# CASE STUDY OF TENURE-TRACK EARLY CAREER FACULTY IN A COLLEGE OF EDUCATION

By

**GRETCHEN REVAY ESPING**

**B.F.A., Bethany College, 1971**
**M.A., University of Iowa, 1973**

AN ABSTRACT OF A DISSERTATION

Submitted in partial fulfillment of the requirements for the degree

DOCTOR OF EDUCATION

Department of Educational Administration and Leadership
College of Education

KANSAS STATE UNIVERSITY
Manhattan, Kansas

2010

# ABSTRACT

This dissertation examines an understudied group according the American Council on Education:   the tenure-track early career faculty (ECF).  The focus is on the culturalization, socialization, academic culture, and emergent themes discerned from ten semi-structured interviews with tenure-track ECF.

This qualitative bounded system case study was conducted in the context of a Midwestern Carnegie I Research Land-Grant Institution, an institution with emphasis on teaching, research, and service.   Ten semi-structured interviews were conducted and transcribed.  From these, codes, categories, patterns, and themes were found.  Additional documentation was also considered such as participants' resumes and the faculty handbook, COE:  Orientation to COE A Guide for Faculty 2008-2009.

The themes included a reliance on socialization from the parent degree granting institution, and an overall request for balance between professional and personal life.  In addition the ECFs need mentoring at their new institution in research, writing and publication, in professional identity, and socialization to tacit knowledge via cognitive apprenticeship.  A recommendation is that there be a bi-directional conversation on socialization, rather than a top down approach.

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Major Professor
Dr. Trudy Salsberry

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# ACKNOWLEDGEMENTS

# DEDICATION

To my "Cheerleaders":

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# CHAPTER 1: Introduction to the Study

## Introduction

The original impetus for this dissertation began in earnest in 2002 when this researcher found an article in the Chronicle of Higher Education, written by Ann E. Austin, professor of Higher, Adult, and Life-Long Education at Michigan State University.  She wrote:

> "The long anticipated retirement of significant numbers of senior faculty members is occurring at a time when societal expectations of academic institutions are expanding.  …Legislators and community leaders call for greater attention by faculty members to apply knowledge to solve societal problems.  …Without doubt, the individuals replacing retiring faculty members must demonstrate a wider array of talents than their predecessors, as well as higher levels of productivity (Fairweather, 1996; Massy & Wilger, 1995*).  In this context, the experiences of new faculty* (Boice, 1992; Rice, Sorcinelli, & Austin, 2000; Sorcinelli & Austin, 1992) *are characterized by stress, pressure, and uncertainty.  …The socialization process in graduate school must change substantially for new faculty members to work effectively in the ever-changing world of higher education.  …Moreover, much of the structure of graduate programs serves as much to make the institutions work effectively as to prepare graduate students for future professional roles."*
>
> (pp. 94-95*, italics added*)

Educational researchers "sounded the alarm" that there would be a great turnover in the professorship of American colleges and universities at the turn of the 21st Century.   Naturally, when a new wave hits the shore, many lemmings seek the sea.  And so when such an alarm went out to the Academy, the result was a plethora of new studies and research concerning the preparation of doctoral students to become the future professoriate of the 21st Century (See

Appendices A and B).  These two appendices were a condensation of

information from Wulff, Austin et al. (2004) that gave examples of funding

sources and the kinds of research being funded as well as the outcomes and

recommendations.  These tables also showed some of the earliest turn of the

21$^{st}$ Century ways people were attempting to understand what would be required

of the new professoriate.

Research on doctoral student preparation for the professoriate began in

earnest in the mid 1980s culminating in the first conference on preparing the

professoriate held at The University of Ohio in 1987 (Chism, 1987). To study

such a large phenomenon as "the new professoriate", it was imperative to break

down the subject into many smaller parts.  This dissertation examined two sides

of the same coin, simultaneously; that is, the content of culturalization,

socialization of ECF, and the context of the culture in which they find themselves

today, in this case, a college of education (COE) at a Midwest Carnegie I

Research Land-Grant University.

Only one research study was found so far that focuses exclusively on a

faculty of a COE (Antony and Taylor, 2001).   The Antony and Taylor qualitative

study focused on the attempt to socialize black ECF, and argued that the

traditional modes of socialization often force Black doctoral students to adjust to

expectations of congruence and assimilation (see Appendix A).  Nevertheless,

the Antony and Taylor study was the only study focused solely on Colleges of

Education.

The faculty of a COE is singularly an understudied population according to

Reybold (2003). She states that the actual faculty, or a portion of the faculty of a COE, is rarely studied as a stand alone case, but rather, the faculty in a COE is often included in research studies as a part of a larger sample population, which generally includes a number of disciplines and/or a number of colleges within one or more universities. Focusing solely on a portion of a faculty of a COE at one university is unique.

Since one of the most effective ways to get information about ECF is to ask the people directly involved, the researcher decided to use qualitative semi-structured interview questions (Appendix C) and the perusal of documents, such as résumé, curriculum vita, and the COE Faculty Handbook. The ECF members were thought of as one case. DiRenzo's Theory of Humanization (1977) was used to guide data collection and analysis on the content area (ECF), and Kuh and Whitt's Academic Culture Model (1988) was used to guide data collection and analysis on the context, i.e. the COE.

The Humanization Theory has four sections, maturation, culturalization, socialization, and personality development, but only two of the four sections were used in the data collection, that is, "culturalization" and "socialization". The other two sections were beyond the scope of this research. Reasonable boundaries had to be set, and so, this study was limited to culturalization and socialization and their ramifications that formed the structure for analyzing the captured data of the ECF. The study would have been far too complex if all four processes had been used. There were two sections of the Theory of Humanization not used, "maturation" and "personality development".

Kuh and Whitt's theory of an Academic Cultural Model guided the examination of the context of the ECF.    This model was used to investigate the cultural environment of the COE as perceived by the ECF.  The model is a three tiered figure (see Fig 1) which includes the top level as the largest tier being a collection of artifacts and symbols that a person uses to say something without using words.  The second tier is smaller than the first and includes all the espoused values of a person, faculty and administration.   And finally, the third tier is the level where all the underlying assumptions and core beliefs are collected. To affect this final tier of core beliefs is nearly impossible.  It is here the unconscious lives and works.  Tiers one and two are identifiable and solid with external evidence.  But tier number three, core beliefs, is very small, yet very concentrated and nearly impervious to outside influences.

## Guiding Research Questions

How are ECF, assistant/associate professors in a tenure-track position in a COE, prepared, to become the professoriate of the 21$^{st}$ Century in the context of a COE at a Land-Grant, Carnegie Classified Research 1 Institution?

1.  What is the nature and perception of each ECF member of their preparation to be the future professoriate, from the point of view of the identified study population group who has become ECF in the context of a COE?
2.  What are the perceptions of the ECF of the academic culture of a COE, keeping in mind their earlier preparation and previous job experience?

# Purpose of the Study

The purpose of this investigation was to look holistically at doctoral students who had become ECF in a COE at a Mid-west Carnegie I Research Land-Grant University.   Such broad research questions could qualify as a person's professional scholarship for the better part of her/his professional career.  It is not the intent, desire, or purpose of this study to exhaust all possible responses, but rather to document patterns and a range of perceptions of a group of ECF in one COE, share new knowledge on the preparation of ECF of their chosen profession. The results of this qualitative study were based primarily on the examination of the appropriate documents and the analysis of the answers to ten tape-recorded interviews using semi-structured questions (see Appendix C) that yield reflective self-reported answers.  In a COE, an ECF member usually has an additional phase of preparation, the preK-12 training since most professors in a COE have also been preK-12 certified faculty, unlike their counterparts in other colleges.

The focus of this qualitative case study was limited to the preparation and transition of new-hire, tenure-track assistant/associate professors of education, otherwise known as ECF who have become the future professoriate within the context of an academic organizational culture.  Non-tenure track faculty members were not included in this investigation nor were instructors or adjunct professors. The study investigated <u>how</u> and <u>to what</u> the current ECF of a COE was prepared at their home institutions where they received their doctorate degree, as well as the kind of socialization they have experienced at their new institution.

The purpose of this study is to create new knowledge about ECF in a COE

by examining their preparation, beginning with their perceptions of the doctoral graduate student preparation for those who aspire to be the future professoriate, within the larger context of the academic culture followed by their current context.

## Overview of the Study

This qualitative case study was a within-site study of a *bounded system* (Stake, 1994; 1995) in a COE at a mid-sized Midwestern Land-Grant Research I University.  The within-site study was focused on the ECF who have become faculty members in a COE between 2002 and 2008. The qualitative case study structure followed Lincoln and Guba's (1985) recommendations of attending to establishing the problem, the context, the issues, and the "lessons learned".  Yin (1989) defines a case study as "an empirical inquiry that investigates a contemporary phenomenon within its real life context" (p. 25).  The boundaries between phenomenon and context are not obvious; multiple sources of evidence were used.

Data collected from interviews and resumes were analyzed and coded for patterns and themes.  As always, special attention was given to the details of description, first distilling these details, and then grouping these categories into patterns (Creswell, 1998).  Data analysis was studied in Denzin and Lincoln's book entitled *Handbook of Qualitative Research* (1993).  Suggestions from Miles and Huberman's (1994) *Qualitative Data Analysis,* second edition were consulted as well.  Finally, Wolcott's (1990) monograph *Writing Up Qualitative Research* was consulted.  Analysis of the interviews and reviewing the drawings were concomitant with the data gathering. Ideas or concepts would be grouped into

categories; the categories would be coded, and emerging patterns would

become the themes reported in Chapter 4 of this dissertation.

## Assumptions of the Study

1   It was assumed that ECF professors would be willing to discuss the

processes of culturalization and socialization, openly and honestly with the

interviewer.

2   It was also assumed that, given adequate explanation of the use of 'journey

drawing' as a tool to stimulate recall, the participants' fears of drawing would

be alleviated, and the amount of details would increase participants'

perceptions of the same event would vary.

## Delimitations and Limitations

This study was limited to tenure track ECF of a COE at a Mid-Western

Land-Grant Institution with the Carnegie Classification of a Research I University.

This study is limited to perceptions and does not include observed behaviors. It is

also limited to those who accepted the invitation to participate in this study.

## Summary and Organization of the Study

This qualitative case study consists of five chapters.  Chapter 1 outlines

the study.  It included a list of each heading in the order it appeared in the

chapter, statement of the problem, a description of the professional significance

of the study, an overview of the methodology, the stated delimitations and

assumptions of this study.

Chapter 2 is a review of literature appropriate to the background and

general understanding of this study. Humanization (DiRenzo, 1977) divides

humanization into four key phenomena: maturation, culturalization, socialization, and personality development. The phenomenon of maturation and personality development were beyond the scope of this study, but the other two phenomena, culturalization and socialization were discussed in depth using supporting literature. Chapter 2 also includes a discussion of the academic cultural model (Kuh and Whitt, 1988) that informed the context of this study. Finally, a section of research related to ECF is provided.

Chapter 3 is an expansion of the "methodology" section of Chapter 1. A systematic approach was taken to the current available research in qualitative case study. The context of the study was described in greater detail, as well as the accessibility to participants in Chapter 3. Data collection, and data analysis were also scrutinized in Chapter 3. One final section appeared in Chapter 3, a combined section on trustworthiness and the role of the researcher.

Chapter 4 presents the results of the data analysis. Tables and figures, along with narrative illustrate relationships and details that may otherwise be puzzling or not easily discerned (Glatthorn, 1998). The patterns were reported in the most straightforward, detailed format possible to establish insight and clarity. Chapter 4 also includes the report on the analysis of patterns to derive themes in what Stake (1995) calls the development of issues raised by additional coding for patterns and themes.

In Chapter 5 the story was told again, that is, the restatement of the research questions, review of methodology, summarized results, and discussions of the implications. The researcher's insights, a discussion of the relationship of

this study to earlier studies, and suggestions for future studies were also

included.  This final chapter would include a discussion of the limitations of this

study as well, and any problems that were encountered along the way.

# CHAPTER 2: Review of Related Literature

## Introduction

Academic literature abounds with studies published in handbooks, journals, professional academic books, and even textbooks devoted to the preparation of graduate students to become new faculty, but literature on ECF and their experiences at a new institute is scarce.    The emphasis on the preparation of the doctoral student to become the new professoriate began in earnest in the 1980s and continues today.    The ability to communicate effectively and to teach efficaciously the appropriate and vital information to others "is a plus" and such skills are most often acquired while serving as a graduate teaching assistant in a college (Boyer, 1991). The consensus was that doctoral students who intended to become a future faculty member devoted years in a constant state of metamorphosis – always in the process of becoming – and hoping to emerge one day as faculty who could guide and teach students, while at the same time, being qualified to create and implement new knowledge in their discipline. Mastery of the discipline content and acquiring successful skills of applying new knowledge were only the pre-requisites of a successful ECF.

## Conceptual Framework

The first major framework influencing this study was focused on the doctoral student cum ECF as an emerging being:  (1) DiRenzo's (1977) understanding of humanization.  The second influential framework, Academic Culture Model designed by Kuh and Whitt (1988), emphasized the doctoral

student's development and preparation prior to arriving at the university as a beginning faculty member (Austin, 2001; Marincovich, Prostko, and Stout, 1998; Nyquist and Sprague, 1998).

The emphasis of this study was primarily on the *intangible* qualities of the preparation of the ECF. These intangible qualities were generally quite specific to a particular organizational culture such as that of a COE, and consisted of both cultural layering and tacit knowledge. Cultural layering can be understood as multiple departments or multiple opinions in a COE, and the tacit knowledge — what is learned but not taught— comes to fruition (or should come to fruition) via the apprenticeship character of a doctoral student's education.

By definition, intangible qualities are more introspective and complex than concrete, observable qualities. The challenge to explore the intangible was difficult on the one hand, but not impossible on the other. Intangible qualities such as human development (including culturalization and socialization) and academic culture (including artifacts and symbols, espoused values, and core beliefs) were by their very nature more difficult to grapple with than hands-on tangible tasks required of doctoral education students such as designing a syllabus or writing a teaching philosophy.

While the first framework (DiRenzo's Humanization Theory) provided insights into the preparation of the ECF members, that is, <u>cultruization</u> and its two concepts of enculturation and acculturation, and <u>socialization</u> with its three concepts of adult socialization, role acquisition, and professional identity, the second framework was also necessary to understand the context of this study,

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that is, Kuh and Whitt's Academic Cultural Model with its three concentric circles of symbols and artifacts, espoused values, and core beliefs.  Schein (1999) and Eckel, Green, Hill, & Mallon, (1999) successfully used Kuh and Whitt's Model, in their explanation of change in most cultures.   In 2010 the implication was that there were very different expectations of the doctoral student who became an ECF than there had been in the past (Austin, 2002; Tierney and Bensimon, 1996; Tierney, 1997), and that some ECF now bring along to their new academic position more preparation and parent institution mentoring than did earlier faculty members.  Likewise, there were also greater expectations by the hiring institution (Austin, 2002).  There was a natural wave of attrition of the faculty called the "graying of the professoriate", and it brought with it a change that is significant enough that it marked an end of a generation of faculty who were "pre- and post-1968".  World-wide, 1968 is recognized and acknowledged as the pivotal year of change in the values, attitudes and core beliefs of the world. (Boyer, 1991).

Nevertheless, doctoral students learned the organizational cultures and sub-cultures of a college, of a department, and especially the culture of the discipline. A future faculty member must be highly cognizant of the content as well as the context of a university's ideology and socialization, whether implicit or explicit. Those who became ECF of a COE needed to grasp the under-girding mission statement as declared by their university and college.  It is then these two issues that were scrutinized in this dissertation on ECF– the *process of humanization, and an understanding of the academic culture to which they are being socialized*.

**Humanization and the ECF**

One of the major theories that informed this qualitative case study was the transition of the doctoral graduate students to become ECF. DiRenzo's process of humanization (1977) focused on four categories that DiRenzo had identified as being experienced by all people: *maturation*, *culturalization*, *socialization*, and *personality/personal development* (pp. 27 - 28).

DiRenzo (1977) wrote a seminal article about the processes of humanization in which he determined that each person experiences the processes of humanization throughout their life, no matter where they find themselves. He described humanization as a shared experience that included maturation, culturalization, socialization, and personality development. DiRenzo's logical understanding of each process is quoted below in order to develop a fundamental understanding of how interrelated and tightly meshed these processes are, and to begin to identify these processes as necessary to anchor this study.

The following is a paraphrase of the mechanism of humanization (DiRenzo, 1977, p. 265):

1. Not all-social learning is personality development.
2. Not all-social learning is maturation.
3. Not all personality development is maturation.
4. Not all personality development is social learning.
5. Personality development is not socialization.
6. Socialization is not personality development.

DiRenzo, used the term "personality development" instead of "personal development" because the first phrase crossed over from sociology to psychology. DiRenzo's definitions listed below present his scholarly

understanding of the four characteristics of the humanization process, and are included here in order to more fully grasp the theory, and to hopefully present clarification and simplification of the nature, structure, and function of each of the four processes.

## Processes of Humanization

Maturation—the development of the biological organism; an Innate and relatively automatic process of moving through the life cycle.

Culturalization--a principally anthropological conception of social learning that has as its formal object the content of this process or that body of knowledge that is transmitted to the individual; manifested in two varieties:

    Enculturation (the culturalization of the neonate or culture-free organism) automatic, unintentional, and intrinsic; and
    Acculturation (the transmission of a secondary culture); optional, intentional, and external to the organism.

Socialization—the purely procedural and/or structural dimensions of social learning in which uniquely human attributes are developed and /or actualized in the human organism; optional and external to the organism.  This includes:

    Adult socialization
    Role Acquisition
    Professional Identity

Personality Development—the internal or psychological development of the organism in terms of its unique or individualizing qualities and/or attributes; optional (DiRenzo, 1977, p. 266).

**Table 1:  DiRenzo's Processes of Humanization**

| PROCESSES | NATURE | STRUCTURE | FUNCTION |
|---|---|---|---|
| MATURATION | *Automatic* | *Unintentional* | *Internal* |
| CULTURATION | | | |
| Enculturation<br>(culture-free organism) | *Automatic* | *Unintentional* | *Internal* |
| Acculturation<br>(secondary culture) | *Optional* | *Intentional* | *External* |
| SOCIALIZATION | *Optional* | *Intentional* | *External* |
| PERSONALITY/PERSONAL DEVELOPMENT | *Optional* | *Intentional* | *Internal* |

*Matrix using original definitions of DiRenzo (1977, p.266).  Developed by Gretchen R. Esping, March 16, 2003.*

The matrix above more clearly expressed the similarities and differences in the processes that combine to become DiRenzo's processes of humanization. It must be noted here by the reader that the first process, Maturation, was not investigated in this dissertation, nor was personal/personality development.  A study of these two processes was beyond the scope and interest of this dissertation.

**Maturation**

From the matrix above, one can see that the first process, maturation, just is. Maturation happens!  DiRenzo's definition of maturation is a biological function that naturally occurs.  As an example, a guest on an afternoon television talk show came out from the backstage area (applause, applause) and was there today to discuss the subject of potty training.  The guest looked at the audience and asked:  "Would those of you who are not potty trained please hold up your

hand." There is a brief startled moment, and then everyone realizes that of course no one in the studio audience raised his or her hand (laughter, laughter). After the laughter dies down, the guest just walks off the stage. He is done. He has made his point. That is all there was to say. Maturation happens.

## Culturalization

The second process of humanization is culturalization, or, as it is sometimes referred to, "culturation". In DiRenzo's words (1977) there is "…that body of knowledge transmitted to the individual" (p. 266) by a culture. This also may be tacit knowledge, knowledge transmitted, and absorbed by astute observation of an apprentice/master relationship. Within the culturalization process, there were two types, 1) enculturation, and 2) acculturation.

### *Enculturation*

The first type of culturalization, enculturation, is the personal environment, household, location, or a financial stratum one finds oneself by virtue of birth or early circumstances. Learning then takes place by virtue of unconscious participation in an environment including values and expectations. It is automatic and an internal process that defines what is both normal and natural for persons within that environment. Like maturation, it happens automatically, but unlike maturation, enculturation is not a biological process, but rather it is values, attitudes, beliefs, and "appropriateness" or "expectations" of the birth/early environment. Values, attitudes and beliefs quickly plant themselves within the individual by virtue of their environments and experiences from birth. The concept of "free will" to choose—accept or reject—is not a part of the equation of

maturation or enculturation.

Enculturation, using DiRenzo's descriptions of processes was essentially an unconscious experience. He described enculturation as automatic, unintentional, and internal. Phillips (1978) argued that there was an assumption often heard which stated that in order to be a successful teacher one had to be a member of the same race or situation as those you taught. "Those who say this assume that the experiences of the ghetto would not change in a period of time, and that one who is a member of an ethnic group automatically knows 'what's happenin' because of *the circumstances of birth"* (Phillips, 1978, p. 360; emphasis added). Phillips stated that the teacher was acculturated (taking upon ones' self the characteristics of another culture) during their time at a college/university, and no longer relied solely on enculturation (the environment one is born into), but rather, also relied on the reality that "acculturation brings about change, a change which adds to one's basic enculturation" (Phillips, 1978, p. 360). Pai and Adler (2001) attempted to explain the essence of the process of enculturation as unrelated to specific subjects.

Corcoran and Clark (1984) described enculturation as a period of *cultural learning.* In higher education, the enculturation process is usually the first year of graduate school, in which the students began to learn how to become productive members of their graduate program, assuming they had opportunities to encounter higher education and expectations of Academe prior to becoming an assistant professor.

Boyle and Boice (1998) conducted a study in 1996 to determine best

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practices for facilitating enculturation in exemplary graduate departments.

Exemplary departments were determined by administering the National

Research Council Effectiveness Ratings (1995), and examining the departments

for their organizational cultures and program structures.  They reported that

"…exemplary departments distinguish themselves in three ways:  They foster

collegiality among the first-year students; they support both mentoring and

collegial, professional relationships between the first-year students and faculty;

and they provide the first-year students with a clear sense of the program

structure and faculty expectations" (p. 87).  These best practices of collegiality,

mentoring and structure were often assumed but not necessarily carried forth.

This situation often resulted in a state of false-consciousness.

### *Acculturation*

Van Maanen and Schein (1979) described the acculturation process and

concluded that it may either be facilitated or hindered by organizational

influences that were embodied in procedures and practices.  Looking at the

matrix above of DiRenzo's Humanization Theory, the process of acculturation not

only implied the quality of "free will"; it also celebrated the aspect of choice as the

distinguishing feature between the two types of culturalization.  Acculturation is a

secondary culture, like putting on an overcoat over your suit coat.  This type of

culturalization involved action and choice taken by a person; acculturation

embraces the concept of choice and free will, but also assumed that the

"gatekeepers", those who control the culture, were willing to allow the uninitiated

into the culture and to become a part of it.

Taking upon one's self a secondary culture meant taking on a culture that was not "original" to the person. The assumption was that secondary cultures could be learned. Acculturation was a conscious and intentional act, a choice, in which one attempts to identify with a group of people or a place, and did so by external visible signs and symbols, using the power of choice and free will. It was "a wanta be", or even perhaps a person could be thought of as a "groupie" — both the "wanta bes" and the "groupies" exhibited a state of desire to identify with something that was both external and not original to them, and therefore, there remained often only an external or superficial knowledge of the culture. The assumption was made that acculturation usually lacked an in-depth understanding of the acquired culture.

Acculturation is a term in educational research that was borrowed from cultural anthropology. Cultural anthropologists defined culture, primarily, as a system of living, a plan for living. A common assumption was that in acculturation one part of a culture *is replaced* by another part from a different culture. Haviland (1999), a cultural anthropologist, gives a more accurate definition:

> "Acculturation…occurs when groups having different cultures come into intensive firsthand contact, with subsequent massive changes in the original cultural patterns of one or both groups. It always involves an element of force, either directly, as in conquests, or indirectly, as in the implicit or explicit threat that force would be used if people refuse to make the changes those in the other group expect them to make"
> (p. 454).

Acculturation is a conscious choice in many cases, but also, it is often defined as

a survival technique, one that is never fully internalized.

## Socialization

The third process of humanization was socialization. Socialization can be a two-way street, traveled by persons who chose to embed themselves within a particular culture, and by the "gatekeepers" of that culture, but often it was thought of as being only mono-directional. In 1998 Tierney and Bensimon looked at the culture of the Academy and socialization to an institution. They found that socialization is not static, nor a one-way occurrence, but rather a process in which the graduate student begins to identify and construct their values and ideas to the organization culture. Their research described a new view of socialization as being bi-directional, a two-way street between the future professoriate and the organizational culture. The new view of socialization embraced differences – student diversity, new technology, learner-oriented rather than faculty oriented. Socialization was an intentional and continual interplay between two cultures; it did not happen in isolation. Just "wanting to become" is not enough at this stage of humanization. The culture or the group also had to be receptive to the "newcomer". It was important to understand that socialization was optional for all parties concerned, to some extent. Gatekeepers either accepted or rejected a person as a neophyte within the culture. Socialization was an intentional act exhibited through external signs such as changes in behavior, language usage, and/or "new choices"; it was not something that iwas done <u>to</u> a person against their will, but rather, it is a process that is appreciated by both parties, and can be mutually beneficial, at least this is the definition and

explanation of traditional socialization (Tierney, 1997).

The key word to understanding the process of socialization is *motivation*! Wrong (1961) coined the word "acceptance-seeker" not as a positive noun, but rather as a critique. The following phrase was attributed to Francis X. Sutton and others (1956, p. 304). "People are so profoundly sensitive to the expectations of others that all action is inevitably guided by these expectations" (as cited in Wrong. 1961, p. 188).

Traditional socialization has been an inordinately fecund subject of which to write, but it was not until the mid twentieth century that socialization began to be conceived of in a new way. The assumption was that socialization happened from birth through the beginning of adulthood at age 13, based primarily on the traditional Judeo/Christian concept of bar mitzvah/confirmation. Erikson (1950, 1965) defined a new national concept in the United States: the concept of an adolescent or teenager, a distinct intermediary developmental group that existed somewhere between childhood and adulthood. Pearlin and Kohn (1966) conceived of traditional socialization of young people as:

Parental Values + Social Class = Different Types of Class-Related Occupations

Rarely had there been vertical movement in this equation, nor were new quotients added. Society had maintained this process for centuries, especially in the "old world" of Europe, middle-eastern countries, and Asia. The formula above was accepted as a given by the vast majority of citizens of the world.

Returning American veterans from WWII, the Korean Conflict, and the Viet Nam Conflict now had the opportunity via the GI Bill to receive a college or

university education, something that had never been within the reach of poor or even middle class families.  Socialization became adaptive behavior for thousands of these new college students.  Researchers such as Israel (1966), Merton (1968), and Parsons and Platt (1970) began to identify other influential factors in the socialization process:

Family Organization + Occupational Roles + School Experiences + Unusual Development (such as the experiences of war) = Psychological Orientation toward Social Reality.

A new history of the American teenager was published by Hine (1999) and reminds the reader that the concept of "teenager" is really a very new concept beginning just after the Second World War.  No longer were high school students sufficiently educated at the conclusion of high school to maintain the norm of the late 19th and the first half of the 20th century in the United States.   Rather, additional education and work experience was required whether that be an apprenticeship, on the job training, or additional specialized schooling.

At the beginning of the 1970s, the accepted theory of socialization was that the entire socialization process was *complete* by late childhood.  Two sociologists, Parsons and Platt (1970) questioned this assumption, especially after the social unrest of the late 1960s and the early 1970s.  Colleges and universities raised questions about what had happened to the upbringing and family values of these students who now seemed to be casting overboard all the attitudes and beliefs instilled by their initial home environment.  Parsons and Platt began to look at the socialization of young adulthood, and concluded that the

new trend of mass higher education had resulted in a new type of socialization –

socialization to peers and to rapidly changing global ideals.  Their seminal article

was an attempt to grapple with the processes of socialization, age, and the

culture of higher education.  They "…[put] aside the interesting question of

whether the whole life course until old age may fruitfully be regarded as a

process of socialization" (Parsons and Platt, 1970, p. 30).

Another breakthrough was made in the process of socialization when

Thornton and Nardi (1975) began to investigate and define a specific portion of

socialization that they termed 'role acquisition'.  In addition, Mortimer and

Simmons (1978) questioned the status quo of socialization and conceived of the

notion of 'adult socialization'.

### *Adult Socialization*

Mortimer and Simmons (1978) were the first two sociologists to entertain

the possibilities of *adult* socialization and began by contrasting youths and adults.

They concluded that a child/youth would be more malleable than an adult would

be, because a child cannot (generally) change their "membership in family

orientation" (p. 424).  Children/youths were required to attend school, and thus

they are restricted to a very small peer group.  On the other hand, when Mortimer

and Simmons looked at adults, whom they defined as those over thirty years of

age, they found many possibilities for socialization besides family and school

peers.  Adults had been socialized just by virtue that they have lived longer that

children/youths; adults usually also had more clearly defined expectations of

themselves and life, and became, therefore, quite resistant to change.

The more positive aspect of adult socialization was that it was voluntary and self-initiated. Here, once again, as in acculturation, is the concept of "freewill", which is a major aspect of socialization as well. Freewill as a part of socialization meant that adults were usually much more resistant to involuntary socialization attempts. By the time adults were thirty years old and older, they had experienced many more influences on their personal lives, such as, changing schools, careers, or maybe even having a variety of relationships. In addition, adults chose their friends from a much wider group than did children/youths. Often the group was scattered over a wide geographic area as well.

Mortimer and Simmons (1978) conclude their definition of adult socialization with the following quotes from earlier sociologists:

> "Failure to take adequate account of the considerable selectivity (Gerth & Mills, 1953, p. 86) and self-determination in adult socialization can lead to the excessively conforming 'over socialized conception of man' (Wrong, 1961) that does not allow for innovation, creativity, and change (Tallman & Ihinger-Tallman, 1977) or for alternative behavioral adaptations to new role opportunities and demands. Many adult roles, in fact, permit great flexibility and allow a wide range of behaviors" (p. 424).

The concept of over-socialization and excessive conformity that does not allow for change, creativity, or innovation would be an interesting topic to research in more depth at a subsequent time. A brief discussion of Wrong's contribution to socialization is located in the earlier portion of this discussion on socialization.

### *Role Acquisition*

Thornton and Nardi (1975) looked closely at the dynamics of role

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acquisition, *(a part of socialization),* the role and identity a person should accept.

The question of role and identity was first explored systematically in studies

originating in sociology in the 1930s.  These studies looked primarily at the

social and cultural influences that determined the eventual "role" young persons

should accept as their career, profession, job, or 'lot in life'.  For centuries,

especially in Europe, role acquisition was not even a question to be considered.

Life was a series of horizontal familial expectations with rare excursions in any

other direction except down.

The ideology that would eventually under gird the United States was

contrary to the "old world".  Possibilities existed in the 'new world' where

occupations and status could be chosen, theoretically, depending upon ones'

ambition and networking rather than on centuries-old social orders.  In the late

nineteenth and early twentieth centuries, public education was becoming a right

for all children rather than a privilege of the upper class as it had been for

centuries.

### *Professional Identity*

Socialization and preparing the future faculty member were understood to

include research in Professional Identity (Bragg, 1976), and in Organizational

Learning (Argyris, 1999).  Bragg defined professional identity in relationship to

higher education.  "Professional identity is defined as the process of acquiring the

values, attitudes, and skills of the single chosen profession".  She continues:

"Through the socialization process the individual acquires the knowledge and

skills, the values and attitudes, and the habits and modes of thought of the

society to which [she/he] belongs" (1).  Bragg concludes that if the socialization

had been successful, the professional identity was the result.

### *Socialization Process*

In addition, Bragg offered a five-step process of socialization expressed

from the point of view of the one being socialized.  First there was observation

which might be the easiest and least "painful" step in the socialization process.

Second was picking a role model and observing how the role model functioned in

the academic context.  Next, was to imitate the role model chosen.  Watch how

this role model interacts with peers, the senior professors, and those in authority.

All behavior is acting out, including positive constructive behavior.  Fourth, one

needs feedback both from ones peers and from other trusted individuals.  Is a

correction necessary?  Maybe it is appropriate to reevaluate the chosen role

model.  Perhaps some modifications or even choosing another role model is in

order to prepare for success. So far, the enculturation/acculturation processes

discussed in the earlier review of DiRenzo's humanization processes were

verified by Bragg's research.  The new-hire assistant/associate professor was

acculturating to an unfamiliar, and afore untested set of values, skills and

attitudes in an unfamiliar context; but the final, and probably the most essential

step in socialization was the internalization of the role identity.

Dialectic was established fifteen years earlier in the now seminal article

written by Dennis Wrong (1961).  Wrong described socialization as a conformity

to institutionalized norms, and these norms eventually become "norm-all".  He

maintained that if a person did not conform, there was a sense of guilt and

anxiety on the part of the initiate, and thus, it was easier for the neophyte to convert than to resist.  The acceptance of the institutional norms may even have caused conflict within the initiate through their acceptance of norms unrelated or even in direct opposition to their basic values, beliefs, and attitudes.   The persistent question is: "To what extent has internalization of these norms occurred?"  Wrong expresses his understanding of internalization in the following quote:

> "What has happened is that internalization has imperceptibly been equated   with 'learning' or even with 'habit-formation' in the simplest sense.  Thus, when a norm is said to have been internalized by an individual, what is frequently meant is that [he/she] habitually both affirms it and conforms to it in his [her] conduct (p.187). …Either someone has internalized the norms, or he/she is 'unsocialized,' a feral or socially isolated child, or a psychopath."  (p.188).

The "deficit" model of understanding social activity and/or behavior has been the dominant model in both psychology and sociology, and in Wrong's estimation, the model has been used to marginalize alternatives to expected activity.  The goal of such a model was to explain deficiencies with the intent of "fixing" the problem implying that the group or individual is deviant and/or incomplete, and that change needs to be applied to make up for what is missing, or to remove the inappropriate activity. This model was often used in the twentieth century to explain such things as women's empowerment via Women's Suffrages, a great deal of Freudian psychology, and research in ethnic and racial group behavior.

Argyris and Schön (1974) made a distinction between identifying with someone and the internalization of behaviors, attitudes and beliefs.  Identifying or identification is still an external activity, and does not anchor a person to a new or

different behavior, but rather relies on frequent maintenance to keep the socialization and acculturation viable; while on the other hand, internalization of socialization is far more, in Argyris and Schön's words, "intrinsically satisfying". Wrong (1961) discusses internalization at length, and identifies internalization as the very key to socialization, to any lasting change of behavior and activities. Without internalization, there is no lasting socialization.

A number of researchers in higher education — Bragg (1976); Dunn, Rouse, and Seff (1994); Kirk and Todd-Mancillas (1991); and Tierney (1988) — have discussed and confirmed the traditional view of socialization. Brim confirms that "the process [of socialization] by which persons acquire the knowledge, skills and dispositions that make them more or less effective members of their society" ( as quoted in Weidman, 1989, p. 293) is indeed the desired outcome. The one overarching theme of all of these definitions of socialization to an academic culture leads back to Morton's definition (1957) of socialization to a society. Wrong (1961) still argues that one can be social without being entirely socialized.

A number of other different models of socialization rose to the surface during the 1980s and 1990s. One of these models of socialization perpetuated an alternative view of socialization. William Tierney, the Wilbur-Kieffer Professor of Higher Education and Director of the Center for Higher Education Policy Analysis at the Rossier School of Education at the University of Southern California, focused his research interests on organizational performance, equity, and faculty roles and rewards. His earlier studies specifically addressed organizational culture in higher education and alternative understandings of

socialization of new faculty. Tierney argued that the organization's culture in higher education socialized the future faculty member to outdated values and goals for the twenty-first century. In his opinion, it is both the senior faculty member and the academic administration that needed to be *re-socialized* to the pressing issues of access to higher education, equity, and governance and decision-making in higher education cultures, and how they manifested themselves in the twenty-first century.

To quote John Van Maanen (cited in Tierney, 1997, p. 238): "Organizational researchers have over studied relatively harsh and intensive socialization and understudied socialization of the more benign and supportive sort". Perhaps one reason for this emphasis on "harsh and intensive socialization" is that many cultural researchers who discuss socialization are working from a "cultural deficit model" mentioned earlier, and were attempting to point out the speck in his brother's eye without being aware of the log that is in his own eye. The assumption is that something is wrong with the person being socialized, and this person must be fixed and changed by the others who understand "the culture" as if culture is a neat bundle of even-length identical pick-up sticks. One size fits all! Van Maanen and Tierney liken socialization to an organizational culture as having many similarities to fraternity/sorority hazing and initiations!

**Kuh and Whitt's Model of Academic Culture**

Kuh and Whitt (1988) developed a model of culture that they applied to the academy (Fig.1). This model visualized a culture as having three nesting diminishing concentric circles. Schein's and Kuh and Whitt's research has informed, complemented, and edified each other. It is this (Kuh and Whitt's) cultural model that was used in this investigation of the cultural context of a COE.

Kuh and Whitt presented a concept of cultural layering in 1988 (see Figure 1). The first and largest circle is the layer of Artifacts and Symbolism. This circle includes artifacts such as awards, certificates, prizes, and even the publication of journal articles and books, by an ECF member. Tierney (1997) suggested that other examples of symbolism could be all-university events like "dramatic, celebratory rituals, such as Founder's Day, or graduation or initiation rites of fraternities (*and sororities*), affords us one window of understanding how individuals change from one social status to another or how they become incorporated or invested in an institution or discipline" (2). Additional first circle symbols could contain such things as logos, colors, images associated with the university, as well as clothing, and behavior related to both the overarching university culture, as well as the *subcultures* of colleges, and even to departments and/or disciplines. Hazing rituals are an extreme example of symbolism that serves as a bond to galvanize initiates. "Hazing, for example, is no longer officially condoned on college campuses, because whatever bonding might have taken place was outweighed by the physical and emotional trauma that often occurred to recruits" (Tieney, 1997, p. 3). This first circle of artifacts

and symbolism is the largest, the easiest to identify, and the most overt.

The second circle, smaller than the first, contains the espoused values voiced by the university ideology, and especially by the college mission statement as well as in conversation with mentors and peers, and includes the exposed values of the discipline. These values can take on the character of criteria or standards against which members of the group are measured. It is hard to remember that sometimes there are other values that are equally valid, but diametrically opposed to the espoused values.

Finally, there is the smallest circle. It is the core of beliefs and underlying assumptions held by members of the larger group such as senior professors and the administration. The ECF also arrived with their set of core beliefs and underlying assumptions established over a lifetime by other experiences, including other universities of which they had been a part. These core beliefs and assumptions are excruciatingly difficult to change or influence, but once again, it is the internalization of the meaning behind the artifacts, symbols, and espoused values that must be altered in order to effect the core beliefs if there is to be a genuine, lasting change. Sometimes it is difficult, if not completely impossible, to modify the core belief system. This system literally drives a person to act and react in ways that may or may not be congruent with the extrinsic artifacts, symbols, and espoused values of the university or, in this instance, a COE. Whenever there is conflict between the concentric circles, the first attributes to suffer are honesty and integrity. If an academic institution or organizational culture sees that concentric circles do not converge, the culture is

then dysfunctional, "out of whack", and needs serious attention.  Whatever the results, the Kuh and Whitt Model (figure 1) gives insight into cultures, the dynamics of organizations, and even impetus to the process of change (Eckel, Green, Hill, & Mallon, 1999).  The core beliefs and underlying assumptions are not good or bad, only different from the norm of that particular institution or situation.

**Figure 1: Graphic model of Kuh & Whitt's Model of Academic Culture with Examples**



Observable Rituals & Ceremonies    Myths & Stories

**Artifacts & Symbols**

Published Mission Statements

Particular Clothing, Jewelry, Certificates

Behavior

Insider's Language

Reward Structure Trophies/Plaques

What is Good!   What Works!   What is Right!

**Espoused Values**
"Developing Global Citizen"
"Life-Long Learning"   "Active-Learning"
Mission Statement

"Acquiring knowledge is more important than transmitting it"

"The purpose of research is to create new knowledge"

"Some disciplines are 'more equal' than others"

**Underlying Assumptions Core Beliefs**

"If you can't do it, you can always teach it"

"You'd better do things the (insert the Intuition's name here) Way!

"Community welfare is more important than individual welfare."

"If it's not invented here, it will not work in our culture"

*Graphic version developed March 2003 by Gretchen R. Esping*

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# Research on the ECF

The ECF is characterized by isolation and loneliness according to earlier case-study researchers. Many have also expressed fear, and admit to depression and anxiety (Newman, 1999). Their admitted goal was to achieve tenure, but under the circumstances the impetus for changing the situation was with the senior faculty. To quote Newman: "We cannot rely on junior faculty to revise the system, since they lack the clout to combat the evil giants" (p. 28). Newman was self-reporting in this article and he views may or may not be representative of ECF.

Mullen, Whatley and Kealy, on the other hand did a case study in 1999 that discussed a faculty-student support group in a COE. In this study there were 11 participants who created a support group that in turn created solidarity through discussing personal research questions and methodology. Mullen, Whatley and Kealy concluded, "faculty-student support groups can provide a viable context for identifying salient mentoring themes" (p. 1). Note that this study was between faculty and students, but it is not stated how old the students were nor if this was a regular seminar experience or an allotted time per week or month.

Several case studies (two from the United States and one from Israel and another from England) exhibited the type of diversity of location this question of socialization and mentoring has received through out the world. The case study from Israel (Bogler & Kremer-Hayon, 1999) found many of the same findings of Newman, that is, feelings of isolation and loneliness, conflicts and dilemmas and

anxiety over tenure.  They asserted that "socialization is a lifelong process

whereby an individual becomes a participating member of a group of

professionals, whose norms and culture the individual internalizes" (p. 31).

Another case study on ECF done by Americans Cawyer, Simonds, and

Davis was reported in 2002.  Again there were feelings of a similar nature,

feelings of uncertainty, dissatisfaction and detachment.  Trowler and Knight

(1999) described the differences between the United States approach to ECF

and the approach of the United Kingdom.  They say: "…North American practices

and priorities are broadly similar to those in Britain, but there are important

differences: not only are departments and programs less cohesive than in the

UK, but NAAs (new academic appointees) face an often-lonely struggle to

achieve tenured status, a struggle that is by no means invariably success" (p.

179).

Finally, Boice (1992) stated "For many new faculty, the first two years are

characterized by loneliness and intellectual isolation, lack of collegial support and

heavy work loads and time constraints" (as cited in Tierney & Rhodes, 1994, p.

3).

These are just a few examples of case-studies that describe the similar

feelings of ECF.  The universality of these case-studies gives one a point to

ponder.

## Summary

The first section of this literature review discussed the humanization

process that every ECF members experiences as he/she progresses through

their graduate experience on their way to becoming the new professoriate.  This

second section identified several contextual concepts for this study:  Kuh and

Whitt's (1988) theory of cultural layering, An Academic Model, Schein's

discussions of organizational culture (1985, 1992, 1999), and Tierney's (1988,

1991, 1997) theory of culture and higher education ideology.  Kuh and Whitt's

model of academic culture (Fig. 1) is a devise to systematically understand the

values, attitudes, and beliefs that emerged from multiple investigation of institutes

of higher education, and those selected for publication in a report from the

Association for the Study of Higher Education.

    This concludes Chapter 2 and the review of literature.  This case study

being conducted for this dissertation will enhance the knowledge of ECF by the

study of this one COE.  The next chapter discusses the methods and

methodology used to construct a case study to examine socialization in a COE in

the context of a Midwestern Land Grant Carnegie I Research University.

# CHAPTER 3: Methods and Methodology

## Introduction

Qualitative methodology has always been prevalent in certain areas of study in the humanities such as history, political science, anthropology, and sociology. "Qualitative research can no longer be considered a marginal approach that mainstream researchers do not have to consider seriously" (Bogdan and Biklen, 1998, p. ix). The term 'qualitative research' was first used in the early 1970s but was not associated with any one particular discipline (Filstead, 1970). Qualitative research focused on the how, what, and why of a question, even though quantitative research still dominates the what of a question (Creswell, 1998, p.17). Qualitative research also uses a different lens through which to see phenomenon, and tends to be more exploratory than conclusive in its results, more investigative than prescriptive. Krathwohl (2004, p. 690) defined qualitative research as "research that describes phenomena in words instead of numbers or measures and usually uses induction to ascertain what is important in phenomena". Creswell (1998) identified a fairly large number of methods that could all be classified as qualitative research methods: phenomenology, case study, ethnography, biography, and ethnography, to name a few. For this study, the case-study design was chosen because of its focus on meaning from the perspective of the chosen participants, and its general holistic approach to discovering and creating new knowledge.

# Qualitative Case Study Design

The purpose of this study was to investigate the professional preparation of new-hires — assistant and associate professors (ECF) who are in a tenure-track position, 2002-2008 — in a COE at a Midwestern Carnegie classified Research I Land-Grant University.  Both professional preparation and previous job experiences could be considered as a part of this study. This qualitative case study research was a within-site study of a *bounded system* (Stake, 1994; 1995). The within-site study focused on the preparation of the ECF of a COE from their doctoral graduate years at their parent universities, through any additional job experiences, to their current positions in a COE.  The ECF is defined as new-hire, tenure-track assistant and associate professors as differentiated from new-hire instructors, adjunct faculty, or non-tenure track appointments.

The qualitative case study design followed Lincoln and Guba's (1985) recommendations of attending to establishing the problem, the context, the issues, and the "lessons learned".  Yin (1989) defined a case study as "an empirical inquiry that investigates a contemporary phenomenon within its real life context.  …The boundaries between phenomenon and context are not clearly evident; multiple sources of evidence are used" (p. 25).

The selection of a case study design for this investigation I was warranted for a number of reasons.  One reason is that qualitative case study design humanizes the research, and gives animation to this otherwise anonymous group.  Another advantage of case study design is the holistic approach to phenomenon that takes into account intrinsic values and attitudes that would probably not be captured in a quantitative approach to the research question.  A

third advantage of using case study design is its consistent approach to complex subjects. It allows in-depth, detailed information to be revealed through the conversations between a researcher and a participant. Case study also allows for multiple sources of data collection that can be very creative, and perhaps even unusual. Such an example is the use of simple drawings to stimulate recall of an experience (Nyquist, et. al. 1999).

This holistic approach to discovering how ECF members are prepared to be the new professoriate of the twenty-first century encompasses the <u>whole life</u> of a ECF member, including home life and other work experiences beyond teaching. By examining many facets that contribute to the professors' lives, one would have a more detailed 'snapshot', which would result in a fuller understanding of the complete new-hire tenure track assistant/associate professor experience.

## Research Question

Framing good research questions guided the study and set reasonable boundaries for a dissertation. The following question with two specific areas of emphasis is the result of extensive reading in preparation of ECF and in academic organizational culture.

How are ECF assistant/associate professors in a tenure-track position in a COE, prepared to become the professoriate of the 21st Century in the context of a COE at a Land Grant, Carnegie Classified Research 1 Institution?

1.  What is the nature of the preparation to be the future professoriate, from the point of view of the ECF in a COE?

2. What are the perceptions of the ECF of the academic culture of a COE, and its role in their preparation for the professoriate?

## Steps of the Research Process

After approval of the research proposal by the dissertation committee and the International Review Board (IRB) data collection began. Names, e-mail addresses, telephone numbers and mailing addresses of all the new-hire, tenure-track assistant/associate professors in a COE in the years 2002-2008 were identified. The researcher then wrote, called, e-mailed, or met personally with each possible participant to introduce herself, her research study, get their written consent, and schedule an interview appointment. The participant and the researcher agreed to keep the participants answers and the "journey drawings" confidential, and completely anonymous. The consent form gave the researcher permission to use all reported results and journey drawings in publications, in the future, while still maintaining the anonymity of both the participant and the COE. At the time of signing the consent form, each participant chose their own word or code name to identify them. The only one with full knowledge of the reported information and the identity of the participant was the researcher.

Interviews were conducted in the participant's office or in a specified room within the COE building. If the participant felt more comfortable doing the interview away from campus, an off-campus location was available to conduct the interviews, and one interview was done off campus. Each interview, including the stimulus "journey drawings", took approximately thirty to forty-five minutes to conduct.

Transcribing the interviews was an ongoing process, and the researcher did not wait until all interviews were complete to begin transcription. As soon as a transcription was completed, it was coded for general themes and memoing began. At the close of each interview, a few short notes were taken by the researcher to be transcribed, a memo that would capture the physical discernable information that would otherwise not be captured in transcriptions. Data analysis consisted of several iterations. With each iteration, codes were refined until most of the data were accounted for, and the research questions could be answered.

## Methods

### Context of the Study

The Carnegie Commission on Higher Education developed a classification system of colleges and universities from gathered empirical data in order to more easily and readily determine similarities in research, policies, faculty, diversity, and teaching. The "Carnegie Classification" was first published in 1973, and has been reviewed subsequently in 1976, 1987, 1994 and 2000. This Land-Grant University in which this study was done, and the subsequent COE, received a Research I Carnegie classification. The culture of both the COE and the University were important to this study to some degree in order to get a fuller picture of the academic environment that exists. Only the academic culture of the COE was studied.

Another way to describe the context of this study was to examine the contextual organizational culture using skills developed both through extensive

reading, and by skills acquired at the Cape Cod Institute (July 2003). Dr. Edgar Schein, Director of the Cape Cod Institute and an MIT Sloan Fellows Professor of Management at the Sloan School of Management, has invested his scholarly life to understanding, defining and changing corporate cultural contexts.  Schein's lifetime work has been in the area of sociology, developing an "inventory" of a culture, an instrument that is most often used in conjunction with evaluations of business and corporate cultures.  Schein's inventory was not the primary tool used in this study to investigate the culture of a COE, but rather, it was used as a knowledge source.

The context of this COE where this qualitative study of ECF occurred naturally developed its own culture through the leadership of the college since its creation in 1977.  This follows the norm of most academic institutions (Tierney and Rhodes, 1994).  The culture is also shaped by espoused values of the faculty, external artifacts such as photographs of faculty members, plaques listing doctoral students, and showcases highlighting faculty publications in the hallways of the COE, and the core beliefs of each individual, plus large posters stating the mission statement of the COE (Clark, 1963, 1980; Kuh and Whitt, 1988; Eckel, Green and Hill, 1998; Eckel, Green, Hill, and Mallon, 1999).

**Participant Selection**

All ECF meeting the following criteria were invite to participate:

1)	New Hire between 2002-2003 and 2007-2008;

2)	On a tenure track

3)	 Full-time faculty

A total of sixteen persons were eligible, and ten agreed to participate.  Table 2

below illustrates various characteristics of those who agreed to participate.

**Table 2:  Personal Characteristics of the Participants**

| Personal Characteristics of the Participants | | | | | |
|---|---|---|---|---|---|
| **Fictional Name** | **Gender** | **Age of Completion of Doctorate Degree** | **Educational Background Doctorate** | **Location by State of Doctorate Granting Institution** | **Interviewee's One Word Description Of the Present** |
| **Atwell** | F | B | X | Kansas | **Serendipitous** |
| **Doe** | M | B | X | Indiana | **Dynamic (in Flux)** |
| **Holcomb** | F | B | X | Texas | **Disappointing** |
| **Jay** | M | B | X | Kansas | **Having a Blast** |
| **Keith** | M | A | X | Texas | **Rocky** |
| **Mickel** | M | B | X | Kansas | Hopeful |
| **Mitch** | M | A | 0 | Indiana | **Nearly Complete** |
| **Smith** | M | A | X | Illinois | **Exciting** |
| **Victor** | M | A | X | Wisconsin | **Challenging** |
| **Zoë** | F | B | 0 | Kansas | **Transformational** |

A = Age 31-38 inclusive;     B=age 39-53 inclusive;    O=Second Generation Doctorate   X=First Generation Doctorate

## Data Collecting Processes

The first step in collecting information on all ECF in a COE at a

Midwestern Land-Grant Research I University was to contact the Assistant Dean

of the COE for a list of all current ECF with a tenure track appointment, and

requested their résumé/vita.

To begin the process of data collection the names and e-mail addresses of all assistant /associate tenure-track professors who were hired in the COE since the academic year 2002-2003 was identified by contacting the Office of the Dean of Education and the Human Resources Office.  Specifically, there were three major types of data collection:  first each participant was asked to supply the author with a copy of the participant's resume in order to answer many of the demographic question of the Semi-Structured Interview Questions (see Appendix C).  Second, an appointment was agreed upon to conduct the tape-recorded interview.  Finally, the participant was asked to do a *journey drawing'* (see Glossary).  The drawing was used as a tool to recall memories.

## Documents

The researcher requested a professional resume or curriculum vita from each ECF who took part in this study.  It was anticipated that several of the opening demographic questions in the interview protocol could be answered via the examination of the resume/vita (Appendix C). The answers to the demographic questions were used to develop the summary of the participants (Table 2).  In addition to the collection of resumes, the COE Faculty Handbook for 2009 was used to describe the setting.

## Interviews

The semi-structured interview questions were developed from the abundant research read by this researcher in the literature search for the framework of this dissertation.  The interview protocol (Appendix C) included the stimulus drawing and was piloted on September 30, 2007, with an ECF of the

COE.  Adjustments were made to the interview questions.

In addition to the protocol, new technical equipment for recording the interviews was also piloted.  The results were four-fold.  First, it was very helpful for the researcher to have multiple reminders of resource information when each question was asked in order to focus the interviewer's thoughts.  Second, the participant was very open and willing to share earlier experiences that placed them where they were today.  The researcher did not anticipate the openness and receptiveness to the questions and to the drawing.  Third, the participant requested a second sheet of 11" x 14" paper to continue the journey drawing.  The ECF also changed colors of markers and pens during the drawing, and it must be noted that the participant's own interpretation of the drawing was paramount during the discussion of the drawing (Lownfeld & Brittain, 1987; Silver, 2001).

Finally, a new type of recording devise was used that would eliminate the need for tapes, microphones, and a readily available electrical outlet.  It measured 3" x 1".  The result was that the device did not hold an electrical charge, and the partial answer to the first question was all that was recorded.

Based on the four results from the piloting, the interviewer eliminated a few questions from the interview protocol, confirmed drawings were useful, and chose a conventional tape recorder using an AC/DC adapter to conduct the interviews.

Face to face in-depth interviews were conducted with 10 ECF who met the criteria and agreed to participate.   Each interview was tape-recorded and later

transcribed verbatim before beginning the coding and analysis of the content. Each participant was contacted in person, via e-mail, and by phone in order to arrange an interview time when the qualitative semi-structured interview questions (see Appendix C) could be administered. The semi-structured interview questions were based on the literature search, and addressed two of the four processes of humanization identified by DiRenzo (1977)—culturalization, socialization, as well as review question number three referred to the ECF "journey". It was at this point in the interview that the journey drawing was introduced (see glossary). The semi-structured interview questions were based in the literature search, and addressed two of the four processes of humanization identified by DiRenzo (1977)—culturalization, socialization, as well as Kuh and Whitt's (1988) three levels of academic culture—artifacts and symbols, espoused values, and underlying assumptions/core beliefs.

One of the interview questions also included stimulus drawings as a means of recall of the early career professor's doctoral educational experience. Precedent for using stimulus drawings in qualitative interviews to stimulate memory and recall was set by Nyquist (1999) in a four year longitudinal study. Austin (2002 Jan/Feb) expanded on the same data of the longitudinal study, and made additional supportive references to the stimulus drawings over the course of the study. An unusual "tool" was used in determining how a person "makes the journey" (Austin, Nyquist) through graduate education to the faculty member. Asking the interviewee to do a drawing of their journey was used to stimulate the memory (Nyquist, Manning, Wulff, Austin, Sprague, Fraser, Calcagno, &

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Woodford, 1999).

Dr. Jody Nyquist, Director of the Teaching and Learning Center of Washington University in Seattle, asked graduate students to do a drawing of how they each perceived and/or felt about their 'journey' as a doctoral student. The drawings in that particular study were very revealing of their overall experiences, often using symbols, colors and size as indicators of unspoken realities. The doctoral student could not put into words information revealed through the drawing. The drawings in this investigation were not used to do any type of psychoanalysis in this study; rather, the drawings were used to stimulate and awaken memories. The interpretation of the drawing would be entirely that of the participant. The drawings were done on 11x13, 11x 17, or 8x11 inch good quality, acid free paper, and the participant was given a choice of soft lead pencils, graphite sticks, a variety of colored markers and crayons. Briefly, the basic questions used to help the ECF member interpret their own drawings was 1) "Tell me why you …." 2) "Why did you use…" and, 3) tell me about…". It was the participant's words that would be the primary interpretation of the drawing. Additional support for stimulus drawings can be found in Lowenfeld and Brittain (1987) and Silver (2001).

**Data Analysis Procedures**

Analysis in qualitative research could be thought of as putting all the coded information into an enormous funnel, going from the major ideas and themes to the more specific patterns that develop along the way. Then, the funnel is inverted and from all the specific bits of information, a larger and more

meaningful conclusion would be the outcome.  Bogdan and Biklen (1998)

describe data analysis in this way:

> "Data analysis is the process of systematically searching and arranging the interview transcripts, field notes, and other materials that you accumulate to increase your own understanding of them and to enable you to present what you have discovered to others. Analysis involves working with data, organizing them, breaking them into manageable units, synthesizing them, searching for patterns, discovering what is important and what is learned and deciding what you will tell others" (p. 157).

Cresswell, (2007) described a general process of analysis as beginning

with the preparation and organization of data followed by data reduction into

themes.  Themes were established through the use of coding and condensing

the codes resulting in portrayal of the data in tables, figures, and/or an organized

discussion.  If research and the following data were never reported, the research

wasn't complete.  The results needed to be simplified and reported through

intuitive interpretation, with a narrative argument supported by data and visual

representations.  This is the follow-through essential to sense making of the data,

and to answering the research question.

Creswell (2007) provided a summary of the steps of data analysis and

representation by research approaches (pp. 156-157).  For all approaches, one

must first develop a system for managing data files.  This researcher kept both

hard copies of contextual information (resumes, university/college documents,

researcher notes, consent forms, drawings, and initial memoing) as well as

computer files of the transcripts labeled with dates and participant codes.

Second, the researcher read and memoed frequently.  In this study the

transcripts and all other documents were read several times, memos were noted

in the margins and then discussed with the advisor at several points in the process. It was appropriate to commence writing memos in the margins of the transcribed text of connections made with research examples found in the literature search, those concepts associated with the conceptual framework and topics that emerged in this study.

Third, the data analysis process involved the description of the case. Documents assisted greatly with establishing the details of the description of this COE, that is, resumes, university/college documents, researcher notes, consent forms, drawings, and initial memoing)

The fourth step included classifying (often referred to as coding and code reduction, or categorical aggregation to develop patterns or themes). Data analysis in qualitative research is a method that categorizes each sentence or part of a sentence into larger, general ideas/concepts. This researcher established a list of work codes, a chunking of similar information into small related groups. Each sentence or part of a sentence was marked with a number to identify one of the four categories (I-IV), and a letter to designate which sub category it represented. Then each data chunk from each transcription with the same numbers and letters was complied for each main category in order to create a more coherent collection of information (see Table 3 for a summary of codes). Initially, the coding had 5-6 categories identified by word and color. Additional categories were added as they appeared with the maximum at one point being around twenty. Kaplan (1964) referred to this general chunking process as 'repeatable regularities'. The 20 categories were reduced to four

major categories with a total of 14 sub-categories.

Interpretation is the fifth step in the analysis and consists of portraying the larger meaning of the story…developing 'naturalistic generalizations' (p. 157). Miles and Huberman (1994) recommended keeping a list, a tally, of how often each code was used in each transcription, and then looking at that information and how often it was used as a means of discerning additional information. The result of the interpretation or sense making of the coding is discussed as 'themes' that cut across all main coding categories.

Finally, the last step in analysis was to represent or visualize the case. This required the researcher to present a detailed picture of the case using narrative, tables, and figures as needed to explain what was discovered. This detailed picture is included in Chapter Four of this dissertation. Creswell (2007) also has a diagram of the Data Analysis Spiral (p. 151) that illustrated how analysis was a repetitive process. Beginning at the bottom of the page one begins with data collection and then follows the spiral, often going back to an earlier step to reevaluate and reorder. It is a looping process that was used in this study to establish categories and later patterns and themes. .

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**Validation Strategies**

Creswell (2007) considers validation in qualitative research to be an attempt to assess the accuracy of the findings as described by the researcher and the participants. He recommends researchers use accepted strategies to document the accuracy of these strategies. These accepted strategies include eight general approaches: prolonged engagement and persistent observation in the field; triangulation; peer review or debriefing; negative case analysis; clarifying research bias or background; member checking; rich, thick description; and external audits. Further more, he recommends at least two of these strategies be used in any given study.

One of the validation strategies that this researcher was able to use was the prolonged engagement and persistent day-to-day observation in the COE for nearly 10 years. Also, being the graduate teaching assistant for five years at the Center for the Advancement of Teaching and Learning, the researcher taught a course in Principles of College Teaching. This activity helped this researcher to have a firmer understanding of the context and the concepts associated with the study. In addition, this prolonged engagement allowed the researcher to build up trust with many of the 10 participants and helped to facilitate some of the interviews.

A second validation strategy was peer review or debriefing. Lincoln and Guba (1985) defined this strategy with one of the two peers plays "the Devil's Advocate" in order to keep the researcher honest, and also to ask the hard questions about processes. This process provides an external check on the progress of the researcher.

**Role and Background of the Researcher**

      Schein (1999, p.188) explains: "You can decipher your own cultural biases if you make yourself partially marginal in your own culture". This researcher studied with Edgar Schein at the Cape Cod Institute in Massachusetts, 2004, in preparation to understand more fully institutional culture, and in anticipation of conducting this dissertation study of ECF.

      The researcher was embedded in a COE for two and a half years as both a graduate assistant and a doctoral student taking graduate courses. For an additional five years she was a graduate teaching assistant in a center for enhancing teaching and learning in higher education. The center provides ongoing advice for faculty members who request it, workshops for graduate teaching assistants, and conferences for university faculty, among other things. It also delivers a graduate course in the principles of college teaching for both faculty and graduate teaching assistants. The course provides experience in necessary skills to be effective now, and in the future as ECF members. The course also emphasizes how to educate adults, practical skills in classroom management, writing a teaching philosophy, writing syllabi, and the opportunity to observe model professors.

      This researcher/author has had previous experience in two additional qualitative studies. The first experience was as a grant writer and project investigator of a qualitative study funded through a grant from the National Endowment for the Humanities via the State Endowment for the Humanities. This research involved both focus groups and individual taped interviews, as well as videoed interviews. While a graduate assistant in a COE at a Midwest

Research I institute, this researcher transcribed four focus-group tapes used as data sources for a grant-funded study conducted by an ECF member in a COE.

In 2002, the doctoral parent institution of this researcher/author was asked to participate in a grant funded by the American Associate of Higher Education. This researcher was the principle investigator for the qualitative portion of data collection, which included taped-recorded qualitative interviews and verbatim transcripts of nine deans and sixty-nine department heads/chairs at the institution.  Using taped interviews, transcribed and coded to find pattern-identification, the result was the identification of general trends nation wide. For illustrative purposes, vignettes from the transcriptions were used.  This qualitative study resulted in a co-authored chapter in a book published by Jossey-Bass in 2005 (O'Meare and Rice, 2005).

## Summary

This Methods and Methodology chapter is like a road map that directs the entire study.  The researcher has followed a process identified by Creswell (2007) and will now present the analysis and resulting patterns and themes in detail in Chapter Four.

# CHAPTER 4:  Analysis of the Data

## Introduction

The purpose of this study was to examine an understudied group of university professors, the tenure-track ECF in a COE. Often there is only a matter of a few months between the role and identity of a doctoral student and that of the ECF member (Tierney, 1994). The tenure-track ECF discussed in this study was within the context of a COE at a Midwestern Carnegie Research I Land-Grant University.  There were two major concepts used in this study, Humanization (DiRenzo, 1977), and the Academic Culture Model (Kuh and Whitt, 1988).

## Analyzing the Data

Ten ECF were identified as per the description in chapter three.  The tape-recorded interviews resulted in ten transcriptions of the responses to the interview questions (see Appendix C).  The transcriptions were read several times with memoing [making notes] along the margins.   The memoing served as a way to familiarize the researcher with the transcribed interviews and to identify the kinds of theory driven expressions to look for.  Memoing was vital in order to begin to grasp what each informant had to say.

A coding chart was developed (see Table 3 below).  A theoretical definition and a working definition were given for each sub-code.  Then a direct quotation was found within the transcriptions to give an example of the type of data being labeled with this code.  Coding of the transcriptions was done

sentence by sentence to gather all that each sentence had to offer. Occasionally, parts of sentences or entire sentences were put into two or more different categories, and on other occasions, two or three or more sentences were taken together as an encapsulation of information. This description resulted in coding categories. Then all information was organized into respective files until all the information had "found a home", that is, until all information had been disaggregated into four major categories, namely, culturalization, socialization to the academy, academic culture, and influences upon career (emergent categories). Finally, the data under each main category were examined to determine sub-categories. These sub-categories yielded patterns that were then grouped to reveal prominent themes.

The four major categories were broken down into sub-codes. Culturalization now included two sub codes (see Table 3) of enculturation and acculturation. Enculturation meant that the informant was "born into" an environment that, at first glance, would seem to be conducive for inspiring a person to develop in a particular direction. Being enculturated also implied that the culture was automatic, taken for granted, unintentional and intrinsic (DiRenzo, 1977). The second sub-code of culturalization is acculturation. Acculturation is akin to putting on an overcoat or it might be called a second skin. It is transmitted as a secondary culture, and is optional, intentional and external to the person (DiRenzo, 1977).

This process of determining sub-codes continued for each category. Socialization to the academy was divided into three sub-codes: adult

socialization, role acquisition, and professional identity.   Academic culture was

the third category and it was divided into artifacts and symbols, espoused values,

and core beliefs.  The final category was influences on career.  It consisted of six

sub-codes. There were no theoretically driven definitions for the emerging

categories, so working definitions were created and used to identify the patterns.

The coding chart (see Table 3) gave examples of each category.  The names in

parentheses are the code names for each professor who shared that piece of

information.

**Table 3: Analysis of Data - Coding Chart**

| CODE | THEORETICAL DEFINITION | WORKING DEFINITION | EXAMPLE |
|---|---|---|---|
| **1. CULTURALIZATION** | | | |
| **(A) Enculturation** | The culturalization of the neonate or culture-free person, automatic, unintentional, and intrinsic. **(DiRenzo, 1977, p. 266)** | A culture one is "born into" or is surrounded by since infancy; the unconscious "taken for granted experience. | "My uncle got everything except his doctorate degree (ABD) **Would he have influenced you?** Oh! Very much so. He was a teacher. I loved history and books. I spent lots of time with him in his library. (Atwell) |
| **(B) Acculturation** | The transmission of a secondary culture; optional, intentional, and external to the person. **(Direnzo, 1977, p. 266)** | An example of putting on an "overcoat"; something that is not normal or natural, but that is acquired and becomes a 'second skin' | My father did not complete high school and my mother did not complete middle-school…Not until I settled in this small town that had a college, and I started to know people and their parents (professors) so it began to be important then to get a degree." (Keith) |
| **2. SOCIALIZATION** | | | |
| **(A) Adult Socialization** | "…Considerable selectivity **and self-determination, voluntary self-initiated and alternative behavior**…adaptations to new role opportunities and demands. Many adult roles, in fact, permit great flexibility and allow wide range behaviors. **(Mortimer & Simmions,1978, p. 424)** | Adult socialization is voluntary and often self-initiated. Adults usually have more clearly defined expectations of themselves and life. | I've learned through my personal growth that there are some not so nice people out there. I'm going to kill those people with kindness and they are going to see that they don't have an impact on me. (Keith) |

| | | | |
|---|---|---|---|
| **(B) Role Acquisition** | "…involves, in part, an increasing awareness of implied …and explicit expectations encompassing attitude, values, and knowledge and skill in addition to behaviors". **(Thornton & Nardi 1975, p. 872)** | Social and cultural influences are attached to role behaviors. | There is no poster child for these kids, yet the parents are overwhelmed, at best, somebody needs to advocate for them and I saw that role. …Some needs to recognize that it's not a choice, it's a disability.  (Mick) |
| **(C) Professional Identity** | Academic identity construction of narratives of experiences…through self-reflection…acquires the knowledge and skill, the values and attitudes and the habits and modes of thought of the society to which [she/he wants to belong… **(James, 2005,1; Bragg, 1976, p. 7)** | Internalization of values, attitudes and skills of the chosen profession. | "When I first moved into this office my colleague asked what was I doing here, and he said that I was only here because of affirmative action, (and I said) you were hired under the same guideline.  He said 'you probably went to some HBC Podunk school…unbeknownst to him, I graduated UT-Austin. (Holcomb) |
| **3.  ACADEMIC CULTURE** | | |
| **(A) Artifacts & Symbols** | Artifacts such as awards, certificates, prizes, and even the publication of journal articles and books; artifacts and symbolism are the largest, the easiest to identify, and the most overt. **(Kuh & Whitt, 1988)** | External, observable objects and behaviors of a COE. | It seems strange to me that people would come from outside the department to ask me questions…and why would [they] not go to a senior Faculty to ask those kinds of questions. …I think it comes down to a certain extent to publications. (Doe) |

| | | | |
|---|---|---|---|
| **(B) Espoused Values** | A university ideology and especially the college mission statement, conversation with mentors and peers and the exposed values of the discipline.  These values can take on the character of criteria or standards against which members of the group are compared. **(Kuh &Whitt, 1988)** | Expectations external of how things get done around here. | " …because then you look at some of the things that have been published, they're inane, stupid, they don't have anything. They're rehashes of the same old things that we're done before …and people will acknowledge it". (Zoe) |
| **(C) Core Beliefs** | Excruciatingly difficult to change or influence, but once again, it is the internalization of the meaning behind the artifacts, and symbols, and espoused values that must be altered in order to effect the core beliefs if there is to be a genuine, lasting change.**(Kuh & Whitt, 1988)** | Nearly untouchable core that often drives the subconscious; core beliefs begin in childhood. | "I think the work coming out of this college is pathetic…people will acknowledge it:  'It doesn't matter…just publish something. Just put together a piece of crap…it doesn't matter.  Don't go to the top journals because that's too hard, and you may not get into the top journals, so just write something, it doesn't matter what". (Zoe) |
| <div align="center">**4.  Influences Upon Career**</div> | | | |
| **(A) Family and family ties** | | Responsibility to spouse and children, or parents and other relatives; the proximity to an area generally identified as 'home'. | "I'm a family oriented person who wanted to be sure to take care of my family". (Keith) |
| **(B) Improving the academy** | | Altruistic motivation to improve 'the Academy' via a better faculty and better students who choose teaching as a career. | I wanted to change the way principals were trained; I wanted to help do that. (Atwell) |

| | | | |
|---|---|---|---|
| **(C) Economics** | | Household economics (archaic) and providing for family members financially; financial responsibility toward others. | "Situations arose and I didn't have anyone to fall back on…so my salary plummeted from $25,000 to $7000 as a GTA, …and still support a family. (Keith) |
| **(D) Mentoring before coming to the college** | | Someone or a group who have special knowledge; they are committed to passing that knowledge along. | [Last year of my doctorate] there was a program called "Future Professors at Universities". I had the opportunity to work at two private colleges and an HBC and we were strategically placed in our field. We didn't have a choice about this program…It gave me a whole other perspective on how institutions work and prepare their pre-service teachers. (Holcomb) |
| **(E) Mentoring in the COE** | | Often a 3-5 year mentoring program within the COE. A mentor is usually assigned. | When I send in my materials for renewal each year, I mean I get good constructive feedback that helps me become a better person. (Jay) |
| **(F) Chance, Luck, God's Will** | | Happening of events; the way things befall; fortune; result unknown and not considered; an event good or ill affecting ones interests or happiness. | Serendipitous: Hard to know what was the driving force, but it just seems like things just sort of fell out and I was just at the right place at the right time. (Atwell) |

# Data Presentation and Discussion

Patterns from the four main coding categories (as described in Table 3) will now be discussed.  For each category there is a table (see Table 4) that summarizes meanings derived from the data (with a tally indicating how many of the participants expressed the same idea or meaning) and then presents the patterns derived from the data summaries.  The summaries of the data reflect only those meanings that were expressed by two or more participants.  The list of data summaries were then reduced to the most prominent patterns for each of the sub-categories under the main category.

### Culturalization

The category of culturalization has two sub-categories:  enculturation and acculturation.  Seven of the ten participants had a parent who had had some college experience. The enculturation patterns indicate that a role model within the family makes the event of going to college more appealing and less threatening than the first generation college student may find it.

Acculturation had two patterns associated with it.  First the three participants that could be identified as first generation college students were able to internalize ideas about college. One person attributed going to college to his family moving to another town with a small college and there it seemed to be the norm for his peers to go to college, so he also went to this small college.  In addition to the location, a number of his friends had parents who were professors at the college, so he decided to go to college because of these circumstances. Another first generation college student was fulfilling a parental dream not to

have to "work with his hands" as the father had had to do, but rather, having an

indoor job.  The third person who came later to the idea of going to college did so

little by little beginning with a junior college and then advancing.  The other

pattern was that two of the three went to a junior or community college during an

economic down turn they were waiting for the job market to open up again.

**Table 4: Sub-Codes and Patterns: Culturalization**

| 1. Culturalization | | |
|---|---|---|
| **Sub-Codes** | **Data Summary** | **Patterns** |
| **A Enculturation:**<br><br>The culture one is "born into" or is surrounded by in childhood. It is unintentional, automatic and intrinsic. It is the unconscious "taken for granted" experience. | Three participants have had others in their families that have been in doctoral programs. (3)<br><br>Seven of the participants have had at least one parent who has completed college. (7) | The family's educational background influences the choice to go to college. |
| **B Acculturation:**<br><br>The transmission of a secondary culture, like putting on an overcoat. It is optional, external and intentional. | Three participants are first generation college students, and have then gone on to get their master's degrees and doctorate degrees. None of these three participants referred to role models in the family. (3)<br><br>Two of the three first generation college students decided to go to college because of an economic downturn and they were unable to find a job. (2) | First generation college students without role models in the family were acculturated to higher education.<br><br><br>Going to college or back to school seems to be a holding pattern until the job market opens up. |

## Socialization to the Academy

The second main coding category, socialization to the academy, (Table 5) has three sub-categories: adult socialization, role acquisition, and professional identity. Socialization to the academy seems to be the heart of this study, or at least one of four chambers of the heart. The patterns of adult socialization to the academy indicated many ECF reported service to national organizations helped

them learn about expectations and that the ECF strive for a collegial, equitable climate.    For three people their adult socialization came via a national organization in their field; in this case the discipline was a stronger influence in socialization than their local peers.  The discipline has its own set of standards and criteria apart from or complementary to the socialization criteria of the university where the ECF find themselves.

Socialization to the academy also included role acquisition. This is a very external process and amounts to imitating or mimicking a role that you would like to build into a professional identity. Five of the participants listed family members as role models, and the other five saw teachers and professors as excellent role models.  At this level of socialization it is a very external, sometimes even unconscious mimicking of a person in a very positive manner.

Professional identity on the other hand, usually begins with the role acquisition and becomes more internalized leading to the development of a professional identity.  Professional identity means establishing a close personal relationship with someone that you are becoming very like them.   An example from the literature (Becker, Hughes, & Strauss, 1961) discussed the role acquisition of becoming a physician, the accouterments, so much so, that it becomes a professional identity.

**Table 5:  Sub-Codes and Patterns:  Socialization to the Academy**

| 2.  Socialization to the Academy | | |
|---|---|---|
| **Sub-Codes** | **Data Summary** | **Patterns** |
| **A  Adult Socialization:**<br><br>Voluntary and often self-initiated; adults usually have more clearly defined expectations of themselves and life. | Worked closely with a national organization. (4)<br><br>A local climate of equals existed; individuals who have agreed to disagree. (6)<br><br>Looked for partners and collaborators. (2) | Service to national academic organizations played a prominent role in socialization.<br><br>The ECF strive for a climate of equals and collegial partnerships. |
| **B  Role Acquisition:**<br><br>Social & cultural influences attached to role behavior | Had good role models within their family. (5)<br><br>Had former teachers/professors who were excellent role models. (5)<br><br>Mentors and mentoring programs are only one-way to socialize tenure-track ECF.  (8) | Role models had a very strong influence on the desire to become a part of the professoriate. |
| **C  Professional Identity**:<br><br>Internalization of values, attitudes and skills of the chosen profession. | The participants' professional identity in the Academy was often characterized by the challenge of balancing the expectations of writing and teaching.  (3) | ECF must concentrate more on writing; it is hard to establish a balance between writing and teaching. |

**Table 6: Sub-Codes and Patterns:  Academic Culture**

| 3.  Academic Culture | | |
| --- | --- | --- |
| **Sub-Codes** | **Data Summary** | **Patterns** |
| A **Artifacts & Symbols:**<br><br>Artifacts such as awards, certificates, prizes, and even journal articles and books; external, observable objects and behaviors. | Representation on national organization's boards was observable behavior associated with academic culture. (5)<br><br><br>Nine of the participants recognized that the old adage of "publish or perish" was a part of the culture.  (9) | The most frequently mentioned artifacts/symbols in the COE culture included publications and organizational leadership roles.<br><br>Publishing was still the backbone of continued success as a professor, as well as being involved in national organizations at the administrative level. |
| B **Espoused Values:**<br><br>Conversations with mentors and peers and exposed values of the discipline; these values can take on the characteristics of standards and criteria. | There are two types of balance alluded to:  one is the balance of teaching, research and service, while the other is the balance of working life and personal life…both are essential for success. (10)<br><br>Four ECF specifically mentioned their workload and balance. (4)<br><br>The other six participants seemed aliened to the amount of work expected of ECF. | Everyone felt overwhelmed by the expectation of the amount of work to be done. |
| C **Core Beliefs:**<br><br>Nearly untouchable core that often drives the subconscious; core beliefs begin in childhood; internal meaning behind the artifacts and espoused values. | Very disappointed in the professoriate system that is supposed to uplift you professionally, but it constantly degrades you. Several participants felt they were treated as graduate students even though they were assistant professors. (4)<br><br>Don't get involved in politics. (9)<br><br>This is the kind of COE that you can't get tenure if you are a bad teacher, but you can get tenure if you are an average teacher with publications. (2)<br><br>Integrity, respect & dignity are more important than say reading skills or trigonometry. (5) | The energy ECF would have spent on politics is better spent establishing integrity, civility, respect and dignity within the college and university. |

## Academic Culture

The table above (see Table 6) referred specifically to Kuh and Whitt's description of Academic Culture.  This model of academic culture has been referred to in detail in chapter two of this dissertation.  Still it may be worth mentioning here that the other, like an inverted pyramid, supports each one of these sub-categories.

The first sub-category, artifacts and symbols, is the largest and consists of such things as multiple publications and writing, travel, and representation on national committees in their disciplines.   Even though there were those who criticized the "publish or perish" criteria, writing and publishing remains the number one concern for most of the ten participants; therefore, until there is a change in the culture of the academy, writing and publishing will dominate scholarly activity in the foreseeable future.

The second sub-category, espoused values, brought to light that at least half of the participants are seeking the real balance between personal life and professional life, as well as, the balance between teaching, research and service.  "Balance" was the refrain.  ECF will no longer put research before their families for indeterminate periods of time.  Time management advice is an area that the mentoring program may take on as a special activity for both ECF as well as the senior faculty.

Finally, core beliefs are the most difficult theme to articulate and the least likely to be restructured.  Core beliefs drive the subconscious even though they are constantly being reconfigured internally.  Four core beliefs emerged from the interviews:  first, for a few participants, the professoriate that is supposed to be a

community of scholars and teachers has, by now, become a disappointing experience, and a system that is degrading rather than uplifting and expansive. Four participants spoke words to this effect, and two others were reluctant to express themselves by saying "well, I won't go there'.

The second core belief was to avoid politics both in the department and the COE at all cost, or as one participant put it "unless you've got a dog in the fight".  Third, two colleagues who had attended the same university both expressed the belief that at this COE one can't get tenure if you are a bad teacher, but one could be an average teacher with publications and still be successful in the tenure process.  The two participants who expressed this view used nearly the exact same words to express this thought. Finally, half of the participants discussed relationships were a primary concern.  Integrity, respect and dignity were held in higher regard than having skills in the teaching content.

**Table 7: Sub-Codes and Patterns: Influence on Career**

| 4. INFLUENCE ON CAREER | | |
|---|---|---|
| **Sub-Codes** | **Data Summary** | **Patterns** |
| **4A Family and Family ties:**<br><br>Responsibility toward spouse and children, or parents, or other relatives; the proximity to an area generally identified as 'home'. | For two male ECF having their wife staying at home, and raising the children was very important to them. (2)<br><br>Other relatives were dependent upon ECF. (2)<br><br>Job location was close to 'Home'. (5)<br><br>Women generally took several detours to get where they are, while four men generally had a straight line (from the K-12 classroom to the doctorate to the professoriate). Three of the male ECF also had circumvented pathways to the professoriate. (7) | Half of the ECF participants sought a job at this COE in order to be 'close to home'<br><br><br><br><br><br>Women have a more circumvented journey than men in their career path. |
| **4B Improving the Academy:**<br><br>Altruistic motivation to improve 'the academy' via better faculty, and better students who chose teaching as a career. | Most saw a need for improvement in the quality of beginning teachers and realized that they were unable to achieve this change without advancing to university teaching. (8) | Almost all who entered the university as ECF did so to gain the power to make an improvement in the system. |
| **4C Economics:**<br><br>Providing for family members financially; financial responsibility toward others. | The seven men were very open about money as a driving force, to provide for their families. 'Providing for my family' was an oft-heard phrase. (7)<br><br>Two males spoke specifically about dollars and cents and merit pay as essential to providing for others. (2)<br><br>The three female participants did not speak of money as a 'driving force' for entering the professoriate. (3) | Providing financial stability for the household and for other family members is a driving force for most of the male participants.<br><br><br><br><br><br>The three females had reasons to enter the professoriate other than financial. |

**Table 7:  Sub-Codes and Patterns:  Influence on Career (continued)**

| 4.  INFLUENCE ON CAREER | | |
|---|---|---|
| **Sub-Codes** | **Data Summary** | **Patterns** |
| **4D  Mentoring (before coming to COE)**<br><br>Mentors are a group who has special knowledge. They are committed to passing that knowledge along. | Four of the ten participants were products of this COE, and had informal mentoring prior to the formal mentoring experiences. (4)<br><br>Six indicated that relationships were the most important factor in their mentoring assignments and that the mentoring was based on similarities either in their philosophy of education or in their research interests. (6)<br><br>Three persons had university courses that offered both course work and hands-on mentoring experiences prior to becoming an ECF. (3)<br><br>Six participants had experienced in-depth lengthy encounters with faculty from parent degree granting institutions, and expected a similar peer arrangement when coming to this COE. (6) | Mentoring occurred as the doctoral student declared their desire to be the future professoriate.<br><br>Mentoring arrangements were based on similar philosophies and/or research interests.<br><br>Establishing a good relationship with the mentor seemed to be a very important factor in the success of the mentoring.<br><br>There were expectations of a continued peer mentorship program. |
| **4E A formal mentoring (within the COE)**<br><br>A five-year mentoring program developed within the COE. | Nine of the ten participants were enthusiastic to improve the mentoring program at COE. (9)<br><br>• 1  An improvement was a desire for more intense support from the assigned mentor.<br><br>• 2  One of the most often mentioned an improvement was the desire for more collegial relationships with their senior mentors. | There was a perceived need for improvement in the formal mentoring program of the COE |

| 4. INFLUENCE ON CAREER | | |
|---|---|---|
| **Sub-Codes** | **Data Summary** | **Patterns** |
| | • 3 The ECF wanted to have a publishing partnership with a mentor.<br><br>• 4 A research mentor was often mentioned as a desire by several ECF. | |
| **4F Chance, Luck, God's Will**<br><br>Happening of events; the way things befall; fortune; result unknown and not considered; an event good or ill affecting ones interests or happiness; a faith conviction. Related to Attribution Theory in psychology | Five of the ten participants cited chance, luck or God's Will as the reason they were now members of the ECF. (5) | Half of the participants recognized that the reason they have become current ECF is attributed to circumstances beyond their control. |

### Influences on Career

The table above (see Table 7) consists of patterns that emerged from the narratives of each interviewee that were not addressed by the theoretical concepts in Tables 1-3. Under the sub category of family and family ties, half of the participants mentioned that one of the reasons they chose to apply for the jobs at this particular university was because this university is located "close to home". In addition, several participants had additional adult family members for whom they were providing support. It should be noted that the three women and three of the men reported they have been on very circumvented journeys to get to the ECF position they are in today.

Another pattern that emerged was a very altruistic decision to pursue a doctorate degree in order to ultimately "right a wrong" at the academy level that was found wanting.  Eight of the ten participants expressed this type of personal involvement and commitment to improve the academy.  One of the participants discussed a situation she had experienced early in her teaching career. She received five new teachers who didn't have a background or experience in the specific job.  The participant had 298 children to take care of and these five inexperienced teachers were supposed to alleviate the stress, and instead, their inexperience only added to the stress.  The participant decided that the best thing she could do was to get her doctorate degree to change the possibility of this happening again.

The third sub-category that emerged was economics. The phrase was used repeatedly to "provide for my family", but coincidently, it was the refrain of the seven men. The three women participants did not indicate economics as a decisive point in their wanting to become a part of university professoriate.

The next two sub-categories, mentoring before the ECF came to the COE, and mentoring by COE, should be looked at as a whole in order to develop more understanding since they are so interconnected.  Many types of mentoring were experienced by ECF.

Eugene Rice (2006) warned that formal mentoring as it has developed in the last decade of the 21 Century is less effective than a mentoring program that begins the moment a graduate student declares their intention of becoming a member of the future professoriate.  Eight of the ten participants were more

positive about the mentoring and socialization they received at their doctorate

parent institution than the socialization and mentoring process they have

experienced at this COE.

The final emergent theme in the Influences on Career was the sub-

category of the attribution that included chance, luck, and God's Will.  In

psychology there is the idea of the Attribution Theory, which asks, to what do

people attribute their fortune or misfortune?  To what is the event attributed, good

luck, bad luck, "right place at the right time" God's Will?  Half of the participants

attributed their current positions as tenure-track ECF to one of these attributes

mentioned above.

**Table 8: Themes and Patterns**

| Themes | Coding Category Patterns Supporting Themes |
|---|---|
| Writing and publication are still deterrents to the new professoriate. | Writing and publishing are the most difficult parts of being a professor. (3A, 3C, 2C) |
| Balance is a demand of the ECF and they will no longer put research, writing and publishing above their personal life. | Every participant made the assertion that they expected a favorable balance between work life and home life. (3B)<br><br>There are two types of balance alluded to: one is the balance of teaching, research and service, while the other is the balance of working life and personal life…both are essential to a successful ECF. (2C) |
| Mentoring is a critical factor in the work of ECF. | A mentor and a mentee should be assigned on the basis of their philosophy of education or on research interests. (4D)<br><br>Mentoring should start as soon as the doctoral student declares their desire to be the future professoriate. (4D) |
| Socialization is continuous learning, taking upon oneself the role and identity of the profession. | Energy ECF would have spent on politics is better spent establishing integrity, civility, respect and dignity within the college and university. (3C)<br><br>National service and recognition is one way to be quickly socialized. (2A) |

## Themes and Patterns

Patterns were not easily discerned from the first coding of the information. The transcriptions were reread and coded repeatedly with the admonishment to "listen to the data". Some coding was clear, but other categories were not and needed to be revised. The re-coding attributed to a more accurate aggregation, and themes were then able to be determined from the patterns.

The table above (Table 8) discusses in more detail the patterns (on the right) that emerged from the interviews, and the themes on the left. The patterns have numbers and letters added which correspond to the categories and sub-categories discussed in the four tables in chapter four. In some instances, the theme cuts across as many as three sub-categories.

### Writing and Publication
**1. Writing and publication are still inhibitors to the new professoriate.**

Every participant seems to struggle with writing and publishing because there is difficulty-allotting time to both research and teaching. All participants understood that writing and publication were primary for their anticipated tenure review, but they all seemed to need mentoring in writing and publishing their research. Publishing seems to still be the backbone of the tenure process. Several participants were hoping that their assigned mentors would also be publishing partners, or at the least a consultant on their writing. What has occurred is that several ECF have banded together and published, but even one of these authors expressed that they expected more support from assigned mentors in the writing and publishing or their research.

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**Balance**

**2. Balance is a demand of the ECF and they will no longer put research, writing and publishing above their personal life.**

The second theme that was most often mentioned in addition to writing and publication was balance. Balance for these participants has gone way beyond the 'wishing stage' and is now a demand of the ECF. There is the balance necessary among teaching, research and service to be a successful professor. Then there is also the balance between professional life and personal life. This personal type of balance is an idea that every ECF is seeking.

Rice, Sorcinelli and Austin wrote in 2000 that "…these favorable conditions is a mythology about the quality of life that goes with an academic career — autonomy, freedom, being part of a community of scholars, security, reasonable workload, the good life. It is a myth that persists and one widely subscribed to, both by those who aspire to a faculty career and by the larger public" (p. 2). They had also included in their article a top ten list of Principles of Good Practice: Supporting Early-Career Faculty and number 10 was "Good practice fosters a balance between professional and personal life" (p. 26).

If balance is then a myth as Rice et. al. (2000) contends, and then they conclude, "…the overwhelming majority of them hang onto that idyllic vision — the myth lives" (p. 2). What then is the answer to this question of balance? The true myth is that things are going to get easier and better in the coming years. That simply is not true. ECF find that they just become more stressed and less satisfied as time goes on. Rice et. al. (2000) concedes that the problem of balance is "so serious that …we must ask whether the best of the new

generation will still find the faculty profession attractive" (p. 3).

## Mentoring

**3.  Mentoring is a critical factor in the work of ECF.**

This research looked at mentoring first from the point of view of the ECF and their experiences at their parent institute, and secondly, from the point of view of the ECF and their experience at this COE.  Thus, there are two different experiences of mentoring and they will each be discussed from these very different points of view.

Those ECF who talked about mentoring were first asked if the mentoring was assigned, peer or cohort mentoring, or mentoring as a result of being at the university itself. All forms of mentoring were prevalent and a definite distinction was not made.  The one common thread was that the mentoring was not a matter of an assigned mentor at the parent university.  The ECF were often in mentorship just as soon as they declared their intentions of working in higher education.  In some instances the mentors were picked by the ECF and in others the mentor was the advisor to the graduate student.  Three persons had taken a course to learn the everyday practices of ECF, but the courses varied considerably from a one-semester discussion seminar to a hands-on yearlong apprenticeship.   The professors and peers in their parent institution environment informally mentored the other ECF.

Three persons indicated that they believed that mentoring should be bi-directional (horizontal) and not mono-directional (vertical, top down).  The feeling was that by using a bi-directional method, learning would be exchanged between

mentor and mentee.  Tierney (1997) posed this idea of bi-directional mentoring over twelve years ago, but it seems not to have been embraced by all COEs.

Sorcinelli and Yun (2007) discussed new models of mentoring in which a number of faculty members would be responsible for several graduate students, not a one-on-one assigned mentor.  "In this model, ECF built robust networks by engaging multiple 'mentoring partners' in non-hierarchical, collaborative, cross-cultural partnerships…" (p. 58).  Sorcinelli and Yun believe that "…all members of an academic community have something to teach and learn from each other. They call this a mentoring network and see this type of mentoring as a necessity for the new academy that is being developed today.

Another idea expressed by three participants was that mentoring could be assigned by reason of research interests and/or philosophy of education.  This form of mentoring affords the opportunity to have a research, writing and publishing partner, but this may also be a rare match, and most ECF would not be that fortunate to find such a match.

The parent institutions of the participants began to mentor their graduate students as soon as the student declared their desire to become a higher education professor.  This would give most of these students two to six years to learn their craft while they were researching and writing their dissertations. Mentoring networks is the name Sorcinelli and Yun gave to the new models of mentoring about which they wrote.  A second model they indicated is the "multi-mentor network" model.  And finally, they suggested alternative models of mentoring such as peer mentoring, team mentoring, and e-mentoring.  This

researcher has personally experienced e-mentoring during the process of writing this dissertation.  It is supportive to know that you are not alone in having a specific problem.  This was an interactive e-mentoring experience, so direct questions could be asked and direct answers were given.

ECF realize that mentoring at their home institutions and mentoring at the present COE, whether it was assigned mentoring or informal mentoring, there was the need to have a cohort with whom to discuss their teaching, service and research.  On the other side of the coin, several ECF have felt they have been treated more as graduate students than assistant and associate professors at their new institution.  This behavior has been the actions of senior faculty, so senior mentors also need to be better educated in their responsibilities to the ECF.

## Socialization to the Academy
**4.Socialization is continuous learning, taking upon oneself the role and identity of the profession.**

Socialization to the academy is a conscious decision to participate in a new environment by observing and being aware of those around you, that is, tacit knowledge that can be learned but not taught through awareness and observable behavior (Baumard, 2001). In positive connotations it is imitating or mimicking those that are in this new environment. This kind of awareness and observation is not static, but always in flux. Socialization included adult socialization, role acquisition, and professional identity, but the question of today is to what are ECF being socialized?

Being socialized to old values is perhaps not the most valuable experience in this nation-wide movement toward a more bi-directional learning.  One of the most positive socialization experiences would be if the energy ECF spend on politics would be better spent establishing integrity, civility, respect and dignity within the college and university.   Every one of the participants agreed that time spent on politics is a waste of time and pitches the ECF and others into conflict. Another type of socialization is to be socialized to the discipline. This generally takes place when fulfilling a leadership role within the discipline organization. ECF associating with others outside of their home university brings the criteria and standards of the discipline into play.  At times the discipline socialization is stronger than the COE and the ECF identifies more with the discipline and its requirements than with the home institution.

Socialization is continuous learning, taking upon oneself the role and identity of the profession.  Socialization amounts to being aware of the behavior and verbalization around a person, idea or object.  It is assumed that listening and observing are two skills that must be developed in order to learn from the environment, and this awareness and observation is a description of tacit knowledge.

## Summary

Chapter four presented a discussion of the data gleaned from the analysis of the interviews.  This chapter concluded four themes, that is, the most pertinent information:  research writing and publishing, balance between professional and personal life, mentoring both within the parent institution and the COE, and

socialization to the academy.

The numerous charts condensed the information to a type of shorthand that included all information from the transcripts into an easily read document. The conclusion is that ECF are most often well prepared in the daily tasks of being a professor, but the research, writing and publishing is probably the weakest area the ECF experience.

# CHAPTER 5:  Discussions and Recommendations

## Introduction and Overview

The purpose of this study was to examine an understudied group of university professors, the tenure-track ECF at a COE.   This study was proposed in an attempt to better understand this group, hoping to improve the socialization generally.  This qualitative case study was also undertaken in response to an article written by Ann E. Austin who called for a more prescriptive evaluation of the preparation of doctoral students.

The participants in this study were ECF from a Midwestern Research 1 Land-Grant institution in the COE.  There was the possibility of having 16 participants, and 10 accepted the invitation to be in this case study.

The guiding research questions listed in chapter one and three were the following:

### Guiding Research Questions

How are ECF, assistant/associate professors in a tenure track position in a COE, prepared to become the professoriate of the 21st Century in the context of a COE at a Land Grant, Carnegie Classified Research 1 Institution?

1.  What is the nature and perception of each ECF of their preparation to be the future professoriate, from the point of view of the identified study population group who has become early ECF in the context of a COE?

**Answer to question 1**

Nine of the ten ECF felt they had been well prepared by their parent institution. However, quite a few felt they were being treated like graduate students, a degrading position from their perspective, when they came to this COE. Of all the participants the one who had taken a course in how to be a professor, a yearlong class with internships and apprentice practices, was the one with a realistic down to earth understanding of what it meant to be a professor. Just as the state certification requires appropriate amount of time in 'student teaching', so also did the parent university of this participant require a 'student teaching' in two liberal arts institutions, experience for those wanting to go into college or university teaching.

Eight of ten of the participants came to the COE with a very solid background in teaching. Seven of the ten had K-12 teaching experience in public schools, and the other three had significant experience teaching adults. One person had been teaching four years at a small college and required mentoring in the area of research and service, but because of his earlier graduate education experiences, he was prepared for the type of mentoring offered by this COE.

Two other participants had taught in junior colleges and arrived with a well-tested background in college teaching. Two others needed help combining teaching with research specifically since they had strong research backgrounds, but did not have strong teaching backgrounds. One of the two persons had never taught in a university environment and the other, also well grounded in research, had taught for a number of years at another land-grant institution. "A real plus", as Boyer put it (1991), was that most of the students had been

graduate teaching assistants during their graduate school experience and thus had a good idea of what was expected of them as teachers. It was another thing when it came to research and service areas. Those are the areas in which most ECF struggle.

Another participant came to the professoriate via teaching adults in the military. This person had been a certified teacher early in her career but had done most of her teaching with adults in military situations. She too had a more grounded understanding of what is required of a professor.

In contrast, some of the discussion about being a professor ended by saying "…I just love my students…they've become a part of my family. I show them photos of my children…I think of all of them as my children." This expression of "having a blast" and "I wish I could take them all home with me" by two other participants seemed like a total unrealistic naivety.

2. What are the perceptions of the ECF of the academic culture of a COE, keeping in mind their earlier preparation and previous job experience?

**Answer to question 2**

The culture or environment of the university was the emphasis of the second question. The three areas that described the culture were discussed as one unit under the category academic culture, and included the sub-categories of artifacts and symbols, espoused values and core beliefs as discussed by Kuh and Whitt in 1988. As mentioned earlier in Chapter 3 these three levels that constitute an inverted pyramid need to support one another, otherwise the culture

is not valid and is immersed in conflict.

The artifacts can be anything from a publication to a particular color of sweatshirt or a particular ceremony such as 'Founder's Day'. Culture is always in flux and is a living thing unto itself. In this Coe, participants noted such things as being on a national or regional committee, travel for the university, and having numerous publications as artifacts and symbols of the culture; they still stand for unspoken information, and thus a symbol.

Espoused values usually involved the COE mission statement and other catch phrases that declared how business was conducted around the COE. Not all values were espoused, but those that were gave meaning and dimension to ordinary everyday language. As an example, balance was expressed most often as the value with the most discussion. All then ten of the participants mentioned balance as an espoused value. Other values that are examples of espoused values are phrases such as "developing global citizens", "life-long learning" and "active learning".

The third level of the inverted pyramid is the assumptions, and core beliefs. This third level is hard to describe and even harder to change. One might say that this is what makes a Midwesterner different from an Easterner. It is not easy to describe or to even capture it in words. These core beliefs are so engrained that it is even sometimes difficult to be aware of them, or they could be called tacit, and therefore, not discernable.

Several participants expressed that their earlier work experience -- working in an oil field, at a youth center, or even another successful business

career—made them feel very privileged to now be working in an educational environment. In a couple of instances working in this COE was even referred to as the core belief of "the privilege to serve". Most of the other participants had moved from public school teaching to a doctoral program in education and then to the university to teach.

It was a almost total agreement that the ECF held the core belief that they were well prepared by their parent institution to be a professor in the 21$^{st}$ Century. Most of the participants also expressed a need for a research, writing, and publishing mentor. There were only two of the ten participants that did not allude to needing a writing mentor. These two have the longest careers as ECF, and spoke of needing mentors when they first began publishing.

## Recommendations for Practice

While this qualitative case study was underway, a national online survey on building support for tenure within a COE (Greene et. al. Nov. 2008) was published in which the concentration was on a COE and the ECF, but in regards to the support exhibited for the tenure process, not in socialization per ser, although that was implied. Several of the interview questions (see Appendix C) used in this present case study were similar to the Greene study. Again, like Rice et. al., and confirming this present dissertation research, Greene et. al. found that balance in teaching and research was a exceptionally strong theme. Greene indicated "This study extends the current literature by examining the experiences of early-career faculty in colleges and schools of education from various types of institutions and by offering suggestions for a comprehensive

support system for new faculty" (p. 431).  The comprehensive support system

was for the tenure process, several of the themes in this dissertation research

were similar to Greene's. This makes it possible for this author to still have a

unique position in COE research since qualitative interviews of ECF were not a

part of the Greene study, that was an online survey.

The first recommendation that would follow this dissertation is to read

Tierney and Bensimon (1996), Tierney and Rhoads (1994) and Tierney (1988,

1991, 1997);  Austin and Barnes (2005), Austin (2002, 2009);  Sorcinelli and Yun,

2007);  Rice, Sorcinelli, and Austin (2000); Rice (2006); Boice,

(1991,1992,1996,1997, 2000);   and Boyle and Boice (1998) who have had the

most substantial practical information for ECF in a COE.

It was recommended in the literature to treat people well, not with

contempt suggesting that the ECF are not full colleagues.  Competitiveness,

jealously and an uneven distribution of resources added to the bad behavior

exemplified by senior professors.  None of this appeared in the transcriptions in

this dissertation, although s few people alluded to it in their former parent

institution.

## Future Research

Below are a few areas for future research, questions that this researcher

did not find answers to, but which were often raised.  One suggestion for future

research was the area of the cognitive side of research.  Ann E. Austin (2002)

makes reference to and asks what happens to the ECF in relationship to their

balance in their professional and personal life?  What are some of the ways to

establish that balance?

Race and gender were weak points, but if this dissertation had had a different focus, and if the five women and one man who refused to participate had done so, more could probably been said about gender outcomes. There seems to be enough difference between the male experience and the female experience in this dissertation that gender could have been a stronger indicator had everyone participated. In regard to race, an interesting approach would be black on black challenges. The one black participant shared several black on black unpleasant experiences, but it is unknown if there were enough of such incidents to make a focus.

Another avenue for future research is the question: "Is the life as a professor a myth" as Rice et. al. seems to think or can the ideal become the real? In 2002, Austin asked the same question, if there could be a disconnect between the real and the ideal. Even then Austin discussed a lack of a systematic preparation for the full array of professional responsibilities an ECF would have to face, and another area that could be investigated more is the relationship of previous job experience before coming to this COE and the current position the ECF now holds.

Finally a case should be made for the investigation of cognitive apprenticeship, that is, tacit knowledge. This relates back to the suggestion for the cognitive socialization as well. Austin (2009) is the person who has done the most recent study of "learning how to think". She suggests, "making tacit processes involved more explicit. Learners need to have the relevant cognitive

and meta-cognitive processes brought explicitly to their attention, that is, they need to see how experts approach their thinking about how to understand and address a problem" (p. 175). And so to find balance in writing and publishing includes having a group of mentors who share the responsibility of team-mentoring the ECF with the changes suggested by the professional identity and socialization by undertaking a cognitive apprenticeship program (Austin, 2009) in order to train a future group of scholars, the future professoriate.

This dissertation researcher recommends that when there are doctoral students who see themselves becoming the future professoriate, an appropriate mentoring program be put in place immediately for them. The mentoring program would consist of four parts. The first recommendation would be that a publication on the doctoral studens' research dissertation topics would be published before the dissertation was defended. That way the research, writing and publication could be practiced as a hands on experience. This part of the program would address the writing, research and publishing conundrum so many ECF experience.

Second, during the doctoral process, a doctoral student should be required to keep a tenure type portfolio as a part of their doctoral program. This portfolio would be kept all the years of the doctoral program. The portfolio would be reviewed by either the advisor, or senior faculty mentors, or a very recent tenure track ECF could also review the portfolio.

Third, there would be a tenure review again by the advisor, senior mentors or ECF to be sure that the kinds of materials for a portfolio have been

collected.  If possible, perhaps the dean of the COE would be willing to check the portfolios.  Including the administration in the portfolio review could also give him or her the opportunity to recognize new talent in the COE.

Finally there would be a yearlong apprenticeship experience resembling student teaching in smaller liberal arts colleges or community colleges in the area.  The doctoral student would be involved in all aspects of the professoriate.  Again this would provide a practical experience both as a teacher and as a member of a faculty.

In addition, there should be a cognitive apprenticeship program, that is, attention to the role of  tacit knowledge plays in preparing the future professoriate ought also to be investigated.  Tacit knowledge is the basis for internships and apprenticeships and is fostered because of its internalization of what can be learned, but not taught.

## Summary

Coincidentally, this dissertation began and ended quoting by Ann E. Austin, a person whose scholarship has been devoted to studying the preparation of doctorial students to become the ECF.   A decade into the 21$^{st}$ Century what do we know about ECF in a COE?   The new professoriate still needs mentoring in research, writing and publishing, even though they feel quite well prepared for other areas of their responsibilities.  They are still under the impression that their students and the professor must have more than working  a relationship, that is, a "super" relationship that supercedes a working relationship.

Balance is desired, even demanded by the new professoriate.  There must

be balance between their personal life and their professional life.  If that is possible the ECF should be commended.  The reality is that the balance between the service, research and teaching demands more than some ECF are willing to give.  There is a certain "making peace" that needs to go on when the COE demands more and more every year.  This demand comes most generally in the amount of publication that is expected from each ECF.  Research, writing and publication are still the Achilles tendon of each ECF.

Mentoring seems to have been the most common form of socialization, but what was done before there was a formal mentoring program?  Informal mentoring seems to be the answer, and some of the participants in this research study made a case for successful informal mentoring.  The answer might be to have both formal and informal mentors, not an either/or proposition, but a this/plus proposition.

This concludes the qualitative portion of the new professoriate discussion, a small contribution to the socialization of early career faculty at a college of education. The most exciting new direction would be to explore the new avenue of tacit knowledge and cognitive apprenticeship suggested by Ann E. Austin.

In order to have a well-prepared professoriate one must have a well-prepared doctoral education.  Austin (2009) suggests five practices she uses to prepare her doctoral students to become ECF:

- Making explicit the challenges and responsibilities of being a scholar

- Guiding students through the process of creating a mini research proposal

- Coupling purposefulness with flexibility

- Cultivating a learning community of scholars

- Creating an environment of high expectations and high support

(pp. 177-180)

One of two primary purposes that Austin gives for using cognitive apprenticeship is "to…enhance students abilities in the area of analytical and critical reading, critical thinking and analysis, framing problems and developing research questions, conducting literature reviews, engaging in scholarly writing, and inviting and providing peer review and feedback" (p. 177).

Cognitive apprenticeship can help to prepare those who become ECF in a COE. The Theory of Cognitive apprenticeship can be taught and this would give better prepared doctoral student to the new professoriate.

GLOSSARY

**Acculturation:**  A part of the humanization theory; the transmission of a secondary culture this is not naturally present; a culture that is adapted, or adopted, "A second skin".  It is optional, intentional, and external to the organism, that is, it is a conscious choice intentionally made that is not necessarily internalized, (DiRenzo, 1977, p. 266).

**Analysis of Themes:**  The following step after the description of the data collected; the researcher analyzes the data for specific themes, aggregating information into large clusters of ideas and providing details that support the themes.  Stake (1995) calls this kind of analysis "development of issues" (p. 123).

**Bounded System:**  The "case" selected for study has boundaries, often bounded by time and place.  It also has interrelated parts that form a whole. Hence, a case can be both "bounded" and a "system" (Stake, 1995).

**Case:**  This is the "bounded system" or the "object" of study.  It might be an event, a process, a program, or several people (Stake, 1995).

**Case Study**:  In qualitative research, this is the study of a "bounded system" or instrumental case study (see below) with the focus on either the case or an issue that is illustrated by the case (Stake, 1995).  A qualitative case study provides an in-depth study of the "system" based on a diverse array of data collection.  The

researcher situates the system or case within its larger "context" or setting.

**Case Study Research:** "A case study is an empirical inquiry that investigates a contemporary phenomenon within its real life context; is when the boundaries between phenomenon and context are not clearly evident; and, is research in which multiple sources of evidence are used" (Yin 1989, p. 23).

**Context of the Case:** In analyzing and describing a case, the researcher sets the case within its setting. This setting may be broadly conceptualized (e.g., large historical, social, political issues) or narrowly conceptualized e.g. the immediate family, the physical location, or the time period in which the study occurred (Stake, 1995).

**Culture:** "Culture is the shared tacit assumptions of a group that it has learned in coping with external tasks and dealing with internal relationships … the product of social learning. Ways of thinking and behavior that are shared *and that work* become elements of the culture." (Schein, 1999, p. 186)

**Culturalization:** (1) This is the "culture-learning" phase in which assistant professors learn a sense of collegiality, mentoring relationships, program structure, and the structured organizational orientation (college and/or departmental) that complements the university-wide graduate education orientation (Boyle & Boice, 1998). (2) A principally anthropological conception

of social learning that has as its formal object a body of knowledge that is transmitted to the individual by circumstance and social class; it is manifested in two varieties: enculturation and acculturation. (3) The second of four parts of DiRenzo's (1977) humanization processes.

**Description:** This means simply stating the "facts" about the case as recorded by the researcher. It is the first step in analysis of data in a qualitative case study. Stake (1995) calls it "narrative description" (p. 123).

**Enculturation:** It is automatic, unintentional, and an internal process that is inherent to a neonate or culture-free organism (DiRenzo, 1977, p. 266). The social and economic class one is born into and the environment that is specific to a location.

**Journey Drawings:** A stimulus drawing to recall the past that has precedence in qualitative research (Nyquist, Manning, Wulff, Austin, Sprague, Fraser, Calcagno, & Woodford, 1999; Silver, 2001).

**ECF member:** ECF A person who is in a tenure-track position, but has not yet "gone up for" tenure; a professor who holds the rank of assistant or associate professor, and is a new-hire in a COE between the academic year 2002-03 and 2007-2008.

**Multiple Sources of Information:**   One aspect that characterizes good case study research is the use of many different sources of information to provide "depth" to the case.  Yin recommends that the researcher use as many as six different types of information in his/her case study (Yin, 1989; Creswell, 1998).

**Organizational Culture:**  (1) "Cultures are patterns of interacting elements; if we don't have a way of deciphering the patterns, then we may not understand the cultures at all" (Schein, 1999, xiii).  (2)  "…A culture whose values and goals are outdated or inconsistent with the world of the twenty-first century is not necessarily a culture for which we want to socialize new recruits"  (Van Mannen, 1979; Tierney, 1997,  2).

**Patterns:**  This is an aspect of data analysis in case study research where the researcher recognizes and establishes similarities among the data collected, while looking for a correspondence between two or more categories to establish a smaller number of categories (Stake, 1995; Creswell, 1998).

**Personal Development**: 1) *Technical – Instrumental*, i.e. knowledge and skills; 2) *Expressive - Ideological*, i.e. attitudes, values, and ideas (Israel, 1966; Nyquist, et. al. 1998). Sprague and Nyquist (1991) defined graduate teaching assistant development at three levels —Senior Learner; Colleague-in-Training, Junior Colleague.  Austin (2002, 2000c) and Nyquist, et al. (1999) have worked specifically with assistant professor development while DiRenzo (1977) in his

Humanization Theory also addresses personal development as personality

development, the fourth part of a larger four-part description of humanization.

**Preparing Future Faculty Program (PFF)** A certification program for assistant

professors who anticipate being a graduate teaching assistant; a program that

prepares assistant professors who anticipate becoming a faculty member upon

completion of their terminal degree.  The program consists of formal mentoring in

teaching, research, and service.  It began in 1993 and had funding through 2003.

(Gaff, Pruitt-Logan, and Weibl, 2000).  The American Council on Education now

supports PFF programs.

**Professional Development:**   Ongoing socialization that includes the

transmission of norms, attitudes, and values of a discipline, role, or profession.

Norms, values and attitudes are the foundation of any culture (Braxton, Lambert,

& Clark, 1995).

**Professional Identity**:  "…the process of acquiring the values, attitudes, and

skills of the single chosen profession" (Bragg, 1976, 7).

**Purposeful Sample:**  This is a major issue in case study research, and the

researcher needs to have a clearly defined specific type of sampling strategy

when selecting the case study participants, plus a strong rationale for the

choices.  The participants in a qualitative study are selected using specific

criteria.  It applies to both the selection of a case to study, as well as a sampling of information used within the case.

**Qualitative Research:**  "Research that describes phenomena in words instead of numbers or measures and usually uses induction to ascertain what is important in phenomena" (Krathwohl, 2004, p. 690).  "…verbal descriptions portray phenomena, consists of unstructured interviews in which subjects, expressing their own thoughts, explore the topic with the researcher, employs inductive logic to find an explanation, [and] develops an explanation for a perceived relationship" (Karthwohl, 2004, p. 5).

**Role Acquisition**:  (1) Traditional *Definition:*  A one-time process where individuals conform immediately to the expectations of the members of the group (Linton 1936; Sherif, 1936).  (2)  A developmental process in which a person progresses through four developmental stages:  anticipatory, formal, informal, and personal.  Persons move from passive acceptance to being actively engaged (Thornton & Nardi, 1975).

**Socialization:**   The social learning process through which the individual acquires the knowledge, skills, values, attitudes, and even habits and modes of thought that are acceptable to the members of the group to which s(he) aspires. (Bragg, 1976)  "Organizational researchers have over studied relatively harsh and intensive socialization and understudied socialization of the more benign and

supportive sort" (Van Maanen, 1984, p. 238).  "The process by which people selectively acquire the values and attitudes, the interests, skills and knowledge—in short the culture—current in groups to which they are, or seek to become, a member" (Merton, Reader, and Kendall, 1957,  p. 287).

**Subculture:**  Layers of organizational cultures, each of which may have its own specific espoused values, norms, and underlying assumptions.  Socialization is necessary at each layer of the subculture.  An example:  the subcultures of a university such as the culture of a college, the department or section; culture established on a floor or wing of a building; the culture of the discipline, between and among researchers.  Subcultures also develop between offices, between or among office mates, and between staff and faculty.

**Theory:**  "…a series of concepts organized into assumptions and generalizations that lead to hypotheses about a phenomenon" (Glatthorn, 1998, p. 87).  Hoy and Miskel (1996, p. 7) describe theory as a frame of reference that establishes a way of analyzing events in order to guide the decision making process.  Theory serves as a guide to research, especially when problem areas arise; theory facilitates the analysis of complex concepts and phenomenon; it gives insight into what may occur.  Simply stated "…theory gives practitioners the analytic tools needed to sharpen and focus their analysis of the problems they face" (Dewey, 1933, as quoted by Hoy and Miskel, 1996, p. 8).

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APPENDIX A

# Selected Research on Graduate Education: Preparing the Future Professoriate

**Based on Wulff, Austin & Associates, 2004**

**Matrices developed by G. R. Esping, February 1, 2005**

# SELECTED RESEARCH ON GRADUATE EDUCATION:
## PREPARING THE FUTURE FACULTY MEMBER

| NAME OF STUDY AUTHORS | YEAR | FUNDING | # OF INSTITUTIONS | # OF DOCTORAL STUDENTS | GUIDING QUESTION(S) | APPROACH | RESEARCH METHODOLOGY | CONCLUSION RECOMMEND |
|---|---|---|---|---|---|---|---|---|
| **Survey of Doctoral Education & Career Preparation** (Golde & Dore) | Survey, 1999 Summary Report: "At Cross Purposes: What the Experiences of Doctoral Students Reveal about Doctoral Education" 2001 | Pew Charitable Trusts | 6 | 4,114 completed surveys (42.3 percent response rate) 2,505 interested in faculty careers | "How well are doctoral students being prepared for faculty careers?" "Why are doctoral students pursuing the Ph.D.?" | Compares English Dept. & Chemistry Dept. Cultures | Quantitative 21 page Survey | Need to take disciplinary differences (cultures) into account Need to craft discipline-specific interventions "One Size" does not fit all |

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# SELECTED RESEARCH ON GRADUATE EDUCATION:
# PREPARING THE FUTURE FACULTY MEMBER

| NAME OF STUDY AUTHORS | YEAR | FUNDING | # OF INSTITUTIONS | # OF DOCTORAL STUDENTS | GUIDING QUESTION(S) | APPROACH | RESEARCH METHODOLOGY | CONCLUSION RECOMMEND |
|---|---|---|---|---|---|---|---|---|
| **Development of Grad Students as Teaching Scholars** <br><br> **(Wulff, Austin, Nyquist, Sprague)** | 1994-1998 <br><br> Final Report 2001 | Pew Charitable Trusts; <br><br> Spencer Foundation | Three geographically diverse institutions: <br><br> 2 research universities w/multiyear grad programs <br><br> 1comprehensive university w/2-year master's program | 99 graduate assistant s <br><br> 55 students identified teaching in academia as a career goal; a variety of disciplines <br><br> 66 grad students completed the 4-year study | "What are the changes graduate students aspiring to be a faculty member undergo during their graduate years?" <br><br> "What kind of training can best prepare them for their careers as knowledgeable, competent instructors?" | Teaching Assistants Developmental Stages | Qualitative <br><br> Naturalistic Inquiry <br><br> Interviews & Drawings <br><br> Four-year Longitudinal Study | Current grad programs emphasize traditional model heavy emphasize on research w/o adequate attention to expanded (changing) faculty roles-teaching & service |

# SELECTED RESEARCH ON GRADUATE EDUCATION: PREPARING THE FUTURE FACULTY MEMBER

| NAME OF STUDY AUTHORS | YEAR | FUNDING | # OF INSTITUTIONS | # OF DOCTORAL STUDENTS | GUIDING QUESTION(S) | APPROACH | RESEARCH METHODOLOGY | CONCLUSION |
|---|---|---|---|---|---|---|---|---|
| **2000 National Doctoral Program Survey: An Online Study of Students' Voices** (Fagen & Wells) | March 30-August 15, 2000 (Created, Implemented & Completed by graduate students) | National Association of Graduate-Professional Students (NAGPS) Alfred Sloan Foundation | United States & Canada Almost 500 institutions Represented nearly 5,000 doctoral programs | Current & Recent Doctoral Students 32,000 students completed survey (both graduates & non-completers) | "What is the students' perspective on doctoral education?" | Assessment of doctoral students' programs against educational practices recommended by the *National Academy of Science on Science, Engineering, & Public Policy (1995), National Research Council (1998), & Assoc. of American Universities* | On-line Survey 48 questions "Virtual Publicity Mechanism" **DEFINITION:** (Major disciplinary societies & professional association publicized survey through their membership lists; Contacted graduate deans, assistant professor associations, & program chairs) | 81% satisfied with doctoral program 86% satisfied with their advisors 80%would recommend their programs to prospective students ***Areas of Greatest Concern:*** Mentoring, Career Guidance & Placement Services, Teaching, Professional Training, Program Climate |

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# SELECTED RESEARCH ON GRADUATE EDUCATION: PREPARING THE FUTURE FACULTY MEMBER

| NAME OF STUDY AUTHOR | YEAR | FUNDING | # OF INSTITUTIONS | # OF DOCTORAL STUDENTS | GUIDING QUESTION(S) | APPROACH | RESEARCH METHODOLOGY | CONCLUSION RECOMMEND |
|---|---|---|---|---|---|---|---|---|
| **Theories & Strategies of Academic Career Socialization**<br><br>**(Antony & Taylor)** | 2001 | Unknown | 6 Colleges of Education | 12 Black Doctoral Students in 6 Colleges of Education<br><br>(12 equals roughly 65% of the eligible Black doctoral students pool in the 6 CoE) | "How are black doctoral students' ambitions to enter an academic career shaped during the graduate school years?" | Argue that the traditional modes of socialization often force Black students to adjust to expectations of congruence and assimilation | Qualitative<br><br>1-2 hour face to face interviews<br><br>semi-structured interview protocol | The theories of C. M. Steele hold out promise for understanding what threatens & what protects & sustains & nurtures the intellectual lives of Black students. |

# SELECTED RESEARCH ON GRADUATE EDUCATION: PREPARING THE FUTURE FACULTY MEMBER

| NAME OF STUDY AUTHORS | YEAR | FUNDING | # OF INSTITUTIONS | # OF DOCTORAL STUDENTS | GUIDING QUESTION(S) | APPROACH | RESEARCH METHODOLOGY | CONCLUSION RECOMMEND |
|---|---|---|---|---|---|---|---|---|
| **Research on the Structure & Process of Graduate Education: Retaining Students**<br><br>**(Lovitts)** | 1982-1984<br><br><br><br><br><br>1994-1995 | Unknown | 2 universities, one Urban and one Rural<br><br>9 departments:<br>Biology<br>Chemistry<br>Psychology<br>English<br>History<br>Music<br>Mathematics<br>Sociology<br>Economics<br><br>5 site visits to each department | In 1982-84, 816 students (511 completers, 305 non-completers) | "What are the social-structural causes of the circa 50% attrition rate of doctoral students?"<br><br>"What is wrong with the structure and process of graduate education?" | Compares data of first study ('82-'84) With data of second study ('94-'95)<br><br>Uses the theory of the Cognitive Map (both global & local) and the theory of Integration. | Qual & Quant Triangulation-Survey 816 students; Telephone Interviews with 30 non-completers & with 18 directors of graduate study Face to Face Interviews with 33 faculty members to discern systematic differences in attitudes, beliefs, & behaviors of those most directly responsible | **KEY FACTORS IN ATTRITION:**<br><br>Lack of Cognitive Map Development:<br><br>Inequitable distribution of resources (assistantships)<br><br>Department's Culture-Entrenched Practices & Cultural Norms;<br><br>Cultural change requires questioning the system. |

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# SELECTED RESEARCH ON GRADUATE EDUCATION: PREPARING THE FUTURE FACULTY MEMBER

| NAME OF STUDY AUTHORS | YEAR | FUNDING | # OF INSTITUTIONS | # OF DOCTORAL STUDENTS | GUIDING QUESTION(S) | APPROACH | RESEARCH METHODOLOGY | CONCLUSION RECOMMEND |
|---|---|---|---|---|---|---|---|---|
| **So You Want to Become a Professor! : 10 Years Later**<br><br>**(Nerad, Aanerud & Cerny)** | 1982<br><br><br><br><br>1996-1997 | Mellon Foundation<br><br><br><br><br>National Science Foundation | 61 Universities;<br><br>6 Disciplines;<br><br>5 Major Fields of Study | 5,859 Completed Ph.D. Students<br><br><br>(66% of "domestic participants" & 52% of International recipients completed survey) | "What is the feasibility of assessing doctoral programs based on the graduates' career outcomes?" | Compared data of those who wanted to become professors to that of those who actually become professors | Mixed Qualitative & Quantitative<br><br>Triangulation<br><br>Longitudinal Study<br><br>22 page survey mailed out; 56 in-depth interviews selected from those who responded to the survey | Focus on the Career Paths of the Ph.D. Recipients<br><br>Focus on the retrospective evaluation (10 years out) of Ph.D. education based on career paths |

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# SELECTED RESEARCH ON GRADUATE EDUCATION:
## PREPARING THE FUTURE FACULTY MEMBER

| NAME OF STUDY AUTHORS | YEAR | FUNDING | # OF INSTITUTIONS | # OF DOCTORAL STUDENTS | GUIDING QUESTION(S) | APPROACH | RESEARCH METHODOLOGY | CONCLUSION RECOMMEND |
|---|---|---|---|---|---|---|---|---|
| *Graduate Teaching Assistant Survey Summary*<br><br>**(Shanklin)** | April 15-22, 2005 | Unknown | 1 | 2747 graduate assistants<br><br>(Both Master's Degree Students & Doctoral Degree Students)<br><br><br>428 teaching assistants w/ classroom responsibilities | "What is to be done about the erratic and inconsistent training of graduate assistants with teaching responsibilities which result in disparity in working conditions, poor training in some departments, and an overall breakdown in social support for graduate assistants? | "There is a significant discrepancy in training and preparation among graduate assistants with teaching responsibilities" | Quantitative<br><br>Survey | 25% of the 428 graduate teaching assistants receive no training prior to being assigned teaching responsibilities<br><br>GREATEST GTA CONCERN: Balancing teaching w/ being a student<br><br>Graduate assistants appear to lack formal, consistent training prior to entering the classroom & are receptive to formal training opportunities |

APPENDIX B


**Major National Efforts in Graduate Education:**
**Strategies for Reform**
**Action Projects, Programs, & Movements**


**Based on Wulff, Austin & Associates, 2004**
**Matrices developed by G. R. Esping, February 1, 2005**

# MAJOR NATIONAL EFFORTS IN GRADUATE EDUCATION:
## STRATEGIES FOR REFORM
## ACTION PROJECTS, PROGRAMS, & MOVEMENTS

| Project/Program/ Movement | Purpose | Primary Themes | Strategies That Guide Research | Current Status | Outcomes | Implications/ Recommendations |
|---|---|---|---|---|---|---|
| THE SCHOLARSHIP OF TEACHING & LEARNING: CONTRIBUTING TO REFORM IN GRADUATE EDUCATION<br><br>(1998)<br><br>(Hutchings & Clarke)<br><br><br>**Carnegie Academy for the Scholarship of Teaching and Learning** | To treat teaching & learning as matters of systematic scholarly investigation & discourse, subject to critical review | Boyer's Scholarship Reconsidered 1990<br><br>SCHOLARSHIP OF DISCOVERY (BASIC RESEARCH)<br>• Integration<br>• Application<br>• Teaching | Assistant professors must confront the different value systems underlying research and teaching and attempt to integrate them<br><br>INTEGRATE TEACHING & LEARNING; T & L NOT A SELF-STANDING INITIATIVE<br><br>Most Important: To link S of T & L to core Graduate Education | FEAR THAT THE SCHOLARSHIP OF T & L UNDERMINES THE SCHOLARSHIP OF DISCOVERY (BASIC RESEARCH)<br><br>Scholarship of Teaching & Learning is an emergent phenomenon & has only a fragile hold in most settings<br><br>See website address below: www.carnegiefoundation. org/CID | 4 MODELS FOR INTEGRATING T & L INTO INSTITUTIONAL SETTING—IN VISIONS OF THE POSSIBLE BY LEE S. SCHULMAN, 1999.<br><br>SCHOLARSHIP OF T & L: CONTRIBUTIONS OF RESEARCH UNIVERSITIES BY BECKER & ANDREWS (EDS.) 2004<br><br>University funding for T & L needs to be on a par with University funding for research<br><br>(U of Indiana-Bloomington & U of Colorado-Boulder best programs in the nation [2004]) | Can't reshape graduate education without involving faculty as mentors & models<br><br>Faculty roles are slowly expanding in ways that value the scholarship of both teaching & discovery<br><br><br>*FACULTY PRIORITIES RECONSIDERED: REVIEWING MULTIPLE FORMS OF SCHOLARSHIP*<br>K. A. O'MEARA & R. EUGENE RICE (EDS.) 2005 |

# MAJOR NATIONAL EFFORTS IN GRADUATE EDUCATION:
## STRATEGIES FOR REFORM
## ACTION PROJECTS, PROGRAMS, & MOVEMENTS

| Project/Program/ Movement | Purpose | Primary Themes | Strategies That Guide Research | Current Status | Outcomes | Implications/ Recommendations |
|---|---|---|---|---|---|---|
| **PREPARING FUTURE FACULTY: CHANGING THE CULTURE OF DOCTORAL EDUCATION** <br><br> **(1993-present)** <br><br> **(Pruitt-Logan & Gaff)** | Offers a new vision & a broader education for doctoral students who seek a career in the faculty member <br><br> To promote expanded professional development for doctoral students | Doctoral Education should prepare students to be competent in the entire range of faculty responsibilities—teaching, research, & service <br><br> The realities of faculty work <br><br> Professional Development | "clusters" i.e. institutional collaboration among research institutions, liberal arts colleges, comprehensive universities & community colleges <br><br> PFF focuses also on increasing the diversity of students to enlarge the pool of faculty of color | PFF funding has moved from grants to the responsibility of institutions. <br><br> Will the institutions continue to fund PFF programs? | 1) PFF Alumni concluded that their graduate school experience was qualitatively different/better than otherwise; <br><br> 2) PFF credited to how they got their job offers; <br><br> 3) PFF alumni get off to a faster & surer start as new faculty than their peers; | PFF has the potential to change the culture of faculty preparation and doctoral education. |

# MAJOR NATIONAL EFFORTS IN GRADUATE EDUCATION:
## STRATEGIES FOR REFORM
## ACTION PROJECTS, PROGRAMS, & MOVEMENTS

| Project/Program/ Movement | Purpose | Primary Themes | Strategies That Guide Research | Current Status | Outcomes | Implications/ Recommendations |
|---|---|---|---|---|---|---|
| RE-ENVISIONING THE PH.D.: A CHALLENGE FOR THE TWENTY-FIRST CENTURY<br><br>(2000-2002)<br><br>(Nyquist, Woodford & Rogers)<br><br>Pew Charitable Trust | | | | | | New Vision of the Ph.D.<br><br>New Paradigm:  Reflective Thought & Concerted Action<br><br>The Doctorate should function as an induction into a rich & complex learning profession, not only into a discipline;<br><br>Continue robust training in the disciplines & understand the faculty member as practiced in the wider range of institutional contexts. |

# MAJOR NATIONAL EFFORTS IN GRADUATE EDUCATION:
## STRATEGIES FOR REFORM
## ACTION PROJECTS, PROGRAMS, & MOVEMENTS

| Project/Program/ Movement | Purpose | Primary Themes | Strategies That Guide Research | Current Status | Outcomes | Implications/ Recommendations |
|---|---|---|---|---|---|---|
| **TOWARD A RESPONSIVE PH.D.: NEW PARTNERSHIPS PARADIGMS, PRACTICES, & PEOPLE**<br><br>**(Weisbuch)**<br><br>**Pew Charitable Trusts**<br><br>**Woodrow Wilson Foundation** | **"A VALUE MUST STRUGGLE TO EXIST."**<br>--Emily Dickinson<br><br>"Doctoral education is a value that struggles to exist."<br>--Robert Weisbuch | Academic life & its benefits to the world improve greatly when there is robust graduate education<br><br>Structure of the Graduate School—Graduate Dean is often an "invent-a-job" (serving more tea than purpose) but generally tries to connect the dots of the intellectual capital that is the ultimate endeavor on a university campus | **An holistic approach to doctoral education to make it into a shared national agenda**<br><br>To make the national dialogue about doctoral education both local and constant!<br><br>1) New Paradigms: Adventurous Scholarship<br><br>2) New Practices: Teaching & Service<br><br>3) New People: Diversity<br><br>4) New Partnerships: Consumers & Producers | **It is agreed across disciplines that scholarship or research trumps teaching, for better or for worse**<br><br>"Order me (faculty member) and I would fight you to the death; invite my expertise & there is nothing I won't do for you" prevalent attitude | Has the faculty been invited to participate in a rigorous, guilt-free self-examination?<br><br>Faculty make the improvements in doctoral education, but it depends completely on their energy & willingness<br><br>**See website address below:**<br>www.woodrow.org/ responsivephd/ responsive_phd.html | **NEED:**<br>1) Ongoing dialogue between the producers & the consumers of the Ph.D.;<br>2) A Central Graduate School w/ a more cosmopolitan intellectual experience for Ph.D. students;<br>3) People who are intellectually adventurous! What encourages "adventurous scholarship" and what retards & discourages it? Practices are a matter of choice rather than of nature!<br>4) Action NOW |

# MAJOR NATIONAL EFFORTS IN GRADUATE EDUCATION:
## STRATEGIES FOR REFORM
## ACTION PROJECTS, PROGRAMS, & MOVEMENTS

| Project/Program/ Movement | Purpose | Primary Themes | Strategies That Guide Research | Current Status | Outcomes | Implications Recommend |
|---|---|---|---|---|---|---|
| THE CARNEGIE INITIATIVE ON THE DOCTORATE: CREATING STEWARDS OF THE DISCIPLINE<br><br>(2001-2006)<br><br>(Walker) | To implement new initiatives and proposed solutions<br><br>Insights into the disciplines of:<br><br>Chemistry<br>English<br>History<br>Mathematics<br>Neuroscience<br>Education<br><br>To be an in-depth action program | Diversity Financing Ph.D.<br><br>Time Spent<br><br>Quality Mentoring<br><br>Admission Standards<br><br>Heterogeneity of the undergraduate background<br><br>Ph.D. qualifying exams<br><br>Final Thesis Oral<br><br>Form & Content of Thesis<br><br>Ph.D. & Post Doc transition<br><br>Job Market<br><br>Breadth of Career Options | A more holistic approach to the Ph.D.<br><br>"What is the purpose of doctoral education?"<br><br>Conceptual Analysis & Experimentation<br><br>Ph.D. holders should have the following abilities:<br>1) Generate new knowledge/uphold disciplinary standards<br>2) Critically conserve history & foundational ideas<br>3) Effectively transform existing knowledge & its benefits to others through application | Issues discussed since the 1950's<br><br>Ph.D. departmental program review (i.e. consistency of philosophical underpinnings & goals) often not reviewed in depth and changes not applied because of time restraints<br><br>See website address below:<br>www.carnegiefoundation.org/CID | "Stewards of the Discipline" has been defined: Emergence of a cadre of scholarly leaders (stewards) who are able to function more effectively in a more diverse environment<br><br>Both Disciplines and Cross-disciplines must be considered<br><br>Successful new paradigms & approaches attributed by some to the different cultural perspectives in the Ph.D. population | Bringing about meaningful change is a process of reflection & ongoing application<br><br>Serious collective faculty deliberation at the department-program level is essential to implement and apply what has been known for the last 60 years! |

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# MAJOR NATIONAL EFFORTS IN GRADUATE EDUCATION:
## STRATEGIES FOR REFORM
## ACTION PROJECTS, PROGRAMS, & MOVEMENTS

| Project/Program/ Movement | Purpose | Primary Themes | Strategies That Guide Research | Current Status | Outcomes | Implications Recommend |
|---|---|---|---|---|---|---|
| **Michigan State University's Conflict Resolution Program: Setting Expectations and Resolving Conflicts**<br><br>**(1997-2000)**<br><br>**(Klomparens & Beck)**<br><br>**FIPSE and William and Flora Hewlett Foundation** | Conflict Resolution at the graduate education level<br><br>Organizational Change<br><br>Greatest dissatisfaction is with department, mentor, & advisee-related interaction & communication | Ongoing important relationship and communication<br><br>Requirements that link advisor & advisee at the graduate education level<br><br>Peer mediation & formal grievance processes are not designed to maintain faculty-assistant professor relationship | "Making the implicit explicit"<br><br>Transform conflict resolution to an interest-based approach—more creative problem solving<br><br>Interest-based approach is not a new model, but has not been applied to graduate education before.<br><br>Interest-based approach most often used in environmental disputes, labor/management disputes, & international relations | Interest-based model applied to Grad. Ed.<br><br>1) Discussion focuses on problem, not people<br><br>2) Focus on needs, desires, interests, & fears<br>3) Options gathered<br><br>4) Participants engage in a fair testing of options to determine goodness of solution<br><br>5) Successful decision making w/ option to be flexible & return to process if context changes | Early attention to resolve conflicts<br><br>Conflict is not good or bad—it is what often drives a more rigorous discipline, but rather it is how the conflict is handled that determines its good or bad outcome.<br><br>Workshops now offer to all assistant professors to learn the principle of the interest-based model. Not all issues are negotiable!<br><br>See website address below:<br>http://grad.msu.edu/ conflict.htm | Belief that the interest-based model is more affective for positive retention of assistant professors<br><br>This Program has been presented as a train-the-trainer session at Kansas State University (year unknown)<br><br>Places interests & not "positions" at the center.<br><br>Represents a fundamental change of culture! |

APPENDIX C

# Semi-Structured Interview Questions

**DEMOGRAPHICS:**  Some questions below answered via resume/vita.

1. *Where were you born and raised? Where do you call "home"? (Culturalization)*
2. *Did anyone in your family, or close friends, receive a High School degree, Bachelors Degree, a Master Degree, a PhD? (Culturaliztion: Enculturation, Acculturation)*
3. *Where did you do your doctorate degree and what year did you graduate?*
4. *How many years did it take to complete your doctorate degree?*
5. *How old were you when you finished your doctorate degree?*
6. *What was your work background before coming to this university?*

**PREPARATION:**

1.  What event or idea inspired (convinced) you to get your doctorate degree in education?  *(Socialization & Culturalization)* (DiRenzo, 1977)
2. Please describe your experience in the environment/climate/culture of your graduate program in education when you were a doctoral student.
   - How did you adjust to the academic environment you experienced at your graduate COE? *(Culturalization & Socialization)*  (Austin, 2000)
   - Lack of systematic advising and mentoring of doctoral students (Austin, 2002)
3. Think about the journey you are on, both personally and professionally. Reflect on this journey, where you have been and where you are now, and even where you hope to be in the future.
   - This is not a test of your drawing ability, but rather, another way to stimulate your memory other than talking (Journey Drawings) (Nyquist, 1999).  Include experiences both professional and personal (what you have seen, felt, heard, thought about, experienced beyond the discipline content) during your journey.

4. Discuss why you wanted to become a college or university professor? What do you think are the overall *values, core beliefs/ underlying assumptions* of ECF in a COE?  (Kuh & Whitt, 1988; Schein, 1989)

5. Did your thinking change about becoming a faculty member during your doctoral program? (Sprague & Nyquist, 1991). Why?
Concerns about academic life; disconnect between real and the ideal (Austin, 2002)

6. What are the "lessons learned" *("lessons learned" refers to cumulative results)* during your doctoral graduate education?
What is (are) the most important thing(s) your education professors taught you about being a professor?  *(Socialization)* (DiRenzo, 1975; Bragg, 1976; Boyle & Boice, 1998)Lack of systematic preparation for the full array of professional responsibilities (Austin, 2002)

7. Describe the formal education you had in preparation to become a professor…any courses, workshops, assistantships…anything that prepared you to teach future teachers, be of service to the community, do research, and university service.
Lack of systematic preparation for the full array of professional responsibilities (Austin, 2002)
Infrequent opportunities for guided reflection with interested but neutral person (Austin, 2002)

## THE PRESENT:

1. What kinds of messages, either implicit or explicit, have you received from your departmental peers or other COE faculty members?
(Rolf, 1995; Pleasants, 1996; Haviland, 1999; Gamble, 2001; Austin, 2002; Lovitts, 2002).
- Multiple and conflicting messages observed and heard from faculty members (Austin, 2002).

2. Think of the person you would call "the very best" education professor, either here or at another COE, with whom you studied/graduated. What have you learned just by listening and watching that person? *( Roll Acquisition, Professional Identity)* (Bond, 1943; Clark, 1963; Thornton & Nardi, 1975; Sands, Parson and Duane, 1991; Sorcinelli and Austin, 1992; Reybold, 2003).

3. Choose one word that summarizes your journey so far. *(Core Beliefs)*

APPENDIX D

# Additional Readings

# Additional Readings

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