraged each cohort group to create a social contract at the very beginning of the relationship (Flippen, 2005).

Through this agreement they establish expectations for how they will treat one another and create guidelines for resolving conflicts that may occur. Furthermore, we have discussed ways to work effectively with different personalities and teaching styles in the weekly mentoring seminars. When needed, university faculty and/or school administrators have served as mediators between mentors and mentees. In rare cases where the previous interventions have proved unsuccessful, we have replaced the mentor with other program faculty and/or public-school teachers. While this is a more costly alternative, we have found it to work effectively and that it maintains the goals and integrity of the program for both the beginning teacher and his or her mentor.

A limitation of this study is the participants themselves. All are fully certified and working on a graduate degree during their first year of teaching. Additionally, most completed their teacher preparation in an undergraduate field-based program that incorporated numerous hours working in public schools. These factors may contribute to the Teacher Fellows' higher retention rates and success as beginning teachers. Several studies, however, have found that the more academically qualified graduates, the "best and brightest," appear to be those most likely to leave the profession in their first years of teaching (Henke, Chen, & Geis, 2000; Murnane, Singer, Willett, Kemple, & Olsen, 1991; Schlecty & Vance, 1981).

The academically talented teachers in our study wrote about the value of the support system the TFP provided in the early years of their career. They described the advantage of having a mentor who was readily available to assist them, the benefit of university coursework that challenged them to use best teaching practices, and the significance of being part of a network of teachers who collaborated in solving problems. Their responses testified to the importance of extending teacher preparation into beginning teachers' "own" classroom experiences. As one aptly put it, "Instead of wallowing in isolated, survival mode, I was able to connect with a support system and continue to grow despite first-year teaching struggles."

As a result of the present study, we are examining the influence this school/university partnership has on beginning teachers' classroom practices and student achievement. Further studies are needed to investigate these areas that go beyond the teacher retention issue. At present, we are conducting a comparative study that examines the difference between Teacher Fellows and other first-year teachers who are matched on several characteristics (e.g., teacher preparation program, grade level, and school demographics). Another area of interest is the mentor-mentee relationship. As Huling (2006) points out, looking beyond program effects to what actually happens in mentor-mentee pairs may help researchers "truly get at the effects of induction support" (p. 97).

Finally, this study describes one induction model that has successfully influenced teacher effectiveness and retention during the past 10 years. It demonstrates that school districts and universities can combine resources to make a difference in the professional lives of beginning teachers. Ultimately, such partnerships may keep promising new teachers in the profession thus benefiting schools and the children they serve.

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Dueling Epistemologies? Implementing a Critical Model of Faculty Development in Teacher Education

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Abstract

Teacher beliefs are mediated and lived in the dialectic of teacher education and teacher practice. We reframe this dialectic of teacher preparation as faculty preparation, as many faculty are not prepared for the rigors of teaching, and most are not trained in the ethics of their profession. We propose a critical model of faculty development that primes teacher educators to cultivate authentic teacher beliefs and professional integrity. The model embraces five components that: 1) situate faculty development in professional and ethical standards; 2) align faculty diversity competencies with the institutional mission; 3) embrace guiding principles for undergraduate education; 4) contextualize faculty development; and 5) challenge through reflective discourse.

Teachers' beliefs are constructed in the context of sociocultural experiences, defined by Flores (2001) as personal, theoretical, and pedagogical. The idiosyncratic knowledge acquired by teachers in their daily work also influences their beliefs (Brousseau, Book, & Byers, 1988; Clandinin & Connelly, 1996; Connelly & Clandinin, 1990; McDiarmid, 1990; Tamir, 1991) that ultimately impact instructional decisions and approaches (Flores, 2001). This essential connection among beliefs and behavior is further explored by Reybold (2002) who argues that epistemic assumptions drive reasoning and generate "behaviours and actions that correlate to ways of knowing" (p. 547). This "pragmatic epistemology" (p. 539), which originates in cultural models of truth and value, composes everyday reasoning and decision-making (D'Andrade, 1987).

While classroom teacher experiences both in and out of the classroom are known to influence the development of professional beliefs and subsequent classroom behaviors, there is considerably less known about faculty epistemologies and their influence on the construction and development of teachers' beliefs. Samuelowicz and Bain (1992) explored faculty beliefs in relation to notions about 'good' teaching and learning, teacher's role, course design, and student outcomes. They found that teaching conceptions were context-dependent. Likewise, Kember and Gow (1994) noted a significant correlation between mode of instruction and approaches to learning. College students tended to use surface, extrinsically motivated approaches for studying when the typical mode of instruction within the department reflected a knowledge transmission orientation. Conversely, departments with a learning facilitation orientation encouraged college students to use deep, intrinsically motivated approaches for studying. Certainly, these studies with faculty members reinforce the importance of exploring the connection between belief systems, instructional practices, and impact on their college students.

Educational experiences structure a cognitive apprenticeship in which learners develop an emerging professional identity that persists into professional practice (Lave & Wenger, 1991). For teacher candidates, this socialization process is situated initially in the higher education experience. This early socialization orients the teacher candidate to the profession in terms of skills, attitudes, and standards of ethical conduct (Brim, 1966; Bruss & Kopala, 1993; Weidman, Twale, & Stein, 2001). It stands to reason that faculty beliefs about practice shape this apprenticeship experience of teacher candidates through curriculum, pedagogy, and evaluation choices. However, teacher socialization is not restricted to the higher education setting; it is situated also in the lived experience of a local classroom setting.

This article examines the dual zones of mediation (Kegan, 1979) where beliefs about teacher education are constructed and lived: teacher education and teacher practice. These beliefs are often contradictory, with one promoting a distant but necessary pedagogy and the other disconnecting practice from theory. We argue this dialectic between university socialization and classroom experience creates an ethical tension of practice that diminishes teaching effectiveness. We reframe this conflict of beliefs associated with *teacher* preparation in terms of *faculty* preparation, noting that faculty—particularly early career and adjunct faculty—are often grossly unprepared for the rigors of teaching and mentoring, and few are trained in the ethics of their profession (Reybold, 2003; Sheeks, 2005). In fact, “for too many individuals, developing the capacity for teaching and learning about fundamental professional concepts and principles remain accidental occurrences” (Gaff, Pruitt-Logan, & Weibl, 2000, p. x). Professional ethics are defined by Corey, Corey, and Callanan (1998) as standards for moral conduct in that profession. How, then, can teacher educators facilitate critical thinking and ethical reasoning in their student protégés? Building on this literature and our own experiences as faculty in education, we offer a critical model of faculty development that primes teacher educators to cultivate authentic teacher beliefs and professional integrity. Moreover, one can argue that knowledge of diversity and best practices is an ethical issue that needs to be addressed in all teacher preparation programs.

Epistemology as Action in Teacher Education: A Disconnect?

Most research on teacher beliefs is situated in the extensive works of Baxter Magolda (1992), Perry (1981), Schommer (1990), and Schommer-Aikins (2004) that characterize beliefs as epistemological perspectives. Epistemological beliefs are defined as the “individual’s views on what knowledge is, how it can be gained, its degree of certainty, and the limits and criteria for determining knowledge” (Brownlee, Purdie, & Boulton-Lewis, 2001, p. 247). Generally, dimensions of epistemology include the nature of truth, justification of authority, and reasoning processes, with ethicality being tacitly embedded in one’s belief system.

One of the roles of teacher education is to socialize teacher candidates into the profession. In essence, teachers’ “ethical values are implicated in their relationship with their students, ... their approaches to subject matter, and reflected in their own and their students’ stance toward the nature of knowledge” (Lyons, 1990, p. 167). However, throughout this socialization process commencing in the teacher education program and continuing as a member of the profession, teacher candidates themselves are faced with ethical dilemmas such as the implementation of best practices and the inclusion of diversity. Thus, faculty members must provide insight and guidance for understanding these conflicts and how they can be resolved. Faculty members also face a dilemma since often they lack knowledge in the area of diversity and implementation of best practices. Therefore, they need to engage in professional development that will help them understand how such ethical dilemmas arise from epistemological disconnects.

Epistemological Disconnects

Considerable research points to a widely recognized disconnect between theory and practice in teacher education (Brouwer & Korthagen, 2005; Kennedy, 1997; Richardson, 1990; Rodríguez, 1993), resulting in an ethical conflict for teacher candidates. What they experience in an actual classroom does not match what they have learned at the academy (Flores & Riojas-Cortez, 2005). For example, teacher candidates often have a romanticized view of what a classroom should be; this view prevents them from understanding the realities that teachers and students face everyday in the K-12 classroom. Additionally, teacher candidates may have been placed in a classroom where the cooperating teacher's philosophy or practices differ from those espoused in the teacher preparation program. When this occurs, teacher candidates tend to become disappointed and even discouraged about pursuing the profession. They also covertly express their disappointment by disregarding best practices and "practice" what their cooperating teacher instructs them to do, especially when the school's accountability is determined by state-mandated tests.

This disconnect between theory and practice is likely to occur even if a classroom teacher feels confident about teaching ability, but students do not fair well academically. This conflict stems from the teacher's efficacy beliefs or perception about self in relation to student learning and outcome. While we have noted that teacher candidates engaged in a constructivist-oriented teacher preparation program are reflective about their beliefs about student learning and have a stronger sense of their teaching efficacy (Huey-Ling et al., 1999), we cogently argue that without purposeful intent this is not likely to occur.

Likewise, conflict between teachers' efficacy beliefs and student outcome is further exacerbated when teachers are not prepared to work with the diverse school population (Brindley & Laframboise, 2002; Neuharth-Pritchett, Reiff, & Pearson, 2000). While there is much research that demonstrates minority students having minority teachers fair better academically (Meier, Wrinkle, & Polinards, 1999; Zirkel, 2002), often there are assumptions that only minority teachers can be effective in diverse classroom settings. Flores and Clark (2004) challenge the assumption by suggesting that even when there is a cultural match, same ethnic group teachers do not necessarily believe that they can teach all children regardless of external factors. Flores, Desjean-Perrotta, and Steinmetz (2004) noted that bilingual education teachers, as compared to generalist teachers, were more likely to have positive efficacious beliefs towards ethnic minority populations because both their course work and field experiences provided opportunities to engage in the acquisition of the necessary knowledge and skills. Moreover, other studies have also shown that when generalist teachers are prepared to work in diverse school settings, their sense of efficacy increases (Huey-Ling et al., 1999; Rushton, 2003). Sheets (2003) cautioned, however, that many teacher education programs only offer one course in "diversity" or "multicultural" education, as reported in the study conducted by Vaughan (2004). Although the students were aware of the need to know culturally responsive pedagogy, and even though only one course in cultural diversity was required, teacher candidates felt that their teacher preparation program had prepared them to work with diverse populations. However, the reality was that the candidates were not prepared to engage in culturally responsive teaching. Since issues of diversity are complex, exposure to a variety of experiences throughout the teacher preparation program will more likely result in positive attitudes towards language and cultural diversity (Vélez-Salas, Flores, & Smith, 2005).

Challenging Conventional Thinking

Teacher candidates begin their professional journey with naïve beliefs about the certainty of knowledge, students' acquisition of knowledge, as well as their role in that process (Brousseau, et al., 1988; Hollingsworth, 1989; Mahlios & Maxson, 1995; Weinstein, 1989). On the other hand, experienced teacher beliefs about practice were more complex and authentic than those of teacher candidates.

Specifically, Kagan and Tippins (1991) revealed experienced teachers are more sensitive to internal struggles provoked by classroom problems, moral and ethical concerns regarding student personal needs, and the evolutionary nature of classroom problems.

One of the goals of teacher education is to promote changes in teacher epistemologies from naïve to authentic (Brownlee et al., 2001). To accomplish this goal, teacher preparation programs must provide teacher candidates opportunities to explore and critically reflect on their beliefs and engage in a variety of field experiences in diverse settings. Unfounded beliefs must be challenged via course work and experiences, and teacher candidates must be guided to manage ethical dilemmas that result from internal and external conflicts.

Changing and challenging preconceived notions can be perceived as a difficult, if not an impossible task (Flores, 2001; Gill, Ashton, & Algina, 2004). However, Brownlee et al. (2001) observed that, compared to non-reflecting teacher candidates, teacher candidates who were encouraged to engage in critical reflection about their epistemological beliefs were more likely to demonstrate a change in their beliefs. Moreover, Tatto (1998) surmised that teacher candidates are more likely to emulate the beliefs and actions of their teacher preparation programs when the program has a consistent underlying constructivist philosophical stance as compared to those that do not. Conventional teacher preparation programs were more likely to have teacher candidates who began and maintained conventional ideas about teaching, their role as teachers, and the role of the learner. Inherent in these conclusions is that the underlying philosophy has been self-determined by the faculty involved in the teacher preparation program, as well as the academic culture in which teachers are socialized. This is a precarious supposition, since new faculty members often inherit the existing teacher preparation program when they enter academia, and concerted effort to engage in critical dialogue about the teacher program is simply overlooked. In our estimation, this undermines the academy's potential as a progressive institution.

A Cautionary Tale of Faculty Preparation: Teaching What We (Don't) Know

Higher education is considered by many to be a model institution of professional integrity and social responsibility (Reybold, 2006); but in reality all institutions are characterized by complex relationships "that endow individuals with power, status and resources of various kinds" (Bourdieu, 1991, p. 8). Keith-Spiegel, Whitley, Balogh, Perkins, and Wittig (2002) point out the "potential for ethical conflict is ever-present" (p. xv) in higher education because academic "relationships are asymmetrical and complicated, individual players are ever-changing, needs exceed available resources, and policies and technologies are continuously evolving" (p. xv). Teacher education, as part of the overall institution of higher education, is subject to the same institutional frictions (Anderson, 1992; Birch, Elliott, & Trankel, 1999).

Early career faculty members are most susceptible to these frictions, partly because of their lack of status in the academy but also because of a lack of preparation and development. Thrust into a complex institutional culture, many new faculty members must develop their skills and competencies *in situ*, increasing the risk of flawed reasoning and decision-making. Inexperienced faculty members tend to rely on subjective experience and personal integrity to make critical decisions (Keith-Spiegel et al., 2002; Reybold, 2003-2004, 2006). For example, in her study of the development of research ethos in graduate school, Reybold (2003-2004) found most participants could not identify published ethical guidelines for research, but instead framed their reasoning in terms of personal morality. Likewise, in a related investigation of the social and political structuring of faculty ethics in general, participants scaffolded their professional decisions around personal experience and institutional mission (Reybold, 2006). When these decisions impact teaching and learning, this lack of faculty preparation becomes an ethical issue of professional development.

Moreover, little research has been conducted into how faculty members learn to make decisions in their roles as teachers, researchers, and service providers. Further, when the literature does address faculty reasoning, it generally essentializes both process and product, ignoring identity markers like gender, race, and ethnicity. But culture shapes *how* we know, not just *what* we know (Reybold, 2001, 2002). It stands to reason, then, that cultural characteristics impact behavior (Geertz, 1973).

In general, ethical standards for faculty assume an inclination for ethical reasoning. One obvious set of ethical guidelines for faculty practice is The American Association of University Professors *Statement on Professional Ethics*, adopted in 1987 (AAUP, 1987). The *Statement* addresses multiple facets of faculty work, including teaching, research, collegial interaction, and community engagement. As ethical ideals, they provide a framework for thinking about ethicality in higher education, but they are not codes for conduct. They are intentionally vague and subjective, allowing adaptation to various institutional contexts.

When the literature on ethical reasoning focuses specifically on faculty teaching behavior, rather than ethical ideals, standards are usually delimited to professor-student relationships, neutrality in assessment, training and preparation, content coverage, and other classroom-associated tasks (Markie, 1994). In this conventional approach, the ethics of teaching is reduced to method. In direct opposition to conventional ethicality and reasoning in higher education, Escobar, Fernandez, Guevara-Niebla, and Freire (1994) critique the utilitarian nature of the academy and argue for a critical position to ethical reasoning and behavior in higher education. Likewise, McLaren (1994) stated that the university is a moral agent that defies neutral and objective reasoning strategies. From this perspective, then, education should be transformative; thus faculty members are cultural workers who, like all humans, are accountable to the politics of education. The academy is a political site where faculty must develop a vision “that is not content with adapting individuals to a world of oppressive social relations but is dedicated to transforming the very conditions that promote such conditions” (McLaren, p. xxxiii).

Implementing a Critical Model of Faculty Development in Teacher Education

While most universities typically provide some form of faculty development, rarely does this instruction consider the epistemological disconnect between theory and practice. This poses two related ethical dilemmas for teacher preparation. First, faculty members are not trained to recognize and address the mismatch between their own preparation and academic reality. Second, they are not trained to recognize and address the corresponding mismatch experienced by teacher candidates. We propose a critical model of faculty development in teacher preparation that engages this disconnect and positions learning and teaching as ethical and political (see Figure 1). The model can be effectively implemented to meet the needs of higher education organizations since it is positioned within the sociocultural context of community, family, school, and students. The five essential components aim to: a) situate faculty development in professional and ethical standards, b) align faculty diversity competencies with institutional mission, c) embrace guiding principles for undergraduate education, d) contextualize faculty development, and e) challenge through reflective discourse.

Implementing a Critical Model for Faculty Development in Teacher Education

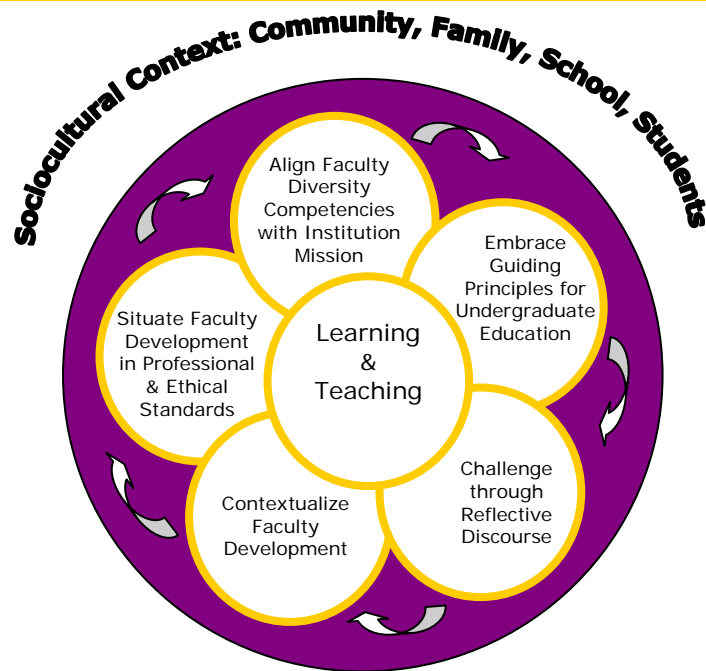


Figure 1. Implementing a critical model for faculty development in teacher education.

Situate Faculty Development in Professional & Ethical Standards

Professional identity incorporates commitment to role expectations and ethicality (Bruss & Kopala, 1993). Ozar (1993) and others claim most professionals cannot articulate their ethical standards. Research on faculty knowledge of ethical standards reports a similar lack of comprehension of standards (Gaff et al., 2000; Keith-Spiegel et al., 2002; Reybold, 2003-2004, 2006). Effective reasoning requires the skills, attitudes, and competencies for ill-structured problem solving; for teacher educators, this includes requisite comprehension of the standards for faculty ethics.

Faculty development programs must address not only standards set by the state for students to complete examinations successfully for certification purposes, but also the ethical standards of the profession (such as the National Council for Accreditation of Teacher Education (NCATE) and the National Association for the Education of Young Children (NAEYC)). These standards situate classroom practice in the larger professional identity of teacher education; and if faculty members hope to socialize prospective teachers to be ethical practitioners, the standards should be a critical component of the syllabus as well as lectures and discussions. This is particularly important since, as we noted earlier, that early professional socialization in teacher education is known to shape professional identity and influence professional reasoning and decision making.

Align Faculty Diversity Competencies with Institutional Mission

In order to train teacher candidates to work in culturally and linguistically diverse settings, faculty must know and be able to apply diversity competencies and professional standards (Rueda, 1998) and align these with the institution's mission. The goals should be to acknowledge the diversity

that exists within our global society, to increase faculty understanding and awareness of diversity issues in teacher preparation, and to implement new understandings of that diversity in their teaching. Such preparation will help teacher candidates to increase their personal cultural and sociocultural knowledge as well as their teaching competence for diverse populations. Further, by aligning these competencies and standards with their institutional mission, faculty are localizing teacher education, thus connecting national standards to regional needs.

Further, if we want our teacher candidates to approach diversity from a positive stance, then how faculty model these practices is vital. Although each of the core knowledge types previously mentioned is important in teacher preparation, we must note that cultural knowledge must also be integrated *within* each to ensure that teacher candidates are being prepared to work with diverse populations. Teaching and learning should be viewed from different perspectives using what Banks (1996) described as *content integration*—“the extent to which teachers use examples and content from a variety of cultures and groups to illustrate key concepts, generalizations, and theories in their subject area or discipline.” (p. 337) Unfortunately, Sheets (2003) noted that there are not enough professors who can prepare teachers to succeed in diverse settings (p. 111). For example, some faculty members have the “same” syndrome, which is “all children are the same so therefore, they all learn the same;” therefore, there is no need to talk about differences. Others may just dedicate one day to discuss diversity including the reading of a textbook chapter on multiculturalism. Still some faculty may just talk about people of color on a specific holiday or celebrations of a particular ethnic group (Cruz, 1999). Lastly, others just keep silent because they do not know what to say or do. Many researchers note that when any of these scenarios occur, university students often feel that their teacher preparation program has not been effective in preparing them for the education of diverse student populations (Brindley & Laframboise, 2002; Neuharth-Prichett et al., 2000; Sawyer, 2000).

Teacher education faculty members are obligated to help teacher candidates find a way to understand and embrace differences in order to assure the success of their protégés. However, to prepare teacher candidates to work with diverse populations, teacher educators must have the knowledge and willingness to make this a reality. For instance, Gallavan, Troutman, and Jones (2001) found reluctance from faculty to attend a required two-day multicultural education workshop designed to “motivate and inform them [faculty] about valuing cultural diversity ... by raising their level of cultural consciousness and provide various strategies for infusing cultural responsive and responsible pedagogy” (p. 13).

There are different ways to help faculty increase their knowledge of cultural and linguistic diversity. For instance, examining the institution’s diversity core values can help delineate a set of standards that must be met throughout the courses. Once the diversity standards have been identified, then a core list can be integrated throughout the teacher preparation courses. In addition, monthly faculty development sessions where experts in the field present and interact with faculty can also be of great assistance to help implement diversity standards.

Embrace Guiding Principles for Undergraduate Education

In order to provide teacher educators a scholarly approach to teaching, faculty development sessions should be augmented with the Seven Principles for Undergraduate Education (Chickering & Gamson, 1999). In essence, Chickering and Gamson’s principles guide teacher educators to establish contact with students, develop reciprocity and cooperation among students, encourage active learning, give prompt feedback, emphasize time on task, communicate high expectations, and respect diverse student talents and ways of learning. These principles increase understanding regarding diversity issues and best practices in order to support teacher candidates’ learning. In addition, these principles mediate epistemological disconnects between theory and practice by situating learning in a

constructivist environment that can be emulated by teacher candidates. The importance of university faculty modeling best practices and embracing diversity throughout the teacher preparation program cannot be underestimated (Flores, et al., 2004; Tatto, 1998; Vélez-Salas, et al., 2005). Further, as teacher educators, we are accountable to our constituents and are bound to the ethical principles of the profession.

Contextualize Faculty Development

Faculty development sessions should be interactive and provide opportunity for continuous professional growth. The North Central Regional Educational Laboratory (NCREDL) has developed a research-based professional development model for effective teaching that promotes individual reflection and group inquiry. This model includes five phases of professional development that provide an effective structure to ensure critical analysis of teaching practices: (a) Building a Knowledge Base, (b) Observing Models and Examples, (c) Reflecting on Your Practice, (d) Changing Your Practice, and (e) Gaining and Sharing Expertise.

While the NCREDL model provides an abstract process for faculty enhancement, these efforts will be more significant when situated within a specific program or discipline. For instance, faculty must be mindful of teacher candidates' acquisition of the requisite knowledge base and application of best practice theory. Shulman (1987) identified this knowledge base as content, general pedagogical, curriculum, pedagogical content knowledge, knowledge of learners and their characteristics, knowledge of education contexts, and knowledge of educational ends, purposes, and values. Likewise, Saracho and Spodek (1995) indicated that good teacher preparation programs must provide students with foundational knowledge, instructional knowledge and practical knowledge. Similarly, Flores, Clark, and Villarreal (2004) further delineated the core knowledge for developing the necessary attributes to become a culturally efficacious teacher: content knowledge, socio-cultural knowledge, heuristic/experiential knowledge, pedagogical knowledge, personal knowledge, and theoretical and historical knowledge.

An effective teacher preparation program is more than the acquisition of a knowledge base. In the most effective programs, faculty members align their epistemological beliefs with their classroom instruction. These beliefs include faculty beliefs about how learners acquire knowledge, especially how knowledge is acquired in their particular discipline (Weinstein, 2001). Often teacher educators approach teaching from a discipline-based perspective similar to how they were taught and model these practices in their classes (Kaufman, 1997). Their beliefs of how teacher candidates acquire knowledge are also associated with their beliefs about children's learning.

Challenge through Reflective Discourse

As teacher educators our role is to assist teacher candidates through their professional development and challenge their naïve epistemological beliefs. It is imperative that faculty members engage in critical reflection, inquiry, and dialogue with other faculty to enhance all of our effectiveness as teachers. Reflective discourse is essential to educational transformation. Freire (2001) argues that authentic "knowledge emerges only through invention and re-invention, through the restless, impatient, continuing, hopeful inquiry human beings pursue in the world, with the world, and with each other" (p. 72). Without reflection and dialogue, we fail to change existing practices. This can be accomplished through the creation of faculty learning communities in which faculty engage in critical readings and reflective discourse about issues related to the teacher preparation program.

Summary

Student learning is a fundamental mission of higher education. Therefore, it is imperative that colleges and universities provide a plan for faculty development that encourages and supports initiative, innovation, and productivity that contribute to the goal of student learning (Pendleton, 2002). Toward this end, faculty development efforts must attend to epistemological disconnects inherent to teacher preparation and classroom practice. In addition, all faculty members must possess a fundamental understanding of ethical practice both in their own university settings and beyond to the broader community. We argue the responsibility of higher education to ethical reasoning and effective practice does not end with graduation. Rather, a critical model of faculty development situates university teaching and learning in the realities of practice. Not only does this improve student learning, critical faculty development has the potential to erase theory-to-practice disconnects—an ethical dilemma that abounds in teacher education.

However, while individual faculty members may want to encourage authentic learning through an ethical and connected pedagogy, this cannot happen without policy changes at the institutional level. Developing policies for the development and adoption of ethical standards that incorporate diversity core values at the university level is highly needed. Change cannot occur in a program where the whole organization does not invite the inclusion of diversity. In addition, examination of existing courses ensures that best practices and diversity are well represented. Effective faculty development will help promote a culture of transformative change that is needed to effectively impact students learning.

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Julius Rosenwald: Building Partnerships for American Education

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Abstract

Julius Rosenwald (1862–1932) made enormous contributions to African American education, rural education, and many aspects of American life. Even so, he remains a little known figure to many. To a large extent, his impact was the result of an ability to build and maintain effective partnerships. This brief history summarizes Rosenwald’s thoughts on philanthropy and it reviews some of his major contributions to American life. However, it focuses on the social, cultural, and economic circumstances that influenced Rosenwald’s development.

Julius Rosenwald grew to maturity during the period following the American Civil War. In fact, he was born in Lincoln’s home town during Lincoln’s presidency. It was an era charged with emotion. Debates about social justice, freedom, and individual rights and opportunities were the order of the day. The social, cultural, economic, and political milieu of his era resulted in the development of strong beliefs and values on Rosenwald’s part as they did for many of his contemporaries. Rosenwald, however, accumulated enormous wealth, which enabled him to transform many of those beliefs and values into actions benefiting many he regarded to be in need. This paper includes a description of the development of Julius Rosenwald as a true philanthropist and summarizes some of his contributions to American life.

Family Influences

Julius Rosenwald was born August 12, 1862, in Springfield, IL, to Samuel and Augusta Rosenwald, German-Jewish immigrants. Samuel Rosenwald was a merchant who was born in Bünde, Prussia, Germany, in 1828 and, following his schooling, was engaged in the clothing business. In 1854 he immigrated to the United States. He settled in Baltimore, MD, and worked as a traveling salesperson or, as recorded in the 1881 History of Sangamon County, Illinois, “peddled with a pack” (1881) and later, with a horse and wagon between Baltimore and Winchester, VA. In 1856 he married Miss Augusta Hammerslaugh. A search of the Baltimore City Directory reveals that her father, Lewis Hammerslaugh, operated a dry goods store at 155 Lexington Street in Baltimore in the 1850s and 1860s (Matchett’s Baltimore Director for 1855–56, 1856).

Samuel Rosenwald soon contracted with Lewis Hammerslaugh to operate a store in Peoria, IL. According to records in Sangamon County, IL, Rosenwald bought out Hammerslaugh within six months and continued to operate the clothing store in Peoria until 1860. The Rosenwald family then moved to Talladega, AL, for a brief period. They eventually settled in Springfield, IL, where Samuel Rosenwald contracted with the Hammerslaugh Brothers to operate a clothing store on the west side of the town square. The business, which sold large numbers of uniforms to Union troops during the Civil War, remained in operation until the 1880s.

The town square in Springfield was a busy and important place. In 1837 Springfield became the Illinois state capital, and the capital building dominated the square. In addition, Abraham Lincoln’s law office, first with Stephen T. Logan, and then in turn with William Herndon, was on the west side of the

square from 1843 until 1865. According to Roberts (2005), the Rosenwald home in Springfield was across the street from the Lincoln home. Both were within walking distance of the square.

Roberts (2005) stated that Julius, Samuel's son, was an ambitious youth, "attending to customers in his father's clothing business, carrying luggage for travelers, and pumping the organ at a local church" (Historic Roots Section ¶1). Julius also was reported to have worked at the age of 12 selling a souvenir pamphlet titled "The Illustrated Description of the Lincoln Monument" at the dedication of the monument to Lincoln in Springfield in 1874 (Werner, p. 9 as cited in Roberts, 2005).

Rosenwald the Businessman

At the age of 17, Julius Rosenwald went to New York to apprentice with Hammerslaugh Brothers (his mother's family business), a wholesale clothier operated by his uncle, Edward Hammerslaugh. While in New York, he established a friendship and roomed with Henry Goldman, who would later become a partner in Goldman, Sachs and Company, investment bankers. Soon afterward, Rosenwald and his cousin, Julius Weil, formed a small company to make lightweight men's "summer suits." The business was a success, and they relocated to Chicago in 1885. In 1894, Rosenwald left Rosenwald and Weil and formed a new company, Rosenwald and Company, making inexpensive men's suits.

At about the same time, Richard Sears moved his small mail order company, which originally specialized in watches, from Minneapolis to Chicago. Sears shared the company with Alva Roebuck, a former watch repairman. Sears had a talent for marketing but was not as effective in completing orders. In fact, Ascoli (2003) reported that it was common practice during the early days of the firm's existence to take large orders without having the inventory at hand. When Sears received overwhelming orders for men's suits in response to advertisements in his catalog, he sought out Rosenwald and Company and commissioned 1,000 suits (Ascoli, 2003).

Mr. Roebuck may have thought that conducting business that way was too risky. In any event, he left the company. In looking for a new partner, Sears contacted Aaron Newsbaum. Newsbaum was an inventor who had made a great deal of money at the 1893 Chicago World's Fair and had recently become known in the pneumatic tube business. Sears offered Newsbaum one-half of Sears and Roebuck for \$75,000. Newsbaum did not want to enter the venture alone and contacted his brother-in-law, Julius Rosenwald. The two became partners in the fledgling firm, Sears and Roebuck (Ascoli, 2003).

While Sears excelled in marketing, Rosenwald excelled as a manager and organizer. He soon turned the mail-order operation into an efficient and effective organization. He even planned and built a new plant in 1905. The firm became the leading mail-order company in the world. There can be little doubt that its success was due to the popularity of the Sears Catalog, which Richard Sears developed. It could also be attributed to Rosenwald's organizational abilities and the beginning of Rural Free Delivery, which the United States Post Office initiated in 1902. In 1901 Rosenwald bought out his brother-in-law, Newsbaum. Seven years later, in 1908, Sears left the company he had founded. Julius Rosenwald became the chief executive officer, and he eventually became chairman of the board. Rosenwald's wealth increased until he was a multi-millionaire. Rosenwald wrote in an article titled, "*The Burden of Wealth*," which appeared in the *Saturday Evening Post*, "Fortune smiled on me in a big way and no one was more surprised than I was myself" (Rosenwald & Tobenking, 1929, p. 12).

Personal Influences

Julius Rosenwald was generous and compassionate. A number of individuals influenced his conception of social justice, which led to his philanthropy. Rosenwald spent the first 17 years of his life in a small town where he had the opportunity to witness the dedication and work ethic that his father,

Samuel, demonstrated. In Springfield, he also learned of the history and tradition of both sides of the family in the clothing industry. The family tradition included the Hammerslaugh family (his mother's family) and his paternal grandfather, Buedix Rosenwald, who died in 1840 in Prussia and who was also a merchant.

Another factor that influenced Rosenwald was the model and message presented by his Rabbi, Emil Hirsch. Hirsch led Chicago's Sinai Congregation from 1880 until his death in 1923, and he emphasized the responsibility of those with means to assist those without means. His teaching, combined with the traditional "tzedakah," which is a word most often used to mean charity but, according to Karesh and Hurvitz (2006), "literally means an act of righteousness or justice" (p. 529). Hirsch was among many to interpret this as "a commandment to act in ways that make the world a fairer place, or to do *tzedakah*. Thus, *tzedakah* is not selfless giving, but commanded righteousness" (Karesh & Hurvitz, p. 529).

Tzedakah is a central tenant of Judaism and influenced Rosenwald's beliefs and actions significantly. The highest level of tzedakah suggests anonymous giving, which enables others to become self sufficient; however, Rosenwald expressed that the giver should be known in order to inspire others to give as well. Even so, Rosenwald took steps to ensure that his gifts were not mere memorials to himself.

Still another influence Rosenwald described as having a tremendous impact on his beliefs and actions was the receipt and subsequent reading of two books. The books were from a friend in New York, Paul Sachs, then partner with Henry Goldman in the firm of Goldman, Sachs, and Company. The books were *Up from Slavery*, the autobiography of Booker T. Washington (1901), and *An American Citizen: The Life of William H. Baldwin Jr.*, by John Graham Brooks (1910). The reading of both of these books had profound effects on Rosenwald.

Booker T. Washington was the eminent educator and advocate for African Americans who founded The Tuskegee Institute in Alabama, which was providing educators for many private schools for African Americans. Rosenwald experienced some degree of discrimination as a member of the Jewish community and no doubt observed blatant discrimination of Whites toward African Americans. He was also committed to social justice and to assisting those in need. Booker T. Washington had been born a slave just before the Civil War and had lifted himself up, with the help of many, to a position of influence. He used that position, however, to help provide a better future for others. Washington's selflessness and his expression of hopefulness and the rewarding of merit were consistent with Rosenwald's personal beliefs. Toward the end of his book, Washington (1901) wrote, "there was never a time when I felt more hopeful for the race than I do at the present. The great human law that in the end recognizes and rewards merit is everlasting and universal" (p. 318).

William Baldwin knew Booker T. Washington through his service on the Tuskegee Board, which Baldwin joined in 1894. He was a railroad man and was head of the Long Island Railway and the Southern Railway. Baldwin was also head of the General Education Board (GEB), which John D. Rockefeller established in 1903. The GEB had the improvement of education in the United States as its objective and proposed to do so "without distinction of race, sex, or creed" (Rockefeller Archive Center, n. d., Organizational History Section, ¶1). Rosenwald, who did not graduate from high school, valued education and often expressed admiration for individuals who had been able to receive a formal education. Baldwin was a graduate of Harvard. In addition, Baldwin was involved in many efforts to improve conditions for African Americans. Baldwin's philanthropy and the openness of the GEB toward assisting those in need also appealed to Rosenwald's sense of tzedakah.

After reading *Up from Slavery* and *An American Citizen: The Life of William H. Baldwin Jr.*, Rosenwald wrote to his daughters, Adell and Edith, who were attending school in Germany. He wrote, "I just finished *An American Citizen*, and it is glorious. A story of a man who really lead a life which is to

my liking and whom I shall endeavor to imitate or follow as nearly as I can” (Rosenwald as cited in Ascoli, 2003, ¶3). Rosenwald valued education and seemed to regret his failure to complete high school and attend college. These feelings were evident in the next lines of his letter to his daughters “[Baldwin and I] have a great many views in common. But he, being college bred and much of a student, had powers of analysis of which I lack” (Rosenwald as cited in Ascoli, 2003, ¶3).

Julius Rosenwald was an industrious, charitable person who matured in the politically charged home town of Abraham Lincoln immediately following the Civil War. Rosenwald was a person for whom social justice and education were very important. Because he was Jewish, he had both observed and experienced discrimination against Jews. He had become a person of means with the belief that having means brought a responsibility to help those in need. These factors all came together with an opportunity that began a new chapter in Rosenwald’s life. This later phase of his life resulted in many significant experiences that have touched, and that continue to touch, millions of American citizens.

Rosenwald, the YMCA, and a Chance Meeting

In 1905 Rosenwald had a new plant built for Sears and Roebuck. The plant included many new conveniences including conveyor belts and escalators. Rosenwald’s intent was to streamline processing of mail orders, which was 100% of Sears and Roebuck’s business at the time. He also wanted to have excellent working conditions for his employees. Rosenwald’s concern for employees’ working conditions was revealed by Peter Ascoli through a story about Rosenwald as CEO of Sears and Roebuck. Rosenwald’s colleagues purchased a Persian rug for his office, thinking that the office was too plain to be the office of the CEO of a major firm. After several weeks of seeing it still rolled up and standing in the corner, they asked him about the rug. Rosenwald asked them to return it, stating that his employees did not have Persian rugs to work on, and he did not need one either (Ascoli, 2004).

His concern for employees also led him to conversations with local YMCA officials. Rosenwald had supported the YMCA near his home but also asked to have one built near the new Sears and Roebuck plant so that his workers could have access to recreational facilities. Shortly after their conversations, Rosenwald hosted a lunch meeting with some of the leaders of the area YMCA organization. With them came Jesse Moreland, an African American who was with the International Division of the YMCA. During the meeting, Rosenwald was asked to assist in funding a YMCA for African Americans in Chicago that would be part recreational facility and part lodging. The need was great as there were no fitness or recreational facilities that would accept African Americans, not even existing YMCAs. There were also few hotels for African Americans who were coming to Chicago to find work. Rosenwald listened and then astonished his guests by offering to donate \$25,000 to any YMCA in the United States that could raise \$75,000 on its own. With that offer, the concept of the challenge grant was born. According to Ascoli, the room became silent leaving it to Rosenwald to break the silence by saying, “Well, I guess you can’t build more than one a month, but I hope you can” (Ascoli, 2003). As a result of this innovative donation program, 25 YMCAs and 2 YWCAs were built between 1913 and 1933 in Chicago (Ascoli, 2003). All of those facilities were for African Americans. The first one completed was the Wabash Avenue YMCA on 37th Street, which eventually became the birthplace of the Harlem Globetrotters (Siegel, 2001). The dignitaries invited to participate in the opening of that YMCA included Booker T. Washington.

When Rosenwald spoke at the opening of the YMCA he paraphrased Lincoln’s Gettysburg Address. He said, “We should here dedicate more than this building. We should dedicate ourselves to the unfinished work, to the great task before us of removing race hatred of which unfortunately so much exists and of bringing about a universal acceptance that it is the individual and not the race that counts” (Rosenwald as cited in Ascoli, 2003, ¶3).

Rosenwald and Booker T. Washington met several times during Washington's visit to Chicago. Being an excellent fundraiser, Washington asked Rosenwald if he would like to serve on the board of The Tuskegee Institute. After a carefully planned trip with Rabbi Hirsch and others from Chicago through Nashville, TN, where they visited the campuses of Fisk University, Vanderbilt University, and Meharry Medical School, Rosenwald and his party arrived at Tuskegee Institute. Rosenwald was impressed with the campus and the programs he found in place and agreed to become a member of the board.

Schools for African Americans

Julius Rosenwald celebrated his 50th birthday in 1912 by donating \$687,500 to various causes. Of that amount, \$25,000 went directly to Tuskegee for the construction of private schools for African American students. Many of those students later attended the Tuskegee Institute and became teachers. Washington had another construction project in mind. He wanted to facilitate and provide impetus for the establishment of additional *public schools* for African Americans. Washington asked Julius Rosenwald to set aside \$2,500 for that project. Rosenwald agreed but with the stipulation that the community in which the school was to be located raise funds as well and/or provide "sweat equity" and materials for the schools. The first six schools funded by this program were built in Alabama. According to Smith (1950),

While all of these six experimental schools were completed in the spring of 1914, the Loachapoka School in Lee County, Alabama, happened to be the "First Rosenwald School." It was a one-teacher frame building costing \$942. Of this amount the Negroes raised in pennies, dimes, and dollars \$150 to buy two acres of land required for the site and gave \$132 in labor. Their White friends gave \$360 and Mr. Rosenwald contributed \$300. (p. 64)

By 1915, African American communities in three states had established more than 80 public schools. These events marked the beginning of Rosenwald's participation in providing schools for African American students.

According to Ascoli (2003) Rosenwald began receiving complaints early in 1919 that some schools built through the Tuskegee Institute with Rosenwald's funds were poorly built. Hoffschwelle (1998) wrote that one of the problems with schools built by the Tuskegee initiative was that some White builders and educators did not participate comfortably in a program that was operated by African Americans. Because Rosenwald was concerned about the financial records and the lack of Tuskegee personnel's supervision of the actual construction of the facilities, he hired Fletcher B. Dresslar of Peabody College in Nashville, TN, to inspect the schools. The staff of Peabody College had already been involved with the General Education Board's efforts to provide schools in the southern states through the Peabody Education Fund and the Anna T. Jeanes Foundation. Dresslar inspected a number of schools and, sadly, confirmed the charges. He concluded that many schools were poorly built. He also concluded that little or no on-site supervision had been provided by the staff of the Tuskegee Institute (Hoffschwelle, 1998).

The Rosenwald Fund

A difficult task now faced Rosenwald who, as a businessman first, was intent that the job be done correctly. Booker T. Washington had died in 1915, and his successors apparently had not maintained the program as intended. Rosenwald informed Mrs. Washington, Mr. Washington's son, and Dr. Robert R. Moton, the new president of the Tuskegee Institute, that the program would be placed under the direct supervision of Rosenwald's recently formed foundation. Furthermore, Julius

Rosenwald had employed Samuel L. Smith, formerly Superintendent of Negro Education for the State of Tennessee, to direct his foundation's school building program. The Southern Office of the Rosenwald Fund was set up in Nashville, TN. Needless to say, members of the staff of the Tuskegee Institute were not initially pleased. They even hinted of racism, as S. L. Smith was a White man. However, Dresslar's report to Julius Rosenwald indicated the need for having a White man in charge of oversight because many White construction workers and educators would not accept direction from African American project supervisors.

Smith used the excellent plans that had been developed by personnel at Tuskegee and revised them. Schools were built according to strict specifications. The revisions included plans for one-room schools, two-room schools, and schools with up to twelve classrooms as well as teachers' houses, wood shops for boys, and home economics areas for girls. The new plans had special emphasis on "properly enclosed foundations, functional floor plans, adequate lighting, and sanitary facilities" (Hoffschwelle, 1998, p. 69). These steps eased the hurt initially felt by the Tuskegee personnel. Additionally, they were consistent with Booker T. Washington's goal that schools be efficient, that students learn skills that could be used immediately, and that students learn skills that could "lift them up" from poverty. True to his agreement with Booker T. Washington, Rosenwald provided only partial funding. He required that the community, African American and White citizens, contribute the remainder of the funds. The schools became centers not only of education but also of community pride. Julius Rosenwald's measures also appeased those White community members who feared that African Americans would move to cities in search of jobs, thus weakening the local labor force. Rosenwald's objective was to improve education and race relations simultaneously (Hoffschwelle, 1998).

Schools built during the beginning of the twentieth century had large windows in order to maximize the use of sunlight and provide maximum ventilation during an era in which electricity was not available to many communities. Specific wall colors improved lighting and minimized glare. Movable partitions between large classroom areas enabled the use of the schools for large gatherings. Centrally located heaters provided efficient heat. Many schools included small stages or rooms with special access for community use. Privies addressed health and hygiene concerns, and school grounds were large enough for many activities. In fact, a minimum requirement of two acres for each school allowed space for teaching gardens and playground space. In addition to the many features of the buildings, a major change brought by Rosenwald Fund oversight was that the funds were not delivered until the school had been inspected, and it was certified that the construction was according to plan and that the facility was soundly built (Hoffschwelle, n.d.).

The programs that Julius Rosenwald sponsored provided better schools for African American students. They also helped school systems document that they were addressing the requirements of "separate but equal" facilities, which were required by a recent court decision (*Plessy v. Ferguson*, 1896). Reed (2004) wrote, "The *Plessy v. Ferguson* decision barred blacks in Brevard [NC], as well as in other communities, from equal educational opportunities ... the Rosenwald experiment opened an alternative avenue of acquiring a formal education for several decades" (p. 32).

Rosenwald did not allow his name to be attached to schools. Instead, he required that each school take the name of the community in which it was built. The schools, however, were immediately, and are still today, referred to as "Rosenwald Schools." The Rosenwald Fund school project was no small project. The breadth of the program was revealed in a document published by the Rosenwald Schools Initiative (2002) of the National Trust for Historic Preservation:

By 1928, one in every five rural schools for black students in the South was a Rosenwald school, and these schools housed one third of the region's rural black schoolchildren and teachers. At the program's conclusion in 1932, it had produced 4,977 new schools, 217 teachers' homes, and

163 shop buildings, constructed at a total cost of \$28,408,520 to serve 663,615 students in 883 counties of 15 states. (The Rosenwald Rural School Building Program Section, ¶1)

During the period from 1913 to 1932, Rosenwald contributed \$4.4 million dollars to the building program. However, he was quick to point out that African American communities raised or contributed \$4.7 million during the same period. A large number of Rosenwald schools remained in operation until desegregation began. Since many were no longer used, they were eventually destroyed. Those remaining today are in use as community centers, museums, and, in a few cases, as private homes. Restoration efforts are underway in many states. As a result, a good number of the schools are being saved. The restoration of these important facilities received national attention and much needed support when, in 2002, the National Trust for Historic Preservation declared Rosenwald Schools among the “America’s Eleven Most Endangered Historic Places” (National Trust for Historic Preservation, 2006).

The “Last” Rosenwald School

The Eleanor Roosevelt Rosenwald School in Warm Springs, GA, was the “last” Rosenwald School. It was dedicated on March 18, 1937, by President and Mrs. Roosevelt. Roosevelt had been involved in the Warm Springs, GA, project since 1929, when he was governor of New York. He and Mrs. Roosevelt worked to see the process through even though the Rosenwald school building program officially ended in 1932. Smith (1950) described the effect Roosevelt’s involvement in the project had on future policies:

The project furnished him a background basis for his later decisions in allocating finally about a billion dollars in federal monies toward the building of more than two billion dollars worth of educational buildings in the United States from 1935 to 1940 — an average of \$65 increase in school plant facilities for every child of school age in the nation. (p 84)

In that way, the *last* Rosenwald school became the *first* of many schools that would serve countless children and communities throughout the United States.

Rosenwald on Philanthropy

Rosenwald set up his school building fund so that it would be terminated 25 years after his death. He stated “the fortunes which men have made in this day and age should be employed by them in the support of such educational, benevolent or humanitarian enterprises as will benefit their contemporaries—them and their children, no more” (Rosenwald, 1929, p. 12). Fearing that foundations set up in perpetuity would discourage philanthropy in the future, he placed limits on ways funds could be used.

Other Contributions to American Life

Julius Rosenwald’s partnerships resulted in the establishment of the YMCAs for African Americans in Chicago and the 5,000 plus schools and other facilities in fifteen states. Those initiatives are overwhelming by themselves. However, Rosenwald engaged in many other important and rewarding projects. He created the Michigan Avenue Garden Apartments, which were the first public housing for African Americans in Chicago. He brought together Jewish communities on the brink of chaos by founding the Jewish Federation of Chicago. He founded and funded the development of the Chicago Museum of Science and Industry. In addition, he provided scholarships through the *Rosenwald Fellows Program* for talented African Americans. Recipients included diplomat Ralph Bunche; writers

Langston Hughes, W.E.B. DuBois, Zora Neale Hurston and Ralph Ellison (who wrote *The Invisible Man* while on a Rosenwald fellowship); opera star Marian Anderson; sculptor Augusta Savage; dancer Catherine Dunham; historian John Hope Franklin; and artist Jacob Lawrence.

A Special Moment

The National Trust for Historic Preservation sponsors conferences and events to raise awareness of and interest in saving Rosenwald Schools. As a result, progress has been made. The Rosenwald Archive is maintained at Fisk University in Nashville, TN. In 2004 the National Trust sponsored a conference at Fisk University at which Peter Ascoli and Alice Rosenwald, grandchildren of Julius Rosenwald, made presentations. The conference included a trip to two restored Rosenwald schools in Middle Tennessee. The visit was Alice Rosenwald's first visit to an actual Rosenwald school. She expressed pleasure at the feeling of community pride that was demonstrated by the community members hosting the visit and she both enjoyed and appreciated the well maintained pastoral settings of the schools.

The first school visited was a one-room school with a small community room. The school now serves as a community center. Upon entering the building, Alice Rosenwald saw a large portrait of Abraham Lincoln above the pocket doors that opened to the community room. When she turned around, however, she saw a similarly sized portrait of Julius Rosenwald still hanging opposite Lincoln's over the door she had just entered. It was a fitting tribute.

A Life Well Lived

The events in the life of Julius Rosenwald came together in a masterful combination of person, time, and place. Rosenwald was influenced by his times and was inspired by a variety of individuals and experiences throughout his life. He demonstrated a willingness to accept both opportunities and responsibilities. He demonstrated respect for the dignity of all people. He developed partnerships through which all partners benefited.

Julius Rosenwald lived in ways that touched, and continue to touch, millions of American citizens. His impact is multiplied every time one person reaches out to understand or help another. Julius Rosenwald lived during a time in which people were in great need of social justice. We, too, live in such a time. Hopefully, the sharing of this fragment of the life and works of Julius Rosenwald will encourage and empower others to create partnerships that will benefit all people.

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