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The Learning Curve: New Faculty Members' First Year in Retrospect Perspectives and Expectations of Students, Parents, and Teachers in Transition Planning: Are We on the Same Page?

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Abstract: The perspectives and expectations of various stakeholders involved transition planning for students with intellectual disabilities were analyzed. Twenty students with moderate or severe disabilities between the ages of 16-22, their parents, and teachers were surveyed and interviewed to determine any consistencies and discrepancies in the students' abilities and educational needs. Beginning at age 16, Individualized Education Plans must include a Transition Plan that identifies and addresses a student's educational needs for transitioning into adulthood. Students with intellectual disabilities typically have more comprehensive needs in non-academic areas such as community living, vocational skills, and social skills. Because students may exhibit different skills and behaviors in the school or community setting than they do at home, it is conceivable that the perspectives and expectations of parents may be very different from those of teachers and the students themselves. This variance in viewpoints can make it difficult for teams to develop cohesive transition plans that accurately address the student's abilities, potential, and goals. The purpose of this study was to analyze any major differences in perspectives of stakeholders, and if differences were reported

more often in specific areas. All participants responded to a survey of the students' skills, interests, and long-term expectations within multiple environments. Open-ended interviews were also conducted of parents and teachers to reflect and discuss their rationale as it relates to their individual student. Outcomes of the study should indicate whether there are significant differences in expectations among participants, and how to address divergent viewpoints when making transition plans.

No More Textbooks: Changing How We Structure Classes

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Dr. Burgraff is a tenured associate professor from Ohio University. She holds a doctorate in educational administration/leadership from West Virginia University, a master's degree in adult education from Marshall University, and a master's degree in counseling from Eastern Kentucky University. She has spent her entire career as an educator, both as a teacher and an administrator. This has given her a unique perspective on both sides of the educational spectrum. Her research has centered on both leadership and the practical application of knowledge. Both of these interests grew out of her work as a W.K. Kellogg Foundation National Leadership Fellow.

Abstract: The standard in higher education classrooms is the use of a textbook. We all know the textbook. It is the way too heavy item the college student cannot wait to sell back to the bookstore at the end of the semester. Its costs have skyrocketed to the point that many state legislatures are passing laws that faculty verify they know the cost of the book. Indeed, textbooks are big business for many companies. What if we, who teach, change the rules? Instead of relying on a textbook, what if we chose books related to the topic that almost anyone would want in a personal library? Certainly, it would mean more work. No longer could we structure our classes around a textbook. Instead, we would use our creative abilities to teach about our topics and find relevant books that enhance the topic and create excitement in our students. Dee Fink in his book, *Creating Significant Learning Experiences*, encourages teachers to think in terms of what students will remember from classes two years later when designing a course. That cumbersome textbook does not do that. An interesting book that everyone is reading just might do that. I have banned textbooks from my classes. Instead, I use bestselling books by authors like Lencioni, Clifton, De Pree, etc. By doing this I create an excitement about the subject matter that a normal textbook rarely can do. This presentation will talk about how this method of teaching brings innovation and excitement to the classroom.

The Perceived Effectiveness of Service-Learning in a Blended Online Classroom

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Abstract: Service-learning benefits students' learning outcomes, critical thinking skills, student empathy, personal and interpersonal development, cultural awareness, and the motivation to study. The increasing trend of distance education creates several questions: Can an online service-learning experience deliver the same benefits to students as a traditional "brick-and-mortar" classroom can? With a greater emphasis on distance learning, can students benefit from the implementation of service-learning in a blended (combined online and traditional) classroom setting? And, since blended instruction is proven to be equal to or better than traditional learning in student achievement, does service-learning in a blended classroom also offer similar benefits to students?

The purpose of the study was to discuss student perceptions as to whether or not service-learning in a blended graduate class setting enabled them to apply course theory to real-world problems.

The research methodology used was an embedded case study. The study observed the process of students designing service-learning projects and identified the themes that emerged in these observations and in students' post-class responses on The SELEB Scale (Toncar, Reid, Burns, Anderson & Nguyen, 2006) measuring student perceptions of the effectiveness of service-learning in the classroom. The hypothesis of this study (to be completed by December 2013) was: Student perceptions revealed service-learning in a

blended graduate class setting did enable them to apply course theory to real-world problems.

Due to the increasing trends of distance learning, this research is highly significant because it discusses the perceived benefits of including service-learning in a blended course setting.

Connecting with Your Past: Using an Intergenerational Census in Women's Studies

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Abstract: Getting students to connect in a meaningful way with the past is a challenge for any historian. The use of an "Intergenerational Census" in a women in U.S. history course is one way that I have found to be effective at making such a connection. In particular, the census requires students to research the changing role of women in the economy of the course of four generations. They make a personal connection to the past in the process through interviews with women of varying ages. They then analyze trends in the responses of the women and project their own likely responses into the future, based on what they have heard from their interview subjects and learned in class. For several years this project took the form of a series of four written papers. However, this year, in conjunction with a department wide initiative to inspire critical thinking and sharpen student oral communication skills, the project will be slightly amended to include three short papers and an oral poster presentation at a department wide colloquium at the conclusion of the semester. This research will look at the intergenerational census, its objectives, structure, and outcome over the past several years, and discuss its role in critical thinking and how it fits into this new format. As a teaching tool it is a great way to connect with the past and encourage student writing and oral presentation skills while comparing economic theory to the reality of an empirical observation.

Compassion Fatigue: Teachers' Perspectives and Applications

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United States PK-12 public school teachers are facing a myriad of challenges to do their appointed and vital mission of preparing our nation's youth for school success and citizenship. They often embrace the concept of doing for others not taking from them as a philosophical lifestyle (Clifton, 2005). However, this positive philosophy can lead to a number of mental and physical maladies. Teachers are now facing increased numbers of students in their classrooms, often without any aides or assistants. Second, because many of their students' standardized test scores are not as high as other industrialized nations, teachers face the pressure to balance their teaching and criterion-referenced examination with nation-wide instruments (Kauchak & Eggen, 2011). During the past decades, more and more students from widely disparate cultures and ethnicities are now attending our K-12 schools, and teachers have to be prepared for this added challenge. Students with Special Needs are entering our nation's schools in record numbers, and teachers must be prepared to work with those young people with Individual Education Program documents per least restrictive education placements (Vaughn, Bos, & Schumm, 2014).

In addition, the demands on U.S. teachers have several added dimensions. As funding for schools has decreased by national and local-area economic downturns, more and more educators are being asked to add to their workload in two subsets. The first one is they are being asked to write grants to support the cost of instruction. The second one is not financial, but rather research-oriented, because teachers are also being asked to conduct *action research* to complement their instruction, which includes keeping statistics re their students, and then formulating hypotheses about what complementary texts, programs, and/or methods are most efficacious and effective.   It is a safe summation to refute the age-old saying: "If you can't do anything, you can teach." That phrase has always been hideously wrong, but I have one to offer: "If you can teach successfully in this 21st century schools, you can probably do anything."

Research also indicates that after three years of teaching, as many as 40%+ K-12 educators have left the profession (80% after 10) (Boreen, Johnson, Niday, & Potts). The only reason these statistics do not get more attention is that teaching has a built-in reservoir of candidates, both traditional and non-traditional, who continue to attend and prepare for teaching at various high education sites, many with the missionary zeal of their predecessors. Though such idealism is commendable, and because of the challenges teachers face (above), the interventions are set up to help neophyte teachers:

1. Innovative curricula; 2. Higher and public education partnerships to provide classroom assistance; 3. Volunteers to work in after-school tutoring sessions; 4. Pre-service programs; and, 5. In-service programs. Though well intentioned, these efforts are not pervasive with all institutions, colleges or universities, or with the school districts themselves. Meanwhile, teachers find they are working longer hours, dealing with more and more problems chronicled above.   Because of such responsibilities, U.S. teachers face problems associated with their complete involvement with their professional responsibilities (Day &, Gu, 2013).

Compassion Fatigue is a vexing conundrum for teachers, and that term has a medical history, for it was first mentioned as a symptom of what nurses encountered when they became overly-involved with their patients (Joinson, 1992). It was then linked to other professionals who dealt with peoples' serious troubles, both physical and mental, including therapists and hospice workers. One scholar's definition of *Compassion Fatigue* is critically important: "It is a gradual erosion of all the things that keep us connected to others in our caregiver role: empathy, our hope, and of course our compassion—not only for others but also for ourselves (Mathieu, 2012, p. 8). Figley added that *Compassion Fatigue* is a "disorder that affects those (caregivers) who do their work well" (Figley, 1995, p. 5).

Compassion Fatigue has also become a source of study for pre-school, elementary and secondary teachers, including those who specialize in students with at-risk and special education needs, and who often enter their chosen profession because they want to care for and educate young people (Naig, 2011). However, when they take on the many responsibilities they must do for their jobs, and, as well, reach out to their students' many learning and personal challenges, it is to be deduced they find they are caring too much for their students, often with emotional and psychological consequences. This paper maintains "burnout", being over- whelmed and having low job satisfaction, can be remedied with a change of jobs and/or locations. *Compassion Fatigue*, and its complement, *Vicarious Trauma*, are characterized by a "loss of a positive world view" and lack of outreach or feeling(s) for others, and can lead to severe anxiety, depression, and suicide (Mattieu, 2012, pp. 56-57.). Though changing jobs or locations will not ameliorate this syndrome, after the *Review of Related Literature,* this research provides a diagnostic test to ascertain the level(s) of potential *Compassion Fatigue,* and then a series of exercises and activities specifically designed to help those who may suffer from this malady.

<u>Review of Re*lated Literature:*</u>

In order to indicate how *Compassion Fatigue* has become a growing concern for United Stated PK-12 educators, the following Review of Related Literature is an important step in this research. *Compassion Fatigue* (C/F), or *Vicarious Trauma* (VT), is a syndrome that is characterized by diminished caring for patients by nurses in the 1950s

(Joinson, 1992). By their job description, nurses, especially those who work with life and death in their jobs, were the first to be studied. Symptoms included extreme worry about their patients, as well as a loss of a positive attitude, including "hopelessness." However, studies have also shown those same medical caregivers can lose positive feelings about themselves, add resultant worry, anxiety, loss of sleep, nightmares when they do sleep, and eventually produce a growing negative attitude about life in general (Beck, 2011). Because of the urgency of their work, when nurses work in emergency rooms, and especially when they treat young children, these symptoms are often exacerbated (Meadors, et al, 2008). Supervisors of these health care professionals noticed increased and prolonged lack of work in their jobs, but also they had a lessened ability to focus on professional and personal matters, a gradual lack of self-worth, and even thoughts of incompetency Mattieu, 2011). One scholar suggested *Compassion Fatigue* be called "secondary victimization" or "secondary traumatic stress" (Figley, 1995, p. 1).

Nurses often do not want to talk about their work with seriously ill and dying patients. It is estimated between 16 and 85% of health care workers demonstrate symptoms of *Compassion Fatigue*, while other studies indicate hospice workers have at least those figures with their (terminal) responsibilities (Matthier, 2012). Most recently, when family members are pressed into service as long-term care givers, they exhibit signs of stress, worry, anxiety, depression, and, most recently *Compassion Fatigue.* Figley sums up these thoughts: There is a cost of caring. Professionals who listen to (clients) stories of fear, pain, and suffering may feel similar fear, pain, and suffering because they care. ..Those who have enormous capacity for feeling and expressing empathy tend to be more at risk of compassion stress (1995, p.12).

The "bridge" for showing how *Compassion Fatigue* has become associated with educators is the fact that many researchers indicate that personal factors such as caring "too much," overly conscientious, perfectionists, and "self-giving" are likely to suffer from this syndrome. One only has to open the pages of any newspaper, or listen/watch any radio or television program to hear the latest school shooting, classroom disturbance, or any other school-related news to comprehend teachers have become focal points to the ubiquitous *No Child Left Behind* mandate. Reports range from dropout rates, lack of competitiveness of U.S. public schools students vs. any number of comparisons with other countries to know that our educators are under fire. As well, *Compassion Fatigue* escalates from burnout as professionals in various fields escalate their "physical fatigue, emotional exhaustion, and cognitive weariness becomes chronic stress" (Figley, 1995). Further, professionals who suffer from show early signs of *Compassion Fatigue* often do not enjoy consistent help and advice from fellow teachers and/or administrators (Grayson and Alvarez, 2008). It is essential for all teachers, but especially those who show signs of stress leading to *Compassion Fatigue* to secure the

support of teachers and administrators, those people who know them best, and also understand the pressures they all face (Babbage, 2011).

As precursor data for teachers' descent into this malady, one study uses the term "emotional labor," and that workers who continually deal with emotional trauma often hold in their own emotions when dealing with the emotions of their clients/students (Schaubroeck and Jones, 2000). Another study pointed out that professionals who deal with severe emotional problems, whether they be nurses, social workers, or teachers, come into contact with massive amounts of stress, tension, and fatigue (Brotheridge and Grandey, 2002). Moreover, the definitive study by Figley (2002) shows that as all workers, including teachers, lose the capacity to work effectively with their clients/students as they continue to immerse themselves in the emotional depth of the people they serve. In effect, they more these professionals deal with the multiplicity of emotional problems they encounter, they lose the ability to deal effectively with the suffering of others, and, as well, begin to show emotional and mental fatigue themselves.

Because women populate the majority of elementary school teachers, they are primary targets of *Compassion Fatigue* in education. Female K-6 educators show significant examples of of this malady, but studies also show men do not show as much of this syndrome (Naig, 2011). As women who experience *Compassion Fatigue* find out, the impact to their individual and collective psyches spills over into three complementary areas: 1) Their home lives, where there is possible estrangement from their families; 2) The schools that employ them, because there are increased costs for substitute teachers; and 3) The students at respective schools, who face the lack of continuity as their teachers need more released time and/or retire/resign from their positions.

As teachers experience *Compassion Fatig*ue, they often realize they have little or no energy, feel they have lost the skills of interactions that often was one major reason for them becoming teachers, and then find reasons not to want to go to school (a physical manifestation), OR even questioning their effectiveness if they did go (a mental manifestation). Consequently, teachers, if they are not able to find the root causes and possible cures for their *Compassion Fatigue*, suffer from self-loathing by not wanting to help the people with whom they dedicated their lives and futures. It is with this conclusion to this research that now follows some select methods of helping those teachers with *Compassion Fatigue.*

Activities and Exercises to Remedy *Compassion Fatigue a*nd *Vicarious Trauma*:

As serious as *Compassion Fatigue* is now, without help and guidance, two important, negative factors can and will resort: 1) Teachers can increase their *Compassion Fatigue* exponentially, so that they render themselves gradually less effective in their positions; and, 2) They risk joining the many teachers who drop out of teaching completely. This paper has thus far detailed how *Compassion Fatigue* has been researched and chronicled

from medical professional to U.S. classroom teachers. However, following, are a series of exercises I want to describe and explain, AND then suggest how these activities might be used by teachers who want to alleviate this festering and pervasive malady:

I.   The first part of the plan is to recognize several positive elements that are championed by therapists, supervisors, and counselors, ones that have been document and proven to be excellent "philosophical touchstones" (Smith, 2012):

   A. **Resiliency.** One of the germane reasons many candidates enter the teaching profession is a "missionary zeal" that they can "save the world," though many do not want to admit to this "ameliorated 'worldview" of "compassion" for others. It is conceivable this positive reason for entering the field of education may actually be a resultant, negative factor inherent in *Compassion Fatigue*. Many teachers admit the various elements of the "hidden curriculum," which can involve coming to school early, working on break and lunch hours, multi-tasking during planning periods (if they are granted), participating in after school activities, as well as learning about the myriad of personal and family problems of their students, *begins the* cycle of negative *Compassion Fatigue*. This "mini-list" does not include the administrative-led duties of grant writing, action research, Individual Education Plan participation, and *Response to Intervention* efforts. As well, because of the need to supplement their pay, which often is abysmally low, teachers will fill their summers with graduate work or summer school teaching. The common denominator in all these duties, responsibilities, and efforts is a strict regimen of using every minute to work and be accountable (to the state, district, and, most of all, the students). What is missing is "RESILIENCY"! The former list is a binding method of introducing *Compassion Fatigue* into the teachers' lives—some of which comes from the job itself, but some of it from the teachers who take little to no time off for themselves. One researcher noted: By taking resiliency into consideration, the focus has shifted from a negative outcome (e.g. professional burnout and compassion fatigue to a positive outcome (e.g. coping strategies and job fulfillment) that builds on strength (Rothschild, 2006).

   B. **Reassessing and Planning.**

<u>Specific Exercises/Activities:</u>

1. The first activity I suggest to be used is a "Celebration of Personal Efficiency" (COPE).   21st century educators are not going to face a lessening of responsibilities, challenges, and responsibilities (noted in this article's preface). As a matter of fact, it is likely that even more duties and actions will be required of teachers. It is also a fact that current and future classroom personnel will continue to worry about their students, and identify even more with the various situations they (the students) must deal with in personal, familial, and societal problems rules, regulations, and constructions. Because these pressures, the first intervention I suggest is for teachers to work on a 2-pronged coping mechanism:

   a. The first part of "COPE" is for educators to keep a daily journal, one that is to be keep and written for 15 minutes daily. During that time span, I suggest teachers note in any method, from Standard English sentences, to bullet points, or even notes two columns:

      i. Information the teachers have learned/heard from their students, including any/all of their stories, recounting, and/or experiences.

      ii. Just as important as chronicling the various trials and tribulations of their students, it is critically important to list the various personal and/or professional problems and issues the teachers themselves have lived.

   b. However, the second part of "COPE" is the cathartic part:

      i. Looking back at the list of what problems their students have undergone, and in a different-colored pen/pencil, note at least one answer or solution that has at least temporarily made one of those situations better (or at least ameliorate). These entries are to be made once a week, but the amount and variety of entries is open to the teachers' discretion.

      ii. The second part of this (cathartic) part of "COPE" is a letter the teachers are to write to themselves. Here are the subjects they are to "note," which means that Standard English

sentences would be preferred, but any style may be used, including lists or bullet points:

1. Begin with a list of the positive influences, gains, or any other positive elements the teacher has seen, felt, and/or experienced.
2. Second, make a quick list of the "next gains" that could be effaced. That is to say, instead of focusing on what has gone wrong (or could go wrong), this letter is to celebrate the possible gains that could be measured. It is incredibly important to see and predict what has "gone right," as well as what could do so, if the teachers approach their subjects with positivism.

2. Though the first intervention, the writing and chronicling of the problems teachers find in their students' lives, as well as the creation of the "COPE epistles are important, the second one is more a spiritual approach to dealing with and solving is gaining help from "out-of-body" experiences, and I suggest 2 of them:

a. The first one is religious in nature. I do not want to suggest a particular religion, let alone a denomination. However, I will use my own prescription from the perspective of my own Lutheran Church (Missouri Synod) orientation. There are two "helps" I have found important:

i. Prayer does not have to be done only at night, and only when it is bed time. Teachers do not have to tell or inform their students about this assistance. When there is a few minutes during recess, lunch, or even planning hours, one only needs to ask God for strength and understanding when the elements of *Compassion Fatigue* has surfaced:

ii. There are available free, nondenominational prayers, and I would suggest the following web site:http://prayerimproveslife.com/category/non-denominational-prayers/ The divisions of prayer include:

1. "How to Take Charge of Your Life and Situation to Begin Forgiving

2. Forgiveness Prayer
3. Once you have Taken Charge, Do Constructive Things to Improve your Life
4. God's Name is Not the Focus Non-Denominational Prayer, Spiritual Guidance, and Loving Your Fellow Man
5. Non-Denominational Faith and Prayer.

b. The second one utilizes meditation, and I offer this web site: http://www.meditation-techniques-for-happiness.com/body-scan-meditation.html. Here you can access step-by-step free online meditation scripts and methods. Just to clarify... Meditation means awareness - perception. Your perception is your reality, so meditation really is everything. And the quality of your reality depends on your **focus.** This site offers active exercises and below you'll find quiet techniques lasting as little as one breath - designed for work, play, and mindful, smart insight.

   i. Instant, one breath awareness
   ii. Guided mantra meditation for "beginners"
   iii. Loving-kindness meditation
   iv. One minute meditation
   v. Quick stress-relief for work and rush-hour traffic
   vi. (Non-religious) prayer meditation
   vii. Body scan meditation
   viii. Mindfulness meditation
   ix. Nature awareness - "Breathing with the trees"
   x. Death meditation
   xi. Compassion/happiness meditation
   xii. Go from Free Online Meditation to Meditation Techniques

3. One important "exercise" for teachers who suffer compassion might seem rather simple; however, it ("exercise") can not only help with day-to-day stresses, it can help teachers who are suffering from *Compassion Fatigue.* Here are some suggestions:

a. If possible, have your students follow you on a "pre-class walk-around." There are students who are dropped off early to school, or there are students who come for breakfast. However, if you cannot find any of them, try the following:

   i. Walk around the campus with a (fake) map in your hands. When/if anyone, especially students, ask where you are going, tell them you have a (fill in the school's name) "treasure map." After a couple of treks past whatever school ground and classroom "explorations" you do, go back to your own class, and announce you have found "THE treasure." Then tell them what lessons you have ready, which is the greatest "treasure" you could share with them.

   ii. Tell the students on a given week that the magic word is (and then choose one—it does not have to be "exercise." Whether or not it was the (old "Groucho Marx Show" or the (relatively (new "Pee Wee Herman Show"), there is a "word of the day." When your students "discover" that word, here is how to proceed:

      1. The person who finds the "magic word" is to jump to his or her feet, say "the magic word is____" and then raise his or her hands in a stretching motion. Though stretching seems pretty easy to do (and it is), it is a great way to do a simple but effective exercise.

      2. Second, though you as the teacher can begin the exercise regimen with any simple exercises, encourage your students to come up with one, and especially have them name it something silly or exotic. Knee bends, for example, can be "Russian Running," and touching toes can be named "Toenail Tune-up." The examples are endless.

   iii. Many teachers stand at their desks, lead discussions from blackboard or whiteboards, or are using some overhead projector. If you are one of them, ask you students to stand by their desks, and rock back and forth, first on their toes

and then their heels. Tell them this one is for "Fine Arts" and you call it "Ballet Balance."

iv. Here are a couple of very inexpensive DVD videos that have proven to be not only of excellent quality, but easy-to-use, and not needing too much time/effort:

1. "Mousercise" is an excellent resource, and though it was originally set up for very young students (grades 1-6), do not let that fact keep you from buying it (or a facsimile). There are many songs in the repertoire, and though you may pick and choose from all of them, I have witnessed elementary, middle (and even) high school classes utilizing this fine set of songs and exercise. It is available on Amazon.com at a very, very reasonable price.

2. Come up with a "daily or weekly rule." You might say anyone who is going to walk up to your desk, get a drink of water, or even go to lunch, is to be done "backwards." Try having the students (and yourself) do any walking on tip toes or heels. Look back at #3.

v. "Neurobics" is the science of keeping your brain active and alive. Please order a copy of <u>Keep Your Brain Alive</u>--very inexpensive on Amazon.com)—(Katz & Rubin, 1999). Especially helpful is the section called "At Work," where you will find a host of "mini-exercises" for the mind and spirit.

vi. Here is another "exercise" I have found to be very, very helpful, and I am indebted *to Take Time for your Life* (Robinson, 1998) (and elaborated upon in *The Compassion Fatigue Workbook* (Mathieu, 2012). Robinson suggests you take a sheet of paper and then draw upon it a (dinner) plate. Then you are to inscribe the following:

1. To begin, write all the responsibilities and duties you have to do. Include both your domestic, personal, and professional jobs, with as much detail as you can

muster. Include your beginning-of-the day activities, commute to work, and anything else you can inscribe—leave out nothing.

2. After you have read the list very, very carefully, make note of any/all of them that are the most egregious. That is to say, if you could remove them, how would you do so?

3. THEN look at the items on your place that ARE changeable, and here is where you have to do a great deal of critical thinking. Do not "off" the ones you cannot change, but rather think carefully HOW and to what degree you could change these items. The key element here, according to Robinson, is to think how 1% of that change would look like. One example she uses is losing weight. If you believe you need to lose 20 pounds, then decide how and when you are going to lose 2 pounds. The second example is exercise. 100% of exercise might be running a marathon, which is not probably feasible immediately. What is feasible is walking around the block before work in the morning, and then again when you return home.

4. Now, around the outside of the plate write down the items you wish you had TIME for, which might include having more free time, joining a health club or book club.

5. Next, reflect upon a time, whether as a child, during high school, or even college, where you did have activities you really enjoyed. Make a list of them, as well as how you felt then, plus how those times were lost and/or forgotten. Again, consider 1% of those "lost opportunities", and recount how you might start them again.

6. Look back at your plate. Find one of your responsibilities you can delegate to someone else. The

example Robinson uses is the planning and carrying out of a large and involved family dinner. Instead of your planning, fixing, and then presenting all the food and preparations for this extensive (family) activity, assign some of the responsibilities to other people, and note that without such help, the dinner will not "happen." It is here I want to add an important note. Most everyone who suffers from "Compassion Fatigue" feels they have to be the "action person" (for a variety of reasons). However, they also tell their confidantes (check spelling) that they wish there was a "life or death" situation they had so they COULD get out of it! What anyone who has set up " I have to do it (fill in the blank what "it" means), they are admitting they have become part of the problem. When a real "life or death" situation occurs, there are no choices, and the person who is now infirmed has NO choice!

7. However, many teachers will find themselves trapped by themselves. They either really cannot or will not find any way to get out from under (literal) weight of their need to be "all things to all people." If that situation is real to you, the reader, THEN do not take on any more responsibilities!

8. Now go back to your plate. Pick any 3 items you could change, and then ask yourself 3 questions:
    a. If you need more nutrition, for instance, how can you take in more of those foods?
    b. Answer the question: "What 1% change would result if I were to cultivate this habit of better eating habits?
    c. THEN, answer this question: "What 10% change could I make (with the above eating habit)?

9. Robinson then asks anyone suffering from *Compassion Fatigue* this important (last) question: "On a scale of 1-

10, with 10 being "I'm willing to move mountains to make a change in this area" and 1 being "I wouldn't be willing to lift a finger," where are you today, with this particular item?   Ask yourself the question again in terms of this whole project, your own compassion fatigue, and improved self-care"

vii. Last, I have a set of exercises that I just researched to help with *Compassion Fatigue*. They come from the text *Keep Your Brain Alive* (Katz and Rubin, 1999). The authors have come with a term they call "Neurobics", the science of keeping the brain fit and flexible as teachers (and the other 76 billion "baby boomers") grow into our stress-riddled society.

1. The author's research and resultant activities centers around three important constructs:

   a. Involve one or more of your senses in a novel context.

   b. Engage your attention.

2. I have selected several items from the 83 the researchers have accrued, and I have placed them into this presentation according to specified agendas:

   a. <u>Early morning:</u>

      i. Begin the day by smelling something like "vanilla", as opposed to coffee, so you are going to open a new neural pathway.

      ii. "Brushing Roulette" has quite a "ring" it. It involves brushing your teeth with your "non-dominant hand, but it can be modified to everything from putting on your closes and shoes, shaving, makeup, and even eating breakfast. Far too often, we all get into the "neural trap" of doing these basic activities with a dominant hand, or at least a prescribed regimen. Allow yourself to do at least one of these with your "non-dominant

hand, and you will find not only a "new" learned technique, but also a quick "pick-me-up".

   iii. "Ear Plug Breakfast" has some interesting facets to it. Often people do not listen to each other at this first meal, so the authors suggest to give everyone ear plugs before you sit down at the table (saying you do). Think of the possibilities beyond even talking, for how long you wait for toast to pop up, or finding ways to share cereal, sweet rolls, or beverages.

b. <u>Getting ready for work:</u>

   i. When you get into your car, do NOT look at your keys or any of the controls. Rather, "find" which keys or devices are needed to get into the automobile. Next, "locate" (by feel) what controls you are going to use, from heater/air conditioner, to stereo, DVD, or a destination device, but do so before you begin to drive.

   ii. Because olfactory senses are so important, take along several fragrances (or any sort). When you come to stop sign you normally do not look at, "attach" a smell to it. Just before you merge onto a freeway, "attach" another smell to it. When you get to work, take your favorite smell ("chocolate"?) and take a big whiff of it before you go into the building. It is also OK to change this last one so before you enter your work place, you have had a great "smell".

   iii. If you are lucky enough to car-pool, there are several techniques that will engage you more

than driving "solo". To begin, ask any of your driving partners to come up with a topic of discussion on the way to work. Each person gets a turn to choose the topic, either for a day or week, and everyone is limited to no more than two minutes of "speech". If you want, have no speech at all, but everyone either takes pictures of selected scenes or people on the way to work. When you get back in the car at the end of the day, discuss not only what you chose, but why you did so.

c. <u>At work:</u>
   i. Learn Braille, and no, I am not kidding. My Mother was sightless, and I watched her carefully "read" the information in front of her. She had a marvelous "tactile" sense, which I soon learned as I tried several times to learn that system. It would be a good idea to "label" things at school, beginning with your room number, the phone, your desk, and the list is obviously endless. HOWEVER, since many teachers are facing more and more ELLs in their classrooms, why not add a "language" all of you are novices—Braille? Think of how many classroom items can be labeled and "read", and this democratization of learning objects can be a boon to all learners, because you are all starting as novices.
   ii. Take creative breaks in your schedule, not just the "caffeine" kind. Perhaps on one day you and your teaching mates can all stroll from your rooms to the kitchen, past the gym, and on to the playground. Make a

mental list of how many things you saw that began with a specific letter, and then compare notes when you return. Second, set up a jigsaw puzzle, and every time you pass by, place several pieces to it. Consider setting up a chess game, and when you and/or your mates walk by, after reading which player's turn it is, then make a corresponding move. Winner gets to "celebrate" the "check-mate" in any fashion he or she chooses.

iii. Though it is a tried and true method, "team teaching", with permission from the administration, set up a lesson for a specified amount of time, perhaps 20 minutes. At a given signal, and the students can be "in on it", trade places with a colleague, read the instructions, and conduct the "lesson". Though it would be "safer" to work with students only one grade removed from your own, the challenge of going from first grade to sixth grade would not only be fun, but it would awake many (sometimes dormant) teaching skills you have. Another "fun" activity is to work with the gym/physical education teacher. Have that person come to your room, or you go to that person's site. Though both of you have planned a specific lesson, take 15-20 minutes, compare notes about the goals and objectives, and then "on-the-spot" make up a "shared" lesson.

Summary Thoughts:

I have been a lifelong teacher, and I am proud to say I continue to be one, for helping others has been a passion of mine throughout my life. I have had the privilege of teaching, coaching, and counseling a wide variety of students from many cultures, and doing so at private and public schools, grades 7-12, for a number of years, in both rural and urban settings. My position is Professor of Education at Montana State University-Northern, in Havre, Montana, is one where I share curriculum with elementary and secondary school candidates. As part of my responsibilities, I work closely with the Director of Field Supervision, and so I have opportunities to observe and speak with student teachers, so I have occasions to talk with those beginning instructors, but also with their assigned mentors and administrators. The subject of *Compassion Fatigue* and its related *Vicarious Trauma* is one that surfaces more and more often, and I am currently working with a group of faculty at a district in Northern Montana. Because the Superintendent of that school district and I had talked about this subject for more than a year, I am now sharing my *Compassion Fatigue* research to that faculty. At the end of this 2013-2014 academic year, I am also offering them the activities and exercises in the latter part of this document. With their thoughts, comments, and feedback, I intend to continue my scholarship in this field of study. Our public schools are a firm foundation of our whole society, and if I can help some PK-12 teachers to avoid the perils of *Compassion Fatigue*, I know they and their respective students will be aided. However, if they can remain in their teaching positions, uplifted in spirit in some way(s), then the people we all serve, the students, can grow, learn, and become more educated and contributing citizens.

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Assessing Sustainable Development Outcomes of Multinational Firms and Organizations: Praxis and The Triple Bottom Line

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Abstract: Educators in the field of sustainable development are hard pressed to make tangible to their students the issues and challenges associated with the execution and impact of the Triple Bottom Line Model (People, Planet, and Profits) in the external world. The vast majority of educators who teach in this area rely primarily on the standard texts, case studies, video, and other "aids" to illustrate what constitutes sustainable development and its impact on people, planet, and profits. In the majority of classrooms that focus on sustainable development the unfortunate reality is that the educator either has limited or no genuine "hands-on" experience with developing or managing sustainable development programs and therefore lacks the credibility in the eyes of the students. This paper presents a "praxis" approach that is based on the planning and execution of field trips where students and teacher alike are actively engaged in assessing sustainable development initiatives undertaken by both the for-profit and not-for-profit sectors. This praxis based approach takes the classroom into the field where the "scholarship of engagement" is realized. This pedagogical approach was developed and tested over the last decade via the planning and conduct of over one hundred field trips on five continents with almost one thousand students with the goal of assessing the impact of sustainable development using the triple bottom line model, an approach that parallels the "balanced scorecard" approach used by scores of multinational enterprises. This paper will consider the rationale for the "praxis" approach, the planning process for identifying, qualifying, and confirming field trip candidates, the profiling and assessment tools developed over the last decade, and the

lessons learned. This paper summarizes what goes into the planning, executing, and evaluating of these unique learning opportunities with a special emphasis on how these multinational firms and organizations balance the triple bottom line of people, planets, and profits and the demonstrable approaches they have to social justice and sustainable development.

The Role of Educational Leaders in Supporting Beginning Teachers in UAE-AL Ain Schools

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Abstract: This study examines the current practices that UAE- Al Ain principals provide to their novice teachers in the first years of teaching profession. Thirty principals and teachers participated in this study from UAE – Al Ain private and public schools by answering to the same questionnaire. The questionnaire includes 7 different categories of the needs that novice teachers need in the first years of teaching. The results of the study showed there is a difference between principals and teachers answers on the statements availability in the questionnaire. This difference helps to develop a model for the induction program that can meet novice teachers' needs in the UAE- Al Ain schools.

An Application Lab for Undergraduate Special Education Majors

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Dr. Ward completed a Doctorate from Baylor University and currently serves as an Assistant Professor at the University of Mary Hardin-Baylor. Her career began as a general and special education teacher. She later accepted a position at the Education Service Center Region12 (ESC12) as the Autism/Low Incidence Disabilities Specialist. Dr. Ward's research interests include children with autism and the preparation of teachers certifying in special education. Current projects include directing a special needs lab on the university campus whereupon undergraduate students work with children with disabilities. Additionally, Dr. Ward is conducting research using Challenge Based Learning as a Tier 2 intervention.

Abstract: University pre-service teachers training to teach children with low incidence disabilities are challenged with acquiring skills necessary to accommodate the needs of a broad spectrum of students. The classrooms are often self-contained requiring teachers to be proficient in teaching academic content as well as life skills. During the preparation period, professors must train pre-service teachers best practice methods in such a way as to provide for generalization of skills. Many preparation programs require field observations, however the pre-service teacher is often limited to observation and anecdotal information. The problem exists when pre-service teachers graduate and have had minimal experience planning for the instruction, behavior management, and efficient coordination required in a lifeskills classroom. This problem results in a decline in teacher self-efficacy. This study is designed to provide the pre-service teacher hands-on interaction with children with disabilities in an effort to develop proficiency in the skills learned in the classroom resulting in increased self-efficacy. This is being accomplished through the creation of a lab in which children with special needs attend 45 minute weekly sessions on campus and receive instruction from pre-service teachers. Baseline data was collected through an online survey to determine pre-service teacher self-efficacy prior to the opening of the lab. Surveys will continue to be used to collect data at the conclusion of each semester measuring pre-service teacher's efficacy toward their ability to teach students with low incidence disabilities. Qualitative data will be collected through interviews with pre-service teachers and parents of student participants.

Integrating Tablet Computers into Graduate Education Programs

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Dr. Stephen R. Marvin has served in a variety of educational capacities throughout his career. He currently serves as an Assistant Dean of Graduate Studies and Associate Professor of Education for Union University. Prior to his service at Union University, Dr. Marvin served as an adjunct professor, a Business Technology teacher and technology coordinator, educational researcher, and tutor coordinator. Dr. Marvin's research interests include learning theory, the Multiple Intelligence Theory, and technology integration. Dr. Marvin has authored and co-authored journal publications and presented his research at the state, regional, national, and international levels.

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Abstract: The information age has challenged classroom teachers to incorporate technology into their classrooms, yet meager funding has typically provided limited training and even more limited devices to support true integration of technology into teaching and learning. Teachers often receive new pieces of technology for their classrooms but are not coached in how those devices can enhance learning and, thus,

impact student achievement. This presentation will provide an overview of technology integration in a graduate program for classroom teachers. Propelled by the transformational teaching theory, this graduate education initiative capitalized on the technology-rich culture of today's learner. Providing iPads for licensed teachers who were incoming students in a face-to-face graduate degree program, this curriculum shift emphasized the *integration* of technology in classroom teaching, as opposed to the mere addition of it. Electronic data were gathered throughout the pilot year of the program to demonstrate the teachers' growth, with the final product being a technology-rich performance exhibition showcasing each teacher's mastery of the Interstate New Teacher Assessment and Support Consortium (INTASC) curriculum standards. This presentation will feature multiple ways technology integration was applied to graduate education and summarize the resulting changes in the teachers' pedagogy. This presentation is a timely, practical, data-driven overview of teacher training with emphasis on technology integration.

Hold on, (hold on), hold on, (hold on)
Keep your eyes on the prize, hold on!
-traditional

Learning to write for some students such as non-standard language speakers or individuals such as some African American can present a tension that extends far beyond the years of schooling and well into adulthood. The societal norm regards standard English as the academic discourse (Common Core State Standards, 2010) but this should not be at the expense of an individual's primary discourse or home language. In fact, many successful African Americans (i.e., Barack Obama, Tyler Perry) have learned to switch between the language of home and standard English quite well. This article looks at how an elementary aged student and her teacher journeys towards developing linguistic flexibility, the ability to use both the language of home and society and to develop fluidity for using the written academic language.

As the reader journeys with this one teacher, Ms. Figueroa, and one student, Deshawna, across a ten month time period the reader will experience some of the challenges the teacher and student experience during writing in an upper elementary classroom, as well as some of the issues that arise from the lack of consensus regarding approaches to written academic English instruction for speakers of a variety of African American Vernacular English (AAVE).

I have entitled the article "Our Eyes on the Prize" because language instruction is a struggle that tends to pull teachers in many different directions. In the Civil Rights era song about Paul and Silas, who were "bound in jail" but kept their "eyes on the prize,"

we are reminded that focus and determination can lead us through struggles to freedom, though the journey may not be easy. I examine Deshawna's language learning processes and her attempts to produce written academic English, as well as what Ms. Figueroa did and could have done to keep her eyes on the prize—i.e., on the student's authentic development and learning experience. In this context, I try to answer the question: What are the challenges faced by teachers of students who speak non-dominant language varieties? It is hoped that the examination of these challenges will help teachers to learn how to keep their eyes on the prize when working with African American students who speak varieties of AAVE inside and outside complex educational settings.

Conceptual Framework

Vygotsky's theory of the socially constructed nature on language development describes language as socially constructed (Gee, 1996; Vygotsky, 1978). There is an intertwining between the learner and the more knowledgeable other in the language learning process. This realization has led a variety of scholars to propose and implement socio-cultural perspectives on language learning. This study also highlights the socio-emotional context of teaching and learning, which takes into account of the cultural[1] funds of knowledge that students bring with them to the classroom (Dyson, 1992/1994; Gee, 1999). Significant to the underpinnings of my research, moreover, are the roles that language and identity play in learning for African Americans, as well as the implications of such factors for literacy development (Gee, 2001; Lee, 2000). Vygotsky's theory acts to situate my argument in the social nature of learning for African American students.

I use the term African American Vernacular English (AAVE) to describe the many varieties of African American language that students bring to school. Situated from linguist Adamson (2005), AAVE is described as a favored term amongst linguist with definitive linguistical features. Greene and Abt-Perkins (2003) and Labov (1972) make the point that Black English is a term used to describe the language used by Black Americans, I want to make the point that there are many varieties of vernacular English spoken by African Americans. Black slaves were forbidden from congregating in order to prevent them from spreading potentially "dangerous" ideas or education. This isolation from interchange that might have kept up the use of their languages of origin constituted a denial of a common "native" language for Blacks in America, a fact that contributed significantly to their formation of a unique version of American English (as opposed, for example, to simply having a recognizable "accent" such as other

immigrants tend to lose over a few generations) (Baugh, 2000; Labov, 1972). Thus, AAVE, though historically embedded, is not a mere historical artifact but a living language with multiple varieties that (Black English vernacular, Negro English, African American language, Afro-Caribbean English, Southern Black English to name a few) continues to evolve somewhat independently from so-called mainstream American English.

Methodology

The study took place across an academic year of instruction at a public elementary school (K-5) in New York City with a fairly large African American student population. I used both action research and case study methods to capture the experiences of the teachers and the students in their quest for written academic English acquisition. The case study approach (Dyson & Genishi, 2005; Stake, 1995) was chosen to document AAVE-speaking students' journeys as they learned written academic English. The case study work presented in this article was originally situated within this larger study that consisted of three teachers and three students. The data was collected in a five phase Recursive Collaborative Inquiry Process (author, 2009). My participant observations in the fourth grade and two fifth grade classrooms meant the researcher was present several days a week across the three classrooms. The teachers in this study were selected by snowball sampling, in which one person recommended a participant and then another concurred or suggested additional potential participants (Miles & Huberman, 1994) based on years of teaching, consistency for literacy instruction as well an interest in language study. The teachers selected two students from each of the observation classrooms for the study based on examination of sample writing pieces, student's use of oral AAVE, and difficulties the student had exhibited in the past in learning written academic English. We focused on students who showed traces if AAVE in their oral and written language and for whom AAVE, in the opinion of the teachers, impeded the learning of written academic English. Working collaboratively with the teachers, I examined the focal students' written academic English language learning process, especially as it unfolded during the literacy blocks focused on writing and on language study. The researcher was a teacher participant using data collection methods of participant observations, semi-structured interviews with teachers and students, student-produced artifacts, and field notes. The field notes were "cooked" using theoretical notes, personal notes and methodological notes. Both the filed notes and interview transcripts were analyzed using a recursive practice for patterns in the data. The patterns in the field notes, transcripts, student artifacts and were triangulated across each teacher and case study student, not to generalize, but to construct the narratives of the three focal students and their experiences. The case study sought to

capture not only the outcome but also the experiences of the teachers and students as they worked on learning the written academic language. In fact, the case study method was selected because it was thought to best capture the social interactions between teacher and student in the language learning process (Dyson & Genishi, 2005).

Data

The Story of Ms. Figueroa

Ms. Figueroa, a veteran teacher who represents the second generation in her family to attend college, is a tall Latina woman who appeared to me from the outset to be someone who was determined to see her students use more academic language in both the spoken and the written English that they used in the classroom:

> I do know that some of the language that I hear them speak that they would use on the playground, when out playing with their siblings, they might use it at home…. I see it in their writing, like the grouping of certain words. Like the word *ain't* is a very common one, [and instead of] "because," they say "'cause." Some of the playground language, I would assume it is playground language … they use it in their writing. (Interview April 18, 2007, p. 4)

Ms. Figueroa believed that the language of home was not in need of fixing but could function like a "pair of party shoes" that one could put on or take off as one wished. For her, school was the place to learn academic language, which prompted her to focus on the smaller details of speech. As a non-dominant language speaker herself, she recognized that her students needed to speak in multiple ways but how she positioned her instruction made her teaching of her students problematic. Ms. Figueroa made an effort to recognize the influence of AAVE in her students writing in order to understand the impact of verb tense confusion. However, what she believed and how she implemented her instruction were in opposition to one another. In discussions about helping her students to grow as writer's of the written academic language Ms. Figueroa talked about small group instruction versus whole class instruction, "…small group instruction…they get a lot more attention, and I can really work with them and refer back to what we've done together as a group."

"…I felt like the writing block wasn't long enough sometimes because I wanted to meet more-with more students to give them opportunity…[to work with] me…. " (Interview April 18, 2007, p. 2)

What was missing from the growth conversation was the work she had done on language inquiry. On most days in her classroom, a typical language period began with a short mini lesson followed by a longer period of independent writing time. Ms. Figueroa allowed her students to participate in an additional language inquiry block (author, 2009) but when it came time to write relied more on printed pre-made charts that emphasized the standards of English. She strained to see the value of the inquiry into language and its impact on written academic English.

The Story of Deshawna

At age nine, Deshawna, a vibrant African American girl whose family's roots are from the south having moved to New York City a few years ago. She is the oldest of four children. She had spent a lot of time in school and was aware that her mother sent her to school to become educated. She had also learned from her mother—and perhaps from other adults around her, such as Ms. Figueroa, her teacher,—that it is important to have "good" speech and writing skills. I learned from Deshawna's comments—like, "peoples going to think I live on the streets"—that she recognized that "poor" speech and writing are associated with lower class status.

Deshawna viewed herself as a good writer but she struggled with switching between the language of home and the language of school. She knew simply that one was good and the other, in her words, bad. She had been told by family member that the language of home was not to be valued and that her job in school was to learn and embrace the language of school. She eagerly participated in the language inquiry lessons and wrote during the writing blocks with equal intensity. Her oral dialect had several African American English features such as the tonal semantics (Redd & Webb, 2005, p.45) in the form of *intonational contouring*. Which stress the high pitch and pronunciation of certain syllables such as "I DON-no, I think when I grow up…" and the phonological stress on the first syllable in "Being" and in "did" in contractions such as DiDn't. However, the tension between her oral language patterns and her written language patterns was a source of dissonance for her. Overall, she possessed more language variety in her oral discourse versus her written.

Data Analysis

In the following analysis I illustrate the complexity between Ms. Figueroa's beliefs, statements, and actions about the teaching of written academic English in her classroom. I will describe my analysis process in an attempt to show how Ms. Figueroa valued or devalued the teaching of written academic English.

In the excerpt in the data section above, Ms. Figueroa noted the students' use of "home" language (in this case, AAVE) in the school setting, and she informed me

subsequently that such usage in the students' writing created tension for her in the classroom.

However, as I returned to analysis of the transcripts I noted a pattern of disconnect between Ms. Figueroa's instructions. She was not explicit in her modeling of her expectation. Nor did she make direct connection to the language patterns taught with writing. For example, much of what was taught about punctuation was on a chart however; she failed to refer to these when modeling writing during the writing lesson. She believed that she had given the students the punctuation and grammar rules but her demonstrations of writing during her writing lesson coupled with the use of language expectations lacked a direct connection. Her work with language was currently looked at as happening in small sections of the day but what the students needed her to do was to bring these parts together. In addition, her actions lead me to think if there was true value for the use of language flexibility in her student's writing. As a person of color, she recognized the importance language holds to a community and family. Yet, as a teacher she had not encountered a method of instruction that would allow both to exist comfortably.

In addition, because of the teacher's inexperience with language varieties, it was a challenge for her to tease apart AAVE features, mechanics, grammar or usage. In a way her choice to work with Deshawna on mechanics versus AAVE might have been due to a comfort level for improving written academic English rather than the need for grammar instruction.

Nonetheless, Ms. Figueroa did not believe that such usage created a significant obstacle to the students' learning of written academic English:

> I think it is important for them to know the difference between the home language and the academic language in school – definitely, because it transcribes to their writing and it transcribes to their understanding [of] what is going on in the classroom…And it is important for them to know that in society, you know, this is the kind of language that they use as professionals. *They know that there is that difference*. (Interview April 18, 2007, p. 7; emphasis added)

In this above statement we hear Ms. Figueroa say that she embraced the linguistic flexibility and why it is important but the how she demonstrates this in her instruction is unclear. She was challenged by how to address the non-dominant varieties of language spoken in her classroom and to support her students with greater consistency of standard English in their writing. The implications from the approach she had embraced meant that students were taught using more of a top down isolated version

of instruction verses a full inquiry approach that would allow students the opportunity to explore and to fully own the language variations.

Ms. Figueroa believed that the language of home was not in need of fixing but could function like a "pair of party shoes" that one could put on or take off as one wished. For her, school was the place to learn academic language, which prompted her to focus on the smaller details of speech. Ms. Figueroa's observations might have been shaped partly by her own experiences growing up and learning written academic English. She recalled feeling that she "would need the language in order to progress and in order to understand and to be a part of society because going to college required [one] to have that kind of language."

I learned that Ms. Figueroa, as a person of color, was aware of the importance of maintaining the language of home while building the language of school (Elbow, 2002; Fogel & Ehri, 2000; Richardson, 2003). Hence, AAVE was a positive language because it was the language of one's community and culture. Knowing the underpinnings of Ms. Figueroa's observations helped to frame the sociocultural context behind what prompted her to make the curriculum decisions for her students—such as Deshawna, to whose learning experience we now turn.

Deshawna Teaches Us

I learned from Deshawna's comments—like, "peoples going to think I live on the streets"—that she recognized that "poor" speech and writing are associated with lower class status. What Deshawna had yet to figure out was how to acquire this "good" standard of English. Dewey (1938/1997) proposed that school is viewed as a key socializing resource for individual improvement and economic equality. Deshawna, similarly, had a belief in meritocracy and that such a system offered her an opportunity to succeed. She shared this belief in our initial interview about the importance of learning written academic English. This goal of success and advancement was why her mother had sent her to school, and her job at school was to make the most of this opportunity. However, despite all of Deshawna's hard work, when I first encountered her she still had a long road to travel toward consistency as a writer of academic English. Indeed, Deshawna had tried to acquire standard English, yet a gap in her knowledge of the language still seemed to stand in her way of achieving the written academic English skills that she sought. The following section provides further insight

into Deshawna's journey towards filling the "gaps in her knowledge" through language conversations, language inquiry and exploration.

Talkin' the "Right" Way: The Tension between Written and Oral Language

When Deshawna and I first began to meet, I observed that our conversations were short, her sentences were simple, and her language was "safe." It was almost as if she was afraid to talk to me:

> Deshawna: Well, now, I, like it actually helps, that actually helps me a—
> talk better because—before, I did—I didn't talk in the right
> language. And—
> Researcher: What do you mean, 'talk in the right language?'
> Deshawna: Like, I used to say wrong things that weren't, like, weren't
> right for anybody to say. Like, not regular talking.

Labov (1972) encountered a similar communicative issue among the African American students he worked with. He researched and documented how children's willingness to speak at length was a function of their social relationship with the person they were addressing, as well as of the topic and the setting. Hence, it was no surprise to me that Deshawna's speech was short and her sentences fragmented, yet I believed that continued encounters and time might impact the relationship and allow her to speak more fluidly.

One day during the language study time Deshawna and her partner look intently at a sentence strip with the following text: *"Yeah, but a party is more fun with a lot of kids," Rigo said.*

> Ms. Figueroa stops the group to point out what Deshawna and her partner have discovered. "My friends here have noticed words like, 'Rigo said' after the quotation marks. Do you know what they are called?" The students shake their heads and said, "No."
> "These words are called speech tags. Look at your slips of paper. Do you see a speech tag?" The students go back to looking, then suddenly a student cries out:
> "My speech tag is at the beginning of the sentence!"
> "We don't have any speech tags on ours!" another says.

We talked as a large group about the variety of speech tags that the students had on their slips of paper. We also talked about how speech tags are sometimes short, like "Rigo said," or expanded, like "Jose said as he ran down the block." At the end of the

lesson, the students stopped to write a memory note, which was a note to themselves about what they wanted to remember about the day's lesson.

> What i wanted to remember is:
> in the beginning, the middle, and at the end of a
> story, and that the punctuation marks
> have to be inside the quotation marks
>
> <div align="right">- Deshawna's Memory Note</div>

For Deshawna, the time spent examining this example of writing allowed her to notice the specifics of punctuating dialogue. The use of the inquiry method after the direct instruction provided additional time for Deshawna to reflect on what she had learned. This reflection time became an important aspect of Deshawna's learning because it allowed her to shift from being aware to conscious of what she had learned.

An additional factor in this episode of Deshawna's learning was the coaching that the teacher did with Deshawna at the critical moment of learning for Deshawna and her partner. Initially, when I observed Deshawna's increased ability to punctuate dialogue during the inquiry lessons, I thought it was because she had more time than in other lessons to look at the writing. But after re-reading my notes and the transcripts, I realized that Ms. Figueroa coached or prompted her with words like, "Look close your strip: what did the author need to know…?" Or, "What do you notice about the punctuation?" These prompts encouraged Deshawna to slow down and look closely at the writing, enabling her to notice more. The socio-emotional context for learning (Dyson, 1992; Gee, 1996; Vygotsky 1986/2000) was powerful for Deshawna. Her memory note from the lesson above tells us what she was able to see and what it meant to her as she shifted her knowledge to a more conscious level (Goodman, 2003).

Just as important as the "push" toward school context and school language in a case like Deshawna's is the "pull" of the cultural value associated with the use of AAVE. Learning to speak "good English" is viewed in the Black community as a way to improve career opportunities and financial success. However, Black people speak (varieties of) AAVE for cultural and historical reasons that are linked to issues of race and class discrimination (Morgan, 2002). It is important for Deshawna to speak her "home language" because within the African American speech community facility in vernacular speech and in standard English are both valued, as is the ability to switch between them in "appropriate" contexts. In other words, African Americans who are both connected to their communities and to their histories and able (and/or inclined) to

function in "mainstream" society are expected to be aware of the language choices that they make in given social contexts or when facing particular social, political, or communicative challenges, for which reason "code-switching" is a common skill and a frequently observed behavior.

At the time of my interactions with her, it is safe to assume that Deshawna had already been learning about survival for quite a while. At the very least, this was evidenced in her awareness of the importance of varying her language use in different social contexts. Moreover, although in our initial conversations Deshawna appeared to show apprehension about her ability to speak in a manner appropriate to the context, her writing at the time showed little evidence of the morpho-syntactic features that scholars commonly associate with AAVE (Fogel & Ehri, 2000, p. 218) However, her writing samples in Figure 1 and Figure 2 demonstrate Deshawna's ability to code-switch.

Figure 1: Page 1 of Deshawna's Writer's Notebook	*Figure 2:* Page 2 of Deshawna's Writer's Notebook
1 Me and my grandfather, Timothy went 2 to Disneyland and it was fun. It was 3 fun because I went swimming with my 4 cousin I went on the rollercoaster and 5 my grandfather flipped my cousin in the 6 water. She was mad. It was funny to 7 me because she had her hair curled, 8 and my grandpa messed up her hair. Her 9 hair was dripping wet. She looked 10 like an evil witch with no 11 smile. I said to my grandfather 12 "ooh your in trouble" and I 13 quickly swam away with my 14 grandfather right behind me 15 My cousin was swimming so fast 16 she caught up to my grandfather 17 and dunked him in the water. It	19 was laughing at them. Just then 20 they went underwater and they 21 each got a leg and splash I 22 went down in the water but 23 was still laughing while I was 24 still under the water. 25 My cousin said "Why is 26 she still laughing when we 27 got her back." Everyone was 28 laughing. As my cousin was laughing 29 She snorted. My grand father said 30 "You sound like a pig." My grandfather 31 turned around and i was not 32 their. He looked nervous.

Deshawna's ability to code-switch meant that she could choose the pattern of text that matched a given context. Baugh (2003), and Wheeler (2006) have variously argued that students *should* be made aware of the different language patterns that are appropriate to the time, place, audience, and communicative purpose of any interaction. Deshawna already had the ability to use a variety of language patterns, which made the difference between whether she was perceived as someone who might "live on the streets" or in a house. Her ability to code-switch, moreover, connects with her cultural and personal identity and with how she is perceived within the community. Cornelius (1991) and Greene and Abt-Perkins (2003) have pointed out that in the United States, historically, becoming literate and possessing a variety of literacy skills has been and remains a means of survival for Black people. Indeed, one might say that "language is destiny," and that control of the academic language can allow an individual to avail him or herself of the opportunities of which our society is justly proud, but that otherwise remain, for many persons of color, just so many pies in the sky.

What We Can Learn about Instruction from Deshawna's Experience

In my observations of Deshawna during the extended inquiry lessons, I noted that she demonstrated more about what she learned when she could be engaged with the text for periods of time—for instance, when she was prompted or coached to see one particular aspect of the writing, and when she was pushed to write about what she had learned. In fact, it was clear to me that she was the type of learner who benefited from being given time to look *at* language and from support through coaching as to what to look *for* in language. These opportunities could have allowed her to develop what Bruner (1990) refers to as metalanguage, which her thinking about thinking and which is important for her to develop a deeper knowledge for how language works.

Many of the principles of the writing process approach, such as regular and sustained time to practice writing and fostering the ability to write about real topics (Calkins, 1994; Farr & Daniels, 1986), had been a part of Deshawna's writing instruction. However, what was missing, from a sociocultural learning theory perspective, was a consistent and predictable time to inquire about language, to interact with language, and to talk with peers and with more knowledgeable others about language.

When Deshawna's experienced an increase in language inquiry time she increased her awareness of how to think about language, which Goodman (2003) regards as a shift of the student's language skills from the intuitive level to the conscious level. The

time gave her the chance to process what she learned and to use it in her writing. What was absent for Deshawna was a variety of instructional methods such as inquires and guided practice that supported her as a learner in her ability to use what she had learned about language. In the end, these instructional methods would allow Deshawna to develop a stronger working knowledge of the academic language.

Ms. Figueroa it appears unconsciously values a more traditional focus on language instruction and mechanics as a way to improve her students' writing. What was missing was the expansion of a knowledge base of the students' about written academic English. An instructional approach was needed that would allow more time for social interaction about how the grammar of language works beyond an explanation of the grammar rule (author, 2009; Redd & Webb, 2005). More time was needed to inquire into the grammar looking at how it works and why to prepare students with a better understanding for its use in writing. This tension between inquiry learning and isolated instruction was a tension for Deshawna in her story, as well as for many in the teaching profession, in that the ways in which language learning was presented and the ways in which Deshawna learned best were out of sync. Deshawna blossomed when she had the time to inquire, question, and work with the content information. Ms. Figueroa's approach to teaching writing was mainly traditional, through direct instruction. Ms. Figueroa believed that standard English is "good," "proper," and the ticket to success in life, as exhibited in her own life story. In this direct explicit instruction approach, Deshawna was a part of the lesson and did her work as it was assigned, but she struggled to transfer this knowledge to her day-to-day practice.

Discussion

This research supports the need for language study time within the complex literacy environments in which teachers spend large amounts of time supporting African American students' development in written academic English. The existing literature (e.g., Fogel, 1996; Pinkett, 2002) demonstrates that time can have an effect on student learning. Yet there is a need to address the instructional approaches to language instruction that allows students to develop a linguistic flexibility that this article aims to address.

In working with Ms. Figueroa I saw that AAVE influenced the pedagogical decisions to determine which areas of grammar to focus on in order for her to support written academic English learning for her African American students. Delpit (1997/1998) and Goodman (2003/ 2006) would argue that teacher education and professional development fall short of instructional practices that address the needs of

many African American literacy learners. Today's multicultural classrooms require teachers to be aware of the roles that culture, history, and language play in learning (Ball, 2000; Delpit, 1997; Lee, 2003; Richardson, 2003b) and to develop a repertoire of instruction to meet these needs.

As an educator, the decisions Ms. Figueroa did make for language instruction were based on oral and written examinations of AAVE as well as time. Perceptions of language and the value placed on language can impact how African American students learn written academic English (Baugh, 1999; Elbow, 2002). Teachers, whether consciously or not, carry with them perceptions regarding various language forms and dialects, and how a teacher brings perceived value of this in the classroom affects students' learning. Hence, Ms. Figueroa knowing that school is the place where students learn academic language (Delpit, 1986) she pushed to create an environment where a variety of charts existed without detailed instruction or inquiry into how to use the rule.

Ms. Figueroa was also impacted by her observations of the challenges that students encounter when learning written academic English. She was challenged in supporting the African American students' learning of written academic English, from the inability to identify AAVE features to the constraints of her engaging students in productive instruction. She came to realize some of the differences between AAVE, mechanics, and grammar and that the students were not being obstinate, but that there may have been language learning issues that were impacted by the vernacular. Fecho (2004) and Wolfram (1998) also experienced similar occurrences which led to the need for teacher information about language and language instructional tools. They like Noguchi (1991) realized that teachers need to rely on knowledge of functional grammar or "writers' grammar" in the teaching of written academic English.

The results of this portion of the study shed light on the fact that interventions such as increased language inquiry, explorations into language that the teacher enacted were a small step toward supporting the students' language learning without deeper knowledge for instruction and pedagogy for language literacy.

Suggestions for Student Learning

After studying the journey of Deshawna and the other focal students across several months, I found that there is a tension in the use of time spent in classrooms on language study for African American students in urban classrooms that addresses the language issues the students face in writing. It is not the fault of teachers but more the

pressures teachers feel about finding language instructional time. However, regardless of these pressures, teachers should make sufficient time for academic language instruction. In addition, the time spent on language study needs more specific instructional approaches (author, 2009; Redd & Webb, 2005) that match student needs in order to be effective.

Too often teachers address written academic English issues with too few lessons that provide a balance between direct instruction and time for student exploration of language. This dumping effect from the pace of curricular challenges is leaving many African American students behind in their academic language development. An underpinning in this article is the importance of different language approaches to instruction that ultimately impact the effectiveness of writing instruction for the student. Knowledge of the approaches would allow teachers to decide what type of instruction is needed. This knowledge of language instruction becomes important during the writing lesson because it supports the teacher's choice of instructional methods that allow the student to deepen their knowledge of written academic English through practice.

African American students would benefit from greater language awareness starting in third grade, which would support their knowledge of language and independence for learning written academic English. Imagine if every school year or language study unit began with a discussion about language. During this time students would be made aware of the variety of dialects and their importance. The immersion in greater language awareness would set the stage for students to understand the richness of their language and for why they might *choose* to learn another dialect instead of being told they *have* to learn it. In this initial study, teachers would bring a process to studying language awareness so that the responsibility for language awareness over time might be released to the student for further development and inquiry.

During this language awareness time opportunities for discussions about language and power, language and identity, and ways in which language is developed might be uncovered. Students during this time could look across their reading, their writing, and their language life to research themselves and their families for how language is used. The students might interview peers, family members or neighbors for the books read, language used and others cultural experiences. This work would lay the foundation for teachers to decide which combination of Written Academic Writing Approaches and Writing Approaches (author, 2009) would best serve the needs of their

African American students. The point here would not be to point out that one language choice is "good" and the other "bad" but that the ability to switch from one to the other is powerful and worthy of possessing.

Suggestions for Teacher Educators

For teacher educators like myself, the suggestions for practice begins with the call for the inclusion of consistent *descriptive* language study and not just the *prescriptive* mechanics of writing in the literacy curriculum. To implement this approach successfully, teachers need more exposure to language use in pre-service or in-service courses, as this can expand their perceptions or beliefs and provide them with wider linguistic knowledge of instructional approaches (Goodman, 2003, 2006; Redd & Webb, 2005). Too often, African American students, like those in this study, are provided with limited feedback and limited opportunity to develop their language knowledge. This distribution of instructional time and energies is not intentional but is a reaction to the many issues that teachers encounter in the written academic English of their students. Teachers typically respond to student writing from a limited knowledge base of language dialects and form. In elementary classrooms in urban settings where students are learning language flexibility, it is important for teachers to develop this knowledge and to recognize the ways in which language study can be embedded into the existing components of literacy. To support such approaches and opportunities, this article recommends a deepening of teacher resources both during teacher preparation and through professional development. The professional developer role would be to support the teachers' knowledge base in the areas of language learning, language diversity, and linguistics (Goodman, 2006) in addition to modeling methods of instruction and providing potential resources for teachers and students who wish to investigate the nuances of language more deeply.

As Du Bois (1903/1973) pointed out many years ago in the *Souls of Black Folk*, in which he wrote, Black folks have two souls, one Black and one American, similarly, Black children today operate in two worlds of speech, one White and one Black. It is important that schools acknowledge this dual speech and not allow this duality to hinder student progress in written academic English.

Conclusion

The tensions and the notions of inequality between the languages of home and school continue. I have a few recommendations for teachers of African American English students that could return the focus to keeping "*our eyes on the prize*".

The first it is important to realize that having linguistic flexibility is a prize to behold. Developing a comfort for linguistic flexibility among students, which crosses linguistic, cultural and historical backgrounds is paramount. The ability for teachers to identify key features of African American English can support teachers in their decisions regarding the development of this flexibility. Moreover, awareness of and appreciation for the variety of languages spoken can attract language learners to want to learn written academic English. Thus, teachers must push against the narrow view that it is enough to just learn the "correct" language and instead broaden the view toward an interest in the many instructional ways that language can be taught. This argument is not new, many have written about the richness of the varieties of AAVE (Greene & Abt-Perkins, 2003; Smitherman 1977/1994; Rickford, 2000). It is time to embrace this prize by helping educators to keep their eyes on the prize and the power in speaking multiple languages.

Second, what I argue for is to widen the instructional methods that embrace the language of home while also embracing the language of school. Educators should be prepared to guide African American students on their language journeys. Many African American students benefit from the guidance of a more experienced mentor, especially one who is genuinely interested and values their linguistic flexibility. This can be brought about through instructional strategies such as language inquiries, language explorations, and through guided practice that would empower the academic language learner to develop greater knowledge, thoughts about this knowledge and finally, bring the knowledge into practice.

In conclusion, the notion of language flexibility has existed among African American teachers in the Black community as far back as the early 1900's. African American students have always possessed more than one language variety. These early literacy instructors knew that it was their responsibility to bring to their students the language of power. They knew that the African American language was more than just a "non-standard" grammar. It was a way of living that was worthy of respect and that constituted a discourse community (Richardson, 2003a). However, the changes that desegregation brought created a tension between the language of home and the

language of school. Teachers are faced with a mix of language varieties in one classroom. To this end, having a variety of instructional practices such as the inquiry study mentioned in this article to support this wide language variety is needed. Teachers with a variety of instructional tools are able to teach rather than demand the use of the academic language. All along the way keeping *"their eyes of the prize"* – student language learning.

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Teachers of Tomorrow: What are Their Underlying Characteristics and What Methods Will Work for Them?

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Abstract: The continuing focus on teachers, and factors in the academic success or failure of their students, brings critical challenges; the assets derived from educational training and proclivities inherent in a teacher's cognition and in personality must combine to blend congruently with a given set of learners. Somewhere in the mix, one must wonder why budding professionals would choose to join such a beleaguered group. The recipe appears complicated. Investigators studied a group of underclass females and males in a public university who indicated a desire for professional preparation as educators. The subjects provided age and selection of college major and were grouped by age strata and gender. They completed a sorting protocol indicating traditional-sequential-convergent vs. non-traditional-holistic-divergent preferences. An analysis was performed to discover interactions occurring among these factors. Descriptive statistics and inferential findings through point-biserial correlations indicate that extreme traditionalists are becoming rare in the teacher corps, and there are strong non-traditional traits in both gender groups. Therefore, it is necessary to determine how our teacher preparation programs can better instruct and match our teacher candidates to this ever-changing profession and their future students.

Does the Sequence of Convertible Bonds Matter?

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Abstract: In this paper, we study the stock price effects of different issues in a sequence of convertible bond issues. We find that firms that make a single offering of convertible bonds face more negative stock price reaction compared to firms that make multiple offerings during the sample period. This finding is consistent with the argument that the investors of infrequent issues are more surprised at the announcement of these issues and hence their impact is greater. We also find that for firms that make multiple offerings, the first issue results in a less negative stock price reaction than the offerings that come later. This finding indicates that each convertible bond issue exacerbates the market's unfavorable perception about the firm. Our results persist even after we control for other factors that affect announcement returns and when we use alternative methods to estimate the stock price effects. These results show that the sequence of convertible bond issues is an important factor in the analysis of the stock price effects and consequently the cost of issuing these securities.

*Keyword*s: Convertible bonds; announcement returns; stock price reaction; sequence; multiple offering

Introduction

Several prior studies have examined the stock price effects of convertible bond issues[2]. These studies show that when firms announce that they will issue convertible bonds,

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[2.2] See Dann and Mikkelson, 1984; Mikkelson and Partch, 1986; Eckbo, 1986; Lewis, Rogalski, and Seward, 1999.

their stock prices decrease significantly. A limitation of these studies is that they typically average the stock price reaction of all issues in the sample. However, D'Mello et al. (2003) and Iqbal (2008) show that in the case of equity and rights issues, the stock price reaction changes with each issue in a sequence of issues. In this study, we test whether the sequence effect exists in the case of debt issues. We specifically study convertible debt since prior studies show that on average the stock price reaction to convertible bond issues are more negative than the reaction to straight debt, indicating that stock price effects is a more important problem for convertible bonds[3].

Our sample consists of 814 convertible bond offerings made between 1985 and 2011. 592 of these issues were made by firms who had only one issue in the entire sample period while 222 of the issues were made by firms that had more than one issue in the sample period. We find that single issuers obtain more negative stock returns when they announce convertible bond issues compared to firms that issue multiple times during the sample period. This finding suggests that the infrequent offerings of single issuers are associated with a higher surprise factor and therefore result in a more negative stock price reaction. As a result, the issuance costs are higher for this group of convertible bond issuers. When we study our sub-sample of firms that issue convertible bonds multiple times during our sample period, we find that their first issue results in a less negative stock price reaction than the other issues. This finding is consistent with our hypothesis that each convertible bond issue signals more negative information to financial markets and result in higher issuance costs for multiple issuers. Our results persist when we control for other variables that may affect announcement returns of convertible bond issues.

Empirical Analysis

2.1. Results on Single versus Multiple Issuers

We first test our hypotheses that single issuers should obtain more negative announcement returns compared to multiple issuers. Table 1 shows that consistent with Dann and Mikkelson (1984), Mikkelson and Partch (1986), and Eckbo (1986), the announcement returns are significantly negative for all announcement period windows. For example, in the three day event window around the announcement day (-1,+1), the convertible bond issuers in our sample lose about 2% of their market value. The announcement returns are significantly negative at one percent level for both single issuer and multiple issuer sub-samples for all event windows. Our results show that

single issuers in general obtain lower announcement returns compared to multiple issuers, although the difference in returns is not significant. We also analyze the announcement returns for the first issue of multiple issuers for comparison purposes with the single issuers. The average and median announcement returns are negative for this sub-sample as well, although significant for only two of the event windows. When we compare the announcement returns of this group with the announcement returns of the single issuers, we find that the announcement returns are lower for single issuers. The difference in the average returns is significant for all event windows and the difference in median returns is significant for most of the event windows.

In Table 2, we use regression analysis to test the differences in the announcement returns of single versus multiple issuers. This table shows that the coefficient of issue size is negative and significant. This result is consistent with our hypothesis that larger issues result in lower announcement returns. The coefficient of sales growth is significantly positive indicating that firms that have a higher operating performance obtain higher announcement returns. This finding is also consistent with our hypothesis. We find that larger firms obtain more negative returns and the announcement returns were higher in the first half of the sample period compared to the second half. Our other variables did not have a significant influence on the announcement returns.

2.2. Results on the Sequence and Multiple Issuers

Table 3 shows the results of our univariate analysis. The results show that both the mean and median announcement returns are negative for the first issue of multiple issuers. However, the announcement returns are significant only for the (-3,+3) and (-1,+1) announcement periods. For example, the average abnormal return is -1.27% while the median return is -1.53% for the (-3,+3) announcement period. For the second issues in the sequence, the announcement returns are significantly negative for all of the announcement periods we study. For these issues, the average announcement return is -3.36% and the median announcement return is -2.63% for the (-3,+3) announcement period. We test the difference in the mean and median announcement returns for the 1st issues and 2nd issues sub-samples and find that 2nd issues obtain significantly more negative announcement returns for all the announcement periods we study. We also estimate the announcement returns for a sub-sample of all 2nd and later issues in the sequence. We find that these issues obtain significantly negative mean and median returns for all announcement periods. Our results show that these issues obtain significantly more negative announcement returns compared to the 1st issues in the sequence as well.

Table 4 shows the results of the regression analysis on the influence of sequence on announcement returns. In this table, the sequence dummy variable takes the value of 1 for the first issue of the multiple issuers in our sample and zero for all other issues by these firms. The coefficient of this dummy variable is significantly positive in all regressions indicating that earlier convertible bond issues in the sequence obtain higher announcement returns. These findings are consistent with Dann and Mikkelson (1984), Mikkelson and Partch (1986), and Eckbo (1986) who suggest that later issues in a sequence of convertible bond issues should result in more negative announcement returns.

Only two of our control variables appear to be significant in the Table 4 regressions. One of these variables is the asset size variable, our proxy for information asymmetry. The coefficient of this variable is significantly positive indicating that larger multiple issuing firms obtain higher announcement returns. This finding is consistent with our hypothesis that firms with low information asymmetry obtain higher returns when they issue securities. The second variable with a significant impact is the underwriter fee. Contrary to our expectations, the coefficient of this variable is positive and significant.

Overall the results in Tables 3 and 4 indicate that later offerings in a sequence of convertible bond issues result in more negative announcement returns. This finding is consistent with our argument that each convertible bond issue signals negative information about the firm. The more negative information revealed in later issues results in lower announcement returns.

Conclusions

We find that, consistent with our hypothesis, single issuers obtain more negative announcement returns than multiple issuers. We also find that later convertible bond issues in a sequence of issues result in lower returns. This finding is consistent with our hypothesis that each convertible bond issue signals more unfavorable information about the firm's prospects. Our results persist even after we control for other variables that prior studies suggest may affect the announcement returns of convertible bond issues.

Table 1
Univariate Analysis of Announcement Returns of Multiple Issuers and Single Issuers

This table presents the results of the univariate analysis of announcement returns of the single issuers and the multiple issuers in our sample. The sample consists of completed convertible bond issues made between 1985 and 2011 by public companies trading in US markets. Single Issues (SI) are offerings made by firms that issued convertible bonds only once and Multiple Issues (MI) are offerings of firms that issued multiple times during the sample period. MI-1 is the first issue of multiple issuers in our sample. We obtain our sample of convertible bonds from SDC database. Abnormal returns are calculated using the market model, beta is estimated using CRSP value-weighted index over 240 days ending 11 days before day 0, the convertible bond issue announcement date. Stock returns are obtained from CRSP. Mean abnormal returns are in the first row in each cell and the median abnormal returns are in the second row. We use t-test to test the significance of the means and sign rank test for the medians. The numbers in "Difference" columns represent p-values of t-tests (two sample median test) for the differences in means (medians) for the single issues convertibles sample from those of the multiple issues sample. [a], [b], and [c] denote significance at 1, 5 and 10 percent levels respectively.

Announcement Period	SI and MI-1	SI	MI	MI-1	Difference SI and MI-1
(-5,+5)	-0.0270[a]	-0.0301[a]	-0.0221[a]	-0.0076	-2.21[b]
	(-0.0226)[a]	(-0.0234)[a]	(-0.0194)[a]	(-0.0050)	(57.00)[c]
(-3,+3)	-0.0271[a]	-0.0294[a]	-0.0246[a]	-0.0127[c]	-2.08[b]
	(-0.0209)[a]	(-0.0219)[a]	(-0.0192)[a]	(-0.0153)[c]	(56.00)[c]
(-1,+1)	-0.0190[a]	-0.0205[a]	-0.0206[a]	-0.0095[c]	-1.87[c]
	(-0.0151)[a]	(-0.0163)[a]	(-0.0176)[a]	(-0.0098)[a]	(58.00)[b]
(-1,0)	-0.0139[a]	-0.0156[a]	-0.0123[a]	-0.0040	-2.38[b]
	(-0.0079)[a]	(-0.0085)[a]	(-0.0080)[a]	(-0.0036)	(55.00)
(0,+1)	-0.0103[a]	-0.0115[a]	-0.0075[a]	-0.0032	-2.05[b]
	(-0.0049)[a]	(-0.0051)[a]	(-0.0053)[a]	(-0.0042)	(50.00)

Table 2
Regression Analysis of Announcement Returns of Multiple Issuers and Single Issuers

This table presents the results of the regression analysis of announcement returns of the first issue of the multiple issuers and the single issues in our sample. The sample consists of completed convertible bond issues made between 1985 and 2011 by public companies trading in US markets. Single Issues (SI) are offerings made by firms that issued convertible bonds only once and Multiple Issues (MI) are offerings of firms that issued multiple times during the sample period. MI-1 is the first issue of multiple issuers in our sample. The dependent variable is the announcement period returns for the period (-3,+3) where day 0 is the announcement day. Abnormal returns are calculated using the market model, beta is estimated using CRSP value-weighted index over 240 days ending 11 days before day 0, the convertible bond issue announcement date. Stock returns are obtained from CRSP. Sequence is a dummy variable that takes the value of one for the first issue of multiple issuers and zero for offering of single issuers. Assets is the natural logarithm of the total book value of assets. Issue size is the total proceeds divided by the book value of total assets time 100. Underwriter Fee is the underwriter fees as a percentage of total proceeds. Rating is a dummy variable that takes the value of one for bonds rated investment grade and above by Moody's and zero otherwise. Exchange is a dummy variable that takes the value of one for issuers listed in NYSE Amex and zero otherwise. Market-to-Book is the price multiplied by the company's common shares outstanding, divided by common equity. Debt Ratio is the sum of long-term debt and debt in current liabilities, divided by the book value of total assets. Year is a dummy variable that takes the value of one for offerings made in 1997 and before and zero for later issues. Proceed Use is a dummy variable that takes the value of one for issues with stated use of investment and acquisitions and zero otherwise. Sales Growth is the percentage change in sales since the previous year. The t-statistics are in parentheses. [a], [b], and [c] denote significance at 1, 5 and 10 percent levels respectively.

Variable	Regression 1	Regression 2	Regression 3	Regression 4	Regression 5
Intercept	-0.0294[a]	-0.0265	-0.0465	0.0165	-0.0349
	(8.39)	(0.90)	(1.52)	(0.38)	(1.24)
Sequence	0.0167[c]	0.0575[b]	0.0502[b]	0.0470[b]	0.0499[b]
	(1.78)	(2.55)	(2.36)	(2.23)	(2.44)
Assets				-0.0106[c]	
				(1.67)	
Issue size		-0.0010[c]		-0.0026[b]	
		(1.76)		(1.99)	

Underwriter Fee		-0.0069	-0.0267	0.0021	-0.0145
		(0.16)	(0.69)	(0.05)	(0.39)
Rating				0.0344	
				(1.50)	
Exchange		-0.0100	0.0040		-0.0079
		(0.59)	(0.23)		(0.49)
Market-to-Book					0.0046^b
					(2.25)
Debt Ratio		-0.00001	-0.0001		0.0001
		(0.04)	(0.41)		(0.21)
Year			0.0373^b		
			(2.18)		
Proceed Use		0.0413	0.0464	0.0310	0.0339
		(0.98)	(1.13)	(0.65)	(0.85)
Sales Growth			0.00005^b		
			(2.05)		
N	688	150	154	135	155
R²	0.0046	0.0711	0.1000	0.0842	0.0835

Table 3
Univariate Analysis of Announcement Returns of Multiple Issuers and Sequence

This table presents the results of the univariate analysis of announcement returns of multiple issuers for different issues in the sequence. The sample consists of completed convertible bond issues made between 1985 and 2011 by public companies trading in US markets. We obtain our sample of convertible bonds from SDC database. Multiple Issues (MI) are issues made by firms that made multiple offerings of convertible bonds during the sample period. MI-1 is the first issue of multiple issuers, MI-2 is the second issue, and MI-2+ is the second and later issues in our sample. Abnormal returns are calculated using the market model, beta is estimated using CRSP value-weighted index over 240 days ending 11 days before day 0, the convertible bond issue announcement date. Stock returns are obtained from CRSP. Mean abnormal returns are in the first row in each cell and the median abnormal returns are in the second row. We use t-test to test the significance of the means and sign rank test for the medians. The numbers in "Difference" columns represent p-values of t-tests (two sample median test) for the differences in means (medians) for the single issues convertibles sample from those of the multiple issues sample. [a], [b], and [c] denote significance at 1, 5 and 10 percent levels respectively.

Announcement Period	MI-1	MI-2	MI-2+	Difference MI-1 and MI-2	Dif MI-1
(-5,+5)	-0.0076	-0.0306[a]	-0.0333[a]	1.67[c]	
	(-0.0050)	(-0.0306)[a]	(-0.0277)[a]	(40.00)[b]	(
(-3,+3)	-0.0127[c]	-0.0336[a]	-0.0338[a]	1.96[c]	
	(-0.0153)[c]	(-0.0263)[a]	(-0.0252)[a]	(40.00)[b]	(
(-1,+1)	-0.0095[c]	-0.0333[a]	-0.0292[a]	2.92[a]	
	(-0.0098)[a]	(-0.0259)[a]	(-0.0244)[a]	(37.00)[a]	(
(-1,0)	-0.0040	-0.0209[a]	-0.0188[a]	2.34[b]	
	(-0.0036)	(-0.0142)[a]	(-0.0128)[a]	(41.00)[c]	(
(0,+1)	-0.0032	-0.0166[a]	-0.0108[b]	2.20[b]	
	(-0.0042)	(-0.0098)[a]	(-0.0079)[a]	(42.00)[c]	(

Table 4
Regression Analysis of Announcement Returns of Multiple Issuers and Sequence

This table presents the results of the regression analysis of multiple issuers for different issues in the sequence in our sample. The sample consists of completed convertible bond issues made between 1985 and 2011 by public companies trading in US markets. Multiple Issues are issues made by firms that made multiple offerings of convertible bonds during the sample period. The dependent variable is the announcement period returns for the period (-3,+3) where day 0 is the announcement day. Abnormal returns are calculated using the market model, beta is estimated using CRSP value-weighted index over 240 days ending 11 days before day 0, the convertible bond issue announcement date. Stock returns are obtained from CRSP. Sequence is a dummy variable that takes the value of one for the first issue of multiple issuers and zero for other multiple issues. Assets is the natural logarithm of the total book value of assets. Issue size is the total proceeds divided by the book value of total assets time 100. Underwriter Fee is the underwriter fees as a percentage of total proceeds. Rating is a dummy variable that takes the value of one for bonds rated investment grade and above by Moody's and zero otherwise. Exchange is a dummy variable that takes the value of one for issuers listed in NYSE Amex and zero otherwise. Market-to-Book is the price multiplied by the company's common shares outstanding, divided by common equity. Debt Ratio is the sum of long-term debt and debt in current liabilities, divided by the book value of total assets. Year is a dummy variable that takes the value of one for offerings made in 1997 and before and zero for later issues. Proceed Use is a dummy variable that takes the value of one for issues with the use of the proceeds stated as investment and acquisitions and zero otherwise. Sales Growth is the percentage change in sales since the previous year. The t-statistics are in parentheses. [a], [b], and [c] denote significance at 1, 5 and 10 percent levels respectively.

Variable	Regression 1	Regression 2	Regression 3	Regression 4	Regression 5
Intercept	-0.0338[a]	-0.2208[b]	-0.2173[b]	-0.2212	-0.2209[b]
	(5.14)	(2.36)	(2.34)	(2.36)	(2.34)
Sequence	0.0210[b]	0.0587[a]	0.0573[b]	0.0582[a]	0.0589[b]
	(2.11)	(2.73)	(2.67)	(2.74)	(2.68)
Assets		0.0203[c]	0.0207[c]	0.0202	0.0204[c]
		(1.78)	(1.79)	(1.74)	(1.73)
Issue Size		0.0040	0.0038	0.0042	0.0040
		(1.00)	(0.98)	(1.05)	(0.99)
Underwriter Fee		0.1153[c]	0.1160[c]	0.1140	0.1146[c]
		(1.99)	(1.98)	(1.89)	(1.88)
Rating			-0.0009	-0.0004	-0.0012
			(0.03)	(0.02)	(0.04)
Exchange		-0.0258	-0.0229	-0.0263	-0.0255
		(1.06)	(0.92)	(1.06)	(1.00)
Market-to-Book		0.0019		0.0020	0.0019
		(0.40)		(0.44)	(0.40)
Debt Ratio		-0.0001	-0.0002		-0.0001
		(0.14)	(0.36)		(0.14)
Year		0.0467	0.0477	0.0460	0.0467
		(1.51)	(1.56)	(1.51)	(1.50)

Proceed Use		-0.0976	-0.08259	-0.1002	-0.0974
		(1.43)	(1.35)	(1.54)	(1.41)
Sales		0.0002	0.0002	0.0001	0.0002
Growth		(0.56)	(0.70)	(0.54)	(0.55)
N	221	59	60	59	59
R²	0.0199	0.2910	0.2859	0.2907	0.2910

Transforming School Leadership with ELCC Standards: Perceptions and Collaborative Model for the 21st Century

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Abstract: The challenges to effectively meet the needs of students in today's diverse society demand educational leadership teams that offer a wide range of skills able to address multi-dimensional issues. The Wallace Foundation (2012) reported that a key practice essential to effective school leadership is cultivating leadership in others so that teachers and other adults assume their part in realizing the school vision. Against a backdrop of the new ELCC standards for Educational Leaders this presentation/paper 1) examines perceptions of the ELCC standards among emerging leaders at the conclusion of their university preparation program, and 2) proposes a 21st century shared leadership team model to include principals and counselors for P-12 schools.

Perceptions of HIV/AIDS education: Study of high school youth in Port Elizabeth, South Africa

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Abstract: South Africa has a history of political unrest as well as racial and social tensions. HIV/AIDS continues to take a toll on the country's path to development. Given the high risk of youth to HIV/AIDS, this study investigated whether HIV/AIDS education increased the knowledge of high school youth to vulnerability of HIV/AIDS and impacted their sexual behavior. Qualitative data were transcribed from focus-group discussions with male and female youth enrolled in a high school located in the Eastern Cape in the city of Port Elizabeth. Data were analyzed in order to understand the impact of HIV/AIDS education on students' knowledge and willingness to engage in dialogue with teachers and parents. Ten individuals in each focus group were randomly selected to participate in informal discussions.

Participants were not provided with prior knowledge of the content of the discussions and were informed that data were being collected for research purposes.   To maintain anonymity, participants were coded by assigning numbers, advised of the aim of the research, and assured of confidentiality. Since the participants were minors, consent forms from parents or guardians were obtained. Preliminary results suggest that HIV/AIDS education has increased students' knowledge of the disease and has a positive impact on their sexual behavior.   Students' willingness to discuss topics related to HIV/AIDS with teachers and parents varied by gender. This study supports national trends indicating that among youth South Africa HIV prevalence rates have declined.

Cyber Schooling and Response to Intervention (RTI):
A Virtual Possibility

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Introduction

Response to Intervention (RTI) has been recognized as a resource for schools to use to address the learning gaps for students and those with other needs in special education. Although RTI has produced broad empirical and evidence based data that has improved the identification, screening and assessment of students across the evaluation and special education continuum, questions still persist about the universal application of RTI specifically, the way RTI is used by schools who lack adequate resources to implement the program effectively. The primary concern here is how RTI can be delivered in cyber schools, as the nations' population of charter schools and students continues to grow at an accelerated rate.

This paper will address the problems that the field of special education confronts when cyber charter schools adopt the use of RTI as an intervention and pre-screening tool, given the vast amount education that takes place online and in virtual formats. The author argues that RTI must be carried out with equity and attention to the students, who may not exhibit the academic or behavioral responses that can be quantified or understood, in the strict sense through virtual instruction (Kvale & Spaulding, (2008). Further, in order for RTI to be implemented with equity, and evidence based decision making, there must exists universal standards that govern its widespread adoption and use, especially by cyber charter schools that experience the most challenging issues when assessing and providing services for students from diverse backgrounds (Montani & Frawley, 2011; Pavri, 2010). Lastly, If RTI is to be effective in addressing the achievement gaps that exist amongst at risk and high needs learners who also have special education needs, then a new legal framework should be developed that will construct guidelines and shape education reform, so that there is continuity and consistency across all cyber schools, charter schools, urban, suburban, rural and other (Fuchs, Morgan & Young, 2003; Williams, 2012).

Cyber charters and special education

Charter schools must abide by federal special education laws and regulations because they are part of the public education system. However, the means through which compliance is carried out differs in practice than on paper, but most due to a number of factors, the most important of which are a charter school's legal identity and its linkage to a traditional Local Education Agency (LEA) for purposes of special education (Estes, 2009; Fiore et al., 2000; Horn and Miron, 2000). Familiarity with these concepts is critical, especially for a cyber charter school. An LEA is usually defined as an entity that has responsibility for the education of all children who reside within a designated geographical

area of a state. Cyber Charter schools do not completely fit into this definition since they are schools of choice and have responsibility for students who are enrolled in the school from across the state and in some instances, the country. The Individuals with Disabilities Education Act (IDEA) and its regulations specifically include charter schools in the definition of an LEA: "a public charter school that is established as an LEA under State law" [34 CFR Â§300.18]. However, there exist a number of nuances interwoven with understanding a cyber charter school's level of responsibility for special education.

This presentation focuses on the uniqueness of Cyber Charter schools and their use of innovative technologies that assist them to function as their own local education agencies. However, since cyber charters can also be authorized and operate under some other entity, oftentimes a remote educational management organization, (EMO) this makes the education of students with special needs that much more complex (Rhim & McLaughlin, 2001). Most states have clear guidelines and "strong laws," that support charter school autonomy and independence and allow them to determine the best means to properly educate students, especially those with identified special education needs consistent with IDEA. However, status is not always clearly delineated and a cyber charter school's legal status for special education may be different from its legal status for all other matters. Lastly, the role and function of providing a FAPE for identified students is typically done in the home, through live sessions using innovative technologies and through synchronous and asynchronous sessions via a teaching and learning platform consistent with distance education. How and to what degree do we know that these technologies are successful forms of delivery and instruction, become the essential question of this paper presentation.

Technology, FAPE and Progress Monitoring; Glows and Grows.

Technology has enhanced the way we educate students. Cyber schools have become the fastest growing form of delivering a FAPE to identified students served under IDEA and ADA. However, conflicts over the extent to which meaningful instruction can be delivered, progress monitoring can be evaluated effectively, and related services provided has expanded the legal framework of IDEA and equally sparked new discussions around FAPE violations. Additionally, cyber schools, unlike traditional brick and mortar charters, are faced with the task of delivering instruction and assessments in the home, or at educational centers, with the parents' active involvement. This can sometimes complicate teaching and learning or can enhance the delivery of instruction and teaching. Additionally, issues around interventions and progress monitoring have evolved through the growth of cyber charters. For example, responsiveness to intervention, an approach to deliver evidenced based instruction to remediate a learning problem looks very different in some cyber charters than in traditional schools (Fuchs, Morgan & Young, 2003; Kavale & Spalding, 2008) Intervention and assessments, such as RtI can be delivered via live or recorded lessons, in the home or at a satellite sight. Diagnostics and assessments can be delivered at the convenience of the student and recorded for optimum use for students with more severe needs or other limitations. Technology and cyber education through school choice has arrived. However, there are some problems.

Parents may have concerns and questions around the initial evaluation timeline for their child and how these data can be collected without a live body. Additionally, the traditional observation of student learning and performance is left to a pre-recorded teacher with only the completed diagnostic data to capture student behaviors and reactions to instruction. More so, when students have

questions about a topic or encounter problems, there may be a delay in the response or no response at all depending on the mode and delivery of instruction and intervention. Overall, cyber parents maintain a positive stance on cyber education, and students continue to enroll at record numbers, making this form of schooling an attractive option to the tradition brick and mortar charter and public school (Finn, Caldwell & Raub, 2006). This presentation seeks to raise critical questions and answers around what is working in the way of delivery of special education, how do we know, and what innovative technologies provide these data? The presenter draws upon an action research methodological framework to share the aforementioned and conclude with glows and grow for the cyber education charter school movement.

Methodology

This is phase one of a two part case study focused on RTI and cyber charter school practices in special education. Using a qualitative approach to data collection and analysis, the author observed the instruction, assessment and performance of RTI taking place at a cyber school located in the mid Atlantic. The charter school operated a brick and mortar site, as well as a virtual site for students identified with special education and intervention needs. The sample comprised of thirty two students in tiers two and three of RTI, based on the school wide baseline data, and three quarters of assessment data that drove the decision making. The units of analysis were the students responses to the synchronous and asynchronous intervention lessons based on the traditional RTI model. Data reveal that students were able to make some progress with the use of the learning platforms, Connections delivery assessment system, and through pre-recorded intervention sessions. Additionally, there is a need for more student opportunities in the way students and teachers each interacted and for students to better monitor their own progress based on the technology available to them. There are implications for more wide spread and innovative practices using technology with RTI in order to address the academic and functional needs of students.

Literacy & Struggling High School Students

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Dr. Noll currently teaches both graduate and undergraduate literacy courses at Ashland University, where she also serves at the Director of the Becker Reading Center that serves struggling readers from the Ashland area. Before entering higher education, she served in k-12 schools as a teacher, reading interventionist, and literacy coach. She has presented and published both nationally and locally, and regularly works with teachers in their classrooms to improve literacy assessment and instruction for those students who struggle the most. Her research interests include RTI, phonics instruction, reading intervention & assessment, writing instruction, and core reading instruction.

Abstract: A case study was conducted in a rural school district in NE Ohio during the summer of 2013 to answer the over-arching question, "What do high school-aged, struggling readers look like?" Nine graduate level students, enrolled in a Masters level literacy course were matched one on one with high school students who had failed Language Arts in the previous school year and were attending summer school. For three weeks, graduate students first met as a class to learn about intervention and assessment related to struggling high school students. Subsequently, at the end of each class session, the graduate students met with their tutee for 1 hour, for a total of 15 hours of literacy tutoring. Lesson plans, observations and questionnaires were used to collect data about the progress of the students throughout the study. At the conclusion of the study, a snapshot was created which described this sample of struggling readers. This included information pertaining to specific areas of academic weakness, family background, social challenges, and challenges within the affective domain. Participants reflected on lessons they learned and ways in which their views of struggling high school students changed over the course of the month. Implications of this study are far reaching, as the realm of struggling adolescents is a challenging one. Insights, research, and suggestions for success when working with this population will be shared, and conversation will be welcomed as we work together to try to make a difference in the lives of adolescents who struggle.

A Formative Experiment to Increase English Language Learners' Awareness and Use of Metacognitive Strategies through Reciprocal Teaching

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Abstract: This formative experiment introduced a reciprocal teaching (Palincsar & Brown, 1984) intervention into two fifth grade inclusive, social studies classrooms to increase English language learners' (ELLs) awareness and use of metacognitive strategies over 13 weeks. A formative experiment (Reinking & Bradley, 2008) was selected as the methodology, and both qualitative and quantitative data were collected to determine student-participants' progress toward the goal. Results of the data analysis guided the study, and the intervention was adapted to ensure students moved steadily toward attainment of the established, pedagogical goal. The researcher and teacher-participants worked in a collaborative fashion to make adaptations to the intervention to best support the needs of ELL participants. Qualitative results indicated students' progress toward the goal.

Keywords: English language learner, reciprocal teaching, formative experiment, metacognitive strategy instruction

A Formative Experiment to Increase English Language Learners' Awareness and Use of Metacognitive Strategies through Reciprocal Teaching

In today's political immigration climate, Latino students may be apprehensive about their outward appearance, trying to fit into the predominant culture in schools they attend. Students with culturally and/or linguistically diverse (CLD) backgrounds can be assets to the classroom, but often, their cultural wealth is not utilized. Addams (2009) wrote:

> I believe if these people [immigrants] are welcomed upon the basis of the resources which they represent and the contributions which they bring, it may come to pass that these schools which deal with immigrants will find that they have a wealth of cultural and industrial material which will make the schools in other neighborhoods positively envious. (p. 44)

Addams was referring to Italian immigrants at the beginning of the twentieth century. However, with Latino immigration continuing, Addams' article is apropos to a discussion of education in U.S. schools in the twenty-first century. According to the Pew Research Center (Passel & Cohn, 2011), the growth in Latino population over the last 20 years rose more than expected: "The 2010 Census counted 50.5 million Hispanics in the United States, making up 16.3% of the total population" (np). If this Latino population growth trend continues, schools will have an increasingly diverse student population, with some areas of the country impacted more than others. Educators will face greater demands as they strive to meet the needs of their diverse student population. Nevertheless, students and classrooms can benefit from the cultural wealth that diverse classrooms offer (Au, 1998; Genzuk, 1999; Moje, 2007; & Moll and Diaz,1983).

English language learners (ELLs) will be taught in classrooms where English is the dominant language of instruction; but Jiménez (1997) wondered: "How can monolingual teachers increase Latino/a students' comprehension?" (p. 242). That question becomes more pertinent when students

are introduced to expository texts, where academic language is more demanding due to content area vocabulary. The reality of public schooling is that the majority of teachers are monolingual, but they have to address the needs of ELLs. Latino students need educators who will implement research-based, instructional strategies that lead to greater educational success.

Statement of the Problem

Latino students are often described as an at-risk population, but what does at-risk mean? At-risk often denotes students dropping out of middle or high school (Fergus, 2009), which then puts them at-risk of being unemployed and on welfare (Fashola & Slavin, 1998). It is well documented that students without a high school diploma earn less than their peers who graduate from high school, and much less than their peers who go on to earn an associate's or bachelor's degree.

Fergus (2009) expressed concern that 50% of Latino students in the fourth grade are not proficient in either math or reading. If students are struggling readers in fourth grade, they may be less successful in middle and high school. Current trends show that the high school dropout rate for Latino students is approximately 50%, with a higher percentage of Latino males making up that number (Fergus, 2009). Students who experience failure in middle or high school may not have the necessary tools and strategies to monitor their learning, leading to frustration.

Importance of Early Intervention

With the rise in the U.S. Latino population, public schools will be impacted. To combat this and ensure gains in academic achievement for Latino students, teachers must provide high-quality, research-based instruction that incorporates the cultural and linguistic needs of this growing student population (Ortiz, Wilkinson, Robertson-Courtney, & Kushner, 2006). Increased awareness and use of metacognitive strategies at the elementary level could result in enhanced comprehension and thus, better academic and retention outcomes.

Research that highlights effective instructional supports for ELLs in upper elementary settings may provide insight for professional development and/or instructional techniques that can lead to improved retention rates. Furthermore, effective strategies that incorporate opportunities for Latino students to talk about expository content material with their peers can also support their linguistic efforts, especially if these students are still acquiring Basic Intercommunication Skills (BICS) and/or Cognitive Academic Language Proficiency (CALP) (Cummins, 1984).

Potential Solution

Metacognitive strategies have demonstrated efficacy in enhancing academic growth of students, but there are few studies using metacognitive strategy instruction focusing specifically on ELLs (e.g., Olson & Land, 2007; Jiménez, 1997; Moll & Diaz, 1986; Ivey & Broaddus, 2007). Researchers utilizing Reciprocal Teaching (RT) (Palincsar & Brown, 1984) interventions have demonstrated positive academic growth for students; but, there is less research on RT with students whose first language is other than English.

Reciprocal teaching (Palincsar & Brown, 1984) is an approach that involves a set of strategies embedded in a metacognitive conversation among teacher and students. Reciprocal teaching includes

four components that require students to: a) generate questions from text; b) clarify information that is not clear; c) summarize portions of text; and, d) make predictions about text. Gradually, teachers release the responsibility of learning to students; and students then assume more of the learning of content in groups with peers. After a review of the literature on RT, this research-based, instructional strategy was selected as the intervention for this study.

The purpose of this study was to examine how a RT intervention could be implemented in two fifth grade classrooms to increase Latino students' awareness and use of metacognitive strategies. The focus of this study was to determine how RT strategies could be effectively implemented by a classroom teacher to address the needs of ELLs via a formative experiment (Reinking & Bradley, 2008) undergirded with sociocultural theory (Vygotsky, 1978).

Review of the Literature

Reciprocal Teaching: Review Selection Criteria

Rosenshine and Meister (1994) conducted a review of the research on reciprocal teaching from its inception through1994. Their review included only experimental or quasi-experimental studies that cited the work of Palincsar and Brown (1984). Articles selected for inclusion also used the keywords *reciprocal teaching*. The reviewers found 16 studies that met all the criteria for the review; these included four published articles and 12 studies found in dissertations or paper presentations.

Rosenshine and Meister (1994) analyzed the data according to a number of factors, including: (a) who performed the intervention; (b) group size; (c) quality of the study; (d) assessment used to evaluate students' learning; and, (e) number of cognitive strategies used in the study. Rosenshine and Meister found that there were significant results with the researcher-developed assessments, with an average effect size of .88, but only slight increases in students' performance on the standardized tests, with an average effect size of .33.

Rosenshine and Meister (1994) required the presence of experimental and control groups for inclusion in the study, with either random student assignment or matched students from intact classrooms who were found to be similar on reading comprehension measures. The review for this study provided a broader range of investigations, including qualitative, mixed-methods, or design-based studies that incorporated reciprocal teaching as part of an intervention.

Of the 16 studies retrieved by Rosenshine and Meister (1994) for inclusion in their review, the range of ages consisted of seven-year-olds to adults. This review focused on studies conducted in upper elementary grades. A few studies with high school levels were included because the studies began in sixth grade. Testing the effects of metacognitive strategy instruction in the early elementary grades is confounded by beginning reading instruction (Moje, 2004); and as a result, those studies were not included in this review.

Current Research: Search Procedures

A search of the Education Research Complete and Social Sciences Citation Index databases provided 126 articles when the keywords *reciprocal teaching* were used, with publication dates ranging from 1994 to 2011. Studies were included if they: (a) cited Palincsar and Brown (1984); (b) utilized qualitative, quantitative, mixed methods, or design-based research; (c) were peer reviewed or

were unpublished dissertations; and, (d) were conducted in the upper-elementary, middle, or high school classrooms. Studies focusing on students with disabilities, as well as studies performed outside the United States, were excluded.

Of the 126 articles, 106 were initially excluded because they did not meet the criteria. Nineteen articles were retained from the original search, and the author performed a review of the abstracts and the reference sections to ascertain whether the studies cited Palincsar and Brown (1984). Eleven articles met all the criteria, but four were found to be informational articles for practitioners and were subsequently discarded. Hand searches of references from included studies, as well as hand searches of *Reading Research Quarterly*, *The Journal of Literacy Research*, and *The Reading Teacher*, were performed. Two studies were retrieved, bringing the total number of studies to nine.

Findings of ELL Studies

Of the studies reviewed, six were in elementary schools (e.g., Munoz-Swicegood, 1994; Proctor, Dalton, & Grisham, 2007), two in middle schools (Jiménez, Garcia, & Pearson, 1996), one following students from middle to high school (Olson & Land, 2007), and one high school (Pritchard & O'Hara, 2008). Most utilized narrative texts, with two studies using expository and narrative texts (e.g., Proctor et al., 2007) equally. Researcher's results revealed that students' comprehension was enhanced through the use of RT strategies. Overall, based on studies reviewed, RT appeared to be an intervention that demonstrated promise in achieving the goal of this formative experiment. Findings from all intervention studies indicated that metacognitive strategy instruction supported the needs of ELLs (e.g., Jiménez, 1997; Jiménez et al., 1996; Munoz-Swicegood, 1994; Olson & land, 2007;). Some of the studies looked at a single metacognitive strategy such as QAR and generating questions (Muñoz-Swicegood, 1994), while others introduced RT interventions into a classroom or online setting (Proctor, Dalton, & Grisham, 2007; Olson & Land, 2007). Overall, RT supported ELLs' comprehension, when it was explicitly modeled and used in conjunction with a dual language approach (e.g., Jiménez, 1997; Langer, Bartolome, Vasquez, & Lucas, 1990; Padrón, 1992).

Method

Design

A formative experiment (Reinking and Bradley, 2008) was selected as the framework for this study. Brown (1992), who used the term design-experiment, had one of the earliest frameworks outlined to achieve a predetermined goal in the context of an intact classroom environment. Formative experiments fall under the general terminology of design-based research (van den Akker, Gravemeijer, McKenney, & Nieveen, 2006). Formative experiments do not have one specific protocol or set of procedures that researchers must follow. However, Reinking and Bradley (2008) highlight a number of formats that researchers might use to guide a study toward achieving an established goal (Gravemeijer & Cobb, 2006; Reigeluth & Frick, 1999; Sloane & Gorard, 2003).

Reinking and Bradley (2008) created one framework that was selected for this study. The components included six questions that guided the researcher toward achieving the pedagogical goal, including: a) establishing a goal; b) identifying an intervention, supported by relevant research and theory, to achieve the goal; c) identifying aspects that might enhance or diminish achievement of

the goal; d)determining modifications that may appeal to stakeholders, thus achieving the pedagogical goal more effectively; e) identifying unanticipated results, both positive and negative, produced by the intervention; and, f) determining instructional and/or environmental changes that occurred as a result of the intervention.

The goal of this study was to examine how RT could be implemented in two separate fifth grade classrooms to increase Latino/a students' awareness and use of metacognitive strategies. Elements of sociocultural theory was used to encourage an environment of collaboration during the course of this study, with a teacher and/or researcher acting as a more knowledgeable other (Vygotsky, 1978) to guide students toward a better understanding in the use of metacognitive strategies. This was an important goal because prior research has demonstrated ELLs lack metacognitive strategies that could be utilized to enhance comprehension (e.g., Franco-Fuenmayor & Padrón, 1992; Waxman & Padrón, 1987); and often, ELLs engage in activities during reading that detract from comprehension (Padrón, 1992; Padrón & Waxman, 1988; Padrón, Knight, & Waxman, 1986).

Setting

Oak Way Elementary (pseudonym) was one of eleven elementary schools in a rural county in a southeastern state. The city in which the school was located has a population of 8,102, according to the 2010 census data, with a racial breakdown of 65.3% White, 29% Black, and 4.5% Hispanic or Latino, with the remainder comprised of Asian, Native American, and two or more races (census.gov). According to the 2000 census data, the Hispanic or Latino population was 1.53%. At the time of the study, Oak Way Elementary had an enrollment of approximately 362 students comprised of 73% White, 15% African American, and 5% Hispanic students.

Classrooms. The classrooms were self-contained, and teacher-participants in both classes taught all subjects. The room arrangements were comprised of groups of desks and tables. During the course of the study, classroom B had multiple changes to the room arrangement. Classroom A maintained three groups of eight desks for the entire intervention.

Student participants

IRB Approval and Students' Records. With university IRB approval and parental permission obtained, baseline data collection began; and students' scores for English Language Development Assessment (ELDA) were requested (Figure 1). However, teachers' concerns about permissible access prevented release of student scores until nearly the end of the study. Students' English proficiency levels were observed by the researcher during classroom instruction. During the four months in which the study was conducted, the ESOL teacher who served student-participants was not observed to be in the classroom during social studies.

<insert figure 1 here>

After four weeks of observations and initial data collection on students' awareness and/or use of metacognitive strategies, the researcher met with both teachers to determine how to put the intervention into place. Ms. Blumenthal (all participant names are pseudonyms), had three ELLs in her class, and she requested that the researcher initially teach a lesson with the strategies while she observed. Ms. Alvarado had one ELL in her class, and she requested that the researcher co-teach the

lesson, inserting strategies as she taught the content. It was determined that both teacher's requests could be met and the intervention was initiated in both classrooms.

Intervention, Adaptations, and ongoing Data Collection

Teacher/Student Training. Teacher-participants were provided with excerpts from Palincsar and Brown's (1984) original article, as well as excerpts from Oczkus's (2003) book: *Reciprocal Teaching at Work: Strategies for Improving Reading Comprehension.* This strategy, utilized by Hacker and Tenent (2002), helped familiarize teachers with the intervention. Ms. Blumenthal (Class B) stated that she read the material and thought the strategies were good. Ms. Alvarado (Class A) stated that she was trying to find time to read all of the information. The researcher observed Ms. Blumenthal adding RT strategies to her lesson plans and instruction, while Ms. Alvarado continued to teach social studies in the same way she had always done.

Introducing the Intervention. Initially, RT strategies were taught using direct instruction. Direct instruction has been found to enhance students' effective, independent use of the strategies (Jiménez, 1997; Moll & Diaz, 1987; Palincsar, Brown, & Martin, 1987). The researcher met with the teacher-participants to discuss ideas in training students in using the strategies. Ms. Alvarado and Ms. Blumenthal both asked that the researcher initially teach the strategies to the students so that they could observe how RT was done. However, Ms. Alvarado ended up teaching the lesson and asking the researcher to insert strategies at appropriate times.

This study was designed as a collaborative effort, but both teachers relied on the researcher to guide the study and make modifications based on observations. When de-briefing with the teachers, they often said things like "whatever you think will work" or "whatever you want to do", preferring to allow the researcher to make modifications.

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Results

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Data Collection and Analysis

Formative and design experiments "represent an approach to research that has arisen from within the field of education and that is aimed specifically at achieving the goals of education" (Reinking & Bradley, 2008, p. 34). This study involved quantitative and qualitative data. Qualitative data sources included: 1) pre, during, and post interviews with the teacher-participants and pre and post interviews with the student-participants; 2) observational field notes; 3) de-briefing sessions with the teachers; 4) researcher reflections; and, 5) student-participants' summaries and questions. This mixed methods (Creswell, 2008) approach, embedded within a formative experiment, was determined to be useful in assessing students' progress toward awareness and use of metacognitive strategies.

Axial Coding. The original codes that were produced from the baseline data resulted in a system to determine progress toward the goal. In all, 23 codes were generated and categorized into five themes (Figure 2). After the intervention was introduced, new codes were generated. To determine reliability of the codes, 10% of the field notes were given to an independent rater, along

with the codes and an explanation of the codes. Inter-rater reliability was 86% with classroom B and 100% with classroom A.

Data were analyzed using a constant comparative analysis in which open coding was used initially, followed by axial coding in which the researcher grouped the codes into the following categories: 1) unproductive instructional/learning behavior; 2) students are engaged, but RT strategies are absent; 3) behaviors demonstrating initial progress toward goal; 4) classroom behaviors demonstrating some progress toward achieving goal; and, 5) classroom activities demonstrating greatest progress toward achieving goal (Figure 2). These codes and themes guided the study toward the established pedagogical goal.

<insert figure 2 here>

In this manner, after the intervention was introduced, the researcher continued to record classroom activities as student-participants and teacher-participants were engaged with RT strategies. During any observation, ELLs or non-participating students in the learning environment might have been observed being off-task and talking or being silent and paying attention multiple times. However, these instances were not counted.

Changes to the Classroom Environment

Classroom Environment

 Classroom A. There were no major changes to classroom A. During the course of the intervention and subsequent adaptations to the intervention, the classroom environment remained almost the same as during the initial observations.

 Classroom B. During the course of the intervention and iterative cycles, the classroom environment in classroom B did change. From the pre-intervention stages to the last adaptation, the classroom moved from round robin reading to a collaborative, small group classroom in which all students were actively engaged in reading, critical thinking, summarizing text for their peers, and being responsible for asking teacher-like questions of their peers. Prior to the intervention, individual students read a few sentences at a time in a rapid manner to cover large amounts of dense expository material. During the final adaptation of the intervention, students were taking on the responsibility of instruction of their peers in jigsaw fashion using RT strategies. The level of engagement of all students was markedly different. After the study, Ms. Blumenthal decided not to continue using RT strategies in small groups due to classroom management issues. However, Ms. Blumenthal might consider using the strategy during the next school year.

If this method of instruction were to have continued during the school year, the researcher believed it possible that students in classroom B might have experienced a heightened sense of responsibility for teaching content material to their peers the. The final interview with Ms. Blumenthal provided some insight into the successes and limitations of the intervention:

 Researcher: "Do you think this intervention made any difference in the classroom?"
 Ms. Blumenthal: "I think it helped us learn some strategies for reading and going over what we read and not just blowing through it. It didn't appear to make a whole lot of difference with grades…but a lot of students have "senioritis" and have checked out and are ready to move on the middle school."

Researcher: "Is RT difficult to implement?"

Ms. Blumenthal: "No. I liked seeing you do it…and that's how most of us learn best…by watching someone else."

Researcher: "Would it have been easier if you'd gone to some professional development training?"

Ms. Blumenthal: "No…it's much better to have you come in because when you leave professional development training, it's too hard to implement and most of the time it's too hard to implement and you just forget it."

Researcher: "Do you think RT is a realistic strategy to use in the classroom?"

Ms. Blumenthal: "Yes."

Researcher: "Would it be harder to use all four strategies?"

Ms. Blumenthal: "Yes. We used those two (summarizing and questioning) because they were the easiest to implement and the most beneficial."

Researcher: "Will you continue to use RT strategies?"

Ms. Blumenthal: "Yes."

Researcher: "Do you think RT aided students in understanding social studies?"

Ms. Blumenthal: "Yes…it definitely increased their interaction with the material. I don't know why grades didn't increase" (March 4, 2011).

Summary and Discussion of Findings, Limitations, and Implications

One week after the study concluded, the researcher was in an empty classroom across the hall from classroom B helping three student-participants with a science test. The question under discussion asked how to dilute hummingbird food. The researcher had to explain what a hummingbird was, as well as what hummingbird food was. The Spanish word for dilute was unknown, and the definition in English did not help much. The conversation that followed was surprising:

Gabriel; "I wish I could take the test in Spanish. I'd get them all right and I'd already be finished!"

José: "Me, too!"

Mercedes: "Me, too! I used to be smarter. When I was little in California, we had classes in English and Spanish and I was the smartest. Now I am not."

The article by Valenzuela (2009), when a high school student from Mexico said almost verbatim what Mercedes had just admitted, was brought to mind (March 4, 2011).

Opportunities for ELLs to speak in their native language are important to ensure comprehension. One interesting finding was student-participant's spontaneous use of code switching (Gingrás, 1974) when they worked in small groups. It began when the researcher asked for a translation of a word from English to Spanish for Mercedes. Gabriel supplied the translation and Mercedes' face lit up. She didn't need the definition of the word; she just needed the translation to enhance understanding. The students began to use this strategy more often; and this use of code switching, or moving between English and Spanish, allowed the more-proficient ELLs to clarify content-area vocabulary words for the less-proficient ELLs in the study. Often, Mercedes would leave her group to find Gabriel and ask for the translation. Her own awareness of this strategy became quite beneficial.

Pushing Toward an End to Silence in the Classroom

Classroom B was never a silent place; on the contrary, this classroom was often a place of chaos. Yet amidst this pandemonium, three silent English language learners (ELLs), the student-participants in this study, remained quiet prior to the intervention, as well as after the classroom teacher ended the study in spite of the progress demonstrated. Stanovich's (1986) and Allington's (1977) articles sprang to mind daily toward the end of the study. This classroom was not a reading class, but it was a time to focus on reading content material. When RT strategies were used in small groups, all three student-participants were engaged in reading, writing, and critical thinking. Opportunities to read in class were limited, and reading aloud was an opportunity the student-participants enjoyed. This was especially true for Mercedes and Gabriel. During the post-interview with Mercedes, she expressed an interest in reading more often:

> Researcher: "Do you wish you got to read more in social studies class?"
> Mercedes: "I guess."
> Researcher: "When you were in the small group, do you feel like you got to read more?"
> Mercedes: "Yes."
> Researcher: "Why?"
> Mercedes: "When I'm in a small group, I have to read one paragraph…then someone else reads the next…then it's my turn again."
> Researcher: "And you like that?"
> Mercedes: "Yes" (February 22, 2011).

For Gabriel, the need to read aloud led to a strange behavior that he described to me during his interview. In classroom B, round robin reading was used daily as an instructional and behavior management strategy. Gabriel was so intent on being called on to read more often that he devised a scheme, explained to me in his post-interview, to read more often:

> Researcher: "Do you like to read in class?"
> Gabriel: "Yes."
> Researcher: "Do you wish you got to read more?"
> Gabriel: "YES! At home I go to superteachertools.com…and I put in the names of the whole class, and then I just click until my name comes out."
> ---
> Researcher: "If you were in a group and had to read the whole section…like all seven pages…would you like that better?"
> Gabriel: "Yes."
> Researcher: "Because you would get to read more?"
> Gabriel: "Yes" (February 22, 2011).

When RT strategies were utilized less frequently after the study ended, Ms. Blumenthal went back to round robin reading; and student-participants became, once again, silent students. This silent noise became more apparent and filled the final days of observational notes with nothingness-a wasted opportunity. The intervention had allowed the three ELLs to actively engage in the learning environment. Regular classroom routine ended this opportunity. However, student-participants were aware of the difference as evidenced in excerpts from their final interviews detailed above.

Major Findings and Implications

English Proficiency

ELDA scores may provide insight into how RT aided ELLs with different levels of English proficiency. For example, do students with ELDA scores of three benefit more than students with ELDA scores of five? One major finding in this study is related to students' ELDA scores and academic success. Gabriel, who had the highest ELDA scores, demonstrated a substantial increase in academic performance on a teacher-created test during the last iteration of the intervention. This cannot be concluded as a causal effect; but the use of metacognitive strategies in small groups, along with the responsibility of teaching content material to his peers, may have aided his own understanding of social studies content. This in turn might have increased his academic performance. Thus, information about the effectiveness of a RT intervention when working with ELLs might be generalized to students with similar ELDA scores (Firestone, 1993; Reinking & Bradley, 2008). Future studies might take into account students' level of English proficiency.

During this study, there was a steady progress toward achieving the established goal. This was more apparent in classroom B than classroom A. However, the realization that vocabulary was impeding student-participants' understanding of content area material came toward the end of the study. Particularly for Mercedes and José, academic content vocabulary needed to be clarified; and this RT strategy was the least often utilized by either of the teacher-participants. Marcos, the student-participant in classroom A, remained silent during most observations; so it is unclear how much content and academic vocabulary and terminology he might have needed clarified. His ELDA scores were unavailable due to his recent move into the country, and the researcher inferred that his English proficiency was probably still emerging because of his
limited time in the U.S.

Studies on the impact vocabulary knowledge can have on comprehension (e.g., Anderson & Freebody, 1981; Davis, 1968; Garcia, 1998; Thorndike, 1917) should be noted when designing similar, future studies. Future studies should focus on vocabulary acquisition, in conjunction with an increased awareness and use of metacognitive strategies. Furthermore, more of an emphasis on the clarification strategy may aid ELLs with vocabulary.

Teacher Instructional Style

A second major finding is related to teacher instructional style. Ms. Alvarado had complete confidence in her ability as an effective classroom teacher. Likewise, she had multiple strategies in place that she was comfortable using in her classroom. Ms. Blumenthal, on the other hand, questioned her ability as an effective classroom teacher daily, as well as her own classroom management abilities; and she relied heavily on the researcher to help with the strategies. Due to these differences, Ms. Blumenthal was more willing to try new instructional techniques. Although Ms. Alvarado worked well with the resesarcher, quite often her instructional routine would override use of the RT strategies. She often utilized RT strategies such as asking students to generate questions, but she never seemed willing to take that next step and release more responsibility to the students. Reinking and Bradley (2008) noted that "establishing a professional, productive, and ethical relationship with a teacher is also essential but entails even more complex and delicate issues" (p. 80).

When working with both teachers, the researcher respected their opinions, knowledge of students, and input into the study. Likewise, the researcher deferred to their decision making during actual instructional time. The researcher was a guest in the class, as well as a collaborator. This delicate balance between collaborator and researcher was maintained in an effort to support both classroom teachers' efforts.

Interestingly, the researcher found that the intervention was more often utilized in a manner that had been pre-established when working with a teacher who struggled with confidence in her self-efficacy. Ms. Blumenthal may have viewed this intervention as a professional development opportunity; and her commitment to providing students with quality instruction may have influenced her decision-making. Reinking and Bradley (2008) further noted that a "teacher's participation in the research process became a source of self-esteem" (p. 81). For Ms. Blumenthal, I believe that research designed to improve instruction, experienced in a collaborative fashion, aided her self-esteem and confidence as an effective educator.

Limitations

This study adds to the limited research base on English language learners and metacognitive strategy instruction, as well as studies utilizing a formative experiment with ELLs. The participating school district has a growing population of ELLs, but the participating school has a relatively small population of ELLs.

Although there appears to be a link between English proficiency levels and increased awareness and use of metacognitive strategies enhancing academic performance, it has been inferred from observational data. Future studies might collect current data on students' English proficiency levels to try and determine if levels of proficiency result in different outcomes when introducing a RT intervention. The student-participants' ELDA scores, where available, were six months old; furthermore, based on my opinion and numerous conversations with the students, I do not believe that the ELDA scores accurately reflected students' English proficiency levels.

The Latino/a population continues to grow (census.gov) across the United States, but Latino populations and cultural beliefs/educational beliefs are not homogenous. This was true in this study as demonstrated in the initial interviews: one student-participant's family encouraged native language use at home while another student-participant's family encouraged English language use at home.

Metacognitive strategy instruction with ELLs is an important area for study as the Latino population grows. English proficiency levels might be a factor in ELLs' ability to use metacognitive strategies. Likewise, vocabulary knowledge should be considered. During this study, the teacher-participants usually made clarifications for students. The limited time, along with both teachers' belief that all students needed to read every word, did not allow greater use of the clarification strategy. Likewise, the collaboration between the researcher and all participants in classroom B might make generalizations to other settings difficult. Future studies might focus on clarification strategies to enhance vocabulary knowledge for ELLs. However, this population of students may not be representative of English language learners in general.

Discussion

This study illustrates the process of using formative experiments to better understand and enhance learning environments. The goal of this study was to increase ELLs' awareness and use of metacognitive strategies, with the hopes that enhanced comprehension of expository text would occur. This study made steady progress toward the goal, with greater progress in one classroom for a variety of factors. Student-participants in this study did begin to use RT strategies; but, it was determined that English proficiency and vocabulary content knowledge were important factors to consider when teaching students metacognitive strategies. Clarification of unknown vocabulary words was under-utilized in this study. Future studies might emphasize this strategy in a greater fashion.

Along with a focus on English proficiency, ELLs should be encouraged to search for cognates and/or speak in their native language to enhance understanding of academic content material. Gutiérrez, Baquedano-López, & Turner, (1997) noted that multiple studies have encouraged a dual language approach to enhance acquisition of English. Using a dual language approach can enhance both languages; and in such a manner, one language is not privileged over the other. Students in classroom B spontaneously engaged in speaking in their native language toward the end of the study; but this occurred only after the student-participants had established a relationship with the researcher. Furthermore, the researcher had spontaneously engaged in searching for cognates during one lesson when attempts to define the word location failed. This attempt by the researcher may have influenced student-participants' willingness to engage in their use of native language.

Promoting a dual language approach may enhance English language acquisition, promote biliteracy and bilingualism, and enhance ELDA scores (e.g., Garcia, 1998; Jiménez, 1997; Langer et al., 1990). Higher ELDA scores, along with explicit instruction in metacognitive strategy instruction, may promote academic success in ELLs. This population of ELLs may not be representative of other similar populations of students. Nonetheless, ELLs should be able to access their native language, a component of cultural wealth (Au, 2000), to enhance academic endeavors.

This study adds to the growing research base on the needs of ELLs. The importance of metacognitive strategy instruction and the successes RT has had with a diverse population of students is widely known. The findings of this study demonstrate the importance of engaging students in the learning environment in ways that allow them to: 1) access text; 2) participate in meaningful dialogue, or perhaps conversations that increase their opportunities to use content area vocabulary; 3) practice using metacognitive strategies; and, 4) code-switch to better understand content area vocabulary.

Author Biography

J. Elizabeth Casey is currently an Assistant Professor at Huntingdon College, a private liberal arts college located in Montgomery, Alabama. Dr. Casey graduated from Clemson, University with a Ph.D. in Curriculum & Instruction, with an emphasis in reading. Research interests include reflective practice enhanced through technological integration; arts embedded curriculum; educating exceptional children; and ELLs.

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Figure 1: English Language Development Assessment (ELDA) Scores

ELDA scores	Reading	Listening	Writing	Speaking	Comprehension	Composite
Mercedes	4	4	3	5	4	3
Gabriel	4	5	4	5	4	4
José	3	5	3	5	3	3
Marcos	Unavailable	Unavailable	Unavailable	Unavailable	Unavailable	Unavailable

Figure 2: Open Coding and Emerging Themes

Theme	Unproductive Instructional/ learning behaviors	Students are engaged, but RT strategies are absent	Behaviors demonstrating initial progress toward goal	Classroom behaviors demonstrating some progress toward achieving goal	Classroom activities demonstrating greatest progress toward achieving goal
Code	TOT-students talking/off task	SO-student silent but paying attention	PRA-teacher uses a pre-reading activity	STG-student summarizes text with guidance	STI-student summarizes text independently
Code	SNP-student silent/not paying attention	EN-student engaged	TUMS-teacher uses a metacognitive strategy	QG-student generates a question(s) with guidance	QI-student generates question(s) independently
Code	SCR-student called on to respond	CR-student/teacher is a classroom reader	TMMS-teacher models a metacognitive strategy	CG-student clarifies information with guidance	CI-student clarifies information independently
Code	NPRA-no pre-reading activity	GR-student is a group reader	RU/MS-researcher uses/models strategy	PG-student makes prediction (s)with guidance	PI-student makes prediction(s) independently

Theme	Unproductive Instructional/learning behaviors	Students are engaged, but RT strategies are absent	Behaviors demonstrating initial progress toward goal	Classroom behaviors demonstrating some progress toward achieving goal	Classroom activities demonstrating greatest progress toward achieving goal
			CLO-teacher uses closure	ENRTG-students are engaged in a RT activity under guidance	ENRTI-students are engaged in a RT activity independently

From Pride through Prejudice:
A Critical Discourse Analysis of At-Risk and Privileged Learners

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Abstract: Though *equality* has been achieved in most corners of mainstream education, *equity* is still an ideal that has yet to be fully realized in public school classrooms. Framed by morally reverberating dialogue found in *Pride and Prejudice*, this presentation defines the aforementioned problem of equality versus equity and reports on an original study examining the latent presence of inequity in today's classroom. Propelled by the Bakhtinian concept that "heteroglossia" ("different tongues") contributes to literacy development and that "wide-awakeness" (Greene) reflects a social awareness developed by listening to these different voices, this study was set in a suburban high school English classroom and compared the dialogue of at-risk learners with the dialogue of privileged learners. Critical Discourse Analysis, both a theory and a method, was applied to the data, revealing covert expression and suppression of power among students, most disturbingly between white students and students of color. This presentation will feature two illustrative transcripts, first uncoded and then coded, and end with discussion about the subversive manifestations of marginalizing behavior present in student dialogue. As a replicate study—this time in an urban high school classroom—will likely be in progress at the time of this presentation, preliminary findings from that study will also be included. With the nationwide Common Core initiative calling for proficiency in academic language for all students, the potential exists for ostentatious classroom dialogue that further isolates students of color and, thus, perpetuates the achievement gap. This study promotes awareness of the diabolical venue of student dialogue.

The Effect of Fatigue on Visual Recognition and Visual Tracking of College Students

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Abstract: Although many researchers have conducted investigations on the effect of physical fatigue on the human body, the effect of physical fatigue on visual skills has gone undocumented. While evidence from numerous studies has shown physical fatigue to reduce physical performance, it is unknown if physical fatigue effects visual skills. **Purpose:** The purpose of this study is to investigate the effect of physical fatigue on visual recognition and visual tracking of college students. Fatigue was defined as a heart rate greater than 80% of the subject's maximum heart rate. A null hypothesis was utilized stating that no significant difference will exist between the pretest and posttest scores on the visual recognition and tracking skills of college students. **Methods:** Visual recognition and tracking response times were measured using the computer software Vizual Edge, which assesses both categories using Vizual Edge Performance Trainer (VEPT) scores and individualized category scores. A t-test for dependent samples was utilized with a p value of .05. **Results:** Data analysis indicated no significant difference between the pre and posttest visual recognition and visual tracking scores of college students. Although an increase in visual skills for the students was observed, it may have been due to an increase in familiarity of the VEPT software. **Conclusion:** The result of this study indicates that physical fatigue does not play a significant role in the visual recognition and tracking skills of college students. It is suggested that further research be conducted on this subject in order to provide more evidence on the effect of physical fatigue on visual skills.

Altered Books: Creating Opportunities for Family Involvement in Education

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Absract: Promoting family involvement during the early childhood years can increase a child's success in school, while at the same time supporting parents who may not be comfortable engaging in conversations about education approaches with professionals at the school. Research has demonstrated that family access to quality healthcare and early childhood education, as well as family involvement in the early childhood years, has a positive correlation with a child's reading ability and lower rates of grade retention (e.g., Miedel & Reynolds, 1999; Ramey, Campbell, Burchinal, Skinner, Gardner, & Ramey, 2000). Likewise, the number of activities in which families engages increases the child's success. This article describes activities that involve parents in art-activities to further promote family involvement in the early childhood years.

Keywords: parent involvement, early childhood education altered books

In Early Childhood (EC) and Kindergarten classrooms, parental involvement in the educational process can boost opportunities for adult-child interactions and learning (Miedel & Reynolds, 1999). Through relationships with families, knowledge and understanding of child development can be mutually shared (Copple. & Bredekamp, 2009). Creating opportunities for parents to participate in activities supports children's learning and development. However, it is important to provide activities that foster early involvement in the educational process and increase parent-child dialogue, especially at the EC level. To enhance parental involvement, parents should be recognized as a teacher's partner in educating the child (Berger, 1981). Realizing that families and teachers make a difference in children's creative growth, it may be beneficial to provide educational activities that promote a more creative aspect. Furthermore, parents with low educational self-efficacy may be more likely to engage in what can be viewed as a non-threatening, creative educational activity. Involving families in creative art activities can promote early language and literacy skills that emerge naturally during the parent-child interactions. Altered books can provide opportunities to promote dialogue, build upon children's prior experiences, and provide a creative aspect in the education of the child.

Statement of the Problem

Family involvement has become a greater challenge in recent years as family dynamics have changed. Mothers constitute a significant portion of the workforce. Many low income children are living in households headed by a single female (census.gov), making it more difficult to juggle work with children's school activities. Children whose parents spend a lot of time providing positive feedback and explanations during interactions often have larger vocabularies and score higher on I.Q. tests than their same-age peers who do not have the opportunities for such relations. The thirty million word gap (Hart & Risley, 1995) is still a factor in the diverse homes across America today. However, providing families with opportunities to engage in activities that encourage language development, promote parent-child dialogue about academic concepts, and allow for conversations that may not otherwise happen to take place can make a difference in the child's academic endeavors.

Importance of Early Intervention

Research has demonstrated that the quality of education children receive can improve when families are involved (Kreider, 2002). Bouffard, Little, & Weiss, (2006) posited that there are constructive outcomes for families who are involved. Some of these constructive outcomes include proper development in the cognitive, social, and language areas (Bouffard et al., 2006). The earlier in a child's education that parents become involved, the more powerful the effects (Comer & Haynes, 1991). Dialogue such as the one previously described promotes opportunities for parent-child engagement. Substantial research supports family involvement in the child's education. The Harvard Family Research Project (Kreider, 2002) established that there are certain processes such as informal connections and parental participation that influence young children's outcomes. In addition, building relationships with families should not solely be for academic purposes (Sheldon, 2005). Informal connections through the use of altered books between school and home in the early childhood years can promote a home-school relationship that will build a foundation for the future success of the child.

For various reasons, there are many parents who may not feel comfortable navigating the process between home and school to build collaborative relationships. Parents may feel that they are unable to bridge this gap for any number of reasons, including past experiences with schools, cultural contexts that they are unfamiliar with, and/or their own self-efficacy related to their ability to support their child's educational needs. Studies have shown that the parents' self-efficacy affects the amount of school involvement (Waanders, Mendez, & Downer, 2007; Grolnick, Benjet, Kurowski, & Apostoleris, 1997). For this reason, some parents remain a remote part of the educationa process, permitting the practitioner to take responsibility for instructional programs. Still other parents may feel reluctant to get involved, unaware that practitioners desire and need parental involvement for the maximum benefit of children (Lopez, Kreider, & Caspe, 2004). Parents who believe they can make a difference and who also feel they have the skills to help their child in the home environment are more motivated to become involved (Green, Walker, Hoover-Dempsey, & Sandler, 2007). If practitioners have a way to bridge the gap between the home-school relationships, everyone benefits.

Potential Solution

Altered books may demonstrate effectiveness in promoting parent-child dialogue and increase opportunities for young children to engage in art and academic conversations at home. What are altered books? Altered books repurpose old, damaged, or discarded books. The International Society of Altered Book Artists (ISABA), which has a web site gallery displaying the work of over 60 artists, defined an altered book as:

> Any book, old or new that has been recycled by creative means into a work of art. They can be ... rebound, painted, cut, burned, folded, added to, collaged in, gold-leafed, rubber stamped, drilled or otherwise adorned ...(http://www.alteredbookartists.com/)

Altered books have been utilized in the scrapbooking community for years (Ure, 2006), and may provide a medium to create opportunities for family involvement. These books can capture the child's early learning experiences in an art form that is both a keepsake and a home-school collaborative tool. Through helping to create altered books, parents will have opportunities to support their child's efforts as they become involved in learning activities, and collaborate with the teacher to support the needs of the child.

If altered books are utilized as a home-school collaborative tool, enriching opportunities for parent-child dialogue are created. Through the simple act of creating an altered book, parents and their young children will have opportunities for conversation that they might not have had. Young children need help to create their books, and conversations about which color of paint to use, what types of stickers should adorn the pages, and which EC drawings and early literacy documents to include will naturally arise. Dialogue that incorporates color, decision-making, art media, etc., can be a rewarding and educational experience for a four year old who might not otherwise engage in such an activity.

Here is an example of a conversation that might take place between a young child and a parent, or a kindergarten student and a teacher, when beginning the creation of an altered book:

Child: Why do we glue the pages together?

Parent: The pages in the book are thin. If we glue two or three pages together, we will make a thicker paper. Feel the difference. This is a single page, and this new page is thicker.

Child tests the difference in the feel of the pages.

Child: Can I glue them?

Parent: Yes. Let's count three pages and then we can add the glue.

Through the simple conversation, a dialogue about texture and numbers arose naturally, and more importantly it had a purpose and took place in context. Eventually, the conversation would turn to paint color, art media, and decision making about what to include in the book. This book is created by the parent and child working in a collaborative manner to showcase early literacy skills.

Although parents and educators may question the practice of utilizing books in a manner that promotes tearing out excess pages to minimize bulkiness, gluing pages together to create a more durable page, as well as cutting, painting, and altering the original text, the outcome is a new book (figure 1) that is also a work of art incorporating the child's early academic endeavors in one location. Young children can be taught that these books are their own special books, and a conversation about recycling would likely ensue if a more prodigious child questioned the practice of altering a book. Young children could be taught that it is a form of recycling books that might otherwise have been destroyed or sent to thrift stores to linger, unwanted, on dusty bookcases (Lincoln, 2004).

Furthermore, copyright infringement does not come into play because the altered books would not express the original meaning of the book (Russell, 2007).

<center><insert figure 1 here></center>

More than just promoting the home-school partnership, and acting as a form of recycling, altered books can function as part of a multi-arts approach to early literacy skills. The books can be utilized to hold early writings and drawings made by the child at school. Practitioners can ask students to reproduce paintings in their altered books that connect with art forms that have been introduced in a lesson. For example, Souto-Manning and James (2008) described a multi-arts approach that promoted multiple art forms within the context of the classroom. An altered book would capture and hold young children's attempts at replicating their own Mattisse style painting (Souto-Manning & James, 2008). When children are engaged in a multi-arts approach, diverse learning styles, as well as varying abilities and strengths of students, are fostered (Souto-Manning & James, 2008).

Creativity in the form of art may be an opportunity to navigate the divide and encourage home-school collaboration. Creativity through visual arts can provide an excellent and non-threatening way to get parents involved in their child's education. Art is an activity enjoyed by young and old alike. Creative work can foster children's independence as they have the opportunity to choose the outcome of their altered book and also provide opportunities to increase knowledge and learn from each other.

Professional Development for Educators and Parents

In two recent Professional Development (PD) workshops for EC practitioners and parents alike, altered books were presented as a method for engaging young children in art activities that promote home-school collaboration. The practitioners were excited about the prospect and promise of using altered books to promote home-school partnerships. This enthusiasm was evident in the attention to detail parents gave to the project and the verbal communication that occurred between the parent and the child during the first workshop.

<center><insert figure 2 here></center>

Parents can be invited to visit a local thrift store with their child to select a book that will become a piece of art that showcases their child's early creative and literacy efforts. In figure 2, an old book cover has been transformed by removing the plastic overlay and recreating a new book cover. The child used stickers, ribbons, and colored gemstones to decorate the book. The child selected the book and immediately took possession of the space inside, painting over the words before adding hand-prints, stickers, and bits of feathers, ribbons, and early literacy projects. Figure 3 shows pages inside a book in which the child painted over the text with bright blue paint to the very edge of the page, a strategy that many pre-school children employ. A simple pocket created from cardstock was glued to the page, and the child inserted special keepsakes she had created in class.

<center><insert figure 3 here></center>

Parents provide an essential role in this creative process by helping the child glue pages together at home, collect scraps of ribbons, stickers, childhood treasures, colorful leaves or dried flowers, and gather other objects that can be used to decorate the book. Teachers can encourage parents to contribute to, as well as take from, a classroom goodie box of scrapbooking paraphernalia. If parents have extra stickers, bits of fabric, tissue paper, yarn, feathers, buttons etc., they might

consider donating those items to the classroom box. Parents and children would then have a ready supply of items that are accessible to the larger classroom community of scrapbooking families.

Early childhood teachers will need parental involvement to keep the books progressing toward a storehouse of classroom artifacts. Through the creative process, the parents, educators, and students work together to create a work of art that is both functional and beautiful. More than that, however, an altered book can provide an opportunity for young children to make decisions about how to alter the book while providing a place to store educational artifacts of the child's progress. These books act as an easel that allows the child to create works of art that are functional.

In the PD workshop for EC educators, many were exposed to altered books for the first time. They were given the opportunity to begin their own altered book, and were delighted with the idea of bringing this idea to the early childhood classroom. Many of the practitioners described their efforts to collect each student's work during the course of the school year to create a keepsake of the pre-kindergarten year. The idea of the altered book immediately captured their attention; and the possibilities of how to use these books to create a dialogue between the home and school, while at the same time creating a functional work of art, was apparent to all of the practitioners. Instead of teachers having to laminate pages of the child's art work, buy expensive keepsake books, or use some other means to compile a collection for the child's early years, the educators can have parents select a book from their local thrift store. The child and parent can choose how to transform the book; and then, the teacher, child and parent can select early literacy attempts and art work to showcase in the books.

In a workshop for parents and their young children, the first and second authors introduced the families to altered books. The altered book station was one of several stations where families could participate in a creative activity. Other areas included a puppet theater created from old boxes, a foaming art table with shaving cream, a how-to-make playdough table, and a paper machíe area. At the altered book table, parents and children were invited to choose an old book from the table and begin to create a book. The parents and children were guided through the process of removing and/or gluing pages together by the first and second authors. This process prepares the book to support the weight of the paint and other items to be added. The children then accessorized the pages with stickers, ribbons, and bits of feathers, colored paper, and colorful handprints. The only thing left to do was add early literacy efforts (figures 4 & 5). The idea was a hit with parents and children alike. More importantly, the idea was feasible; and parents asked pertinent questions about where to find the craft items, as well as how to go about the process of continuing to alter the book.

<insert figures 4 & 5 here>

Discussion

Altered books would be a useful tool for a home-school collaborative partnership in the early years. The costs for families would be low, and the parental support practitioners received through family involvement would be invaluable. A home-school collaborative effort that includes opportunities for art and family involvement to support the growing child is essential. Creating opportunities for children to receive parental support in a manner that does not require parents to feel uncomfortable with their own efficacy is also important. Finally, when parents get involved in the education of their child early in the process, they are more likely to stay involved, a benefit for the parent, practitioner, and child.

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Appendix

Figure 1

Figure 2
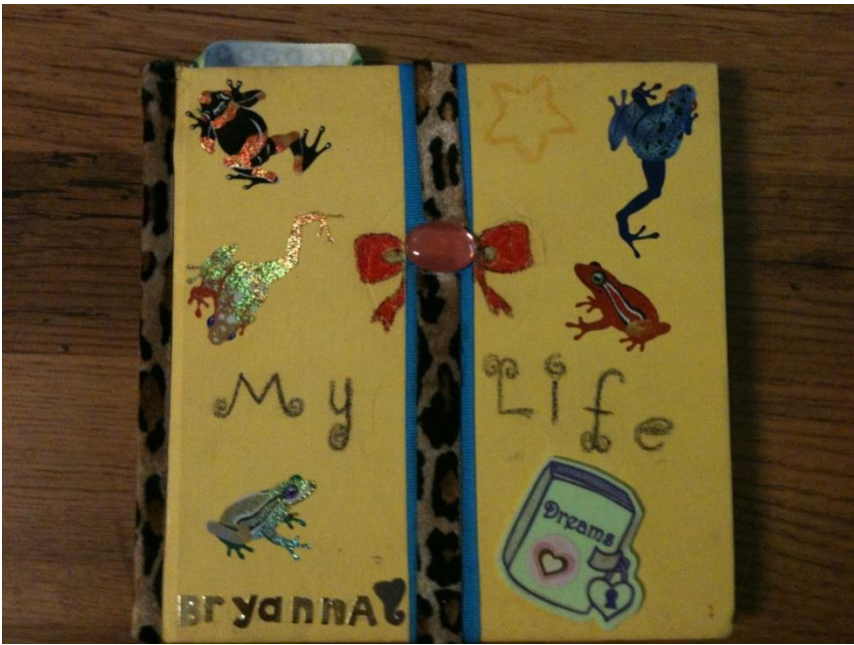
Figure 3

Figure 4

Figure 5

Attitudes, Beliefs and Stereotypes:
Non-Standard Variables Impacting
"Standardized" Education

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Abstract: Can K-12 public education in America ever truly be "standardized"? Given the ever-increasing student diversity in American classrooms, it is critical to understand non-standard variables that help shape teacher action and inaction in classrooms and schools. The purpose of this descriptive study is to define and discuss standardized education in America and provide a framework for understanding the role teacher attitudes, beliefs, and stereotypes play on the ability of culturally, linguistically and ability diverse students to receive a standardized education. The paper provides an extensive review of literature on multiple perspectives of standardized education in America. It also provides discussion on the educational achievement of diverse students and the role culture, attitudes, beliefs and stereotypes of teachers can have on students' school achievement. The paper concludes with recommendations for best practices in teacher preparation of new teachers as well as leadership techniques school building principles can use with in-service teachers to address their attitudes, beliefs and stereotypes impacting standardized education for culturally, linguistically, and ability diverse students.

Faculty-Library Collaboration:
Embedding Information Literacy in Educational Research Undergraduate and Graduate Research Projects
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INTRODUCTION

In any academic context, when one mentions the term research, students immediately panic and assume this research is something they cannot do, or even ever have the capacity to learn under any circumstances. This response seems fairly common among students new to undergraduate and graduate programs and faculty expectations for students engaged in social studies research. The tendency on the part of the students is to make this a daunting project.

INSTRUCTIONAL APPROACH

Lead faculty in charge of promoting student educational research, designed an instructional approach that included the following:

- ask students to articulate an educational issue that is of personal concern
- students write down their research interest
- describe the steps of the scientific method
- instruct students to apply each step, verbally in a group setting
- instruct students to write down each step, using their research interest as the context
- inform students that the goal was to build a research project in stages, taking one piece at a time

Collaboration between and among faculty in exploring and teaching research tools helped us develop a road map for students. To implement this approach we developed a collaborative partnership, exploring research skills that worked, refining our teaching approaches, and establishing a guided student practice component. Community interest in having Dominican University of California, San Rafael, CA students research locally based projects helped strengthen this connection.

FACULTY/ACADEMIC LIBRARY PARTNERSHIP

After several years of informal planning and implementation of a strategic approach to building information literacy applied to the development of a student-designed research study, the library director linked academic librarianship to education programs. The collaboration, that of one academic faculty member assigned to teach research methods classes and one academic librarian,

formalized the relationship with the permanent assignment of faculty librarian, as liaison to the School of Education undergraduate and graduate students.

Now in our sixth year, the faculty collaborative has worked with students to produce a level of improved scholarship in student research, with increased student understanding of academic research explorations linked to their own research focus. Additionally, students have improved in their scholarly writing and citation skills.

Student improvement in research and writing skills is reflected in the increased number of students whose work is accepted by Education Resources Information Center (ERIC) and by professional conferences for inclusion in presentations. Additionally, the library leadership has recently purchased Digital Commons, a software program originally developed for University of CA. Berkeley, that allows faculty to archive, organize and publish scholarly work of faculty and students in an electronic format. Journals are then posted on the Internet and available to anyone world-wide. A tracking system provides faculty and students data on number of visits, number of requests to download articles, and geographic location of the viewership.

Persuading students of the importance of producing scholarly work has not been easily achieved. Yet, in a time where documentation is essential, we had to move students in this direction to increase their understanding and appreciation of professional research and writing. The effort continues each semester.

The purpose of this article is to describe in brief the steps taken over the last six years while moving toward developing student understanding and application of the research process on their individual undergraduate or master's thesis. The particular focus is on assisting students in locating scholarly material in building their review of the literature as part of the thesis development process.

REVIEW OF THE LITERATURE

Information literacy skills need to be implemented in a direct way that has an impact on students and reinforces a skill set (Mokhtar & Majid, 2005). In order for students to become involved in the research process, it is important to make the connection between skill set abilities and research interests. Gullikson (2006) studied faculty perceptions of the importance of teaching these skills. While faculty agreed on the importance of the skills, they were vague on when or how this could be part of a planned curriculum.

We took a proactive position in embedding skills in a planned curriculum tied to thesis development and finalization. In our work with Dominican students in programs in education, we have taught this skill set, had students practice the applications as they formulated and developed a thesis, and found that student research and writing skills improved over time. Students move away from reluctance to engagement when they see results as they develop their scholarly work.

Over the course of the development of the thesis in a planned way, students become skilled and increasingly responsible for their own learning. At the conclusion of their research, students informally reflect on the connection between their own improved information literacy and their increased ability to critique sources of information in other areas. They tend to become critical consumers of knowledge.

Carr and Rockman (2003) discuss collaboration with academic librarians to integrate information literacy into courses and curriculum. We have taken this component of research and applied it from the beginning of student thesis preparation to the conclusion of student publication.

STEPS IN DEVELOPING A TOPIC INTO A VIABLE RESEARCH STUDY

Building a Review of the Literature
1. Start with a topic. Consider this topic as a starting point. The visual equivalent is that the initial topic is a 100 pound block of wood. The goal is to whittle it down to the size of a toothpick.
2. Look at a topic, focus in describing it specifically, narrowing down concepts to something manageable.
3. Look at encyclopedia sources for "key words" and focusing the topic, not for information.
4. Use Google "Wonder Wheel" – which demonstrates a concept map for further refinement.
5. Explore the Databases
   a. Look at articles. Within articles, examine subject headings to lead to new articles.
   b. Look at references at the end of the article to lead to deeper research
   c. Examine multiple databases
   d. Gather, review and select articles to further develop the research focus.
   e. Follow a guideline in developing an annotated bibliography (Truesdell, 2010).

ACADEMIC LIBRARY SEARCH

In working with students, it is important to help people develop a focus for their research. We are in an information revolution.

One must learn to discern how to find good information, not commercial or biased information that is all too easily attainable, especially through the Internet. The information that is available to everyone requires a skill set so that one knows how to discover and evaluate its reliability and utility (Patten, 2002).

Basic Skill Set
1. Knowing how to use search terms to focus on one's topic
2. Knowing how to be tenacious in searching for information
3. Knowing how to use the university's library website to find books and databases
4. Understanding how to search the databases-techniques
   a. knowing how to locate peer reviewed/scholarly articles in professional journals
   b. learning how to identify peer reviewed/scholarly articles in professional journals
5. Learning how to evaluate the authenticity and the effectiveness in light of one's research focus
6. Understanding the focus of the information one has found-i.e. read an article to understand the focus the author is trying to convey, assessing what the author is trying to say, compared to the focus of one's own research, and then thinking critically, and developing a written reflection on the information
7. Using the Internet effectively: finding reliable and authoritative information
8. Understanding the techniques of academic searching in order to teach others how to acquire focused and reliable information.

9. Understanding and Learning citation styles

Academic literature provides a valuable source for obtaining information on any research topic. One also must consider different electronic sources, especially in locating current statistics.

GOVERNMENT EDUCATIONAL STATISTICS INFORMATION

Locating statistical information from government sources helps one set the research question in a larger context. While the focus of the research must be specific, students must take an overall look at their question on local, state and national levels.

LIBGUIDE

The LibGuide is a guide for students to use as they conduct their research. The academic librarian created a specific one that addresses the content and assignments of the undergraduate and graduate classes connected with thesis development.

By creating a specially designed LibGuide page, students are able to easily locate reliable websites for their research. Rather than having students search the Internet, they are instructed to use the guide. The websites have been vetted, first by the government agencies that create them, and second, by a professional academic librarian in partnership with the director of the graduate program.

Internet exploration makes it seem simple for students to locate what they may believe is credible information on a research question. However, they may locate specific information that limits their view of the scope of their question. Setting the research question in historical context is another step in getting the students to step back from their topic and see it in perspective.

PROFESSIONAL ORGANIZATIONS

Locate a professional organization that pertains to the topic. Look at the website, journal, professional conferences and workshops. Get information that pertains to the research.

INTERVIEW AN EXPERT

Students identify someone within their community of professionals that they believe will offer them information from their seasoned perspective with a focus similar to the graduate student's research. Students prepare an application to the Dominican Institutional Review Board for the Protection of Human Subjects (IRBPHS), where they identify their approach to contacting their expert, a letter of consent form, and a short list of open-ended interview questions.

By completing the IRBPHS, students apply their research skills in identifying the purpose of their research, briefly summarizing a review of the literature, and formulating their research questions. This activity helps students to conceptualize their research, understand the importance of considering ethical research practices in submitting a plan to IRBPHS. Additionally, students gain increased knowledge on their topic that offers a different perspective than they obtain from the research literature.

REPORTING: ORGANIZING RESEARCH

After locating as many sources of information as possible, it is important to review and reflect on

these documents and artifacts overall to see if they can be sub-classified into topics. At that point, the next step is reviewing each article within the subtopic, and developing a section that includes key points from source, strengths and weaknesses, ultimately synthesizing information.

SUMMARY/CONCLUSIONS

Currently we are in the process of assessing student outcomes in the graduate program in education as part of our ongoing review. In thinking back over the last six years, we have anecdotally noted the following:

1. When students first approach the task of searching for information, they go immediately to the Internet, rather than examining library databases.

2. It takes some time for students to understand, or assimilate, the qualitative difference between casual Internet searches and academic databases with peer reviewed articles. This means the faculty team, that is, faculty member and academic librarian, must allocate time to work with students as a group, for guided instruction, and individual instruction to really understand where people are in terms of their information literacy skills. Essentially it is always important for us as instructors to reinforce the building blocks of information literacy.

3. Once students reach a level of understanding, appreciation, and comfort with the process, they are typically relieved that they can locate information of quality, using our readily available library resources and trained personnel.

NEXT STEPS

Systematic data collection on the effect of this collaboration needs further documentation. The faculty team members created a research proposal and submitted it for review by the Institutional Review Board for the Protection of Human Subjects (IRBPHS). The focus of the study is to examine student perceptions of the effect of embedding information literacy skills in the context of their research study, and the impact of these practices on their ability to formulate a proposal, and execute a study on an educational issue of their choosing.

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The Transition from Faculty to Department Chair and Back Again

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Sally Creasap received her Bachelor's Degree in Business Administration in 1984. While working as a Consultant with the Ohio Department of Education, she completed a Master's Degree in Business Administration and an Associate's Degree in Early Childhood Education. After seven years in a Head Start setting, she completed a Ph.D. in Education Policy and Leadership in 2003. Upon graduation, she began teaching at Capital University. In addition to teaching, Sally took over the role of Education Department Chair and NCATE Coordinator in May of 2012. Her current research interest is in the area of teacher candidate dispositions and candidate success.

Abstract: Department chair is a common title at many college and universities across the nation. Individuals holding this position provide a vital link between faculty and administration. Department chairs often hold the rank of faculty. The position is usually characterized by a great deal of responsibility and very little authority.   Despite the vast amount of responsibility, most department chairs assume the position without any training or preparation for the position.
This research will attempt to provide clarity and definition to the common, but perhaps misunderstood position of the department chair. Data will be collected via a literature review, analysis of existing data such as that from the National Survey of Student Engagement (NSSE), and data collected specifically from private colleges and universities across Ohio. Multiple aspects of the position will be considered such as the roles and responsibilities, the selection process and term of service, preparation and training, desired skills and characteristics, and tools needed to promote student success.
An additional topic of interest will be the transformation that must occur when one goes from faculty to department chair and then back to faculty.   The difficult transition from being one of the gang to supervising and evaluating presents a multitude of challenges especially in higher education where both collegiality and autonomy are valued. Likewise, the transformation out of the leadership role and back among the rank and file can be equally as challenging. Higher education may indeed be one of the few establishments where this type of two-way transition regularly occurs.

Mentors in an Undergraduate Psychology Course: A Comparison of Student Experience and Engagement

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Abstract: *Peer mentoring* is a widely used term referring to a variety of learning activities and programs. *Curricular* peer mentoring is more specific as it is a course-based form of peer mentoring that is intended as academic support for students. Curricular peer mentoring has become more widely used in higher education in the last decade. This study was an attempt to gain information about a curricular peer mentoring program being used at the University of Windsor, specifically in a Child Psychology course. *Developmental Psychology: The Child* did not have mentors in the Fall of 2011 or the Winter of 2013. Mentors were used in the course in the Fall of 2012. This presented a unique and valuable opportunity to do a direct comparison of the same course with and without mentors. This study aimed to discover differences in student experience, engagement, and achievement in the courses as impacted by having mentors or not having mentors. Students from the courses were asked to provide information regarding engagement with the course, attitudes toward group work, learning strategies, and academic success and goals. Students from the Fall 2012 were also asked specific questions about their experiences with having mentors in the classroom. Data were collected through online surveys. It is hypothesized that those students who had mentors will have higher levels of engagement, better defined learning strategies, and experience greater academic success than those students who took the course without mentors in the classroom. It is also expected that mentored students will have more defined goals with regard to their education as well as more positive attitudes toward group work. The results of this study may contribute to the larger body of research regarding mentorship as well as inform specific practices in teaching and learning.

Predictors of Success in Baccalaureate Nursing Curriculum: Literature Review

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Abstract: This literature review is a part of an ongoing research effort to determine the best predictors for student success in a Bachelors of Science in Nursing (BSN) programs and potential for successful completion of the National Council Licensure Examination for Registered Nurses (NCLEX-RN). Nursing shortage is still a critical issue nationwide, therefore it is important to determine student selection criteria that may affect future performance in a nursing program as well as potential of passing NCLEX-RN.

Several factors were examined in this review. Special emphasis was placed on Scholastic Assessment Test (SAT), overall undergraduate GPA, Science/Nursing prerequisite GPA, and Test of Essential Academic Skills (TEAS). The review was suggestive that prerequisite science GPA and performance on certain science courses may be strong predictors of success in the undergraduate nursing curriculum and may correlate with high passing rates on NCLEX-RN. In particular, performance in biology, anatomy and physiology, microbiology, and pathophysiology courses may be predictive of success in the nursing curriculum and passing NCLEX-RN.

This review is being utilized in a research effort to evaluate predictors of success in nursing curriculum in Western Carolina University School of Nursing Undergraduate program. Dependent variables in this research are GPA in the nursing courses and results of NCLEX-RN. Independent variables are overall pre-nursing GPA, science GPA, SAT verbal score, TEAS score, and prerequisite courses for the nursing program. Upon completion, the results of the study will be utilized to refine the admission criteria for the undergraduate program at WCU School of Nursing.

REDESIGNING TEACHER EDUCATION PROGRAMS TO MEET THE NEEDS OF TODAY'S SECOND CAREER PRE-SERVICE TEACHERS

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Abstract: Research suggests the fastest growing group in teacher training programs is second career teachers (Brooks & Hill, 2004). This chapter examines the profiles of second-career pre-service teachers in a blended online program in Silicon Valley, California. Participants' motivations and reasons for becoming an educator were examined from a sociocultural lens to understand how economic, social, and cultural factors might influence their decision to enter the teaching profession. In addition, formative, social and personal experiences provide insight as to why this group selected a nontraditional teacher education program, and what prior skills and experiences they bring to the teaching profession.

INTRODUCTION

Second-career teachers are commonly identified as individuals with bachelor's degrees in non-education related fields and with years of work experience in other occupations (Haselkorn & Hammerness, 2008). These educators come from a variety of professions and their motivation to become a teacher may include reasons such as a desire to make a difference and dissatisfaction with their previous career. Knowing why these professionals leave their previous careers to become a teacher can be beneficial to teacher education programs. Teacher education programs may have as little as ten months to prepare pre-service teachers for a complex profession that requires mastery of content and pedagogical knowledge, classroom management, assessment and differentiation to name just a few skills. Identifying the skills second career pre-service teachers (SCPT) have acquired and the factors that influenced them to leave their professions will be useful to prepare this growing group of future educators and retain them in this challenging profession.

The present study took place in Silicon Valley; home to the world's largest technology corporations and thousands of startup companies. It is the leading area for technological development in the United States and one-third of all venture capital investment. Participants in this study were enrolled in a nontraditional school that is the second largest non-profit private school in California and for the past thirteen years, the leading institution for preparing credentialed teachers in the state. The average age of students at the university was thirty-five with the majority of students in their second or third careers. The purpose of the present study was to explore the skills, experiences, motivations and perceptions of SCPTs in a blended online program.

BACKGROUND

In order to provide a comprehensive examination of the profiles of second-career pre-service teachers two theoretical frameworks were examined. The first framework concerned teacher identity. According to Taylor (1989) identity can be defined as "the commitments and identifications which

provide the frame or horizon within which I can try to determine from case to case what is good, or valuable, or what ought to be done, or what I endorse or oppose" (p. 27). From this perspective identity is shaped by one's previous experiences and beliefs, which influences one's decisions and choices in the future. SCPTs previous career is part of their identity and contributes to the way they view knowledge, pedagogy, student-teacher relationships, and the choices they make with regards to curriculum and instruction. When new information is delivered it would be valuable to make a connection to past experience of SCPTs. This will allow the instructor to determine prior knowledge and skills as well as misconceptions the SCPT may have. In addition, tapping into prior experiences provides the pre-service teacher with a means to transfer skills and knowledge into a teaching context. Since identity is constructed from past experiences, co-constructed when information is acquired and reconstructed with new experiences SCPT's identity is as a dynamic exchange between one's professional sense of self and beliefs about teaching.

According to Zembylas (2003), teacher identity is a "non-linear, unstable process by which an individual confirms or problematizes who she/he is/becomes" (p.221). As SCPTs step into the role of classroom teacher they will take on a new identity that is shaped by their previous career, social environment and teacher education program. The experiences of the SCPT should be viewed from a sociocultural lens to best understand how teacher education programs may evolve to support these future teachers.

SOCIOCULTURAL THEORY

The environment is a key tenet of the sociocultural theory which purports that one's experiences strongly shape beliefs and motivations. From a sociocultural perspective changing one's vocation may be the result of personal events such as starting a family or loss of job, as well as personal experiences such as isolation in previous career or satisfaction from helping a child. It is of value to know what factors influenced pre-service teachers in their decision to become an educator. If factors include family then it would be valuable for teacher education programs to provide support in balancing one's work and family life. If factors include feeling of isolation, SCPTs can benefit from knowing how to assimilate into the school culture and build a support network of colleagues. Environmental factors influence one's choices. Teacher education programs that are looking to retain and attract second-career professionals would benefit from knowing how they can tailor their program to meet the needs of this group of career changes. Furthermore providing SCPTs with an opportunity to share their personal experiences will build relationships and allow pre-service teachers to problem solve and resolve potential issues prior to becoming a teacher. According to Tharp and Gallimore (1998) higher-order functions develop out of social interaction. Therefore social interactions play a key role in one's choice to become an educator as well as in developing a teacher identity. This would suggest pre-service teachers would benefit from an opportunity to share their prior experiences, interact with colleagues, observe master teachers and negotiate meaning of the school and classroom context.

Silicon Valley is identified as the most influential and leading area for technological development in the world. Since participants in this study reside in the Silicon Valley it is of value to know how SCPTs used technology in their previous profession and plan to use technology as a classroom teacher. Furthermore Silicon Valley is heralded as one of the most costly places to live in

the United States (Brennan, 2013). Therefore salary and prestige will be insightful factors to examine as participants may have delayed their decision to become an educator as a result of teacher salary and a high cost of living.

Packer and Goichoechea (2000) believe identity formation is inseparable from learning. In order to become participants in the community, second-career pre-service teachers must negotiate their identity to adopt the professional dispositions of a classroom teacher. As SCPTs assume the role of classroom teacher they will be best prepared if they are able to perceive some potential issues and experiences they might encounter. SCPTs will need to know how to navigate into the teacher community so they can receive the support they will need in the first few years of their career.

The Present Study

This study focuses on 48 participants who were enrolled in a blended-online teacher credential program. Participants were purposely selected to take part in this study because they were identified as second-career pre-service teachers (SCPT) who resided in Silicon Valley, California. Participants were asked to complete the *FIT-Choice Scale* (2001) to determine the degree of influence and motivation for selecting a teaching career. The scale includes 61 items that asked participants about influential factors, beliefs about teaching, and their decision to become a teacher. The FIT Choice Scale is divided into three parts: 1) Influential Factors for Deciding to Teach, 2) Satisfaction Level, and 3) Beliefs about the Profession (See Table 2 for Results). Participants selected responses from a 7-point Likert-scale ranging from "not at all important" to "extremely important." Validated in a study by Watt and Richardson (2007), the scale was shown to have a Cronbach's alpha of internal consistency ranging from .90 to .97. In addition participants were asked open-ended questions to explore common themes, relationships and outliers in greater depth.

RESULTS

Demographics. Survey participants' (n=48) mean age was 35 years of age. All participants received a Bachelors degree and 25% completed a Masters degree prior to entering the teacher credential program. In addition the majority of participants identified their previous career to be in the engineer/ technical sector (43%). Furthermore the participants were predominately pursuing a Single Subject teaching credential (See Table 1 for Participant Demographic Data).

Influential Factors for Teaching. The highest rating for the factors that influenced participants to pursue a teaching credential was in the category of *Make a Social Contribution* and *Shape the Future of Children and Adolescents*. The lowest rating for the reason to pursue a teaching career was in the category of *Fall Back Career* and *Social Influences*. The results from the FIT Scale are consistent with the open-ended question "state your reasons for choosing to become a teacher", in which 44% of participants shared their desire to work with children and make a difference in others' lives. Other common responses include love of teaching (16%); be part of school environment (16%); personal satisfaction (16%); share industry experience (4%); and more time to be with their family (4%).

Beliefs about Teaching. Participants perceived the teaching profession as a high demand career that requires a heavy workload and hard work. In addition they also believed teaching to be an

expert-career that requires high levels of expert and technical knowledge. Responses indicate SCPTs do not consider teaching to be a well paid profession as this received the lowest rating (See Table 2).

Decision to become a teacher. Results from the FIT scale found participants were highly satisfied with their decision to become a teacher. In participant responses to the question, "When you chose your undergraduate major and/or previous graduate degrees, did you consider teaching as a career at all", 58% of participants reported they had considered a career as a teacher while in school. Of the 42% of participants who reported they did not consider a career as a teacher all indicated they had studied engineering or information technology.

Reasons for leaving career. The particular reasons why participants left previous careers for teaching was varied among gender, age and areas of study. Overall a strong theme emerged for dissatisfaction with various aspects of their previous career and a desire to work in a profession where they could make a difference. Nearly half of the participants (42%) stated they were unsatisfied with their current career. For instance a 30-year old male said "I became more and more morally opposed to my work. I became disenchanted with the way that US Corporate World operated and how unfair the system was set up." Another male participant stated " I was not happy with my current career and wanted more out of life than to simply try to make the most money I can."

The lack of career satisfaction was significant among male and female participants and seemed to be a strong motivator for switching careers. Furthermore, survey results revealed SCPTs did not perceive teaching as a career with high salary or prestige, which further supports the notion that career satisfaction was a strong factor for switching. This was echoed in participant responses when asked if they considered teaching as an undergraduate degree, a 34-year old male responded "No, my priorities were primarily centered around salary. I had always been told that teachers make very low salaries."

Almost half of SCPT statements (33%) indicate a desire to work in a career where they could make a difference and do something they were passionate about. This suggests SCPTs are seeking an experience they did not find in their previous careers. Statements include the following: "Engineering was never my passion. I like to do calculations and work with people, but I always thought about teaching in the back of my mind and working in education" (28-year old female) and "I want to help people, especially students like myself when I was growing up who did not see the value of school at the time" (32-year old male).

Finally, personal events and experiences emerged as a consistent theme among SCPT participants to be a contributing factor for switching careers (33%). Female participants were more likely to report events concerning family. A 32-year old female participant stated "I left my career so I could stay home and take care of my children. Once my youngest started kindergarten I wanted to have a job where I could be available to my children and share their experience. "

Family issues were not found to be a motivator for switching careers with male participants. Their responses were more related to career events. A 27-year old male said:

"After a safety scare in the field where a coworker and subcontractors could have been seriously hurt, I thought more about the move. After I spoke up about the safety issue during a conference call about the issue, I felt my manager start to position me to be let go. At that point I figured that starting to work on my credential would be a good option, especially since I could do classes online and on my own time."

A 45-year old male said "It was probably a series of events. I was getting bored with my current job, coaching my sons in sports and active in my son's school. I saw how personally rewarding it could be to teach."

Choice of Blended Online Program. Participants were enrolled in a blended online program in which 25% of coursework involved face-to-face onsite classes. They were asked to respond to the following open-ended question "What caused you to choose a predominantly online program for a teacher education program? The majority of participants (66%) indicated that the program provided the flexibility of being able to work while pursuing a degree. Other common responses included time and flexibility (33%). Male participants were more likely to report being able to work while pursuing a credential. Statements include the following "It was the only way I can continue to work and pay my bills (26-year old male)" and "I was drawn to the flexibility of the program. I chose this one ultimately because I could start right away and I could keep working and earn my credential at nights and on weekends" (32-year old male). Females were more likely to state reasons involving family when asked about the choice of an online program. A 40-year old female said" "I am a mom of three and have a husband who travels regularly."

Use of Technology. Participants in the study resided in Silicon Valley, the leading area for technology corporations and startups. Although the majority of participants stated they used technology in their previous career (82%), the ways in which they used technology differed among career backgrounds. Participants who had previously worked in science, technology or engineer related careers were more likely to report sophisticated use of technology than those who were in the health care or business profession. When asked in what ways did you use technology in your previous career, a 34-year old male participant who worked at an environmental consulting firm said:

"Lots of different ways; everyday spreadsheets and report writing, laboratory equipment and sampling tools, analytical software and modeling programs. Science is luckily at the forefront of technologies and their application and being a geologist gave me access to much of it."

A 30-year old female participant who worked as an engineer said:

"I use technology every day. As an engineer, I relied on software to help me design building elements and iterate formulas. I use email for a large part of communication. We share drawings and plans electronically. Our reports were all done electronically. We relied on digital photos to tell us information with buildings."

Those who worked in non-technical related careers were more likely to report basic experiences with technology including tasks such as bookkeeping, word processing and email communication.

When asked "How do you plan on using technology in the classroom" the majority of participants (92%) shared ways they would use technology. Differences were not found among age, gender or previous career suggesting overall participants valued the use of technology. This was not surprising as participants were enrolled in a hybrid program, where 75% of classes are online and they reside in an area that is heavily influenced by technology companies and businesses alike. When participants were asked how they plan on using technology in the classroom a great number of SCPTs expressed an interest and enthusiasm for using technology as a classroom teacher. Responses range from using technology to enhance instruction, motivate and engage students, to personal use such as lesson planning and instructional delivery.

Table 3 includes some of the responses that may be categorized as reasons for using technology for *instructional purpose* or for *sociocultural factors*. *Instructional purpose* includes specific ways teachers will use technology to enhance instruction whereas *sociocultural factors* include reasons for technology use such as student motivation and engagement. SCPTs' responses that were categorized as sociocultural factors reveal societal influences for the use of technology in the classroom. Responses that were categorized as instructional purpose demonstrate a basic use of technology in the classroom such as showing videos or playing games. Although all teachers were positive about the use of technology in the classroom their approaches for integration do not demonstrate a change in how teachers teach and instruction is delivered. These surface level approaches reveal a need for teacher preparation programs to demonstrate how to effectively integrate technology into classroom instruction.

DISCUSSION

In this study the majority of participants were white females from the engineer/technical sector who held science and mathematics degrees. Career switchers from these backgrounds have not been found in previous research to be likely candidates for a career in teaching. Females were also more likely to report family issues as reasons for leaving their previous careers. This finding suggests a career in technology may not accommodate the personal demands of having a family. Undergraduate programs in technology can include courses in education as a way to support those who decide to enter the teaching profession. The age range of participants was between 25 and 54 years of age, with most participants in the early thirties indicating participants had on average five to ten years of industry experience.

The results from this study found SCPTs left their previous profession because they were dissatisfied and they selected a teaching career to make a difference in the lives of others. The reasons and motivations to become a teacher were associated with intrinsic values such as their perceived ability to teach and social utility values such as the desire to shape the future and make a personal connection with others. Similar research has found second-career teachers enter the field for personal and altruistic reasons, and the desire to teach and work with young people (Novak and Knowles, 1992, Chambers 2002, Priyadharshini and Robinson-Pant, 2003). According to Novak and Knowles (1992) the reasons why second-career teachers enter the teaching profession can be categorized into four main reasons: 1) Need to engage in a worthwhile activity, 2) Notion of service to others, 3) Personal reason, and 4) Love of the subject. These four reasons are similar to what this study found

indicating that over the past twenty years not much has changed in terms of why individuals enter the profession.

Although past research suggests women who become teachers have a lower level of satisfaction than men in their previous career (Richardson and colleagues, 2006), results from this study did not find this to be true. In fact our study found men were more likely to be dissatisfied with their previous career than women and women were more likely to switch careers for family reasons. Differences among gender may be a result of changing family roles, sociocultural expectations and career roles. Women's careers often comprise more than just work and family obligations may be a liability to their career development in organizations (O'Neil, Hopkins, and Bilimoria, 2008). However with the increase of women in professional careers this may provide greater leeyway for men to pursue a profession where salary is not their primary concern, as indicated in the findings of this study.

In the Silicon Valley, careers in technical fields have high financial rewards. In fact the average salary for technical workers surpassed the $100,000 mark two years ago (Tam, 2012). Although high salary is consistently found among engineering fields with seven of the ten highest paid college degrees in engineering (Smith, 2013), education was found to be the most popular field for undergraduates. High salaries are commonly perceived to be an incentive for entering a field but it may not be a strong motivator for staying in a profession. Participants in this study wanted to become a teacher because they expressed a passion for teaching, and a desire to share their knowledge, and help others. This finding suggests career satisfaction is a strong motivator for leaving a profession. Second-career pre-service teachers will seek out career satisfaction as they begin their new role of classroom teacher. Second career teachers will need to see the value in what they do everyday and be able to look beyond the demands that many new teachers face as they being this profession. According to Johnson, Berg, and Donaldson (2005), "students learn more and teachers experience greater satisfaction and commitment when they engage with their colleagues, improve instruction and strengthen schools. (p. 72)

FRAMEWORK FOR SECOND CAREER TEACHERS IDENTITY

Factors that influence second-career professionals to enter the teaching profession may include a variety of influences such as organizational factors, gender, family issues, social networks and career satisfaction. This complex web of personal as well as environmental influences draws upon life experiences, choices and personal values. A common theme among those who desire to become part of this profession is the need to make a difference in another's life. There are many theories that explore why someone would want to help another. This includes emotional rewards of helping, such as feeling good and gratitude (Baston, 1998) or the desire to feel connected to others (Dawes, 1980).

What is needed in the literature is an overarching framework that draws upon second career teacher literature, the factors that influence career decisions, and the impact on teacher identity. Articles in reference to second-career professionals have focused on the reasons for changing careers, (Priyadharshini, & Robinson-Pant, 2003), teacher education programs, (Resta, Huling, & Rainwater, (2001) and feelings of preparedness (Williams, 2012). Brofenbrenner's ecological system theory can

be applied to this context as the model takes into consideration individual characteristics as well as influences from the environment such as one's home, school and culture.

The framework shown in Figure 1 draws upon contextual factors and career change processes to shape the identity and needs of second-career pre-service teachers. SCPTS leave their profession and pursue a teaching career as a result of multiple layers of influence such as prior experiences, personal events and intrinsic motivation. Individual differences also shape the process of becoming a teacher. Socioeconomic factors may provide an impetus to leave a profession or remain if they will face a reduction in salary, whereas starting a family may enable an individual to move towards becoming a teacher.

Bronfenbrenner (2004) associated five major subsystems with influencing human behavior. The *microsystem* refers to the institutions and groups that have immediate and direct impact on one's development such as family, school, and peers. *Mesosystem* refers to relationships and interactions between the microsystems. This includes relationships between the family and work. The individual plays an active role in the experiences they create. The *Exosystem* is a system that includes the experiences that have a direct impact on the microsystem an individual is a part of, but the individual does not play a role in the construction of these experiences. This might include changes in their work or home that are not within the person's control. The *macrosystem* includes the attitudes and ideologies of the cultural environment where the individual resides. The *chronosystem* involves environmental events as well as historical events such as marriage, divorce or childbirth.

In addition to the ecological factors that shape career changers' decisions, the model in Figure 1 includes the processes that shape the decisions and choices one makes in starting a new career. These processes are the results of ecological factors that shape the thinking and rationalizing for switching careers. This may include intrinsic values and beliefs such as one's ability to make a difference in the lives of others and shape the future. Personal goals such as the desire to have more time with family, job security, flexible schedule, and career satisfaction. Teacher identity needs are a result of both contextual factors and processes that impact the person. SCPT enter the profession to reach a goal, achieve self-fulfillment and make a difference in other's lives. SCPT will benefit from goal-directed behaviors that allow the individual to monitor their progress, evaluate their achievement and make improvements. SCPT will need to adopt a mindset of metacognitive thinking to reflect on daily interactions and make improvements to their practice. SCPT should also participate in a professional learning community that promotes solving problems in the school and classroom context. This will enable SCPT to feel a sense of personal responsibility and satisfaction in their career. Furthermore, it is vital that SCPT feel a sense of belonging in the school community. According to Johnson (2005) new teachers today seek more opportunities for collaboration and put less value on privacy and autonomy. They also come with more varied levels of preparation and career aspirations.

SOLUTIONS AND RECOMMENDATIONS:

SUPPORTING SECOND-CAREER PRESERVICE TEACHERS

Although teaching is a rewarding profession it can be stressful when issues arise and the teacher has limited control. SCPT candidates may benefit from knowing how to deal with concerns that might cause them to feel dissatisfied or powerless in the role of classroom teacher. Resta, et al. (2001) found second-career teachers typically have a limited patience for the perceived "bureaucratic procedures and paperwork" that may exist in schools. Therefore knowing how to resolve these shortcomings will be valuable for pre-service teachers as this may influence their decision to leave the profession.

Since this study found females were more motivated to enter the profession for family concerns, SCPTs will benefit from additional support and advice with regards to balancing home and work demands as a teacher and a student. Providing support for SCPT may be difficult in a program that is predominately online, however online support groups, synchronous class meetings with flexible scheduling, and recorded conferences are a few ways that teacher education programs can provide outreach. In addition, offering weekend and night classes with students' services available at this time can also alleviate some of the challenges that SCPTs have in meeting school demands. The participants in this study indicated they selected a blended online program for the time and flexibility yet without time management they may be more likely to drop out or take a considerable amount of time to complete the program. Furthermore as research suggests, SCT are likely to leave the profession from lack of support (Mayott, 2003). SCPT can benefit from working with a mentor teacher who has similar experiences and background. For example during clinical practice SCPT can work with a second career teacher who also has the same industry experience. Inviting second career teachers with similar backgrounds to share their experience with SCPT can also be insightful and help maintain career switchers in the profession.

Since the majority of participants had a background in technology, were enrolled in a blended online program, and reside in the Silicon Valley of California it was not surprising to find a high level of motivation with regards to using technology in the classroom. Yet it was evident in terms of SCPT responses that there is a need to learn how to integrate technology into subject matter content as participants shared peripheral ways technology could be utilized.

CHANGING TEACHER PREPARATION

The demand for teachers who can skillfully manage behavior, plan effective lessons, analyze student assessments and implement differentiation strategies is a loud shout from district administrators. Teacher preparation programs need to reflect the call of 21st century schools and prepare preservice teachers for these increasing demands. First and foremost it is essential that universities establish strong partnerships with schools in which new teachers seek employment. Extensive fieldwork and more exposure to the typical classroom will only strengthen SCPTs' capacity to be effective as they take on their new role. In addition strong partnerships will give universities insight as to what is happening in today's classroom. This knowledge will further assist instructors who seek ways to maximize the time they meet with pre-service teachers. SCPT will benefit from the

opportunity to participate in short and long term planning with a teacher who has mastery in their subject area. Planning should coincide with instruction and assessment so SCPTs can see how assessment is an integral part of planning and vice-versa. SCPTs must develop habits of mind that are key to effective instruction.

Pedagogical content knowledge is crucial to new teachers' success in the classroom. New teachers must know how to apply constructivist practices, project-based learning, and differentiated instruction in today's diverse classroom. SCPTs may have knowledge of working with students who have special needs or are English language learners, however they will also benefit from the experience of working with these students. University preparation programs can provide case studies, videos and model delivery of instruction for all groups of students. Second career teachers may have the knowledge to connect learning goals to real-life application however teachers should also take note of students' prior knowledge, interests and experiences, as the most well-prepared lesson will not be meaningful or exciting to the learner.

The National Council for Accreditation of Teacher Education (NCATE) emphasized the use of technology for teacher education by developing the National Education Technology Standards for Teachers (ISTE, 2000). These standards require teachers to use technology in their classroom and design learning environments and experiences that support teaching, learning and curricula. Incorporating "technological pedagogical content knowledge" (Mishra and Koehler, 2006) as part of teacher education programs is essential for preparing pre-service for today's digital learner. Building upon Schulman's (1987) "pedagogical content knowledge" this type of knowledge includes teachers integrating technology into their pedagogy. Thus three main components shape the learning environment: content, pedagogy and technology. Pedagogical content knowledge includes the complex ways in which content should be taught. Content knowledge includes the actual subject matter that is to be learned and technological knowledge includes the understanding of hardware and software and the skill required to operate these technologies. There is a significant amount of research to support good teaching requires an understanding of how technology relates to pedagogy and content (Hughes, 2005; Keating & Evans, 2001; Neiss, 2005, Zhao, 2003). University programs should provide SCPT with an opportunity to demonstrate a variety of technological instructional practices and observe master teachers implement these practices as well. These strategies should be interwoven in coursework and modeled by university professors. Technology will become much more meaningful to pre-service teachers if they are asked to use it in a variety of contexts such as to present new learning, find information, analyze data and engage students.

In recent years technology education has gone through significant change and revision. The introductory technology course has gone through a particularly dynamic era recently, with nearly half of all topics appearing as new in 2010. Of particular note among the new topics are SMART Boards and Web 2.0 technologies such as Blogs, Wikis, and Professional and Social Networking Sites (Betrus, 2010). Over the last twenty years the curriculum for technology has advanced as a result of standards, new initiatives and an emphasis on teaching design (Welty, 2003).

Project Tomorrow's annual Speak Up survey (2011) found pre-service teachers place a high value on the role of technology for student success and their effectiveness as a teacher. In fact, pre-service teachers consider access to technology tools and resources to be one of the top five factors that

will determine their future success as a teacher. Pre-service teachers beliefs are important to consider, however the ways in which teachers are being prepared will determine the types of early experiences teachers have with technology and the confidence they gain to implement technology effectively. Project Speak Up (2011) survey found two-thirds of pre-service teachers reported gaining knowledge of how to integrate technology into instruction through their field experiences as student teachers and by observing their professors. This finding suggests that pre-service teachers are learning by observation rather than application of technology in a meaningful context through assignments and tasks.

The Speak Up survey (2011) reported the types of technology pre-service teachers are learning about: interactive whiteboards (55%), multimedia presentations (64%) and word processing and database software (71%). These technology tools may be considered low-level technology as teachers present information without altering the way they teach. Such an approach to teacher preparation would in fact produce teachers who are not fully prepared to integrate technology in the classroom and instead, approach technology integration at the "adoption" level (Cuban, 2001). At this level teacher-centered practices are evident; the teacher is at the center of instruction and the students are in a passive recipient role. Furthermore the teacher chooses what and how the students will learn and be assessed. Low-level technology uses tend to be associated with teacher-centered practices while high-level uses tend to be associated with student-centered, or constructivist, practices (Becker, 1994; Becker & Riel, 1999).

Therefore at the university level effective technology use should incorporate a variety of applications that allow pre-service teachers to approach technology integration at the "invention" level (Cuban, 2001). This would require teachers to use technology from a constructivist lens to create an interdisciplinary approach to instruction. Students might be required to focus on a problem, analyze data, explore relationships and construct meaning using a variety of sources. When technology is used from a project-based perspective higher level of cognitive thinking are required and students are active participants of their learning.

Finally, professional dispositions are vital to establishing a long-term career as an educator. The expectation of a teacher extends beyond the school bell and SCPT will need training in meeting the multiple demands embedded in the teaching profession. They need support in dealing with the mental stress of teaching and the mindset of active reflection to improve their practice. SCPT need the opportunity to collaborate with peers and share best practices. University programs can create learning communities with professional organizations such as Association of Supervision and Curriculum Development (ASCD) and Phi Delta Kappa (PDK) or among cadres of preservice teachers to expand exposure to best practices in the field and build a network of teachers supporting teachers.

SIGNIFICANCE:

LIFE CAREER DEVELOPMENT

The decision making process for Second-career preservice teachers occurs through Super's (1990) life career development stages of growth, exploration, establishment, maintenance, and disengagement. SCPT leave their previous profession in the final stage of disengagement. As such when they begin their new position of classroom teacher they can be expected to recycle through Super's stages. In the growth stage, SCPT may develop an interest and awareness of their abilities. They may decide to volunteer at a school, become a substitute teacher, or tutor a child. During the exploratory stage, SCPT have selected a teacher education program that meets their goals and needs. In the establishment stage, the SCPT will gain employment as a teacher. In the fourth stage titled maintenance the new teacher will seek to gain tenure at their school site, and they might assume a leadership role or advancement in their position. Finally they return to the stage of disengagement where there is a reduction of workload or possible retirement.

Identifying factors that influence second-career pre-service teachers to enter the profession can be useful for designing, implementing, or evaluating teacher preparation programs. Research has shown real-life applications of classroom knowledge are characteristic of second-career teachers (NESC, 1990; Post & Killian, 1993; Shannon & Bergdoll, 1998). This finding suggests second-career teachers value the opportunity to share the knowledge and skills they learned in their previous professions. Second-career teachers also believe their age and experience to be valuable skills for teaching (Mayotte, 2003). It would be beneficial for instructors of SCPT to include situational experiences that will allow them to discern when and how to apply real-life applications in the context of classroom curriculum. Understanding when and how to include personal stories, experiences and skills would promote transfer of content knowledge into a real-life context and increase students' capacity to retain information by making meaningful connections. According to Knowles (1973), adults need information to be relevant to previous experiences, presented through more than one modality, and to have an opportunity to practice what they are learning. Because of their extensive professional experience and background knowledge, these adults need to see the connections not only between their previous role and their new one; but also how to shift those skills to the field of teaching (Tigchelaar, Brouwer, & Korthagen, 2008).

Second career teachers were found to possess a variety of skills including the ability to think analytically, communicate, manage multiple projects simultaneously, and a highly developed work ethic (Novak & Knowles, 1992; McCree, 1993; Jenne, 1996). These skills are valuable for classroom teachers to facilitate classroom discussion, manage group work and plan instruction. SCPTs can benefit from knowing how to apply these skills in their role of teacher. Although SCPTs may feel confident to teach students because they have a variety of skills and professional experience this could be a drawback in terms of receiving support. Mayott (2003) found second career teachers were not receiving as much support as younger teachers. This is concerning as new teachers are more likely to get larger classes, more students with special needs or behavioral problems, extracurricular duties, and classrooms with fewer textbooks and equipment (Patterson, 2005).

SCPTs should be aware of the challenges new teachers face and the resources that are available for support and professional development. Moreover as SCPT prepare to enter the profession they would benefit from knowing how colleagues might perceive them. Likewise instructors should take into consideration how to build support networks as this will help retain new teachers in the profession. Kapadia et al (2007) found that novice teachers who received strong mentoring were more likely to report that they intended to continue teaching.

CONCLUSIONS

Matching students' strengths and experiences could lead to a more successful transition to teaching and better retention in the field. Moreover, as an increasing number of teacher preparation programs transition to an online platform, understanding the profiles of SCPT will be beneficial for program recruitment, retention and outreach. The majority of participants in this study selected a blended online program because of the time and flexibility that is offered in this nontraditional program. A substantial 39 percent of teachers with five or fewer years of teaching experience in 2011 entered teaching through alternative teacher preparation programs (Feistritzer, 2011). Institutions that are looking to attract second-career professionals will need to accommodations the needs and challenges of this population.

In the United States about one-third of all new teachers leave the profession after three years and 46 percent leave within five years (NEA, 2008). Future research should examine if matching the skills and talents of second-career teachers with experienced mentor teachers might help retain these new teachers in the profession. Previous research suggests the most common reasons for leaving include low salaries, lack of support, student discipline problems, low student motivation, and a lack of influence over school decisions (Ingersoll, 2001). Results from this study suggest the reasons for becoming a teacher are personal and not for prestige, or salary. This finding is promising for teacher retention as the SCPTs in this study did not become a teacher for salary or prestige. However as new teachers they will need skilled mentors who are knowledgeable about their subject matter (Rockoff, 2008) and can provide emotional support, and constructive feedback.

Second-Career preservice teachers seek the opportunity to inspire students and change the world around them. However they face an ever-demanding profession that requires a strong body of knowledge that extends beyond the content they will teach. Second career teachers bring with them prior skills and knowledge that can support students in making meaningful connections, but they need support in classroom management, planning, differentiation, technology and a host of other tasks. Mentorship is key for beginning teachers, but for SCPTs it is crucial that they have a network of professionals who can identify the needs and demands these professionals face.

If second-career teachers do not actively reflect on their practice, build their self-efficacy for teaching, and establish a strong network of supportive colleagues, they may join the ranks of new teachers who leave the profession. As a result of feeling overwhelmed, ineffective and unsupported 15 percent of new teachers leave the profession and another 14 percent change schools after their first year (Ingersoll & Smith, 2003). SCPT may be idealistic in their goal of changing students lives and feeling like they are making a difference, however they can get there if teacher preparation programs and schools work together to support preservice teachers on their pathway to becoming an educator.

Setting goals, establishing relationships with colleagues and reflecting on their practice are a few key practices to instill in second-career pre-service teachers' identity.

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KEY TERMS AND DEFINITIONS

Blended program combines the benefits of face-to-face classroom instruction with elements of online delivery of content.

Master teacher is a person who supports a preservice teacher on their path to becoming a credentialed teacher through co-teaching, planning, modeling and observation.

Nontraditional program this type of program prepares college graduates to become teachers through alternative means of state licensure.

SCT: Second career teachers are educators who enter the teaching profession after a professional career

SCPT: Second career preservice teachers are individuals who are entering teacher preparation programs to become a professionally credentialed teacher.

Sociocultural theory is a theory of learning that stresses the importance of learning within a cultural and historical context

Teacher Identity Includes the Professional Dispositions, Values and Commitments that Shape an Individual Beliefs Toward Becoming a Teacher

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Abstract: As the world becomes a more global society, the need to prepare teachers to be culturally competent is increasing. Preparing teachers to teach in a global society requires education during the pre-service training period. Student teaching is a critical element in the pre-service training time. To best facilitate a teacher candidate's cultural competence, immersion into the culture is preferred. To that end, the Consortium of Student Teaching (COST) was developed. COST is a consortium of 15 universities across the United States who have come together with one common goal; to offer immersion teaching experiences for pre-service teachers. This study analyzes the experiences of students participating in the program from one university over an eight year period. The qualitative data collected from these past participants is used to determine the impact participation has made in the candidate's teaching methods and philosophies. The data shows being immersed and teaching in another culture increases cultural competence and awareness from the teacher's perspective.

Biography
Dr. Sherie Williams is an Associate Professor at Grand Valley State University, focusing in the areas of classroom management, and research methodology. Additionally, Dr. Williams serves as the coordinator for COST (Consortium of Overseas Student Teachers) where she places pre-service teachers in schools abroad to complete their student teaching requirements. As an advocate for international education, Dr. Williams also leads a faculty led experience to Northern Spain each year. Dr. Williams has also served as a secondary administrator and teacher.

Flipping John Steinbeck:
Remedial Reading Made Palatable

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Dr. Waggoner retired from school administration in Illinois after serving 29 years as a school superintendent. He became an Assistant Professor of Education Studies at Eastern New Mexico University in January 2004. Dr. Waggoner was promoted to Associate Professor in 2011. All educational administrative courses at ENMU have been online since 2008 and Dr. Waggoner was responsible for constructing the template for all of the classes. His research interests include issues in school law, particularly First Amendment religion concerns in the public schools.

Abstract: Some ENMU freshmen are required to enroll in a remedial reading class which meets for three hours a week for the sixteen week semester. This class does not generate any credit for the student, but does reflect on the GPA. In order to generate more interest in the class Dr. Waggoner 'flipped' the class to Blackboard and, utilizing the free download of Audacity, created lectures and quizzes on a Blackboard shell. This allowed for the classroom time to be utilized for discussion of the book under consideration , *Travels With Charley* by John Steinbeck. Students were surveyed to access their satisfaction with the flipped classroom experience and to compare their retention of the information with classrooms that were not flipped. Evidence indicates that the flipped experience benefits the students' understanding of the material.

Abstract: College professors are continuously looking for new and innovative ways to reach the unique students that are enrolled in a liberal arts math course, to engage them in the learning process, and to help them be successful in college-level math. This study's purpose was to evaluate the impact that online homework could have in addressing these problems. Previous studies have shown that online homework can be an effective tool in other types of math, business, and science courses, but there is very little research addressing the unique learning environment found in a liberal arts math class, which is often comprised of students with high levels of math anxiety and low math self-efficacy. This quantitative study used a quasi-experimental design involving historical data collected over four years (2007–2011). The results indicated that students did attempt their online homework at significantly higher rates in comparison to traditional paper-and-pencil assignments. Because student engagement is directly correlated with the amount of time spent on a course, it was concluded that student engagement significantly improved with online assignments. However, doing more homework did not translate to significant improvements in test scores or course performance although nominal improvement was made in some cases. If professors truly wish to help their students succeed in math, online homework may help, but it cannot be solely relied upon to reach the desired results. Yet, positive change can still occur as students become more engaged in the course, discovering that math does have relevance in a variety of disciplines and that it is essential for success in the career world.

Using Online Homework in a Liberal Arts Math Course to Increase Student Participation and Performance

Dr. Dawn Locklear

Liberal arts math courses are offered as a fulfillment of the general education math requirement. They differ from traditional college mathematics courses because they contain a variety of math topics rather than a singular focused course (e.g., algebra, geometry, and calculus). The liberal arts math course was created many years ago as a final college math class, but its goal remains to instill in students the true essence and beauty of mathematics by giving them a broad view of the subject and to show them how it applies to everyday life (George, 2010). Many of the students enrolled in this type of course struggled with math in high school, and they bring along years of negative perceptions about math. These perceptions can take the form of math anxiety, low math self-efficacy, and even apathy. For most students, liberal arts math is the last math course they will ever need to take, and their primary goal is to pass the course.

From the professor's perspective, finding ways to reach these students and engage them in the learning process is the problem. With the integration of technology over the past several years, a growing trend is the use of online homework in place of traditional paper-and-pencil assignments in lower-level math and science courses (Hodge, Richardson, & York, 2009). The goal of using online homework is to help students to experience more success in a college math course and to increase their math self-efficacy and overall performance.

This research study's purpose was to evaluate the impact and effectiveness of online homework in a liberal arts mathematics class. By utilizing the technology of online assignments versus traditional paper-and-pencil assignments, this study considered whether students became more engaged in a course (as measured by the percentage of attempted assignments), whether their understanding of the subject matter improved (as measured by exam scores), whether the assignment style made a difference in overall course performance (as measured by final grades), and whether their overall feelings about the course improved (as measured by a student survey).

In previous studies, the comparison of online homework versus traditional paper-and-pencil homework has yielded mixed results across various disciplines. Porter and Riley (1996), Dufresne, Mestre, Hart, and Rath (2002), Hirsh and Weibel (2003), and LaRose (2010) all determined that online homework increased performance as indicated by test scores. On the other hand, Bonham, Beichner, and Deardorff, (2001), Hauk, Powers, Safer, and Segalla, (2005), Kodippili and Senaratne (2008), and Brewer (2009) all concluded that a course's online sections performed only slightly better than its traditional sections although the difference was not statistically significant. However, none of these studies were applied in a liberal arts math class setting. Due to the different types of students involved, the results of those studies may not extend to a liberal arts math class.

The Online Homework System

Online homework systems differ significantly in their pedagogical capabilities, which may attribute to some of the previous research's inconsistencies (Brewer, 2009). These differences occur in

the type of questions asked (multiple choice versus numerical answer), the amount of help available, and the extent of feedback the student receives for incorrect responses. It is important for this study and future studies to look at the specifics of the online homework system that were utilized in order to determine which of its characteristics were the most effective.

Students in this study who completed their homework online used MyMathLab (MML). This is a textbook-specific product distributed by Pearson Higher Education and Course Compass. Each problem in MML references the book problem it most closely aligns with. Thus, the MML problems that were chosen for the online assignments were very similar to the content and difficulty of the corresponding paper-and-pencil problems. This level of correlation between the two homework types is important in this study, and it is a positive feature of this particular online homework system (Brewer, 2009).

MML has many features that can be enabled at the instructor's discretion. For this study, the following features were included. First, MML provided immediate feedback if the student's answer was correct or incorrect. If a student answered a numerical problem incorrectly, they were given diagnostic feedback and had the option of retrying the problem two more times. After the third incorrect response, the correct answer was displayed with an explanation on how the answer was obtained. A similar problem could then be tried with full credit given for correct answers. Second, several aid buttons were available to assist students. These included "Help me solve this" (an interactive, step-by-step solution after which a new problem is given) and "Show me an example". Finally, several hyperlinks were also available, including links to the textbook, video lectures and animations, as well as the option of sending an e-mail to the professor directly from a problem.

The largest advantage of online homework for students is the amount of timely feedback they receive for both correct and incorrect homework responses (Bonham, Deardorff, and Beichner, 2003; Zerr, 2007). The immediate feedback helps students identify and fix errant thought processes before those thought processes become habitual. A second advantage is the amount of immediate help that is available regardless of the time of day when the assignment was worked on. This is particularly beneficial to procrastinating students who are unable to get the professor's help in the middle of the night before an assignment is due. Finally, online homework gives students the option of working assigned problems multiple times. The iterative nature of getting feedback and then reworking the problems allows for both practice and mastery of concepts (Dillard-Eggers, Wooten, Childs, & Coker, 2008). In addition, the multiple attempts also develop persistence (Denny & Yackel, 2005) because many students keep trying a problem until they get it correct. Once students realize some success in their homework, their motivation increases as does their confidence in their math ability, both of which are critical to their success in the math classroom (Thiel, Peterman, & Brown, 2008)

Two advantages are evident for instructors of online homework classes. The first advantage is a reduction in the time spent reviewing homework and answering homework questions during class. Students are able to use the help tools to answer many of their own questions, freeing up class time for other activities. In the study by LaRose (2010), 10 of 13 instructors were able to significantly change the way they structured their classes after implementing online homework because they were then able to spend more time on new material. The second advantage is the reduction in faculty workload due to the amount of time saved from grading assignments. If a faculty member is

fortunate to have a student assistant, financial savings could also be realized, or the student assistant could be freed up to work on other projects. Reducing faculty workload is a huge advantage to professors, but it cannot be the sole reason behind online homework's implementation. The benefit to students needs to be the primary focus. If it can be shown that the exam scores are unchanged or even slightly improved, then online homework is a viable option.

Research Design

This quantitative study used a quasi-experimental, two-sample design and historical data. The quasi-experimental design was necessary because it was not possible to randomly assign participants to either the control group or the treatment group. The historical data came from students enrolled in Math Survey at Crown College over a four-year period. The control group consisted of 174 students (78 male and 96 female) that were enrolled in eight sections of the course (from Fall Semester 2007 through Spring Semester 2009) and utilized traditional paper-and-pencil homework assignments. The treatment group consisted of 107 students (57 male and 50 female) that were enrolled in five sections of the same course (from Fall Semester 2009 through Spring Semester 2011) and used online homework assignments.

The professor (researcher) taught all 13 sections of the lecture-based course. This allowed the teaching and grading methodologies to remain consistent throughout the four-year period. Additionally, all 13 sections used the same textbook (*Mathematical Ideas*, 11th ed. by Miller, Heeren, & Hornsby). The online assignments were matched as closely as possible with the paper-and-pencil assignments, including both the number of problems assigned and the level of difficulty. Finally, the exams were returned to the students to look at but were immediately collected and kept in the professor's possession. This allowed the exam problems to remain similar for eight semesters. Therefore, the homework delivery method was the only variable that was considered for this study.

For both of the traditional and online homework methods, students submitted homework at the end of each chapter, so an assignment was due approximately every one to two weeks. The instructor assigned points based upon the percentage of correct answers. There was a total of 100 homework points, which accounted for 20% of the course's final grade.

The traditional homework consisted of a mixture of even-numbered and odd-numbered problems with the answers for the odd-numbered problems being available in the back of the textbook. All of the even-numbered problems were graded with feedback for accuracy and completeness. Only a minimal number of odd-numbered problems were graded because it was expected that students could check their own answers to these questions. All assignments were returned to the students within one week of their submission. Late assignments were accepted with a 10% penalty for each day an assignment was late. The online homework allowed three attempts per problem, but no late homework was accepted.

Data collected from each student included the percentage of attempted homework assignments, the exam scores for three in-class examinations that were administered throughout the semester, the total points for the course, and the course's final grade. Additionally, most students completed a course evaluation at the end of the semester, indicating their general reactions to the course, instructor, and subject. Specific questions from this course evaluation were compared

between the two homework types. The data's analysis was originally performed by using the statistical tests on a TI-84 Plus calculator and verified by using PASW Statistics 18 (SPSS).

Data and Analysis

In this study, four basic research questions relating to the effectiveness of online homework were considered. A null hypothesis and an alternative hypothesis accompanied each of the research questions. Because these questions dealt with the improvement that the online homework assignments provided, the alternative hypotheses were all one-tailed. Research Question 1: Is there an increase in the percentage of attempted assignments when students utilize online homework assignments instead of traditional paper-and-pencil homework assignments? *Null Hypothesis*: The percentage of attempted assignments is the same for the online assignment sections and the traditional paper-and-pencil assignment sections. *Alternative Hypothesis*: The percentage of attempted assignments is greater for the online assignment sections than for the traditional paper-and-pencil assignment sections.

This research question measured student engagement. The rationale for this question assumes that if a student is engaged in the course, he or she will attempt assignments at a higher rate. It should be reiterated that this study only looked at the percentage of attempted assignments and not the overall homework score because the online homework allowed students multiple attempts for getting correct answers.

To test the null hypothesis, the number of attempted assignments was calculated per student, and the sum total of all attempted assignments was calculated per treatment group. This total, divided by the total number of possible assignments, determined the percentage of attempted assignments for each treatment group. Table 1 lists the number of attempted assignments, the number of possible assignments, and the resulting attempted percentage for each study group (divided out by gender).

A comparison of the percentages determined if the amount of attempted homework remained the same between the control group and the treatment group or if the online sections attempted the homework at a higher rate. The analysis compared the percentages for the two groups by using a 2-proportion z test for the comparison of population proportions (Triola, 2010). A similar test was then run on each gender type. All three tests used the following null hypothesis and alternative hypothesis:

$H_0 1$: $p_1 = p_2$
$H_1 1$: $p_1 < p_2$

The results indicated that students made a significant improvement in the percentage of assignments attempted with the online homework. These results are statistically significant at any significance (α) level with p-values being 0.0 (to 9 significant digits). When analyzed by gender, the evidence still supports a significant improvement for both genders with male students increasing their usage by 10 percentage points. These results indicate that the use of online homework does help engage students in a course more than the use of traditional paper-and-pencil homework assignments.

The significant improvement in assignments attempted with the online homework method is not surprising. The ability to complete assignments online is still a relatively new technology especially when it is compared to the traditional paper-and-pencil assignments that students have

been utilizing since elementary school. This online technology seems to encourage students to try homework problems when they may not have otherwise. These findings are consistent with several other studies, including Zerr's (2007), Denny and Yackel's (2005), and Hirsh and Weibel's (2003). Because today's students have embraced technology, they may be more motivated to use it to complete homework assignments rather than using traditional paper-and-pencil methods (Dillard-Eggers et al., 2008).

 Research Question 2: Is there an increase in the understanding of material when students utilize online assignments instead of traditional paper-and-pencil assignments? *Null Hypothesis*: The average exam scores are the same for students in the online assignment sections and for students in the traditional paper-and-pencil assignment sections. *Alternative Hypothesis*: The average exam scores are greater for students in the online assignment sections than for students in the traditional paper-and-pencil assignment sections.

 This research question was used to determine if a student's understanding of the subject matter improved with the use of online homework. The Math Survey course is comprised of four exams given throughout the semester. These exams are not cumulative (including the final exam). Because the course is an overview of various math topics, the chapters are, for the most part, independent. For the study, each exam covered material from two different chapters. Three of the exams remained consistent throughout the course of this study, and those three exams comprised the basis for this research question. The descriptive statistics for each of the three exams are given in Table 2.

 Levene's test examined the equality of variances. For the first and third exam, the results were not significant ($p = .361$ and $p = .157$, respectively), indicating that equal variances could be assumed. However, for the second exam, Levene's test returned a significant result at the $\alpha = 0.05$ level ($p = .020$), indicating that equal variances cannot be assumed for this exam.

 A comparison of the average test scores determined if the scores remained the same for both homework types or if the online sections incurred higher exam scores. A *t*-test for independent samples (Triola, 2010) compared the averages for each of the three exams separately. Each test used the following null hypothesis and alternative hypothesis, and the results are listed in Table 3:

 H$_0$2: $\mu_1 = \mu_2$
 H$_1$2: $\mu_1 < \mu_2$

As evident in Table 2, the test scores decreased slightly with the introduction of online homework. Table 3 indicates that this decrease in test scores is not significant for either the first exam or the third exam (using $\alpha = 0.05$). The 95% confidence interval for the difference in the means contained zero, indicating that the difference between the means could be negative, positive, or zero. Thus, the null hypothesis cannot be rejected, and the conclusion is there is no difference in exam scores for the first and third exams.

 The second exam was also not significant with respect to the p-value. However, the 95% confidence interval was entirely positive, indicating that $\mu_1 > \mu_2$ or the mean of the control group is larger than the mean of the treatment group. It should be noted that if the alternative hypothesis was switched from *H*$_1$: $\mu_1 < \mu_2$ to *H*$_1$: $\mu_1 > \mu_2$, the results would have been statistically significant. In other words, students using online homework actually did significantly worse on this particular exam.

Because gender played an important role in the first research question, the second research question was reanalyzed by gender with the same null hypothesis, the same alternative hypotheses, and the same test (*t*-test for independent samples). Table 4 contains the descriptive statistics divided by gender.

First, consider the male students. Notice that exam one's test scores improve with the introduction of online assignments. The improvement is not statistically significant (p = .384), but nominal improvements are made nonetheless. The other two exams drop slightly, but the analysis confirms that there is no significant difference (p = .838 and p = .648, respectively). Therefore, it can be concluded that the average exam score remains the same for male students regardless of which homework method is utilized.

Female students, on the other hand, produced different results. The test statistics were all larger for the female students than they were for the male students, indicating a larger difference in the exam scores between the two homework groups. The results in Table 4 still indicate that female students completing paper-and-pencil assignments scored higher on all three exams and much higher on exam two. This was the case when all of the students were grouped together. Exam two was the only exam that had a 95% confidence interval that was entirely positive. Again, this indicated that $\mu_1 > \mu_2$. Neither exams one nor three were statistically significant at the α = .05 level. In both of these cases, the 95% confidence interval still contained zero, indicating that the two means could possibly be the same.

In general, for research question two, it appears that the online homework did not significantly improve test scores. In fact, the test scores seemed to get slightly worse in all but one of the cases (male students, exam one) although the results were not significant.

Research Question 3: Is there an increase in overall course performance when students utilize online assignments instead of traditional paper-and-pencil assignments? *Null Hypothesis*: The distribution of final grades is the same for the online assignment sections and the traditional paper-and-pencil assignment sections. *Alternative Hypothesis*: The distribution of final grades is higher for the online assignment sections than the traditional paper-and-pencil assignment sections.

The final course percentages and the final grades were considered to determine if overall course performance improves with the addition of online homework. A student's final score was comprised of both 100 possible points in the homework (either method) and 400 possible points in the exams (three exams plus a final) for a total of 500 points. A student's actual scores were totaled and divided by 500 to obtain his or her course percentage. The assignment of final grades was based upon a standard grading scale. Great care was taken to be consistent with the awarding of grades to avoid any type of grade inflation over the four-year period. It should be noted that if any grade was adjusted due to special circumstances or borderline cases, those adjustments were not part of this study. Only the actual percentage and its corresponding letter grade were used for this study. This removed all subjectivity from the grading.

Two different tests were performed on the students' final course results. The first test consisted of a comparison of the final percentages that were based on homework type. The average total percentage was calculated per treatment group. Table 5 contains the descriptive statistics divided by gender.

It should be noted that the final percentages were used instead of the overall final point totals because six students missed one exam. These students had only 400 points possible, and their percentages were adjusted accordingly. If total points had been used, these missing exams would be considered zeroes, which would be inaccurate. Because these missing exams were not included in the second research question, it would be misleading to include them here. Thus, final percentages were used.

Levene's test measured the equality of variances. The results were not significant when all students were considered together or when divided by gender, indicating that equal variances could be assumed in all cases. A comparison of averages determined if the final percentages remained the same for both homework types or if the online sections had a higher overall percentage. A t-test for independent means was used to make the comparison. The test utilized the following null hypothesis and alternative hypothesis, and the results are in Table 6:

$H_0 3a$: $\mu_1 = \mu_2$

$H_1 3a$: $\mu_1 < \mu_2$

As evident in Table 5, the total overall percentage increased slightly with the introduction of online homework. This was true when all students were considered together, and it was also true for the male students when the data was divided by gender. Additionally, the percentage increase is verified by the negative test statistics that are shown in Table 6.

Although the overall course percentages demonstrated a nominal improvement, the results failed to reach statistical significance. Conversely, female students actually had a slightly lower overall course percentage when using the online homework. These results were also not statistically significant. The 95% confidence interval contained zero in all three cases, indicating the means could be the same between the two treatment groups. Thus, the null hypothesis cannot be rejected, and the conclusion is there is no difference in the overall course percentage between the two homework methods.

Given the decrease in exam scores from the previous question, it is not surprising that the overall increase in final course percentages were not statistically significant. These overall course results are consistent with the research performed by Hirsh and Weibel (2003), Bonham et al. (2001), Brewer (2009), and Kodippili and Senaratne (2008). In all of these studies, it does appear that the online homework is at least as effective as its traditional paper-and-pencil counterpart when the final grades are measured.

The second test for research question three consisted of determining the total number of A, B, and C grades for each treatment group and calculating a percentage (per group) of students who earn an A, B, or C (i.e., the ABC rate) in the course. The ABC rate comparison was considered because several majors require a minimum grade of C- to be accepted into their particular program at Crown College. Table 7 shows the number in each grade category (by gender) as well as the corresponding percentage.

The ABC rates for the two groups were compared to determine if the final letter grades were higher for the online sections versus the traditional sections. A similar test was then run on each gender. The analysis compared the percentages for the two groups by using a 2-proportion z test for the comparison of population proportions (Triola, 2010). The following null hypothesis and alternative hypothesis were used for the three tests, and the results are listed in Table 8:

$H_0 3b$: $p_1 = p_2$

$H_1$3b: $p_1 < p_2$

The results indicated that, regardless of gender, the percentage of A, B, and C grades increased nominally with the use of online homework. Although the largest increase occurred with the male students, the female students also increased their ABC rate. Despite the realized increase in all three of the cases, none of the results reached statistical significance at the $\alpha = 0.05$ level. This would indicate that the increase is not enough to conclude that online homework makes a significant difference although the use of online homework does appear to improve the ABC rate.

Other researchers that have considered ABC rates include Brewer (2009) and Kodippili and Senaratne (2008). This study mimicked the results obtained by Brewer (2009) in that the percentage of ABC grades improved slightly with the use of online homework. Kodippili and Senaratne realized a significant increase in the ABC rate when online homework was utilized.

The last research question involves subjective data because it relates to the student's perceptions of the course. At Crown College, instructors give course evaluations to all students at the conclusion of each course. The course evaluation is a questionnaire that is developed and summarized by the IDEA Center (2006). The evaluation provides a number of measurements on teacher effectiveness and student learning. All questions are answered on a Likert 1–5 scale of which 1 is "definitely false," 2 is "more false than true," 3 is "in between," 4 is "more true than false," and 5 is "definitely true." There are a total of 43 questions on the evaluation pertaining to the course itself, the instructor, time commitment, difficulty, and the desire to take the course. This study considered two specific questions on the evaluation that could help to measure a student's perception of the course. The first question looked at the subject in general (math), and the second question considered this specific liberal arts math course (The IDEA Center, 2006).

Hoyt and Lee (2002) have conducted extensive research about the evaluation form's reliability and validity. For a class size of 10–14 students, they determined that the reliability (using the Spearman-Brown prophecy formula) was r = .75 for question #40 and r = .80 for question #42. For a class size of 15–24 students, the reliabilities were even higher for the same two questions at r = .86 and r = .89, respectively (Hoyt & Lee, 2002, p. 73).

In addition, Hoyt and Lee (2002) ran validity tests to determine the validity of the course evaluations in four different areas: the correlation between the instructor's ratings of the importance of each course objective and the students' ratings of their own learning progress on those objectives, the consistency of student ratings with intuitive expectations, the differential validity of the teaching method items, and the correspondence between independently obtained student and faculty ratings. The last test pertains particularly to the two questions used in this study. The presence of a relationship between the two ratings (student and instructor) indicated the system's validity because the instructors and students made their ratings independent of one another (Hoyt & Lee, 2002).

This course evaluation system has been used by Crown College for the past five years. The data returned to the professor is not tied to any particular student but contains only the summary totals for each question. The sampling design is a nonprobability census design. All students who are present the day evaluations are distributed must fill out the evaluation form before they leave class. The disadvantage of using the census sample is the missing data from absent students. This could cause a slight bias because students who are not present on the day the surveys are distributed are not able to complete one. The students who miss the survey tend to be students who have also missed class on a regular basis. However, because the instructor has the ability to choose what day

the evaluations are given (within the last two weeks of the semester), a high attendance day is typically chosen, and the average response rate is approximately 70%.

Research Question 4: Is there an improvement in student attitude toward the course based upon the homework method? *Null Hypothesis*: The average course rating is the same for the online assignment sections and the traditional paper-and-pencil assignment sections. *Alternative Hypothesis*: The average course rating is higher for the online assignment sections than the traditional paper-and-pencil assignment sections.

To determine if a student's perception of the course improved, the answers to two specific questions on the course evaluations were considered. The first question was "As a result of taking this course, I have more positive feelings for the subject," and the second question was "Overall, I consider this an excellent course" (The IDEA Center, 2006). The average Likert-scale score was calculated by treatment group for each of the two questions. Note that it was impossible to split this data by gender because names or gender questions were not included on the surveys. The frequency table for the two questions and the five possible responses are given in Table 9.

Again, Levene's test was used to test for the equality of variances for both of the questions. The results were not significant, indicating that equal variances could be assumed in both cases. The means were compared for each question to determine if the student's perceptions about the course remained the same or improved with the addition of online homework. A *t*-test for independent means was used to make the comparison. The following null hypothesis and alternative hypothesis were used for the test, and the results are listed in Table 10:

$H_0 4$: $\mu_1 = \mu_2$

$H_1 4$: $\mu_1 < \mu_2$

The results indicated that the student's attitude toward the course improved. The first question, which pertained to the subject matter, resulted in a nominal increase in the average score (the mean increased by .1). The second question, which pertained to the specific course, resulted in a slightly larger increase (mean increased by .2). Despite the realized increase in both of these questions, the results are not statistically significant at the $\alpha = 0.05$ level. These results would indicate that the increase is not enough to conclude that online homework makes a significant difference although the use of online homework does appear to improve the student's perception of both the subject and the course.

Discussion

Several reasons could underlie why homework was attempted (and completed) at higher rates but did not translate into increased understanding. The first possibility is that, regardless of the employed homework method, all of the exams were traditional paper-and-pencil exams administered during the class period. Students using traditional homework methods may have been more familiar with the format of the questions, and they were accustomed to physically writing out a solution. This may have been disadvantageous to the students utilizing online assignments.

A second possible explanation for the decrease in exam scores is the amount of effort that was exerted with the online assignments. Peng (2009) found that some students seemingly

increase their homework effort because of the shortcuts and assistance the online systems provide rather than using the system to actually learn the concepts. This current study would appear to support Peng's conclusions. With the online system, students have the capability to work through the problems, especially the multiple-choice problems, by completely guessing until they get them correct. With unlimited tries, they will eventually get the question correct, but it is unknown whether they really understood the question they just answered. Even for problems that require algebraic solutions, it is possible that a student did not understand the concepts but just mimicked the steps of the sample problem. Students have commented that they could obtain the correct answer on the homework, but they had no idea how they got to that answer. A student may receive high homework scores but conceptually still not understand what was transpiring. The lack of understanding becomes very evident when they are unable to do the same problem on the exam.

A third possible explanation for the decrease in exam scores is the false sense of confidence that could be present with high homework scores. If a student has done well on the assignments, they may feel like they understand the material well enough and, consequently, they do not prepare adequately for the exam. This is definitely problematic and could offer a possible explanation about what occurred in this particular study.

Although exam scores on the whole decreased slightly, there was no significant difference between the two homework types in terms of exam scores on five of the six cases that were studied. In only one case (female students on exam two) was there a significant decrease in exam scores when online homework was used. These results are unique because none of the other research studies experienced a significant decrease in exam scores. Since this is the only study that has considered the use of online homework in a liberal arts math class, further research is necessary to determine if the decrease in exam scores can be correlated to the type of class implementing online homework.

Recommendations

One recommendation is to allow students the choice of which homework method they prefer. The majority of students will choose online homework because it is new, different, and involves technology. But there are students who learn better by writing solutions out. If students are given the choice, they can choose the method that supports their particular learning style and not be forced to use one specific method. In addition, because the students are making the choice, they can no longer blame the homework method for failure to understand the material. It ultimately puts more responsibility on the student.

A second recommendation would be to supplement the online homework with short, concept-based quizzes or class problems. This is especially true if the course exams are in the traditional paper and pencil format. These supplemental materials could be the bridge connecting online homework to written exams. With online homework, the computer only looks at the answer, so the student often becomes more concerned with the answer rather than the process (Bonham et al., 2001). The quizzes would allow students to become more familiar with writing out solutions similar to what is required on an exam and, ultimately, help to prepare them for the exams. Additionally, it would help the instructor to identify difficulties students may be having with the entire problem-solving process. The student and instructor could then work together to correct the student's mistakes, thus, reestablishing the personal relationship that often suffers when online homework is implemented.

Thirdly, it is recommended that some of the "help" features, particularly the "Help me solve this" function, should be disabled. Students become too reliant on this aid even before attempting the problem on their own. In math, where to begin is one of the most difficult problems for students. This aid starts the problem for them, and it walks them step by step through the process, asking questions at each step. Unfortunately, this aid is not available on exams, and the students are back to not knowing where to begin. If the "Help me solve this" function is disabled, it is still possible to use the "Show me an example" feature, which would be similar to looking at an example in the textbook. In general, although these are wonderful features of MyMath Lab, students should be encouraged to attempt the problem a few times on their own before utilizing them.

Conclusions

The results indicate that the use of online homework does improve the amount of homework a student attempts and, thus, improves their engagement in the class. There is also the indication that online homework increases the ABC rate and that the student's perception of the course improves, but these two items fail to reach statistical significance. However, the results also indicate that exam scores do not improve with the addition of online homework. Instead, they get slightly worse. Again, statistical significance is not reached. Overall, it does appear that online homework is at least as effective as the traditional paper-and-pencil counterpart.

Technology alone is not going to improve performance, but online homework does have its place. The advantages and disadvantages of online homework for both students and faculty must be carefully considered before specific action items can be identified.

The overall concept of online homework is good. In an ideal situation, students would complete the online homework with the same effort they put forth in traditional homework. The immediate feedback would allow students to adjust their thought process and correct their mistakes while the concept or procedure is still fresh in their minds. They would then have the option to work similar, algorithmically generated problems until the concept/procedure is mastered (Dillard-Eggers et al., 2008).

Unfortunately, online homework does not always get the results it was intended to get. If students do the minimum amount required to complete the assignments, often by trial and error or mimicking a sample problem, they really do not understand the concepts, and their overall understanding of the course content decreases rather than increases. The students need to be motivated to rework problems for understanding rather than just breezing through an assignment for the sake of completing it. Motivation remains a critical factor that influences a student's use of online homework and the benefits they obtain from it (Doorn, Janssen, & O'Brien, 2010). As with most things in life, the amount of effort put into it is directly related to the benefits realized from it.

The results of this study do not offer enough evidence to conclude that online homework should not be used in a liberal arts math class. Similarly, online homework cannot be added strictly for the sake of increasing the use of technology. Students need to benefit in some way from its inclusion, or there is no reason to utilize it. Educators need to combine research from related areas, personal experience, and professional judgment to develop specific practices that work for their

particular classrooms. The homework method that is used may vary depending upon the type of course or the type of student in the course. One method will not always work in all circumstances. Before utilizing online homework, it must be determined whether the implementation will be truly beneficial to the learning process and whether students will use it in such a way to maximize its intended benefits.

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Table 1

Percentage of Assignments Attempted

Gender	Control Group			Online Homework Group		
	Attempted	Possible	Percent	Attempted	Possible	Percent
Male	768	912	84.21%	537	570	94.21%
Female	1018	1118	91.06%	478	500	95.60%

Total	1786	2030	87.98%	1015	1070	94.86%

Table 2

Descriptive Statistics for Exam Scores

	Control Group			Online Homework Group		
Exam	n	Mean	SD	n	Mean	SD
Exam 1	174	78.523	14.754	106	77.311	16.236
Exam 2	173	81.572	14.143	107	76.790	16.238
Exam 3	171	70.708	17.093	106	67.542	18.685

Table 3

Independent Sample Test for Equality of Means for Exam Scores

	Test			95% CI of the Difference	
Exam	Statistic	df	p-value	Lower	Upper
Exam 1	$t = .641$	278	$p = .739$	-2.507	4.930
Exam 2*	$t = 2.513$	201.48	$p = .994$	1.031	8.534
Exam 3	$t = 1.446$	275	$p = .925$	-1.146	7.478

Note. * For Exam 2 only, the variances were not assumed equal.

Table 4

Descriptive Statistics for Exam Scores by Gender

		Control Group			Online Homework Group		
Exam		n	Mean	SD	n	Mean	SD
Male	Exam 1	78	77.46	14.682	56	78.25	16.088
Male	Exam 2	78	80.58	13.726	57	78.04	16.008
Male	Exam 3	77	69.52	15.819	57	68.30	19.869
Female	Exam 1	96	79.39	14.833	50	76.26	16.500
Female	Exam 2	95	82.39	14.498	50	75.36	16.541
Female	Exam 3	94	71.68	18.095	49	66.66	17.369

Table 5

Descriptive Statistics for Final Course Percentage

	Control Group			Online Homework Group		
	n	Mean	SD	n	Mean	SD
All	174	.77502	.147461	107	.78164	.155593

Male	78	.75879	.143837	57	.78541	.159927
Female	96	.78821	.149791	50	.77734	.152003

Table 6

Independent Sample Test for Equality of Means

Exam	Test Statistic	df	p-value	95% CI of the Difference Lower	Upper
All	t = -.358	279	p = .361	-.0430	.0298
Male	t = -1.013	133	p = .156	-.0786	.0254
Female	t = .414	144	p = .660	-.0410	.0628

Note. All variances are assumed to be equal.

Table 7

Grade Distribution by Gender

	A	A-	B+	B	B-	C+	C	C-	D+	D	D-	F
Paper												
M	11	5	4	9	6	3	10	4	3	7	5	11
F	19	11	5	10	11	2	8	4	1	6	8	11
Total	30	16	9	19	17	5	18	8	4	13	13	22
%	17.2	9.2	5.2	10.9	9.8	2.9	10.3	4.6	2.3	6.9	7.5	13.2
Online												
M	12	6	4	3	5	2	5	5	4	4	1	6
F	10	3	0	8	5	2	4	6	1	2	3	6
Total	22	9	4	11	10	4	9	11	5	6	4	12
%	20.6	8.4	3.7	10.3	9.3	3.7	8.4	10.3	4.7	5.6	3.7	11.2

Table 8

Test for Equality of ABC Rates

	Sample Proportions		Test Statistic	p-value
Total	$\hat{p}_1 = .7011$	$\hat{p}_2 = .7477$	$z = -.8422$	$p = .1998$
Male	$\hat{p}_1 = .6667$	$\hat{p}_2 = .7368$	$z = -.8758$	$p = .1906$
Female	$\hat{p}_1 = .7292$	$\hat{p}_2 = .7600$	$z = -.4029$	$p = .3435$

Table 9

Frequency Table and Descriptive Statistics for Subjective Questions

Question 1	n	1	2	3	4	5		Mean	SD
Control Group	134	25	17	44	34	14		2.96	1.25
Treatment Group	58	7	8	22	16	5		3.07	1.12

Question 2	n	1	2	3	4	5		Mean	SD
Control Group	134	9	27	33	42	23		3.32	1.17
Treatment Group	58	4	6	15	22	11		3.52	1.13

Table 10

Independent Sample Test for Equality of Means

	Test			95% CI of the Difference	
Question	Statistic	df	p-value	Lower	Upper
Question 1	$t = -.558$	190	$p = .288$	-.482	.269
Question 2	$t = -1.077$	190	$p = .141$	-.556	.163

Note. Variances are assumed to be equal.

Native American Youth Entrepreneurship Summer Camp: An Intensive Instructional Approach

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This paper describes an intensive experiential entrepreneurship summer camp targeting Native American youth and evaluates the effectiveness of the camp on student attitudes toward business and overall business knowledge. Overall, attitudes and knowledge increased significantly after participation in the entrepreneurship summer camp. Recommendations are made for continued educational opportunities to encourage entrepreneurship among tribal youth.

INTRODUCTION

The Mississippi Band of Choctaw Indians (MBCI) is a community of approximately 10,000 members living on tribal land located primarily in rural Neshoba County, MS. Over the past 20 years, the tribe has successfully operated tribal-owned businesses, including casinos and resorts. Contrary to opinion however, tribal involvement in the gaming industry has not led to significant increased employment and wealth among tribal members. A persistent challenge for the MBCI continues to be high unemployment. According to the Bureau of Indian Affairs census figures, the percentage of MBCI unemployed as a percentage of the labor force is 41%. In addition, counties on Native American reservations are reportedly some of the poorest in the U.S. The Bureau of Indian Affairs reports that of those MBCI employed, 30% are employed, but below poverty guidelines (Bureau of Indian Affairs 2005).

In the fall of 2011, the MBCI elected a new chief. Reported in the *Choctaw Community News*, Chief Anderson stated her administration would focus on "job growth on the reservation, improving health care facilities, offering more educational opportunities, and strengthening economic development" (p2). The Director of Economic Development for the MBCI approached the Else School of Management at Millsaps College, a private AACSB accredited college located 90 miles southwest of tribal headquarters. The outcome was the request to develop a plan designed to help create a strong business environment and thriving business community among members of the tribe.

The project began with an analysis of the overall business environment at the MBCI to identify both problems and opportunities faced by the MBCI business community. The analysis included onsite visits to tribal headquarters, the economic development office, businesses, and schools. Faculty conducted interviews with tribal leaders, tribal business managers, local high school teachers and community leaders. In addition, faculty interviewed tribal members and non-tribal members who currently operate a privately owned business or were planning on starting a business soon. The purpose of this paper is to describe the implementation and assessment of an entrepreneurial educational program targeted specifically to the younger members of the MBCI.

INITIAL ASSESSMENT

Business Environment

The initial analysis revealed that tribal members had a poor track record in small business development due to a lack of basic business skills, and because they had very few role models and mentors to draw upon. Specific reasons noted for the limited success among existing private businesses in the community include: (1) poor financial controls; (2) lack of accounting skills and understanding of financial reporting; (3) poor cash flow management; (4) depressed economic climate; (5) little knowledge of competitive nature of business environment; (6) lack of training on how to start a business; and (7) failure to diversify customer base beyond the immediate community.

Education Environment

Our review of existing entrepreneurial educational programs at the MBCI revealed two distinct programs. The first program was the High School Entrepreneurial Program. This program was reportedly not well subscribed nor supported. Students interviewed commented that they only took classes in the entrepreneurial program if nothing else fit their schedule, and there seemed to be a general lack of excitement associated with the program. The second program reviewed was the Adult Entrepreneurial Development Course. This program was taught as a college style course and also appeared to have limited success as evidenced by statistics from the class taught in the year prior to our review. In that class fifteen individuals started the course, four completed, and none of those four had started a business. This program was taught lecture-style using academic course content that focused on business basics without necessarily relating the material to the practical processes required for starting a business. Students who participated in this program gave it poor marks in terms of providing information they could use to start a business, or in increasing their interest in owning their own business.

DEVELOPMENT OF BUSINESS CULTURE

It is widely recognized that education is the key to an individual's future earnings and the health of the general community. It is now evident that early investment in human capital is critical to efforts to moderate the effects of poverty on entire communities (Heckman, Grunewald, and Reynolds 2006). Andrews and Kramer (2012) propose that human development can best be accomplished when focused on three strategies: child care, housing and education. They provide evidence of the importance of investing early in a child's future through expanded educational

opportunities and tout the significance of developing human capital to the overall well being of a community.

As a first step in the process of creating a strong business environment and thriving business community among members of the MBCI, a proposal for a four week youth entrepreneurship summer camp was presented to tribal leaders. Detailed below, key in the development of the camp was a focus on providing a supportive, experiential, and fun learning experience. Youth participants would be provided with a well-designed curriculum focused on entrepreneurship and providing fundamental understanding of economics, accounting, marketing, management, and legal issues. A program of fieldtrips was developed, coordinated with classroom topics, and a mentoring component was implemented at the end of the camp. In addition, attention was given to life development topics such as communication skills and college preparation. Throughout the camp, opportunities for fun and engagement were purposely scheduled. The proposal was accepted and funded by the MBCI.

RESEARCH METHOD

This research analyzes whether student's perceptions changed after participation in a youth entrepreneurship summer camp. A pre- and post-test design was employed for this research. During the first day of the camp the students were administered a questionnaire (pre-test) to measure their attitudes toward business and their basic business knowledge. The questionnaire employed 30 questions using a five point Likert-type scale. The youth entrepreneurship summer camp was an intense six hour a day, five day a week, four week, highly structured entrepreneurship education training program. Twelve high school students from the MBCI volunteered to participate in the four week youth entrepreneurship summer camp. On the last day of classroom training, a post-test (after the training) was conducted to measure changes in their attitudes toward business and their basic business knowledge.

As stated above, the education literature suggests that early investment in the education of youth from stressed communities will produce measurable positive outcomes. Based on attendance at the youth entrepreneurship summer camp it is expected the experience will have a positive impact on student's attitude toward business. In addition, it is expected that the student's business knowledge will increase. Thus the following hypothesis is tested and expected to be rejected:

H1: Participation in the youth entrepreneurship summer camp will not have a positive impact on a student's attitude toward business; and

H2: Participation in the youth entrepreneurship summer camp will not increase the student's business knowledge.

ENTREPRENEURSHIP CAMP DESCRIPTION

Key in the development of the entrepreneurship camp was a focus on providing an experience that was engaging for students. Great effort was made to structure each day such that content and activities were varied throughout. The entrepreneurship camp consisted of a combination of hand-on experiences, discussion and lecture, guest speakers, fieldtrips, a mentoring component including exposure to elder tribe members with business skills and success stories, and fun activities. The

classroom training was provided by tenure-track or tenured faculty from an AACSB accredited college and included professors of economics, accounting, marketing, management, law, strategy and the Director of Entrepreneurial Development. In addition, graduate assistants from the MBA program were involved throughout the camp. Table 1 provides an overview of the youth entrepreneurship summer camp.

<Insert Table 1 About Here>

Week One

        During week one, sessions were held at the MBCI Economic Development Center in Choctaw, MS. The choice of this location for the first week of the program was purposeful to help ensure a level of comfort and familiarity for students as they became acquainted with the faculty and course materials. The program began with introductions of all faculty and students followed by the pre-training assessment. This was followed by an introduction to the concept of what it takes to be an entrepreneur, including a case study titled "Anyone Can Be An Entrepreneur." The rest of the first morning was spent learning about appropriate business behavior and the importance of first impressions – the handshake, the walk, the talk, and business dress. In the afternoon, an economics professor talked about opportunity recognition, supply and demand, and the necessity of choice, followed by a networking activity featuring sodas and snacks.

        The mornings of the rest of the first week were filled with readings and discussion of case studies related to identifying business opportunities, overcoming obstacles, and learning what it takes to be an entrepreneur. Afternoons involved learning about competition and monopoly, capitalism' and markets. For example, one exercise involved distributing to half the students in the group equal pieces of candy and equal numbers of nickels to each student in the other half of the group. Then students were allowed to buy and sell pieces of candy at whatever price was agreed. Transaction prices were recorded. In the second round of the game, one student was given all the candy and each of the others was given a number of nickels. Again students were allowed to buy candy from the single seller. Transaction prices were recorded again. The exercise was intended to illustrate how prices differ when there are many sellers competing for buyers as opposed to there being only one seller. Activities on days 2 – 5 included a special treat for the students – a guest speaker from the tribe who is a professional accountant and works in Financial Services at MBCI tribal headquarters. In addition, three fieldtrips were conducted that week, including visits to a startup retail business, a heavy machinery manufacturing company, and a tribal member-owned textile manufacturing plant and distribution center.

Week Two

        During week two, the students arrived at Millsaps College campus where they met classes in the Else School of Management and resided in the college dormitories. On the first day of the on-campus session, students were taught by a management professor about managers and their role in organizations. The specific topics that were discussed included: (1) how to manage individuals (e.g., leading); (2) management tasks (e.g., planning, controlling, and organizing); and (3) management

decision making (e.g., external environment analysis). To teach the concept of controlling, students developed a process of taking cash from a point of sale system (cash register) to an in-house storage system (safe) to an armored car, and finally to the bank. The process included supervisory controls to ensure accountability by at least 2 parties. Students found that at least seven individuals need to be part of the process. After lunch, the class visited a boutique glass manufacturing company, where the owner talked to the students about recent expansion strategies. During the evening, the students enjoyed dinner, followed by bowling with faculty and graduate assistants.

The morning of day two was taught by the business law professor and focused on legal issues in business. The topics discussed included: (1) business structures; (2) great corporate downfalls; (3) how to protect yourself and your investment; and (4) intellectual property. The students' attention was heightened with discussion of whether songs on their iPods may or may not be legal and the pitfalls of pirating music and movies. During the afternoon students visited the Jackson, MS office of a large national law firm where they learned about career opportunities in the legal field, and were introduced to attorneys who discussed their work protecting intellectual properties. During the evening the students were accompanied by faculty to dinner and a movie.

Day three focused on how to create a marketing plan and was taught by a professor of marketing. The topics presented included: (1) understanding customers; (2) building your brand; (3) determining your price; and (4) communicating with your customers. Students particularly enjoyed the section on creating a business name that described their company. They looked through a variety of magazines to help inspire ideas, followed by a logo development and presentation. That afternoon students toured a regional marketing agency where students were given a presentation describing the development of a branding strategy for one of the firm's clients. That evening faculty accompanied the students to dinner and a Jackson Braves baseball game.

The focal point of day four was on how to create a financial plan for a start-up business and was taught by two accounting professors who are also CPAs and CVAs (valuation professionals). Day 5 started with a fieldtrip to a local real estate development company that builds hotels. The CFO of the company led a wide ranging discussion of startup financing and getting a project off the ground. The afternoon was spent in the classroom learning the basics of how to: (1) calculate start-up cost; (2) make sales projections; (3) develop cash flow forecast; (4) prepare an income statement and balance sheet; (5) calculate break-even; (6) fund start-ups; and (7) bootstrap your business. That evening students, faculty, and graduate assistants were treated to dinner at the Program Director's house.

Day five concentrated on creating the overall business strategy and was taught by a professor of strategy. The topics taught included: (1) what is strategy; (2) formulating strategy; (3) implementing strategy; and (4) evaluating strategy. The professor used a fun and simple, yet effective exercise to emphasize the importance of planning and communication for the formulation, implementation and evaluation of a strategic plan. Students were asked to use the contents of tinker toy boxes to first plan the tallest, freestanding structure within a time limit. They were then asked to record their plan and subsequently build the plan in a two-minute time frame. Students learned the importance of detailed planning and the importance of a well written strategic plan to accomplish their objectives. The students enthusiastically participated in the activity and seemed to enjoy the competition. At the end of the day, students packed up and were driven home.

Week three classes met at the MBCI Economic Development Center in Choctaw, MS.   During this week training was provided by the Director of Entrepreneurial Development and professors of economics and accounting. In addition, two graduate assistants supported the week's events. Day one of week three spotlighted economics with explanation of: (1) supply and demand; (2) GDP, inflation and unemployment; (3) money and banking; and (4) fiscal and monetary policy. In the afternoon a representative of the Tribal Scholarship Office met with students and informed them of scholarship opportunities available to members of the MBCI. Following this, students were introduced to their individual executive mentors who they would be shadowing in week four.

The morning of the second day of week three began with a lecture on starting up a business and the importance of verbal and written communications in arranging startup financing. Students were broken into teams, given case readings and asked to present their ideas for starting a business and to include possible means of arranging startup financing. That afternoon the class visited Geyser Falls Water Park, a tribal owned business, where they were introduced to both front- and back-of-house operations. During this fieldtrip students met with park management to learn about the inner working of the facility, with special emphasis on the business aspects. The students were able to learn across a broad spectrum, from real-world examples of supply and demand, to the organization of finances, to park maintenance and event planning. After touring the facility, students were treated to a late working lunch with park staff, and given free passes to enjoy the rest of the day at the park.

Day three started with an exercise called Everybody Sells, which centered on sales and negotiation skills. After students read and discussed the material, they divided into pairs of buyers and sellers and were given a product and asked to reach a business agreement. In the afternoon the class visited the Dancing Rabbit Golf Course and Resort for a tour of the operations. Students were given an insider's view of the management of a golf facility including the staffing, maintenance, and operation of the pro shop. The students were shown first-hand the importance of management skills, creative problem-solving, and the ability to delegate, as well as how to apply learned concepts from leadership, strategy and communication. After the tour and presentation, students had a working lunch at the resort with management staff. The day was rounded out with students playing a round of golf with their executive mentors.

On day four of week three the morning began with a presentation by the Director of Career Development from the Else School of Management. She discussed resume preparation and interviewing skills. She also provided students training on how to dress for success and the proper personal appearance for interviews in the business world. During the afternoon the class visited the Silver Star Hotel to gain further insight into the hospitality industry. Students learned about staffing, maintenance, and operation of security and housekeeping. They were shown the importance of tribal investment in the hospitality industry and the significance a deeper knowledge of that business may hold for the students' future careers. Following the tour, students had a working lunch at the Silver Star with management.

The last day of week three was devoted to a presentation by a representative from Millsaps College admissions office. This session was dedicated to helping the students learn about the college admission process. After lunch the post-training assessment was conducted and the students and teachers held a wide ranging discussion of what had worked and what needed to be tweaked for future programs. Some of the student's suggestions for program improvement included increasing

the number of case based hands on learning experiences and the possible inclusion of a requirement that students be formed into teams to create a business plan for starting an actual student owned business.

Week Four

During Monday through Friday of week four the students were engaged in executive shadowing. Students were assigned to an executive from a tribal-owned business. They were instructed to go to work each day to observe their executive mentor perform his or her functions, and assist the executive in any way requested. Students were required to maintain a journal recording what they learned at work each day. The Program Director met with students during this week to review progress reports and discuss their experiences. The purpose of this element of the program was for students to see firsthand how businesses operate. Student participants reported that they enjoyed the opportunity to get to know their mentors and become familiar with what they do in the day-to-day operation of their business. The shadowing experience may create a mentoring relationship between executives and students that will extend far beyond the program. We believe that the connections developed through this experience can be a starting point for the students to cultivate a network of contacts in the business field that they will need to succeed in the future.

RESEARCH OUTCOMES

Table 2 contains the pre- and post-participation mean responses to the 30 questions for students in the youth entrepreneurship summer camp. The attitudinal measurement was gathered using a 5-point Likert-type scale for the 5 statements designed to measure attitude toward business. For the 25 questions measuring basic business knowledge, each question was graded as correct or incorrect with a total correct score being used as a measure of business knowledge.

<Insert Table 2 About Here>

Hypothesis 1 postulated that student's attitude toward business will not improve as a function of participating in the entrepreneurship summer camp. In general, student attitudes toward business did improve after participating in the camp. Question (1) asked, "Someday I plan on owning a business;" the mean response increased from 2.75 to 3.91. This indicates that in general the students we positively influenced toward wanting to own a business. Question (2) asked, "I would like to learn more about business;" the mean response increased from 2.27 to 3.75. Question (3) asked, "After high school I plan to continue my education;" the mean response increased from 3.58 to 4.33. Pair-wise comparison tests on questions 1 -3 demonstrate differences ($p = .0001$) between mean pre-test scores and post-test scores in the predicted direction indicating that after participation in the entrepreneurship camp, students were generally more inclined to be interested in studying and starting a business as well as continuing their education after high school.

Interestingly, the responses which dealt with their level of knowledge indicated that the students were not as sure of their knowledge after the camp as they were before the camp. For example, Question (4) asked, "I currently know enough about business to be successful and earn a profit;" the mean response decreased from 3.16 to 2.83 ($p=.04$). Similarly, Question (5) asked, "I have

the skills and knowledge to get a good job"; the mean response decreased from a relatively assured measure of 3.50 to a less confident 2.91 (p=.01). These last two findings seems to indicate that after the camp, students have a better understanding of what it takes to get a good job, or to run a business, and realize that they do need more knowledge than they currently possess to be successful. Overall these findings indicate that there is an entrepreneurship camp learning effect, thus H1 is rejected.

The second experimental hypothesis postulated that student's business knowledge will not improve as a function of participating in the entrepreneurship summer camp. To test H2 student responses to 25 questions measuring basic business knowledge were graded as correct or incorrect. A business knowledge (BK) score was calculated from each student's pre- and post-test results with a range from 0 to 25. Pair-wise comparison tests demonstrate expected differences (p = .0001) between mean pre-test BK scores (14) and post-test BK scores (19). These results provide evidence that these high school students basic business knowledge improved significantly by participating in the entrepreneurship summer camp, thus rejecting H2.

CONCLUSION AND RECOMMENDATIONS

One of the greatest struggles for those wishing to create a thriving business culture in stressed communities is that of developing the human capital needed to successfully take advantage of opportunities that do exist. However, the area of human development is also the area that may provide the greatest potential for the personal advancement of individuals and the community as a whole.

<Insert Table 3 About Here>

Table 3 presents recommendations for educational opportunities that will encourage entrepreneurship and provide long-term impact on economic development and overall quality-of-life. Success in creating a flourishing business community in Native American communities and other stressed community will only be achieved through a long-term commitment to a program of early intensive business education, continuity in program leadership, community trust and involvement, and one-on-one work with community leaders, business leaders, entrepreneurs and other members of society.

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Table 1. Youth Entrepreneurship Summer Camp Overview

	Topic	Activities
Week One		
Day 1	Introductions and pre-test Appropriate business behavior Basic economics concepts	Networking Session
Day 2	Basic business concepts	Fieldtrip to new retail development
Day 3	Character traits of successful entrepreneurs	Guest speaker
Day 4	Recognizing opportunities	Fieldtrip to heavy machinery production facility
Day 5	Fieldtrip to textile manufacturing plant and distribution center	
Week Two		
Day 1	Management concepts	Fieldtrip to boutique glass manufacturing business and dinner and bowling
Day 2	Legal issues	Fieldtrip to law firm and dinner and a movie.
Day 3	Marketing concepts	Fieldtrip to marketing firm and Jackson Braves baseball game.
Day 4	Start-up financing	Fieldtrip to real estate development firm and dinner with faculty and GAs.
Day 5	Business strategy	Students returned home after class
Week Three		
Day 1	Economics concepts and scholarship opportunities	Meet your mentor
Day 2	Starting the business and communication skills	Field trip to Geyser Falls Water Park followed by free passes to park
Day 3	Sales and negotiation skills	Fieldtrip to Dancing Rabbit Golf Course and Resort followed by golf with mentor
Day 4	Career development	Fieldtrip to Silver Star Hotel
Day 5	College admission process and post-test	
Week Four		
Executive shadowing		

Table 3. Recommendations for Educational Opportunities

▪Create a elementary school business literacy program

•Set up a bureau of guest speakers to include regional university faculty, students, staff and retired business executives to incorporate business knowledge and expertise in the K-12 curriculum.

•Form junior high and high school entrepreneurship clubs

•Provide support for youth entrepreneurship summer camp

•Organize fieldtrip visits for junior high and senior high students to local businesses

•Offer or require extensive high school entrepreneurship/business curriculum

•Form a future business leaders club for high school students

•Organize fieldtrips for high school students to important business centers nationwide

•Bring in community entrepreneurs to tell students their inspiring stories of success

•Introduce students to the many educational opportunities available to them after high school

•Demonstrate to students that it is possible to become a successful professional or business person in their own community or anywhere in the wider world by exposure to elder tribe members with business skills and success stories.

Table 2. Mean Responses

Attitudinal Questions[a]	Pre-	Post-	P-Value
1. Someday I plan on owning a business	2.75	3.91	.0001
2. I would like to learn more about business	2.27	3.75	.0001
3. After high school I plan to continue my education	3.58	4.33	.0001
4. I currently know enough about business to be successful and earn a profit	3.16	2.83	.04
5. I have the skills and knowledge to get a good job	3.50	2.91	.01
Overall Business Knowledge (BK score)	14	19	.0001

[a]Scale
1 = Strongly Disagree
2 = Disagree
3 = Undecided
4 = Agree
5 = Strongly Agree

Culturally Proficient Teachers

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Lori Piowlski, Ph.D. is an Assistant Professor in the Elementary and Early Childhood Department at Minnesota State University, Mankato and has a practice centered on educational literacy, assessment advancement and issues related to equity and access. Prior to higher education faculty roles, she served as an elementary and special education teacher pre-k through grade 12. The majority of her experiences have been working with diverse populations and her area of study is cultural proficient teaching. Her passion is to influence teacher candidates to be able to differentiate their instruction to meet the needs of all students.

Abstract: Action needs to be taken by teacher preparation programs to prepare culturally proficient educators who are able to deliver equitable instruction and inspire all students to strive for greatness if the achievement gap is to be closed. Existing literature mainly describes the importance and urgency to prepare future teachers for the changing demographics with classrooms across the United States. There is not significant literature on how it is being done. Therefore the purpose of this qualitative study was to discover how university teacher education programs are preparing teachers to be culturally proficient. A cross-reference of data collected from Adequate Yearly Progress Reports and the 2010 U.S. Census indicated that California is the state most challenged to address the changing demographics within schools and the academic crisis in student achievement. The twenty-three California State University teacher education programs were extensively researched and a matrix was developed to explain the transparency of diversity within their program structures. The case study then identified four world leaders of diversity through purposeful sampling, whose interviews drew upon their experience with preparing teachers to be culturally proficient in the state of California identified cultural proficient components that would enhance teacher education programs to create educators that are equipped to educate all 21st century learners. The conclusions derived fall in three components: faculty development, sustainable support systems, and cultural proficient implementation elements. The major contribution this research makes to existing literature is about the "how" to embed cultural proficiency into teacher education programs to ultimately prepare future educators to close the achievement gap.

College Students with Mental Health Issues: A Call to Action

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Abstract: The presentation entitled *College Students with Mental Health Issues: A Call to Action* will be based on the presenters' combined experiences with college students having mental health issues as well as a review of recent research in this area. A recent national survey of college-aged students conducted by the National Alliance on Mental Illness revealed that a majority of students no longer attending college left because of a mental health condition. Nearly half of those who dropped out of college for mental health reasons reported having received no accommodations; furthermore, half of these students had not accessed mental health services and supports that were provided. The survey also reported that receiving a low grade point average or having to change to part-time status had caused these students to lose their financial aid and/or scholarships. Recognizing that graduation rates are important to the survival of colleges and universities, faculty and administrators must work to better understand and serve the needs of students with mental health issues. Within this presentation, case studies of students with mental health issues will be linked to recent literature to provide suggestions for those working as higher education administrators, teachers, and service providers in such areas as policy development, mental health service provision, and classroom accommodations. In addition, recommendations for further research in this area will be offered.

Ethical Reasoning and Professional Judgment of School Administrator

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Abstract: The purpose of this paper is to examine the ethical reasoning and professional judgment of school principals. The setting for the study was the work site of the participants. All of the participants were experienced school principals in public K-12 school systems. This study was conducted through an interdisciplinary approach guided by the theoretical frameworks of qualitative data collection through semi-structured interviews and ethical decision-making. Data analysis began with treating the responses of the participants as the units of analysis and followed the thematic method of analysis. Interview responses reflected the nature of deception as it occurred in natural contexts. Participants described the ethical compromises they encountered in trying to act responsibly toward their organizations and the people they serve. All participants used deceptive behavior to negotiate organizational dynamics and the resultant ethically compromising situations facing them in their administrative roles. All participants expressed the need to ignore or break policies and laws in order to meet the needs of children, to protect funds, and to protect their administrative options. The longer the participants had been principals, the more they broke or ignored specific rules and redefined their roles with regard to doing what they felt necessary to meet the individual needs of others, especially students. This study suggests that the principals' role of protecting the interests of others often conflicts with the rules of the organization.

Keywords: Ethical reasoning, deception, practical and professional judgment

Ethical Reasoning and Professional Judgment of School Administrators

In my experience as an educator, school principals occasionally and intentionally lie to teachers, to their superintendents, and to their students. Although these individuals may have honorable intentions, their lies may bear negative consequences on adults and students, as well as on the organization. It is also possible that lies may have positive consequences. At the same time, the perceived necessity of such deceptive behavior may be fostered by the dynamics of the organization itself. The purpose of this study, therefore, was to explore school principals' feelings of ethical compromise, the possibility of their subsequent use of deceptive behavior, and their reasoning for the use of deceptive behavior.

Assumptions

Three assumptions guided this study. The first was that school principals, because of the binds of middle management and the different populations they serve, routinely face ethically compromising situations in their work.

The second assumption was that school principals might choose to use deceptive behavior to respond to those ethically compromising situations, and that they refer to or make use of an identifiable ethical base in their responses to those ethically compromising situations.

The third assumption was that school principals are able and willing, in the right circumstances, to articulate and explain the ethical reasoning for their responses to those ethically compromising situations, and that their ethical reasoning might provide evidence of a subtle self-redefinition of their administrative roles and professional practices in response to the ethically compromising situations they face.

For example, school principals who ascribe to and guide their decision-making based on a sense of justice built upon rational laws can be said to ascribe to Platonic ethics. Chief among Plato's parameters of justice is *right action* toward all. Plato's ethics holds that because leaders are responsible for the welfare of the people, leaders are obligated to show a high regard for due process of the law (Plato, 1974 - Original work published 380 B. C.) Administrators guided by the value of right action toward all, and who show a high regard for the due process of law in their daily practice, can be described as practicing Platonic ethics.

In contrast, principals who believe that justice is simply that which proves to be most beneficial to society can be said to ascribe to Humean ethics. A principal who practices Humean ethics is likely to agree with Hume that self-interest is natural, that justice and virtue are whatever society collectively determines, and, contrary to Plato, any obligation to follow the law is based on nothing but the collective sentiments and interests of society (Hume, 1983 - Original work published 1751). Administrators guided by the value of self-interest, and who show a high regard for action that appears to be in response to the collective sentiments of the community, can be described as practicing Humean ethics.

Principals who believe in and practice a sense of justice that consists of the greatest benefit to the greatest number can be described as utilitarian. Mill's utilitarian ethics holds that the *goal* of an action is the most important thing to consider, and that one is obligated to pursue the set of means that delivers the greatest good to the greatest number of people. Mill's utilitarian ethics contend that people are free to do as they wish, as long as their actions do not hurt other people (Mill, 1979 - Original work published 1861). School principals whose goal it is to achieve the greatest good for their students and staff, without hurting others, and without necessarily paying attention to a Platonic sense of policy and procedure, can be described as practicing utilitarian ethics.

Principals who base their decision-making primarily on respect for individuals, and who blend their concern for an ideal concept of justice with the use of reason and emotion, practice ethics described by Downie and Telfer (1969). Downie and Telfer hold that a basic respect for persons is the key to what is ethical and just. Downie and Telfer's theory is one of absolute respect for persons, yet it maintains that duty to self is not subordinated by duty to others. School principals who adhere to these values in their decision-making can be said to practice the ethics of respect for persons.

Methodology

Participants

This study, conducted through six months of semi-structured interviews with five principals from five different school districts, focused on school principals because of the binds they face in their middle management role, and because of their likely willingness and ability to articulate and justify their decisions (Rest, 1986). School principals are constantly faced with responsibilities of communicating and carrying out district policy. They interact daily with different groups of people -

- students, teachers, support staff, parents, central office personnel, other principals, community groups, and the superintendent -- all of whom look for and expect to find resolutions to their problems from the principal. At the same time, the principal is not necessarily in a position to meet the needs of each of these groups.

These five principals were chosen because they formed an intact group based on their membership in a Professional Education Advisory Board (PEAB) at a private university in the Northwest. The university and this intact group of principals were selected for two reasons: This particular university has a reputation for its mission and its focus on ethics; only those administrators who have demonstrated excellence in their fields have been invited to serve on the university's PEAB.

The five participants, each of whom chose his or her own code name, will be described in the same order in which the data tables are presented, based on years of experience, from least to greatest.

1. Tina: in education for 25 years, a first-year principal of an elementary school with 350 students.
2. Paul: in education for 22 years, a fourth-year principal of a middle school with 650 students.
3. Diana: in education for 29 years, a fifth-year principal of an urban high school with 1,500 students.
4. Pete: in education for 26 years, a fifteenth-year principal of an urban elementary school with 420 students.
5. John: in education for 30 years, a seventeenth-year principal of an urban elementary school with 435 students.

Because the units of analysis in this study are the specific interview responses, identification of the participants by name, other than in the data tables, is not featured beyond this point. Attributions of comments and quotes to participants by name will not be made in the textual summaries.

Data Collection

Semi-structured interviews were the logical choice for collecting information from school principals about such intensely personal experiences as the ethically compromising situations they experience. Such interviews allowed me to respond to varying conditions and to pursue areas of interest that were relevant to the participants. Semi-structured interviews also allowed me to present comparable data across the field of participants.

Two areas of critical importance to this study, which were met by personal interviewing, were those of rapport and confidence building. These two aspects of trust were critical for the discussion of such sensitive topics.

In the attempt to understand principals' perceptions of situations causing feelings of ethical compromise, their subsequent use of deceptive behavior, and their reasoning for engaging in deception, I asked all participants the following five questions and situation-specific probes:

1. Sometimes, less-than-honest behavior in organizations is not simply an individual response to a situation, but an outcome of organizational dynamics. Less-than-honest behavior can, with the best of intentions, be a result of organizational dynamics. In addition, a case can be made that less-than-honest behavior is sometimes the most humane, compassionate, and ethical way one can act. Can you give examples of this in your school or school district? Examples of probes: Are there situations that unduly pressure people in your district? Has the pressure ever been so great that unethical practices result?

2. Describe a situation in which you have benefited from or been hurt by what you believe was a less-than-honest practice of another. Examples of probes: How did you handle the situation? Would you do the same thing to or for another person? Has this situation changed the way you work?

3. At times, we all have to deal with situations in our work which we find ethically compromising. Tell me about a specific situation in which you have felt ethically compromised, or a situation that has left you carrying a very big burden for a long time. Examples of probes: What kinds of situations in your work do you find to be ethically compromising? "No-win" situations? "Damned if you do, damned if you don't" situations?

4. Often, while moving into a new job or a new position, a mentor guides a protégé in adapting to the new position. Have you ever been guided, mentored, or advised regarding "the way we do things here" in a manner that made you feel ethically uncomfortable or ethically compromised? Examples of probes: How did you learn to survive in your new culture? Have you ever felt obligated to follow a mentor's advice about which you felt uncomfortable, as in "how to play the game"? Is there a "no-talk" rule in your district about certain topics or issues?

5. Is lying and/or deceptive behavior ever justified in your school or district? If so, under what conditions? If not, why not? Examples of probes: What kind of advice would you give to beginning principals about how to deal with ethically compromising situations?

Data Analysis

Because this study sought the participants' personal experiences of ethical compromise, their responses to those experiences, and their reasoning for their responses, data analysis required making sense of large amounts of personally-sensitive and potentially career-damaging information. The data were tape-recorded, transcribed, then coded and sorted into broad categorical concepts. Themes were then generated on the basis of the properties of ethically compromising situations and the participants' responses to those ethically compromising situations. Participants' responses were analyzed for the types of ethical reasoning they used to support their responses to those ethically compromising situations.

As Merriam (1988) says, "the ultimate goal is to treat the evidence fairly, to produce compelling analytic conclusions, and to rule out alternative interpretations" (p. 106). To tighten the analytic process, I analyzed the participants' descriptions of their ethical decision-making through the five ethical bases identified earlier.

Findings

Limitations

The fact that this study was conducted with five school principals who were connected through a PEAB with a private university results in some limitations. For example, it is possible that interviews with principals who are not associated with a PEAB could yield different findings. Also, differences may exist between principals who volunteer to participate in such a study and principals asked, through random sampling, to participate in a similar study.

Although one of the contributions of the present study is that practicing school principals have reported and discussed their purposively deceptive behavior, the limitation exists -- however

personally sensitive and potentially career-damaging that information might be -- that only those deceptive behaviors the participants considered safe to reveal were likely to be reported in a study relying exclusively on self-disclosure.

What the Principals Said

The following five tables of participant-described ethically compromising situations are arranged in order of years of the participants' administrative experience at the time of data collection.

Tables 1 through 5 present a columnar analysis of three types of findings: (a) the participants' verbatim descriptions of ethically compromising situations, (b) the participants' verbatim deceptive responses to those situations, and (c) the thematic extraction of the reasoning of those responses.

Responses from the five participants reflect the nature of ethical compromises, the deceptive behaviors, and the participants' ethical reasoning, all as they occurred in natural contexts. Results of this study can be summarized into the following four findings:

1. Deceptive behavior may be perceived as the only way to manage the conflicting demands of the organizational dynamics in their school districts and the ethically compromising situations resulting from them.

2. The types of deceptive behavior principals used to manage the ethically compromising situations they face were bending or ignoring rules, hiding funds, ignoring policy, engaging in non-disclosure or strategic ambiguity, lying to protect others, compromising to benefit others, compromising to avoid conflict, hiding bad news, accepting negative situations, ignoring public laws, disregarding student rights, failing to inform parents of student issues, excluding others from public process, misrepresenting self, engaging in differential treatment of students, and lying for what is considered right.

3. The ethical bases and the types of ethical reasoning principals used to manage the ethical compromises they felt were as follows:

   (a) although a Platonic sense of ethics was found to be a guiding principle in the reasoning of the part of one participant, she and other participants acknowledged that political pressures and organizational limitations often precluded following all of the rules -- or working to change them;

   (b) a sentiment-based sense of ethics was identified as a major component of one participant's reasoning and was applied primarily in the protection and benefiting of self;

   (c) a utilitarian sense of ethics was found to be one of the two most common bases from which the participants drew upon in meeting the needs of others in the face of ethically compromising organizational limitations;

(d)   an approach based on respect for persons was found to be the other
        most common basis for ethical decision-making.

4.   The deceptive behaviors of ignoring policy, bending or breaking rules, non-disclosure,
        and lying were perceived as ethically
        justifiable responses to compromising situations.

Discussion

Participants' responses reveal that their professional ethics and reasoning can result in choosing to engage in purposively deceptive behavior. Deceptive behavior on the part of the five participants is shown to have been shaped primarily by their concerns with doing what they consider to be humane for others, protecting children, and meeting the needs of children. Participants also reported the use of deceptive behavior in order to protect funds, to protect the organization, and to protect administrative options.

Laws and Justice: A Platonic Approach

Two responses were made with regard to a Platonic sense of due process of the law. A principal's response,
"That's where my own value system is so strong in terms of being honest and following the rule, as it is, and then working to change it if I don't believe in it," led to another Platonic response of,
"Does following the rules put some kids in this school at a disadvantage?
I won't do less, I can't do less. There have to be rules for conduct."
Even with these comments as background, this high school principal acknowledged the practice of "bending the rules" regarding credits for physical education classes "because I consider it the humane thing to do." This same principal also acknowledged the necessity of using non-disclosure regarding the issue of variances with physical education credits to protect some students and to protect the organization:
"If I think giving information about credits would harm kids because of their inability to use it, or because we don't have a process in line, then I would not give them the information."

These findings support Krebs *et al* (1997) findings of differences in philosophical (third person) and real-life (first person) ethical decision-making in that this participant *articulated* the Platonic ideals of justice and a high regard for the due process of law, yet with regard to *actual practice*, this participant articulated two different approaches to ethical decision-making: Utilitarianism of using the skills of leadership to achieve the greatest good for the most people, and respect for individuals.

Sentiment: A Humean Approach

A sentiment-based approach to ethical decision-making asserts that justice is simply that which proves to be most beneficial to society and any obligation to follow the law is based on

interests and sentiments -- as long as others are not hurt. Comments from a middle school principal, paralleling sentiment-based ethics, are:

> "not saying anything negative because of better chances for advancement,"
>
> "playing down violence because my goal is to have parents believe I manage a safe environment,"
>
> "making allowances to keep minority kids in school," and "compromising discipline because discipline can get parents so upset."

These comments, which appear to be more in alignment with the self-serving aspects of sentiment-based ethics than they do with the "as long as others are not hurt" aspects, support Spitzer's (2000) statement that rationalizing is an all-too-easy process for leaders.

The Greater Good: A Utilitarian Approach

Utilitarian ethics, which hold that justice is a result of the greatest benefit for the most people, and that leaders should use their skills to achieve that result, was seen through this analysis of the data as one of the two primary ethical bases from which the five participants appeared to operate. A total of nine responses were directly associated with a utilitarian approach to ethical decision-making. Among those is one discussed earlier, the use of non-disclosure with regard to information about P. E. credits. This high school principal said:

> "An example of deceptive behavior is that P. E. situation where you don't necessarily offer up all of the information. There is no way we could, as things are now, accommodate all the possibilities."

In this situation, the use of non-disclosure was seen as the most effective way to protect the most people – and the organization.

The other eight responses associated solely with a utilitarian sense of ethics came from one participant. The deceptive behaviors this elementary school principal described (using non-disclosure, ignoring law and policy, and breaking rules), were carried out to protect funds from being diverted to special interests, to meet children's needs rather than lose control of resources or options, and to increase the chances of achieving goals perceived to be of benefit to the greater good.

Protecting Students: A Respect for Persons Approach

Downie and Telfer's theory of ethics, which is based on respect for individuals, was seen through this analysis as the other primary ethical base from which the five participants appeared to operate. Responses clearly associated with Downie and Telfer's respect for individuals came from three of the participants. One of the participants made five comments directly related to respect for individuals; the other two participants each made one. One of the singular responses is:

> "So I do participate in deceptive behavior because you have to meet the needs of the individual, and laws are made for groups."

The other singular response is the already discussed statement,

> "I bend the rule (for a student's request regarding P. E. credits) because I consider it the humane and compassionate thing to do."

The other five responses associated solely with a "respect for individuals" approach came from one principal. The deceptive behaviors this principal described (ignoring law and policy and

lying), were carried out to protect individual children from being labeled or under-served by district programs, to protect members of a family from grief, and to protect individual staff members who might be vulnerable.

These findings show that one of the primary ethical concerns felt by the participants had to do with the conflict they felt when the carrying out of specific rules put students, teachers, and the school community at a disadvantage. Participants reported that their purposive deceptive responses to such ethical concerns were to hide information, ignore, bend, or break the rules, policies, procedures, or laws that kept them from meeting the needs of others, and, if need be, to lie.

Conclusions

Participants in this study have eloquently described the challenges and personal turmoil they face when trying to act responsibly toward their organizations and the people they serve. In discussing the ethical compromises they encountered, participants' concerns had to do with issues of their professional identity regarding the problematic rules they face, their redefinition of their professional roles, and racial differences. Their interview responses offer evidence of a body of knowledge that can be described as a shift in individual and organizational values.

The findings of this study lead to three categories of conclusions regarding the nature of deceptive behavior in the professional practice of school principals. These conclusions will be discussed in terms of their relationship to earlier research and what appear to be the unique contributions of the current study to the understanding of these issues. The conclusions are discussed under the headings of (a) rules and roles and (b) professional practice.

Rules and Roles: Alternate Ways of Operating

This study found that (a) all of the participants used deceptive behavior to mediate the conflicts of their middle management positions, (b) individuals will admit to more than white lies, (c) the majority of the deception used by the participants was not used to benefit self, but rather to benefit or protect others, (d) the longer the participants had been principals, the more they bent or ignored specific rules and redefined their roles in regard to doing whatever they felt necessary to meet the individual needs of others, especially students, and (e) the participants engaged in ethical reasoning to negotiate the ethical compromises resulting from the conflicting demands of the populations they serve.

Although one of the participants held the Platonic ideal of working to change rules rather than break them, four participants acknowledged that political pressures and organizational limitations often precluded either following all of the rules or working to change them. Most of the participants acknowledged doing the wrong thing for the right reasons (bending or breaking rules for the welfare of others), but none of them implied that their practice would be a good example for everybody to follow. Rather, a general acknowledgment was apparent that such practices -- although perceived as necessary -- were individual and also undiscussable. These findings suggest that some organizational norms might actually deter honest communication and procedural compliance. Participants acknowledged that individuals' needs often cannot be met through, and are frequently hurt by, following district policy.

The manner in which the participants followed specific rules and policies depended upon the context and how the policies were regarded. Some policies were regarded as vague, open to interpretation, and therefore bendable; others were regarded as precise, not open to interpretation, and therefore had to be either followed or broken. As described by some participants, rules and policies are not always sensitive to the needs of individuals. Other participants described the problematic nature of independent judgments as a result of vague rules and policies.

In other words, the rules by which principals are expected to work may well be in conflict with their roles. In response to this conflict, these participants report what can be seen, from one perspective, as engaging in unethical or illegal behavior. Rather than accepting the limitations of their roles, these participants are creating, as described by one participant, "alternate ways of operating," which, from another perspective, are necessary "to meet the needs of the students," "to show parents that the school cares," and "to keep the school from becoming progressively poorer and poorer."

In terms of a shift in individual and organizational values, specific rules and policies were not followed if the participants did not believe in them. As evidenced by the candid responses from the participants, some principals felt it necessary to assume the authority (a) to follow some rules and not others, and
(b) to define their tasks in ways that protected their constituents on one side of the hierarchy but potentially damaged their status with their constituents on the other side.

The reality that all of the participants reported such behavior in their professional practice reinforces the conclusion that a conflict exists between the rules and the roles of principals. The findings also suggest that these school principals might be redefining their roles and their tasks -- indeed, their professional ethics -- in response to that conflict. If principals are redefining their roles and moving beyond a rational model of administrative decision-making (Bolman & Deal, 1991), it is possible that they are creating new administrative roles and professional ethics (Solomon, 1992) based on the wisdom they have gained through their professional practice.

Professional Practice

This study suggests that the practical and professional ethical issues of attending to student welfare are always present in the process of maintaining a school community. This study also indicates that school principals look for and find ways to engage themselves in the practice of applying ethical reasoning in the presence of both vague and precise rules. It is those practices of ethical reasoning, making judgments, and acting on them that give the school principal the capacity to sort out the various issues of justice and student welfare that lie at the heart of building a school community.

Most of these participants did not rationalize their behavior, as Spitzer (2000) suggests is all too easy to do. Rather, the interview sessions tended to be cathartic for the participants. They clearly expressed the desire to do the right thing. Indeed, all of the participants described the sense of discomfort and ethical compromise they felt when they withheld information and used other forms of deception. As one participant said at the conclusion of the interview process, "There is no right way to do the wrong thing, but the search for the right thing can lead to the reality of violating policies and procedures."

Many of the participants report that their approaches to conflict management were based on the strong messages from their superintendents that no bad news was wanted. The participants report that, as a result of such statements, they engaged in hiding bad news, making various compromises, and accepting negative situations. These findings support Feldman's (1985) conclusions that group norms tend to develop as the result of statements by supervisors or colleagues. Most of the participants expressed a direct connection between some types of deceptive behavior and statements from their superintendents that "bad news is not wanted." The finding that preferences of superiors do have an effect upon group norms reinforces statements by Bass (1990), Bolman and Deal (1991), and Morgan (1986), that organizational leaders are responsible for structures and routines that lead to increased organizational productivity and efficiency.

Summary

Although the findings of this study cannot be generalized, they do suggest some consideration by district superintendents, university training programs, and other researchers. The findings suggest that the role of the superintendent greatly influences principals' perceptions of acceptable practices. Therefore, it seems important for superintendents to carefully and consciously match their behaviors to their spoken and written statements.

The differential treatment of minorities leads only to well-known limiting and destructive outcomes. Universities with administrative training programs would be well advised to prepare and present course work on cultural differences and dominant-culture assumptions.

Clearly, the onus of deceptive behavior rests not only on the individual; this study's findings indicate that organizational dynamics in school districts do affect the ethical decision-making of principals. When all news has to be good news, when compliance with district rules limits the options of -- and resources available to -- students, when resources are inadequate to support district initiatives, or when dominant culture assumptions result in differential treatment of students, organizational dynamics can result in deceptive administrative behavior.

Experienced principals' acknowledgement of the perceived need to ignore policy, hide funds, lie to protect others, compromise to avoid conflict, exclude others from public processes, engage in differential treatment of students based on race, lie for what is considered right, and "find alternate ways of operating," serves as strong evidence of a shift in individual organizational values.

In conclusion, this study suggests that the principal's role of protecting the interests of others often conflicts with the policies of the organization. In such situations, deceptive behavior is sometimes perceived as the most humane, ethical, and compassionate choice available to a principal.

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Table I

Tina's Descriptions of Deceptive Responses to Situations

Situation	Response	Ethical Base
8. I would do things like that (ignore policy and procedure), you bet. We will pick them up as part of our caseload because	he or she fits and we can schedule them, and we agreed as a team ***to serve this child's needs.*** Yes, I would, without a doubt.	Respect for child's needs: RESPECT for PERSONS
10. I will do that (ignore policy and procedure)	to ***save the family from grief***. I will go the extra mile ***for the child.***	spare family, child's needs: RESPECT for PERSONS
16. I'll choose what (suspension forms) to send downtown and which not to,	and that is ***based more on the kid***.	child's needs: RESPECT for PERSONS
31. Compromising issue with specialist: supervisor isn't pleased with a teacher's performance, wants to get rid of that teacher, needs my support.	***Why fight the battle? You'll lose the war. I let it happen.***	conflict avoidance, self-interest: SENTIMEN

		T
I'd like this teacher to be gone, but he's not that bad.		
40. Would I ever represent myself differently than who I am to get something I want?	*I think I did* (misrepresent self to get something), for years I was *looking for* where's *the mold* to get position.	way to get position, self-interest: SENTIMENT
38. Would I ever lie to protect people instead of hurt them? Probably,	if I could see a staff member was really *vulnerable*...because *I've been in a difficult situation, too*.	empathy, experience: RESPECT for PERSONS

Table II

Paul's Descriptions of Deceptive Responses to Situations

Situation	Response	Ethical Base
2. All news has to be good news. You have to report that everything is okay and give as little negative information as possible. If you don't, your competency would be questioned and you would be humiliated in a public meeting.	So, no matter how things are going, *I report that everything is okay. I feel I need to give as little negative information as possible*.	self-interest, trade silence for safety: SENTIMENT
5. An example is the test scores last year. Rather than deal with the problem, we were told, "You will raise test scores, period." That's the kind of environment that fosters deception.	So, to raise test scores *I have denied some kids the opportunity to take the test*.	self-interested response to organization norms: SENTIMENT
22. Certainly in education we all want to look as good as possible.	So, sometimes *I might withhold or give out information, at the expense of somebody else, because we want to look as good as possible.*	promote self-interest: SENTIMENT

35. You don't want parents calling the area director complaining about the discipline in the building, so	I don't have trouble *compromising discipline, because discipline can get parents so upset*.	respond to fear, compromise discipline: SENTIMENT
39. There are compromising situations where you are trying to uphold the discipline of a teacher that you truly do not believe was good discipline, and	so you *uphold what the teacher wants for the sake of a relationship in the school* because you *can't win every battle, and you really feel that you are sacrificing the kid.*	conflict avoidance, self-interest: SENTIMENT

Table III

<u>Diana's Descriptions of Deceptive Responses to Situations</u>

Situation	Response	Ethical Base
3. A student on an outside swim team wanted to receive his P.E. credit here but be there. Has nothing to do with the school district. More often than not	I *bend the rule*, because I consider it the *humane and compassionate thing to do.*	bend rule, humane to do: RESPECT for PERSONS
10. Students in my building are not having a fair opportunity with PE in my opinion. I am being dishonest with them because	I am *not telling other students* that these folks are getting (PE credit) for ballet because they asked. You didn't ask so you're not getting it. *I don't advertise it.*	protect organization's resources via non-disclosure: UTILITARIAN
19. In previous administration, we didn't want things (bad news,	*I ended up not passing those kinds of things* (bad news,	protect self and school

difficult situations) to go downtown because our superintendent was not very tolerant, so	difficult situations) *downtown.*	by hiding bad news: SENTIMENT
21. An example of deceptive behavior is in that P. E. situation,	*where you don't necessarily offer up all of the information. There is no way we could, as things are now, accommodate all the possibilities.*	non-disclosure, no way to serve all: UTILITARIAN
45. They would have liked me to make an ethical compromise, and that's where my value system which is so strong in	terms of *being honest and following the rule, as it is, and then working to change it if I don't believe in it.*	follow rules or change them: PLATONIC
47. This whole business of making ethical compromises has gotten us into trouble because now it has become the mode of how people operate, and then	*it's where you are, who you are, and who you know.*	coalitions, self-interest: SENTIMENT
65. If I think giving information about credits would harm kids because of their inability to use it, or because we don't have a process in line,	then I *would not give* them the information.	non-disclosure to protect kids: UTILITATIAN, RESPECT for PERSONS

Table IV

Pete's Descriptions of Deceptive Responses to Situations

Situation	Response	Ethical Base
1. To avoid conflict with an interest group who may want funds diverted to certain interests,	*I might be dishonest about certain views of the budget to protect ability to put resources where I think they most need to be.*	non-disclose protect funds: UTILITARIAN

5. As we move toward democratic process in setting priorities and involving others in decisions,	*what I print does not always reflect (full budget) because we must act on a higher sense of order, rather than trust that through a democracy* we're all going to arrive at the same place at the same time.	own best judgment, not democracy: UTILITARIAN
13. PTA must remit for supplies. If we do it the honest way, PTA gives me $200 assuming I buy $200 of supplies for our shelves. Way it *really* works is $200 goes into district's fund, not to us.	*I don't like to do it that way* and, therefore, *I choose to not follow the law or policy* when it comes to that.	own judgment, ignore law or policy: UTILITARIAN
19. It sounds like we're running a real dishonest organization here, but I think there are lots of occurrences where, for the welfare of the kids,	*we choose to find some alternate ways of operating.*	ignore rule to benefit kids: RESPECT for PERSONS
22. We are here to help <u>your</u> kids so we	*have to break the rules to make that happen.*	break rules to help kids: RESPECT for PERSONS
25. There are times we can't tell the whole truth about everything we know	because there's a *greater good to be accomplished by not telling the whole truth.*	non-disclose for greater good: UTILITARIAN
27. As much as I think a parent has the right to know what's going on with Johnny at school,	the opportunity to teach Johnny something is a higher responsibility. *I'm not above cutting a deal* with a child if I think he can learn.	hide info to meet child's needs: RESPECT for PERSONS
35. The lay of the land is important. We have to know where we are.	*There's a difference between lying for what's right and lying for what's wrong.*	lie for what is perceived as right: SENTIMENT

Table V

John's Description of Deceptive Responses to Situations

Situation	Response	Ethical Base
1. Employee needs to be away from school, contract doesn't allow for that issue. Human factor enters in;	needs are not black and white. *I run risks regularly with human factors, with what I consider to be fair.*	protect others, own judgment: RESPECT for PERSONS
2. Teachers need to meet with parents, (often) on their own time. I trade them a day. I tell them "You do evening conferences, I'll trade you Friday. "	*The returns on treating people humanely are two to one over treating them by the law. And I think that's fair.*	greater returns in treating well: UTILITARIAN,
10. I'm not always comfortable with the State standards for fourth grade testing. I have, on occasion,	*eliminated some children from that* because *I didn't know what it was going to prove* for them to take it.	protect kids: UTILITARIAN, RESPECT for PERSONS
19. I promote only activities that have a direct correlation with our curriculum and the welfare of kids.	Those things that don't meet those criteria, I will *use some deception to not promote them.*	deceive to not promote: UTILITARIAN,
23. There's an item in the budget I find I have to hide, and that's my own personal travel. $1,000 is a lot of money when my budget's only $22,000.	I *take that money out of budget* (before committee sees it). *I don't want it caught up with kids' needs.* It is unethical that I hide it; *I'm not brave enough* to show it up front.	hide funds for lack of courage: SENTIMENT separate budget item from kids' needs: RESPECT for PERSONS
61. I'm not going to let him jeopardize my life, my financial position, or my family.	I can play things out. I can do things. *I can also do some stuff that will not make him look good.*	protect own interests: SENTIMENT

70. A Black child and his mom are gang members. The boy is in 4th grade, and really knows how to use the Black issue.	*I find myself being very cautious*. I let him see what I'm writing in my documentation. I can't do that with every child.	cautious dealing with child due to race: SENTIMENT
74. Children don't, adults don't, none of us fit in boxes. And, so I do participate in deceptive behavior because	*you have to meet the needs of the individual, and laws are made for groups.*	personal value: human needs, laws for groups, not individuals: RESPECT for PERSONS

"To Face(book) or not to Face(book)":
Class Engagement and the Unintended Effect of Interactive Devices

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As the size of the classroom increases, capturing the interest and engagement of students is becoming a common problem in today's education. With the development of technology, new tools to increase interest in the lecture have also emerged. Clickers and other interactive devices are becoming popular because they have the potential to generate the interactive environment that may trigger students' motivation. Some of these tools (i.e. top hat monocle) require the use of computers or other smart devices. And when associated to grades, these devices indeed increase class attendance. But, encouraging in-class usage of computers and tablets opens a "Pandora Box". Once the computer is available and internet-ready, checking emails or going to social media becomes an irresistible temptation. In this paper, we study both, the effect of interactive technologies and in-class exposure to social media on class performance.

The use of interactive technology (i.e. Top Hat Monocle -THM-) was tested on 456 students in a first year class in a management program. As recommended by the vendor, class participation monitored with THM gave up to 5% extra points on top of the final mark. The service was provided to the students at zero cost. Midway of the semester, a free-Facebook zone was created. In this zone browsing on face book was monitored, and students detected on this behaviour would be invited to leave the classroom. Outside of this zone, in-class use of face-book was tolerated. The main results of this study are: The use of THM increased class attendance, but not particularly class engagement. Still class attendance had a positive impact on class performance. Students "claiming to be" in the free Facebook zone also performed better than students engaging in in-class use of Facebook. However, students "actually sitting" in the free face book zone did not perform better than the first group.

Biography:

Sergio is Assistant Professor of Marketing and consumer studies at University of Guelph. Sergio is the author of several scientific studies in Marketing and Economics. Sergio has been consulted by the Antitrust Division of the U.S. Department of Justice and as an expert witness for cases in Canada and the U.S.. Sergio's opinion is frequently cited by mainstream media. In his teaching, Sergio constantly incorporates state-of-the-art techniques to the classroom and has developed several new courses and curricula. Sergio holds a Master's and Ph.D. from NYU; an MBA from IESA, and a B.S. in Electronic Engineering from USB.

An Investigation of University Instructional Leadership Programs and their effects on Self-Efficacy among Alabama's Newest Principals

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Randy Shadburn has 35 years of experience in education. Randy began his career as a high school chemistry/physics teacher. He obtained a masters' degree in physics and served as a college physics teacher. Later he became a high school principal and upon completion of his doctorate he worked as a university associate professor teaching instructional leadership courses. Randy also has served as graduate education programs coordinator. Keywords: self-efficacy, leadership, instructional leadership programs

Introduction

Research increasingly demonstrates that the combined human capital of both teachers and principals is critical to solving our education crisis. Teachers account for about a third and principals a quarter of the school's total impact on student achievement, despite the fact that teachers directly instruct students and principals influence achievement indirectly through their leadership actions. (New Leaders for New Schools 2009 p.17) School leaders, in this new age of educational accountability, are expected to possess an all-encompassing knowledge of teaching and learning toward the design and delivery of educational programs that promote academic rigor and excellence, while maintaining safe learning environments and positive school cultures (Grogan and Andrews, 2002; Murphy, 2002). Additionally, they have had to learn to generate and manage data as proof of the successes of the school improvement interventions they have been expected to lead. Leithwood, Louis, Anderson, and Wahlstrom (2004) wrote: Leadership is widely regarded as a key factor in accounting for differences in the success with which schools foster the learning of their students. Indeed, the contribution of effective leadership is largest when it is needed most; there are virtually no documented instances of troubled schools being turned around in the absence of intervention by talented leaders.

While other factors within the school also contribute to such turnarounds, leadership is the catalyst (p. 17). As school leaders' responsibilities have multiplied the pool of talented principals needed to lead today's schools has not grown (Fullan, 1997). Fry, O'Neill and Bottoms (2006) contend that there is not so much a shortage of school administrators in the United States, only a shortage of quality school leaders. Not only is it becoming increasingly difficult to attract prospective candidates to the principalship, but just as troubling, it is harder to keep effective and experienced administrators on the job.

Review of Literature

Self- Efficacy

Dr. Albert Bandura (1986) in his research with social cognitive theory and self-efficacy found that beliefs and judgments about personal capabilities, rather than their actual abilities drive people to accomplishing goals they set for themselves. Bandura made clear that more important than skills alone is the judgment of what a person can do with the skills he or she possesses. "It is when one is applying skills that high efficacy intensifies and sustains the effort needed to realize a difficult performance" (Bandura, 1997, p.394). Bandura (1997) also found that self-efficacy is vital to leadership because, "When faced with obstacles, setbacks or failures, those who doubt their capabilities slacken their efforts, give up or settle for mediocre solutions."

Bandura (1986) refers to four sources of self-efficacy. The most influential source is that of mastery experiences. Completing a task well builds successful experience, which in turn is necessary to create further successes. "Repeated successes raise self-efficacy appraisal; repeated failures lower them" (Bandura, 1986, p. 399). Failures that are overcome by robust efforts also raise self-efficacy and cause the person to believe that greater effort can overcome almost any obstacle. The second source takes into consideration the modeling aspect of social cognition. As people observe and learn from others, they vicariously experience events. If the other person completing the task (event) is judged to be of similar competence, the vicarious learner makes a mental note about his/her own competence based on the success or failure of the first person. Bandura explained the power of vicarious experiences thusly:

> Although vicarious experiences are generally weaker than direct ones, vicarious forms can produce significant, enduring changes through their effects on performance. People convinced vicariously of their inefficacy are inclined to behave in ineffectual ways that, in fact, generate confirmatory behavioral evidence of inability. Conversely, modeling influences that enhance perceived self-efficacy can weaken the impact of direct experiences of failure by sustaining performances in the face of repeated failure. A given mode of influence can thus set in motion processes that augment its effects or diminish the effects of otherwise powerful influences" (1986, p. 400).

The third source for self-efficacy development is social persuasion in the form of feedback from another person about a specific capability. When genuine feedback from others who possess skills or expertise in the particular area in question is positive, performance can be enhanced. However, if social persuasions are negative, performances that were once adequate can suffer (p. 400).

The final self-efficacy source occurs as people monitor their somatic and emotional states with regard to a specific task. If the thought of completing the task makes one ill at ease or nervous, self-efficacy suffers. Bandura suggests, "People read their somatic arousal in stressful or taxing situations as ominous signs of vulnerability to dysfunction" (p. 401). Conversely, when people welcome the challenge of a particular task, their self-efficacy heightens as does their

corresponding performance of that task.

More specifically, leader self-efficacy is the leader's judgment that he or she can successfully exert leadership by setting the direction for the work group, building relationships with followers in order to gain commitment to change goals, and working with followers to overcome obstacles to change. Michael McCormick (2001) defined leadership self-efficacy as an individual's perceived capability to perform the cognitive and behavioral functions necessary to regulate group process in relation to group achievement.

Principal Self-Efficacy

Efficacious school leaders possess qualities that allow them to be more persistent in pursuing goals. However, efficacious leaders are also pragmatic in the sense that they adapt their strategies to the present context so that they do not waste time trying unsuccessful strategies (Osterman & Sullivan, 1996). When confronting problems, efficacious principals interpret failure as a lack of effort, or application of an incorrect strategy rather than a lack of skill. Principals with high levels of self-efficacy believe that by doubling their efforts or changing their strategy, they will realize success and accomplish goals.

Leaders possessing low levels of self-efficacy tend to set lower goals for their organizations, if indeed they set goals. Rather than adapt pragmatically to difficult conditions, inefficacious principals tend to rigidly maintain the same course of action even if evidence suggests a change. Inefficacious principals regard failure as the result of something beyond their control. They frequently blame other people or external conditions for failure or low performance. Osterman and Sullivan (1996) found that these principals do not possess the capacity to adapt to changing contexts or garner support from others. Principals with low self-efficacy perceive their immediate environment as uncontrollable, which similarly has a negative or incapacitating effect on goal setting and problem solving. They also regard power very differently from efficacious principals. Inefficacious principals use external power sources such as management rights to coerce others into desired actions, while those principals with greater self-efficacy use internally based power to lead, build relationships and set examples for others to follow (Lyons & Murphy, 1994).

Instructional Leadership Programs and Self-Efficacy

Principal self-efficacy development promises as a catalyst for implementing and executing cognitive strategies for the tasks of school leadership have been mostly unexplored.
In terms of principal preparation, it is not known if or how self-efficacy is developed within university based programs. Similarly, the elements of preparation programs which most contribute to principal self-efficacy have not been identified. The Southern Regional Education Board (SREB). SREB, through support from the Wallace Foundation, conducted a study of 22 pacesetter universities engaged in leadership program redesign entitled, *Schools Can't Wait: Accelerating the Redesign of University Preparation Programs* (2006). That report found that those universities which had made important inroads in principal preparation program redesign had met four "core conditions" encompassing university district partnerships, research based leadership practices, quality field experiences and program evaluations which included data
collected from program graduates (p.31).

As reported by SREB (2006), the core condition that seems to be underdeveloped at many universities and colleges of education leadership is a program evaluation component, which measures the extent to which program graduates perceive that their principal preparation programs prepared them for their roles as instructional and transformational leaders. While course evaluations occur and act as a measure of student satisfaction, few formal data collection measures beyond individual course evaluations exist to provide a more thorough understanding of graduates' perceptions of program effectiveness.

Research Purpose

Understanding the perceptions of graduates can provide a data rich environment where NCATE review recommendations and faculty focus group discussions triangulate with actual practitioner experiences to create a clear focus for program development and improvement. Although the quantitative questionnaire in this study provides an important data source for understanding principals' perceptions of the effectiveness of preparation programs and can ultimately guide program evaluation, preparation programs alone do not guarantee success in the field. Since no preparation program can directly control for these environmental conditions principals must come armed with not only professional knowledge and skills, but also the belief in their abilities to accomplish their goals and the perseverance to ride out the storms that threaten those goals.

In Waters, Marazano and McNulty's *Balanced Leadership* (2003), a meta-analysis of over 5000 studies of factors affecting student achievement was conducted. From that meta-analysis, 21 principal responsibilities along with 66 behaviors were identified that have reinforced our understanding of the complex and necessary role of the principal. That study found that principal leadership matters and that the application of leadership responsibilities is significantly correlated with higher student achievement. Waters, et al, also argue that leadership is more than just possessing knowledge about schools and education. They state:

> Effective leaders understand how to balance pushing for change, while at the same time protecting aspects of culture, values and norms worth preserving. They know which policies, practices, resources and incentives to align and how to align them with organizational priorities. They know how to gauge the magnitude of change they are calling for and how to tailor their leadership strategies accordingly. Finally, they understand and value the people in the organization. They know when, why and how to create learning environments that support people, connect them with one another and provide the knowledge, skills and resources they need to succeed (p. 2).

In another study commissioned by the Wallace Foundation and conducted by the Stanford Educational Leadership Institute, Davis, Darling – Hammond, LaPointe & Meyerson (2005), posit that in reviewing the existing research and literature about the importance of principal leadership, two attributes of effective school principals have gained widespread acceptance. Successful school leaders influence student achievement

through the support and development of effective teachers, and through the implementation of effective organizational practices.

The SREB report, *Schools Can't Wait: Accelerating the Redesign of Principal Preparation Programs"* (2006), illuminates the progress made by 11 pacesetter universities chosen to participate in the SREB University Leadership Development Network and 11 other universities reputed to have success in redesign efforts. A set of four core conditions for increasing the effectiveness of principal preparation programs and ultimately improving school leadership, was identified at the outset as being necessary for successful program redesign. Those conditions represent a synthesis of five years of study of the literature, focus groups with exemplary principals, interviews with expert panels and evaluations of redesign efforts. The four conditions are: 1) establishing formal school district university partnerships, 2) utilizing standards, research based practices that transform course content and learning experiences, 3) developing continuous field experiences that allow candidates to demonstrate leadership competencies, 4) designing and implementing program evaluation strategies that address graduates' competencies and the program's impact on schools.

Methodology

Research Questions

The purpose of this mixed methods study was to describe and explain how the elements of principal preparation programs contribute to the self-efficacy development of principals. The study will attempt to identify those specific elements in education leadership programs, which most contributed to principals' self-efficacy beliefs. The results of this study will be used to inform education leadership program faculties about what preparation program elements most contribute to principal self-efficacy with recommendations about how faculties might utilize existing experiences to further enhance the sources of self-efficacy development within preparation programs. The following questions provide the direction for the investigation of principal preparation and self-efficacy development.
1. What are the perceptions of Alabama practicing principals regarding how well their principal preparation programs prepared them for the demands of principal leadership?
2. What preparation program elements do principals perceive as contributing to the development of principal self-efficacy?
3. How did specific elements within preparation programs contribute to principals' self-efficacy development?

Instruments

The quantitative portion of the study featured a 52 item questionnaire which had two sections and used a nine point semantic differential scale to code responses. The first 34 items of the questionnaire yielded data regarding principals' perceptions of the effectiveness of program elements such as recruitment, faculty knowledge, instructional practices, coursework, learning experiences, and field experiences or internships, all elements that researchers identify a contemporary education leadership program should possess regarding principals' perceptions about

specific elements in their preparation program (Darling-Hammond, et al, 2007; Fry, O'Neill & Bottoms, 2006). This section of the questionnaire contains 34 items that will be based on findings from studies by the the Southern Regional Education Board (SREB, 2006).

The second section of the questionnaire used the 18 item Principal Self Efficacy Scale (PSES) developed by Megan Tschannen- Moran and Christopher Gareis (2005). The PSES section used an identical nine point semantic differential scale and asks principals about their beliefs in their abilities to accomplish certain aspects of principal leadership such as: managing change in their school, promoting acceptable behavior among students, motivating teachers and raising student achievement on standardized achievement tests.

Responses to all 52 questionnaire items were used as the basis for developing a list of potential qualitative interviewees. Principals who rated every item from their preparation programs highly (seven or higher on the nine point scale) and who also rated themselves highly (seven or higher on the nine point scale) on every item from the Tschannen-Moran and Gareis Principal Self Efficacy Scale (PSES) were selected as potential candidates for the follow up qualitative interviews.

In the qualitative phase of the study, interviews were conducted with survey respondents who represent principals identifying themselves as highly self-efficacious and who also rated their principal preparation programs highly. The purpose of interviews with highly self-efficacious survey respondents who reported positive views of preparation programs was to identify those positive program elements that influence self-efficacy development in hopes of being able to more purposefully replicate those experiences for others. Utilizing positive cases provides thick and rich descriptions of program elements that are perceived to be effective preparation experiences. It also assists in better understanding the conditions and factors that promote leadership efficacy. Interviewing principals about their preparation experiences and self-efficacy development provided information regarding the importance of specific preparation program elements, student experiences and faculty interactions.

Sample

The population for the quantitative phase of the study consisted of approximately 120 practicing principals in Alabama public schools. A list of potential participants was obtained from the State of Alabama Department of Education website .http://www.alsde.edu/home/Default.aspx) directory and were sent questionnaires electronically during the first week of October 2013. The Principal Preparation Program Questionnaire is designed to gather data from education leadership program graduates who are currently employed as principals in Alabama schools. The questionnaire consist of two sections; the first, a 34 item section which addresses recruitment and admission to the program, faculty and instructional experiences, relevancy of coursework to practice and the quality of field experiences or internships.

The second section of the questionnaire uses Tschannen-Moran's and Gareis' (2005), Principal Self-Efficacy Scale (PSES), an 18 item questionnaire that ask about principals' perceptions of their self-efficacy in specific areas of school leadership. Permission was obtained from Dr. Megan Tschannen-Moran for use of the PSES in this study. Published reliability for the PSES using Chronbach's alpha was .91. The Principal Preparation Program Questionnaire had a total of 52 questions which were measured on a nine point semantic differential scale. The nine point semantic differential scale was used to indicate whether principals agreed:

1 = Not at All, 3 = Very Little, 5 = To Some Degree, 7 = Quite a Bit, or 9 = A Great Deal with items representing elements from principal preparation programs as well as principals' perceptions of their self-efficacy. The 34 items from the first section ask participants about their perceptions of their principal preparation program in the areas of recruitment and selection, faculty instructional practices, development of learning community and school climate, coursework that emphasized theory into practice and data driven decision making, and internships that provided real world experiences in student management, staff supervision and community building. The second section of the questionnaire, the PSES, ask about principals' perceptions of their ability in the areas of: facilitating learning in their schools, managing change, raising student achievement, motivating teachers and handling the demands of the job.

Data Analysis

Descriptive statistics were used to determine means, standard deviations and standard error for each of the 52 items on the questionnaire. Descriptive statistics in the form of   percentages were used to report demographic characteristics of the participants.

Once descriptive statistics established means and standard deviations, a series of multivariate analysis of variance (MANOVA) were conducted to determine if program effectiveness is perceived differently among the groups of respondents. Results for follow-up univariate ANOVAs were conducted to determine group differences on the individual Principal Preparation Program Questionnaire items. Results from comparison groups provided information about program effectiveness and efficacy across several independent variables including: gender, age, years of principal experience, size of school served, level of principalship (elementary, middle or high school), institution where principals were trained and year principal certification was earned.

In order to thoroughly answer the study's research questions about the effective elements of preparation programs, factor analysis was used as the statistical method to reduce data and extract the underlying factors presented by items written to assess the effectiveness of preparation programs. The extracted factors became important to the qualitative phase of the study as those factors or topics provided the basis for a deeper layer of inquiry regarding the sources of self-efficacy development with program experiences. Those participants who viewed themselves as having high self-efficacy (ranking of 7or higher) and who also agreed to be contacted for a possible interview were used for the qualitative section. Once this list of potential interviewees was developed, 6 principals in proximity to the researcher were sent a letter detailing the purpose of the research study and citing its importance and benefit to the field of principal preparation.

Results

Questionnaire respondents reported that their preparation programs were most effective in establishing learning communities within cohort groups (*M* = 7.40, *S.D.* = 3.37) whereby students learned from one another and developed collegial relationships (*M* = 6.75, *S.D.* =1.17.). Other highly perceived program elements centered on instructional practices which used case study analyses (*M* = 7.18, *S.D.* = 1.55) and problem based learning strategies (*M* = 6.74, *S.D.* = 1.69) to simulate common issues and concerns faced by modern principals. See Table 2. Respondents also reported that (1) the

faculty in their preparation program possessed recent administrative experience (*M* = 6.24, *S.D.* = 1.80) and (2) promoted rigor and relevance across all areas of the program (*M* = 6.18, *S.D.* = 1.98).

There were four major sources of program elements that contributed to self-efficacy.

Factor 1 - Leadership experiences: describes the learning outcomes for the coursework and instructional activities in preparation programs. This factor accounted for over 37% of the total item variance.

Factor 2 – motivation: principals' perceptions of how emerging leaders learn to exercise their own leadership to motivate and inspire others to help create a positive learning environment

Factor 3 – authentic learning practices: primarily those used to assess principals' perceptions of internships or field experiences.

Factor 4 – self-regulation/efficiency: describes the importance of developing the ability to manage stress and accomplish all the tasks that are required to function at an expected level of competence and efficiency.

The third research question was qualitative and probed the principals for in-depth answers to answers given on the written questionnaire. From those interviews the data were analyzed by breaking the transcriptions into episodic units of information that stood by themselves and were interpretable.

The first theme to emerge was faculty relationships. Building relationships and learning from other people either through some direct experience or vicariously through others were important experiences for principal self-efficacy development. A second theme that emerged from the interviews centered on authentic learning opportunities and mastering those experiences that involved working with people. A final theme (Persistence and Perseverance in Preparation Programs) that arose from the interviews was the notion of how difficult circumstances and rigorous coursework and high expectations tested the mettle of the principals, but ultimately helped them to identify an inner strength that would serve them well in the role of principal

Discussion

Where do we go from here? Based on the limited nature of this study and the data derived from it, the researcher cannot provide definitive answers to the research questions posed in the study. We must examine how the elements of principal preparation programs contribute to the self-efficacy development of principals. The study identified program elements which most contributed to self-efficacy development and sought to understand how those elements functioned in contributing to principal self-efficacy.

We must identify and implement the program elements that were credited with enhancing self-efficacy beliefs so that preparation program faculty could more fully integrate those self-efficacy

sources into existing instructional experiences and coursework and also purposefully design other experiences and interactions which would act as catalysts for further self-efficacy development.

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Table 1. Demographics of Participants

Gender of Participants

Male: N= 52 (64%)   Female: N= 30 (36%)

Age of Participants

28-40 yrs. Old	41-50 yrs. Old	51-60 yrs. Old
N=49 (60%)	N= 32 (40%)	N=1 (0%)

Years of Educational Experience

Less than 5 Years	6-10 Years	11+ Years
N= 36 (44%)	N= 30 (37%)	N=16 (19%)

Table 2. Effectiveness of Program Elements

Item Description	Mean	S.D.
Q15 Becoming a Learning Community	7.40	3.37
Q13 Case Study Analyses	7.19	1.17
Q39 Observe Teachers/Practice Supervision	7.18	1.55
Q16 Emphasized Research/Leadership Theory	6.92	1.69
Q14 Encouraged Collegial Relationships	6.75	1.88
Q12 Used Problem Based Learning Strategies	6.74	1.82
Q17 Encouraged Self-Reflective Practices	6.50	1.79
Q25 Promoted Policy/Procedure Knowledge	6.44	1.80
Q18 Integrated Theory into Practice	6.41	1.93
Q11 Faculty Possessed Admin Experience	6.24	1.91
Q10 Faculty Promoted Rigor and Relevance	6.18	1.98
Q19 Emphasized Instructional Leadership	6.14	2.03
Q20 Vision/Mission Development	6.04	2.03

	Mean A	Mean B	SD A	SD B
Q21 Leading A Planned Change Effort	5.93		2.00	
Q24 Understanding Diversity	5.91		1.91	
Q28 Promoted Professional Development		5.66		1.86
Q33 Building Positive School Climate	5.65		2.55	
Q35 Communicate Vision in Community		5.61		2.63
Q38 Work with Social, Political Agencies		5.51		2.66
Q27 Data Driven Decisions/Assessment	5.44		2.02	
Q23 Understand Facility Management	5.26		2.09	
Q29 Parent/Community Involvement Practices	5.23		2.97	
Q36 Apply Student Management Procedures	5.22		2.59	
Q26 Supervise Instructional Staff	5.21		2.05	
Q22 Resource Allocation/Manage Budgets		5.21		2.00
Q32 Support Students and Families		5.11		2.45
Q30 Work w/ Exemplary Principal Mentor		4.92		2.66

Is Cultural Competence still Relevant in Graduate School Education?

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Amon Porter has been a social worker for over 28 years specializing in mental health treatment and issues related to child welfare. In addition, Dr. Porter is an accomplished statistician and works as an adjunct professor for California state University East Bay.

Abstract: The purpose of this project was to evaluate the level the development of a culturally competent belief system within Master level social work students through the exercises and activities designed in a mandatory course entitled Race, Gender, and Inequality offered at California State University Bay's Department of Social Work. The premise of this study is to determine if the course has a positive or negative impact on the students view and perspectives on race, gender and issues of inequality. For years the key phase in education was "Cultural Competence" with the emphasis in educating students in understanding diversity and tolerance of differences. With this 21st Century minority lead society, is the notion of cultural competence development still important? And if so, how is it taught in this modern day society? This study evaluates graduate level social work students in their exposure to issues related to race and diversity in the Race, Gender, and Inequality course. The Diversity and Oppression Scale by Rutgers University, was used in a pre (before the class began in the beginning of the quarter) and post (after the class completed at the end of the quarter) to evaluate if there was any change in perception and attitudes as it relates to race and inequality issues. In this presentation, we will discuss our findings.

A Survival Analysis of Involuntary Dropouts
At Slippery Rock University

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Abstract: Using data provided by Slippery Rock University on 7860 students who left the University between the years 2006 through 2009, this study set out to find the profile of the student who is more likely to drop out of school involuntarily that is suspended/dismissed because of poor academic performance. A survival analysis approach was selected because of the importance of knowing time to failure for purposes of helping the University reduce/prevent student suspension/dismissals.

The best-fitting model was a shared frailty Loglogistic parametric Survival model. The model concluded that students with a higher propensity to be suspended/dismissed had at least one of the following characteristics: they were male, were younger, considered themselves independent of their families, were not transfer students, were enrolled full-time, had not declared a major, and their marital status tended to be "separated from spouse".

Cruzando la frontera con temor y esperanza:
Crossing the Border with Fear and Hope

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A husband and father of three children has made the difficult, deliberate decision to leave loved ones behind in Mexico and attempt to illegally enter the United States, jeopardizing his personal liberty and his chance of ever seeing his wife and children again (Dreby, 2010). Before leaving Mexico, a woman makes arrangements to get a medical procedure to never bear children so that if caught by border bandits, in attempting to illegally cross the border that she will hopefully survive the ordeal and not become pregnant enroute to a new life in the United States. The above individuals alongside so many other Mexican women, men or families reach a decision point to entrust their lives and hopes of ever seeing their loved ones again in the hands of *el coyote* or the coyote. *El coyote* is a person who exacts a high payment and in exchange promises to safely lead these entrusting human beings across a desert, a river, underneath a bridge, or a mountainous region—with entry somewhere along a 2,000 mile border between the United States and Mexico (Tague, 2010; Valdés, 1996). *El coyote* might instruct his followers to hide in secrecy in the back of a trailer truck or atop of a night moving train, seek shelter at a safe house, or stop abruptly while a border check helicopter flies overhead. To get to the other side of the border, Mexican families will lay aside their fears and trustingly follow *El coyote's* each word, each hand signal, and each time-sensitive arrangement with complete strangers— all for reaching a better life. Some of these Mexican families will be caught and deported back to Mexico on multiple occasions or will witness intolerable human tragedy; yet, these families will choose to persevere in the hope that on the other side of the border they will find a realistic opportunity for a better life, a future for their children, and perhaps the American dream. In this presentation, conference attendees will gain insightful, first-person accounts of five Mexican families living in the southeastern United States who were afraid to cross but who ultimately chose to push forward—to take the greatest risk of all, their very lives—and without proper documentation cross the divide between their homeland, Mexico and the United States. From an ongoing two-year ethnographic research study in the privacy of their households between 2011 - 2013, each Mexican family entrusted in me that their new livelihood and identities in the United States would not be revealed to the law enforcement agencies; more importantly, that their collective struggles for moving forward would be readily shared with others as a reason for optimism and inspiration.

Creativity, Meaning, and Purpose:

Mixing Cultures in Creative Collaboration

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Abstract: Music composition is embedded into the Viterbo University music theory curriculum to promote active engagement of musical materials. The project accomplishes three basic complementary outcomes: 1) Students will be able to creatively apply and develop the foundations of music theory learned in their first year of university-level music study, 2) Students will develop proficiency using music writing software, and 3) Students will overcome their fear of composition and gain confidence as musicians. Over the course of two semesters, music students are given all the ingredients necessary for the gestation and birth of a musical work that is original and personal. Meaning and purpose, combined with guidance and encouragement, sustain students over a five-month process of developing a concept, composing, editing, and finally performing their works.

In the past, students were inspired by a common broad topic (often chosen in connection with one of Viterbo University's distinguished speakers) and gave students the opportunity to connect their music to another project on campus. Past "concepts" have linked nature, peace, and life mentors, to student experience. For example, in 2009, students were asked to write a piece of music that would be performed at the university's *Good Earth Humanities Symposium.* Their compositions emulated

woods, beaches, thunderstorms, sunrises, etc., and were performed as a set entitled, *Earthtones,* at the closing event of the symposium. The *Earthtones* project afforded a broad and interesting concept, along with a professional performance incentive.

The "concept" for the 2013-2014 VU sophomore class will be a collaborative venture with Mr. Matthew J. Haupert's Poetry & Poetics students at Community Charter Early College High School in Lake View Terrace, CA. Given that several of Mr. Haupert's students come from families without high school and college degrees, his primary purpose as a Teach For America teacher is to inspire students' academic learning with creative-based projects that might pave their way to higher education. Pairing these potential young poets with university students (via Skype and e-mail) offers them a glimpse at college life (in Wisconsin), but also adds perspective and depth to the VU university theory course. Not only will the authors engage students in their respective crafts, they will encourage unprecedented collaboration and hope for exceptional results.

Will Mr. Haupert's high school students write poetry worthy of musical note? Will Dr. Haupert's music theory students find depth and meaning in relationship with students placed at-risk? Will their work improve because of the human dimension of this challenge? This paper and presentation will be the result of efforts by both instructors to imbue creativity, meaning, and purpose into a cross-disciplinary project that mixes age, socio-economic background, and culture. They hope to prove that collaborative ingenuity and creative risk-taking can reap outstanding educational rewards for both students and teachers.

The Relationship of Leadership and Global Student Achievement

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Training programs for school principal/deputy heads often include courses in leadership and effectiveness, especially as effectiveness is defined by student test scores within a school. Principals/ deputy heads across the world often see test scores from their countries reported as a comparison to student performance in other countries.   Student achievement matters across the world, as high stakes testing occurs within societal cultures, not only to sort and select pupils, but also to measure educational effectiveness. For example, international testing in reading, math, and science provides data for ranking student performance by countries through projects such as The Trends in

International Mathematics and Science Study (TIMSS) and The Program for International Student Assessment (PISA). While TIMSS describes mathematics and science achievement of 4th- and 8th-grade students from many countries, PISA is a system of international assessments that focuses on 15-year-olds' capabilities in reading literacy, mathematics literacy, and science literacy.

Those in training for the principalship are aware that school leader effectiveness is often defined by student performance on international test scores. There are many studies in the USA that describe the relationship of test scores and principal attributes (defined as behaviors and characteristics), but from a global perspective, what matters in terms of school leader behaviors and student performance across the world? There are few studies that address universal and culturally contingent school leader behaviors related to high student achievement.

To view leadership behaviors and characteristics from a global perspective poses some challenges, as societal culture influences the leadership process. As a way to frame leadership by societal cultures across the globe, the investigators of this study turned to The Global Leadership and Organizational Behavior Effectiveness (GLOBE) research, described as the Manhattan project of the study of relationship of culture to conceptions of leadership (House et al., 2004). The GLOBE researchers describe leader effectiveness as contextually embedded in the values and norms of people within a society. From the study of over 17,000 leaders in 62 countries, the GLOBE research yielded 21 universally desirable and undesirable characteristics of effective leaders across all cultures and also identified 35 leader characteristics that are described as "culturally contingent."

Given that the GLOBE research team described a large number of characteristics and behaviors that account for a leader's effectiveness, or lack thereof, the researchers of this study decided to use these leader behaviors to study the relationship of principal/deputy head behaviors and student achievement. The student achievement variable will be defined by student performance outcomes on TIMSS and PISA assessments. Recognizing that the leaders studied in the previous GLOBE research were from finance, health care, and business sectors, the investigators of this study will generalize culturally universal and culturally contingent behaviors identified in the study to behaviors of school leaders. In other words, this study will describe effective school leader behaviors from a cultural perspective in relationship to student achievement within and across the countries that participate in PISA and TIMSS.

The investigators of this study will report findings of the relationship of universal and culturally contextual leadership behaviors and characteristics and student achievement. To identify universal and culturally contingent leader behaviors, the researchers cross-referenced countries identified within the ten cultural clusters of the GLOBE study with countries that reported TIMSS and PISA student achievement scores. Assessment scores of reading from the 2009 administration of PISA and assessment scores of math/science from the 2011 TIMSS administration will be used for the student achievement variable. Findings will provide a cultural description of leader behaviors and characteristics related to school leader effectiveness.

The presentation and paper will reflect on phases one and two of the international research that led to this phase three study, as well as preliminary findings for phase three.

Using School Site Technology to Implement Response to Intervention

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Ms. Hosie has worked in the field of special education for ten years both as a Para-educator and Resource Specialist. She is committed to doing what is best for students through teacher collaboration. Ms. Hosie's research initiative is the educational initiative, Response to Intervention. Prior to becoming a special educator, Ms. Hosie earned her Bachelor's degree in Mass Communications from the University of San Francisco. She spent nine years in human resources management and development in the telecommunications industry.

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Abstract: Response to Intervention has been implemented in schools since it was first introduced with the reauthorization of the Individual with Disabilities Act (IDEA) in 2004.   The challenge for many schools has been creating a climate and culture and school leadership to effectively put into practice this educational model. A review of recent literature indicates that a school wide RtI program can make a significant positive impact to close the achievement gap and bring special education and general education together to support all student learning. The purpose of this project is to identify how school site technology may be utilized to accurately and efficiently implement Response to Intervention (RtI) reading programs and lessons. Specifically, to accurately identify students for Tier I and Tier II reading interventions in an elementary school setting. Additionally, the researcher is evaluating if the same technology will assist teachers and staff in identifying those students who positively respond to Tier I reading interventions or are in need of Tier II interventions in a smaller academic setting. This study is an action research project using a mix methods approach. Both quantitative and qualitative data will be compiled with the completion of staff survey and ethnographic-type interviews. The goal of the researcher is to create a manual for teachers and administrators to increase the understanding of Response to Intervention (RtI) and to facilitate the utilization of school site technology to fully implement a school wide model of reading interventions in an elementary school setting.

The Learning Curve: New Faculty Members' First Year in Retrospect

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New faculty members at institutions of higher education are often at a loss when faced with the many responsibilities and challenges of life in academia, specifically teaching, research, and service. Teaching is critical in higher education; however, many new faculty members come with little or no experience in instruction (Adams, 2002). Furthermore, faculty in colleges and universities are expected to "embrace new pedagogies including the use of technology, collaborative learning, simulations, and field experiences" (Adams, 2002, p. 4) while also being required to understand the needs of diverse learners (Austin, 2002). For those with no background in teaching at any level, this can be a daunting task. Yet, other responsibilities still loom before the new faculty member as s/he must also be actively engaged in service (Austin, 2002). Since the 1970s, colleges and universities have offered programs to assist new faculty members in becoming acclimated to life in academia (Centra, 1978) and have offered someone with whom to "discuss the unspoken aspects of faculty and institutional life" (Ortlieb, Biddix, & Doepkery, 2010, p. 114). Strategies such as mentoring (Bullard & Felder, 2003 and Savage, Karp, & Logue, 2004), advising, giving feedback, looking at higher education curricula, providing opportunities for graduate students to develop as teachers and researchers, and discussing professional careers (Austin, 2002) can assist new faculty members in becoming acclimated to the responsibilities they are facing or will face. In particular, Greene, O'Connor, Good, Ledford, Peel, and Zhang (2008) noted that new faculty are looking for mentors or senior faculty who will provide assistance with research and writing recommendations; whereas, Guanipia, Cruz, and Chao (2003) reported that "new faculty of color may not be aware that sole authorship versus collaborative research is more highly prized" (p. 193). Begun in 2012, the current exploratory study sought to discover if new faculty members at one university in the southeastern United States received any mentoring and the extent to which the mentoring experience helped or hindered their acclimation to a professorship career in academia. Data collected was primarily through participant responses to an online self-evaluation survey on a five-point scale and discrete open-ended questions. Conference attendees will be informed of the salient themes that arose from the analysis of the data.

The Evolution of Employee Development

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Abstract: The work life of knowledge workers in developed countries has changed over the past century in a particular pattern: from concrete to abstract values, from outer to inner values, and from lower order needs to higher order needs. This article shows the pattern as a whole. By understanding the pattern and accounting for individual differences, managers can make better decisions about developing their talent and implementing the factors that entice and keep good employees and motivate their higher performance.

Key Words: employee development, knowledge worker, evolution of employee needs

Introduction

As Peter Drucker (1992) noted, the US (and gradually the world at large) workforce is increasingly a knowledge-based workforce, and knowledge workers are increasingly seeking more than just pay for their work. In fact, the shift has been so radical that a new trend has emerged: corporations are paying more attention to higher order human values and needs (Maslow, 1954), at least for their employees, than ever before. In 1998 Fortune sponsored a study on what makes companies successful. (Fortune, 1998) It demonstrates that companies that are managed by higher order values tend to have better bottom lines (profits) than companies that focus primarily on their bottom line. Moreover, during the past decade there has been an annually updated list of the "100 Best Companies to Work for" in the US (Levering and Moskowitz, 1994), and studies have shown that these companies tend to be more profitable than their rivals. (Fortune, 2012) It appears that companies that consistently treat their employees with higher order values and needs (Maslow, 1954) seem to do better financially compared with otherwise comparable firms.

Although this seems to be a recently developed trend in the US, this has been part of a larger trend over the past 130 years or so: see Exhibit 1. Although each of the items in Exhibit 1 will be further elucidated, it should be noted that they follow a pattern:
- They are presented essentially in chronological order
- They move from concrete to abstract values
- They move from outer to inner values
- They move from lower order needs to higher order needs (a la Maslow's hierarchy, 1954).

The Essential Worker-Employer History

Until about the 1880s workers worked almost exclusively for pay. As factory and other workplace safety issues arose, workers were increasingly concerned with their safety. Sometimes violent strikes occurred over pay and safety concerns, and unions began forming to protect workers in these areas. By the 1930s worker unions were fully legal and powerful forces in the US to protect

workers' rights – but their focus was almost exclusively on pay, safety, and job security, the lower levels of human needs according to Maslow's hierarchy of human needs. (1954) In the 1930s Great Depression era laws were enacted to not only legalize such unions, but also to create a higher level of care for workers: a safety net with benefits such as Social Security and welfare because so many workers were not fully taken care of by their employers. In the 1960s Congress added to the safety net with medicare and food stamps. Although retirement and health care plans weren't universal among employers, some companies offered these benefits before they were common and before the equivalent government programs.

Although the research began in the 1920s and '30s, the 1950s and '60s saw the first major blossoming of interest by companies in practices that no longer lumped every worker into the same category, but allowed for individual differences. Practices such as flex time and day care for a worker's children began to arise. A more modern version of this has been virtual work: working at home for at least part of each week.

As our society was influenced by the '60s generation, by the 1970s theories and practices emerged about the value of meaning and values in the workplace. We had Parent Effectiveness Training (P.E.T.; Gordon, 1970), Leader Effectiveness Training (L.E.T.; Gordon, 1977), I'm OK, You're OK (Harris, 1967), and many such popular approaches to include values, meaning, and individual differences in bringing up our children and leading employees. In the workplace we had the parallel streams of job design Hackman and Oldham, 1976), organizational practices, and management training that began to emphasize more the individuality of workers and their inner states (e.g., job satisfaction; Locke, 1976) as opposed to treating them all the same. Workers became people with some intrinsic value or at least with individual needs that had to be satisfied (Maslow, 1954), as opposed to simply a substitute for machines that hadn't yet been built. MBO (Management by Objectives; Tosi and Carroll, 1968) was an attempt to align individual and organizational goals and needs, including developmental needs.

As the work world became more complex through globalization and large, behemoth companies, the needed increased for coordination (Elsner, 2004) and innovation (Romer, 1986). Teamwork and participation became needed. The old top-down authoritarian and bureaucratic structure was creating more unwanted side effects than in the past, such as bureaucratic slowdowns, inefficiencies, employee alienation, dampening of creativity, etc. It was increasingly recognized that employees with little formal power can often originate great ideas for better products, services, or processes. As a company made or sold products or services in disparate parts of the world, insights and inputs from locals around the world were increasingly needed. Instead of losing workers who had entrepreneurial skills and desires, large companies tried to learn how to keep them, and had to learn to listen to and honor the ideas of disparate employees. Teamwork and participation were among the signal call words of the Quality movement in the 1980s and 1990s and have now become embedded in large swaths of corporate America.

Another competitive factor was needed as companies grew and globalized. Size alone no longer guaranteed profitability, and the old-fashioned top-down management had primarily focused on growing in size (Slywotsky, Morrison, and Andelman, 1997). Other ideas, innovations, and

entrepreneurial approaches were increasingly needed. Economists were even changing their basic formula for firm success: from land, capital, and labor to innovation. (Romer, 1986) How were companies going to change their approach to meet the new need for innovation – constant innovation?

We've had the Quality, Lean, and Six Sigma folks get us used to more of a focus on process innovation, teamwork, team training, and continuous improvement. Even more than this, however, clear, shared vision, which includes shared values, became the way to coalesce the workforce into moving in the same direction together even across global divisional and departmental lines. Rather than have many layers of supervisors who carefully watched over each worker, shared vision along with teamwork, participation, information technology, empowerment, good job design, and providing higher order meaning and value, allowed companies to reduce their many layers of management in the 1990s and 2000s. At the same time that workers were becoming more independent (fewer supervisors looking over their shoulder, more empowerment), and while they were learning how to work interdependently (common vision, goals, teamwork, participation, etc.), new technologies were allowing information to flow more richly and fully, and more quickly, from the factory or office floor to the boardroom without needing so many intermediary "managers."

More recently emphasis has been moving toward finding ways to release and enhance the inherent creativity within and among workers. Creativity and innovation workshops are proliferating, and companies such as IDEO, Google, and Apple are becoming benchmarking magnets. A number of major tech companies have created spaces for workers to take naps (Fortune, 2011), and there's a growing number of companies creating workplace nap machines (Fortune, 2011) that help one to fall asleep more quickly and more deeply for a 20 minute or so nap. Play time is also on the rise. Lunchtime team and individual sports are often organized at tech firms, but even many group processes – teamwork – have play time built into their processes. (Strickland, 2012) Play time and naps have been found to increase creativity, innovation, and productivity. (Fortune, 2012; Strickland, 2012)

Two other recent trends are appreciative inquiry (Cooperrider, 2004) and psychological consultants (executive coaches; Harvard Business School, 2005). As the business landscape changes so quickly and dramatically, managers need new ways to handle things. By learning to look more deeply at oneself in action a manager can improve his or her managerial abilities and effectiveness. For example, one can gain powerful and useful insights by taking a deep look at the values and vision that drive you, your personality traits that might or might not be changeable, how you tend to respond to people, issues, and requests, etc. One needs some reflection time for such internal inquiry and sometimes another person's help. The 360 evaluation trend is also growing for the same reason – to help us evaluate and improve how we manage, lead, and get our work done. (Thornton, n.d.)

Although these trends are still primarily only available for upper level managers, they are gradually filtering down to knowledge workers in general. Being able to more clearly understand how we act and interact, and how we can improve, is increasingly important if we're increasingly on teams, empowered to work fairly independently but also interdependently towards a common

vision, with common values, and across many organizational boundaries. Training, coaching, and reflection time at work are increasingly important for such improvements.

Beyond this, an increasing number of knowledge workers are feeling the pressure and stress of their daily work. (Carr, Kelley, Keaton, and Albrecht, 2011) We all seem to be working at an increasingly fast pace compared with several decades ago and this is causing all sorts of ailments, feelings, stress, and burnout. (Laff, 1993) Most knowledge workers are also working many more than 40 hours per week. In addition, many knowledge workers are feeling that their personal and spiritual lives are being sacrificed for their company, and this causes some issues for them. (Komala and Ganesh, 2007) In the late 1990s, for example, Boeing allowed more than 200 groups of employees to form and to spend company time to meet. (Spitzer, 1999) These included prayer, bible reading, yoga, and mediation groups. Many other companies are offering these kinds of activities. (Spinks and Moore, 2002) The UN has had several daily meditation groups over the past several decades. (Dujardin, 1989; New York Times, 1976) An increasing amount of research is being done on the positive effects of meditation on people in general and workers more specifically, citing enhancements in health, alertness, focus, happiness, and accomplishments. (Li-An, 2011; Timm, 2010) Companies are also hiring chaplains and setting up meditation and prayer rooms. (Grensing-Pophal, 2000; Spinks and Moore, 2002; Walzer, 2011)

Again, these changes have occurred over the past 130 years or so and in a very distinct pattern:
- from concrete to abstract values,
- from outer to inner values, and
- from lower order needs to higher order needs.

The changes can also be seen as taking us from purely self-centered to also other-centered concerns (Krahnke and Cooperrider, 2008) and, especially with sustainability initiatives, from purely self-centered (ego-centric) and ethno-centric to also world centric concerns. (Wilber, 2001) As globalization increases, we are becoming more aware of the world writ large and more concerned with its problems. Modernizing underdeveloped nations, global climate change, and concerns about natural resources have been changing the focus of many knowledge workers and some companies and governments from business as usual to a higher level of caring for the poor, the hungry, and the disadvantaged around the world.

What This Could Mean

We see a 130 year pattern of dramatic change in the employer-employee relationship. This is mainly confined to developed nations and educated knowledge workers. Also, we've seen some companies move "backwards" when under duress (Wheatley, 2005), and as the world faces economic distress we can probably predict more partial "backwards" movement and some complete backwards movement to autocratic approaches.

However, the pattern seems clear: the industrial revolution, when combined with broad economic well-being and education, is bringing a revolution in how human beings perceive themselves,

interact, and do business. Instead of "having to" follow in our mother's or father's career footsteps, as most people did until 200 years ago, or taking jobs in the big city just to make ends meet, we are open to and seeking more opportunities to grow, develop, and expand as whole individuals, personally and professionally. And we're looking at development beyond skills that will help us only at work; we also want to have a sense of purpose and meaning, to feel efficacious, to feel good about the people we work with, and much more. Indeed, we want to move toward, and for some beyond, self-actualization. Individual and company growth and development are becoming closely paired, and the creativity to see things and act in new ways, and to experiment with new ways, is becoming the underpinning of our development as individuals and organizations. (Romer, 1986)

Further, our world is increasingly interconnected and is facing various crises (global warming, terrorism, economic downturns, etc.) that some are tracing to the industrial revolution and its globalization. (Stiglitz, 2006) This is moving an increasing number of the same educated employees and managers to view the world and its diverse people more as a single whole. (Eckersley, 2004) We are beginning to move beyond pure self-interest and national interest to recognize that many of our "problems" can only be solved through a coordinated effort across the world. This is a new, nascent trend and will necessitate a major learning curve of its own, but it appears to be occurring. It seems to be the first time in human history that people and nations are willing to cooperate and collaborate not for the benefit of a small central group (e.g., the Greeks, Romans, or Moguls), or for themselves as opposed to others, but for the relatively equal benefit of all.

It can be argued that these positive changes in society are occurring because of the "bad" things businesses and globalization have done. (Stiglitz, 2003) That may be true, but these "bad" things seem to be leading to at least some "good" results, good changes in developed societies. (Stiglitz, 2003) Instead of just seeing these "bad" things as problems, we can see them as opportunities to stretch ourselves, to grow and develop new, better ways to do things - as individuals, as companies, and as nations. After all, isn't that what entrepreneurs do – turn problems into opportunities? (Hitt, 2002)

Actions to Take

What can managers do with this understanding? By understanding that this is the direction in which workers are moving, and this is also the direction which should bring about the best results for companies (more creativity, innovation, development of talent, etc.), managers can foster innovations and a culture in their company that feeds these higher order needs and desires and that aims to make a positive impact on society and the environment. As the 100 best companies to work for have learned, this approach attracts and retains top talent and creates higher profits. (Levering and Moskowitz, 1994) It's good for your people, the company, and the world.

However, managers need to be clear that much of this trend applies mainly to the educated class. Tribal, other pre-modern, and under-educated (non-knowledge-worker) people are not yet ready for these workplace improvements. Even many modern, high school educated people are not ready for these improvements. For example, a bank once offered its tellers and office employees profit-sharing in an attempt to increase motivation. It didn't work. After some months the bank surveyed their

people to learn why profit-sharing had no motivational effect. They learned that this group of employees, as opposed to the managerial and sales employees, would have preferred a small raise in salary now to profit-sharing (later). Most didn't really understand profit-sharing, and when they did it seemed like some distant possibility but it wouldn't feed their families or buy the new car they need now. (Beck and Cowen, 1996)

Each group of employees, and sometimes each individual employee, needs to be offered what is valuable to them. This is standard motivation theory. What the above historical pattern shows us, however, is that we can use something like Maslow's (1954) hierarchy of needs or the many other adult developmental models (Cavanaugh and Blanchard-Fields, 2011) as a basis for determining which advances to implement for which group within the organization.

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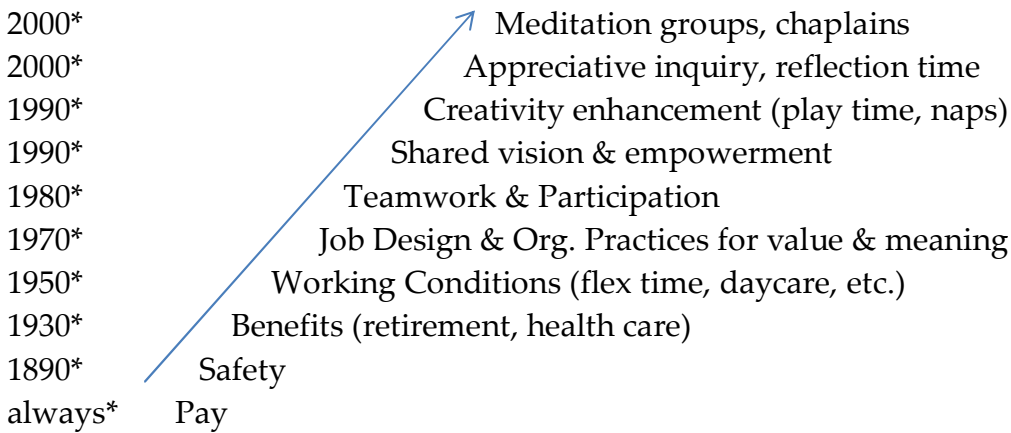Timm, J. (2010). Why meditation has a place in business. *Canadian Business online*. (April 26, 2010). Retrieved from: http://www.argonautaconsulting.com/CBOnline-meditationBusiness.html.

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EXHIBIT 1
History of the US Worker-Employer Relationship

2000*   Meditation groups, chaplains
2000*   Appreciative inquiry, reflection time
1990*   Creativity enhancement (play time, naps)
1990*   Shared vision & empowerment
1980*   Teamwork & Participation
1970*   Job Design & Org. Practices for value & meaning
1950*   Working Conditions (flex time, daycare, etc.)
1930*   Benefits (retirement, health care)
1890*   Safety
always*   Pay

* These are the approximate decades during which these newer offerings began in the U.S.

Evaluating Latin American ADRs
Using Risk-Adjusted Performance Measures

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Abstract: This study bridges the gap between investment theory and practice in the stock markets of Latin America. The objective of this pioneering study is to provide empirical documentation to global investors who are contemplating participation in Latin American stock markets using American Depositary Receipts (ADRs) as the investment vehicle. The first part of the study examines the nature of these ADRs (based on depositary bank, sponsorship status, industry classification, and listing). The second part of the study evaluates the performance of these ADRs using statistical measures grounded in modern portfolio theory. Returns are adjusted for the degree of total risk and systematic risk inherent in each ADR, and the securities are then ranked on the basis of risk-adjusted performance. Two relatively new evaluation metrics, the Modigliani and Sortino measures, are used for ranking.

1. INTRODUCTION

Over the past decade, there has been a significant rise in investor comfort with global financial securities, aided by the ease and convenience with which transnational corporate information can be accessed via the internet. One of the most convenient vehicles for accessing corporate securities listed outside the investor's home country is a Global Depositary Receipt. In the United States, these securities are known as American Depositary Receipts (ADRs). As of October 2013, there were 2,715 ADRs listed on the New York Stock Exchange (NYSE), American Stock Exchange (AMEX), the NASDAQ system, and on private trading networks.

Although ADRs in general have been studied extensively, to our knowledge there has been no study of the nature and performance of ADRs on shares of firms incorporated in Latin America. The stock market in this region is significant in size and provides many opportunities for risk diversification. Total market capitalization in Latin America in 2012 was US Dollar (USD) 2,524 billion. The largest market in this region, in terms of market capitalization (USD 1,230 billion) was

Brazil. The other large markets were Mexico (USD 525 billion), Chile (USD 313 billion), Colombia (USD 262 billion), Peru (USD 97 billion), and Venezuela (USD 25 billion).

Many US based investors find it inconvenient, for a variety of reasons, to invest directly in stock markets in Latin America, and, therefore, prefer to invest in ADRs based on their stocks. These ADRs may be created at the request of investors or corporations whose stock is held in trust as collateral for the ADR. These securities serve a dual purpose: they enable firms incorporated in these regions to raise funds in developed capital markets without having to meet the stringent listing requirements of U.S. stock exchanges, and, at the same time, enable global investors to earn returns on securities listed on these exchanges without the dual inconvenience of having to deal with time difference between countries and with currency conversion. This study examines the nature of Latin American ADRs, sorted on basis of depositary bank, sponsorship status, industry classification, and stock exchange on which the security is listed. Data are obtained from the Bank of New York Mellon and CRSP. The intent of the study is to provide documentation to international investors who would like to hold ADRs from Latin America in their global portfolios. The study should be of interest to international investors, managers of mutual funds who are exploring opportunities to diversify their global portfolios, managers of corporations who are planning to sponsor the issue of depositary receipts, and to bank managers who provide international financial services.

The primary securities that underlie an ADR may be corporate stocks or bonds. The earliest ADRs (1927) were issued at the request of institutional investors. These ADRs were "unsponsored." Most of the ADRs that are currently listed are "sponsored" programs, issued at the request of the firm whose securities underlie the ADR. When a sponsored ADR is issued, there may or may not be a corresponding creation of new capital. There are four grades of sponsored ADRs. Level I ADRs are traded in the OTC market. Level II ADRs trade on national stock exchanges (such as the NYSE). If new capital is raised during the process of issuing sponsored ADRs, then the ADRs are categorized as Level III and IV. Level III ADRs are listed on national stock exchanges. Level IV ADRs are privately listed, and are usually issued under rule 144A of the US Securities and Exchange Commission.

This study examines the nature and performance of ADRs on Latin American companies. The rest of the paper is structured as follows. Section 2 reviews the literature on ADRs and summarizes pertinent studies in the area of modern portfolio theory. Section 3 examines the sponsorship status, choice of depositary bank, industrial classification, and market listing. Section 4 evaluates the performance of these ADRs on a risk-adjusted basis, using the Morgan Stanley Capital International (MSCI) Europe, Australasia, and Far East (EAFE) Index as a benchmark for comparison purposes. Section 5 concludes the paper.

LITERATURE REVIEW

Different techniques have been used in portfolio performance measurement over time. Recently, Modigliani and Modigliani (1997) did some pioneering work in the area of financial reward and risk. They proposed a new risk-adjusted performance measure (hereafter referred to as, M Squared), which is intuitively quite appealing to investors. The idea that underlies their methodology is to adjust the returns of a portfolio to the level of risk in an unmanaged stock market index and then

measure the returns on the risk-matched portfolio. Separately, academicians and practitioners in finance have shown an interest in downside risk measures for evaluating portfolio performance. The most widely cited performance measure that adjusts for downside risk is the Sortino Ratio (Sortino and Price, 1994). In this paper, we use a modified Sortino Ratio that was introduced by Pedersen and Satchell (2002), who show that this ratio has a sound theoretical foundation.

Academics have studied the benefits of global diversification of investment portfolios extensively. Solnik (1996) presents an excellent summary of these benefits. Officer and Hoffmeister (1987) show that portfolio risk can be reduced significantly by including ADRs in a portfolio of purely domestic (U.S.) securities. Aggarwal, Dahiya, and Klapper (2005) analyze the investment allocation decision of mutual fund managers to invest in emerging market firms that are listed in their domestic markets and have issued ADRs in the U.S. as well. They find that ADRs are the preferred mode of holdings if the local market of the issuer has weak investor protection, low liquidity and high transaction costs, and if the firm is small and has limited analyst following.

The predictability of stock returns in emerging markets has been demonstrated widely. Aras and Yilmaz (2008), for example, report evidence on 12 emerging market countries. Obi, Sil, and Choi (2010) study the South African stock market and document that traditional analytical approaches resulted in poor value-at-risk forecasts during the 2008-2009 global financial crisis. Instead they obtain more realistic value-at-risk estimates by accounting for the effects of time-varying volatility in portfolio returns. Similarly, Muzindutsi and Niyimbanira (2012) examine the exchange rate risk exposure in the South African stock market and the pricing of this risk. They find the exchange rate exposure to be identifiable and yet different across companies.

The motivation for cross-listing shares on foreign exchanges has also been widely researched (Saudagaran, 1988). Umutlu, Salih, and Akdeniz (2007) investigate the consequences of cross listing in emerging markets and find that ADR listing has no effect on the volatility of the underlying stock. On the other hand, Jaiswal-Dale and Jithendranathan (2001) report that the ADRs capture the fluctuations of both the domestic and U.S. markets.

The relation between the price of ADRs and the underlying shares has also been studied thoroughly (Alexander, Eun, and Janakiramanan, 1987; Alexander, Eun, and Janakiramanan, 1988). Jayaraman, Shastri, and Tandon (1993) study the impact of international cross-listings using ADRs. Because ADRs can be exchanged for the underlying shares, financial arbitrage usually ensures that the price of an ADR is within transactions costs of the price of the underlying share. Interestingly, Eichler and Maltritz (2008) model the probability of a currency crisis as a function of the deviation of the ADR price from the price of the underlying stock.

To the knowledge of the authors, this is the first study of the nature and performance of ADRs on Latin American firms, particularly, their sponsorship status, industrial classification, names of banks that are active in this business, and exchanges on which these ADRs are listed. This is also the first rigorous study of the returns that have accrued to these ADRs, from the point of view of U.S. based investors. The results of this study should be of interest to investors and mutual fund managers who are looking for opportunities to diversify their international portfolios, to managers of

Latin American firms who are contemplating sponsoring the issue of these securities in U.S. markets, and to the managers of banks, which provide international financial services.

NATURE OF LATIN AMERICAN ADRS

As of October 2013, there are 197 ADR issues on firms in the Latin America region. 94 ADRs are from Brazil, 41 from Mexico, 25 from Argentina, 14 from Chile, nine from Colombia, eight from Venezuela, five from Peru and one from Ecuador. 193 ADRs are sponsored and four are unsponsored. Regarding the financial institutions that have issued the ADRs, the Bank of New York Mellon accounts for 127 of these issues, followed by J.P. Morgan Chase with 36 issues, Citibank with 19 issues, and Deutsche Bank with 15 issues. Regarding the exchanges on which our sample ADRs are listed, 77 are listed on the NYSE, six on NASDAQ, and one on NYSE Amex; 103 are listed on OTC (other than NASDAQ), eight are listed on OTCQX, and the other two on PORTAL.

With respect to industrial classification, 26 of the ADRs are in the electricity industry; 22 in the banking industry; 16 in real estate investment and services; 12 each in construction and materials, food producers, and industrial metals and mining; ten each in beverages and oil and gas producers; nine in financial services; eight in household goods and home construction; seven in industrial transportation; six in mobile telecommunications; five each in gas, water, and multiutility and support services; four each in chemicals, fixed line telecommunications, forestry and paper, media, and travel and leisure; three in general retailers; two each in electronics and electric equipment, food and drug retailers, general industrials, industrial engineering, and mining; one each aerospace and defense, automobiles and parts, health care equipment and services, and personal goods. All data are obtained from the website of the Bank of New York Mellon.

PERFORMANCE OF ADRS FROM LATIN AMERICA

DATA AND METHODOLOGY

Monthly return data for the three-year period January 2010 - December 2012 will be obtained from CRSP. The return on U.S. 4-week Treasury Bills will be used as the proxy for the risk-free rate. The MSCI EAFE Index will be utilized as the market benchmark.

Monthly returns are averaged over the three-year period to obtain the *Mean return*. Risk-free rate of return is subtracted from the mean return to compute the *Mean excess return*. *Mean excess return* of each ADR is divided by its standard deviation to compute the *Sharpe measure*:

$$S_i = \frac{R_i - R_f}{\sigma_i}$$

where R_i = mean return on ADR i,
R_f = mean risk-free rate of return,
σ_i = standard deviation of returns for ADR i.

Mean excess return of each ADR is divided by its beta to obtain the *Treynor measure*:

$$T_i = \frac{R_i - R_f}{\beta_i}$$

where β_i is estimated from the market model:

$$R_{it} = \alpha_i + \beta_i R_{mt} + e_{it}$$

where $\quad$ R_{mt} = market return during period t,

$\quad$ e_{it} = error term.

$\quad$ Expected return of each ADR is subtracted from its actual *mean return* to compute *Jensen's Alpha*:

$$\alpha_i = R_i - E[R_i]$$

$\quad$ where the expected return for each ADR is obtained using the Capital Asset Pricing Model:

$$E[R_i] = R_f + \beta_i (Rm - Rf)$$

Jensen's Alphas are then tested for statistical significance.

$\quad$ *Mean excess return* for each ADR is divided by the *downside deviation* of that ADR's return from the risk-free rate of return to compute the *Sortino Ratio*:

$$SO_i = \frac{R_i - Rf}{DD_i}$$

where the *downside deviation* is estimated as follows:

$$DD_i = [\frac{1}{n-1} \sum_{j=1}^{n} (\max\{0, R_f - R_{ij}\})^2]^{1/2}$$

$\quad$ *Sharpe measure* is multiplied by the market standard deviation and then the risk-free rate added to calculate the *M Squared measure*:

$$M^2_i = \frac{R_i - Rf}{\sigma_i} \sigma m + Rf$$

$\quad$ Finally, the benchmark standard deviation is divided by the ADR standard deviation to obtain the *Leverage Factor*:

$$L_i = \frac{\sigma m}{\sigma i}$$

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Small and Medium Sized Entities Management's Perspective on Principles-Based Accounting Standards on Lease Accounting

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Abstract: Lease accounting is viewed as one of the top priorities for the International Financial Reporting Standards (IFRS) convergence. Small and medium sized entities are an important part of the economy, and this research investigates the management's perspective on the adoption of principles-based IFRS about lease accounting. This researcher interviewed four managers from three different small and medium sized entities, and found the management to be more concerned about their long-term business success than the change of accounting standards. Only when the entities have a loan with the bank, then the management focuses on the lease classification. The interview also suggests that the managers and business owners in the small and medium sized entities have limited knowledge and skills in accounting reporting standards. These firms outsource their accounting needs to local accountants rather than having their own in-house departments. The other aspect of focus for management of these firms is tax consequence of IFRS adoption. The research suggests other regulatory agencies, i.e., Internal Revenue Service, should also be involved in enhancing financial statement transparency and usefulness after the adoption of accounting standards.

The Sustainability of Pension Systems

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Abstract: Nations of the world feel an obligation and responsibility to plan for and enable financial security for its elderly citizens and retirees. This is a lofty goal, and its objective is not easily attainable due to new economic realities. Factors such as recessions, an increasingly longer life span resulting in a large aging population which results in the need to seek additional sources of funding, and low returns on pension fund investments, will be discussed. The paper also analyzes the various contemporary global pension systems structures as well as the performance outlook of these systems. While stating the necessary need for reform, the paper also identifies some proposed solutions to achieve this reform. Among the solutions discussed are, long term investments in infrastructure projects, increasing employment and investment in green growth projects to address the fiscal unpredictability in today's global, fluctuating economy.

The Status of Electronic Social Networking Implementation at the Fortune 500 Firms

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Abstract: Electronic social networking is becoming more important both as an informal communication mechanism and as an economic driver. This study was undertaken to expand upon previous studies and determine the state of social networking at the largest and most successful corporations, the Fortune 500 firms. A three-step research methodology found that nearly all, 99%, of the Fortune 500 firms have implemented at least one social networking technology with LinkedIn being the most pervasive product. Moreover, the majority of corporations utilize four to six technologies. Finally, results suggest that the Fortune 500 firms are dramatically different than collegiate schools of business in the deployment of social networking technologies both in the type of technology and adoption percentage.

Introduction

It is estimated that 67% of adults in the United States use social media (Brenner, 2013). Individuals ages 18 to 24 have an average of 510 Facebook friends while those ages 55 to 64 have 113 such friends (AARP, 2013). In addition, according to ComScore, social tools account for 20% of all online activities outside of work (Healey, 2013). Not only is social networking an informal communication medium, McKinsey and Company forecasts that $900 billion to $1.3 trillion in annual economic value is created through the use of these social technologies.

The primary technologies include Facebook, LinkedIn, Twitter, YouTube, and blogs. An examination of the monthly unique visitor count demonstrates the popularity of these products. In August 2013, there were 163 million visitors to Facebook, 250 million visitors to Twitter, 41 million visitors to LinkedIn, and 163 million visitors to YouTube (ebizmba.com, 2013; complete.com, 2013). Moreover, in September 2013, Technorati, a blog search engine, tracked 1.3 million blogs, 38,000 of which were business blogs (technorati, 2013).

Social networking and online community building is being planned by 30% of senior marketing executives as the vehicle for deploying new marketing automation (Henschen, 2013). However, a 2011 survey of 200 US-based marketers at medium and large companies indicated that although 97% have adopted social media techniques, merely 20% have social media efforts as a core function of marketing efforts (Forrester, 2011). Moreover, only 14% of companies in a Global CIO survey had completed a major project that incorporated social networks into their company's IT (information technology) infrastructure (Murphy, 2012). In addition, in 2012, just 13% of

organizations had launching or upgrading enterprise social networks on their IT project list (Donston-Miller and Carr, 2012).

Non-IT professionals with external social networking systems of companies have mixed ratings of the success of social networking initiatives. Ten percent rate the initiatives as great with usage strong at all targeted segments and resulting in better service, support, or revenue (Healey, 2013). Twenty-seven percent rate them as good with small pockets of effective use. The primary drivers behind the companies' approach to external social networking are market- driven branding and promotion (56% of respondents), sales-driven desire to increase sales (12% of respondents), support-driven to better understand customer issues (11% of respondents), and integrated plans to bring marketing, sales, and support together (11% of respondents). An *Information Week* Global CIO survey of information technology (IT) executives at companies with one hundred or more employees also found that 38% indicate that sentiment analysis of social network comments is important to building customer ties (Murphy, 2013).

Review of Literature

Researchers have explored a model for understanding trail, adoption, and use. In addition, research has examined usage motivation, successful implementation factors, microblogging at Fortune 50 and Fortune 200 firms, the status of social networking by collegiate schools of business, and university student social networking perceptions and behavior.

In terms of understanding the trial, adoption, and use of new media technologies such as social networking and video sharing, a qualitative analysis of semi-structured interviews was utilized to study the Content Acceptance Model (Barelka, et.al, 2013). Themes as to why these technologies are used include introduction by acquaintance, advertising in mass media, ease of use of technology, perceived cost of technology, entertainment value, informational value, and communication value. Introduction by acquaintance and advertising in mass media are proposed to effect trial. Ease of use and perceived cost of technology are hypothesized to effect adoption. Entertainment value, informational value, and communication value are suggested to influence usage.

Agrifoglio, et.al (2012) examined the role of intrinsic motivation and perceived ease of use in continued Twitter usage. Research findings suggest that users believe that using Twitter can improve their performance or ability to achieve specific goals and, thus, are more extrinsically motivated to continue to use Twitter. In addition, because individuals feel pleasure, enjoyment, and satisfaction using Twitter, they are more intrinsically motivated to continue to use it.

Yang (2012) investigated the determinant factors for the successful implementation of Facebook marketing by enterprises. Research findings suggest that advertising messages provided by close friends only affect consumer brand attitudes, but advertising messages provided by commercial sources affect both consumer brand attitudes and purchasing intentions. Utilitarian and recreational advertising messages affect consumer advertising attitude, brand attitudes, purchasing intentions, and involvement. In addition, consumer involvement partially mediates the effects of utilitarian and recreational advertising attitudes, brand attitudes, and purchasing intentions.

This paper's authors examined the web pages of the 2009 Fortune 50 firms to determine the implementation and usage of Twitter (Case and King, 2011). Results indicated that the majority, 54%, of firms had a Twitter account. Moreover, 37% of these firms had multiple accounts. Although usage

varied by industry sector, 85% of the companies utilized Twitter for news distribution. Twitter was used to a much lesser extent for marketing/promotions, customer service, and human resources.

Another study by the authors examined web pages of the 2010 Fortune 200 firms to determine the implementation and usage of electronic social networking, and in particular, Facebook, Twitter, and blogs (Case and King, 2010). Results indicated that the Fortune 200 firms were embracing the new technologies. Nearly three-quarter of the firms had implemented electronic social networking and 65% of firms had a Twitter account. In addition, 44% of the Fortune 200 made use of at least two social networking technologies. Although participation varied by industry sector, 79% of the companies utilizing Twitter used the technology for news distribution. Twitter was used to a much lesser extent for marketing/promotions, customer service, and human resources.

In terms of university usage, a 2011 study examined web pages at the 600 Association to Advance Collegiate Schools of Business (AACSB) accredited schools of business to determine the implementation and usage of electronic social networking (Case and King, 2011). Results indicated that although 39% of the AACSB accredited institutions utilized electronic social networking, they lagged behind business implementation in terms of percentage of organizations and number of technologies used per organization. Furthermore, only 34% of schools utilized two or more networking technologies. Facebook was the most common technology, utilized by 38% of AACSB accredited schools of business. This was followed by Twitter (30%), YouTube (21%), LinkedIn (20%), Flickr (9%), and blogs (5%) (Case and King, 2012). In terms of institutional control, private institutions were more likely to utilize a given technology and use more technologies per school than public institutions.

A 2012 follow-up study of the AACSB accredited schools of business demonstrated that when compared with the 2011 baseline study, both the percentage of institutions and number of technologies per institution nearly doubled in one year (Case and King, 2013). Moreover, academic program and enrollment size may be factors relative to usage. Finally, institutional control is likely a determinant of behavior as a greater percentage of private institutions versus public institutions implemented each technology. Facebook is the most common technology, utilized by 65% of AACSB accredited schools of business. This was followed by Twitter (57%), YouTube (42%), LinkedIn (32%), blogs (24%), Flickr (17%), and other technologies (16%). In terms of the use of social networking technologies, 70% of undergraduate programs used at least one technology and three or more technologies were implemented by 51% of undergraduate programs.

A similar study was conducted in 2012 but this study examined undergraduate student perceptions and behavior (Case and King, 2012). Results showed that 65% of undergraduates feel that social networking is either somewhat or very important to them. A much larger percentage of females versus males, 18% versus 12%, however, indicated that social networking is very important. Within each academic class, roughly one-half of the undergraduates feel that social sites are somewhat important to them. Although 25% of freshmen indicated that social sites are very important to them, only 10% of seniors, however, feel that social networking is very important. In terms of behavior, social networking is common. Nine of every 10 students indicate visiting social sites. Each week, freshmen spend 20.2 hours, sophomores spend 15.7 hours, juniors spend 10.6 hours, and seniors spend 15.4 hours visiting social sites. Only 12% of students, however, indicated receiving business tweets.

Given the pervasiveness and economic impact of electronic social networking, this study was undertaken to better understand the state of social networking at the largest and most successful

corporations, the Fortune 500.   The research is intended as a baseline for future and more in-depth examinations of these firms.

This study examines several questions. What technologies are employed? Which technologies are the most and least utilized? Are multiple technologies deployed? Are there relationships between the use of these technologies? Finally, is implementation comparable to that of collegiate schools of business, institutions entrusted with the development of the future leaders of the major corporations?

Methods

This study utilized the CNN Money website (2013) list of the Fortune 500 firms to obtain the 2013 Fortune 500 company directory and corresponding company web address. A three-step process was used to determine social networking implementation for each organization in September of 2013. First, each company home page was examined to determine which social networking technologies, if any, are utilized. A preliminary analysis found the presence of nine primary technologies and nine lesser used technologies (identified as "other"). The primary technologies include blogs, Facebook, Flickr, Google+, Instagram, LinkedIn, Pinterest, Twitter, and YouTube. Second, if any of the nine technologies were not found on the home page, the page's search engine was utilized to search for the given technology. Third, if the technology was not found during this search, the technology's website, such as Twitter, was utilized to search for the company. Utilization was then examined to determine the prevalence of each technology and the usage of multiple technologies. In addition, social networking utilization was examined to determine if there were correlations between the use of any two technologies.

Results

A review of the Fortune 500 firms found that nearly all, 97%, of companies utilize LinkedIn (Table 1). The other most implemented technologies include Twitter (76% of firms), Facebook (74% of firms), YouTube (67% of firms), and blogs (53% of firms). The least utilized social networking technologies include Instagram (3% of companies), other (6% of companies), Flickr (6% of companies), Pinterest (8% of companies), and Google+ (17% of companies).

Table 2 details the "other" (least common) social networking technologies utilized by firms. These were implemented by 6.4% of firms and include Forum, Foursquare, iTunes, Mobile Alerts, Slideshare, Spiceworks, StockTwits, Tumblr, and Viggie. The most common programs include Slideshare (8 firms), Mobile Alerts (7 firms), and Forum (6 firms).

Relative to social networking technology utilization, Table 3 illustrates that 8% of the Fortune 500 use only one technology, of which 90% use LinkedIn, 3% use a blog, and 1% use Facebook. Thirteen percent of the Fortune 500 employ two technologies, 13% utilize three technologies, and 65% use four or more technologies. Overall, 99% of the Fortune 500 utilize at least one form of electronic social networking.

Social networking utilization was next examined to determine if there were correlations between the use of the various technologies. Table 4 illustrates that there are correlations significant at the .01 level or .05 level (2-tailed test) for several of the technologies. In other words, for example,

the use of Facebook was significantly positively correlated with the use of Twitter. In particular, LinkedIn was significantly correlated in Twitter and YouTube. Twitter and YouTube were significantly correlated with all technologies with the exception of blogs. Facebook was significantly correlated with all technologies with the exception of LinkedIn and blogs. Blogs were only significantly correlated with Flickr. Google+ and other technologies were significantly correlated with all technologies except LinkedIn and blogs. Pinterest and Instagram were significantly correlated with all technologies except LinkedIn, Flickr, and blogs. And, Flickr was significantly correlated with Twitter, YouTube, blogs, Google+, and other technologies.

Discussion

Results indicate that Fortune 500 companies utilize a variety of electronic social networking technologies. The most common product is LinkedIn, utilized by 97% of firms. Twitter and Facebook are used by approximately three-quarter of the organizations. YouTube is employed by two-third of the firms and blogs by more than one-half of firms. The remaining, but far less frequently utilized, technologies are Google+, Pinterest, Flickr, other, and Instagram. The most common other technologies are Slideshare, Mobile Alerts, Forum, and Foursquare.

In terms of quantity of technologies, 99% of firms utilize at least one social networking technology. In particular, 8% employ one technology, 13% employ two technologies, 13% employ three technologies, 20% employ four technologies, 25% employ five technologies, 15% employ six technologies, and 6% employ more than six technologies.

When examining correlations in the use of multiple technologies, several potential relationships are apparent. Although LinkedIn is the most common technology, its use is only correlated with Twitter and YouTube implementation. Moreover, blogs are only correlated with the use of Flickr. All other technologies have multiple correlations with each other. For example, Twitter and YouTube are each correlated with every other technology except blogs. Facebook is correlated with every other technology except LinkedIn and blogs.

There are three important implications from the study. One finding is that Fortune 500 firms find value in the use of electronic social networking, especially LinkedIn. Not only are nearly all firms using social networking, LinkedIn is by far the most pervasive technology. LinkedIn was even used by 90% of the organizations that deployed only one technology. It is possible that LinkedIn is heavily utilized because of its potential use in recruiting.

A second implication is that organizations need multiple channels or mechanisms to communicate with different stakeholders. LinkedIn may be used in communicating with prospective employees while YouTube may be a tool for marketing company products to potential customers. It is also possible that organizations employ multiple technologies as a result of peer pressure with their competitors. As a result, it may be a competitive disadvantage to not employ multiple technologies. It appears, however, that four to six technologies are the optimum mix as 60% of organizations implemented this range of products. Only 6% of firms employed more than 6 technologies.

A third implication is that the Fortune 500 firms are dramatically different than the AACSB accredited schools of business in the deployment of social networking technologies. There are variances both in the type of technology and adoption percentage. While LinkedIn is used by 97% of businesses, only 20% of AACSB schools utilized the technology. Moreover, 76% of businesses used Twitter while roughly 57% of schools did the same. Facebook was the most common school

technology, used by 65% of schools, but ranked as the third most common, at 74%, by businesses. These results suggest that AACSB accredited schools of business are lagging behind business in social networking and that competitive advantages may still exist for schools. In addition, schools may need to consider more aggressively training students and promoting LinkedIn to students as this is the predominate technology in the business world. Graduates will likely need to establish a profile and social network for their employment search and for future job transitions.

The limitations of this study are primarily a function of the type of research. The study examined social networking from an exploratory perspective but did not delve into specific uses of each technology in each firm. Future research is needed to explore use, to determine the effectiveness of each technology, and to determine why a specific technology is correlated with another technology. Overall, however, the research has provided new insight into understanding the prevalence of electronic social networking in the Fortune 500 organizations.

Author Biographies

Carl Case received his Ph.D. in business computer information systems from the University of North Texas in 1996 and is professor and chair of the Department of Management at St. Bonaventure University. He has been a college educator and professional business information system consultant for the past 31 years. Dr. Case has taught a variety of courses including business information systems, system analysis and design, e-commerce, business telecommunications, accounting information systems, and so on. As a consultant, Dr. Case has developed and implemented over 100 information systems for private, public, and governmental organizations. Dr. Case has also had his research on teams, phishing, electronic social networking, organizational computing behavior, student Internet behavior, and so on published in a variety of academic journals.

Darwin King has taught in higher education since 1971. For the last 30 years, he has been a professor of accounting for St. Bonaventure University and has taught courses in accounting, management, finance, marketing, and information systems. In recent years, Professor King has taught accounting courses including financial & managerial accounting, fraud examination, accounting information systems, auditing, and financial statement analysis. His research interests include accounting history, mission statements, student Internet behavior, timber accounting and taxation, and other general taxation topics.

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Table 1. Overall Social Network Usage

Technology	Percentage of Firms	Number of Firms
LinkedIn	97%	487
Twitter	76%	381
Facebook	74%	368
YouTube	67%	336
Blog	53%	263
Google+	17%	87
Pinterest	8%	42
Flickr	6%	31
Other	6%	31
Instagram	3%	16

Table 2. Breakdown of Other Social Networking Technologies

Technology	Number of Firms
Forum	6
Foursquare	5
iTunes	2
Mobile Alerts	7
Slideshare	8
Spiceworks	1
StockTwits	1
Tumblr	4
Viggie	1

Table 3. Usage of Multiple Social Networking Technologies

Type	Percentage of Firms	Number of Firms
Only 1 Technology	8%	42
Uses 2 Technologies	13%	64
Uses 3 Technologies	13%	66
Uses 4 Technologies	20%	101
Uses 5 Technologies	25%	124

Type	Percentage of Firms	Number of Firms
Uses 6 Technologies	15%	73
Uses 7 Technologies	4%	19
Uses 8 Technologies	1%	7
Uses 9 Technologies	1%	3
Total	99%	499

Table 4. Social Networking Pearson Correlations

	LI	TW	FB	YT	BL	G+	PI	FL	OT	IN
LinkedIn	.1	.145**	.073	.127**	-.004	.009	.004	.042	-.010	.030
Twitter	.145**	1	.571**	.550**	.081	257**	.135**	.144**	.144**	.102*
Facebook	.073	.571**	1	.596**	-.005	.251**	.181**	.098*	.135**	.109*
YouTube	.127**	.550**	.596**	1	.062	.276**	.165**	180**	.162**	.127**
Blog	-.004	.081	-.005	.062	1	.013	.013	.128**	.045	.036
Google+	.009	.257**	.251**	.276**	.013	1	.165**	.101*	.210**	.156**
Pinterest	.004	.135**	.181**	.165**	.013	.165**	1	-.078	.221**	.437**
Flickr	.042	.144**	. 098*	.180**	.128**	.101*	-.078	1	.209**	.000
Other	-.010	.144**	.135**	.162**	.045	.210**	.221**	.209**	1	.095*
Instagram	.030	.102*	.109*	.127**	.036	.156**	.437**	.000	.095*	1

** Correlation significant at the .01 level (2-tailed)

* Correlation significant at the .05 level (2-tailed)

Thorstein Veblen's Rabbit Hole: Make-Believe Capital Valuations, Legitimations and Bailouts
Dr. Craig Medlen

"Given time and sufficiently exacting run of experience, and it will follow necessarily that much the same *standards of truth and finality* will come to govern men's knowledge and valuation of facts throughout; whether the facts in question lie in the domain of material things or in the domain of those imponderable conventions and preconception that decide what is *right and proper* in human intercourse." (Italics added)

(Veblen, *The Vested Interests,* [1919], 2002, p.7)

The present essay discusses Thorstein Veblen's insights into the pecuniary "standards of truth and finality "of the modern age and how his conception of such standards illuminates recent corporate scandals, blow-ups and expediently devised support for large failed corporations.

The voluminous literature surrounding recent scandals, (e.g. Enron, World Com. Alliance Capital Management LP, Tyco, Global Crossing)[4] and bail-outs (e.g. General Motors and assorted Wall Street banks)[5] generally attribute recent behavior to an admixture of corporate greed, managerial arrogance, fraud, inadequate regulation and a financial turnstile whereby public officials trade places with top financial managers. Such attribution pejoratively describes what should be explained. The present essay highlights Veblen's belief that an ethical vacuum surrounds modern pecuniary culture, whereby the boundaries of business conduct exhibit an extraordinary flexibility to accommodate monetary gain. Ethical behavior, in the form of honest dealing and truth telling, requires an allegiance to truth which (minimally) can be discerned. In Veblen's understanding, pecuniary culture fuses "make-believe" and truth to the point that it is oftentimes impossible to uncouple one from the other. [6]Veblen never explicitly discussed the relationship of a "make-believe" culture to ethics. Nevertheless, Veblen's understanding of "make-believe" substantiates his verdict that a pervasive ethical lacuna exists within a pecuniary culture. "Make-believe" undermines reason itself and consequently the ability to discern right from wrong. Most importantly, life inside a pervasive "make-believe" world makes problematic the very notion of what a pecuniary ethics might mean and undermines even the attempt to understand the concept.

Recent scandals based on 'mark to market' accounting, establishment of overseas tax accounts, conversion of debt to equity through minority-interest affiliates, use of "prepays" through lender affiliates, differential corporate reporting to various government agencies, pecuniary settlement of possible criminal activity and the bail-out of the Wall Street elite have often involved legally licensed deception and obfuscation as well as outright fraud. These legal and flexible boundaries suggest the capture of politics by corporate elites. But through a Veblenian lens these legal boundaries also testify to a "make-believe" culture whereby the fusion of truth and make-believe dissolve any firm foundations for ethical behavior. Lack of ethical foundations for legal guidance allows the construction of legal vessels of legally permissible "fraud," deception and legally expedited support for financial elites.

According to Veblen, the fusion of "make-believe" and truth permeates every aspect of pecuniary life. Such fusion might seem obvious in the case of marketing and sales, and Veblen often commented on such creative endeavors. But Veblen went further. He maintained that a "make-believe" effluent flowed out of the very foundations of a modern business system, with its "make-believe" future earnings, capitalized valuations and spiritual aura surrounding pecuniary elites. Veblen maintained that the conflation of "make-believe" and truth arrived when finance transformed

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[4] Jerry W. Markham gives an overall snapshot of scandals in his *A Financial History of Modern*

U.S. Corporate Scandals: from Enron to Reform (2006). For Enron in particular, see Peter Elkind and Bethany McLean (2013).

[5] The literature is a long one. For starters, consult, Bethany McLean and Joe Nocera (2010); Andrew Ross Sorkin,(2009); Joseph Stiglitz,(2010). On the General Motors bail-out, see Steven Rattner (2010).

[6] In perhaps his most explicit statement, Veblen wrote: õThere is no place in Big Business for considerations of a more material sort or of a more sentimental sort than net gain within the law. It moves on that particular plane of *make-believe* (italics added) on which the net gain in money-values is a more convincing reality that productive work or human livelihoodö (Veblen,[1923},1964, p. 217).

industry into the modern corporate form of trusts and monopoly. This transformation involved a new discounted stream conception of "capital" whereby capital's valuation was determined by the "make-believe" putative earnings of the future rather than by its cost of production. I argue below that some large part of recent scandals and blowups can be traced to such capital valuation. Along lines set out by Veblen I also argue that pecuniary "make-believe" contributes to a spiritual deference that largely exempts financial elites from ethical scrutiny and responsibility. In short, I maintain that Veblen's historical position gave him insights into modern ethics and culture that are particularly relevant today.

    In the first section I explore Veblen's contribution to understanding "make-believe" valuations and relate this "make-believe" to outright Ponzi arrangements and recent implosions in the current financial structure. In the second section, I explore Veblen's assessment of the "make-believe' legitimations relevant to ownership, the propertied rich, and Veblen's "princes of finance."

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1

"Make-Believe" Valuations.

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   "According to the traditional view, which was handed on from the period before the coming of corporation finance,…"*capital" represents the material equipment, valued at its cost*, together with funds in hand required as a "working capital" to provide materials and a labor force"[italics added]

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Veblen, [1919], 2002, p. 47)

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     In the competitive phase of the nineteenth century capital was valued by cost rather than by prospective future profits. The conjoining of various markets by the railroads put numerous firms in competition with one another. Prices—as indicated, for example, by the wholesale price index— fell over decades (Ralph L. Nelson, 1959, p.81). New entrants, with the best capital equipment available, would undercut rivals and make existing capital installations obsolete. Profits that depended on such capital advantages, however, could only temporary as even newer vintages of capital would soon arrive. According to Veblen, obsolescence made "…depression …normal to the industrial situation under the consummate regime of the machine, so long as competition is unchecked and do *dues ex machine* interposes" (Veblen [1904], 1978, p.255). The price declines and liquidations that were one with competition could only be countered through monopolistic consolidation that promised higher profits, both now and in the future. According to Veblen, "The trust-maker is in some respects a surrogate for a commercial crisis" (p. 128).

     Veblen had a front row seat on the Great Merger Wave of 1895-1904. He witnessed firsthand how the consolidations brought forth new valuations of capital based on discounted streams of unverifiable prospective earnings and how these "valuations" supported increasing amounts of debt. The new finance of discounted streams merged both tangible and monopolistically derived intangible assets such as goodwill so that there was "…a blurring of the distinction between tangible assets and intangible assets…" (Veblen, [1919], 2002 p. 49). Writing three years before the great crash of 1907, Veblen noted how expanded debt operations financed both the "deal" (merger consolidations) and the "augmentation of debentures" which allowed the "chance of gain" to the promoter, the credit house and the stockholder (Veblen, [1904], 1978, p.120). But Veblen also understood the financial precariousness of debt backed by "intangible" putative earnings. Anticipating John Maynard Keynes' description of the volatile nature of stock exchange wealth (Keynes, [1935], 1953, p.153), Veblen noted that "The precise pecuniary magnitude of the business community's invested wealth, as well as the aggregate amount of the community's indebtedness, depends from hour to hour on the quotations of the stock exchange…(p. 131).

The capitalization figures resulting from monopolistic restriction of output typically exceeded by wide amounts the tangible value of the property involved. [7] In his *Theory of Business Enterprise* (1904), Veblen noted that the very term "intangible" …signifies among other things that these assets are not serviceable to the community but only to their owners." (p.139). Moreover, as corporate managers often bought and sold stock, it was in their interests…that there should be a discrepancy …between the actual and putative earning capacity of the corporation's capital so that they might gain by insider trading (p.139). As insiders, managers could, by hiding information or dispensing misinformation, bring about self-validating gains (p.156). Since a present value reward accrues to enlarged future hopes, there was a decided tendency to error on the side of optimism. But not always. In contemplating the salesmanship of vendible securities, Veblen noted that it was a "…rule of this class of business traffic to cultivate appearance,– to avoid, or sometimes to court, the appearance of sin"(p.161). Deceit was endemic to such traffic: "…the course of industrial affairs is, in great measure, if not altogether, guided with a view to a plausible appearance of prosperity or of adversity, as the case may be. .. A convincing appearance of decline or disaster will lower the putative earning-capacity of the concern below its real earning-capacity and so will afford and advantageous opportunity for buying with a view to future advance or with a view to strategic control" (p.161). On the optimistic side, high security prices would allow more and more printing of equity and an enlarged capacity to obtain credit on good terms. Optimistic assessments therefore allow an increased acquisition of the requisite monetary means to make real "make-believe" future assessments. Success becomes the criterion that validates truth. In contrast, failure of "make-believe" assessments might invite the retrospective suspicion that a previous optimism was but an instance of fraud.

Veblen even considered the validation of "make-believe" as a force for honesty, as the effort to keep the "fictitious" capitalizations intact would require businessmen to bring "…current earnings up to the mark" (Veblen, [1923], 1964, p. 220). Such honesty, however, would often require the maintenance of price controls consonant with the monopolistic restriction of output.

Veblen's use of the adjective "putative" throughout his works makes clear that he considered discounted streams as tautological imputations of prospective returns that equilibrated future prospects to present value. Although crediting Irvine Fisher as the initiator of a discounted streams concept, (Veblen, [1908],1998, p. 159) the discount concept constituted a simple equity analogue of bond finance where the present value of bonds represented discounted future payments. Unlike bond finance with specified streams of earnings, however, imputed streams accruing to equity could not be observed. Consequently, the concept of discounted equity streams was beyond any possibility of empirical test that could verify psychological beliefs concerning the future.

Ponzi Finance and "Make- Believe" discounted streams

The pure Ponzi depends on fraud and fakery to entice a fresh influx of investors to make prior obligations whole. A capitalized stream imagines a future, or depends on a concocted version of the future that is amenable to the selling of securities. The difference between a pure Ponzi and discounted streams, therefore, largely rests on the difference between current financial figures based on intentional deceit and current financial figures based upon illusory potential. The recent series of

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[7] In 1905, Veblen wrote that it was not unusual õí to incorporate a business concern at a nominal capitalization of about 200 percent of the current market value of the underlying propertiesí ö (*Journal of Political Economy,* Vol. XIII, June 1905, reprinted in *Essays in Our Changing Order,* 1998, p. 119.)

faked or hidden data contained in the Enron and other scandals support recent charges that the scandal-ridden engaged in outright Ponzi schemes. The faked data, hidden liabilities, off balance sheet Special Investment Vehicles allowed higher stock prices that would have otherwise obtained and allowed the printing of still more stock which was converted into what Veblen repeated termed "free income"[8] in the form of stock bonuses, higher managerial compensation, capital gains to absentee owners of both acquiring firms and their acquisition targets. As demonstrated by the Bernard Madoff incident, even a pure Ponzi can exist for decades. It was the eventual *failure* of the various scandal- ridden firms – brought about by whistle-blowers or recession –that brought the Ponzi schemes down. Analogous to a bank run, discovery of "make-believe" data drove investors to sell off, which brought the internal printing of money to a halt.

Once exposed, outright fakery is recognized immediately as fraud. But Veblen's understanding of a capitalized "make-believe" future houses a more pernicious variant of imaginative creativity than simple fraud. Such "make-believe" is essentially incurable, beyond ethics and law. Veblen often characterized pecuniary behavior as "blameless," which might suggest that Veblen's tongue was stuck to his cheek. But Veblen's "blameless" characterization should be taken in a literal sense. In an era where pecuniary truth meshes with fantasy, questionable but "blameless" conduct would appear as a natural result, particularly for those involved in pecuniary pursuits. The recent controversies surrounding the major rating agencies of Moody's, Fitch and the S&P, revealed the conflict of interest between those who rated and the Wall Street banks who both held the securities to be rated and paid those who constructed the ratings. Such conflict of interest might well be condemned and proscribed. But agents of the rating agencies maintained that the AAA designation on many of the securities were simple "opinions" that reflected recent data on rising real estate prices. The Justice Department filed suit against Standard and Poor's for falsifying ratings. As reported in the Wall Street Journal, the defense of Standard and Poor's will rest on the conformity of its projections with "…government agencies, financial institutions and other experts" (WSJ, February 6, 2013 A1-A3). But if real estate prices had maintained their previously rapid growth path, those who produced ratings could have truthfully maintained that their AAA designation reflected known conditions. Recent suits and ongoing settlements involving Citibank, Goldman Sachs, Wachovia, Bank of America, AIG and the J.P Morgan Company surrounded the question of whether these financial institutions hid or overstated the value of mortgage-backed assets and derivatives. In these cases, the question of transparency might well be a question of outright fraud. But quite apart from fraud and deliberate misrepresentation the value of these instruments could only be assessed in relation to economic conditions. It took the fallout of the Great Recession to fully assess the risk of sub-prime financial products. In the recent downturn, Veblen's designation of "make-believe" capitalizations would seem fully substantiated. But such substantiation could only come retrospectively. In understanding that downturns would produce retrospective assessments that turned truth into "make-believe," and possible fraud, Veblen stood ahead of his time.

Pecuniary settlement of cases involving possible fraud is now an ongoing exercise. Given that regulatory bodies are underfunded and prosecutorial litigation costs are quite large, this lapse of prosecutorial effort might be explained by simple expediency and an unwillingness of Congress to

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[8] Veblenøs use of the term õfree incomeö becomes increasingly apparent in Veblenøs later works, particularly in *Absentee Ownership* [1923], 1964). See for example, pages 72-80.

adequately fund the prosecution of white collar crime. Yet, added to the expediency argument are the difficulties of differentiating "make-believe" valuations from fraudulent assessments. As "make-believe" discounted streams provide the *legitimate* standard upon which assets are assessed, deliberately made-up assessments can be understood as a criminal variant on an illusory theme. The settlement involving the J.P Morgan Company's relationship to the Ponzi scheme of Bernie Madoff is a case in point (WSJ, Jan 24/14,C1-C10). The question of associative guilt surrounding the Madoff scandal certainly involves the question of whether the J.P. Morgan Company knew about Madoff's faked returns. Through a Veblen lens, however, that which is faked and that which is part of *legitimate* "make-believe" involve a significant overlap of illusion and hope. Beliefs are "blameless" as there is no "truth" of an unknown future upon which present beliefs can be judged. That Ponzi artists prey on investors' beliefs can hardly be surprising when "mark to market" valuations based on unknown discounted streams provide what prominent accountant Ray Ball has termed the "gold standard for preparing financial statements." (Bloomberg Personal Finance; http://www.bloomber.com/news/2012-05-02)

Veblen died just months before the Great Crash of 1929. Although fully anticipating the instability in a financial structure of "make-believe" valuations, he never forecast the Depression itself. Indeed, in noting that the Federal Reserve helped the "…pooling and syndication" of the great banks and industrial concerns of his era, he surmised that this "self-balanced whole [became] closed and unbreakable, self-insured against all risk and derangement" (Veblen, [1921], 1963, p.70). Although wrong the first time around, Veblen , were he alive today, would no doubt feel himself vindicated by recent events. The recent bail-outs by the Federal Reserve and Treasury, extensively documented by the Council of Economic Advisors [9] and the New York Federal Reserve Bank [10] show how closely the regulated are to the regulated, and how in the "public interest" of avoiding total devastation, the former serve the latter. The turnstile whereby top executives turn into top government officials and vice versa would hardly have surprised Veblen given that the majority of the Federal Reserve banks directors were then (as now) appointed by the banks themselves. While the publicly appointed Board of Governors provided oversight of the discount facility, the bank- managed Federal Reserve banks initiated the discount rates through which banks loans were obtained. This Federal Reserve interlock of public officials with the banks extended into the Treasury itself. The depositing of public monies into troubled national banks by Leslie Shaw in 1902 and George B. Cortelyou in 1907[11] allowed Veblen to witness firsthand how Secretaries of the Treasury would stabilize monetary institutions and trusts. The recent appointments of banking executives (Hank Paulson) and Federal Reserve officials (Timothy Geithner) as Secretaries of the Treasury, would, to Veblen, appear as déjà vu.

2

Bail-Outs and Turnstiles

[9] õRescuing the Economy from the Great Recession,ö ch.2, Economic Report of the President February2010.

[10] õFederal Reserve Policy Responses to the Financial Crisis,ö Economic Policy Review, May 2011, Vol. 17, number 1.

[11] Milton Friedman and Anna Schwartz, 1963,pp. 149-151; John Kenneth Galbraith, 1975, p. 140

The Spiritual Animisms underlying Ownership and Make-Believe Claims

The recent public bailout of the financial system involved public expenditures of hundreds of billions of dollars and in terms of public commitments and guarantees, the bailout involved trillions of dollars. Neil Barofsky (2012), special inspector general in charge of bail-out spending, calculates that at one point government program commitments hit 4.7 trillion dollars, not including the government obligations behind government sponsored entities. (p. 162)

The commitment of public monies in support of the economy were directed at private balance sheets without any explicit quid pro quo as to how the monies and commitments were to be used.

Of course, the injected monies and guarantees were to facilitate an expanded level of lending to help avoid foreclosures and to help economic recovery. But, given the level of uncertainty and the troubled balance sheets of banks, such expansion was minimal. The large banks that received fresh money in return for toxic assets and bonds stored a huge share (over two trillion dollars in 2013) in the reserve accounts at the Federal Reserve. The Federal Reserve even paid interest on the fresh money. Control over the interest rate at the Federal Reserve was to facilitate control over a possible monetary flood of money into the economy were the economy to expand. But as payments for toxic assets, the interest payments also constituted rewards for doing nothing. The large banks also used public monies to facilitate consolidation so that the "too big to fail" problem that stood at the root of the crisis replicated itself at a higher level. Public monies were also used for high compensation packages ranging in the millions of dollars per executive[12]. Sanctity of Contract provided the rationale for these packages. In addition, public monies were funneled into lobbying and campaign efforts designed to stymie regulatory efforts and facilitate expanded subsidization. The Federal Reserve used various quantitative easing programs not just to expand the money stock but to continue the Troubled Asset Relief Program (TARP) under another name by putting more and more sub-prime assets onto the Federal Reserve's balance sheet.

Veblen would have considered the use of subsidies and bailouts in support of the business system—construed as the common good – as particularly perverse, but perhaps predictable. Among other support arrangements, he observed firsthand the massive giveaways of land to the railroad interests as well as the wholesale leasing of public lands to timber and mining interests. Veblen would understand the use of government officials and politicians by pecuniary elites as a continuing exercise. In *The Theory of Business Enterprise,* 1904, Veblen wrote that "Representative government means, chiefly, representation of business interests" (p. 286). Veblen might well have used his inimitable sardonic tone to highlight the speed in which the Bush-Obama administrations orchestrated the bailouts, for "The degree in which a government fails to adapt its policy to…business exigencies is the measure of its senility" (p. 287). In light of his understanding that democratic government served as political cover for the privileged elite, the extraordinary amounts of lobbying monies funneled into top law-makers, including the majority of the Senate Banking Committee (John Bellamy Foster and Hannah Holleman, 2010, p.17) would hardly have surprised Veblen either,

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[12] The Wall Street Journal (January 29,2013, C3) reports that over half of sixty nine executives received over three million dollars for 2012, with some executives receiving over nine million dollars.

Veblen might well have understood the "Occupy" movement as a futuristic incarnation of those "vulgar" personages of his own day possessed of "socialistic or anarchistic notions "(Veblen [1904], 1978, p. 287). But the overall public acceptance of the bailouts, he would also understand. He once noted that "…in some occult way, the material interests of the populace coincide with the pecuniary interests of those business men who live within the scope of the same set of governmental contrivances."[This] "…uncritically assumed solidarity of interests," was, for Veblen "…an article of popular metaphysics" (p.286). That he could designate as "popular metaphysics" the false identification of the underlying population with elites showed his understanding that humans would ascribe some type of causal usefulness to elites even when such usefulness was patently absent, or indiscernible. Financial elites didn't just take the credit; the credit was foisted upon them. Under a pecuniary order, financial "achievement" was understood as "…great deeds according to that fashion of exploits that has the vogue for the time being… [that]…will of itself create distinction and erect a personage" (Veblen, [1919], 2002, p. 117). According to Veblen, those at the top of the social order were "…exalted personages created ad hoc by incantation [and} were of something less than no use to the common good, that at the best and cheapest they were something in the nature of a blameless bill of expense "(p. 117).

Beyond all else, he certainly would have understood the sacramental deference accorded to private ownership, even when such ownership derived from public largess. For Veblen such deference had a spiritual component dating back to feudal times. For Veblen, elites represented what was canonically "right and good" not so much by written or spoken word but by ceremonial observances, behavior and dress that demonstrated their own superior standing in a social system that was to be taken as given. Elites were "right and good" by the evidentiary fact that they stood at the top of the social order. That elites were "right and good" reflected an implicit understanding that the given social order with its laws and customs was also "…eternally right and good" as they were "grounded in a system of time-worn principles– immutable principles of immemorial antiquity…" (Veblen, [1919], 1964 p.15). Veblen's repeated references throughout his writings to the "immutability" of the social order was sardonically formulated and expressed not only the limited memory of a human lifetime but the irrational deference that humankind was to accord both to elites and the ownership principle that stood at the base of the social order.[13]

Were Veblen alive today he would no doubt understand the bailed-out personages and firms as the privileged recipients of monies by reason of their superior standing. According to Veblen, financial elites wrapped themselves in a quasi-religious spiritual aura. Veblen wrote that "…the princes of solvency and free income no more doubt their own excellence and utility than the princes of the divine grace or the prelates of the divine visitations have done in their time…."(Veblen, [1923],1964, p. 15). This superior standing was evidenced by the hundreds of billions that they presided over and received. That the common good surrounding the economy could be marshaled in support of failed (but superior) persons and firms signaled a new subservience to pecuniary ends. Of course, Veblen might well be surprised by the extension of big finance from railroads and consolidations in pursuit of monopoly to home mortgages, home equity and consumer credit. He

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[13] . This spiritual bias permeated all types of ownership claims. In regard to the ownership of natural resources, Veblen asserts that õThese owners own these things because they own them.ö Although ownership by divine right ran at õcross purposesö to the Natural Rights of handicraft ownership, it is õí securely incorporated in the established order of law and custom. It is, in effect, a remnant of feudalism; that is to say, absentee ownership without apology or after-thoughtö (Veblen, [1919],1964, p.51).

might also be taken back by the complex derivative market where financial firms could bet on other bets while insuring against losses. It is hard to fully assess how he would assess Alan Greenspan's rationale that such gambling "unbundled" risks so as to allow them to be "transferred to those most willing to assume and manage each risk component." [14]But, given the financial blow-up and Veblen's attitude towards "intangible" valuations in industry, "make-believe" putative returns, and the "free income" accruing to investment bankers and absentee owners from the putative returns, it is highly likely that he would assign his familiar phrase "something-for-nothing" to the entire gaming network, or coin a new phrase along the lines of "something-in-exchange-for- the continuation-of-pecuniary instability."

A Concluding Note

Scandalous behavior is generally portrayed as an attack on the social order. But, at a more fundamental level, such behavior acts in defense of the social order. Scandalous behavior gives the appearance that ethical and legal norms of what "is right and proper"(Veblen,[1919],2002 p.7) are still functioning as ethical and legal reference points, and that regulatory agents are on the beat. As right and proper conduct is intimately bound up with the given social order, legitimation of the social order derives paradoxical support from scandalous display, particularly when the latter results in failure or indictable offense. It is this legitimizing function that explains why recent scandals have received such pronounced attention in the most conservative of media outlets, such as *Forbes* and the *Wall Street Journal*. Failure in the context of scandal and indictable offense puts the spotlight on personages, rather than the economic system. Scandalous displays through failure suggest that success might immunize against expose. Failure and indictable offense suggest that an additional dose of regulation or the replacement of miscreants might be curative.

However, the protective function of scandal cannot be entirely effective when the shield reveals the underlying social order. Like in his own day, Veblen would understand the exacting roles played out by pecuniary elites in a world where "make-believe" hollows out any explicit ethical precepts that might constrain the pursuit of monetary gain. Pecuniary settlements are possibly the best exemplars of this hollowing out. In preventing full disclosure of any possible scandalous or criminal activity, such se lements testify to the largest scandal of all— that money can buy exemption from law and ethical scrutiny.

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Cultural Adaptation Mediates the Relationship Between Reflective Leadership and Organizational Performance for Multinational Organizations

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Abstract: The purpose of this research was to test Castelli's (2012) model of Reflective Leadership (RL) for use in multinational organizations. The study also tests whether the effects of RL on organizational performance are mediated by cultural adaptation. Results, based on 663 responses to a unique survey instrument developed for this study, demonstrate that three components of RL (openness, purpose and challenging beliefs) improve organizational performance (sales, profits and meeting organizational goals) and that performance improvements are mediated by cultural adaptation.

Key Words: Reflective Leadership, Global Leadership, Cultural Adaptation, Organizational Performance

Introduction

Participating in emerging markets is essential to the success of multinational companies in today's global economy where 30 percent of the $72 trillion world output is traded across international boundaries (World Economic Outlook, 2013). Leaders of multinational firms must adapt their companies' cultures to the needs of local consumers, employees, suppliers, and communities to succeed in increasingly competitive markets around the globe. Global organizations

must be able to operate effectively in different economic, political, legal, social, ethical, cultural, and spiritual systems (Mercer & Wyman, 2008). Thriving organizations must formulate and implement globally integrated strategies that address the challenges of increased diversity, uncertainty, ambiguity, complexity, and the accelerated pace of market, social, and technological change that characterize the global economy today. Successful leaders must adapt their strategies, business policies and practices, values, and beliefs to local market conditions, often in several nations simultaneously (American Management Association, 2008). Cabrera (2012) captures the cultural and institutional challenges confronting global leaders,

> Global leaders utilize their understanding of cultural and institutional nuances and their global connections to create new forms of value….[T]ruly global leaders act as bridge builders, connectors of resources and talent across cultural and political boundaries — relentlessly dedicated to finding new ways of creating value. They don't just think and act global, they *are* global (p. 1).

Reflective Leadership (RL) is characterized by learning from reflecting on past experiences. Experiential learning enhances the firm's ability to adapt its strategies, policies, and business practices to local conditions in diverse markets around the globe. It is particularly important to multinational organizations that must learn to adapt to the customs, values and cultures of the many nations where they conduct business. The theoretical RL model developed by Castelli (2012) describes the actions leaders can take to capture and utilize the firm's collective experiences to enhance its ability to adapt to diverse cultures in transnational organizations (see Figure 1).

Castelli's (2012) original RL model consists of five constructs (openness, purpose, meaning, challenging beliefs and ongoing dialogue and feedback, Figure 1) leaders can use to capture, disseminate, and utilize past experiences to improve a firm's performance. Reflective leaders create a non-threatening environment in which followers can openly discuss both positive and negative experiences in the spirit of learning (openness). They relate these experiences directly to the organization's goals to maximize their contribution to competitive advantage (purpose). Reflective leaders encourage followers to learn from their past experiences to improve their future conduct, behavior and performance by encouraging followers to extract the meanings of these experiences (meaning). Leaders challenge followers to recognize, understand, and appreciate different value and belief systems, and to question their own values and beliefs as a result of their experiences (challenging beliefs). Finally, reflective leaders ensure continuous learning from accumulating experiences by maintaining ongoing dialogue with constructive feedback (ongoing dialogue and feedback).

The purpose of this research was to test Castelli's RL model (2012) to determine if RL improves the performance of multinational organizations. A unique survey instrument was developed for this study in which three of the five components of RL (openness, challenging beliefs and purpose) were shown to predict organizational performance. This reduced model is used for the present study. The second objective was to determine whether RL's effects on organizational performance are mediated by its enhancements to the ability of the firm to adapt its policies and

practices to local cultures (Cultural Adaptability, CA). Mediation occurs when the effects of an independent variable (IV) on its related dependent variable (DV) flow through an intervening variable known as a mediating variable (MV). In the case of full mediation, all of the effects of the IV on the DV can be attributed to changes in the MV brought about by the IV. In other words, there is no direct effect of the IV on the DV. In the case of partial mediation, a portion of the effect of the IV on the DV can be explained by changes in the MV caused by the IV. For example, Schaubroeck, Lam & Peng (2011) demonstrated that the effects of transformational leadership on team performance occur when the team trusts the leader. Transformational leadership creates trust which improves team performance.

A large number of mediators of the relationship between RL and organizational performance likely exist. RL may improve creativity resulting in better products and services and more efficient work methods. RL may enable employees to identify new ways of performing their jobs that reduce costs or improve product quality. RL may encourage employees to simply work harder. RL may enable employees to adapt to the needs of the local cultures in which the organization operates and sells its products and services. This cultural adaptability is particularly important for multinational firms. Understanding the method by which such firms can better meet the needs of their customers is enormously beneficial. The current study examines whether CA mediates the relationship between RL and firm performance measures. The conceptual model for this study is shown in Figure 2.

Reflective leaders create safe environments in which their employees can discuss the mismatch between the initiatives, policies, products, and services of the organization and the culturally-determined needs of populations of clients and customers. Reflective leaders further cause their employees to challenge the existing policies and methods (assumptions) of performing their work and to reflect on whether the products and services the organization provides are meeting the needs of their clients and customers. Finally, reflective leaders remind employees of the critical role they play in organizational success. As the employees in an organization, and the organization itself, adapt to the specific cultural needs of their customers, organizational performance should improve.

Review of the Literature

Jack Mezirow (1978) introduced the concept of transformative learning to the field of adult education as "an approach to teaching based on promoting change, where educators challenge learners to critically question and assess the integrity of their deeply held assumptions about how they relate to the world around them" (p.xi). Transformative learning is a multi-faceted theory that encompasses elements from adult learning, instructional design, experiential learning, and the social sciences (Castelli, 2011). The later concept of experiential learning has been expanded and refined over the years, in the context of reflective learning in the field of adult education (Schön, 1983; Brookfield, 1995; Mezirow & Taylor, 2009). Practitioners (Cranton, 2002, 2006; Fisher-Yoshida, 2009; Fisher-Yoshida & Geller, 2008, 2009) have also integrated reflective learning into academic and work experiences and, according to Taylor (2007), the use of reflective learning has expanded internationally.

Although the concept of reflective leadership is not new, it has quickly gained momentum with the rapid onset of globalization where understanding multiple cultures is critical to the multinational firm's success. The ability to adapt to local cultures is a major competitive advantage, especially for multinational organizations. The multi-billion dollar loss from Wal-Mart's failed efforts to penetrate the German market from 1997-2006 was largely due to the company's failure to adapt its successful U.S. business policies and practices to German culture, markets, and labor laws (Christopherson, 2007). Indeed, the rapid onset of globalization has made understanding culturally diverse business settings and the ability to adapt policies and practices to them critical to organizational success (Ng, Van Dyne & Ang, 2009). According to Gurdjian, Halbeisen & Lane (2014), "The ability to push training participants to reflect, while also giving them real work experiences to apply new approaches and hone their skills, is a valuable combination in emerging markets" (p.3). The continuous and dynamic cycle of learning is particularly critical for global leaders given the uncertainty and complexity of operating in numerous, diverse cultures.

The proposed relationships among RL, CA and organizational performance produced several hypotheses from the model.

H1a-c: An open and safe environment is associated with increased goal attainment, sales and profits.

H2a-c: Challenging beliefs and assumptions is associated with increased goal attainment, sales and profits.

H3a-c: Purpose is associated with increased goal attainment, sales and profits.

H4a-c: The effects of an open and safe environment on organizational goal attainment, sales and profits are mediated by cultural adaptability.

H5a-c: The effects of challenging beliefs and assumptions on organizational goal attainment, sales and profits are mediated by cultural adaptability.

H6a-c: The effects of purpose on organizational goal attainment, sales and profits are mediated by cultural adaptability.

Methods

The purpose of the study was to test the predictive validity of Castelli's (2012) model of reflective leadership and the mediating effects of CA on organizational performance. The three-factor RL instrument (Safe and Open Environment, Purpose, and Challenging Assumptions) was used to measure reflective leadership. Open and Safe Environment (Cronbach's alpha = 0.96), Purpose (Cronbach's alpha = 0.91), and Challenging Beliefs and Assumptions (Cronbach's alpha = 0.93) each consist of five items. Similarly, Cultural Adaptation (Cronbach's alpha = 0.90) consists of five items. The resulting CME Reflective Leadership Instrument is shown in Appendix A.

The survey instrument was administered to respondents who were members of professional groups on LinkedIn (Castelli, Egleston & Marx, 2013) representing a variety of leadership, international management, business, industry, academic, and non-profit interests. Participation was voluntary and the survey was anonymous. Participants indicated the extent to which their leader engages in each of the behaviors included in RL and CA on a four-point scale (never, some of the

time, most of the time, always). Organizational performance was measured with three items assessing prior-year sales, profits, and achievement of organizational goals on a five-point scale (substantial decline to substantial improvement).

Results

A total of 745 people answered at least one question in the survey. Complete responses were received from 663 respondents which were retained for the analyses. The sample consisted of 341 men and 269 women (53 participants elected not to answer this question) from more than 60 countries (approximately 40% of the sample reported being from the United States). The average respondent was 48.7 years of age with 8.75 years of international business experience. Means, standard deviations, reliability estimates and correlations between the variables in the study are reported in Table 1.

Hypotheses 1 through 3 were tested using Pearson's product moment, one-tailed test. As can be seen in Table1, all nine tests yielded statistically significant results (all p-values less than 0.00 and in the predicted direction). The results provide a strong validation of the Castelli (2012) model of reflective leadership (Egleston, Castelli & Marx, in press).

Hypotheses 4 through 6 were tested using the Sobel test. Although bootstrapping has recently come into fashion when estimating indirect effects (Bolen & Stine, 1990; MacKinnon, Lockwood & Williams, 2004), the Sobel test has sufficient statistical power to detect mediation (Fritz & MacKinnon, 2007) and is not subject to distributional effects (Stone & Sobel, 1990) when the sample size is large as in the present study. As can be seen in Table 2, the results of all nine proposed mediations are statistically significant providing strong evidence that CA mediates the effects of RL on organizational performance.

Discussion

The results of this study demonstrate that reflective leadership affects all three measures of organizational performance – sales, profits and achievement of organizational goals. Although not measured in this study, the effects of RL on organization performance likely result from individual and group-level improvements in performance. Mollick (2012) demonstrated that organizational performance is driven much more by individual factors than organizational factors. The current study explicates the means by which individual performance can be improved. Further, the results show that the effects of RL on performance are mediated by cultural adaptation.

As evidenced in this study, the leader plays a vital role in promoting the reflection of her/his followers. Additionally, it was shown that practicing reflection has a significant impact on the performance of the multinational firm in terms of sales, profits and meeting organizational goals. Therefore, it behooves the global leader to practice reflection on an ongoing basis. Results of this study showed that four factors were significantly related to reflective leadership: promoting an open and safe work environment, ensuring employees understand the organization's purpose, challenging

assumptions and adapting to local cultures. The following paragraphs discuss the implications of each factor.

Reflective leaders create an environment in which employees feel safe to admit to mistakes and subpar performance and identify and adopt new assumptions and practices that contribute to organizational success. Leaders can promote an open and safe work environment that encourages followers to discuss their work experiences freely at meetings. Leaders can implement an open-door policy where employees feel free to talk/meet informally without appointments. Effective leaders find meaningful ways to promote and build trust with followers (Castelli, Castronova, Stavros & Seiling, 2007). Leaders build trust by sharing what they have learned from their experiences and encouraging followers to do the same. Active listening is another effective tool for showing followers that their views are heard and valued (Castelli, 2008). Research suggests that when leaders show interest and enthusiasm regarding the importance of an employee's role in the success of the organization, motivation increases which may enhance follower performance (Schwartz & Castelli, 2014).

Leaders can connect employees' roles and responsibilities to the organization's mission to ensure they understand the organization's purpose. This is achieved by direct communications to ensure that tasks and goals are clearly defined and understood (Demerouti et al., 2001). Further, when the leader explains how specific tasks contribute to the goals of the organization, employees will not only understand their role in the larger scheme, but are apt to experience higher job satisfaction (Hackman & Oldham, 1976) knowing that their work has meaning and purpose, and is valued by the organization. Employees are more motivated and apt to perform better when they understand their role in the organization, and how their work supports the company's mission and goals.

Challenging assumptions is a critical part of RL, particularly for multinational organizations operating in diverse cultures. Leadership is central to open and candid communications by encouraging followers to discuss the impacts of their values and beliefs on their individual performance and the company's performance (Fisher-Yoshida, B. & Geller, K. 2009). The leader may want to initiate such discussions by sharing some personal experiences. Sharing experiences and challenging assumptions is particularly important at the beginning of international assignments so that mistakes can be avoided when working with diverse cultures. Organizational training, coaching, and mentoring can improve cultural awareness, and help avoid pitfalls that could damage the reputation of the firm when working in culturally-diverse settings.

As evidenced in this study, adapting to local cultures is crucial to the organization's success in terms of increased sales, profits and fulfillment of organizational goals. There are a variety of meaningful ways multinational organizations can adapt to the cultures they serve. Understanding, adhering to and respecting local rules, regulations and laws is of the utmost importance (Vance & Paik, 2011). Additionally, acknowledging and respecting local political systems and processes as well as being mindful of local customs and culture is vital. Finally, marketing/advertising themes should

recognize and show consideration for local values, and company policies and practices must always respect the local culture and customs in the markets where the organization has a presence.

Conclusions

Reflective leaders encourage their followers to learn from experience. This learning occurs by means of reflection. Leaders stimulate reflection by creating a safe environment that reduces or eliminates the threat associated with acknowledging failure, and by promoting open communication. Leaders further encourage reflection by elucidating the connections between the performance of individual employees and fulfillment of the goals and objectives of the organization leading to increased sales and profits. The final condition for reflection is challenging the assumptions upon which one's behavior is based. When followers challenge their own assumptions and feel safe discussing their past failures with one another and with their leader, the result is identification of adaptive models of behavior that improve individual and organizational performance (Mollick, 2012).

This research is significant because the theory of reflective leadership has not been empirically tested to date. This study advances the analysis of RL by developing and testing a causal model demonstrating the effects of RL on important organizational outcomes and the mediational role of CA in this relationship. This is a critical, necessary step for future empirical analysis and testing of RL models and hypotheses. The authors are unaware of any other empirical studies of these relationships. Further, the study enhances understanding of how RL impacts performance through its effects on the ability of the organization to adapt its business policies and practices to local cultures.

This study provides insights and practical applications that are useful to leaders, both domestically and internationally. This research is also significant for the future development of multinational leaders, academia, and educators due to the results on RL's impact on organizational effectiveness. The results of this study contribute to the existing literature on RL, provide new research on the relationships between RL, cultural adaptation, and demonstrate how RL may impact the organization's business goals. Further, as a result of this study, a reflective leadership instrument has emerged (see Appendix A).

The current research investigating RL is relevant and timely due to the current state of globalization and leading economic indicators reporting increased convergence in the future. The current research on the impact of RL is also relevant to all professionals who are seeking to increase their effectiveness and expand their comfort zones by working with others from different cultures. The results propose that reflective leadership can be defined as creating an open and safe work environment that promotes trust, connects followers' work to organizational goals and objectives, and encourages followers to challenge their assumptions by reflecting on past experiences. This research suggests that RL qualities may provide a catalyst for high performing multinational organizations. With reflective leadership driving the actions of the multinational business, work performance, life experience, and professional growth of all members in the organization may be enhanced.

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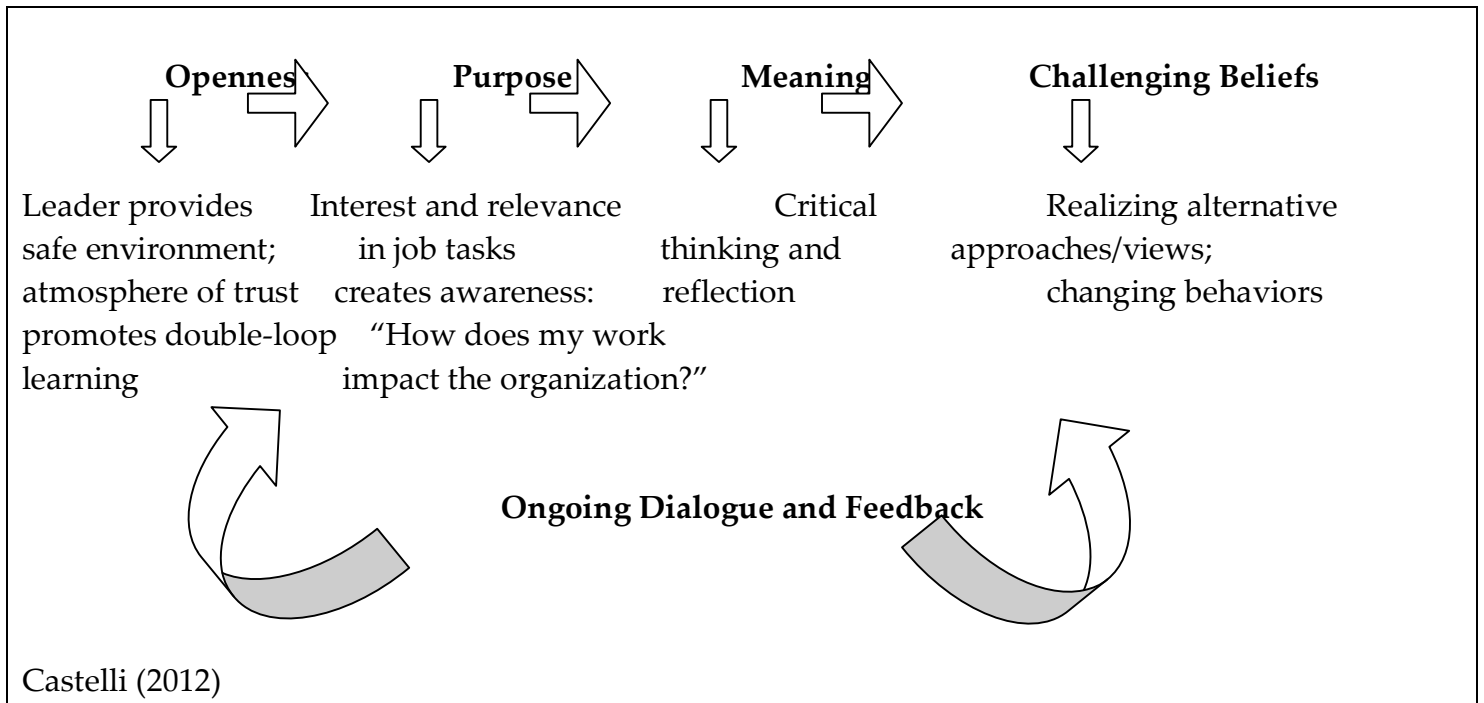
Figure 1. An Integrated Model for Promoting Reflective Leadership in Multinational Organizations
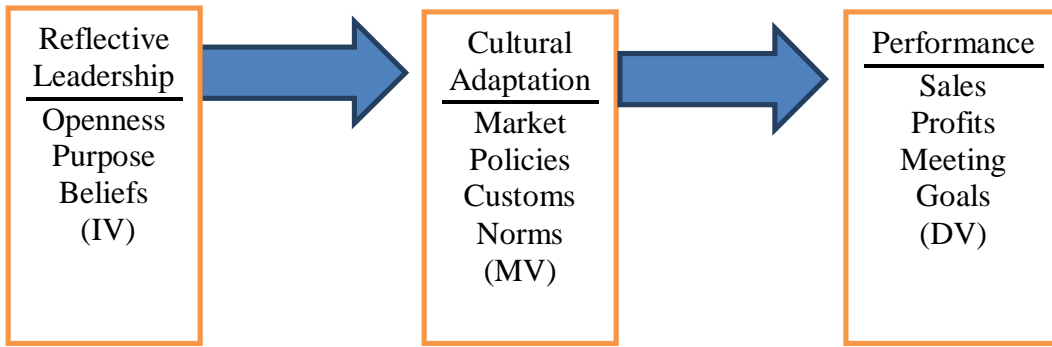
Figure 2. Conceptual Model for Measuring Reflective Leadership

Table 1

Means, Standard Deviations and Correlations Between Study Variables

Variable	*M*	*SD*	Safe	ChA	P	CA	Goals	Sales
Safe and Open Environment	7.82	4.70						
Challenging Assumptions	4.61	3.98	0.62					
Purpose	10.21	3.61	0.52	0.35				
Cultural Adaptability	7.79	3.92	0.70	0.66	0.51			
Goals and Objectives	1.83	0.71	0.35	0.31	0.31	0.37		
Sales	0.25	1.16	0.30	0.26	0.30	0.24	0.40	
Profits	0.17	1.14	0.33	0.29	0.29	0.27	0.44	0.80

Note: $r = 0.24$, $p = 0.00$

Table 2

Z-scores and P-values of Tests of Mediation Using the Sobel Test

Dependent Variable

Independent Variable	Goals and Objectives		Sales		Profits	
	Z	P	Z	P	Z	P
Safe and Open Environment	20.17	0.00	3.42	0.00	4.72	0.00
Challenging Assumptions	18.30	0.00	7.25	0.00	7.49	0.00
Purpose	12.90	0.00	6.78	0.00	8.73	0.00

Appendix A

The CME Reflective Leadership Instrument

Open and Safe Work Environment

My leader makes me feel safe discussing my work experiences.

My leader provides a safe environment where open communication is encouraged.

My leader makes me feel safe expressing my views.

My leader provides an environment where open communications are valued.

My leader makes followers feel safe sharing what they learn from their experiences.

Purpose

My leader connects my work to the organization's mission.

My leader explains how followers' tasks contribute to the goals of the organization.

My leader relates followers' responsibilities to the organization's goals and objectives.

My leader describes how followers' responsibilities are tied to organizational objectives.

My leader explains the purpose of followers' tasks and responsibilities.

Challenging Beliefs and Assumptions

My leader asks followers to discuss how their assumptions, values and beliefs were affected by their experiences.

My leader encourages followers to ask how their beliefs could affect their performance.

My leader asks followers to discuss how their experiences with their assignments affected their assumptions, values and/or beliefs.

My leader asks followers to discuss how their assumptions, values and/or beliefs affect their work.

My leader asks followers to discuss their assumptions, values and/or beliefs at the beginning of their assignments.

Cultural Adaptability

Our company policies and practices respect the local culture and customs in the markets where we have a presence.

Local political systems and processes are acknowledged and respected.

Our marketing/advertising themes recognize and respect local values.

Local rules, regulations and laws are acknowledged and respected.

Our company is aware of and respectful of local customs and culture.

Who And What Are Important In The Mission Statements of Large Corporations?

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Dr. Case has been a college educator and professional business information system consultant for the past 31 years. Dr. Case has taught a variety of courses including business information systems, system analysis and design, e-commerce, business telecommunications, accounting information systems, and so on. As a consultant, Dr. Case has developed and implemented over 100 information systems for private, public, and governmental organizations. Dr. Case has also had his research on teams, phishing, electronic social networking, organizational computing behavior, student Internet behavior, and so on published in a variety of academic journals.

Abstract: The issue that the authors are attempting to resolve pertains to mission statements. Mission statements are, no doubt, one of the most important public communications made by a corporation. In these statements, the company attempts to explain their reason for existence. In particular, mission statements typically include both the stakeholders that are most important to the firm as well as the company's planned goals and objectives. Another related issue that the authors hope to resolve is the question of whether mission statements differ significantly by country. To this end, the authors decided to research the mission statements of the largest 25 firms in the United States and those of five foreign countries. These included France, China, Canada, Australia, and Brazil. The authors believe that an analysis of these 150 mission statements would provide valuable insight into who and what large corporations, on a global basis, consider to be important enough to include in their published mission statement. The authors discovered a number of similarities and differences between U.S. mission statements and those from foreign countries. For example, the most commonly included stakeholder in all countries under review, except Canada, was the customer. Likewise, the stated goals and objectives of these firms had significant similarities and differences. For example, the

U.S. mission statements included the goal of maintaining a leadership position far more than their counterparts in the other five countries. This paper, the authors believe, provides valuable insight into understanding current mission statements from an international perspective.

Sector and Sequence

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Abstract: In this paper, we study how the announcement returns of convertible bonds change for different issues in a sequence for firms in various sectors of the economy. We show that industrial firms obtain significantly lower returns in later issues of convertible bonds compared to former issues. In fact, the announcement returns for the first issue of these firms in our sample period is insignificant while the returns for later issues are significantly negative. We obtain the same result for industrial firms even after we control for other variables that affect announcement returns of convertible bonds. Our results show that the announcement returns for financial firms and utilities do not present this pattern. The returns for these firms are similar for different convertible bond issues in a sequence.

*Keyword*s: Convertible bonds; sector analysis; announcement returns; sequence of issues

1. Introduction

Prior studies show that the stock price effects of equity issue announcements change as firms raise capital more often. For example D'Mello et al. (2003) show that for stock price reaction to equity issues become less negative each time firms go to the capital markets. Similarly, Iqbal (2008) finds that the stock price reaction to rights issues increases with later issues in a sequence of offerings. In this study, we analyze whether the stock price reaction changes with each issue for debt offerings as well. We focus on convertible bond offerings since prior literature shows that on average the announcement of convertible bond offerings result in a negative stock price reaction. Hence, the decrease in the stock prices is a major cost for firms issuing convertible bonds.

We study a sample of 231 convertible bond offerings made by firms in the industrial, financial, and utilities sectors. All firms in our sample have made at least two offerings during the sample period. We find that the announcement returns of offerings made by industrial firms change dramatically with each additional issue. Our univariate and multivariate results both show that the announcement returns become more negative for the later issues of these firms. This finding is consistent with our hypothesis that each convertible bond offering has information content and signals additional negative information about the issuing firm. Our results show that there is no significant change in the announcement returns of financial firms and utilities. This result indicates that the regulatory requirements in these sectors reduce the information content of securities firms issue.

2. Results

Tables 1-3 show the mean and median announcement returns for issues in each sequence for firms in the three sectors we study. In these tables, we define stock returns as excess returns obtained from the market model where the CRSP value-weighted return is used as a proxy for the market return. We estimate beta over 240 days ending 11 days before the date of the filing (Day 0). We estimate the announcement period returns around the filing dates rather than the announcement dates in the Wall Street Journal (WSJ) because after 1985 the WSJ reporting of security announcements is infrequent and using these announcements results in major data loss.

Table 1 shows our analysis for the industrial firms. Both the mean and median overall announcement returns were significantly negative for all of the five periods we studied. However, when we study only the first issues of the industrial firms, we find that the announcement returns were insignificant for all five periods. On the other hand, both the mean and median announcement returns for second and later issues are significantly negative. The results in table 1 show that both the mean and median announcement returns were lower for later issues in the sequence compared to the first issue. We find that the difference in both the means and medians were significant for the first and the later issues for industrial firms in four out of the five announcement periods we study. Hence, our univariate analysis presented in table 1 show that for industrial firms the announcement returns become more negative compared to initial offerings in a sequence.

In table 2, we present the results of our univariate analysis of the announcement returns of financial firms. We find that both the mean and median announcement period returns for the whole sample of financial firms are negative for all announcement return periods that we analyze. However, the returns are not significant at the conventional levels. The announcement period returns are also insignificant for the first issues of financial firms. For the second and later issues only the median announcement returns for the period (0,+1) is significantly negative. For all other periods, the returns are negative but insignificant. In table 2, we do not find a significant difference in the announcement returns of the first issue compared to the returns of the later issues.

Table 3 shows our univariate results for utilities. The mean and median of the overall announcement returns are negative for all event periods that we study and these returns are significant in most cases. The announcement returns are negative and significant for most of the event windows for the first issues of utilities as well. For the second and later issues, the returns continue to be negative but are mostly insignificant. Table 3 shows that the first issues results in more negative returns compared to later issues. However, the difference between the returns of the first issue and later issues is statistically insignificant for all event windows we are studying.

The results in tables 1-3 show that there is strong evidence that later issues in a sequence of convertible bonds result in more negative returns. However, these results are confined to industrial firms. The announcement returns of financial firms and utilities do not change significantly for different convertible bond issues in a sequence. Next, we perform multivariate analysis on our industrial sector sub-sample in order to further explore the change in the announcement returns for later issues.

It is possible that the sequence and announcement return relationship we identified for industrial firms in our univariate analysis is caused by other factors. Hence, we use ordinary least squares (OLS) regressions to control for other factors that may affect the announcement returns of convertible bonds. Table 4 shows our OLS regression results controlling for other factors that may affect the announcement returns. In these regressions the dependent variable is the abnormal stock returns for the period (-3,+3). In this table "sequence" is a dummy variable that takes the value of 0 for the first issue and 1 for the second and later issues of our sample firms during the sample period. Parallel to our results from the univariate analysis, we find that the coefficient of the sequence dummy is negative and significant in all five regressions. This finding indicates that later convertible bonds in a sequence of issues made by industrial firms result in more negative announcement returns compared to earlier issues. This result is consistent with our hypothesis that each convertible bond issue has information content and signal additional negative information about the firm.

3. Conclusions

Our univariate analysis results show that the announcement returns of industrial firms become more negative with each issue in a sequence of convertible bond issues. This result persists even after we control for other factors that may affect announcement returns in regression analysis. This finding is consistent with our hypothesis that each convertible bond issue of a firm conveys additional unfavorable information to financial markets, resulting in more negative returns in later issues. We do not find a sequence effect for financial firms and utilities whish shows that the regulatory requirements in these sectors reduce the information content of the security issues.

Table 1

Univariate Analysis of Announcement Returns for Different Sequences of Industrial Firms

This table presents the results of the univariate analysis of announcement returns of industrial firms for different issues in the sequence. The sample consists of completed convertible bond issues made between 1985 and 2011 by public companies trading in US markets. All firms in the sample have issued convertible bonds multiple times during the sample period. Financial firms are the sample firms excluding those with one-digit SIC code of 6 (financial firms) and two-digit SIC code of 49 (utilities). We obtain our sample of convertible bonds from SDC database. Abnormal returns are calculated using the market model, beta is estimated using CRSP value-weighted index over 240 days ending 11 days before day 0, the convertible bond issue announcement date. Stock returns are obtained from CRSP. Mean abnormal returns are in the first row in each cell and the median abnormal returns are in the second row. We use t-test to test the significance of the means and sign rank test for the medians. The numbers in "Difference" columns represent p-values of t-tests in the first row and z values of median scores test for the differences in means and medians respectively for the first issues from those of the second and later issues in our sample. [a], [b], and [c] denote significance at 1, 5 and 10 percent levels respectively.

Announcement Period	All	First Issues	2nd and Later Issues	Difference of First and 2+

(-5,+5)	-0.0245[a]	-0.0067	-0.0380[a]	2.15[b]
	(-0.0196)[a]	(-0.0022)	(-0.0282)[a]	(2.1361)[b]
(-3,+3)	-0.0233[a]	-0.0091	-0.0341[a]	2.26[b]
	(-0.0216)[a]	(-0.0130)	(-0.0288)[a]	(2.1361)[b]
(-1,+1)	-0.0194[a]	-0.0074	-0.0285[a]	2.75[a]
	(-0.0169)[a]	(-0.0073)	(-0.0248)[a]	(3.9121)[a]
(-1,0)	-0.0103[a]	-0.0021	-0.0165[a]	2.04[b]
	(-0.0074)[b]	(0.0008)	(-0.0130)[a]	(1.8401)[c]
(0,+1)	-0.0065[b]	-0.0028	-0.0093[b]	1.07
	(-0.0051)[c]	(-0.0034)	(-0.0086)[b]	(1.2480)

Table 2

Univariate Analysis of Announcement Returns for Different Sequences of Financial Firms

This table presents the results of the univariate analysis of announcement returns of financial firms for different issues in the sequence. The sample consists of completed convertible bond issues made between 1985 and 2011 by public companies trading in US markets. All firms in the sample have issued convertible bonds multiple times during the sample period. Financial firms are those firms that have a one-digit SIC code of 6. We obtain our sample of convertible bonds from SDC database. Abnormal returns are calculated using the market model, beta is estimated using CRSP value-weighted index over 240 days ending 11 days before day 0, the convertible bond issue announcement date. Stock returns are obtained from CRSP. Mean abnormal returns are in the first row in each cell and the median abnormal returns are in the second row. We use t-test to test the significance of the means and sign rank test for the medians. The numbers in "Difference" columns represent p-values of t-tests in the first row and z values of median scores test for the differences in means and medians respectively for the first issues from those of the second and later issues in our sample. [a], [b], and [c] denote significance at 1, 5 and 10 percent levels respectively.

Announcement Period	All	First Issues	2nd and Later Issues	Difference of First and 2+
(-5,+5)	-0.0034	0.01054	-0.0142	0.44
	(-0.0073)	(0.00328)	(-0.0094)	(0.4880)
(-3,+3)	-0.0306	-0.0120	-0.0451	0.99
	(-0.0024)	(-0.0008)	(-0.0039)	(0.4880)
(-1,+1)	-0.0352	-0.0194	-0.0476	0.71
	(-0.0110)	(-0.0100)	(-0.0121)	(0.4880)
(-1,0)	-0.0318	-0.0117	-0.0475	1.00
	(-0.0041)	(0.0050)	(-0.0053)	(0.4880)
(0,+1)	-0.0217	-0.0044	-0.0351	1.37
	(-0.0053)	(0.0071)	(-0.0053) [c]	(0.5216)

Table 3
Univariate Analysis of Announcement Returns for Different Sequences of Utility Firms

This table presents the results of the univariate analysis of announcement returns of utility firms for different issues in the sequence. The sample consists of completed convertible bond issues made between 1985 and 2011 by public companies trading in US markets. All firms in the sample have issued convertible bonds multiple times during the sample period. Financial firms are those firms that have a two-digit SIC code of 49. We obtain our sample of convertible bonds from SDC database. Abnormal returns are calculated using the market model, beta is estimated using CRSP value-weighted index over 240 days ending 11 days before day 0, the convertible bond issue announcement date. Stock returns are obtained from CRSP. Mean abnormal returns are in the first row in each cell and the median abnormal returns are in the second row. We use t-test to test the significance of the means and sign rank test for the medians. The numbers in "Difference" columns represent p-values of t-tests in the first row and z values of median scores test for the differences in means and medians respectively for the first issues from those of the second and later issues in our sample. [a], [b], and [c] denote significance at 1, 5 and 10 percent levels respectively.

Announcement Period	All	First Issues	2nd and Later Issues	Difference of First and 2+
(-5,+5)	-0.0151	-0.0272	-0.0042	-0.66
	(-0.0373)	(-0.0464)	(-0.0116)	(-0.6505)
(-3,+3)	-0.0311[b]	-0.0420[c]	-0.0211	-0.76
	(-0.0445)[b]	(-0.0554)[c]	(-0.0178)	(-0.6505)
(-1,+1)	-0.0201	-0.0190	-0.0212	0.07
	(-0.0282)[b]	(-0.0290)[c]	(-0.0272)	(-0.6505)
(-1,0)	-0.0155[c]	-0.0141	-0.0169[c]	0.17
	(-0.0182)[b]	(-0.0201)[c]	(-0.0182)	(-0.2351)
(0,+1)	-0.0053	-0.0056	-0.0050	-0.04
	(-0.0087)[c]	(-0.0091)[c]	(-0.0053)	(-0.6505)

Table 4
Regression Analysis of Announcement Returns of Industrial Firms and Sequence

This table presents the results of the regression analysis of different issues in a sequence of issues made by our sample of industrial firms. The sample consists of completed convertible bond issues made between 1985 and 2011 by public companies trading in US markets. All firms in the sample have issued convertible bonds multiple times during the sample period. Financial firms are those firms that have a two-digit SIC code of 49. We obtain our sample of convertible bonds from SDC database. The dependent variable is the announcement period returns for the period (-3,+3) where day 0 is the announcement day. Abnormal returns are calculated using the market model, beta is estimated using CRSP value-weighted index over 240 days ending 11 days before day 0, the convertible bond issue announcement date. Stock returns are obtained from CRSP. Sequence is a dummy variable that takes the value of 1 for second and latter issues and zero for the first issue. Assets is the natural logarithm of the total book value of assets. Issue size is the total proceeds divided by the book value of total assets time 100. Underwriter Fee is the underwriter fees as a percentage of total proceeds. Rating is a dummy variable that takes the value of one for bonds rated investment grade and above by Moody's and zero otherwise. Exchange is a dummy variable that takes the value of one for issuers listed in NYSE Amex and zero otherwise. Market-to-Book is the price *multiplied by* the company's common shares outstanding, *divided by* common equity. Debt Ratio is the *sum of* long-term debt and debt in current liabilities, *divided by* the book value of total assets. Year is a dummy variable that takes the value of one for offerings made in 1997 and before and zero for later issues. Proceed Use is a dummy variable that takes the value of one for issues with the use of the proceeds stated as investment and acquisitions and zero otherwise. Sales Growth is the percentage change in sales since the previous year. The t-statistics are in parentheses. [a], [b], and [c] denote significance at 1, 5 and 10 percent levels respectively.

Variable	Regression	Regression	Regression	Regression	Regression
Intercept	-0.0091	-0.1786	-0.1797	-0.1735	-0.1764
	(-1.00)	(-1.82)	(-1.87)	(-1.81)	(-1.82)
Sequence	-0.02500 [b]	-0.0771 [a]	-0.0773 [a]	-0.0744 [a]	-0.0783 [a]
	(-2.25)	(-3.17)	(-3.22)	(-3.11)	(-3.29)
Assets		0.0235 [c]	0.0240 [c]	0.0243 [c]	0.0241 [c]
		(1.87)	(1.99)	(1.96)	(1.97)
Issue Size		0.0025	0.0025	0.0022	0.0022
		(0.60)	(0.62)	(0.55)	(0.56)
Underwriter Fee		0.1356 [b]	0.1329 [b]	0.1407 [b]	0.1393 [b]
		(2.03)	(2.08)	(2.22)	(2.15)
Rating		0.0047		0.0063	0.0040
		(0.15)		(0.22)	(0.13)
Exchange		-0.0401	-0.0389	-0.0359	-0.0387
		(1.51)	(1.55)	(1.39)	(1.50)
Market-to-Book		0.0031	0.0032		0.0025
		(0.59)	(0.65)		(0.53)
Debt Ratio		0.0002	0.0002	-0.0001	
		(0.29)	(0.28)	(0.13)	
Year		0.0546	0.0552	0.0536	0.0550
		(1.63)	(1.67)	(1.63)	(1.66)

Proceed Use		-0.1129	-0.1099	-0.1041	-0.1120
		(-1.29)	(-1.29)	(-1.22)	(-1.29)
Sales		0.0002	0.0002	0.0003	0.0002
Growth		(0.82)	(0.82)	(1.05)	(0.80)
N	184	51	51	52	51
Adj-R²	0.0216	0.2099	0.2287	0.2150	0.2275
F-Value	5.06 [b]	2.23 [b]	2.51 [b]	2.42 [b]	2.50 [b]

Author Bio

Dr. Yaman has conducted research in a variety of topics including debt and equity issues, earnings warnings, and corporate takeovers. Her research has been published in the Journal of Banking and Finance, Financial Management, Financial Review, and the Quarterly Review of Economics and Finance. She has also presented her research at several national and international conferences. She teaches corporate finance, computer applications in finance, and investments courses. Dr. Yaman is a CFA charterholder.

Sustainability of Transportation in Nonprofit Human Service Organizations

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Abstract: Sustainability is a concept that many companies have embraced. Corporations have become aware of the cost savings available by incorporating sustainable practices by examining their processes and systems. However, the nonprofit sector has been slower in embracing this philosophy. A gap in the literature exists in how nonprofits can effectively implement sustainable programs given budgetary constraints. The purpose of this paper is to demonstrate how concepts of sustainability, specifically focused on transportation departments, can be applied to a nonprofit organization in a manner that is cost effective. This paper demonstrates how various measures can be taken based upon the needs and funding available to an organization to create a substantial return on investment with a relatively short break period. It is hypothesized that the outcomes of addressing the three responsibilities of sustainability in regards to transportation could lead to reduced costs, reduced emissions, and more efficient transportation schedules, which would allow more time to dedicate to the patients.

Key Words: *sustainability, nonprofits, management*

Sustainability of Transportation in Nonprofit Human Service Organizations

Sustainability is a concept that many companies have embraced. Corporations have become aware of the cost savings available by incorporating sustainable practices by examining their processes and systems. However, the nonprofit sector has been slower in embracing this philosophy. Within sustainability, there are three responsibilities. They are social, economic, and environmental. At this time, most nonprofit companies reflect their desire to be socially responsible and this is reflected in their culture, however, there is less of an emphasis on being economically or environmentally responsible.

Given that some nonprofits require employees to drive to provide a service, such as meals on wheels or other community based programs, it is important to determine the economic impact of encouraging less driving, more fuel efficient vehicles and more efficient routes. Focusing on this area could lead upper management to recognize the benefits of embracing sustainability. This in turn, could lead to addressing other sustainability opportunities within the organization.

By creating a business case, management could present the idea of incorporating a sustainability factor in the mission of the company which can have a positive economic effect while simultaneously improving the quality of life for the clients, employees, and community and taking steps to improve the environment (Farver & Pojasek, 2012d). This may be a daunting task, thus, demonstrating the reasons that addressing transportation as a first step may help the board of directors to feel more comfortable with being open to making this type of culture and policy change. It is important to evaluate the business process of an organization. Much emphasis can be given to the core processes which are used to achieve the outcome of the product or service. From a business

perspective, many other considerations need to be made to ensure that the core processes occur efficiently while minimizing waste and emissions.

Indicators

Leading indicators show trends and help to give some insight into future trends (Pojasek, 2009). For purposes of this project, a leading indicator could be the level of employee buy-in for the new transportation policy and plan. The project will only be successful if employees drive the routes determined to be the most effective. Thus, a survey could be given to employees to gauge their willingness to accept this new procedure. This information could also be gained by having small team meetings or individual meetings. If it is determined that employees and managers support the sustainable transportation initiative, this could be an indicator that fuel costs and usage will be reduced by following the proposed plan.

Financial outcomes will be an important lagging indicator to consider. Since this analysis is focusing on transportation, tracking the costs of transportation can give insight into how vehicles are being used and how much is spent on maintenance, repair, and gas. If costs can be reduced by addressing transportation, other areas of the company may also see a positive financial impact.

Sustainability Mapping

Nonprofit human service organizations typically do not produce a product, but rather, provides several in home and community types of services. Many of the issues of sustainability will be similar to those a family faces, but at an extended level. The sustainability footprint of the company could be evaluated from either a systems approach or a process approach.

ISO 9000 states that, "Identifying, understanding and managing interrelated processes as a system contributes to the organization's effectiveness and efficiency in achieving its objectives" (ISO, 2000). By understanding how each of the daily activities is interrelated, processes can be reevaluated to determine if there are innovative ideas that could improve efficiency. Many of the daily activities revolve around transportation. Transportation is required for those receiving services to go to and from their job or volunteer locations. Transportation is also required for grocery shopping, supplies, and banking. By looking at how transportation is occurring, it may be possible to change the transportation process.

Process Mapping

It can be effective to evaluate the business process of an organization (Pojasek, 2005). Much emphasis can be given to the core processes which are used to achieve the outcome of the product or service. From a business perspective, many other considerations need to be made to ensure that the core processes occur efficiently while minimizing waste.

Some of the resources will include food, housing, and transportation resources. The most basic functions of the company are to assist clients in grocery shopping, performing personal care, and ensuring their health and safety. In regards to transportation, the core process is to assist the clients in entering the vehicles, driving the client to the location, and helping the client or clients exit

the vehicle. Some of the supporting processes include maintenance, human resources, management, scheduling, research and accounting.

Human resources is a supporting process because they must screen for driver eligibility upon hire and on an ongoing basis. The insurance company used to insure the company liability and the vehicles has strict policies about which employees may or may not drive the company owned vehicles. For example, drivers must be over the age of 21, they may not have more than one serious driving occurrences in the last five years or more than three less serious driving occurrences in the last five years (American Family, 2013). Serious occurrences include driving under the influence, revocation of driver's license, or causing a serious accident. Less serious occurrences are speeding tickets or other common traffic violations. Thus, human resources needs to run a driving portion on the background check for new employees and they need to run regular checks on current employees to determine if there are any changes to driving status.

Management needs to be involved in updating employees on driving and transportation policies. They also need to review reports and determine if the proposed changes are saving the company money once they have been implemented. They will also need to support the culture of sustainability and provide a foundation for the cultural shift to employees when employees bring up concerns about the new procedures.

Depending on how the program is implemented, a new position for scheduling may be required. The scheduler will need to be aware of all employees working at each location, each route, all appointments for clients, vocational schedules for clients, and requests for transportation to community outings. The scheduler will work to determine the best transportation routes for both employees driving company vehicles and employees driving their own vehicles. The goal will be to reduce the amount of time and miles driven in cars. They will need to be aware of construction which is prevalent in the spring, summer, and fall months. They will also need to be aware of which roads are more treacherous than others in the winter months.

Research is an important supporting process because the research can do an analysis on different vehicles that could be purchased and compare them to the current vehicle costs. This can include an analysis of miles per gallon, maintenance costs, and the potential reduction in miles driven by creating transportation schedules.   There could also be useful information gained by comparing the costs of using company owned vehicles versus purchasing an additional vehicle.

Accounting can provide valuable information to managers and researchers. They can provide current and ongoing cost reports regarding the amount spent on a daily, weekly, monthly, quarterly, or annual basis on gas, maintenance, staff time, and mileage reimbursement. This can give researchers and managers the quantitative information needed to make the best decision.

Given the size of the company, it is possible and even probable that the responsibilities of the manager, researcher, and scheduler will all be given to one person. This will show the importance of having strong management systems in place because the need to prioritize responsibilities especially when implementing a new program can be overwhelming. Creating a process map may be helpful to those who have multiple responsibilities.

Systems Approach

The primary problem that will be addressed is transportation. Transportation is an important part of the organization as employees travel to different locations during any given shift, and they transport patients to job sites and medical appointments.

The company can use an S.W.O.T. analysis before implementing any sort of strategy. The SWOT analysis provides a blueprint of where an organization stands in terms of the strengths, weaknesses, opportunities, and threats internally and externally (Larsen, Tonge & Lewis, 2007). The analysis should be something the organization should keep up to date with the latest changes that may affect shareholders. Often a SWOT is conducted when a company is in the initial stages of beginning their business plan, however, frequent review can assist in strengthening and narrowing the company's strategy. The company seems to be interested in continual improvement and innovation, thus, a SWOT would be a valuable tool to determine where they should focus their efforts.

In terms of transportation, the company has strengths in that they already have committed to one of the sustainability responsibilities (social). There may also already be an emphasis on the economic responsibility, as they need to balance and stretch their budget to be as effective as possible.

The weaknesses are that the vehicles are not fuel efficient. If, employees are required to frequently use their vehicles for work, car pooling and public transportation are not being used as much as they could be.

Opportunities can be derived from weaknesses. It may be possible to lease or purchase new vehicles that are more efficient. This could reduce the cost of fuel and it would be more environmentally responsible. Through creating a transportation schedule, employees could coordinate car pools for clients and use public transportation more often. This would require them to use their own vehicles less frequently and reduce the emissions entering into the atmosphere.

Threats are the increasing costs of fuel, potential lawsuits resulting from accidents, and the threat of competitors. Fuel prices seem to be relatively stable, but they have gradually increased over the last several years. As funding decreases due to the strain on the government as a funding source for grants, costs such as fuel and maintenance can be a significant burden on companies.

The result of using a systems approach is to create an action plan to implement a strategy that has been determined to be the best approach for reaching a goal or objective (Farver & Pojasek, 2012). The company can use this approach to create a path to help shape their strategic planning. See table 1 for a draft action plan form that could assist in this process.

Discussion

Environmental Responsibility

In terms of transportation, depending on the size, a smaller organization could own two vehicles. By replacing these with fuel efficient vehicles, less gas would need to be used which would decrease the fuel emissions that are harming the environment through air pollution. Although replacing only two vehicles would not have a significant impact on the oil industry, this would be a small step towards decreasing the negative impact of drilling and refining oil. A second step could be taken to reduce the number of miles driven per month. If the company could create transportation schedules, it may be possible to reduce the number of miles driven. This would require more coordination, but for set schedules, it would not take a significant amount of time to create a routine.

The employee and management effort to reduce the amount of fuel used would reduce fuel emissions. Making changes in the transportation department could be the first small steps in improving the air quality and environment. If this first project is successful, it is likely that the company will consider other sustainable initiatives that could further benefit the local environment.

ocial Responsibility

ISO 2600 emphasizes some key areas of social responsibility including human rights, labor practices, consumer issues, and community involvement and development (Farver & Pojasek, 2012b). Most nonprofits are created to provide a product or service for a specific population in need. Thus, there is a strong emphasis on social responsibility. All of the programs focus on improving the quality of life for the people served.

By addressing the transportation department so that it can become more sustainable, funding can be made available to provide more services. Some of the principles of the social responsibility are to eradicate poverty, promote human development, uphold the rights of minorities, integrate formal education and life-long learning, treat all living beings with respect, and create a culture of tolerance (Farver & Pojasek, 2012b).

Economic Responsibility

Due to the type of funding for this organization, the economic responsibility has been considered several times. Tax payers fund the organization through government contracts and grants as well as through private donations. Thus, by reducing transportation costs, organizations can be more mindful of their budget and allocate more funds to expanding their services and improving quality.

Nexus

The organization, community, and government are interconnected. The organization exists because of the funding provided by the county, state, and federal government, and private donors. The government receives its funding from the taxpayers, so all aspects of the company and community are connected. Appointed representatives of nonprofits can join local and national organizations. By being involved in these boards and committees, the management of the company can promote the changes they are making by adding a sustainability program. Being members of these groups is a great way to start a Community of Practice (CoP). A CoP is a formal or informal group in which members share best practices to promote and grow their businesses (Pershing, 2006). The management of the company in this case could create a subgroup in which they promote sustainable practices throughout the other companies that provide services in their area. Together, the companies could also consider have a combined transportation system. If the local funding sources are aware of the efforts that are collectively being made to reduce transportation cost, they may be more inclined to negotiate contracts and funding. It is important to see that companies are working to use the funding provided in the most efficient way possible.

License to Operate

Often when an organization is considering licensing, they consider the legal forms that must be completed and the necessary steps to obtain compliance with regulations. However, it is also important to consider whether or not the community is willing to accept the organization. The organization can gain the favor of the community by giving back and not causing serious disruptions to the area. By addressing transportation by using more fuel efficient vehicles and public transportation, employers can either have fuel efficient vehicles in their parking lot which can be a signal to passersby that the company is frequented by those with a sustainable philosophy, or more parking spaces can be available if public transportation such as the local bus system can be used.

By purchasing fuel efficient vehicles, the company can have the company logo imprinted on the windows or side of the car. When transporting throughout the city, other drivers will be able to become more aware of the company. Since fuel efficient vehicles are fairly recognizable by shape, this can be a signal to the community that the company is embracing a sustainable philosophy.

Engaging Stakeholders

The stakeholder theory describes all of the people who have a vested interest in the company (Freeman, Wicks, Parmar, 2004). Nonprofit organizations often have several direct and indirect stakeholders. They can include, clients, families of clients, employees, management, funding sources, and the community.

The individuals receive the services directly. They are very interested in receiving quality. They generally, want a high quality of life. Implementing a sustainable transportation strategy would increase their quality of life by allowing them to travel more freely throughout the city. This would grand them greater access to employment, medical care, and recreational activities.

The families of the individuals benefitting from the services are interested in quality of care, safety, and quality of life. By implementing a sustainable transportation policy, families who are interested in sustainable missions will be more comfortable allowing their family member to receive services from the company. If the company is showing an interest in protecting the environment, it is likely that their focus on human interests will be higher than that of profits or other areas of emphasis.

Employees want a safe work environment. Encouraging employees to use public transportation can reduce the amount of traffic in Madison. Winters in Madison can be treacherous. The bus (Metro) system has a strong record for safety. Using the bus system would help to ensure the safety of employees as they go to and from work. Employees may also accompany clients on the bus system when going to vocational, medical and recreational locations. Although, the public transportation system may be slower, with proper planning, it can reduce the costs of transportation to and from work for employees. They want to be recognized for the valuable service that they provide. By using more fuel efficient vehicles, there may be a bit more money for employee recognition programs. Also, but using these vehicles the employees will feel that their requests have been heard. Currently, the vehicles are in poor condition. They often break down while employees are with clients are require towing or for employees to use their own personal vehicles to transport the clients. By purchasing new fuel efficient vehicles, employees will feel that their request for new

vehicles have been heard and that their working conditions have improved. (Akdere & Schmidt, 2007).

Management wants the organization to be financially viable so that services can continue to be provided to as many people as possible. A cost benefit analysis could show that trading the current vehicles in for fuel efficient vehicles would be the most cost effective solution.

The community is interested in keeping employees employed to reduce the unemployment rate.

Planning for Sustainability

Strategy is a plan of action that takes into account current resources and future goals (Porter, 1980). Strategies are used to develop and plan how to achieve long term goals, increase competitive advantages over other companies, and which resources and smaller goals are needed to make the strategy effective. Strategies also take into account any possible negative effects that arise from planning to achieve a goal. Addressing the opportunities in the transportation department is the first step to incorporating sustainability into the philosophy of the company. It may advantageous for management to review the options and action plan provided above. They could even create a draft implementation plan based on the action plan. However, before beginning the process, they should ask for input from employees. This can be through staff meetings or focus groups. This will help the managers maintain awareness and possibly prevent them from making a change that would not be beneficial. Management usually is not involved with the transportation, so they may not be aware of some of the details involved in transporting clients on a day to day basis. Talking with employees may help management to consider areas that would not be reasonable or employee may have ideas for improvement that management did not consider.

Implementing

There will need to be a shift in the organizational culture. This will occur through training, and the example set by management. This will lead to buy-in from the employees (Dubrow, Wocher & Austin, 2001). The action plan described above will be developed to implement a sustainable transportation program.

In an organization, the top executives should first evaluate when change is needed based on feedback that comes from the directors of different departments and observations and comments from other employees. In this example, transportation is proposing purchasing new vehicles and allotting time for creating a transportation schedule. The executives will then evaluate how a change would financially affect the company's bottom line. If the plan is improved, a cultural change should occur within the company to help promote management and employee buy-in.

Organizational change often results in conflicting employee buy-in. When a group goes through a change, it is very likely that some of the employees will be resistant to this change. If employees that are excited for the change can be identified, these employees can be asked to promote the advantages of the change. Sometimes people can be more motivated and accepting if their peers have already accepted the change. The company should have group informative meetings so that employee questions can be answered and the benefits of the change can be explained. Any

disadvantages should also be given so they do not come as a surprise to employees after the change has occurred.

Finally, there should be training. "ISO 9001 outlines the basic steps for competency and training by requiring the organization first establish what training is necessary, to provide such training, to evaluate whether it was effective, to make sure that the personnel who are trained understand its importance, and finally, to maintain appropriate records of the training" (Farver & Pojasek, 2012c). Training can provide confidence to the employees. They will have a better idea of what to expect once the change is implemented and this can help reduce the fear of the unknown.

Checking

At this time, sustainability results are typically not evaluated in nonprofits. In the future, mileage, maintenance, and gas will be tracked. Once an action plan is implemented, the financial information can be tracked and reviewed on a regular basis. This would be a form of a lagging indicator as it will monitor activities that have occurred in the past. These indicators do not forecast the usage of vehicles and gasoline in the future, but they can show if there is a reduction in costs and gas used after purchasing new fuel efficient vehicles and creating a transportation schedule in comparison to the current method of using older vehicles without using a transportation schedule.

Continual Improvement

Surveys can be conducted by interviewing clients, employees, families, and funding sources. These surveys and interviews may result in the development of new and innovative ideas that can focus on the transportation aspect of sustainability in addition to other areas within the company.

It may be advantageous for the company to research the possibility of gaining certification. The benefits of earning certification such as SGP would be to add more credibility to the sustainability program. They could learn from the comments and areas that need to be addressed as determined by the assessor. They could also attract more clients and the respect of funding sources. If they choose this type of certification, it is recommend that a management review meeting should be held quarterly at 3 months, 6 months, 9 months, and then at the recommended 11 months. This will allow time for changes to be implemented throughout the year if needed rather than trying to rush at the end of the year

Managers have several responsibilities that they must prioritize. Some of these may include monitoring production rates, maintaining relationships with suppliers and customers, personnel management, and potential development. If implemented correctly, a sustainability program can become part of each of these aspects. Ideally, the management review process for the sustainability management system could be a primary focus that could be reviewed continuously throughout the year.

Recommendation

It is important to determine a statement of the problem. The problem in this case is that too much fuel is being used for transportation which is causing higher costs and an increased amount of emissions entering the atmosphere.

For purposes of a nonprofit human service organization, some of the solutions determined are trading in the current vehicles for more fuel efficient vehicles, implementing a transportation plan that promotes carpooling and use of public transportation, purchasing additional fuel efficient vehicles, and denying transportation for client recreation.

It is important to have an action plan in place before starting a project (Farver & Pojasek, 2012d). This will ensure that all areas of responsibility are covered and that the people involved with the project are prepared for any situations that may come up during the project. It also makes the project easier to tackle because it is broken down step by step. A draft action plan can be composed which would implement each aspect of the top three options within a set time frame. The task of researching vehicles, trading, and purchasing would be delegated to the accountant and researcher. One person may hold these roles as a combined position. Managers and schedules will be involved in creating a transportation schedule for carpooling and identifying routes on the public bus system. Again, the position of manager and scheduler may be held by the same individual.

Conclusion

It is hypothesized that the outcomes of addressing the three responsibilities in regards to transportation could lead to reduced costs, reduced emissions, and more efficient transportation schedules, which would allow more time to dedicate to the patients.

Once a decision is made to accept the culture of sustainability, various areas of opportunity present themselves to a company. Addressing the issue of transportation may be just the first step in finding ways to continuously improve in all three responsibilities. "Sustainability is the ability of an organization to manage transparently its responsibilities for environmental stewardship, social well-being and economic prosperity over the long term while being held accountable to its stakeholders" (Farver & Pojasek, 2012). The company in this case addresses these responsibilities while also considering the perspectives of each group of stakeholders. It would be difficult to find a group of stakeholders that did not agree with the overall mission of incorporating sustainability awareness and action into the day to day processes performed by the company.

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Appendix 1

Table 1: Draft Action Plan Form

ACTIONS THAT THE TEAM PLANS TO TAKE	PERSONS RESPONSIBLE FOR THE ACTION	RESOURCES NEEDED FOR THE ACTION	TARGET COMPLETION DATE
Research potential vehicles for lease/purchase	Accounting/Research	Computer/Phone	May 1
Research loan options	Accounting/Research	Computer/Phone	May 1
Purchase/lease new vehicles	Accounting/Management	Funding	June 1
Create a schedule of all appointments, vocational sites, and other transportation needs	Manager/Scheduling	Calendar/Computer	August 1
Create pilot transportation program to run in 2	Manager/Scheduling	Computer	September 1

locations			
Implement transportation program company wide	Manager/Scheduling	Computer	November 1

HOW DOES IT WORK?

COMPARING and contrasting two approaches to Information Technology service management consulting

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Abstract: Information Technology Service Providers (ITSP) have long attempted to diversify into management consulting (MC) for added value. For the most part such diversification has failed because the ITSP firms have been unable to acquire the intellectual capital needed for MC activities. The author argues that this is due to the very specific characteristics of MC: its intellectual capital in the form of industry and organizational knowledge, the centrality of strategy in the MC approach, MC's grounding in expertise and experience, the importance of individual talent, MC's ways of working and capacity for innovation, and its specific client relationship management and selling skills. These characteristics are not imitable by ITSP or IT consultancies that generally fail to diversify into MC because they cannot duplicate MC firms' privileged access to client firms' core knowledge and activity systems. ITSP consulting services are excluded by their clients from the core elements of firm value chains because clients perceive IT as a non-core activity and deal with IT consultancies as simple cost reduction agents acting on secondary support activities. However, the author argues that certain ITSP that take an insourcing approach and provide services of a strategic nature within the client firm acquire the strategic, industry and organization knowledge to progressively provide MC services. The author illustrates her approach with three field work case studies: one about a major cost leader ITSP, one about Indian offshoring provider, and the third one about the leading Business Intelligence software firm that, that through insourcing, is acquiring the competences for MC.

HOW DOES IT WORK?

COMPARING and contrasting two approaches to Information Technology service management consulting

Since the development of Information Technology, IT service providers (ITSP) have endeavored to extend their activities into consulting, first as part of their presales approach (Bloomfield, 1995) and then as a related diversification movement into higher added-value businesses (Hurt, 1998; Hartz, 2002; Malhotra & Pierroutsakes, 2005). Both of these approaches have led the ITSP into almost exclusively IT-consulting and failed to lead them into management consulting (MC), except through acquisitions. ITSP firms' inability to diversify into true management consulting may seem paradoxical at a time when IT and Information Technology Enabled Services (ITES) have become a component in firms' value chains worldwide, a component that calls for crucial strategic management decision. In this paper we suggest that the reason for this failure by ITSP firms to move into high added-value MC activities lies in the fact that most ITSP clients have come to consider IT only a support function and not a core activity, thus these client firms tend to deny ITSP firms and their IT consulting arms access to the knowledge and intellectual capital that make up the core of their business models; they maintain internal control of these assets. On the other hand, client firms call in management consultants for the very purpose of solving 'core' problems, carrying out organizational redesign, reviewing strategy and leading firm-level change; in working with these consultants the client firms provide access to their strategic knowledge and contribute to the development of the intellectual capital of the consultancy.

Unlike management consultancies, IT consultancies have very often been considered as 'plumbers' and their clients expect them to fix things and reduce the costs of the IT support function. Throughout the history of IT services, IT consultancies and their ITSP parents have 'tied together' firm functions through systems, hardware and software installations, or, increasingly, advised client firms to outsource the IT function and its infrastructure (Hurt, 1998). This prevents them from developing the industry-, organization- and firm-knowledge intensity that characterizes management consulting.

However, 'insourcing' providers, IT and software firms that take responsibility for partial design of client firms' value chains, work within the firms themselves, and assist in building the intelligence links between the chain components, indeed, develop the 'intelligence' capacity of their clients, are 'required' to acquire the industry and business knowledge, the intellectual assets, needed for true management consulting as part of their assignments (Leiponen, 2008), for example Business Intelligence software firms. Whereas ITSP 'outsourcees', outsourcing providers that 'export' part or the whole of IT services for the client firm (Tiwana & Keil, 2007) constitute a form of vertical 'deintegration' of the firm and thus naturally fail to enter the whole of client firms' 'activity systems, insourcing providers that are knowledge intensive business services (KIBS) may become indispensible to their clients' projects and constitute a form of vertical integration by the client firm (Leiponen, 2008). Such KIBS firms may develop the competences to diversify into management consulting.

In this paper, the author will demonstrate the difference between IT outsourcing providers and insourcing providers in their ability to acquire the business knowledge, the intellectual assets, that characterize and allow true management consulting (Leiponen, 2008). The structure of our paper is as follows:

- First, the author provides a definition of management consulting that clearly groups it among high added-value industry-, organization- and firm-knowledge-intensive professions with strong experience and relationship management aspects.

- Second, the author rapidly reviews the history of IT services and consulting to illustrate their evolution towards the provision of primarily outsourced services separated from the major intellectual assets of their clients' business models.

- Third, the author draws on three field studies to demonstrate the challenges for ITSP firms to integrate IT consulting and MC competencies: 1) Capgemini as the example of a firm that has consistently undergone difficulties in its attempts to move into management consulting, 2) SAS Institute as the example of a IT professional services firm that has developed many of the competencies needed to perform true MC activities, and 3) Sonata Software as an example of an Indian offshoring provider that is moving away from providing commodity services by acquiring greater industry expertise.

- Fourth, the author will conclude by pointing out the implications and limitations of our research and suggest an agenda for further exploration.

Definition and evolution of management consulting

Professions that offer many avenues of practice are never easy to define precisely. Law, medicine and teaching are examples of professions where everyone has a generic idea of what these professionals do. If you introduce yourself as a lawyer, doctor or teacher, your listener's next question will probably be "what kind?" If you introduce yourself as a management consultant, most laymen will let it go by. There are two reasons for this: 1) for the unbiased layperson, management consulting is rather esoteric, and for the uninitiated skeptic, it may seem 'flimflam'; 2) for the more knowledgeable non specialist, management consulting seems like a practice that can impact a great many aspects of an organization and therefore raises the specter of a specialization difficult to apprehend. When speaking of law and medicine, most laypeople will understand contract law and divorce law or cardiology and obstetrics—but not necessarily business process reengineering or knowledge transfer. Even for academics, research has been hampered by "a clear definition and separation of service activities" (Kipping, 1999).

Definitions of Management Consulting

Existing definitions of management consulting are helpful but still lack precision. In 1974, the UK Institute of Management Consultants defined management consulting as "the service provided by an independent and qualified person or persons in identifying and investigating problems concerned with policy, organization, procedures and methods; recommending appropriate action and helping to implement these recommendations" (cited in Bloomfield, 1995). Current definitions found on Internet

include: "service industry that provides advice to those in charge of running a business"[15], and "the work done by a consulting firm which focuses on advising companies on the best ways to manage and operate their business. The [management consulting] firm will give advice on concepts like their [the client firm's] business strategy and operational techniques, and also skills like time management, depending upon the needs of the company."[16]

There are two problems with such definitions: First, they are not epoch specific, thus they fail to take into consideration the historical evolution of management consulting since the 1920s and tend to bundle together the major services consultancies provide today with a series of services that made up the bulk of management consulting before the 1950s. Second—and this is related to MC's historical evolution—they fail to segment consulting activities to separate out organizational knowledge-intensive services from the larger value chain of consulting in general.

Evolution of management consulting

Opinions diverge as to whether management consulting arose from the scientific management movement (Kipping, 1999) or was initiated by professional accountants, engineer and lawyers (McKenna, 2006). In the first interpretation, consulting activities focused on shop floor operations and provided advice on efficiency and productivity, using work study techniques. In the second interpretation, consulting focused on providing advice to executives and their boards on issues related to strategic and organizational issues, overseen by merchant bankers. Doubtlessly both of these 'movements' converged into what we now call management consulting. They both arose between the turn of the 20th century and the 1930s in parallel with the founding of many of the leading business schools—schools that primarily addressed issues of engineering or accounting in their 'business' education—and the rise of the professional manager. As has been pointed out, "consulting in or for management becomes possible when the process of generalizing and structuring management experience attains a relatively advanced stage" (cited in Wright, 2000). When this 'stage' was reached for many industries in the first two decades of the 20th Century, the codification and packaging of management experience made possible both the education of professional managers through university courses and knowledge delivery to firms through consulting services.

Since business organizations themselves bring together multiple production factors and skills, it would be logical to assume that management consulting "evolved from the interplay over time of a variety of disciplinary influences" (2000: p86). The diversity of origins is supported by the background of the founders of several consultancy firms: Arthur D. Little had an MIT education and originally focused on contract research. Edwin G. Booz was a psychologist and started in business surveys. His later partner James Allen was a former accountant and economics teacher. James O. McKinsey was university accounting teacher and focused on budgetary control. Under the later management of Tom Kearney a professional manager and Marvin Bower, a Harvard graduate in law, the McKinsey consultancy became specialists in the M-form, multidivisional structure of firms inspired by GM and increasingly focused on CEO-level assignments (Kipping, 1999).

Accounting very naturally led to consulting activities; accounting services taught firms how to follow costs and record results, and then audit them for official reports demanded by an industrialized

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[15] http://www.thefreedictionary.com/management+consulting

[16] http://www.businessdictionary.com/definition/management-consulting.html

society. In time it became clear that the measuring of firms' results could also lead to guiding their way to reach those results; thus auditing led to control. The movement towards helping executives 'pilot' their firms was reinforced by the fact that auditing firms had privileged access to firms' CEOs and their Boards. This once virtuous circle became vicious in the 21st century with cases such as the Enron crisis, which led to the ethics-mandated demerging of auditing and consulting activities for the big 5 audit firms. (Hartshorn, & Wheeler, 2002).

In a sense, this forced divorce of auditing and consulting only confirmed the underlying segmentation between commodity services and higher added-value consulting services. This was the case for Andersen Consulting, spun off as a separate business in 1989 well before the Enron crisis; the Andersen consulting arm sought the separation because it was recording much higher profitability per employee in consulting, primarily IT consulting, than its sibling and parent, Arthur Andersen.

It is important to make the difference between consulting that has to do with the strategic direction and design of organizations (Bloomfield, 1995) and consulting that has to do with what Michael Porter calls 'operational effectiveness', (Porter, 1996). The former is definitely 'holistic', the highest added-value form of consulting,; whereas latter may more likely take the form of reworking part of a firm's value chain to improve processes, financial performance, customer relations or reduce costs by outsourcing some of the firm's processes or its IT. As Porter emphasizes, a firm's competitive advantage does not come from operational effectiveness but from its total 'activity system' and the specific linkages the firm builds between the parts of its value chain; operational effectiveness is not 'strategy' because it is not 'integrative'.

However, perhaps the best way to separate management consulting out from less added-value consulting is to use tools of strategic or business segmentation like the three-dimensional business definition model of Derek Abell (1980). Abell enriched the ways in which firms had segmented their businesses from the 50s through the 70s in order to plot the strategy or measure their performance of separate business units. Igor Ansoff had suggested two dimensions on which to build a matrix to plot firm's businesses: the product, and the market served. The product and the market remained the criteria used in segmenting businesses in the Boston Consulting Group's Growth/Share matrix and the GE/McKinsey Matrix, widely used to assist firms in managing their business portfolios. To the two dimensions of product and market, Abell added the 'alternative technologies' used by the firm (See Figure 1). This allowed a much more discerning view of what really constituted separate businesses in the firm; the addition of technologies used in the firm would later feed into the idea of core competencies. Even further additions to business segmentation criteria were made later, consider channels of distribution, geography, substitutability and the key success factors (KSFs) as useful ways of characterizing distinct businesses. In this paper we argue that the technologies used and the KSFs are important defining characteristics that distinguish management consulting as a business separate from other forms of consulting.

Insert Figure 1 about here

Characteristics and KSFs of management consulting

Major characteristics of management consulting include its knowledge intensity or intellectual capital; the centrality of strategy, organization and change in its activities; its foundation in expertise and experience; the importance of individual talent; the professions' ways of working and capacity for innovation; the level at which it manages client relationships and its consultants' skills in selling. In our view, all of these characteristics are part of the technology used by management consulting.

1. **Intellectual capital**: Knowledge intensity or intellectual capital is clearly the mark of management consulting (Singh, 2001; Hartz, 2002; Van den Bosch, Baaij, & Volberda, 2005; Schmidt, Vogt, & Richter, 2005). Knowledge intensive business services (KIBS)…rely on professional knowledge and either generate new knowledge themselves…or act as knowledge intermediaries for their clients" (Leiponen, 2008, p. 1371). KIBS firms have stronger capabilities to innovate and are likely to retain control rights to their intellectual assets; the retaining of control rights is associated with firms making new service introductions rather than service improvements (Leiponen, 2008), i.e., efficiency. Knowledge in management consulting is, above all, in-depth industry knowledge with an understanding of strategy and the firm's business model at its core; MC firms develop knowledge of a wide number of industry value chains (Hartz, 2002). Knowledge for consulting firms is most often 'captured' from its own clients, as they have access to the very 'core' of firms' business models. For Schmidt, Vogt & Richter (2005) the added value in management consulting comes from grouping the knowledge building and strategy development stages of the MC value chain.

2. **Centrality of strategy**: Strategy is central to management consulting and helps segment it from technology consulting and 'transaction firms' (Czerniawska, 2005). These firms do not do consulting for consulting's sake; they use their consulting practices to create opportunities for and technology business process outsourcing (BPO). Management consulting, on the other hand, makes an effort to distance itself from pure technology consulting; by centering practice on the notion of strategy "management consultants consciously differentiate themselves from suppliers of hardware and software" (Bloomfield, 1995). Distancing themselves from technology consulting helps MC firms maintain their status as independent thinkers, free from the conflict of interest that might affect product vendors like ITSP firms that use their consulting arms to sell their own technologies. A MC firm's brand equity is closely linked to its knowledge, its holistic vision, its experience and its integrative approach but also to its independence from technology vendors.

3. **Foundation in expertise and experience**: Management consultancies certainly fit into D. H. Maister's classification of expertise-based and experience-based professional service firms (1993). This positioning allows them to follow differentiation strategies, focusing on innovation, and thus create added-value offerings. Maister suggests that the third category of professional service firms is efficiency-based. Such firms strive for cost leadership, seeking to provide well-established service at the lowest possible cost. This category applies to IT service firms that, with the commoditization of their industry, bid on price and suffer from a lack of true differentiation and brand equity. Intellectual capital, strategic thinking and the foundation in expertise and experience inherent in management consulting go hand in hand with its reliance on high added-value talent, i.e., its people.

4. **Importance of individual talent**: Most writers on management consulting point out that firms need to possess the best possible talent for success in the profession (Czerniawska, 2000; Singh, 2001; Hartz, 2002; Malhotra & Pierroutsakos, 2005). There are three sources of talent: the partners

who bring management skills, relationship management and industry knowledge to the firm; industry professionals hired away from management careers to bring in-depth industry knowledge, and graduates in management (MBAs) brought in as juniors for further knowledge-building and project support activities and selected for development at the bottom of the consulting pyramid for careers in consulting. The former Managing Director of McKinsey Consulting, Rajat Gupta, suggested MC firms need to have a large variety of projects available to allow their talented people to choose according to their preferences; this has much to do with developing and retaining the best people (Singh, 2001). On the other hand, some writers suggest that it no longer suffices for the consulting firm to have or produce 'smart' people; the firm must create a collective knowledge base and demonstrate its power to clients (Schmidt, Vogt, & Richter, 2005). However, the development of such a collective knowledge base is always a challenge for management consultancies; individual consultants may feel they 'own' the knowledge and that their 'ownership' is a guarantee of their personal future earnings. Thus they may hesitate to transfer it to other members of their organization, and, as it is high added-value knowledge, it is often tacit and difficult to transfer (Lahti & Beyerlein, 2000). MC knowledge transfer may also occur between the consulting firm and client firms through the hiring away of 'alumni' consultants, often juniors, to bring their knowledge into the former client firm (Van den Bosch, Baaij, & Volberda, 2005).

5. **Ways of working**: The reliance on talented individuals, experience and expert 'core' knowledge of industries and firms is strongly related to management consultancies' ways of working. Research suggests that consultants do not generally follow a "shared and standardized phase consulting methodology"; instead seem to be improvising *bricoleurs*. They tailor their ways of working to specific situations and use broad heterogeneous and partly implicit repertoires, built through action learning (Visscher, 2006). This means that management consulting, to a large extent, has to be learned through practice. This further supports the notion of intellectual capital being 'owned' by the consultants and the difficulty of knowledge transfer, both within and without the experience-based consulting firm. It also underlines the innovative nature of consulting.

   Most writers on consulting stress that its essence lies in problem-solving; consultants' identity is founded on their claim to discover and diagnose problems rather than construct them (Weigel, 1988; Bloomfield, 1995); they seek out the key business issues and ask the right questions (Nord, 1996). Some writers stress that true management consulting is 'explorative' in nature rather than 'exploitative'. Explorative management consulting is indeed discovering and diagnosing problems rather than constructing them. Exploitative consulting is the development of 'recipes' that can be sold repeatedly as packaged solutions (Van den Bosch, Baaij, & Volberda, 2005). Packaged and repeatable solutions are characteristic of IT consulting.

6. **Relationship management**: The need to manage relationships characterizes much of modern business strategy and is not limited to management consulting; it is widely practiced in CRM, in supply chain management and in alliance networks. However, in management consulting it has a great deal to do with the consultants' own skill sets, their ability to work with and establish a

long-term relationship with C-level executives where they blend the advising activities with selling. Consultants' personal equity and thus the brand equity of their firms are often inextricably linked with consultants' networks of contacts and involvement at the highest echelons of client firm management. This is where they build intellectual, reputational and relational capital (Kipping, 1999).

The characteristics described above provide the profession with very strong barriers to entry at the level of well established and global management consultancies. However, recent developments in management consulting would seem to be eroding some of these characteristics and lowering the barriers to entry.

Recent evolution of management consulting

There are two main trends challenging the added-value strategy of MC firms today: one is the 'disintegration' of the MC value chain and the other is the 'commodification' of its intellectual capital. Although both of these phenomena would seem to open the door to ITSP firms' diversification into management consulting, we argue that MC's core assets will remain unobtainable to ITSP firms because of the links between MC's resources and capabilities listed above.

Disintegration of the MC value chain

The disintegration of firms' value chains, or the 'disassembly' of firms' offerings, did not await the reengineering wave of the 1990s. The most famous example was the disassembly of IBM's integrated 'solutions' approach by its own suppliers turning to the production of plug-compatible components to IBM systems in the 1960s and early 70s. This gave birth to the now extinct notion of 'IBM-compatible' peripherals that haunted the industry until the mid 90s. This 'disassembly' meant that IBM was no longer able to dominate the IT hardware industry and sell a very high added-value solution instead of a system to which clients could buy components on the market much cheaper than IBM offered.

Now it has been suggested that the MC value chain, particularly strategy consulting, is being 'disintegrated'—like IBM's—due to the rise of new suppliers. Schmidt, Vogt and Richter describe the value chain of this high intellectual-capital form of management consulting as a four-step process that goes from knowledge-building to project setup to strategy development and concludes in strategy implementation (2005) (see Figure 2). They say that the major added value in strategy consulting comes from the grouping of the knowledge-building and strategy development steps as one package. The added value, like in most bidding proposals, is greater if the client lacks full knowledge (Porter, 1980). The challenge to this added value offering is the possibility to outsource the information gathering that goes into knowledge-building. Today much of the information gathering can be offshored quite effectively to Indian specialists. At the same time strategy implementation can increasingly be done by implementers like Accenture that provide a seamless integration with IT-based solutions, or be done by firms' own internal strategic services groups (Schmidt, Vogt, & Richter, 2005).

Insert Figure 2 about here

Although these ideas are provocative, we find that offshored information-gathering is not the same as information-building and does not call into question the intellectual capital base of management

consulting. As our description of the characteristics of the MC profession suggests, there is a virtuous link between talent, knowledge and relationships in the MC firm, and that knowledge is not just industry statistics but experience-based as well; the 'inside' knowledge of firms and industries resides in the senior consultants themselves. Junior consultants are initiated by the MC firm into their ways of thinking and developing solutions that makes their knowledge proprietary, and not a commodity.

Commodification

The other trend that apparently jeopardizes the added value of management consulting is 'commodification'. This occurs when management consultancies apply 'exploitative' activities rather than 'explorative' ones, i.e., they develop 'routine recipes' from customized solutions designed for clients; these become 'repeatable' solutions and engender high volume practices. Commodification requires the transformation of unstructured problems and solutions into standardized problems and solutions that can be codified as explicit rather than tacit knowledge. Business process reengineering (BPR) is an example of standardized repeatable knowledge (Van den Bosch, Baaij, & Volberda, 2005). Commodification leads to commoditization in the industry because standardized solutions become imitable and attract new entrants with cost advantages, thus driving the industry to price competition. This is just the kind of consulting that ITSP firms are first drawn to. However, we argue that explorative activities that are the foundation of MC's added-value offering will continue to be conducted by seniors who do not rely on knowledge bases and recipes.

Evolution of IT services and consulting

Information Technology Services (IT services) are no easier to define than management consulting. First, they are certainly an offshoot of Management Information Systems (MIS) and related to computing and software development. However, many firms that may provide such services (ITSP) today may not do software development of any scope. We are therefore confronted with overlapping expressions like ICT that groups together information and communications technology, IS that usually refers to IT information systems, or more recently, Information Technology Enabled Services (ITES) that deliver many commodity services done for firms using IT capability; this may include call centers and other offshored services.

One thing that characterizes the actors in this large and ill-defined industry is that they supply services that may weigh heavily in the cost structure of their clients, and these clients will have a propensity to substitute (Porter, 1980) or reduce the costs accrued through these services. This explains why the history of IT services may be described as a series of 'waves' where client firms were caught in a 'make or buy decision' whether to insource or outsource activities that were related to IT. On the other side, ITSP firms have constantly sought after ways to add value to their services by entering into their clients' value chains, most often through 'bundling' strategies and consulting; the goal has been to 'capture' business knowledge that was a core competence of the client firm and provide broader service packages for the client—packages that would migrate value to the ITSP—or permit the ITSP to move into management consulting as a added-value diversification.

The history of IT services for business begins with the mass production of the IBM mainframe 1401 that started in 1959 and that could be afforded by many businesses worldwide. The 1401 model was

sold throughout the 60s and withdrawn from marketing in 1971.[17] However, it had a major effect on business management and the concomitant rise of IT services. Very quickly business firms were faced with the decision to lease their own computer and the accompanying infrastructure or outsource the services they sought to data centers that sprang up in response to the new technology-driven business opportunity.

The two value chain approaches that grew out of the rise of IT as a component of business operations, and the strategic piloting of the firm—outsourcing and insourcing—remain current, although their forms have changed. In the 1960s that saw the birth of EDS, Andersen Consulting and Capgemini, firms either set up corporate electronic data processing centers (EDP departments) or farmed their information processing out to 'business bureaux' that did the commodity keypunch activities. At the beginning, EDS established data centers that provided infrastructure and data management for outsourcer firms that wanted to avoid the fixed cost intensity of IT; on the other hand, Andersen Consulting (now Accenture) entered the field by developing MIS software for firms' 'internal' use and carrying out systems integration (SI), and Capgemini provided outsourced data processing through service bureaus, a kind of data center service for smaller firms in Europe. A variety of offerings rose up worldwide addressing these two value chain approaches, providing greater or lesser degrees of outsourcing and/or insourcing.

Another IT service quickly arose: technical assistance or 'bodyshopping' as it is more commonly known. 'Bodyshopping' was essentially the 'renting out' of IT personnel, programmers, systems managers and technicians to client firms that do not wish to add IT personnel to their payroll: this 'rented-out' staff was trained by the provider and was kept on the providers' payroll. There was commitment by the provider on quality of service but no guarantee of results or of continuity of personnel; the ITSP firm reserved the right to shift programmers to another job where their skills were needed and replace them with other staff suited to the assignment. Bodyshopping remains current, and, for the last two decades, has been widely practiced by Indian ITSP firms sending programmers overseas, allowing their clients to benefit from the highly competitive Indian wage scales. However, bodyshopping has been on the decline due to the increase in total IT offshoring. Bodyshopping resembles the business of temporary work agencies; the work is done on the client's site and it is of low added value, because clients 'have full information' (Porter, 1980); they can see the cost structure of the service provider as information about the wages levels of technicians and engineers is readily available on the market.

By the 1990s, the shift to client-server networks made the mainframe-based EDP centers of corporations less necessary and provided impetus for outsourced services like Facilities Management (FM). This offering was different in that in 'exported' the client firm's in-house infrastructure, personnel and software applications to the ITSP firm but 're-imported' the whole package back to be operated on the client firm's site and billed the client for a single service including hardware, software and personnel. FM was a way of providing a added-value package because client firms could not easily see the cost of the individual components.

Simultaneously, the business of systems integration (SI) developed; what Andersen Consulting labeled 'Business Integration'. SI went hand in hand with the rise of IT Consulting. ITSP firms now offered to 'tie together' the whole of firms' business systems through IT, developing proprietary

[17] http://www.vikingwaters.com/htmlpages/MFHistory.htm

software, first customized for their clients, then standardized and sold as packages to other client firms. This software offering could easily be grouped together with an FM contract, where the ITSP firm redesigned the information system of the client firm, provided or updated the hardware and software infrastructure, provided the personnel to run the system and sold the whole 'bundle' back to the client to be operated on its site. To do this, the IT consulting arms of ITSP firms needed to gain privileged access to client firms' business models. Whereas in the era of the corporate EDP Center, IT consultants had interfaced with the EDP manager, they now dealt with C-level executives and even the COOs and CEOs of client firms. The IT decision had become ever more 'strategic'. The ITSP firms added organizational, strategy and change management offerings to their consulting offerings. Linking organization to information flows and knowledge management, reviewing strategic goals and leading the change necessitated by new information structures fit in with the rebuilding of corporations' value chains. IT consulting firms began to attempt to sell 'vertically', i.e., enter the sales process at the IT end and sell 'up' to strategic and organizational consulting services.

However, added-value services seemed to 'flee' the ITSP firms. Software specialists like Microsoft and Oracle soon developed corporate operating systems on which all firms could base their information management. This standardization tended to drive out the 'fragmented' intellectual property (IP) offerings of the ITSP firms and force them to focus their software development efforts on simply personalizing the major operating systems on the market to suit clients' needs; they had lost much of the IP advantage. To a large extent, they remained technology vendors and implementers for MC firms. The arrival of Enterprise Resource Planning software (ERP), initiated by SAP in the late 90s, provided more work for the ITSP firms who partnered with ERP software developers and implemented their systems for client firms. ERP software, which tied together knowledge from the different functions of the enterprise and contributed to knowledge management (KM), did not provide access to the core competences of the client organizations or allow IT consulting firms to acquire the intellectual capital of true management consulting with its customized and unstructured problems. The implementation of standardized 'solutions' available on the market was a business that could be entered by any cost leader with the necessary 'toolbox'.[18]

This trend was accelerated by the reengineering movement that swept management in the 1990s. The emphasis of reengineering was "on decomposing, examining, and standardizing activities necessary to complete a business process. Reengineering, by stressing the detail consideration of the cost-effectiveness of business processes, sensitized management to the possibilities of outsourcing" (Henley, 2007, p.115). MC arms of ITSP firms, like Gemini Consulting, that participated in the movement were victims of their own success. Making a good living off reengineering and the accompanying change management programs, the MC arms of such firms provided business for their 'downstream' owners in the form of IT service 'outsourcing' contracts. However, they had initiated a 'disassembly' approach to clients' value chains and, in doing so, contributed to the growing sophistication of corporate executives who had long been haunted by the difficulty of managing IT systems at the same time they were trying to manage the core competences of their business models. When executives learned that value chains could be disassembled, they realized IT was a function that could be totally outsourced and then the core aspects of their business models could be

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[18] This section on the Evolution of IT services draws primarily on the experience and field study over the years of the authors rather than any academic sources.

'reintegrated'. This change in management mindsets drove corporate executives to seek out the lowest cost provider possible and led them to resort to outsourcing, then offshoring, IT services. At the same time, corporate executives frequently created corporate consultancies within their firms to work on the integrated parts of their value chains, making it unnecessary to call on outsiders (Sandberg & Werr, 2003).

The virtuous contribution of reengineering to the offering of IT consulting firms was to diversify them from systems integration (SI) into business process reengineering (BPR) and then business process outsourcing (BPO). They became more involved than ever in disassembling firms' value chains, more focused on a cost-leadership offer and less involved in the integration of value chains. The later moves of major players like Accenture into supply chain and alliance management brought them closer to major strategic choices, but this has not been the case with most IT consulting firms.

three Case studies[19]

In this section we will draw on three field work case studies carried out by the authors that illustrate the advantage of IT insourcing providers over 'outsourcees' when attempting to move into the field of management consulting as we have defined it. First, we will discuss Capgemini as a example of a Western firm that has had difficulty in overcoming its past in IT consulting and outsourcing when attempting to carry through such diversification due to its disassembly and cost leadership focus; second, we will give the example of SAS Institute, that by the development of a leadership position in business intelligence software has moved into quasi-management consulting because it is an insourcing provider at the level of the core competences of client firms, a contributor to firms' capabilities and has acquired an intellectual capital based on in-depth industry and firm knowledge and, third, we will discuss Sonata Software, an ambitious offshore provider of outsourcing in India and its difficulty in accessing added-value services and moving into business-knowledge intensive services and consulting due to its essential business model as a disassemble and remote services provider.

Capgemini

Capgemini was started in Grenoble, France in 1967. Originally called Sogeti, the firm underwent spectacular growth over the years and through a series of mergers and acquisitions became the leading European ITSP firm by the late 70s. Over the years, Serge Kampf, the founder, continued his strategy of mergers and acquisitions to build a true multinational firm in IT services. Starting like so many other firms in the IT services business, Capgemini started opportunistically, providing a gamut of services to the nascent IT industry: bodyshopping, acting as a vendor of hardware for American producers and providing external processing for firms in their own data centers. At the outset, it was difficult to see what services would win out in ITSP. Over a decade later in the 1980s, Capgemini abandoned its vendor and external processing businesses. First, it was felt that the vendor business did not allow the company to develop intellectual property (IP), thus was low added-value, and generated a conflict of interest for its IT consulting business by recommending the products of certain manufacturers and not acting as an independent problem solver. Second, the external processing

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[19] The three case studies on IT services firms draw primarily on the experience and field study of the authors over the years rather than any academic sources.

business was becoming too capital intensive for the firm; Capgemini decided to abandon external processing to firms like IBM who produced the mainframes, and EDS, specialized in investing in hardware and running data centers.

In its search for added-value business, Capgemini refocused on systems design, systems analysis and applications programming gradually moved away from bodyshopping to 'fixed price contracts', total IT service packages sold to client firms on a bidding basis. Fixed price contracts allowed Capgemini to realize added value not available in bodyshopping or data centers, since the client could not exactly measure the costs of the personnel and materials included in the package. The shift to fixed price contracts meant Capgemini needed to grow its IT consulting services to design the packages in conjunction with clients and to prepare the bids.

Capgemini is particularly interesting because in 'assembling' the company through acquisitions in the 80s and early 90s, Kampf brought together under one umbrella very different national ITSP business models. The German, French, British and Danish models of IT Service provision were very different; for example, the British did not practice body shopping as much as the French, however, they developed Facilities Management. This made it difficult for Capgemini to develop a single IT service offering and perform added-value consulting activities. In the 80s, although Kampf was part owner of Bossard Consulting, feeling that Capgemini lacked the skills, he hesitated to move the group into organizational consulting. In late 1990, Kampf diversified into in strategic consulting by bringing together three consulting firms and forming Gemini Consulting. The diversification proved successful, with Gemini Consulting proving to be a successful specialist in reengineering, organizational design and change management. However the two firms, Capgemini and Gemini Consulting, always had difficulty working together because of very different mindsets; the IT consultants did not think in management consulting terms, did not aim at selling added-value strategic and organizational solutions, and preferred to sell IT solutions and process software (Hurt, 1998).

In 2000, Capgemini merged with the consulting arm of Ernst & Young (EY). Over the years Capgemini had repeatedly failed to gain a serious foothold on the American market. The merger with Ernst & Young came at a time when auditing firms were pressured to separate their auditing and consulting businesses, and seemed to offer Capgemini the major success it had long sought in management consulting. However, from the beginning the merger was haunted with integration difficulties, not because of differences in national culture but because of differences in strategy and core competencies. EY's core competencies reflected its history as a mainline consulting company, enjoying a strong reputation, in-depth industry knowledge and a methodology to guarantee quality. It strategy was one of 'focused differentiation' and relied on it 'partner relationship' selling approach. Its long-term client orientation was aided by its 'partnership' model and did not under the same pressures as publicly traded firms to turn out revenue and profits. Capgemini was very different: it focused on IT services and targeted a broader range of customers than EY. It had developed a 'low cost', 'transaction-based' business model in the IT market and used a push selling approach with a dedicated sales force that aimed at selling CIOs on IT projects. CG lacked the level of access to client top executive teams enjoyed by EY. Prescriptive business solutions were only provided through Gemini Consulting.

Conflicts arose in attempts at cross-selling activities. EY consultants hesitated to 'push' CG technology offers; it undermined the independence and positioning of a management consultancy. CG demonstrated an inability to manage the 'talent' of the consultancy firm; CG did not understand

the entrepreneurial nature of the consultants who ran their own 'businesses' and 'owned' their own projects; they also enjoyed higher compensation than CG executives. CG ran a more 'hierarchical' mechanistic organization more suited to cost leadership strategies. The EY consultants performed higher level consulting and did not consider CG technology consultants as equals (Malhotra & Pierroutsakos, 2005).

The EYCG merger demonstrates that older firms, although they demonstrate reliability, accountability and legitimacy, are often constrained in their actions owing to deeply engrained organization processes and routines or dominant logics that turn core competencies into core rigidities (Prahalad & Bettis, 1986; Semedeni, 2006).

SAS Institute

SAS Institute followed a very different trajectory in IT services than Capgemini. Around the same time as the founding of Capgemini, the founders of SAS Institute entered IT services with a software program called Statistical Analysis Software that gave its name to the SAS Institute when it was established in 1976 by Dr. Jim Goodnight. The SAS software program was designed to carry out statistical analysis for any industry, unlike many of the industry-specific software programs that were being developed for specific industries at the time. SAS's main competitor was the Statistic Package for the Social Sciences, otherwise known as SPSS. The two software programs were to follow very different evolutions over the coming years: SPSS would become the most widely used statistical analysis tool in academic circles and SAS would make a place for itself as a crucial component of business corporations' and major institutions' management systems.

The strategy followed by Goodnight could be described as a 'virtuous business cycle' based on managing and maintaining relationships with client organizations. Even before the founding of the Institute, Goodnight organized a SAS Users Meeting that brought together client firms' executives for a discussion of their applications of SAS. The Meeting became the SAS Users Group International Conference (SUGI) and has been held every year in the history of the firm. Goodnight understood the importance of talking with the Institute's client and developing SAS software in line with the input the Institute got from its customers. In a sense, the approach could be called 'co-design'.

Over the 30 odd years of its existence, SAS's business was based on its core product, however as computing evolved and companies became more demanding in their need for interpretable data, the SAS software gradually evolved into a platform to which other services could be added on. In the late 90s and the beginning of the new millennium SAS[20] developed its software into a Business Intelligence (BI) platform that included 'solutions' at both the level of client firms' functions (horizontal solutions) and at the level of their specific industry needs (vertical solutions). By the end of this period, SAS held a strong position in all the industry solutions of its offering, but it had become a privileged provider of services for several of those industries, healthcare, insurance, government, banking, and retail, either because of a long relationship with clients in those industries or because new solutions had been developed specifically for a client industry.

In the terms of our paper, SAS has always been an 'insourcing' provider, working closely with client firms to understand and contribute to the design of intelligence links between the parts of their value

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[20] Although the firmøs name was the SAS Institute, it was always called SAS like its software. SAS Institute has officially changed its name to just SAS because it felt the word Institute harkened back to its more academic origins and made it seem like an ivory tower company rather than a business-oriented company.

chains. As clients intelligence needs grew greater, SAS needed to acquire more expertise in organizations' functions: financial management, marketing, HR, etc. Moving into the business of 'solutions' led SAS to work even closer with firm management and build a talent pool and body of knowledge close to the core competencies of its clients. Acquiring expertise for industry solutions drove SAS even further is its knowledge building, always working in a mode of co-design with its client firms. Since the mid 90s, this evolution has led SAS to recruit more and more business and industry specialists, consultants in effect, to merge with its technological people. The consultants act very much like entrepreneurs, managing their own knowledge and contacts, and work on managing relationships.

Close relationships with its clients are fundamental, all the more since SAS adopted a subscription business model rather than the more prevalent perpetual pricing model used by most software vendors. In SAS's model the clients pays an annual license fee plus a maintenance and support fee. Upgrades within the license period are included. Subscriptions are renewable at about 50% of the starting license fee. The subscription entitles the customer to all new versions of the software without charge. SAS's teams are therefore constantly working as insourcing providers with their existing clients on upgrading SAS software for different industry's changing demands.

MC consulting activities are built into SAS's business model as it exists today. SAS enjoys great added value because of its profound understanding of business functions and in-depth industry knowledge. It has added a pool of consulting talent that very much 'owns' the knowledge, and SAS faces the difficulty like all MC firms of tacit knowledge transfer, although much of the knowledge can be codified into explicit knowledge through software. To a large extent, we can say that SAS has already diversified into management consulting through its access to the core competencies of its clients in designing its BI offerings. Like a management consultancy it uses a system of alliances for a large percentage of its implementation.

Sonata Software

The history of Sonata Software since its spin-off from a chemicals firm in 1992 provides an excellent example both of the challenge facing Indian software and services firms as well as of an aggressive strategy to meet that challenge. As Rajat Gupta, former Managing Director of McKinsey Consulting, sees it, "the biggest challenge [for India-based software-service firms] is how to migrate up the value chain" (quoted in Singh, 2001: p 42). Sonata's history shows its unrelenting drive to migrate up the IT value chain. To do this, Sonata went international very quickly, understanding that India-only products and services would not offer the long-term opportunities it sought in what it perceived as a global ITSP market. Within and without India Sonata has built much its reputation and growth on partnering with independent software vendors (ISV) like Microsoft and Oracle among others. The motives are primarily strategic, focusing on access to new domains and the acquisition of new technologies and skills. The services Sonata provides for ISV include outsourced product development and implementation. To client firms it offers a wide range of Enterprise Solutions such as business consulting, technology architecture, application development, reengineering & maintenance, packaged-software implantation and testing services. These are services that are typically offered by ITSP firms.

However, in its drive for added value, Sonata has worked in the direction of what Rajat Gupta said would be the next wave in India-based IT services, 'remote services', services outsourced but also offshored, a possibility that India with its large population of well-educated engineers and its low

wage scales and infrastructural costs can offer. As part of developing its 'vertical' knowledge and brand equity, in 2006, Sonata entered into a joint venture with the European travel giant, TUI AG by taking a 50.1% holding it TUI's IT arm, InfoTec. The joint venture will allow Sonata to sell its services throughout Europe but also develop greater industry, or domain, expertise for its IT solutions offerings.

In remote services, Indian ITSP today can only 'migrate up the value chain' through offering a total package in a cost-effective package based on their high level of IT and IT service skills and their competitive cost structure. Their access to client firms' value chains remains a reengineering and a 'disassembly' approach. Although designing and managing outsourced services that are also offshored (or dual-shored[21]) will help them develop vertical expertise, in the short term, it will also keep them too remote from client firms' core competences to allow them to develop the competences for true management consulting, which are of a very different nature.

Conclusions and limitations of the study

Our three case studies lend credence to the argument that ITSP have difficulty diversifying into management consulting because their offering and competences are most often linked with the disassembly approach of outsourcing. Such ITSP have remained excluded from the core competencies of their clients. This exclusion has been exacerbated by the evolution of IT and adjacent industries and by the strategic refocusing of firms that has marked the last two decades. On the other hand, 'insourcing' ITSP, through their integrative approach, may access the core competences of their clients and integrate their value chains by making a major contribution to such core competences, playing a long-term role in the leading of their clients' strategies. In doing this, they are privileged in their ability to 'capture' the intellectual capital of their clients, like management consultants, and may be said to diversify into MC.

The limits of this study are many; our goal was primarily to break ground on the differences between IT consulting and MC. Although drawing on the literature as a way of looking into the competence set of MC and its KFSs, our case studies are based on qualitative research in the field. More case studies are need. As well, further exploration into the differences between IT consulting and MC will require a series of papers detailing and describing in detail the activities of IT consulting as well as of MC. Serious work in framing the research will be necessary before carrying out empirical research on the subject.

Other issues need to be explored, such as the outsourcing and insourcing decision processes, a subject that goes hand in hand with determining what kinds of IT are linked to core competencies, and an analysis and categorization of the knowledge capital of ITSP.

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[21] Dual-shored means that the ITSP keeps an office on the foreign client's site to maintain close contact with the home office staff and does the bulk of the IT service work in India.

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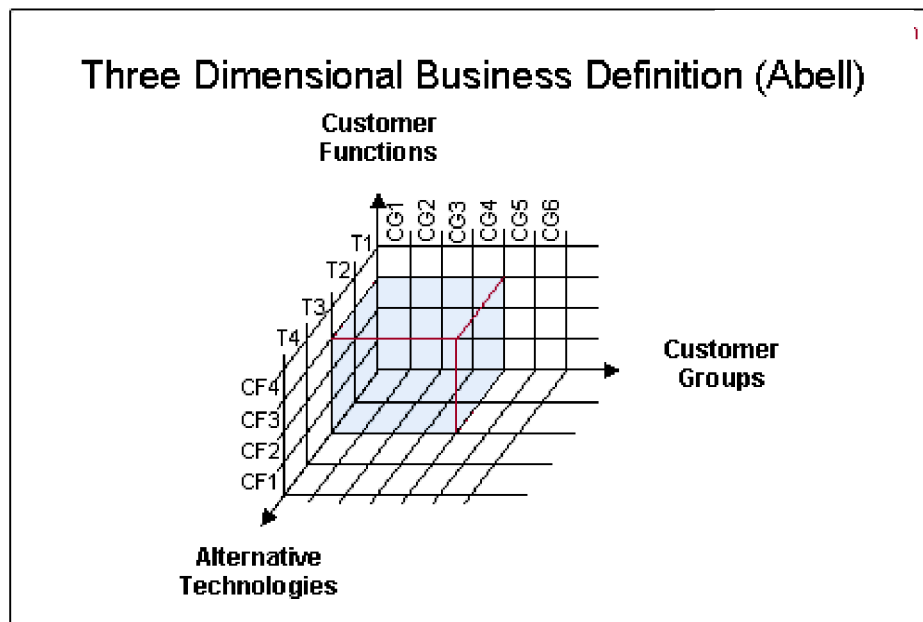
Exhibits

figure 1

From Schmidt etc.

Figure 2

Figure 1. COMPONENTS OF THE STRATEGY CONSULTING VALUE CHAIN

Knowledge building ➡	Project setup ➡	Strategy development ➡	Strategy implementation
· Data gathering and synthesis · Analytical services (financial models, primary research) · Knowledge sharing and distribution	· Project scoping and planning · Resource requirement definition · Consultant selection and matching · Contract negotiation	· Issue structuring, issue analysis · Analytical problem solving · Strategic option generation · Option assessment and prioritization · Creation of implementation blueprint	· Development of implementation master plan · Definition of implementation initiatives · Setup of project office · Continuous guidance and quality control · Performance measurement

Curriculum Politics And the 150-Hour Requirement

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Abstract: One of the most significant changes to the accounting profession, certainly to accounting education, has been legislation requiring 150 semester hours to become a Certified Public Accountant (CPA). That change has been controversial and slow in completing. The interrelated questions about this issue for the research being presented by these authors include whether the widespread existence of a 150-hour education requirement demonstrates that sufficient support existed among CPAs working in the profession to justify its implementation in each state, whether sufficient support exists among those CPAs now, after living with the requirement, to justify its continuation, and whether the accounting profession is willing to listen to on-going feedback of the profession in objectively evaluating the viability of the requirement. As a follow-up study on earlier published research, the authors further explored empirically the perceptions of CPAs working in the profession regarding the accomplishment of several original objectives of 150-hour requirements. These empirical results are included as an appendix in this current paper. However, it is the detailed chronicling of events surrounding the authors' attempts to publish the empirical results that provide the most significant methods and results. These events are discussed as reason for readers to consider whether legislation and implementation of the 150-hour requirement occurred in the past and continue to exist in the present due to a sustained belief in the attainability of its objectives through the existing model and a widespread approval of its results, or due to something else.

Keywords: accounting education, CPA, 150-hour requirement

One of the most significant changes to the accounting profession, specifically for accounting education, has been the addition of law requiring 150 semester hours of college credit for becoming a Certified Public Accountant (CPA). That change has been slow to accomplish on a nationwide basis, and has not occurred without controversy. What beneficial objectives were purported for implementing a 150-hour requirement, and have these objectives been met by legislation enacted? What have been the actual reasons that the various states have adopted such legislation? Are the answers to these questions the same? Does virtually unanimous adoption of a version of 150-hour legislation signal unanimous or even widespread majority approval and support for it among CPAs "in the trenches" of the profession? These questions are not necessarily answered by the analysis of somewhat easily quantified data such as CPA exam pass rates and numbers of exam participants— measures that have been researched on a relatively thorough basis. Less extensively researched have been the accomplishments of more qualitative objectives of the 150-hour requirement and the perceptions of CPAs at a grassroots level about that accomplishment, as well as the perceptions of these CPAs regarding the various 150-hour laws themselves. Perhaps even less has been published about any linkages between these grassroots level CPA perceptions and the enactment of legislation and continuation of 150-hour education laws. The study reported here seeks to shine light on what might be insights for less published and perhaps less officially championed answers to such questions and topics.

This paper is different than many. It takes an unconventional approach in identifying the research question, methods, and results. Readers who perceive a need for numerical data to signal the existence of such methods and results are urged to consider carefully the appendix of this paper. Indeed, readers are urged to consider this appendix anyway, since it reports valuable information. However, the main body of this paper utilizes non-quantitative language to communicate the nature of the research being reported. Specifically, the following are the interrelated research questions for this study and its reported results:

- Does the virtually unanimous existence of a legal requirement for 150 hours of education demonstrate that sufficient support existed among CPAs working in the profession to justify the implementation of such requirements?
- Does sufficient support among CPAs working in the profession exist now, after varying lengths of time living with those 150-hour requirements, to demonstrate their viability and to justify their continuation?
- Is the accounting profession willing to listen to on-going feedback of the profession in honestly and objectively analyzing the viability of the 150-hour requirements by evaluating their effectiveness in achieving their originally purported objectives?

A detailed chronicling of events provides the methods and results for researching the questions identified above.

Review of Literature

The state of Florida passed legislation in 1979 establishing the first 150-hour education requirement for individuals to become CPAs, thus beginning a movement toward a nationwide requirement for this quantity of education for CPAs. Some would characterize this movement that has followed as a steady march forward; others would consider it more as being dragged, kicking and screaming. It is noteworthy that it has taken the accounting profession approximately thirty-five years to reach this point of (almost) unanimous requirement among the states of this level of education for CPAs. Also, even after legislating a 150-hour requirement, some states have afterwards modified that requirement. Most states did not follow suit with Florida until at least the 1990s, and three states have not yet implemented their 150-hour requirement. Population and financial powerhouse California only implemented the requirement January 1, 2014. Of 54 jurisdictions reported by the American Institute of Certified Public Accountants (AICPA) on its website, 53 have passed legislation for such a requirement. Only the U.S. Virgin Islands has not passed such legislation (American Institute of Certified Public Accountants [AICPA], 2012).

In considering questions identified in this paper's Introduction, one author of this paper who will hereinafter be known as the "Georgia author," began considering a research project in late 2001, largely as a result of hearing a paper presented at a national meeting of accounting educators and practitioners that seemed to be focusing greatly on CPA exam pass rates for the answer to the paper's stated question: "Are there benefits?" A paper by the same authors with a similar discussion was published in the *CPA Journal* (Read, Raghunandan, and Brown, 2001). Remembering personally that the oft-stated proposed benefits for the 150-hour requirement among the profession's institutional proponents in the "early years" focused on producing accounting graduates who were more broadly educated in important fields besides "pure accounting," the Georgia author researched published statements by various authorities in the profession about the objectives for the 150-hour requirement.

For example, in 1989, the *Journal of Accountancy* published an interview of Rick Elam, then vice-president—education of the AICPA regarding "Meeting the New 150-hour Standard." This article noted that the profession had overwhelmingly approved a proposal in 1988 that would require, beginning in 2000, AICPA members to have completed 150 college-level semester hours, including a bachelor's degree. The article also stated that the profession needs more "broadly educated professionals who are technically knowledgeable and have analytical and communication skills and a greater cultural awareness" (Collins, 1989, p.55). The article further summarized that, "while the Institute advocates more education to be accountants, we don't mean more accounting education" (Collins, 1989, p.56). The article also quoted Dr. Elam as saying that, "the Institute strongly advocates that CPA candidates take more liberal arts courses because those with a broad education are much more likely to have long-term success" (Collins, 1989, p.56). Subsequent such articles and position papers through the 1990s added elements of specificity to these identified objectives, and these seemed to evolve somewhat to recognize

more professional practice attributes. Meanwhile, many accounting education programs developed to satisfy 150-hour requirements seemed to gravitate toward more accounting.

Recognizing that CPA exam pass rates are relatively easily quantified for research studies while some of the more qualitative objectives for the 150-hour requirement are not, the Georgia author considered the accomplishment of these more qualitative proposed benefits to be, for many working in the profession, the real story for this significant change in the profession and the success of legislation that requires it. In an effort to get at this real story, this author surveyed veteran observers of the educational requirement for preparing CPAs—accountants in public practice, industry, and government. He researched <u>perceptions</u> of practitioners themselves about whether or not new hires who had recently gained the required education to take the CPA exam were more prepared and capable in the attributes identified as objectives of the 150-hour requirement than new hires that were eligible to take the exam had been before the implementation of the requirement. This author surveyed approximately 3,000 CPAs in what was then his home state of Georgia about these perceptions, and published his results in 2003 in the *CPA Journal* (Georgia author, 2003).

CPAs surveyed in late 2001 in Georgia were in the profession in a jurisdiction that had implemented the 150-hour requirement in 1998; this had provided enough time for CPAs to begin seeing actual results of the additional education requirement, but not enough time for memories to fade about how things had been prior to the requirement and the benefits for it that had been purported. When the Georgia author attempted to secure documentation of the objectives for legislating the 150-hour requirement in Georgia specifically by contacting that state's board of public accountancy, he was unsuccessful in obtaining such documentation due to the length of time since the legislation and the board's records retention policies. It is noteworthy for this current paper that he did however obtain the <u>perception</u> from conversations that the lobbying in favor of the legislation at the time was based at least somewhat on the fact that adjacent states had already passed the legislation for the 150-hour requirement. Florida, as already noted, adopted in 1979; Tennessee adopted in 1987; and Alabama adopted in 1989 (AICPA, 2012). This orally gained <u>perception</u> included the idea that, had Georgia not followed suit, it likely would have found itself flooded with "immigrant" exam candidates. Also noteworthy for this current paper is that the state of New York—with the *CPA Journal* historically associated with the accounting profession in that state—had still not implemented the 150-hour requirement when that journal published the Georgia author's research in 2003. New York implemented its 150-hour requirement in 2009 (AICPA, 2012).

In the "In Brief" summary of that 2003 *CPA Journal* article, the *Journal* noted the objectives of the requirement and asked "But is it working?" The *CPA Journal* assigned the sidebar title for this article "Time to evaluate effectiveness" (Georgia author, 2003, p.26). In the concluding section of that article, the Georgia author stated the following:

> CPAs continue to be sharply divided about the value of the 150-hour requirement, with impassioned opinions on each side. Evidence of success or failure of the requirement in meeting its objectives is only beginning to become available. Much more evidence is needed before the profession congratulates itself or considers a

return to the drawing board…. While perception is clearly subjective, it is the perception of those in the profession that will ultimately judge the value of the 150-hour CPA exam requirement and determine its success in meeting its objectives (Georgia author, 2003, p.30).

Methods

In 2009, the Wisconsin author of this current paper contacted the Georgia author indicating that she had interest in the question of the effectiveness of the 150-hour requirement, that she had read his previously published work in this subject, and that she would like to collaborate in a follow-up study. With some jurisdictions having still not adopted 150-hour requirement legislation, with others having already modified their 150-hour requirements, and with discussions of further modifications and even repealing existing 150-hour requirements in some states, these authors considered it to perhaps be "time to" (again) "evaluate effectiveness" (Georgia author, 2003, p.26). The geographic, economic, and cultural differences between Georgia, the focus in the previous research, and Wisconsin, promised to add value for such a follow-up by expanding the knowledge to be gained about perceptions of CPAs regarding the effectiveness of the 150-hour requirement. Accordingly, the survey instrument utilized for the Wisconsin study was intentionally almost identical to that used earlier in Georgia in order to facilitate the comparability needed to expand this knowledge of the perceptions of CPAs.

In this follow-up study, over 6,000 CPAs in Wisconsin were surveyed regarding their perceptions about changes in the capabilities of new staff accountants eligible to take the CPA exam, comparing those hired prior to the 150-hour requirement to those hired after its implementation (as the Georgia study had done). These perceived capabilities of CPA-ready employees focused on an almost identical list of qualitative characteristics as had the earlier Georgia study; this list was originally developed by analyzing the objectives for the 150-hour requirement stated by its proponents in the early years of the 150-hour "movement." The results were analyzed regarding the many similarities and the few differences as compared to those of the earlier Georgia study. Even more than with the Georgia study, the most insightful information from the Wisconsin study came via feedback from CPAs that was not easily quantified. Just as most CPAs know that the most interesting story in a firm's financial statements is often in the footnotes, the most interesting story in the research results of perceptions of Wisconsin CPAs about the 150-hour requirement was perhaps in the open comments. The fact that almost exactly one-half of the Wisconsin CPAs who participated in this research chose to add comments to their survey responses illustrates the level of interest that still existed in the topic of the 150-hour requirement and quality of accounting hires. One hundred and forty-five Wisconsin CPAs eagerly provided statements that ranged from terse one-liners to detailed theses.

With no axe to grind or dog in this "fight," the Georgia author and the Wisconsin author objectively evaluated these open comments from the Wisconsin CPAs, grouped them into categories, and summarized them as they wrote the paper reporting their research results. In

many cases, direct (anonymous) quotes were provided, since these CPAs said better than anything the authors could have substituted the perceptions they held about the 150-hour requirement and quality of exam-eligible employees. The authors provided the following
conclusion to their research paper under the subheading "Consensus Continues to Elude the Profession:"

> Comments from Georgia CPAs in 2001 revealed sharply divided positions with impassioned opinions on each side about the effects of the 150-hour requirement; comments from Wisconsin CPAs in 2009 provided no exception to this pattern, and even emphasized it. While open comments from research results defy quantification and are therefore susceptible to a criticism of being "only anecdotal" and clearly subjective, it is from reading these comments that one can see clear pictures of the perceptions of CPAs about the 150-hour requirement. Arguably, the prolific and often pointed comments from the Wisconsin CPAs are the most enlightening results from this research. As the dust continues to settle following the implementation in most states of some version of the 150-hour requirement, it is this perception about its costs and benefits that will determine its success in meeting its objectives and its viability for the future of the profession.

(The authors note again here that the entire paper reporting the results of the Wisconsin research is presented in the appendix to this current paper.)

These authors submitted their research paper for publication consideration to the *CPA Journal* on June 2, 2010. It was hypothesized that since that well-known and well-respected practitioner-oriented journal had published the Georgia study a few years prior, and since the paper submitted provided an updated and expanded "re-evaluation" of CPAs' perceptions about the effectiveness of the 150-hour requirement on quality, that journal would perhaps be more likely than some to have an interest in publishing this paper. At that point, the authors gave no consideration of the fact that the state of New York had implemented its own 150-hour requirement in 2009, six years <u>after</u> it had published the earlier work by the Georgia author (AICPA, 2012).

Results

On June 24, 2010, the *CPA Journal* emailed the contact author acknowledging receipt of the submission, and stating that it would be "reviewed promptly by the Editorial Board." On September 22, 2010, the *CPA Journal* emailed the contact author with the two reviewers' comments, stating "our editors and reviewers believe the manuscript needs to be revised along the lines of such comments before it can be considered for publication."

Having some experience with "revise and resubmits," the authors carefully analyzed the comments by the two reviewers to ascertain what input for improvements or identification of flaws in the research or writing had damaged their product. Unfortunately, such analysis revealed virtually no such opportunities for improvement. Rather than constructive criticism
about how the manuscript about that research project was written and presented, the two reviewers offered instead strewn musing about other research studies that they "would like to see." Many of the reviewers' comments were couched in language that revealed a thinly

veiled emotional reaction to research that the reviewers personally would like to see go away—that they personally did not like. The authors recognize and accept that there is a burden of proof and an assumption of guilt when they seek to convince current readers that they are doing more than seeking absolution for their failed publication attempt. Consequently, the authors provide the reviewers' comments in their entirety (with parenthetical explanations and rebuttals from the authors), and invite the readers of this current paper to judge for themselves.

Reviewer 1 comments follow:

This article compares perceptions of Georgia CPAs taken in 2001 with more current perceptions of Wisconsin CPAs on the 150 hour education issue. The results indicate that both groups have surprisingly similar perceptions of the value of 150 hours of education. That perceptions are not favorable [sic]."

A problem in publishing such an article is that both of those states have, according to a cursory review of CPA pass rates, fairly good results on the exam. It is possible that in those states there was not much value added. (The reviewer seems here to be indicating that research results from two very dissimilar states, yielding very similar results, should be discounted or discredited because one thing that the two states did share was a relatively high pass rate for the CPA exam. However, the question researched and reported by these authors was not CPA exam pass rates; in fact, the submitted manuscript explicitly stated this while identifying what characteristics were instead being researched. It is possible that this reviewer was saying that Georgia and Wisconsin had relatively high CPA exam pass rates before their enactments of the 150-hour requirements because the qualities of their CPA candidates were superior to the norm—leaving little room for improvement following their increases in required education. Whether or not this was the reviewer's point is unclear to these authors, and that point seems unconvincing regardless.) Another variable is that the states have varied requirements within the 150 hour parameter. Some states would allow candidates to take the other 30 hours at a community college. Some candidates have masters degrees. I'd like to see an article that looks at different states and shows which variety of 150 hour requirement work best [sic]. (The remainder of this reviewer's comments seems to the authors to be a description of an alternative study that he/she would like to see. While the authors agree that such research might be a worthwhile but entirely different study, it provided no identification of a flaw in the submitted research or manuscript, or an opportunity for beneficial improvement of either.)

Reviewer 2 comments follow:

The 150-hour requirement was first enacted in Florida in 1979, over 30 years ago. With California finally adopting it (effective 2014 as I recall), there are only a very few *minor states* [emphasis added] without this requirement. (With the central research question of both the Georgia study and the Wisconsin study being the perceptions of CPAs about the effectiveness of the 150-hour requirement, the authors wonder if CPAs in those states without a 150-hour requirement consider themselves, their states, and their views to be

"minor.") It isn't going away. Yet we continue to have these debates about it. It's time to move on, to no longer debate the past, but to seek continuing improvement in the profession for the future. (The authors were well aware of the duration of the profession's struggle with the 150-hour requirement, and had and have still no particular personal agenda to advance with their research. However, the authors were and still are aware anecdotally of strenuous and common discontent among accounting professionals with the requirement. What this reviewer seems to have wanted to be gained from the longevity of the 150-hour requirement in some states is that it makes it the status quo and, as such, inappropriate to "debate." However, a legal or regulatory mandate having been in existence for over thirty years in some states, while still not even implemented in others, does not make that mandate popular, successful, or appropriate. It does not mean that the profession being legislated or regulated cannot benefit from hearing from critics of that mandate.)

This paper is competently done, although getting 300 responses to 6,000 questionnaires is hardly a great response rate. (In the earlier Georgia study, the author addressed this in his original manuscript, and applied statistical methods to answer the possible criticism that the results were not representative of the entire population. Those methods indicated that the results were sufficiently representative of the entire population as to be significant, and the authors note that a response rate of 300 (5%) for an electronically received questionnaire, without incentives for participation, for 6,000 busy professionals seems reasonable. The *CPA Journal* chose, correctly so, the authors think, to omit in its 2003 publication the details of those statistical methods as being not of general interest to the readers. With a response rate in the Wisconsin study that was almost identical to that of the Georgia study, and with a larger absolute number of respondents in the Wisconsin study, the authors considered the relative strength of the 5% response rate to again not be something that should be pursued for purposes of the manuscript.) However, its findings don't really come through. Exhibit 2 has some interesting results. If we combine "somewhat" stronger/weaker and "much" stronger/weaker, we find the following are perceived to be stronger post-150:

- Maturity and professional judgment, 28.7%
- Competency with complex accounting, 25.4%
- Communication skills, 23%
- Analytical abilities, 22%
- Understanding of other business fields, 21.7%

On the other hand, the following are found to be weaker post-150:

- Commitment to the employer, 31.5%
- Commitment to the profession, 16.1%
- Productivity, 15.7%

The items listed on the somewhat/much stronger side are certainly outcomes that would be hoped for as a result of the increased education. The outcomes on the somewhat/much weaker side, however, seem to me to be more reflective of the times rather than outcomes of more education. We've seen many articles on the attitudes and work ethic of millenials and generation X. Just about everyone is less committed to employers today,

just as employers are less committed to their people. I don't think you can blame this on 150 hours. (This point by this reviewer seems to the authors as perhaps the only clear and specific suggestion provided by reviewers for improving the manuscript. However, the reviewer seems to be suggesting an aggregation of data that are reported in Exhibit 2 of the manuscript—implying that the combining of data for "somewhat stronger" with that for "much stronger" and the combining of data for "somewhat weaker" with that for "much weaker" provide better insight. It seems counter-intuitive to the authors that providing less detail about the results would provide better insight. The authors assume that readers of the manuscript could, if they choose, add the two numbers for each qualitative measure for the "somewhat" and "much" responses. More pointedly, the reviewer seems to be skirting the fact that the vast majority of respondents for these qualitative measures chose the response of "no difference," stating that they perceived no difference before and after the 150-hour requirement. Also, in the manuscript, under the subtitle "Analysis of Change in Quality Results," the authors discussed noteworthy examples of possible interpretations of results when "weaker" and "much weaker" were combined and when "stronger" and "much stronger" were combined. Nevertheless, the authors offered in their five-page response to reviewers' comments to happily provide this aggregation in Exhibit 2 or as a separate additional exhibit if the *CPA Journal* considered this beneficial. The *CPA Journal* instructed the authors to "include with any submission a memo outlining your response to the reviewers' suggestions or comments point-by-point, as well as an explanation of any comments with which you disagree or the reasoning behind any changes you have made." A final note is that nothing in the conduct of the research or the reporting of results with the manuscript revealed an intent or effort by the authors to "blame" anything on the 150-hour requirement, but rather simply to report research results. This reviewer's apparent sensitivity to the perceived "blame … on 150 hours" seems, especially in the context of his/her entirety of comments, to reveal a dislike for data that challenge his/her desire to protect the status quo of the existence of a 150-hour requirement.)

I'm not surprised that salary differentials have disappeared. In the Georgia study the 150 was newer; some candidates had it, some didn't, and a salary differential would be expected. Now virtually everyone has the 150, so it is harder to see a salary effect (to say nothing about the effects of current employment markets).   (This point by this reviewer references a feature of the research with both studies that has not been discussed thus far in this current paper; the authors invite readers interested in this additional dimension of the research to consider it in the earlier published Georgia study and the unpublished Wisconsin study—in the manuscript that is incorporated as the appendix in this current paper.)

Continuing to carp about the 150-hour requirement is unproductive, adds nothing new, and is getting tiresome. I don't think we need another paper to add to the many already in existence on this topic.

Having said that, I think a reformulated paper could make a contribution. We need proposals for the future, not a rehashing of the past. *Clearly the 150 has been less than an overwhelming success*, [emphasis added] though the "stronger" data above suggests it has helped. Can this data be a springboard for the author to propose what the profession needs to do next to improve both the reality and the perception of the preparation of entry-level candidates? We do not move forward by moving backward; continuing allusions to rescinding the 150-hour requirement are not helpful. It's solidly in place, but very much in need of continuous improvement. The data and commentaries in this paper could provide some ideas.

I would not recommend publication of the paper in its current form, as I do not think it makes a contribution. I would encourage a major revision along the lines suggested above, leading to proposals for strengthening the profession.

(In essence, what this reviewer suggested was not a revision of the authors' manuscript but rather a totally different manuscript, likely based on a totally different research project. It is very important to notice that the specific comments from respondents in the research, comments that comprised a major part of the manuscript, do provide much insight into the views of respondents about how this preparation of CPA candidates could and should be improved. The larger message of Reviewer 2's comments seems to be the reviewer's presupposition that the impact of the 150-hour requirement on the quality of new CPAs, as perceived by individuals working in the profession, is a dead issue. The consideration of quantitative data and the even more insightful extensive comments from respondents in this research was labeled "carping," "unproductive," "adding nothing new," "tiresome," and "moving backward." The reviewer seems to have been saying that the fact that the 150-hour requirement exists on a widespread basis and has existed in some jurisdictions for many years guarantees that it is and should be here to stay. Implied with this is that the authors were trying to foment debate with an issue that is settled.)

As mentioned earlier, the authors submitted, as instructed by the *CPA Journal*, a five-page response to the reviewers' comments on a point-by-point basis and the explanation of any comments with which they disagreed, including much of the reasoning offered parenthetically in the preceding paragraphs; this was submitted on October 20, 2010. Having heard no reply to this response of the authors to the reviewer comments, the contact author inquired to the *CPA Journal* on March 10, 2011 with the following: "Please tell me the status of our manuscript submission and subsequent response to reviewers' comments. Is our manuscript still under consideration by *The CPA Journal* for publication?"

The emailed reply the next day from the *CPA Journal* indicated that they had indeed received the authors' submission. Citing a "staffing issue" that they were "going through," it was noted that the authors likely did not receive an acknowledgement notice in October, along with an apology for this. It was further stated that the authors' manuscript "seemed to just fall through the cracks." This message concluded with the promise for an expedited process from that point. Five days (three business days) later, the contact author received an email from the *CPA Journal*

informing him that it was their opinion that "completely or substantially addressing the reviewer's comments would make for an improved submission," and stating "we're prepared to either withdraw this manuscripts from consideration or consider a "new" submission informed by the reviewer's comments." Not knowing how to more "completely or substantially address the reviewers' comments" than with the five-page response already submitted almost five months prior, the authors withdrew the manuscript for consideration by the *CPA Journal* on March 20, 2011. Perhaps more to the point, the authors were discouraged by the series of events, and questioned themselves about whether they had indeed heard what they heard about perceptions of CPAs regarding the effectiveness of the 150-hour requirement and about whether or not the profession did indeed still care about the question of its effectiveness. The authors found it almost impossible to reconcile the evidence with this conclusion, but nevertheless considered the possibility that this issue was indeed dead—one whose time had passed.

Seeking to salvage some value from the research done, the authors contacted the publication of a state society of CPAs on May 5, 2011 to see if perhaps that magazine would be interested in publishing the research results. The authors provided a brief abstract of the paper, along with a brief explanation of the context about the previously published Georgia study and the follow-up study. The reply the next day from that magazine indicated willingness to publish a greatly reduced length article, which would require the authors to drastically cut the manuscript from approximately 3,800 words to a maximum of 1,000 words. Due to the considerations identified at the end of the previous paragraph, the task of cutting a manuscript to approximately one-fourth its original size and reformatting the paper to also otherwise match the requirements of this CPA state society's magazine, while still communicating some essence of its information and conclusions, was completed. The constricted paper was submitted to the magazine on June 24, 2011. On June 27th, the magazine asked for a brief bio and headshot for each of the authors, which were submitted promptly. On July 14, 2011, the editor of the magazine emailed the contact author seeking clarification of the fact that percentage data in one exhibit did not sum to 100% (99.9% instead). This was corrected on July 18th. The magazine editor asked a few other minor questions on August 9, 2011; these were answered in detail on that same date. It was at this point that communication from the state society of CPAs magazine to the authors stopped. It had been the understanding of the authors that the paper would be published in the next issue of the magazine. When that did not occur, and the article also did not appear in the following issue either, the contact author asked the magazine the following: "Can you tell me your estimate of when (which issue of *(magazine name)*) the article by Professor (name withheld here) and I will be published? Thanks,."

The following is the reply that was received on November 7, 2011:
        Hello,
        Our CEO and Board of Directors have decided that I shouldn't include your article
        in our magazine. The topic of 150-hour requirement has been a very sensitive topic for
        many years, a fact that I wasn't knowledgeable about when I accepted your article.
        Several (abbreviation for state society) past presidents would be very upset if the (abbreviation
        for state society) were to publish an article that included emotional rhetoric

that is diametrically opposed to (abbreviation for state society) advocacy efforts. Thanks for sending your article, and my apologies for not getting back to you earlier.

The reader of this current paper may call it naiveté, but the authors were shocked. That shock, adding to the discouragement that the authors had already felt following the response to their manuscript from the *CPA Journal* and especially its reviewers, led to dormancy with this research project. This was exacerbated by a change already in process with the Georgia author's employment, in which he was increasingly busy with more administrative duties, with less time for scholarship. In a nutshell, the authors <u>stopped</u>.

Conversation in mid-2013 about the nature of this research and the chronicling of its publication attempts with an unnamed award winning and highly published professor with a prestigious university in California <u>started</u> the authors again. In that conversation, the Georgia author questioned whether in fact the nature of the research had been unproductive—researching a dead issue, as the *CPA Journal* reviewer charged. The reply from this California educator and CPA, whose state was scheduled to implement a 150-hour requirement in 2014, was that it was far, far from a dead issue. Noting the bewilderment that the authors experienced when, within the length of about a year, they were told first that the research was with an issue that had grown cold in timeliness and then secondly that it was too hot to handle, the author asked the California CPA and educator whether the research was indeed publishable. The reply was that peers in that state had felt that the 150-hour requirement had been somewhat pushed upon them, and that the trick would be finding a source that would be <u>willing to handle</u> the paper.

Discussion

This paper is not about authors seeking to vindicate themselves for a previously failed publication attempt. The research questions for this study are identified in the introduction section of this paper; the paper seeks to highlight questions and answers about the status of the 150-hour education requirement for CPAs in this country. It does so by chronicling an experience of research and response to those research results that perhaps shine light on that status. Even more so, the experience chronicled in this paper begs, and perhaps helps to answer, the greater question of whether the widespread education requirement's success and therefore continuation in its current status should be decided more by politics than by a continuing assessment of the fulfillment of the objectives that it purports to accomplish.

The authors offer as an appendix to this current paper the unpublished manuscript reporting the results of the Wisconsin study, as it was submitted to the *CPA Journal.* The authors urge readers to read and consider the paper in this appendix. However, the questions being researched in this current paper are not about the value per se of the manuscript in the appendix. The questions being considered in this current paper are more about the success of the 150-hour requirement for CPAs, as perceived by CPAs themselves, and about whether legislation and implementation of the requirement occurred in the past and continue to exist in the present due to a belief in the attainability through the 150-hour education model of its objectives and a widespread approval of its results, or due to something else.

Readers are urged to connect the dots, using the chronicling of the Wisconsin study and publication attempts for its results, which are the real Methods and Results for this current paper. Dots that the authors note include:

- how long it has taken the near-unanimous adoption of the 150-hour requirement to occur
- the reasons informally communicated for why Georgia enacted its legislation
- the nature informally communicated about how California *finally* enacted its legislation
- the amendment of existing 150-hour requirements in some states
- the timing of publication of research results on this topic, or timing for refusal to publish such, relative to the publisher state's status in this lengthy 150-hour movement
- the nature of comments critical about such research in contrast to comments gained by such research
- the reasons offered for why research would <u>not</u> be published (after communicating that it <u>would</u> be) in contrast to comments critical of such research painting a picture of the topic being a dead issue
- the reference communicated informally by a soon-to-implement California educator and CPA about the trick being finding a publication source willing to handle the paper

Perhaps the most telling dot of all, one that proved to be indeed prophetic, but whose weightiness the authors unfortunately failed to recognize at the time, came from the comment offered by one Wisconsin study respondent in which he/she hinted that it would be <u>unlikely</u> that the authors <u>would be allowed opportunity</u> to use results of the survey to make changes he/she hoped would be made to the 150-hour requirement.

The authors note that steamrollers do not have rearview mirrors or ambient temperature gauges. The phrase about not being able to fight City Hall comes to the authors' minds, but the pathetic irony is that the authors were not engaged in a fight as they conducted and reported their research, and had no intention of so engaging. The authors believe that protecting the status quo of the existence of the 150-hour requirement will not help the profession "move forward." It is interesting that in a 1989 *Journal of Accountancy* article considering what "revolutionary changes" (Nelson, 1989, p.47) must be adopted in accounting education in order to correct its declining enrollment, it was quipped that "it is easier to move a mountain than to change a college curriculum" (Nelson, 1989, p.48). The article postulated, "universities are steeped in tradition and buried in rules to *protect the status quo*"[emphasis added] (Nelson, 1989, p.50). The authors of this current paper consider it perhaps ironic that, after a "revolutionary change" in accounting education that took decades to almost fully implement, the possibility of protecting the status quo could again, in a reverse manner, be present in the profession. The profession's sticking its head in the sand or shouting down dissenters does not make the matter of questions about the success and continuation of 150-hour requirements go away. The authors understand that decisions about the profession must be made at corporate levels of the profession, but they

question whom better than individual practicing CPAs themselves know what "is working" (Georgia author, 2003, p.26) and why the voices of those individual CPAs should be ignored. When we

periodically (not constantly) re-evaluate the accomplishment of intended objectives by a decision or course of action, we all gain from the conversation. If the 150-hour requirement is solidly in place, it does not mean that accounting professionals believe that it should be. Sometimes, the path to improving the profession is <u>to listen</u> to those who are working in the profession instead of simply dismissing their discontent by labeling it with negative terms and squelching the voicing of it. Even if one takes the position that some version of a 150-hour or other "beyond the baccalaureate" educational requirement for CPAs should continue to exist, how can the profession ascertain the ways in which that requirement should be improved (if it should be) without hearing what accounting professionals report is currently faulty about that requirement? Saying to certified public accountants working in the accounting profession that they should, in effect, get over it and learn to live with it regarding the 150-hour requirement does not seem to these authors to be an appropriate path for improving the profession. The authors hope that their research in some small way helps to move forward that improving of the profession.

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Appendix

The 150-Hour Requirement: Dust Keeps Settling—Questions Keep Lingering

"Time to Evaluate Effectiveness"

With significant time having passed in many states since their 150-hour requirement was implemented, allowing the dust to settle, questions about perceived costs and benefits of the requirement persist. One article published in *The CPA Journal* August 2003, "The 150-Hour Requirement and CPA Quality, noted that the objective of the 150-hour requirement, according to the AICPA, is to "improve the overall quality of work performed by CPAs confronted with advancing technology, an increasingly complex business environment, and society's continuing demand for accounting and assurance services." This article explored the question of "Is it working?"

Define "working."

There have been a variety of alleged results of the 150-hour requirement. For that matter, there have been a variety of versions of "the 150-hour requirement," and those versions have sometimes changed from a requirement that candidates complete 150 semester hours of college education to take the CPA exam to something else. Changes in performance of such candidates with the CPA exam have been researched and reported, as have changes in the numbers of candidates taking the exam after their states implemented their version of the 150-hour requirement. However, less has been researched about other accomplishments of the requirement—accomplishments that are less easily quantified but which were perhaps most significant in its promotion when the 150-hour movement was gaining steam.

One example of research into these other accomplishments is the August 2003 article referenced above. In it, the author reported on research with Georgia CPAs conducted in 2001 when the requirement enacted in that state in 1998 was still relatively fresh in their minds. This research found that those CPAs perceived that estimated annual starting salaries for CPA-ready hires had increased nearly $4,000 in <u>real</u> terms (not due to inflation or issues of supply and demand) since the implementation of the 150-hour requirement. However, the perception of those respondents was that these new hires had improved only modestly, if at all, in 15 qualitative measures.

The impact of the 150-hour requirement on the quality of CPA exam candidates as employees and the real cost of the requirement to their employers continues to be pondered by the profession. A sidebar title with the August 2003 article was "Time to evaluate effectiveness." With modifications having already occurred in some states and discussions of further modifications and even repealing their 150-hour requirement occurring in some states, perhaps it is "time to (again) evaluate effectiveness."

Time to (Again) Evaluate Effectiveness

In an effort to accomplish such re-evaluation, over 6,000 CPAs in the state of Wisconsin were surveyed in 2009 regarding their perceptions about changes in the capabilities of new staff accountants eligible to take the CPA exam—comparing those hired prior to the 150-hour requirement to those hired after its implementation. This survey also inquired about respondents' perceptions of changes in <u>real</u> starting salaries since the requirement's implementation (not salary changes due to inflation or supply-and-demand forces). Respondents remained anonymous and submitted answers electronically. This study of the perceptions of Wisconsin CPAs regarding these topics was intentionally very similar to that conducted in late 2001 with Georgia CPAs, and is somewhat of a follow-up study to that one. With more time having passed since the implementation of the 150-hour requirement and with CPAs from a different state and region of the country being surveyed, this study expands the knowledge gained by the earlier-published study.

Similarities in Study Results

Not only was the Wisconsin study's design intentionally very similar to that done earlier with Georgia CPAs, but many aspects of the results with the two studies were also very similar. Even

such aspects as the response rate and the demographic data from survey respondents were surprisingly similar. With the Wisconsin study surveying over twice as many as did the Georgia study, the net response rate was nevertheless nearly identical—about 5%--with about 300 usable responses in the Wisconsin study. (The actual number varied by question—between 290 and 308.) Exhibit 1 summarizes work sector and firm size demographic data for survey respondents for the two studies. Respondents in the two studies were almost identically divided among work sectors, and were similar in classifications of firm size—with respondents in the Wisconsin study being somewhat more from relatively large (501-5,000 employees) firms.

Differences in Study Results

Differences in results from the two studies do exist; the most striking of these is in regard to estimates of change in starting salaries. The two groups of CPAs disagreed in regard to whether the implementation of the 150-hour requirement had caused (apart from supply and demand results) any change in <u>real</u> (taking out the effects of inflation) starting salaries. Most Georgia respondents (82.4%) believed that <u>real</u> starting salaries had increased since the implementation of the 150-hour requirement, and they estimated that increase to be an average of nearly $4,000. Among Wisconsin respondents, 242 respondents (83.4 %) indicated that they believed salaries have stayed about the same following implementation of the 150-hour requirement—given supply and demand and inflation. This study also asked Wisconsin CPAs, "Given your previous answer, approximately how much (in dollars) have annual salaries increased or decreased as a result of implementation of the 150 hour requirement?" The average dollar response to this question from those 39 respondents who estimated increases in salaries was over $6,000. When one outlier amount ($50,000) was taken from the responses from those Wisconsin CPAs who estimated increases in <u>real</u> starting salaries, the average estimated increase dropped to $5,500. These results should be interpreted to mean that 83.4% of Wisconsin respondents believed that <u>real</u> starting salaries had stayed about the same following the 150-requirement's implementation, but that among those who believed to the contrary, the estimated change was an increase of about $6,000.

Wisconsin CPAs were also asked to rate changes in quality of new CPA-ready hires after implementation of the 150-hour requirement, as compared to the quality of those before the requirement. The Wisconsin study used an almost identical list of qualitative measures of capabilities of staff accountants to that the Georgia study used. However, the Wisconsin study used a tighter, simpler rating scale. Georgia CPAs in 2001 rated new hires in these 15 qualitative measures on a scale of -50 to +50. The Wisconsin study used the simpler range of 1 to 5—with 1 indicating that new hires are much weaker than previous hires, 5 indicating that new hires are much stronger than previous hires, and 3 indicating no difference in new hires.

Georgia CPAs rated new hires following the 150-hour requirement's implementation to be very slightly stronger in 14 of the 15 qualitative measures and slightly weaker in the remaining one (commitment to the employer). Exhibit 2 summarizes the results of these ratings of change in quality by Wisconsin CPAs. For each qualitative characteristic, percentage ratings are for those respondents who provided an answer for the item (ranging from 290 respondents to 295 respondents).

Analysis of Change in Quality Results

While Georgia CPAs in 2001 rated new hires as stronger than those new hires before the 150-hour requirement had been implemented in 14 of 15 qualitative characteristics, that improvement in quality was perceived to be only slight. For example, Georgia CPAs rated post-150-hour new hires' amount of supervision needed as improved by only .87 on a 100-point scale (-50 to +50). Eight years later, Wisconsin CPAs were even less impressed by the quality of new hires following the 150-hour requirement's implementation. For all 16 qualitative characteristics, the majority of Wisconsin CPAs evaluated post-150-hour new hires as being no different in quality than those prior to implementation of the requirement.

Interestingly, in one qualitative characteristic for which Georgia CPAs gave their only negative change evaluation, commitment to employer, Wisconsin CPAs also gave their poorest rating. Nearly a third (31.5%) of Wisconsin CPAs perceived new hires after the 150-hour requirement to be weaker or much weaker in their commitment to their employer than were new hires prior to the requirement. Only 7.5% of Wisconsin CPAs found new hires to be stronger or much stronger in this attribute than were new hires prior to the 150-hour requirement.

Similarly, while Georgia CPAs rated new hires after implementation to be relatively strongest in the qualitative characteristics of competency with complex accounting (7.53) and maturity and professional judgment (6.81) in the -50 to +50 scale, Wisconsin CPAs seemed to somewhat agree. These two qualitative characteristics received the two highest percentages of Wisconsin CPAs rating post-150-hour new hires as stronger or much stronger than new hires before the requirement. Over a fourth (28.8%) of Wisconsin CPAs perceived that post-150-hour hires had stronger or much stronger maturity and professional judgment, and about a fourth (25.4%) of them rated new hires as having stronger competency with complex accounting.

With the qualitative characteristic of communication skills, both sets of CPAs had some agreement in their assessment of new hires after the requirement's implementation compared to those earlier new hires. In 2001, Georgia CPAs gave their second-highest rating of improvement—although still modest (7.01 in the -50 to +50 scale)—for the characteristic of communication skills. Nearly a fourth (23%) of Wisconsin CPAs perceived that post-150-hour new hires were stronger or much stronger than earlier new hires in communication skills—the third largest total of "stronger" and "much stronger" percentages for the 16 qualitative characteristics among Wisconsin CPAs.

Those who consider alleged effects of the 150-hour requirement sometimes suggest that new hires following the implementation possess more maturity than new hires in the past—if for no other reason than the fact that the requirement for additional education results in their typically being at least one year older. A similar application of stereotypical cultural differences in the comparison of CPA-ready new hires "today" to CPA-ready new hires before the 150-hour requirement could be with the characteristic of positive responsiveness to change. In many states, the time span separating those before the 150-hour requirement and today's new hires is approximately one-half of a generation. This might lead one to speculate that "today's" new hires would be relatively stronger than their earlier counterparts in their positive responsiveness to change. Such a speculation would

likely be less attributable to the process of gaining the additionally-required education of the 150-hour requirement and more attributable to the existence of an ever-accelerating changing culture. Popular opinion is that young adults today, having been exposed to such rapid and pervasive change, are more adaptable than were young adults of a generation or more in the past. In response to such a speculation, it is interesting that Georgia CPAs in 2001 rated post-150-hour new hires only very modestly stronger than new hires of the past in the qualitative characteristic of positive responsiveness to change (4.37 in the -50 to +50 scale). Similarly, only 18.9% of Wisconsin CPAs in 2009 rated post-150-hour new hires as stronger or much stronger than new hires prior to the 150-hour requirement for this characteristic. It would seem that CPAs from both states, responding eight years apart, perceive new hires in recent years to be somewhat stronger—but not overwhelmingly so—in a characteristic that stereotypes might predict more dramatic improvement.

Keep This in Perspective

Before one rushes to congratulate the profession on the common perceptions held by CPAs from two states, divided by eight years of time, on the <u>relative</u> strengths of quality of new CPA-ready hires after the 150-hour requirement, (s)he should remember that the previously-discussed attributes represent the <u>relative</u> strengths among assessments of <u>little-to-no-change</u>. Georgia CPAs in 2001 said that quality of post-150-hour new hires had improved as compared to new hires of the past in 14 of 15 characteristics—<u>but only very modestly so</u>. Eight years later, <u>the majority</u> of Wisconsin CPAs said that post-150-hour new hires were no different in quality than those of the past in 16 of 16 qualitative characteristics that were nearly identical to the list considered by the Georgia CPAs. To these respondent CPAs, the gist of the story of the impact on quality of the 150-hour requirement seems to be: "nothing to get excited about."

To further emphasize the perspective from these research results, a strong majority of Georgia CPAs said in 2001 that these "nothing exciting" improvements in quality resulting from the 150-hour requirement came with an employer price tag. In 2009, the majority of Wisconsin CPAs did not agree that such an employer price tag existed for "nothing exciting" in the subject of improved quality. However, about 16% of them perceived it to exist—in an amount surprisingly similar to that estimated in 2001 by Georgia CPAs. In the August 2003 *The CPA Journal* article reporting the research results with Georgia CPAs, a subtitle asked the question, "Getting What You Pay For?" The answer to that question from the collective research results from both Georgia and Wisconsin CPAs seems to be, "We aren't sure we are paying for it, but there does not seem to be great reason for it even if we are."

The Most Interesting Story

Just as most CPAs know that the most interesting story in a firm's financial statements is often in the footnotes, the most interesting story in these research results of perceptions of Wisconsin CPAs about the 150-hour requirement is perhaps in the open comments. The fact that almost exactly one-half of the Wisconsin CPAs who participated in this research chose to add comments to their survey responses illustrates the level of interest that continues to exist in this topic of the 150-hour requirement and quality. One hundred and forty-five Wisconsin CPAs responded to the survey's

statement, "Please use this space to make any other comments you would like to make about the 150 hour requirement." These comments ranged from terse one-liners to detailed theses. Collectively, these comments amplify—and sometimes seem to refute—the quantitative data otherwise gained in this research.

"It should be maintained."

Of the 145 open comments, 18 were decidedly or mostly positive about the 150-hour requirement. One respondent succinctly commented simply, "It should be maintained." Others concurred by offering perceived benefits to the requirement such as:

- helping students commit to the profession
- adding to the maturity levels of new hires
- providing a solid foundation for career growth that leads to senior level management opportunities for CPAs
- providing services that business owners need in their accounting and financial executives
- encouraging CPAs to keep abreast of an always-changing field
- producing more well-rounded students/graduates
- maintaining consistency with other states
- achieving or maintaining the public's perception of professional status for CPAs (as compared to lawyers and doctors)
- achieving a greater ability to understand more complex accounting
- making the profession more respected

Similar comments remarked that the requirement has had a positive impact on the profession. Some even called for increasing the requirement to more than 150 hours, and/or requiring a graduate degree (while others criticized the propensity to fulfill the requirement by achieving a masters degree—especially early in ones career). One Wisconsin CPA said simply, "We need to keep this in place to maintain quality CPAs."

"I do not see any difference."

Twenty Wisconsin CPAs offered general comments that were neutral—without elaborating or offering suggested alternatives. One tersely stated as the entire comment, "I do not see any difference." Others similarly indicated seeing no significant change in new hires as compared to those before the requirement, or stated that they saw no value in the requirement for increased education hours. In this type of comment are some that remarked on the requirement <u>only</u> reducing the supply. ("It appears the quality of candidates is the same; however, there are less of them.") Another stated the same general sentiment with a slightly different inference: "I don't think we've gained anything from the 150-hour requirement."

"This was a mistake."

Among 145 open comments by Wisconsin CPAs, 29 were general but decidedly negative about the 150-hour requirement. Some of these are pointed, even blunt:

- just a revenue generator for universities
- the 150 hour requirement is a farce
- the quality of CPAs has actually been diminished by making the exam easier
- nothing more than a disguised method to shrink the supply of accountants
- has only added to the debt load without significant benefits
- if I had the chance to turn the clock back I would not encourage the 150 hour requirement (for reference, I am the CFO of a public company and was a senior manager at a Big 4 accounting firm)
- has not produced better CPAs; it has produced more egotistical CPA candidates
- the 150 hours is a joke
- a way to force a masters degree in accounting
- big CPA firms in bed with the universities as a placement service
- folks with 150 hours are so used to classroom teaching they can't think for themselves
- I could write a book; the 150 hour requirement missed its mark
- weakens our entire financial system
- I thought this was a mistake when implemented and still do
- young staff use an employer to pay for the exam and then move on to another employer
- a huge mistake
- has always been and will always be a stupid idea
- one of the dumbest decisions made by the accounting profession
- I am very saddened by our own stupidity
- I hope that the results of your survey are useful for making changes to these requirements
- dumbs down MBA and other masters programs
- was stupid to begin with
- the profession shot itself in the foot by passing it
- better to have graduates from schools that care about the quality of the students rather than the school's desire to collect tuition
- worse move the profession made
- 150 was not needed; we shot ourselves in the foot
- only allowed certain academic groups the opportunity to create a perceived superior group of students in order for the academians (sic) to control the hiring process with public firms

Make Them Take More Accounting!

About an equal number of additional negative comments offered by Wisconsin CPAs zeroed in on a failure of the 150-hour requirement to dictate that students take the additional hours in accounting or other business courses. Some in this group spoke out in favor of the requirement being

changed to add a masters degree; others criticized the tendency of students to pursue a masters degree in their meeting the 150-hour requirement to become CPA-ready. Respondents in this group criticized the requirement for allowing/encouraging students to take "tiddly winks," "silly classes like nursing, athletics, and music," "liberal arts classes or worse blow off classes," "anything including underwater basket weaving," "nonsense courses (art, gym, etc.)" and "courses such as anthropology … --this makes no sense to me." One commenting CPA seemed to summarize the sentiment of this group by stating, "I believe they should require the classes to be business oriented or just get rid of the requirement."

Other Negative, But With Suggestions

About an equal number of <u>additional</u> negative comments offered by Wisconsin CPAs about the 150-hour requirement added other specifics to their criticisms. The largest portion of this group was comments opining that a requirement for experience in accounting should accompany or replace the requirement for more hours of college education. The following is a sampling of these:

- individuals (myself included) learn more in the first three months of public accounting practice than they do in a year of business school
- the extra time would be better spent on the job
- the three years of experience created a better end product than the 150 hours
- today's graduates assume that they can step right in and review work yet most of them do not have a clue …
- a mandatory internship would be more productive than the extra year of school has proven to be
- now it seems taking a test suffices, and who cares if you can actually do the work
- I would rather see some exposure to real world accounting than another year behind a school desk

Some other comments stated that the problem with the 150-hour requirement was that it did not require students to take more classes in writing and communication skills, problem solving, and critical thinking. Some respondents pronounced new graduates' writing and communication skills as "very poor." CPAs offering these comments clearly remembered that these were the qualitative characteristics that were touted for improvements by proponents early in the creation of the 150-hour requirement movement. Greater people skills were also vocally sought by those making this group of comments.

Comments about Changes in Salaries

A final group of comments focused on compensation of CPA-ready staff hired after the 150-hour requirement. Perhaps quibbling with the research survey's insistence on factoring out any effects of supply and demand (or inflation) in estimating changes in salaries after the 150-hour requirement, these Wisconsin CPAs nevertheless wanted to emphasize that they believed one significant effect of the requirement has been a reduction in supply of accountants—causing an

increase in starting salaries. One CPA carried this further, opining that this had led to higher fees for accounting services, causing small business clients to seek alternatives to CPAs (such as bookkeepers with poor qualifications). Another commenting along these lines stated that if the objective of the 150-hour requirement was to increase salaries, then it has been a success. This CPA went on to state that the requirement had not improved quality of candidates, but that it was just "a smokescreen for perceived increased competence and actual higher staff salaries." Another similarly stated that (s)he was not sure about the benefit other than it created a labor shortage which increased salaries dramatically. Another glib CPA commenting about this topic remarked simply, "All I know is that it has earned me a lot of coin."

Consensus Continues to Elude the Profession

Comments from Georgia CPAs in 2001 revealed sharply divided positions with impassioned opinions on each side about the effects of the 150-hour requirement; comments from Wisconsin CPAs in 2009 provided no exception to this pattern, and even emphasized it. While open comments from research results defy quantification and are therefore susceptible to a criticism of being "only anecdotal" and clearly subjective, it is from reading these comments that one can see clear pictures of the perceptions of CPAs about the 150-hour requirement. Arguably, the prolific and often pointed comments from the Wisconsin CPAs are the most enlightening results from this research. As the dust continues to settle following the implementation in most states of some version of the 150-hour requirement, it is this perception about its costs and benefits that will determine its success in meeting its objectives and its viability for the future of the profession.

EXHIBIT 1
SURVEY RESPONDENT DEMOGRAPHICS

	Georgia	Wisconsin
Work Sector		
Public Practice	63.3%	63.3%
Industry	28.0	26.3
Education	2.7	2.0
Government	.7	3.9
Other	5.3	4.5
Total	**100.0%**	**100.0%**
Firm Size		
1-10 employees	24.7%	11.5%
11-50	27.3	21.3
51-100	10.0	9.5
101-500	14.7	13.4
501-5,000	5.3	29.8
Over 5,000	18.0	14.4
Total	**100.0%**	**100.0%**

EXHIBIT 2

QUALITATIVE MEASURES AND THEIR PERCENTAGE RATINGS

BY WISCONSIN CPAs

Measure	Much Weaker	Somewhat Weaker	No Difference	Somewhat Stronger	Much Stronger	Total
Analytical abilities	.7	9.5		67.8	19.6	2.4
100.0						
Problem-solving skills	1.4	11.9	68.0	16.7	2.0	100.0
Ethical behavior	1.0	4.7		83.4	10.2	.7
100.0						
Communication skills	2.7	9.3		65.0	21.3	1.7
100.0						
Personal integrity	1.4	2.7	87.0	8.6	.3	100.0
Professional ethics	1.0	3.4		84.4	10.5	.7
100.0						
Competency with complex accounting	1.7	8.8		64.1	21.7	3.7
100.0						
Understanding of other business fields	.7	9.5		68.1	19.7	2.0
100.0						
Commitment to the employer	7.2	24.3	61.0	6.5	1.0	100.0
Commitment to the profession	3.1	13.0	66.2	15.0	2.7	100.0
People skills	2.4	7.5		72.4	16.7	1.0
100.0						

BYOD: Moving toward a More Mobile and Productive Workforce

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Abstract: In recent years there has been a personal and organizational trend toward mobility and the use of mobile technologies such as laptops, mobile phones and tablets. With this proliferation of devices, the desire to combine as many functions as possible into one device has also arisen. This concept is commonly called convergence. Generally, device convergence has been segmented between devices for work and devices for home use. Recently, however, the concept of Bring Your Own Device (BYOD) has emerged as organizations attempt to bridge the work/home divide in hopes of increasing employee productivity and reducing corporate technology costs. This paper examines BYOD projects at IBM, Cisco, Citrix, and Intel and then integrates this analysis with current literature to develop and present a BYOD Implementation Success model.

Keywords: Bring Your Own Device (BYOD), Data/Device/IT convergence, IT infrastructure, Mobile computing

Healthcare Provider-Patient Relationships:
What Drives Co-Creation of Value?

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Abstract: One of the challenges of providing healthcare services is to create and properly deliver value for consumers (i.e., patients). Patients (vs. physicians) have long obtained a passive role when receiving healthcare services (vs. providing services). However, the emerging Service-Dominant (S-D) logic suggests that value is always co-created between the service provider and the service recipient (Vargo, Maglio, and Akaka, 2008). In line with this thinking, we argue that the value of healthcare services can be maximized when the physician and patient co-create that value together. This perspective views patients as active co-creators of healthcare services. While prior research on healthcare provider-patient relationships has examined related concepts to co-creation, research on co-creation in the healthcare context remains limited. To fill this gap, this research differentiates between co-creation in the healthcare context and related concepts. Furthermore, it proposes a conceptual model of the determinants of value co-creation in the healthcare provider-patient relationship context. Specifically, we identified two dimensions that affect value co-creation in the healthcare context: patients' *willingness* and their *ability* to participate in health-related decision-making. In addition to these two main dimensions of value co-creation, we identified a series of drivers affecting people's willingness and their ability to help co-create in health-related decision-making. Implications of these findings for healthcare marketers are discussed.

Health Tourism Spending by Canadian Consumers during 1970-2010: A Seasonal Time-Series Analysis with Structural Breaks

Chung-Ping A. Loh

Abstract

This study examines quarterly data on health-related travel spending by Canadian consumers during 1970-2010. We identify a structural break in the series that likely corresponds to the introduction of the General Agreements on Trade in Services (GATS) in 1995, which marks an acceleration of the growth of health tourism and the start of a flattened seasonal pattern. The patterns that were revealed suggest that the medically necessary services may have a much greater importance in the mix of health services pursued by Canadian consumers abroad after GATS went into effect. We also found that health tourism by Canadian consumers became responsive to changes in the characteristics of domestic health care market after the introduction of GATS.

JEL Code: I15, F14

A "Life Satisfaction" Lens for Exploring the World of Business: Rationale For A Four-Year Sequence Incorporating Personal and Professional Development into Business Knowledge Curricula

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Research in the area of well-being and life satisfaction is bountiful suggesting that career, social, financial, physical and community among adults are key elements of both. Career well-being is fundamental to well-being in one's life. A qualitative research study was conducted to explore factors influencing life satisfaction among college students. In particular it sought to understand whether career choice and preparedness are significant factors. A four-year course sequence designed to guide undergraduate business students from their freshman through senior years of study is described. The courses, grounded in business knowledge acquisition, incorporate both mentoring and coaching for personal and professional development. This paper examines the results of the research as a means to support the program's rationale and practices.

Keywords: University to career, preparing for business jobs, career development curriculum, professional development, personal development, life satisfaction, wellbeing as a metric for university success.

Challenging Preconceived Notions of Affirmative Action

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Abstract: Affirmative Action is a policy misunderstood by most undergraduate students for several reasons: they are too young to have experienced the discrimination that motivated passage of Executive Order 11246 in 1965; media accounts carelessly confuse pure affirmative action – which is legal – with preferential affirmative action and quotas – which are not; and a belief that they live in a post-racial society. Classroom discussion inevitably leads to anecdotal evidence that affirmative action provokes universities to accept less qualified applicants and employers to hire workers because of their race. Past techniques in attempting to promote a more critical level of thinking on the issue, which have included guest speakers from business who speak to the importance of affirmative action for greater productivity, have not been successful. This paper outlines a classroom experiment designed to overcome deeply-held preconceived notions about affirmative action so that students can better critically evaluate its qualities. Students are presented with the resumes of five candidates for an academic scholarship and asked to rank and justify their choices. Theoretically, in relating the content to a situation most students have faced better allows them to internalize and apply the concept elsewhere, such as the workplace. Pre-and post-assessment of 104 students' knowledge of and views towards affirmative action administered over two semesters reveals a statistically significant improvement in a critical outcome: acceptance of affirmative action as a tool for reaching out to underrepresented groups. A modification of this exercise can also be used in management training to better understand its importance.

The Importance of Specifying Academic Discipline in Regression Modeling for
Higher Education Compensation

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Abstract: The literature is replete with studies and reports that indicate that higher education continues to suffer from gender inequity in compensation. Part of this may be explained through general societal behaviors. For example, Croson and Gneezy (2009) indicate that women are relatively more risk averse. This suggests that they will tend to gravitate to jobs that are less competitive, stress interpersonal skills and offer a greater work-life balance (Konrad et al., 2000). Barbezat (1992) found that women exhibited a stronger preference for employment in the liberal arts, as opposed to men who generally exhibited a stronger preference toward economics and business. Slade (2013), however, postulated that these preferences may be a function of the current distribution of female faculty and gender stereotypes within the profession.

Regardless of the reason, gender inequity in compensation among faculty in higher education does, in fact, exist (Lips, 2013). Institutions of higher education continue to attempt to address gender inequity in compensation, often using a dummy variable for gender within regression models, coupled with other recognized determinates of faculty salaries such as discipline, rank, years in rank, tenure status, college affiliation, productivity, etc.

When ordinary least squares regression analysis is applied to faculty salary data, care must be taken to reflect specific market salary information in the model. If a faculty member's academic discipline is not included in the regression model, the ratio between men and women working in a given department and the different average salaries from discipline to discipline may indicate that gender is a significant explanatory variable within a field when, in fact, it is not. This can be considered as an example of the Simpson Paradox. The authors use a realistic but fictitious data set of 252 faculty members in six disciplines to illustrate this phenomenon.

The full paper will carefully illustrate that when market (discipline) is properly incorporated into the regression equation the resulting analysis will accurately portray the role of gender in determining salaries. However, when "College" or some other heterogeneous group is used as a surrogate for market, contradictory results for the role of gender will surface improperly. Thus, Simpson's paradox is revealed as a misspecification of the regression model resulting from an incorrect combining of data from several groups (the individual disciplines within the College).

Hang Together or Hang Separately: Global Banking after the Great Recession

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Abstract: Global financial assets (debt plus equity) grew 8.1% annually during 2000-2007, but this growth has dropped to 1.8% annually since then (see McKinsey, 2013, page 2). This slowing of financial flows reflects the weak recovery from the last recession that featured the freezing of financial markets in 2008. Since the crisis of 2008, national monetary authorities have worked to shore up their banking systems and to devise policies to prevent future crises. Some of the proposed policies have been focused on protecting domestic creditors at the expense of other creditors. This approach is short sighted and may put world financial markets and capital flows at risk.
Key words: finance, monetary policy, bank regulation, economic fluctuations

Hang Together or Hang Separately: Global Banking after the Great Recession

The Financial Crisis of 2007-09

The US secondary home mortgage market blossomed during 1967-1990. Rising inflation and interest rates drove Savings and Loan Associations out of the portfolio mortgage arena, and the new secondary mortgage market provided an effective replacement for the S&L as the primary source of US home mortgage funds. Fannie Mae, Freddie Mac, and Ginny Mae played important roles that used government support to convert home mortgages into mortgage-backed securities (MBS) that were attractive to investors.

During the 1990's the innovation of the MBS evolved with the development of the collateralized mortgage obligation (CMO). Later the collateralized debt obligation (CDO) used the same concept to package loans for autos, appliances, and other assets. The new instruments were issued in tranches to cater to the different needs for duration or time horizon by individual investors. Almost all of these instruments were rated the equivalent of AAA by the major rating agencies, and they paid investors 1-2 percentage points more than US government guaranteed bonds.

During 2001-2004 the Federal Reserve held US short-term interest rates very low to fight the lingering effects of the 2001 recession. At the same time Congress used political pressure on lenders, Fannie Mae, and Freddie Mac to increase mortgage loans to middle and moderate income households. The very low interest rates pushed almost 40% of new home loans into the adjustable rate mortgage (ARM) category by 2004, placing more interest rate risk on borrowers. Political pressure led to lower mortgage standards for down payments and income verification (sub-prime mortgages), placing more credit risk on lenders and investors. Once interest rates started to rise (2004-2006), both the large share of ARM loans and the relatively large number of low quality mortgages outstanding led to a perfect storm. Borrowers and lenders who had been counting on a continued steady increase in house prices were disappointed, as US house prices began an unprecedented 36 month fall (See Standard and Poor's for the Case-Shiller house price indices). As

ARM payments adjusted upward and as house prices fell, some homeowners found it increasingly difficult to sell or make payments. (See White, 2012).

The US sub-prime mortgage folly was exposed in July 2007 as mortgage delinquency rates started to rise. The financial crisis quickly it spread around the world as US mortgage backed securities (MBS) lost value, threatening financial institutions and national economies. Since 1967 MBS were widely seen as safe investments by banks, insurance companies, pension funds, sovereign wealth funds, and other sophisticated investors around the world. MBS were treated as sovereign debt for bank capital requirements. However political pressures for "affordable housing" starting in 1992 led to more high-risk mortgages being included in MBS pools, although the pools continued to be rates AAA by the primary rating agencies. Long-standing mortgage criteria for down payments and income verification were eroded, leading to more "sub-prime" mortgages being issued, many with adjustable rates. By 2007, rising interest rates burst the bubble. This move thwarted many real estate investors (speculators) who had hoped to take a quick profit or refinance their houses. Also at this time many lower income people had bought homes in the midst of the rapid rise in house prices since 2003, many using the very relaxed mortgage standards of Fannie Mae for down payments and income verification. Suddenly mortgage delinquency rates started to rise and house prices started to fall in late summer 2007. MBS prices started to fall, and investors around the world started selling their MBS. Many financial institutions and other investors moved into panic mode. (See Wallison, 2013 and Taylor, 2012).

In September 2007, Northern Rock Bank was taken over by UK bank regulators. In January 2008, Bank of America agreed, under pressure, to buy Countrywide Funding. In March 2008 JPMorganChase bought Bear Sterns with a federal guarantee. In July, IndyMac Bank in California failed. In September, Bank of America, under pressure, bought Merrill Lynch to prevent its failure.

In September 2008 FNMA and FLHMC failed. US officials had a moral but not legal requirement to guarantee the debts of these government sponsored enterprises (GSE), and they did so to avoid a worldwide financial meltdown. So far the US government has spent $155 billion bailing out these GSEs, although they now have returned to profitability. The future of home mortgage finance in the US is a major policy issue yet to be resolved.

As the US sub-prime mortgage losses spread to the financial markets and then the rest of the world economy, Treasury Secretary Hank Paulson and Federal Reserve Chairman Ben Bernanke acted quickly. They worked with an outgoing president, an incoming president and Congress to pass the Troubled Asset Resolution Program (TARP), and then they discovered the urgent need to re-direct its implementation to purchase preferred stock in financial institutions. The auto industry bailout also occurred in the fall of 2008 in stages before and after the presidential election.

The Federal Reserve used its considerable financial powers to create "lending facilities" for many sectors of the financial markets so they could raise cash in the face of a freeze of the capital markets. Bernanke and Paulson coaxed the 19 largest banks to accept large capital infusions so there would be no stigma on other banks.

The US "great recession" started in December 2007 lasted until June 2009, according to the National Bureau of Economic Research. It was the longest US recession in the post-war period, and the recovery from it has been the weakest as well (see Atkinson, 2013, page 4). Many have studied this financial crisis, and books on the subject continue to appear. There was much debate about "bailouts" of banks and other firms, including a presidential commission and Congressional hearings. One result was the Dodd-Frank Law, which, among other things, was designed to prevent

a future need to deal with banks that were "too big to fail". (See Sorkin, 2009). Some have argued that recoveries from financial crises tend to be slower than other recoveries. (See Reinhart and Rogoff, 2009). John B. Taylor presents evidence the slow recovery is due to faulty government policies. (See Taylor, 2014).

Proposals Discussed by National Monetary Policy Authorities

Since 2008, major sovereign monetary policy authorities have explored various proposals to deal with the risk of a major financial crisis. Some of the goals addressed include reducing the risk of future events, reducing the severity of such an event, resolving a failed financial institution, and dealing with cross-border issues related to such a failure. In addition this debate should include policies to facilitate cross-border trade, efficient provision of wholesale global banking services, promoting the efficient allocation of credit across borders by bankers, and matching the supply and demand for credit across all nations. So far much of the debate has centered on how to prevent or resolve failures of large financial institutions. The proposals most discussed include the following:

1. Creditors to some extent would receive equity in a bridge bank in lieu of their unsecured debt position (bailing-in of creditors),

2. Banks would be smaller due to absolute size limits or limits on acquisitions,

3. Certain specific activities of banks would be limited (such as the Volcker Rule),

4. Very large banking organizations would be discouraged through higher capital requirements and restrictions based on size, and

5. Domestic banking sectors would be protected from shocks by limiting the activities or the structure of foreign bank operations within their borders. These protections might take the form of higher capital standards or separate subsidiaries required for foreign-based banks.

This paper deals with the proposals in (5) above to the extent that they interfere with global trade and the efficient allocation of credit across borders. (See Bailey, 2013).

The Dodd-Frank Wall Street Reform and Consumer Protection Act (2010)

The Dodd-Frank Act (2,300 pages) requires many regulations to be written by the five primary financial regulatory agencies, and about half of them have been written so far. One important stated goal of Dodd-Frank is to reform regulation of the financial system so as to prevent another occurrence of the financial crisis. There is controversy over the causes of the financial crisis and the correct approach to preventing a repeat of another crisis. Glenn Hubbard has suggested a US Financial Services Authority "that would regulate all aspects of the financial system, including market structure and safety and soundness for all financial institutions…" (See Hubbard, 2013, page 191). However the Dodd-Frank law retained the current regulatory structure and created the new Bureau of Consumer Financial Protection, independent but funded by and placed within the Federal Reserve System.

As with some other government reform efforts, there may be unintended consequences of Dodd-Frank. Higher expected bank capital requirements seem to be restraining bank lending and slowing the economic recovery. New limits on over-the-counter derivative trades seem to be driving business overseas. The high cost of compliance seems to favor large firms, leading to more industry consolidation with fewer, larger firms and a dearth of new bank formations in the US. This is the opposite of the idea of limiting "too big to fail" banking firms. (See Kutler, 2012).

One of the initiatives of Dodd-Frank is the "Volcker Rule". This rule is intended to prohibit or limit banks trading for their own account outside of legitimate risk management activity or market

making. That rule has been three years in development, and it was just approved by the five financial regulatory agencies in December 2013. Smaller banks had sought exceptions, but it now appears that some will be forced to sell CDOs they had bought as investments. Zions Bancorp reported it would book a loss of $387 million on instruments likely to pay off at par upon maturity. The task of defining market making and legitimate risk management activity has been contentious and time-consuming. The investments that some banks may be forced to sell were rated AAA by the government-approved rating agencies, and were classified the same as sovereign debt for capital requirement purposes. (See Tracy, 2013).

Approaches to Cross-border Bank Regulation

The financial system is a worldwide network of savers, investors, and institutions. Financial regulation in any nation can affect capital flows elsewhere. Recent initiatives in Washington and London are important because these capitals represent the two most important nerve centers of world financial markets. In Washington the Federal Reserve is considering a "Foreign Banking Organization" requirement for non-US banks operating certain facilities in the US. In the UK, the Independent Commission of Banking made recommendations which have led to a "ring-fencing" proposal which would require banks to conduct bank lending and deposit-taking in separate subsidiaries with separate boards of directors and separate capital requirements. These ideas are important because they threaten to make the world financial system less resilient in a crisis and more likely to fail under pressure. In the name of regulation, these ideas would limit the ability of banking organizations to bolster their business units in difficulty by transferring capital across borders.

These two proposals represent an effort to protect domestic depositors and taxpayers at the expense of other claimants on bank assets. While this is a reasonable and common action of national legislatures, in the case of the world financial markets it can become counterproductive. A case in point is the US Smoot-Hawley Tariff of 1930.

Lessons of the Smoot-Hawley Tariff

With the onset of the great depression in 1929, Congress was concerned to determine the best policy responses. The natural urge to protect US producers led to the imposition of new duties on a wide range of imports required by the Smoot-Hawley Act of 1930. Within a few years US imports dropped in half, providing some protection to US producers. However US trading partners retaliated with their own tariffs, and eventually worldwide tariffs reached 60%. World trade suffered throughout the 1930s, adding to the depth and duration of the great depression. Once World War II was over, world leaders met at Bretton Woods to create the General Agreement on Tariffs and Trade (GATT) (and later the World Trade Organization) with a goal of negotiating tariffs and other trade restrictions down. By that time most world leaders realized the folly of high tariffs. The lesson of this experience is that national protectionist measures can be counterproductive and harm all nations.

Basel III Efforts to Increase Minimum Bank Capital

An international forum of central bankers, the Basel Committee for Banking Supervision (Basel III), has agreed to a plan to increase bank capital to reduce risks to the broader financial system. Although it is a step in the right direction, the plan is deficient. It sets the minimum bank capital at 3% of total bank assets. The implication is that a 3% loss in asset value could plunge the bank into insolvency, threatening depositors, insurance funds, and counterparties. Recently Lehman Brothers and Washington Mutual both fell into insolvency after only a 2.5% loss in total asset value, and the losses occurred in assets classified as "riskless" by Basel III. More importantly the Basel III accords set minimum bank capital at 7% of risk-adjusted assets, and this measure is most often discussed.

Assets such as cash and sovereign debt (issued by Greece, for example) have a zero weight and therefore require no capital. Commercial loans and securities have higher weights. The weakness of the Basel III accords is exacerbated by the delay in their effective date. They are not scheduled to be binding until 2019. The Basel III effort is an example of international monetary authorities not being able to agree on swift and sure correction of weaknesses in the financial sector that threaten another financial crisis. (See Admati and Hellwig, 2013, pages 172-183).

The Basel approach focused on equity-to-asset ratios by risk classification may also have an unintended consequence. This ratio can be increased by increasing the numerator (intended), or by reducing the denominator (unintended). Banks might have an incentive to reduce lending (loans are assets), and this effect would contribute to credit markets freezing in a crisis. If assets are misclassified as to risk, some banks may refuse to deal with counterparties in a crisis that are thought to have assets that are actually more risky than their assigned value. Admati and Hellwig argue for much higher required equity–to-asset ratios approaching 30% to provide more margin for error. (See Admati and Helklwig, 2013, pages 183-187).

Bank Regulation in the Euro-zone

For the past few years, Euro-zone policy makers have been working toward improved bank regulation and a framework to resolve failed banks. Now that the German election has been settled, Euro-zone finance ministers have made some progress on forming a $75 billion backstop facility for this purpose. In November 2014 the European Central Bank is scheduled to become the top bank regulator. There remain issues as to the financial responsibilities of individual nations for their failed banks, and the stress tests planned for 2014 need to be completed. It remains to be seen how the banking union will operate, and what incentives will be created. (See Peaple, 2013).

The financial crisis exposed severe problems in the southern tier of the Eurozone. Greece, Italy, Spain, Cyprus, and Portugal posed threats to the EU and the Euro. EU leaders took strong actions to promote austerity measures within certain nations to bring their government spending in line with tax revenue. This effort reflected some sacrifice of national interests in favor of regional or global interests.

Limited-Purpose Banking

Banking has evolved into a complex business in recent years. Bank regulation also has evolved, usually following a major or minor crisis. Bankers seek to evade or avoid regulation, and regulators seek to identify excessive risk and control it. In the 1980s some banking firms sought to avoid regulation as banks by creating separate firms to either take deposits or make loans, but not both. That led to the passage in the US of the Bank Holding Company Act to insure that banking firms were brought under the regulation umbrella. During the recent financial crisis, some investment bankers, such as Goldman Sachs, became bank holding companies so they could enjoy the benefits of being members of the Federal Reserve System.

Conclusion

In this case of world financial regulation, it is important to facilitate the free flow of capital. National and international financial firms provide financial services and allocate capital based on underwriting criteria and risk-reward calculations. Those calculations can be distorted if regulation varies across nations to create perverse incentives for lenders or investors.

Competition leads firms to balance risks and match the needs of savers and investors. Regulators play an important role to maintain a safe and sound environment for trade, free of fraud

and other threats to property rights. Regulators must consider the international nature of financial markets and avoid the unintended consequences of regulation.

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Social Media Adoption and Use in Organizational Project Teams

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Abstract: Social media, the networks and the myriad of technological tools that they support is redefining how organizations and project teams communicate today. Social media has not only broadened communication scope, but it has also helped to intensify global competition. The expanded technological influence in the face of the recent world economic meltdown has made organizations to rethink cost effectiveness of product production and service provision.This is a major challenge facing the 21st Century enterprise, for instance, many organizations are forced to realize that it is not enough to improve their efficiencies; rather, their communication and entire global supply chains must be effective (Li & Lin, 2006; Hatala & Lutta, 2009). In project teams, the creative output depends on the combination and integration of multiple inputs from various teammates and stakeholders. Effective communication in a local or virtual team allows the team to exchange strategically relevant information, thus generating new knowledge and new ideas (Leenders *et al.*, 2003; Capece & Costa, 2009). The creativity does not manifest itself only in the minds of the people, but it is more visible among people in their interactions through the various networks: voice, instant messaging, e-mail, project notebooks, Wikis, blogs, twitter (cloud), Facebook and other social media (Csikszentmihalyi, 1996; Capece & Costa, 2009). This paper reports a study that investigated the adoption of social media in project teams of three organizations in consumer services, construction and finance industries. Two of the organizations were located in North Carolina (USA) and the third organization is a banking/finance enterprise in Mexico. It was found that innovations in technologies have enabled these organizations' project teams to take advantage of various communication channels that best support their information sharing process. Social media, however, was not fully adopted or integrated in the communication channels of these project teams.

Brief Biography of Dr. Alice S. Etim

Dr. Alice S. Etim researches information and communication technology (ICT) adoption by business organizations/project teams and the Bottom of the Pyramid (BOP) populations. She is Assistant Professor of Management Information Systems at the School of Business & Economics (SBE), Winston Salem State University (WSSU). Dr. Etim has a PhD in Information Science from the University of North Carolina at Chapel Hill, MSBA in Business Information Systems from Mississippi State University and MBA from Delta State University. She has published several journal articles and book chapters. She has participated and presented at many academic and business conferences in the U.S.A and Africa. Prior to joining SBE in August 2010, Dr. Etim worked for IBM Software Group for 12 years as Staff Software Engineer.

What Can Be Done to Reduce Trade Tensions with China and Improve U.S. National Security?

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Abstract: In 1972, Richard Nixon and Henry Kissinger astonished the world by flying to China to hold discussions with Mao Zedong, during which they agreed to overlook their differences in order to further their mutual interests. The world has changed enormously in four decades, and China even more (The Economist, 2013). China seems to have fully recovered from the depths of global recession and consolidated its position as the world's biggest exporter and the second-largest economy behind the United States (Wharton, 2011). The Chinese economy has consistently outperformed annual targets over the past decade (US-China Economic and Security Review Commission, 2011). China dominates the market, with far-reaching effects ranging from global trade friction to U.S. job losses and threats to national security (Bloomberg, 2010). The rise of China has brought economics more into play in consideration of national security (Congress Research Service, 2011). Will trade wars with China influence U.S. national security? Is China's economic growth a threat to U.S. national security? Many Americans fear that China's displacement of America as the world's largest economy will swiftly be followed by its rise to the status of military superpower (The Economist, 2013). This paper will attempt to identify major causes influencing trade tensions with China and their impact on U.S. national security as well as examine feasible strategies to reduce trade tension with China and improve U.S. national security.

Leadership: A Case Study of the Factors that Influence Economic Development in Two Local Communities

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Abstract: There are many factors that contribute to economically weak performing communities in the United States. However, one factor that was explored in this study was the impact that leadership development had on the economics of communities succeeding or failing. In the field of Business Development (or Economic Development) there are very few leaders who really understand the business industry sector because of its complexity to integrate multiple disciplinary sciences; in order to make quality decisions for local communities. The purpose of this study was to understand the common traits/characteristics that 100 local business leaders and 10 Presidents/CEO business leaders possessed that directly or indirectly influenced their success in terms of business development in their communities. Thus, the primary research framework of this study was based on a case study methodology that utilized a mixed methodology research design. The researcher also used a modified Guttman Scale and integrated an in-depth case study interview/protocol guide to assess the leadership traits/characteristics that influenced the success or failure of leaders who lived in communities in South Carolina. This study reviews the characteristic/traits that successful leaders need to possess that will help them to be more competitive locally, nationally and globally as it relates to the business sector and the economic development industry.

Affecting Philanthropic Propensity: A Case Study of Dallas Social Venture Partners

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Hugh Sales, B.S., M.B.A., Ph.D. was awarded his doctorate in May, 2012 after a very successful career in business during which he worked in executive capacities for leading global corporations. He also successfully launched multiple enterprises and was awarded a U.S. patent for an aviation servicing product. Dr. Sales is currently Assistant Professor of Business at Belmont Abbey College where he also directs the Entrepreneurship Program. His research interests lie in examining the collision points between the private, public, and nonprofit sectors; how these intersections are, and will do more-so in the future, changing and re-defining the roles of each.

Abstract: The emergence in the recent past of the "new philanthropists", those characterized by a business-savvy, results-oriented, strategic mindset and a desire to be fully engaged in the nonprofits they support, was heralded in the both the popular and academic literature. While the movement towards a new paradigm of philanthropy has fostered change in traditional funding organizations and nonprofit agencies, what has not been fully investigated is the efficacy of membership in the new philanthropy *on the philanthropist*. This study examines how being a member of a specific venture philanthropy organization meets the motivations of the philanthropist, and whether an outcome of being a member is a future of increased propensity to philanthropic activity.

To gain understanding of this issue, this case study of Dallas Social Venture Partners adopts a social constructionist lens and employs qualitative methods to explore longitudinally the motivations of the Partners, the activities in which they participate, the effects of organizational and economic changes, and how these variables impact the growth of the Partners as philanthropists. The study uses formal semi-structured interviews with key Partners of Dallas Social Venture Partners, participant observation, internal documents, external secondary sources, and a validating online survey. The findings suggest that within the context of this case study, membership in the organization positively affects philanthropic propensity – propelling "new philanthropists" down a road of engaged charitable activity.

The importance of this study for researchers is that it lends empirical grounding to the initial descriptive literature of the new philanthropy. Practical applications can be far-reaching. While the recent economic downturn has dampened the new philanthropy movement, the coming intergenerational wealth transfer from the Baby Boomer generation may possibly cause a new surge in charitable activity. If such a resurgence should occur, it is important to understand how best to sustain and develop the philanthropic motivations of these emergent leaders in the nonprofit sector for the benefit not only of the mission, but also the philanthropist.

Interpreting Children's Dreams within a Sociocultural Framework

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Adrian Medina-Liberty studied psychology at the Universidad Nacional Autonoma de Mexico and obtained also a Ph.D. in Cultural Anthropology in the Escuela Nacional de Antropologia e Historia. His current areas of specialization are: Language and symbolic capacities development, relationships among language, culture, and mind, and children dreams.

Abstract: The interpretation of dreams has been an object of interest since ancient times but only recently, after Freud's contribution, psychology took this topic under serious scrutiny. Precisely, this paper presents preliminary data about the type and frequency of topics dreamt about by preschool children. The main goal was to illustrate how the cultural milieu and specific social activities children are involved in are primordial determinants of how dream content is constituted. Data confirmed previous studies (Medina-Liberty, 2010) that showed that several culture expressions—notably Media, school, and family—were appropriated by children and constituted importantly their dreams content.

Key words: Children's Dreams, Symbols, Dream Content, Interpretation.

Children's dreams have been of increasing interest even among those who work with children with special capabilities (Foulkes, 2000; Schredl, 2010; Honig, 2012). Research on human sleep is usually conducted in a sleep laboratory. The sleeper is prepared for electrophysiological measurements by attaching electrodes to monitor de EEG and eye movements. During wakefulness, the EEG of normal persons shows alpha and beta activity. Alpha waves are more prevalent when the eyes are closed, and they reflect neural synchrony. Beta waves occur when the person is alert and attentive or thinking actively, and they reflect desynchrony that is generally assumed to represent activation.

The usual sleep pattern begins with Stage1, which is a transition between wakefulness and sleep. About 10 min later, Stage 2 sleep begins. The EEG during this stage is generally irregular. The participant is sleeping soundly. About 15 min later, Stage 3 begins, signaled by high-amplitude delta activity that continues into Stage 4 sleep. About 90 min later the beginning of sleep and about 45 min after the onset of Stage 4 sleep, the physiological measures recorded from the participant change abruptly. The EEG becomes mostly desynchronized. The eyes move back and forth rapidly. This stage is referred to as REM sleep because of the rapid eye movements characteristics of it.

If aroused during REM, children are usually alert and attentive and almost always report that they had been dreaming. If awakened during Stage4 sleep, they usually are unsteady and confused and unlikely to report dreaming. Most dreams seemed to occur during the REM sleep, although some dreams, or parts of dreams, have been reported in NREM sleep stages, as well as reports obtained

from children's natural environments such as their own homes (Antrobus, 2003, Rosner, Lyddon & Freeman, 2004; Domhoff, 2005).

Precisely, in this article we'll focused on children's dreams reported by the children in their homes and recorded *verbatim* by their parents and/or the researcher. Although sometimes is difficult to know when young children can distinguish dreams from mere fantasies, daydreams, or play there is an extensive literature that shows that children as young as preschoolers have already acquired complex symbolic capabilities (Piaget, 1983; Foulkes, 2000). Children may be able to tell parents or others about their dreams and know the difference between dreams and fantasy at about 4 to 5 years of age. In fact, Foulkes and his collaborators proposed 5 years of age as a limit of credibility of children's dreams (Foulkes, et al., 1990).

As the title suggest, in this paper I approached children's dreams from sociocultural and anthropological framework (e. gr.: Vygotsky, 1962; Bruner, 1990; Geertz, 1973/2000). The study main idea is to consider that all children grow up to be cultural beings. Thus, the process of human development is unavoidably coupled to the process of enculturation, of orienting oneself within systems of meaning. In other words, children are not only active beings but culturally active, they are participants in negotiations with others in the communal events that are the basis of shared meaning. In this view, mind is both constituted by and realized in the use of those symbols that are available in each cultural space (Bruner, 1990). For Geertz, culture itself is a semiotic system and mental functions are thoroughly dependent upon cultural resources that are not adjuncts to, but constituents of mental activity (1973/2000).

Within this framework, dreams are considered as meaningful narratives. That is, through SI analysis of several children's dreams, it is argued that dreams constitute a subjective instantiation of culture's 'webs of meaning' that basically—but not exclusively—adopt a narrative organization.

Method

Participants

This approach is exemplified with preliminary data from 21 male middle-class children (4 to 9) whom average age was eight years.

Procedure

35 dreams were collected in children's homes twice a week and were audio recorded. Concurrently, in-depth interviews were conducted to gather information about children's typical day, family and school activities, favorite films and TV shows, gender differences, if any, friends, frequency and type of games played, etcetera. Through detail analysis of several children's dreams, it is argued that dreams constitute a subjective instantiation of culture's 'webs of meaning' that basically adopt a narrative organization.

Results

Unlike adults who have a vast and complex conglomerate of experiences children's experiences are less massive and are relatively easier to collect in order to find their relationships to dream content.

Table 1 shows the most frequent themes among children dreams and somehow it also shows children's waking life concerns. Children dreams portray their view of the world, not in an objective way but in a modified or refashioned mode. In other words, these topics can be considered as the prime subject matter of oneiric content. Depending on the child current concerns, these topics are configured to produce a particular oneiric narrative.

Table 1 Description of the most frequent themes in children's dreams.

Themes	Percentage
1. Family	26
2. Play Situations	22
3. Movies	20
4. Candies, Ice Creams	12
5. Toys	12
6. Animals	8

These findings raise some interesting questions about the relation between dream content, and the actual experiences of the children. It can be said that dreams contains something of a "re-elaboration" of the children's experiences and their definition of the situation. Usually this refashioned material is selected and edited according to the particular concerns of the children. For example, in Paula's dream described below she dreamt of a witch and a schoolmate, and both characters were 'pick up' and re-elaborated from actual events that were affecting the child.

Along with Ricoeur (1982), I consider meaning as organized in narratives. A narrative is a synthesis of multiple events or manifold happenings that are transformed into a story. Narratives, then, are more than a mere enumeration in a simple or successive order of incidents or events. Narration organizes them into intelligible wholes. Children dreams, likewise, are constructed this way. Apparently dreams are but a series of unconnected incidents but in fact they represent motifs, intentions, beliefs, anxieties, and desires. It is proposed that these elements may look incoherent for dreamers and researchers as well when they are thought of as isolated fragments but if they are considered as parts of a whole they appear as intelligible stories. Children aren't isolated individuals;

from the very beginning they immerse themselves into the culture that surrounded them. Let's examine some examples of children's oneiric narratives.

Sample dream
Mario (5.8): In the Field

> I was with my little brother, Daniel... he was crawling and yelling. I was looking for some worms for Shrek and Daniel came and tried to grab it... I said No!... but my other brother, the older, came and told us that we should be playing a "cascarita" (soccer in the streets or public yards) and suddenly we were on a garden playing soccer and Daniel was chasing us; we all were laughing but my mother appeared holding some dish and asks us to wash our hands and to go with her to have lunch... then... something else happened but I don't remember..

In this dream we can clearly identified four composing elements: a) family members, b) play activities, c) a film character, and d) what appears to be the initiation of the lunchtime routine.

The child dream was configured combining these sources within one single narrative. The story describes the ongoing of one Mario's favorite activities: free-play. This was combined with a film character, Shrek. In the interview, Mario complained a little about his younger brother because he doesn't know how to play. The older brother (7.2 years old), however, felt the same way about Mario because he was continually trying to pull him to play something for bigger children.

Somehow, Mario represented this play "imbalances" by showing his brothers interrupting his play. Next, however, the mother order them all three to have lunch, which is a "higher" command that also interrupted the game in a more authoritative way. Globally considered, this dream was not unpleasant and only represented four of the child major concerns seamlessly entangled. Although Mario created an imaginary plot, he did it on sociocultural grounds combined with his own ideas, motives, and interests.

In my view, Mario was expressing the usually strong and positive emotions found in children's games. That is, during free-hour play the child feels in complete control of his actions, and he is able to create characters or roles, dialogues, and situations according to his motives and imagination. He feels entirely free and happy. In this dream, this relevant activity appears interrupted by his mother's request. In sum, the dream was representing a common childhood conflict between the child's needs and the adult norms. The three main characters (the two brothers and the mother) are, naturally, projections or "voices" of himself, and the dialogues and the situations were a moving representation of his own emotions and thoughts.

Final remarks
Research on children's dreams in their natural environments has a narrow base. The number of children whose dream reports have been studied is small. The children are representative of only a fraction of the young population and, as noted above, their experiences are much less complex than that of adults. Still, it is encouraging for parents and children to know that children's dreams can be comprehended through dedicated attention.

Children 4 to 6 years old report dreams that included physical activities (i.e., running, jumping, playing) and actions that often were described with short sentences (i.e., I was chasing… He was pushing me… I was drinking…). In sum, dreams seem to be slices of life not yet fully elaborated. As children grow (6 to 9 years old), their dreams still contain actions but they appear within a story line and characters are more developed often accordingly to actual persons.

Research on children's REM dreams in sleep laboratories opened a window on their inner worlds but studies in home situations also has provided important glimpses into their minds and their relationships to actual wakeful experiences. The accurate interpretation of children's dreams relies heavily on the knowledge that we can gather about their actual experiences. Clearly more research on the dreams of children of all ages is needed.

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Multitasking in the Classroom: The Effect of Experience, Digital Distractions and Note-taking on Lecture Comprehension

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The purpose of this research was to discover if distractions due to digital involvement in a class lecture environment would diminish comprehension of a presentation more than strictly taking notes over the presentation. Furthermore, researchers determined whether the self-identified experience of the participant with multitasking was also a factor in the research. One hundred and sixty-four undergraduates were randomly assigned to one of four groups and watched an 18-minute recorded presentation on memory. The participants paid attention to the video and at four specific intervals were required to engage in a digital task (text a friend, shop on the internet, or "like" two items on a Facebook page) or to just continue taking notes on the presentation. Participants scored equally well as the strictly note-takers on the comprehension test if they either texted or looked on Facebook. Those who did internet shopping performed significantly poorer than the note-takers. Furthermore, both participants who considered themselves either high or low multitaskers performed about the same across all groups, however, those who identified themselves as occasional multitaskers performed worse. It is thought that possibly those participants who know themselves well-enough to consider themselves high or low multitaskers are better able to judge their abilities and comprehension in class than are those who are occasional multitaskers. As students are finding more and more ways to be distracted in a traditional lecture, this research points to creating a more

sophisticated understanding of the various factors that actually diminish comprehension in a classroom environment.

Implementation of Multi-modal Stress Management Programming at a University

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Abstract: Stress and its effects are well-documented in the research literature, with college students identified as particularly at risk. The purpose of this project was to develop greater insight into the efficacy of HeartMath heart rate variability biofeedback-supported training in self-regulation of emotions as a stress management intervention with college students. A multi-modal intervention program spanning undergraduate, graduate and clinical components of the university was implemented. A pilot study was conducted to examine relationships between the training program and indicators of stress and psychological well-being that are related to personal and professional success, with results expected to support the premise that selfregulation and well-being would increase and perceived stress would decrease following the intervention. Training in the intervention was also provided to graduate research assistants and to graduate student therapists and faculty supervisors at the university Counseling Clinic. A Stress Lab serving the campus and larger community was funded. Participants in the study were undergraduates in classes where stress management and empathy skills instruction was provided. Researchers measured heart rhythms and administered self-report measures before and after five weekly biofeedback sessions outside of class. Scales used were: Perceived Stress Scale, Ryff Scales of Psychological Well-being, Appreciation Scale, Gratitude Questionnaire, Interpersonal Reactivity Index, and Coping Self-Efficacy Scale. Participants completed self-reflective journals upon practice completion. Initial review of the data indicates significance. This project will benefit the field and the community by establishing an ongoing line of research, pedagogical tools for addressing stress in the classroom, and increased service to the community.

Keywords: stress in college students, self-regulation, psychological well-being, empathy

Learner-centered Pedagogical Strategies: Delivery Formats Matter

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Abstract: Situated in sociologies' Grounded Action Research Theory which informs complex organization and social problems (Simmons, 2003), this research provides qualitative and quantitative evidence in the form of data analysis from surveys, grades, and evaluations that student cognitive and affective learning outcomes are more positive if students, in a distributed learning environment, engage with discipline-specific content through a delivery approach based on their own learning style. Undergraduate students enrolled in L 100, Survey of Unions and Collective Bargaining, an online course in a major urban Midwest University were presented with a content-specific lecture delivered in video, written, and interactive format. Using Alternative Assessment (Speck, 2002), cognitive learning outcomes were assessed using student writing assignments as measured by a values rubric and a an objective quiz, and affective learning outcomes were measured using data from an email survey asking for student preferences to a written, video, or interactive lecture. Findings from students' writing assignments and the quiz suggested students had mastered the content-specific learning objectives. Findings from the survey suggested students preferred content delivered in written lectures or some combination of written, video, and interactive lectures which counter findings from other studies suggesting students prefer interactive lectures.
This research fills a gap in the pedagogical strategy literature concerning best practices for content delivery regardless of the field of study and informs online teaching pedagogy and future research by suggesting the delivery format in a distributed learning environment does influence student learning outcomes.

Humanitarian Dr. Vktor Frankl and Man's Search for Meaning

Dr. Carol Miller

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Abstract: This presentation is designed to honor humanitarian Dr. Viktor Frankl and his timeless book *Man's Search for Meaning.* This presentation will be integrated and unified in three ways. It will commence with <u>information</u> on the philosophy of existentialism and its relationship with the psychology of logotherapy (7 minutes). Subsequently, this presentation will continue with <u>inspiration</u> from the life, works, and academic achievements of Dr. Viktor Frankl (13 minutes). Finally, this presentation will conclude with <u>implementations</u> of theoretical principles and therapeutic processes of logotherapy revealed in *Man's Search for Meaning* (10 minutes).

As a result of this academic presentation, participants will gain general knowledge of existentialism, its relationship with particular knowledge of logotherapy, and its relevance in our personal lives, professional lives, and public lives.

Relational Cultural Theory and Field Education

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Abstract: Professional social work education has always integrated theory and practice. The combination of theory and practice helps students to engage, assess and intervene with clients in a wide range of settings addressing a variety of issues. A special feature of social work education is the combination of class work and field education which involves the process of linking the knowledge

base of the profession to the field practicum. It represents the experiential component of social work education where the student has the opportunity to master the skills of integrating theory and practice, with clients, the field instructor and the field liaison. It is where the "profession socializes the student to perform the role of practitioner" (CSWE, 2008, p. 8). It is at this point that the student then becomes immersed in an intense flow of relationships between two or more people, making the field experience entirely relational. The authors maintain that the integration of theory and practice in Social Work field education takes place in a variety of relational and interpersonal relationships; between the client, the field instructor, faculty consultant, student, and agency workers. This dynamic relational interplay is described by Walker and Rosen (2004), as the essence of connection. Examine the potential uses of Relational Cultural Theory for strengthening the many relationships inherent in field education, pointing to three main elements of Relational Cultural Theory: mutual engagement, mutual empathy, and mutual empowerment, the authors give examples of field education scenarios in which each of these elements plays a role.

Delinquent Behaviors: Misguided Youth or Mental Issues?

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Dr. Foster's career continues to focus on questions relevant to why delinquent behaviors occur, what to do about them, and how to prepare future professionals for their roles in education, social work/counseling and social justice. She has extensive experience as a teacher, supervisor, trainer, program evaluator and professor; she serves as graduate faculty and coordinator of several licensure prep counseling programs, as well as consulting on a national level with the Office of Juvenile Justice and Delinquency Prevention. Research interests are varied, but include primarily issues involving the development, assessment, guidance, and evaluation of behaviors in children and young adults. Delinquent behavior and its impact on society's juvenile justice systems, educational institutions, counseling programs and family functioning are areas of interest to both professionals and those involved in training these professionals for future careers. The question of "what can we do?" if often the question asked by teachers, counselors, juvenile justice staff and parents/caregivers because the answers are not readily available.

This session will examine the increasing problem of delinquent behaviors by focus on the following: defining applicable terms, discussing the impact of DSM diagnoses and how they may relate to specific behaviors and/or offenses, looking at potential causes or correlative issues, and proposing methods to address these behaviors through treatment options. As time permits, case studies and scenarios taken from presenter's own practice will be offered to allow for participant input, experiential practice, treatment option suggestions and recommendations with real-world problem solving as intended outcome.

Presenter's practice involves continual study of behaviors to guide students, professionals, parents and workshop participants to resolution of these burgeoning social concerns. Specifically, can we and if we can, how do we help children and adolescents with problems to mature into contributing members of society? In essence, what do we do about delinquent and problematic behaviors?

What I Did Last Summer—An Empirical Method for Analyzing Qualitative Outcomes of Study Abroad Experiences

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Abstract: Surveys of student experiences have been conducted in most of the major countries that support study abroad programs, including the United States, Great Britain, France, China, and Australia (Copper, Telchler, & Carlson, 1990). Of particular interest to universities sponsoring study-abroad travel curricula are studies and inquiries posed to investigate the success, failures, costs, and benefits of such programs (Dwyer & Peters, 2004). Pioneering this line of research, the American Council on Education has implemented a multi-institutional research project designed to assess the impact of international learning experiences on student worldviews. The focus of this research, however, has been primarily on student demographic factors and their impact on multicultural awareness, beliefs, and values. To date, researchers have neglected the underlying and ongoing relational impact of study abroad. The question of key interest to the researchers was, what was the overarching interpersonal impact of a multicultural experience on students.

In the current study, a group of 13 undergraduate psychology students (13 complete data sets for 3 men and 10 women, mean age =26, S.D. = 7.5) from Indiana University Southeast participated in a three-week field research project dedicated to assessing the epidemiology of Posttraumatic Stress Disorder in Ghana, West Africa. Students conducted one-on-one interviews with a diversity of Ghanaian nationals in order to develop an understanding of the prevalence and symptomology of mental health symptoms following exposure to a traumatic stressor. Based upon Tausczik and Pennebaker's (2010) assertion that the words used in daily life reflect who we are and the nature of our social relationships, daily journaling and group discussion were utilized to evaluate multicultural experiences and chart personal growth. At the conclusion of the experience, students assembled a written portfolio comprised of journal reflections, interview data, and summative descriptions of their experiences. Linguistic Inquiry and Word Count software (LIWC7) was used to analyze the psychometrics of word usage in each portfolio.

According to Tausczik and Pennebaker (2010), verbiage reflects the cognitive mindset of an individual including attention, social relationships, thoughts, feelings and individual differences. LIWC7 enables quantitative analysis of qualitative data in order to assess real world attitudes and behaviors from everyday language. A paired samples t-test was performed on comparative word sets for attentional focus, emotionality, verb tense, social coordination (group process), and sensory awareness.

In qualitative analysis, students overall consistently reported that they felt they had:

"Gained better insight into myself as a result of study abroad."

"Increased understanding of other cultures."

"Increased tolerance of other people and customs."

"Increased ability to adapt to new situations."

"Increased knowledge of psychology, education and/or health as a result of this course."

All participants endorsed that they "found the immersion experience more valuable than classroom learning "and that they "would recommend the course to a friend."

Furthermore, statistically significant differences were found between each of the comparative word categories at a $p < .01$ or better. Specifically, students used more individual pronouns than group pronouns, more positive emotion words than negative emotion words, more present tense verbiage than future tense, more words reflecting inclusivity than exclusivity, and more sensory awareness of biological processes than emotional experiences.

Interpreting the findings, using Tausczik and Pennebaker's (2010) guidelines would suggest that the unique experiences of this group of students is indicative of a strong self-awareness, consistent with the reflective nature of their assignment. Additionally, the relatively high use of emotion words (particularly positive emotion words) is consistent with greater immersion in a transformative experience. With respect to tense usage, the students' writings are consistent with a high level of mindfulness in the moment—a byproduct perhaps of the immediacy of their basic needs in a developing country. This interpretation is further supported by the students' enhanced focus on biological processes such as eating, sleeping, movement and excretion over emotional experiences. Finally, students utilized terms indicative of strong social coordination, reflective of better in-group cohesion as well as formative connections to the larger global community—which was the primary objective of this course.

Future research will extend the data collection to the assessment of unique verbal assignments that will assist international program directors in enhancing opportunities for student cognitive

integration and processing in order to optimize the individual experience in international learning environments.

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Transformational Humane Education

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The Transformational Humane Education (THE) IRB approved project promoted compassion and encourage responsibility among middle and high school students enrolled in an alternative school. Interdisciplinary collaboration between the department of undergraduate social work faculty and students, the alternative school staff (the principal, behavioral counselors, and teachers) conducted four humane education sessions, with the goal of helping highly at risk youth process and make ethical and humane decisions through working with animals. Each session was conducted with the entire student body. All students completed a pre/post-test. Qualitative questions regarding student's future career interests after exposure to THE project resulted in: 1) Minority groups of Blacks and Hispanics valued the humane education and perspective career opportunities more than Whites and unknown students. 2) Minority groups were smaller in numbers for both pre and post-test sample populations. 3) The lower grades 7th through 9th grades were more knowledgeable on both the pre and post-tests. 4) Students' level of interest in careers and information on animal rights were highest among Hispanics at 50% with whites, blacks, and unknowns less interested in the topic.

5) In regard to environmental protection Hispanics and Black students demonstrated some knowledge and interest to the topic, whereas the White student's lacked interest in the topic for both future study and career opportunities. Conclusion: Humane education enables students to find workable solutions for a healthy, just society and future career options. (231 words)

The Theatre of the Expressive Arts Model for Bully Prevention

Dr. Maryam Mermey

The Theatre of the Expressive Arts Model for Bully Prevention catalyzes the transformative synergy between the theatre arts, the visual arts, the performing arts, and the film arts to create a welcoming culture for people of all abilities where the joy and tenderness of empathy and compassion can flourish.

In *The Theatre of the Expressive Arts Model for Bully Prevention*, participants experience and embody the exuberance and empowerment of transforming the bullying cycle by integrating the Pedagogy of Playfulness and the Pedagogy of Inclusion through the expressive arts. Participants artistically explore how it feels to live inside the skin, the heart, and the breath of the roles or archetypes of the bully, the target, and the witness~hero through the theatre arts, the visual arts, the performing arts, and the film arts. *The Theatre of the Expressive Arts Model for Bully Prevention* empowers children, youth, and adults of all abilities to have an embodied experience of the destructive power of rejection, the constructive power of inclusion, and the transformative power of the arts.

According to my research, the core of bullying is rejection. Bullycides (suicide as a result of bullying) and school shootings are extreme reactions at both ends of the spectrum to the accumulative effects of rejection. We are now seeing the destructive power of rejection perpetrated through an escalation of cyber bullying as in the case of 12-year-old Rebecca Ann Sedwick who last month, after being cyber bullied for more than a year, took her life as a result of texts including: *"Why are you still alive? You're ugly."* and *"Can u please die."* (NY Times 9/13/13 "Girl's Suicide Points to Rise in Apps Used by Cyber bullies") According to neuroscientists and DeWall, (2011) a researcher on inclusion and exclusion from the University of Kentucky who I interviewed:

> Our bodies respond to rejection like they do to physical pain. Rejection can even contribute to violence. An analysis of 15 school shooters found that all but two had been socially rejected. When you are rejected or excluded, he says, the best way to deal with it is to seek out other sources of friendship or acceptance. (DeWall, 2011)

The constructive power of inclusion is the antidote to the destructive power of rejection. During her filmed exit interview after *The San Francisco Power of Inclusion: Transforming the Bullying Cycle Through the Expressive Arts Workshop,* Lorraine shared her lived experience of playing the role of the bully:

> *"I kind of felt like the bully was kind of hurt inside and really just wanted some   more friends but like was taking his or her anger out on people and trying to get the person that hurt him back. It (the workshop) really helps you express your feelings so you can get the anger inside of you out, and then there's no reason for bullying at all…."*

In response to Lorraine's discovery from playing the role of the bully, she evolved her own approach to bully prevention as stated in a follow-up film interview a year and a half after the workshop:

> *"I try to reach out at them at a point where they're not bullying and where they're not really having a super-hard time, to kind of help for future. I have really supportive friends so I know I'll really always have a*

backup… I try to kind of open up to the bully a little more and make them feel more secure. And just make them feel better. I try to find friends for them and all…"

In coming to understand the bullying cycle from multiple perspectives, people of all abilities see they have a choice as to how they use their power. Overwhelmingly, after having explored the roles of the bully, the target, and the witness-hero through the theatre arts, the visual arts, the performing arts, and the film arts, participants realize it feels much better to use their power to help rather than to hurt. They discover that acting as heroes by taking the targets out of the reach of the bullies and including them in a safe, fun activity offers an embodied experience of the constructive power of inclusion for both the targets and the heroes. The bullies then have time to cool down, offer an apology, be forgiven, and accepted into the group activity. This process is called the Inclusion Technique, and while these steps don't always come to fruition right away, knowing the progression of the Inclusion Technique plants the seed for the possibility of fulfillment. Joslyn speaks about the constructive power of inclusion:

'It makes you feel a lot better, and it may not be the easiest thing to do, but it's worth it to see them be happy and not have to turn out, like, depressed. Yeah, like doing the roles and stuff… you can understand even more how it feels, and how it feels for the bully, how it feels to be the target, what it feels like, so that you can help them… Like, you might not wanna help 'em because you're afraid or something, but after you know what it feels like, you might wanna do it more often 'cause it feels good. Just that if you see something like that, it feels good after you do it, so it's probably a good thing to try, even if you can't solve everything.'

Amaryllis: It showed how hurtful bullies can be, because if you're a witness, you only kind of see the outer shell of it, but when you actually get in and play the bully, you actually see they could be good on the inside, but they're just kind of being forced to act this way on the outside. And it helped you see it from every point of view. Yeah, 'cause you kind of saw how other people looked at it and how you and the group you were [with] looked at it [sculpture collages]. It kind of unified everything.

Amaryllis: Greatly, 'cause I put a stop to bullying when I see it 'cause the workshop helped me identify it before it becomes a viral thing, and it helps me think how would I feel if I were that person making some rude comment to someone.

<u>Amaryllis: If they put a stop to something horrible, they will always be a hero, and they will never be a victim. Even if the person they help turns into a bully and makes them the victim, they're still a hero because they've done something."</u>

The transformative power of the arts offered by *The Theatre of the Expressive Arts Model for Bully Prevention* opens hearts and minds to a spirit of dignity in which every human being is equal. The dance between diverse artistic explorations and the reflexive process opens the way to honest self-reflection, empathy, and compassion. Students report a year, and a year and a half after taking a *Power of Inclusion; Transforming the Bullying Cycle Through the Expressive Arts* workshop, that they use their power to change the social atmosphere and dynamics in their schools in ways which interrupt the "Humiliation Dynamic and promote the "Dignity Dynamic." *The Theatre of the Expressive Arts Model for Bully Prevention* gives participants an embodied experience of the neurological and social benefits of using their power to help rather than to hurt. Based on exit film interviews, transcriptions, questionnaires, testimonies, and a sampling of follow up film interviews, the students who took the fullest advantage of artistically exploring the role of the bully within the safe and accepting atmosphere provided by *The Theatre of the Expressive Arts Model for Social Change,* were also the students with the most deeply rooted conviction to live their lives as heroes,

which they were actively doing in their schools even in the face of peer pressure. One young woman successfully intervened in a situation involving self-harm. These students had the profound realization that the suffering of the bully and the suffering of the target, are two faces of the same suffering.

This work, like the phoenix, arises out of the ashes of those youth throughout the world whose lives have been sacrificed by bullying. It is for them that we are called upon to find the courage and wisdom to transform the power in the bullying cycle. ***The Theatre of the Expressive Arts Model for Bully Prevention*** offers us a powerful way to do this. The spirit of dignity, which lives, moves, and breathes throughout ***The Theatre of the Expressive Arts Model for Bully Prevention*** counters the rejection perpetrated by the bullies with the nectar of inclusion. The nectar of inclusion promotes the health of self-reverence, a tender heart, and acts of loving-kindness. (Siegel, 2012) The witnesses to bullying transform into heroes by offering targets the safe haven of inclusion. In most circumstances, this practice of non-violence counsels against confrontation with the bullies, and leaves the door open to forgiveness. This is a life long skill for making peace peacefully where the means are congruent with the desired transformation. Experiencing the art of peace through the theatre of the expressive arts model is a potent reminder that we are part of living communities or mandalas of life seeking wholeness.

It is my deepest hope that we can all move toward transforming the power to hurt into the power to help with the expressive arts. In this aesthetic, dynamically effective way we can revivify and experience a sacred connection to ourselves, each other, and the family of humanity.

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Delayed Psychological Cognition and Social Incompetency of Children Exposed to Child Labor Hardship in Iran

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Newsha is a recent graduate from Baha'i Institute of Higher Education with a degree of Masters in Counseling Psychology. She is passionate about social issues and the well being of children and adolescents particularly in countries devastated by war and social injustice. Through research, she hopes to influence the policy makers in making positive changes towards an environment best suited for children. She is aware of the adversity these children face on a day-to-day basis, which impact their developmental stages. Newsha has been involved in several research methods involving the current social issues in Iran and the Middle East.

Abstract: Street children otherwise known as working children, whose early developmental needs are not met may develop severe and irrevocable psychological and cognitive harm, in addition to social incompetency. The irreducible needs of children dictates that the minimal requirements of a child's healthy development must include nutritional food intake; shelter, safety, education, developmentally appropriate experiences, and cultural continuity. In recent years and due to current political and social climate, Iran has experienced an exponential increase in the number of "Street Children", labeling them as "Children of Labor". These children, who are the youngest victims of such calamities, consequently lack proper developmental milestones, which may lead to traumatic experiences and developmental delays. In addition to a life of child labor and living on the streets, these children experience trauma such as psychological, social calamity, and emotional distress. Street children live a life of fear of being harmed, incapacitated, arrested by the police and exposed to brutality, victimized by other homeless on the streets, being subjected to abuse, and contracting infectious diseases. They are concerned about loneliness, not having a normal family life, and being

unloved. Furthermore, Children of Labor do not receive a formal education, which deprives them from learning and developing necessary skills for social competency and capabilities. Furthermore, these children are exposed to social ridicule and stigma of being a child labor, which adversely impacts their self-esteem, self-efficacy, and self-confidence. A comparative study by Canagarajah and Nielsen in 2001, attempted to understand causality of these children's predicament, and to influence governmental policy, in order to promote school enrollment of at-risk African children. The same study also concluded that living on the streets and working hard labor impacts street children's health and social competency, consequently preventing them from becoming functioning members of the society. The Street Children of Iran are forgotten and ignored by the government and society at large. Meticulously, this study will show that being exposed to hardship and labor in critical periods of early developmental stages will have adverse long term and irreversible effects on a child's physical, cognitive, and psychosocial development. This qualitative study is conducted on the premises of closely following 20 street children ages 5 to 15, who are currently working as "Child Labors" in Iran. Moreover, through qualitative research methods, the study will explore in details their day to day experiences revealing the harmful influences these children continuously face and battle in order to simply survive one day a time. The study aims to explore the cause, effect, and the existing correlational variables of street children's demise and long-term impact of such influences.

Levels of Empowerment and Parental Attendance at Multi-Disciplinary Developmental Evaluations for Preschoolers with Special Healthcare Needs

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Health professionals recognize the importance of parents' involvement in his/her child's health, but they do not appreciate the importance of building relationships with parents to empower them. Research is needed to understand parent-professional relationships in family-centered health service to empower parents having a child with special healthcare needs.

The purpose of this study was to explore the differences between parental attendance and absence from their child's multi-disciplinary developmental evaluation to a sense of empowerment. Parent empowerment was measured using the Family Empowerment Scale, that measures empowerment as a total, and three subscales (family, service, community). Sixty parents participated.

Results did not find significant differences in sense of empowerment between the two groups. Parents in both groups reported comparable empowerment scores on the total FES and three subscale scores. However, parents' sense of community empowerment was lowest and family empowerment was highest for both groups. Additionally, males, separated parents, and less than high school educated parents felt less empowered than females, married, and college or high school educated parents, $p < .05$. Parents responses to an open-ended question regarding barriers to attending were; (a) unable to obtain work-time off; (b) no childcare for other children; (c) transportation problems; (d) ill children; (e) no money for gas.

Concluding, parents are empowered in family-centered services that engage parent-professional relationships. Future research using the FES to explore how parents are empowered and the means to foster that will help professionals understand the dynamic nature of the parent-professional relationship.

Who's at Risk for Risky Sex? A Look at Multiracial Adolescents

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Abstract: Sexual risk behaviors place individuals at risk for sexually transmitted infections and unintended pregnancy. The CDC (2013) estimates that there are about 20 million new infections each year, costing the American healthcare system nearly $16 million in direct medical costs. Due to their desire to fit in, multiracial youth are particularly vulnerable to peer-related risk factors, such as risky sexual behaviors. In the wake of the "biracial baby boom," the multiracial child population is the fastest growing population in America. And estimations state that by the year 2050, approximately 1 in 5 individuals will identify as multiracial. This underscores the importance of looking at risky sexual behaviors among multiracial young adults. In an attempt to begin filling the gaps relevant to prevention research on the multiracial population, the purpose of this study was to determine whether individuals who self identify as multiracial engage in more high risk sexual behaviors than their monoracial counterparts. Utilizing the National Longitudinal Study of Adolescent Health (Add Health), which has a large nationally representative sample, patterns of risky sexual behaviors were examined. Logistic regression analyses revealed that multiracial youth were more likely to engage in at risky sexual behaviors, including multiple partners and lack of condom use. The role of peers was also noted. Sexual risk behaviors have significant individual and societal implications. Because of the influence of peers have on at-risk behaviors, mental health practitioners need to be well-versed in identifying those influential factors in at-risk youth.

Oral Health Promotion; Going Where the Children Are

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Oral health of children is an important aspect of overall growth and development. Many children do not receive guidance or assistance in the care of their teeth. An interdisciplinary project funded by

J.P. Kellogg Foundation tested a model of oral health promotion for children enrolled in a WIC (Women, Infants, and Children) program. Over 4000 low income children had fluoride varnish applied to their teeth at a routine visit to the agency. Dietitians and nurses taught oral health strategies, provided oral health assessments, and applied fluoride varnish to the teeth of children to age 5.

Children who lived in an urban area were more likely to visit a dentist than those who live rurally. The proportion of children seeing a dentist within the past six months increased with each subsequent visit. For instance, 22.1% of all participating children were said to have seen a dentist in the past six months at the first visit. By the second visit the proportion had increased to 30.8% and then to 38.1% by the third visit. The percentage of children with decayed or discolored teeth decreased in the urban site but increased in rural site.

This model was successful in expanding oral health promotion strategies into an existing community service. Addressing the need for policy change to include such services is recommended for future projects. Including oral health promotion strategies while delivering other health services is an important aspect of care.

Peace through Dialogue:
A Look at Saudi Arabia's Initiative to Promote Dialogue at National and International Levels

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Abstract: Numerous studies have shown that notwithstanding the complexity of national and international conflicts, they have been associated with misunderstanding and misperception. Objective factors are in fact the real driving force of conflicts within and between states. Human conflicts in general are expression of clash of interests, however, perception do play an important mediating role that affects the way such contradictory interests are resolved. Conflict is only one way that opposing parties may choose to manage their divergent interests. They may also choose to manage them through negotiation or even cooperation. The factor that determines which way to go about to solving major differences is perception. During the psychological processes of seeking ways to manage troubled relations with the other, ones' perception of his/her interests and those of the other come to play and shape their choice of strategy. This is true for all Individuals; laymen on the street or state's leaders.

Therefore, correcting perception becomes an important ingredient in any conflict preventive strategy. Among other things, lack of dialogue causes misperception. So, establishing channels for dialogue should help in minimizing misperception and help in lower risks of conflicts.

During the last ten years, the Kingdom of Saudi Arabia has invested some much efforts to make dialogue, internally and externally, a practice of people's daily lives. Two centers for dialogue have been established. The first is national and intended to promote dialogue among Saudis themselves who have different religious and intellectual affiliations, and the other, which is located in Vienna is intended to promote interfaith and civilization dialogue worldwide.

The paper will try to shed some light on the works of these centers and evaluate how much they have contributed to ease tension inside the kingdom as well as in the world. We will examine a number of documents published by both centers to assess level of success. It may be concluded that the centers have made some progress in engaging intellectuals and community leaders to raise their awareness of shared values and interests, instead of holding to old misperceptions of each other. This however, will take quite long time considering how deep-rooted those misperceptions are.

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