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By

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1967

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CHAPTER I

WORKING TOWARD PROFESSIONALISM

It was a cold night for early May. As the big car roared south on Interstate 71, the passengers looked eagerly for the next exit. They had traveled this road before for the same reasons. Thinking back, they remembered how good a hot bowl of vegetable soup really was at this late hour.

Shortly before midnight, the big car pulled off the exit ramp. The restaurant was still open. The next half-hour or so was a time for relaxation. As always, the soup was good and the peanut butter-cream pie was an unexpected treat that helped everyone almost forget they were close to completing another eighteen-hour day.

How Does Professionalism Affect Education?

The three-member team had left Ohio State University shortly after mid-day to keep an appointment with a group whose school district was near the shores of Lake Erie. The team spent an hour and one-half explaining how educators might become more effective in their work. Some questions were answered, written materials distributed,
and the group departed for another engagement scheduled for six that evening.

The hot black coffee was a tonic. It went well with the pie, and it also perked up the group. Soon the conversation turned to the committee's work. Was it making an impact? Did educators really understand the implications of professionalism?

Thoughts turned to the evening's efforts with the Big-City education association. Densely populated industrial centers with inner-city problems; this is where the issue is clearly defined. This is also where the real test of educational effectiveness takes place. Contrary to some thinking, the issue is not really between education groups associated with organized labor and those affiliated with the traditional educational associations. The big question is, can education become sufficiently effective to make learning a worthwhile venture for school children in these areas? In the scramble for power, this fact seems to get misplaced.

Although effectiveness is basic to education

*The committee is CUP, or the Committee for Upgrading the Profession. It is a 15 member group, chaired by Jack R. Frymier, Professor of Education, Ohio State University, and formed in 1966 by action of the Executive Committee, Ohio Education Association. The author of this study is also a member of CUP. Its purpose, as its name indicates, is to upgrade the education profession in this state.
everywhere, favorable cultural and socio-economic conditions often blunt the need for dealing with the effectiveness question. With rapidly changing cultural patterns, increasing education costs, and growing social needs, it is unlikely that such areas will remain immune for long.

The Big-City setting was suited for presenting an idea of educational effectiveness based on professionalism. These educators not only worked in a large city system, but earlier in the year they had experienced a strike. It was evident that feelings among some staff were still unsettled.

Here was an opportunity to lay bare the distinction between working as a professional and wearing professionalism as a label. The opportunity was not missed. The chairman for CUP explained how education might become truly professional. The message was not a prescription of what to do or what not to do in school work. Furthermore, it was not something you listened to and decided to buy or not buy. As a matter of fact, the theory only works if educators understand it sufficiently well to apply its principles to their efforts for helping children learn. The theory is not rooted in power, or status, or affluence, but to the idea that professionalism can make education effective.
Present Concerns with Educational Effectiveness

The 1966-67 academic year is now past. Ohio education has undergone a number of significant developments. Among these are, (1) the emergence of professional negotiation procedures as a means for dealing with problems in education, and (2) the use of strikes by educational groups.

The intent of negotiations may well be to deal with problems of learning and of teaching. However, little distinction is made between professional issues and teacher welfare. Professional negotiations now are sufficiently broad to include teacher salaries, leaves of absence and sick leave together with matters of learning and teaching. The latter appear as by-products in the struggle between specific power groups. As conceived by the writer, there is some continuity between the professional negotiation movement and administrative-teacher relations of the past decade. Characteristics of this movement are considered next.

For a number of years a considerable effort has been made to improve education through effective human relations. This theory assumes that ill-trained and misguided persons often occupy positions permeated with power. Seldom was there any questioning of the education
authority structure. It assumed that persons with authority may sometimes misuse it. The prescriptive solution was to develop training programs to promote more effective human relations. The inference is that administrative and supervisory power can be modified by wisdom and discretion. In effect, a deliberate attempt was made to promote a working relationship between groups with legitimate power and those without power.

Now we are at the place where some of the logical assumptions that support power arrangements in education are held to be invalid. Frequently, administrative-supervisory personnel lack the training or competencies necessary to uphold the power which is theirs. In discussing the emergent roles of teachers, and how these have affected teacher-administrative relations, Boyan identifies, (1) increased levels of preparation and expertise, and (2) the increasing ratio of males into education as two of the factors challenging administrative authority and power (7).

The collective negotiations movement is an attempt to distribute power according to realities of the situation. Therefore, teacher groups are not only brought into the realm of educational decision-making but are encouraged by legislation to use their collective power.

The impact of collective negotiations suggests to
Dykes closer teacher-administrative relationships which "will increasingly focus on cooperative goal establishment" (22). What education has been unable to do voluntarily and through competence, may well happen because of legal compulsion. This illustrates education's continued dependence upon legal authority. One alternative would be to base practices on power derived from professional competence.

One can surmise that efforts to improve education or to make it more effective will continue to come from legal sources and external pressures. Meanwhile collective negotiation or bargaining represents a two-edged sword whose eventual effects upon education are not yet clear.

Two of the most significant developments of the past year are strikes and collective negotiations. The seemingly successful use of strike power leaves the impression of growing educational influence. Yet the real impact of educational strikes may be in long term effects rather than in present results. It is not yet clear what the public reaction is to educational strikes. Society has notions of how certain occupational groups should behave. Attitudes about education are especially difficult to sort out. One must decide not only whether education is a profession but must also consider educators as
public employees. Corwin describes the problem of differ­entiating between professionals and employees when he writes:

The employee image is so well ingrained, the public has reservations about the professional status of teaching. Ninety-one per cent of the public in one survey said that teaching was a profession, but less than half of the same sample placed teaching in the professional category when asked to compare its prestige and importance with . . . acknowledged professions . . . (19)

What are some possible developments which may result from public acceptance or rejection of education as a profession? If the public accepts strike action, the following might be anticipated. Education could increasingly base its operations on technical and economic models. Impersonal and bureaucratic influences could increase until there was little doubt that teaching was a technical craft. Efficiency is a major consideration in such developments. On the other hand there may still be time for adapting practices to a professional model if society hesitates to accept strike action in education.

Meanwhile educational strikes have paid off; they have resulted in higher salaries and some fringe benefits for educators. What are the implications of this? As teachers and administrators secure higher salaries, does this mean that next year's educational programs must become more effective? If the economic model of input-
output is adopted, salaries will be eventually related to productiveness.

But how should education measure its productivity? By the number of high school graduates? By the number who go on to college? How about those who quit school before graduation—where do they fit in? How do we account for students who are psychological dropouts but who graduate? These are the young people with diplomas who have not learned to read or write or do other things very well. How do we account for them when we calculate education's productiveness or effectiveness?

These questions are not meant to be answered in direct fashion. By their nature, they indicate the fundamental concerns underlying this study. If the purpose of education is helping children learn, then these questions raise doubts about current efforts to make education effective. These doubts are reflected in:

1. the lack of explicit educational purpose in some major developments thought necessary to improving education, and in,

2. the failure to relate purpose to specific innovations prior to their undertaking.

This lack between purpose in education and various proposals is apparent in the following list. Admittedly, purpose is more apparent in some innovations than in others.

a) Updating and re-structuring content.
b) Lengthening or shortening class periods.
c) Modifying grade organization patterns; for example, from 8-4 to 6-3-3, or 7-2-3 to 4-4-4.
d) Enlarging and consolidating school districts.
e) Lengthening the school year.
f) Instructing through small groups, large groups, by team teaching, using programmed materials, or using audio-visual aids.
g) Calling a library area an instructional materials center.
h) Offering college credits in high school and senior high courses in junior high school.

The list is easily extended. But significant improvement cannot be ascertained without first identify ing the purpose to be served. The function of purpose is the same whether it is expressed for the entire educational system or for the individual classroom teacher. Learning has meaning and direction through purpose. Combs, in his book on teacher preparation, suggests a perceptual view of teacher training. He identifies purpose as one of the most vital factors in teacher effectiveness.

When purposes are confused or misdirected, behavior is too. Worse still, confusion of purpose makes it almost impossible for other people to deal with the teacher and it is an important cause of teacher failure.

... If the teacher's values and purposes are confused, then the student is left groping around in the dark in his attempt to find a way of working effectively with his teacher... The ways in which a teacher behaves in the classroom, his very methods, will be affected by his purposes and the beliefs he holds about what is truly important (16).

This idea also suggests that the feedback principle becomes operative through purpose. Clearly defined
purposes are more likely to raise appropriate questions about educational methods, practices, and resources.

**Purpose Based upon Learning Theory**

Purpose is examined within the context of learning theory. This provides insight into the study's rationale. The study is based upon a perceptual view of learning. Learning is viewed as a personal matter growing out of involvements, experiences, and choices. Personal relationships that focus on human factors constitute the crucial influence in learning. Teachers and teaching represent the fundamental factors affecting learning in others. Because teaching is considered the essence of effective education, the term effective education and effective teaching are used interchangeably in this study.

Things which are outside the rubric of teaching are logistical supports for learning. In schools these are textbooks, other instructional materials, class organization, seating arrangements, pupil-teacher ratios, and courses of study. The organization of education or the system of education includes such manipulable factors as school district size, cultural factors present in the community, duration of the school year, and so on.

No attempt is made to portray these as unimportant. They are all important and necessary to education. But
they are not the things which make the difference between effective and ineffective education. From this perspective, several incongruities in education become evident. First, the educational group works long and hard to improve education. Yet overall progress is marginal rather than striking, incidental rather than deliberate, and educational success is typically measured by conventional middle class norms. There is little in the picture to reflect the current forces at work in society. This is especially apparent in studies of big-city and depressed areas education (60).

The second discrepancy lies in the persistence to improve education indirectly, while a growing body of evidence (24,59,62) and authority (8,28,34,53) suggests the primacy of teaching in education. We experience, therefore, an outpouring of energy that seeks a major educational breakthrough by means other than the direct improvement of teaching (16).

**The Indirect Theory to Improve Education**

The nature of many proposals is to seek improvement through indirect methods. The practice is sufficiently widespread to justify being labeled the "indirect theory of educational improvement."

The Trump Plan (67), which has been adopted to some
degree in many schools, represents one attempt to reorganize spatial and time dimensions for better utilization of staff. Admittedly, this description may be an oversimplification of the plan. The key concepts in the plan are flexible scheduling, large group instruction, small group instruction, independent study, and use of subprofessionals. With these as the basis for organizing a school's curriculum, new arrangements in time and space are created which are supposed to improve teaching and learning.

The curriculum reform movement of the past decade also is an example of the indirect theory. During this period almost every area and discipline has been scrutinized for key concepts and dominant themes. Goodlad analyzes the movement into three developments which characterize it. These are, (1) an updating of content, (2) a reorganization of subject matter, and (3) the introduction of some new and different methodologies than those usually associated with certain fields (30, p. 15).

The implications of these proposals are readily apparent. If the content is different, be it new or restructured, and if different instructional methods are used, then significant changes will occur in teaching and learning. This is a logical argument which is questionable for at least two reasons. First, it conceptualizes learning as a logical process. Learning and teaching do
have logical dimensions. They also have psychological aspects which are much more difficult to understand and explain. Therefore, the meaning of how or why or what kind of learning occurred is always an incomplete picture of the reality of learning. The same is true of teaching. Due to these psychological deficiencies, it is inappropriate to assume adequate educational results from models which provide partial explanations.

A second reason that makes the logical argument questionable is in the nature of content. Without doubt, there are many things called content or subject matter which are very important to learn. Claiming that the basic concepts for a subject today are those which are of value five or ten years from now is precarious, however. Not only are we in a historical period of great change, but in one with an accelerating rate of change. Education whose central theme is content assumes content has an inherent value over time, and that prescribed meanings for certain content can be transmitted to learners without distorting the meaning. Curriculum reform proposals based on content are not only speculative, but represent indirect efforts to improve teaching.

Besides the Trump Plan, and the contemporary curriculum movement, there is one more area that illustrates the application of the indirect theory of improvement. It
is in that part of education now called compensatory education. The accepted view of compensatory education is one with these characteristics; (1) learners are found to be deficient in some aspect of school achievement, (2) these deficiencies are often associated with cultural, social, and economic deprivation, and (3) the deficiency is a function of learning more than it is of teaching.

The last characteristic is interpreted to mean prevailing practices and conditions in many schools are ineffective. It also implies that children who lack the accoutrements for scholastic success are not likely to learn within the context of normal schooling and teaching.

A series of special and remedial programs have been developed to cope with this situation. Essentials of these programs include; (1) provision for more individualized attention to learners by the teacher, (2) close teacher supervision of student learning, (3) use of multiple and varied materials, (4) focus upon the concrete rather than upon the abstract, and (5) deliberate cultivation of a socio-emotional atmosphere based on patience, friendliness, and understanding. Momentary reflection causes us to ask why these are appropriate only for students suffering from scholastic retardation. It appears that these are basic to any effective classroom!
In varying degrees, these conditions are necessary in every effective teaching situation. A function of professional competence is to order these and other factors in such proportions and at such times as to effect learning in others.

For large numbers of students this has not been done (60). But this is not a responsibility of learning; it is a function of teaching. In order to compensate for deficiencies in teaching, we have an array of so-called compensatory programs. By associating compensatory education with learners rather than with inadequate practices and operations of schools, we evade the question of effectiveness and rely upon the "indirect theory" to improve education.

How might education be affected by professionalism? One major consideration of professional behavior is to focus practices upon a central purpose. For education that purpose is helping children learn.

Do present practices in education reflect concern with effectiveness? An affirmative answer is founded upon ample evidence that educators work long and hard to improve. In spite of these efforts for improvement, results are relatively insignificant. Several explanations are proposed; (1) efforts to make education effective have not relied on improving teaching directly, and
(2) proposed improvements are not explicitly related to educational purpose. Furthermore, efforts designed to improve education reveal an oblique approach for coping with problems. Examples from three specific areas are used to illustrate this "indirect theory for improving education."

Attempts to improve education appear to circumvent teaching and the teacher. Results with significant impact are not likely so long as we continue to base improvement on existing arrangements of what teachers do and how they do it. What is needed is a uniquely different way of looking at education and at teaching. We must begin by identifying teaching as the factor which is central to the way children learn, what they learn, and how they come to feel about school. This assumption prepares the way for examining the nature of the problem and the purposes for this study.

Nature of the Problem

The problem grows out of the lack of an adequate theory of effectiveness. Because there is no theory, it is difficult to engage in systematic, verifiable, and informed considerations about effectiveness in education and teaching. Energies tend to be dispersed among different approaches that serve a variety of ends.
Unlike professional groups, education does not have group devised and sanctioned criteria by which to assess competence or personal conduct. This predicament encourages in education the semblance of anarchy. While claiming responsibility for teaching principles of democratic living, the validity of proposals for improvement are based on speculation, argumentation, or authority. In addition, the standards typically used in education are drawn from the legalities of organizational control. These, according to organization theory, result in performances which are not likely to reach high standards since minimal standards for quantity and quality become also the maximal standards (36).

Another way of looking at this predicament is to consider certain inefficient and wasteful practices involving trained personnel. It is frequently said that teachers are the most important factor in learning. Yet many things done by teachers have little to do with children learning.

NEA studies show that teachers devote between one-fourth and one-half of their time to matters unrelated to the classroom. It is estimated that administrative duties of teachers require 15 per cent of a teacher's time each day. Yet much of this custodial and clerical work
could be accomplished at one-fourth the cost by non-educators (56).

The problem of teacher turn-over and drop-out is another indicator of ineffectiveness in education and teaching. Studies show that "only two in five persons trained as teachers are in teaching at any one time (70)." Another study found that "less than 2,400 man years of teaching had been utilized from 1,000 graduates after ten years (13)." The ten year potential for 1,000 graduates is 10,000 teaching man-years. Because of high teacher turn-over and drop-out, it requires 2,500 trained teachers to staff 1,000 classrooms during the ten year period.

The claim is made that low investment costs for becoming a teacher contribute to excessive turn-over. This argument is only partially accurate since it fails to account for costs paid from public revenues. Most institutions that train teachers are public supported. It follows that public taxes, used to support state colleges and universities, account for a sizable part of the costs needed to train 2,500 teachers to staff 1,000 classrooms for ten years.

Since there is no theory of effectiveness, it seems almost impossible to assess the quality of instruction. However, John B. Carroll of Harvard dealt with the effectiveness question by asking, "What is the average quality
of instruction?" Investigation led him to develop a model of learning in which pupils' aptitudes, pupils' perseverance, and pacing of instruction relative to student ability represented the crucial variables influencing educational progress or learning.

Using this conceptual scheme and assuming that aptitude and intelligence can be separated, Carroll suggests that high correlations between intelligence and educational progress are an indication of mediocre instruction in our schools (12). He claims that this conclusion applies to typical schools across the country.

These facts do not indicate a likelihood for significant change in education. This assumes that prevailing legal and organizational arrangements will continue in their present character.

The question remains of how to effect real change in such a large, complex, and provincial system. One way might be to modify the system. Yet this probably creates more difficulties than it resolves. If recent experiences with consolidations are any indication, such change is unfeasible. Furthermore, changing the system is an indirect approach to the problem. The need is for change that unleashes the potential energy and power reflected by the following set of nation-wide educational facts:

1. Annual educational expenditures of almost 28 billion
2. Pupil enrollments of over 40 million
3. An instructional staff whose size approximates 2 million
4. Average annual per pupil expenditures of over 500 dollars (55)

The real need is for changing behaviors of people. The people whose behaviors are most vital to implementing educational purpose are teachers. For this reason, further considerations about change are those which affect teachers and teaching.

**Purpose of the Study**

In this chapter efforts have been made to do the following things. First, effectiveness is clarified and defined. It is defined as the capacity to produce, or to bring about, or to fulfill. In using the term it is evident that fulfillment or realization are terms whose meanings imply the existence of a goal or purpose toward which effort is expended. Therefore, to become effective in education means being able to fulfill a prescribed goal, objective, expectation, or purpose. The term purpose seems appropriate for education. Purpose in education, explicitly stated, helps construe education as a system and teaching as an activity. Professionalism has been used interchangeably with effectiveness. Some facets of its meanings relate effectiveness to human traits and behaviors. There are connotations in it about
being effective in peculiar or specific ways. Professionalism is also a word that describes a particular group.

Second, the purpose of education is identified. Purpose is explained as a force providing direction and meaning to a system and to human activity which is concerned with being effective. By identifying purpose in this way, a point of reference is established against which activities, involvements, practices, relationships, and behaviors are assessed as legitimate, relevant, pertinent, or valid concerns for education.

Third, there was an examination of several ways by which education now attempts to improve. In limited ways, these were examined and alternatives based on professional practice suggested.

The fourth consideration describes the nature of educational problems as these relate to the question of effectiveness. An attempt is made to identify some results which occur from the lack of a theory of effectiveness. A need was developed showing some justification for the study.

A Description of Theory Building

Brandwein defines theory as an orderly explanation of confirmed or verified phenomena (8, pp. 8-9). Because
it is an "orderly explanation" and because the data or phenomena are "confirmed," theory makes it possible to better understand things we study.

Professionalism is a concept which educators have tried to understand through definition and description. After defining it, efforts are made to apply or use it. Difficulties occur in this procedure because of attempts to use a defined meaning of professionalism in operational ways for improving education. The problem is not only one of language, but one of logic. It is virtually impossible to extract more reality than is present in the human experience which creates meaning.

So it is with educational professionalism. What is needed is a theory of effectiveness (professionalism) which can be utilized to improve teaching and education. To evolve such a theory requires us to ask a number of relevant questions. How does a teacher go about fulfilling education's basic purpose? Are there ethical considerations encountered in this relationship? What are the essentials upon which the competency of a teacher or educator are based? Are these essentials genetically derived or are they learned? What are the characteristics of membership for a group calling itself a profession? How is entry into or expulsion from such a group determined?
The function of this study is to evolve a theory of educational effectiveness or of professionalism. It is evident from the questions posed that an operational theory of professionalism must be generated, in part, from data representing the group being investigated. The group investigated for this study is composed of people presently certified and working as educators.

Since efforts at theory building begin from where we are, this study will utilize: (1) writings and papers by scholars on the subject of professionalism, and (2) standards of practice drawn from groups generally accepted as established professions.

These sources, together with data derived from certified educators, constitute the basis for evolving a theory whose essential purpose is to bring a more refined and precise set of meanings to the concept, educational professionalism.
CHAPTER II

A SELECTIVE REVIEW OF RELATED LITERATURE
ON PROFESSIONALISM

According to Vollmer and Mills, professionalism is an ideology and a set of associated activities found in many and diverse occupational groups which aspire toward professional status. Professionalism is distinguished from professionalization by considering the latter an observed process in which many occupational groups change their essential characteristics in the direction of a "profession." Professionalism also does not provide a sufficient explanation for the entire professionalization process (68).

This illustrates only one of many distinctions in this area made by writers. The concept is complex because it deals with work activities in a society where work is becoming more diverse and specialized. Differentiation is a means for dealing with complexity and ambiguity.

Writers strive to comprehend professionalism by ordering and analyzing various facets of the area. Efforts
designed to make it meaningful include a wide variety of approaches. There is literature which attempts to define professionalism (15). There are papers and writings which trace the historical process (11) of professionalization and others which trace the sequence (9) of professionalization. Some investigate the relationships between professionals and government (37) while others examine professional relationships in complex organizational settings (5,6,58).

This study is designed to generate a hypothesis producing theory. Therefore, its central concept must be clearly identified. Professionalism, as a set of ideas and as a set of related activities, represents that concept. Furthermore, no distinction is made here between educational professionalism and educational professionalization. It is assumed that elements of professionalism are evident in education through its professionalization process. The absence of empirical research also places greater reliance upon logic and experience. In effect, these become beacons for identifying and selecting postulates which enhance understanding of educational professionalism.

A number of questions help us to identify literature relevant for review. For example, has the concept of professionalism been apparent in education for some time?
If so, have some of its characteristics endured over time? Which notions have been modified during this time? If the concept has changed, what are some of the forces influencing this?

Rationale for Reviewing Literature on Professionalism

In this chapter, three selective types of literature about professionalism will be reviewed. The first is that which describes and explains the concept of professionalism. Second, is literature which describes the social context in which professionalism occurs or evolves. Third, is literature which describes professionals and their relationships within complex organizational settings.

Development of the Professional Concept

In this section of Chapter II, selected writings and papers from five different scholars and authorities are examined. This body of literature traces the conceptual notions of professionalism through a period of almost fifty years. As these ideas and developments are scrutinized, major classifications may evolve that prove useful as organizers for more specific characteristics.

We will begin by considering the ideas of Abraham Flexner who, during the first quarter of this century,
undertook the investigations that helped professionalize medicine.

About forty years ago, American secondary education was under indictment for its traditional methods and purposes (26). Flexner proposed changes that were intended to influence education toward scientific standards of performance.

We go on teaching this or that subject in this or that way for no better reason than that its ineffectiveness or harmfulness has not been established. Medicines were once generally and are still not infrequently prescribed on exactly the same basis. Modern teaching, like modern medicine, should be controlled by positive indicators. The schools should teach Latin and algebra, if at all, just as the intelligent physician prescribes digitalis and quinine, because they serve purposes that he knows and can state (26, p. 139).

Flexner's notion of effective education was predicated on a professional concept which included the following characteristics:

1. It is basically intellectual and carries with it great personal responsibility.
2. It is learned and the learning comes from knowledge and not from routine.
3. It is practical rather than academic or theoretic.
4. Its technique or methodology is taught.
5. It is a group which is strongly organized internally.
6. It is made up of persons who view themselves as working for some aspect of the good of society (25).
Professionalism as Purpose, Process, and Group

A careful study of Flexner's notion of professionalism reveals three basic integrative elements. Purpose is one element in Flexner's notion of professionalism, and his sixth characteristic refers to it. Professionalism is also a process and this is evident in the first four characteristics. Professionalism is also a group and this is revealed in his fifth characteristic.

During the twenties, Professor Carl F. Taeusch undertook a study of business ethics and professional practices. To the question, "What is meant by the term profession?" he provided this definition:

A profession consists of a limited and clearly marked group of men who are trained by education and experience to perform functions better than their fellowmen (66, p. 13).

This definition conceptualizes professionalism in terms of process and in terms of group. He elaborates upon his group notion in the following manner:

Any man who brings into disrepute the other members of his profession . . . should be subjected to professional discipline (66, p. 21).

A part of the professional obligation . . . is the courage to purge the organization by eliminating unfit members (66, p. 22).

Taeusch's notion of professionalism included purpose. In studying education, he observed:

The first and highest obligation of every member of the teaching profession is to those
who are under his professional care (66, p. 141) . . .

The central fact in any teacher's code of ethics, then, is the professional obligation to the pupil himself. The full realization of this ideal implies a change in educational methods which would rock our present school system to its foundations . . . If teaching is a profession, then the pupil is the client; and professionalism requires that the treatment of the client be for his best interests (66, p. 143).

The idea of social service as purpose is also in Taeusch's concept of professionalism.

The supreme purpose of a profession is to make available to society without any reservation as to quality or any question as to remuneration the very best of services needed (66, p. 361).

About the same time that Taeusch was raising questions about business ethics and professional practices, Benson Y. Landis engaged in a sociological study involving the development of professional ethics and their application to education (41).

Landis assumed that education, along with eleven other occupational groups, was a profession. He investigated the functions of codes in developing ethical practices among various "professional" groups. Using an analytical and descriptive technique, he was interested in applying experiences from other groups to the development of professional ethics in education.

He found that there were varying ideas as to the
functions of codes and as to their methods for making them effective (41, p. 93).

Landis used the code of the Pennsylvania Education Association for his study. He considered this a thoroughly conceived code and one that was representative of the better codes for that era. This code contained thirty-six articles and of these, one expressed "duty to children," one referred to "duty to study education," and twenty-nine identified group activities and involvements (41, p. 5).

The Landis study is valuable in two respects. First, if the Pennsylvania Education Association is representative of the more effective educational groups forty years ago, then this study is an accurate description of professional thinking in education for that time. Its code suggests an almost imbalanced concern for the group notion in professionalism. Compared to the group notion, characteristics of purpose are found in only one article. The process notion of professionalism is also identified only once in the code. All this suggests that the professional concept in public education was something different from that which was being described by Flexner and Taeusch.

Second, the Landis study draws attention to problems in education which are just beginning to be understood. Landis' study found that educational codes grew
out of interpersonal frictions. In other professional groups most codes evolved because of conflicts between the "professional person and his client or employer." In education, the conflict is between teachers and school boards and between teachers and administrative or supervisory officers (41, p. ix).

Landis also found that only six of the twelve occupational groups presented evidences of enforcement of their respective codes. Included in these six organizations are doctors, lawyers, architects, accountants, realtors, and art directors (41, p. 93).

In recent years, a number of scholars in education have indicated interest in professionalism and its possible effects upon education. Two educators who are closely identified with the notion of educational professionalism are Professors Frymier and Lieberman. At this time we will examine some professional notions of each.

According to Frymier, the professional concept includes the following characteristics: service to mankind, extensive training, intellectual and judgmental activities, self-discipline through organization, and an enforced code of ethics (28, p. 301). This notion of professionalism includes elements of purpose, process, and group. An earlier statement of the concept included
only purpose and group. In the *Ohio State Law Journal*, Frymier wrote:

Various authorities define professionalism in slightly different ways, but the essence of each man's thesis is the same. Four distinguishing characteristics are evident for those persons and groups recognized as truly professional: professionals perform an essential service for their fellow man; they make special judgments which affect these other beings; they have a code of ethics; and they exercise control of their professional peers to achieve the service ends toward which they aspire (29, p. 53).

Process might be inferred from, "they make special judgments which affect these other beings." His subsequent writing makes explicit reference to process along with purpose and group (27).

Lieberman's concept of professionalism is similar but more detailed. Characteristics which Lieberman identifies include:

1. performing an essential service,
2. performing a service whose emphasis is upon intellectual techniques,
3. performance requiring a long period of training,
4. performance based upon a wide range of autonomy,
5. performance involving judgments which affect the welfare of others,
6. emphasis upon service to others rather than economic gain for oneself,
7. establishment of a self-governing organization of practitioners, and
8. personal conduct based upon an enforced code of ethics (45, pp. 1-6).

Lieberman's concept of professionalism is based upon elements of purpose, process, and group. Purpose is
evident in the first, fifth, and sixth characteristics. Elements of process are seen in the second, third, and fourth characteristics while the notion of group is in the seventh and eighth characteristics.

Professionalism as a concept has been traced through selected writings from five authorities spanning fifty years. A comparative analysis of these sources provides us with the following generalizations:

1. Professionalism is made up of a number of characteristics and is not a single idea, behavior, or characteristic.
2. The concept is a syndrome and this is evident by the presence of three seemingly diverse elements of purpose, process, and group which seem to integrate all characteristics into a whole.
3. The educational group, as represented in Landis' study, holds views on professionalism that are more primitive when compared to notions expressed by several authorities of that time.
4. When traced through the writings of four authorities and spanning some fifty years, the concept of professionalism has stable and enduring qualities.

We conclude this portion of Chapter II by noting that the professional concept includes elements of purpose, process and group. Specifically, purpose is evident in notions that describe the rendering of an essential social service, making judgments affecting the welfare of others, and assuming a basic responsibility for helping others. Process is apparent in prescriptions which tell us that: professional training is essentially intellectual;
professional practice adheres to a defined methodology; professional practice utilizes a wide range of autonomy; and professional training necessitates a long period of time. The group notion is evident in relations dealing with social controls. This begins with social guidelines called codes of conduct. The more cohesively integrated groups provide enforcement machinery with which to implement codes.

Social Context and Professional Development

The literature for this section of Chapter II shows some of the effects on professionalism made by major social changes. This is not a comprehensive treatment of the social context in which professionalism flourishes. But it is an attempt to bring attention to the dynamic nature of professionalism through the perspective of social context. This outlook should help relate the social forces which influence change in occupations and professions. Also, it can aid us in understanding how professionalism affects larger forces in society.

Several basic attitudes prevail about professionalism which are linked with our kind of society. One is the notion that a professional is an expert. This supersedes the earlier, traditional idea that a professional was a cultured, understanding person of affairs with wide
special competence. According to Carr-Saunders, professionals of today are "regarded by the public as experts—persons with high competence in a restricted sphere (10)." The other notion is that professional development is closely related to industrialization. Based upon these two general impressions, the researcher has selected appropriate materials from Emile Durkheim, Robert MacIver, and Everett C. Hughes.

Professionalism as Technical Competence

Durkheim was interested in explaining the impact of social factors upon human behavior (21). He recognized occupational differentiation as a key factor in industrial societies. Occupational differentiation is based upon specialization and interdependence. Using this principle of occupational differentiation, Durkheim proceeded to describe pre-industrial society as having a "mechanical solidarity (21, pp. 70-110)." In contrast, he assigned to industrial society "organic solidarity" which, Durkheim claimed, was generated from the interdependence necessary in a complex society (21, pp. 111-173). Although formal occupational associations represented the key factor in his social system, these are not limited to economic groups. His notion of society was more than territorial. Durkheim saw group life as a reality capable of
providing purpose for individuals in industrial society.

Durkheim did not distinguish professions from other occupational groups (21, p. 2), but considered professions social organs influencing other occupations in society. This influence is mutual, however, because the existence of professions is predicated on the principle of interdependence.

Durkheim also identified technical competence with specialization and interdependence. But this competence is important for social rather than for economic reasons. The social significance of technical competence is vital to professions and to the wider community. Durkheim looked upon professions as groups which generated rules and sanctions for society as a whole (32). In this scheme, occupational differentiation affects and is affected by specialization and technical competence. Socially, differentiation becomes an integrative force.

Durkheim was not interested in professional groups as such. He was concerned with their impact upon the social structure of the larger community. By developing the notion of occupational differentiation as he did, he made apparent to others the significance of technical competence to professional groups and to industrialization. This became an influence which affected the traditional meaning of professional. Rapid industrial development in
this century placed a premium upon specialization and technical competence. Eventually, this influenced the public's attitudes until the notion of professionalism became associated with one who is an expert in his area of work (10).

This development in the concept of professional is important. It relates with authoritative thinking that prescribes a process dimension to the concept of professionalism. This helps us understand how various elements of process come to be associated with the concept.

In education, this may be especially significant now. The recent appearance of technological developments in education make task differentiations almost a certainty. Whether this will move education toward or away from professionalism is not presently clear. What is clear is that future education will be significantly affected by occupational differentiation.

MacIver is a writer who has analyzed the development of group norms and standards from relationships with persons outside the group. Robert MacIver's ideas on professionalism provide a basis for understanding the ethical considerations in the professional concept. The conceptual development of professionalism is constructed around ethical considerations which are generally associated with notions of purpose and with group relations.
These can be used to identify the relations from which ethical considerations flow. They also can be used to help us recognize which relations are detrimental and which are enhancing to professionalism.

**Professional Relationships and Autonomy**

MacIver used key notions from Durkheim and extended these. He distinguished among occupational groups in ways that generated a number of different approaches to the problems of professionalism.

MacIver did not accept grouping all occupational associations together. In addition, he was not willing to conclude that the existence of numerous and different occupations in society produced competencies and ethical standards within groups which promoted the general welfare. He arrived at this position by distinguishing first between groups whose purpose is profit-making and groups whose purpose is to provide essential services to others (46). Second, he observed that the norms and standards which were most crucial to a group involved relationships with those outside the group.

His analysis of various associations led him to identify autonomy as a basic characteristic of groups which claimed to be professional. On the other hand, it was noted that there are autonomous groups which exercise
group imposed discipline, and yet they are not professional. MacIver identified business groups as belonging to this category. According to MacIver, this can be explained in two ways.

First, we can examine the purpose to which autonomy is applied. If autonomy is used to promote self-interest, then a professional group is different from other groups on this basis. In a profession, profit is not the primary motive (46). Meanwhile, a group which is oriented toward social service is distinctly different from one which is oriented toward acquisitiveness.

A second way to distinguish professional groups from other groups is to note the duration and binding qualities that establish group relations. Business relationships with clients or customers are \textit{ad hoc} agreements of a particular nature. These do not represent relationships of a professional nature because they are not derived from "a fully established principle" acceptable to the entire business community (46, p. 51).

MacIver presses this point by arguing that there are no basic differences among ethical codes for various occupational groups classed as professions. While the form of their codes differ, ethics of professional groups merely represent general rules which the group members apply to particular areas of conduct. A profession brings
credence and integrity to its code by the way it fulfills its purpose. As it fulfills this, it comes close to realizing its ideal.

MacIver illustrates this latter point by drawing attention to situations in which rules or guidelines clash with one another (46, p. 52). This may require a doctor to lie in order to save his patient's life. Or it brings a lawyer to the defense of a known criminal whose civil rights have been violated. It is from similar situations that the "unwritten codes" of professional ethics evolve.

These are the kinds of relations with persons outside the group which really distinguish a profession from a non-profession. In professions, the significant relationships are those with persons outside the group. This arrangement recognizes the vulnerability of clients to practitioners in the group. The opportunity to exploit others is a discretion always available to those belonging to a professional group. A professional code is as important to those outside the group as it is for those within the group. For these reasons, the ethical code and machinery necessary to enforcing the code, are essential characteristics of groups called professions.

MacIver also explains how a professional group sustains the social structure of the larger community. He illustrates this while drawing attention to one of the
major weaknesses in professional codes (46, p. 54). Codes are weakest in defining responsibilities and relations necessary to protecting and promoting the public interest. It means that professional bodies need a social consciousness that makes them alert to changing conditions in society. Attempts to fulfill this responsibility frequently result in situations where the professional interest clashes with the general interest.

MacIver refers to "the specific bias of the profession (46, p. 55)" as another potential danger in professionalism. This is when members become egocentric and are unable to relate the group code to the ethical standards of the entire community. MacIver thinks the group environment tends to foster group bias. Professions must guard against this by being attentive to social changes and by generating their ethics from functional rather than from authoritative sources.

MacIver describes numerous implications of professional involvement with the larger society. Most of these are evident and comprehensible through the study of relationships in professionalism. He suggests that not all of these functional arrangements are inherently good or advantageous. Some arrangements, such as those based upon the power of autonomy, are subject to abuse. Groups
that are professions recognize this by enforcing their ethical code through self-discipline.

Thus far in this section of Chapter II, related literature was used to show how industrialization and occupational differentiation create a need for technical competence. In highly industrialized societies, technical competence becomes conceptualized so that competence, expertise and professionalism are closely related. The notion of professional as expert, or professionalism as expertness, is derived in this manner. Also, the process dimensions in the concept of professionalism are associated logically with the historical development of technical competence.

Additional related literature indicates how the practice of autonomy might be a logical extension of highly refined competence. When competence becomes an integral factor in autonomy, then professional groups assume characteristics which we refer to as process and as group relations. Relationships and process represent sources from which ethical considerations arise in groups. This ethical factor suggests an important way for distinguishing between professions and other groups.

This logical development explains and describes how the concept of professionalism is held together by such seemingly diverse notions as purpose, process, and group.
Professionalism and the Institutional Setting

Thus far in Chapter II, our analysis of professionalism has been limited to explanations, descriptions, and practices relevant to individual behaviors. In this section of the chapter, we survey related literature which describes the impact of organization upon professional groups. Whereas our earlier considerations with professionalism were suited to the theory of individualism, we are now examining professional functions that occur within organizational settings.

A number of questions are posed from this. In what ways, if any, do institutions affect the notion of purpose in professions? Are institutional settings capable of accommodating professional behaviors that evolve from competence and autonomy? In what ways are process dimensions of professionalism affected by institutional work?

The researcher is not reacting directly to the question of how institutions affect professionalism. Instead he will use an analytical technique that resembles "backing into" the question. Numerous occupational associations stress professionalism. Teaching is an occupation which in recent years has been preoccupied with the problem. When attempts are made to define the teaching profession, a wide mixture of ingredients fall out. Those
who try to arrive at professionalism in this fashion, sometimes conclude by stating:

Professionalism is a state of mind, not a reality. Neither statute nor regulation, neither code nor shibboleth will make a teacher a professional (61).

Seymour, who is the author of the above notion, draws attention to the fact that the traditional meaning of professionalism has undergone change. He infers that the conventional settings from which "the traditional meaning of professionalism" originated are no longer with us. Yet instead of examining the sources from which conceptual meaning is derived, he prescribes a set of practices that define the "ideal or professional" teacher (61, pp. 127-28). He concludes with an inspirational appeal to teachers to pursue the "cult of excellence" in a dedicated manner (61, p. 129).

This piece of writing illustrates one set of reactions which we encounter to mass public education. The complexities of organization and bureaucracy often leave conscientious and dedicated educators with feelings of hopelessness. Yet they continue to call for educational improvement because this hopelessness is counter-balanced by a strong sense of personal commitment to education.

On the other hand, there are writers who are trying to discover rational explanations to these complex
problems. Everett C. Hughes is one who analyzes the social setting in which men work. He observes that "occupations historically known as professions are undergoing great changes in the organization of their work (33)."

Hughes uses medicine to illustrate this change. Medical technology has subdivided medicine into many specialties. He also refers to the tremendous increase in equipment used to diagnose and treat patients. The nature and cost of this equipment requires large and expensive facilities which are utilized by many doctors rather than a single doctor. These occupational conditions have produced changes in relations with colleagues and with patients. It means that the medical practitioner now frequently has work contingencies that create relationships to institutions (33).

First of all, these are not isolated cases. The trend toward specialists working in large public and private organizations was noted over a quarter of a century ago (48). Hughes refers to organizational and bureaucratic developments in medicine in West Germany. According to the 1950 census of occupations in West Germany, 42.4 per cent of doctors were working inside organizations and not engaged in independent practice (32).

The significance of this trend is that organizations are affecting the way professionals work and
professionals affect organizations (17). From an educational viewpoint, however, we are usually more familiar with the dysfunctions of professional work in organizational settings (18). Meanwhile, there are types of organizations which "are being worked out that allow for professional freedom in balance with the controls necessary to large organizations (32, p. 69)." These are usually found in hospitals, higher education, and government.

Hughes also brings to light a number of paradoxes about professional work in bureaucracies. In professional work, we assume that each professional has access to clientele suited to his interest, competence, and economy of effort. Hughes claims there is growing evidence which shows that some practitioners in law and medicine become "specialists by default (32, p. 69)." Economic or other circumstances cause some to practice alone or to work in circumstances where their skills and knowledge are not fully realized. They become specialists from influences of their clientele rather than from personal choice.

We neglect to realize that professional fulfillment is based upon several external factors. These include having clients with needs which are appropriate to one's interests and skills. It means having access to equipment and materials necessary to functioning effectively. It
means having colleagues capable of nurturing one's own intellectual development. It also means being free from the pressures to conform to customs of one's own clientele.

Hughes indicates that professionals who value autonomy, independence, and freedom might be able to secure some aspects of these more readily in bureaucratic settings (32, p. 70). This appears as a paradox but it is also a reality.

These facts are not intended to by-pass some aspects of organization work which appear to be inconsistent with professional practices. A very basic question in organization work is, who is the client? The idea of professional purpose is here. An industrial doctor who treats workers has a fundamental responsibility to whom? Should a worker be returned to his job quickly or does his physical condition still warrant his absence from work? These kinds of relationships are present in all institutional settings in which professionals work. They represent the type of functional situations from which group ethics should evolve.

Organizational Concepts and Professionalism

There is another aspect of organizational theory which needs our attention. Organization is a term that includes, among other things, several major concepts that
are appropriate to educational organization. These are bureaucracy, authority, and hierarchy. Literature related to these concepts is examined next.

Organizations with certain characteristics are considered bureaucracies. Bureaucratic organizations usually include most of the following characteristics: large size, specialization, hierarchy, status anxiety, oligarchy, co-optation or selection of their successors by the organization's elite, efficiency, and rationality (58, p. 27). Analysis of educational organization reveals the presence of at least five of these in most school systems. Size, status anxiety, and co-optation might be more relative to specific situations.

These characteristics define the "ideal type" of bureaucracy which, as Presthus points out, does not exist anywhere in reality. One further observation is necessary here. Cultural bias in our society usually associates a negative value, or at best neutrality, with notions of organization and bureaucracy (69). This bias frequently leads to generalizations so gross that they inhibit legitimate investigations of problems of professionalism.
Bureaucracy and Professionalism

There are three facets of bureaucratic operations which appear relevant here to understanding professionalism and educational organization. This is not meant as a comprehensive treatment of this area of the problem. It is an attempt to identify several functional or dysfunctional developments in educational organization when certain elements of professionalism are applied to the system.

Our concerns here are not with the structured rationality of bureaucratic operations, but with individual behaviors within the organization. This approach looks upon individuals in bureaucratic settings as participants rather than as incumbents.

Standardization, specialization, and interdependence are essential processes in complex organizations. They are also based upon and relate to technical competence and occupational differentiation. Administrative machinery necessary to coordinating specialized and interdependent tasks is called bureaucracy (6, p. 7). The bureaucratic function is one of coordination and maintenance if perceived through processes of standardization, specialization, and interdependence.

Assembly line operations require prior design of the production process. Because we know with considerable
certainty what it is that we are to produce, how we are going to produce it, and in what quantities, coordination is a basic tool in these hierarchical arrangements. This does not suggest, however, that coordination and hierarchy are equally justified in organizations where communication is the crucial ingredient.

Blau and Scott indicate that the development of some impersonal mechanisms in bureaucratic organizations are compensations for communication. Devices like programmed learning and team teaching represent the exercise of impersonal control at lower levels in the hierarchy of organization (6, p. 136). It suggests a design system which is capable of circumventing the dependence upon communication flow in an arrangement of hierarchy. The result is coordination by "more direct methods than communication (6, p. 184)."

By definition, hierarchy is a characteristic of bureaucratic organization. Hierarchy in an organization generates objectives which are outcomes of the need for coordination. These are different from the purposes and objectives of the organization. Hierarchy and coordination evolve procedural values which we might call stability, efficiency, and consistency. These differ fundamentally from notions which are called purposes of education or teaching.
Educational purposes are defined in terms of change that are intended to affect those whom the system serves. The purposes of teaching and of education are generally achieved through procedures, practices, activities, which are flexible rather than rigid. Furthermore, the learning process is predicated upon a wide variety of differentiations, dissimilarities, and many common unexplainable circumstances. This suggests difficulty in reconciling the means-ends through hierarchical arrangements. Operational learning goals are located at lower levels of the hierarchy. Yet the productive forces and resources necessary to implementing goals reside within authority sources in the organization (40).

According to March and Simon, the goals at higher levels of the hierarchy are not operational (47). This is because there are no agreed-upon criteria for determining the extent to which certain activities, behaviors, and programs contribute to the realization of goals. The measurable contributions exist at the lower levels of the hierarchy where operational functions occur (47).

Bureaucratic authority is also distinct from professional authority. Professional authority is founded upon competence derived from knowledge and skill. Therefore, authority per se is not the actual source of interpersonal strife in organizations. The clash is between
two different notions of authority. One source resides in positions in the organization. The other is derived from competence. According to Presthus, an inherent source of tension in organizations exists between those in hierarchical positions of authority and those who fulfill roles based upon competence. "Knowledge, in a word, challenges hierarchical definitions of authority and role (58, p. 34)."

The related literature for this portion of Chapter II focused on a number of sources which create tensions in organizations. A number of procedures were indicated as ways by which organization strife might be alleviated. It was appropriate that selected facets of bureaucratic function be related to professional work in this way. Education is a large, complex, and bureaucratic social system. It cannot adopt indiscriminately organization models or work-group behaviors from other occupations. Examining related literature in terms of the social context and the organization settings in which professional work takes place, provides some rational basis for selective adaptation to education.

Education must undertake, by empirical research, to define its purposes, identify its processes and group relations, and set forth its position relative to society.
By a combination of these, education may then develop working patterns that help it become more effective.

The next chapter describes the procedures used in this study to evolve a theory of educational effectiveness. It traces in detail the process of theory building in this area. The theory is intended to produce testable hypotheses which can subject various aspects of the theory to experimental scrutiny.
CHAPTER III

THE PROCESS OF EVOLVING A THEORY OF EFFECTIVENESS, OR PROFESSIONALISM

The Working Scheme

This study is an effort at theory building. Because it is an attempt to enlarge meaning and understanding about professionalism, it is important to systematically identify essential characteristics of the study.

In the larger sense and in terms of extended time, our concern is with educational change. The goal is to change and revise certain attitudes, to modify certain practices, and to bring about operations which make education more effective. Furthermore, the lack of an adequate theory of professionalism makes experimental research in professionalism appear premature and unfeasible.

The need is to conceptualize the area of educational professionalism. But the basic information about professionalism does not relate easily or effectively at this time. A theoretical and logical framework based on prevailing knowledge must be established first. Guba calls this starting from where we are (31). The need to
start from where we are is evident in the logical framework of Chapter I, and in the manner by which the category system unfolds.

The essential ingredients and conditions for a field study are present here. Attention needs to be paid to order, consistency, and exactness. But these are not the factors upon which the authenticity of the study is based. Guba proposes that we depend more upon the techniques of "continuous time analysis" and "of accumulative evidence" (31, pp. 24-26).

**Assumptions in the Working Scheme**

The working scheme is that of a field study occurring over time and deriving its meanings from several sources. Three assumptions in the scheme guide the theory building process. First, it is assumed that a description of human learning as a creative system is appropriate for this study. Second, it is assumed that a perceptual view of learning provides an adequate explanation and description of meanings which evolve in this study. Third, it is assumed that professionalism is a concept with a developmental nature which is apparent in spatial and temporal dimensions.

As a creative system, man is capable of receiving, assimilating, and energizing elements of the environment.
Elements which are understood are also those which are most subject to human control and direction. This is an involved process, but one closely associated with institutional or formal learning. The process might be likened to a cycle or loop whose sustenance and energy reside in the ever-growing synthesis of human knowledge and understanding (52).

The second assumption is that a perceptual view of learning provides an adequate basis for explaining and describing meanings which evolve from this study. This suggests an evolving concept of professionalism rather than one which unfolds in a prescribed fashion. It necessitates sensitivity for handling data whose meaning may be distorted by communication. This is especially important when critical incidents data are classified and when groupings of data are used to create categories.

The third assumption is that the professional concept is developmental in nature. An evolving theory of professionalism reflects both temporal and spatial influences. Each succeeding stage of data gathering and processing represents an additional increment of refinement for the notion of professionalism.

As used in this study, spatial influences of professionalism refer to sources which are essentially non-empirical. Spatial influences are classed as pre-
scriptive, relatively stable, authoritative, and deductive. These sources frequently are associated with writings, papers and readings or with some other form of public criteria. On the other hand, sources derived from experiences of defined groups represent direct spatial influences. Data secured from such groups and in accordance with specified procedures is raw knowledge. Human effort must be applied to give it meaning. Collectively, such knowledge affects the conceptual development of professionalism in non-predictive ways. Meanings from direct sources are generated by inductive or synthetic methods. The developmental character of professionalism becomes apparent over time as direct and indirect sources are tapped to give form to the concept.

**Conceptual Influences from Indirect Sources**

The process of theory building begins where we are. Although its empirical base is meager, professionalism is an area with an abundant body of literature. The task is essentially one of bringing form and understanding to appropriate portions of this literature.

Figure 1 represents the concept of professionalism, and we can assume that all elements, ideas and relations comprising the concept are inside that circle. The circle represented by Figure 2 shows identifiable elements, ideas,
and relations as segments of the circle and concept. Although both circles represent the concept of professionalism, Figure 2 identifies specific characteristics as extracted from the study of relevant literature.

Fig. 1—Professional Concept

Fig. 2—Identifiable Characteristics in Professionalism

Characteristics in Figure 2 are based upon indirect sources. These indirect sources represent ideas from authorities writing on professionalism. In Chapter II, the concept of professionalism was traced through selected writings from a number of authorities. Together these
writings reflect a conceptual development of professionalism extending over some fifty years. Tracing the concept in this manner generated a number of generalizations. One is that professionalism, as a concept, is made up of purpose, process, and a group.

In this section of Chapter III, additional indirect sources from writings of authorities are to be analyzed. This additional group of writings and authorities does not mean that such indirect sources are exhausted. On the other hand, this approach is considered sufficiently comprehensive to be an adequate representation of authoritative thinking about professionalism.

**Authoritative and Prescriptive Writings as Indirect Sources**

Clarice Kline, a recent NEA President, identifies at least three characteristics of professionalism in the following:

Teaching is a profession because the teacher has knowledges and techniques which must be constantly recast and recombined with intellectual material to meet the needs of students. He constantly exercises independent judgment (39).

Professionalism as a process is evident in "the teacher has knowledges and techniques" and exercises "independent judgment."

Several years later, Clarice Kline focused her attention on teacher competency and accreditation. Again,
she identifies several characteristics of professionalism when she writes:

Deficiencies in [teacher] preparation are reflected in classroom instruction, often in ways that only the competent and the expert can detect. . . . Members of the profession will develop appropriate machinery for the enforcement of standards of competence as they simultaneously develop the attitude that their expertness and that of their colleagues are proper responsibilities for the profession (38).

In this instance, Kline is concerned with professionalism as a group whereas the earlier reference was directed to process.

C. Harold McCully draws our attention to purpose and process in professionalism when he writes:

. . . a vocation may involve specialized knowledge of a department of learning or science, but unless this specialized knowledge yields an intellectual technique that is applied to the affairs of others, the vocation is not a profession. Likewise, a vocation may apply a technique to the everyday affairs of others, but unless the technique is an intellectual one . . . the vocation is not a profession (49).

Margaret Mead focuses upon the purpose in professionalism and like McCully, conceives certain vocations as "helping professions" when she writes:

. . . the old professions were each responsible for single individuals and to an overriding value, Medicine to Life and the patient, Law to Justice and the client, Theology to God and the parishioner, Education to Tradition and the student (51), . . .
In delivering a keynote address, the Dean of Northeastern University described the "Process of Professionalization" as including the following criteria:

1. The professional group must serve a particular need of society . . . a function . . . important enough to perpetuate.

2. The professional group must have an association which tests competence, maintains standards for personnel entering . . .

3. The professional group must possess a complex, systematic body of theoretical knowledge developed through continuing research . . .

4. The professional group must possess a distinct, special technique which is used in carrying out the function of the group and which cannot be readily understood nor practiced by the general public.

5. The professional group must possess a strong code of ethics which is enforced by the group as a whole . . .

6. The professional group must require expertise in their body of knowledge and technique by means of a long, formal and intellectual training experience in a college or university (1).

Professionalism is conceived here as process, as purpose, and as a group. The similarity is easily apparent when this notion of professionalism is compared to characteristics in Figure 2.

The 1962 Yearbook of the National Society for the Study of Education dealt with various facets of professionalism. Earl J. McGrath, in prescribing the "ideal education for the professional man," set forth the
following characteristics as essential to a profession.

Professions, he says,

1. are involved in intellectual operations with large individual responsibility,
2. derive their raw material from science and learning,
3. apply their learning to practical ends,
4. possess an educationally communicable technique,
5. tend toward self-organization, and
6. tend toward varying degrees of altruism (50).

Again the concept includes purpose, process, and group, and the similarity between Figure 2 and this list is clear.

A paper presented by William O. Stanley at a conference of educators concerned with professionalization includes these notions of professionalism:

1. The group performs a social task.
2. The primary objective of the group is social service rather than pecuniary gain.
3. The group possesses a methodology.
4. The group has a strong organization which formulates a code, defines it, and enforces it (64).

In this chapter we have examined additional authoritative views on professionalism. There are differences in language and in the degree to which some characteristics are emphasized. Some authorities conceive professionalism as purpose, process, and group, while others perceive it in terms of several of these notions. A comparison of these notions with those used to trace the
conceptual development of professionalism in Chapter II reinforces the generalizations already made.

These indirect sources together with authoritative notions presented in Chapter II, represent thinking on professionalism that extends over a long period. Although many changes have taken place during this time, the basic character of the concept remains essentially the same. Its meanings are still derived from its purposes, processes, and group relationships.

Generalizations Based on Authoritative Indirect Sources

The conceptual development of professionalism in Chapter III is thus far based upon indirect sources. These indirect sources are authoritative, prescriptive, and stable. A comparison of professional characteristics from these sources with those in Figure 2 provides some generalizations about the concept.

First, the concept is a syndrome and not a single behavior or characteristic. Superficially it may appear that its elements are too diverse to be integrated. But beneath the surface differences there is substantial agreement among authorities about the interconnecting features of purpose, process, and group.

Second, the concept has a durable and stable quality. This is apparent in the characteristics used by
authorities to explain and describe professionalism through a period of a half century. This reliability in professionalism may be due to the nature of the concept. It also suggests an internal validity in terms of its non-operational or theoretical meanings. This durability might also be explained through the perceptiveness of those who become concerned with the notion. Probably it is a combination of these factors.

Third, no authority or indirect source attempts to explain professionalism through a single element, idea, or relationship. We say this while recognizing that various authorities place particular emphasis upon different aspects of the concept. Lieberman's notion may be more sensitive to power (44), while Stinnett considers autonomy more vital (65). Meanwhile, Frymier (27) and McCully (49) are primarily concerned with the ethical considerations in professionalism. Rather than represent disagreement, these differences reveal a part of the value system of each.

Fourth, it seems that characteristics which have been identified from indirect and authoritative sources can be classified. The category headings of purpose, process, and group are capable of including all identifiable ideas, elements, and relationships. This formulation aids in the practical work of classifying such
characteristics as: (1) professionalism is based on learning, (2) professionalism has a technique, (3) professionalism has a methodology, (4) professional practices are based on research, and (5) professionalism depends upon vocational competence.

Fifth, an initial category system can be constructed from indirect sources authoritatively prescribed. This system has no fewer than three categories while its maximum number cannot be prescribed accurately and with confidence. It appears that the more informed and knowledgeable a researcher becomes, the greater his insight and understanding about this problem. For practical reasons, a category system must be held within manageable limits.

**Concept Development from Established Professions**

Established professional groups are another indirect source from which the concept of educational professionalism might evolve. It is invalid, however, to extrapolate characteristics directly from these groups to education. At present we do not know whether characteristics of established professions such as medicine, law, and architecture are applicable to education. For this reason characteristics from established professions represent indirect sources.
Established professional groups have guides called codes of ethics or standards of professional practice. Codes or standards of practice represent indirect sources from which concept development might take place. Three established professions provide the indirect sources used in this chapter. Codes from the medical, legal, and architectural groups are examined in terms of the following questions:

1. What is the nature of professional characteristics for each of these groups?

2. In each of these professions, are there ideas of purpose, elements of process, and group relationships evident?

3. Are there any unique professional characteristics in any of these groups, or is there a commonality in professional codes?

In addition, the Code of Ethics of the Education Profession (54) is analyzed and compared with codes from established professions. Differentiated characteristics provide generalizations that contribute to the possible development of a concept of educational professionalism.

**Codes from Established Professions**

The Principles of Medical Ethics (4) provide direction and guidance to the physician's work and conduct. The Canons of Professional Ethics (2) serve a similar function for lawyers. Architects subscribe and adhere to The Standards of Professional Practice as
set forth by the American Institute of Architects (3).

Each of these professions clarifies its obligations and responsibilities to those whom it serves. Medicine draws attention to the physician's client in this manner:

Having undertaken the case of a patient, he [physician] may not neglect him; and unless he has been discharged he may discontinue service only after giving adequate notice. (Section V)

Social responsibilities of medicine are set forth in the statement that "the responsibilities of the physician extend not only to the individual, but also to society." (Section X) The medical group accepts responsibility for its members by acknowledging to safeguard "the public and itself against physicians deficient in moral character or professional competence," and to "expose, without hesitation, illegal or unethical conduct of fellow members of the profession." (Section IV)

Physicians are also admonished to:

... not reveal the confidences entrusted to him in the course of medical attendance, or the deficiencies he may observe in the character of patients, unless he is required to do so by law or unless it becomes necessary in order to protect the welfare of the individual or of the community. (Section IX)

Lawyers are reminded that the trust and confidence of the people in government and the administration of justice "... cannot be ... maintained unless the
conduct and the motives of the . . . profession are such to merit the approval of all just men." (Preamble, p. lxv)

The Canons of Ethics remind lawyers "to refrain from any action whereby for his personal benefit or gain he abuses or takes advantage of the confidence reposed in him by his client." (Section 11, p. lxvii)

Furthermore, lawyers are cautioned to uphold the integrity of their profession by engaging in action to:

... expose without fear or favor ... corrupt or dishonest conduct in the profession, and should accept without hesitation employment against a member of the Bar who has wronged his client. ... The lawyer should aid in guarding the bar against the admission to the profession of candidates unfit or unqualified because deficient in either moral character or education. (Section 29, p. lxxii)

The obligation of lawyers to serve justice and to promote the public's confidence in the law is implemented by various ethical considerations involving the client. He is reminded that he owes "entire devotion to the interest of the client." (Section 15, p. lxix) His duty to preserve his client's confidences "outlasts the lawyer's employment, and extends as well to his employees." (Section 37, p. lxxiv) And if assigned as counsel for an indigent prisoner, a lawyer is reminded to "not ask to be excused for any trivial reason, and should always exert his best interests in his behalf." (Section 4, p. lxvi)
Social service is a basic consideration for architects. Toward that end architects are cautioned to "consider the public interest and well-being of society." (AIA Doc. 1330, p. 1) An architect renders "professional services to his client and acts as his client's agent and adviser." (Ibid.) Furthermore, the primary purpose of disciplinary action under the architect's standards of professional practices is "to protect the public and the profession." (Promulgation)

An architect is directed to "perform his professional services with competence," and to "properly serve the interests of his client and the public." (Obligations, 1.2) He is warned "to not have financial or personal interests which might tend to compromise his obligation to his client." (Obligations, 2.4) And he is cautioned "to not act in a manner detrimental to the best interests of the profession." (Obligations, 3.2) Furthermore, he should not "knowingly injure or attempt to injure falsely or maliciously the professional reputation, prospects, or practice of another architect." (Obligations, 3.3)

Architects are cautioned that deviation from the Standards of Professional Practice or any action by a member that is detrimental to the best interests of the group "shall be deemed to be unprofessional conduct on
his part, and ipso facto he shall be subject to discipline by the Institute." (Chapter 14, Article 1, Section 1 (c))

A comparative analysis of the codes for these three professions reveals elements held in common and also some differences. All make clear the obligatory nature of relationships between practitioners and clients. Each also claims to render a vital and important service to society. There may be a difference of degree in terms of providing an essential, social service. By the nature of the service being provided, it is probably easier for the public to accept the essential character of medical and legal service. The public attitude is undoubtedly less willing to accept architectural services as essentials or necessities. Yet with increasing urbanization and the corresponding need to utilize resources in orderly fashion, it is possible for the public's attitude to change so that in time this work is viewed as a social necessity.

Another distinction between architecture and medicine and law is the relationship between client and practitioner. "An architect's relation to his client is based upon the concept of agency." (Obligations, 2.1) The client-practitioner relationship is not one of agency in medicine and in law. The nature of the basic service provided appears to be the determining factor. Agency
relationships exist where something of value or significance might be transacted outside of the parties themselves. The classical notion of professionalism is identified usually with medicine and the law. It is based upon the professional doing things that are within the internal dimensions of the client-practitioner relationship. The nature of the task or service becomes the crucial consideration.

Professional understanding begins to take place when we delineate significant differences within groups classed as professions. The claim that it is impossible to establish professional relationships in organizations, or where employer-employee relations exist, may not be valid. In logic such a position is tenable if every professional group fulfilled similar needs in ways that required almost identical client-practitioner relationships. In theory there might then be one all-inclusive profession instead of many professional groups.

Education may not be a profession. But being a bureaucracy is not the reason that education fails to qualify as a profession (19, pp. 39-45). Nursing is a professional group functioning in a bureaucratic setting. Yet its purposes and techniques of work are more like the "pure" professional model than are its group relations. Established professional groups represent sources of
study about professionalism by groups trying to become more effective. Intellectual growth in this area is restricted when a particular group is adopted as the "professional model" for other aspiring groups. This happens frequently with medicine. It is often referred to as the criterion measure for professionalism.

Increased specialization affects the nature and number of tasks associated with professions. The way people function within a given profession influences the kinds of group relationships that emerge. For example, a general practitioner and a pathologist are both doctors. Yet each works in a very different and distinct fashion. Due to these working relationships, the group relations that each establishes with clients or colleagues are different. In law, a similar situation prevails if we compare a trial lawyer's work with an attorney who engages mainly in title and abstract searches.

Architects, lawyers, and doctors are all members of professions. Although one group bases its work on agency relationships and the others do not, there is sufficient commonality in purpose and process to bind all three into one class. Each recognizes and accepts the basic obligation to assist and help others. There is also explicit acknowledgment that members of each group engage in practices which make the recipient vulnerable
to the practitioner's judgments. Therefore, each of these groups accepts the responsibility to guide and discipline its membership in matters of competence and conduct.

Established professional groups like medicine, law, and architecture have been examined as indirect sources. The ideas, characteristics, and relationships in these professions are analyzed with the view that some might be useful in conceptualizing a notion of educational professionalism. As indirect sources, these professional groups provide a number of generalizations.

1. Established professional groups explicitly identify themselves as helping groups whose basic obligation is to the client.

2. Established professional groups recognize that their practices create situations in which the client is vulnerable to the practitioner.

3. Established professional groups have a technique or methodology based upon intensive learning carried on over a long period of time.

4. Established professional groups are responsible for the conduct and competency of their memberships. Responsibility is accepted to protect clients, the profession, and society.

5. Established professions reflect variations in the characteristics associated with each group. Within a profession and among different professions, the nature of tasks affects relationships that characterize group involvements.
The Present Education Code

The most recent Code of Ethics for education was adopted in 1963. It is developed around four general principles and thirty-nine statements of obligations (14). If the professional concept is based upon statements of purpose, process, and group relations, then these can be identified among the thirty-nine obligatory statements. Yet the Code is written so that purpose is not a clear, explicit, and simple statement. It is more of an arrangement of "how to" fulfill purpose rather than telling "what" is the purpose of education.

The spirit of the Code is protective, implementing, and admonishing. It seeks to protect education "against undesirable infringement" (Principle II, 7), and to support members "when unjustly accused or mistreated" (Principle IV, 7), and against engaging in "outside employment that will impair the effectiveness of . . . service" (Principle IV, 8), or "from commenting unprofessionally about a student or his home" (Principle I, 6).

Purpose is implemented by "conducting conferences with or concerning students in an appropriate place and manner" (Principle I, 5). Much of Principle IV deals with a series of prescriptions for securing, maintaining, and changing employment in education.
Comparing the Education Code with Established Professions

Comparison of the education code with standards of practice from several other professions and with authoritative notions of professionalism, suggests a number of important differences:

1. Educational guidelines assume the reality of professionalism and focus on "how" to implement this assumed reality.

2. The education code is specific about non-professional matters while more general about professional principles and practices.

3. The form of the education code suggests guidelines for implementing professional practices. But the substantive effect of the code is non-functional.
   a) It is not an adequate guide for individual behavior and practice since it is directed to group action or to the "we" notion.

4. The code prescribes no methods or machinery by which the obligatory statements in the code might be readily implemented.

Summarizing, the purpose of the study is to evolve an operational theory of professionalism in education. In this chapter we have conceptualized from, (1) authoritative and prescriptive notions of professionalism, and (2) from the codes of several established professional groups. These have been contrasted with obligations stated in the education code. There are subtle but important differences in the way authorities and other
Continuing the summation, indirect sources serve as the baseline from which further theory building is to be formulated. Because the objective of the study is to evolve an operational theory, practices and behaviors of the educational group are investigated next.

Direct Sources for Building a Theory of Professionalism

Information and descriptive data from persons working in education represent a direct source for building theory. The question of whether education is a profession cannot be answered through authoritative, prescriptive, or comparative claims. The answer to the question is basically found in empirical evidence. The test of whether educators understand professional practices is in their behaviors. In this context, the initial problem is to determine a method suitable for gathering data and suitable for bringing meaning to the question.

Conceiving a way to secure large quantities of data became the researcher's initial concern. How the data might help conceptualize a scheme for developing a theory of professionalism only became evident after two exploratory studies. Before the preliminary study (43), the
researcher perceived the following as necessary to an empirical study of professionalism in education:

1. The data must be secured from persons presently certified and working in education.

2. The data being reported should not be limited to any particular role or organization position in education. Data should be secured from administrators, supervisors, others in supportive roles, as well as from classroom teachers, and from those working in all levels and positions in the public schools.

3. The nature of the problem, together with the technique for securing the data, made it crucial that only voluntarily reported data be used in the study.

Since this was an effort at enlarging and refining conceptual meaning, it was decided that questionnaires and opinionnaires were unsuited for the task. The lack of an adequate theory of educational professionalism also ruled out the use of a valid instrument with which to measure professionalism. After studying several research efforts that used the critical incidents technique (20, 23,57) and discussing the problem with others, the researcher decided to use the critical incident technique.

A number of considerations in the researcher's thinking was basic to the decision. First, his own experiences in public education caused him to surmise:

1. there would be many differences expressed about professionalism from those working in public education, and,
2. there would be a need to blend theory from a mixture of criteria based on authoritative notions together with data secured from working educators.

The preliminary study was an initial attempt to test the critical incidents technique as a method for securing empirical data from which inferences about professionalism could be made (43). Careful attention was given to procedures. Deliberate attempts were made to vary some procedures.

Using Critical Incidents for a Preliminary Study

Four different sampling groups were chosen for the study. One group consisted of eleven subjects who were administrators and/or supervisory personnel. Two groups consisted of secondary teachers with several administrators, while the last group was made up of elementary teachers and one administrator. These three sample groups totaled ninety-five subjects of whom eighty-seven were classroom teachers and seven were administrators and/or supervisors. All one hundred and four subjects were certified by the State of Ohio and worked in public schools during 1965-66. The four groups represented an incidental and non-probability sample. Subjects in the sample were also anonymous.

The researcher contacted three groups directly.
Approximately fifteen minutes was spent with each group explaining the lack of an adequate notion of professionalism in education. It was suggested that an operational theory of professionalism might be useful for improving education. It was also pointed out that such a theory could be operational only if it was derived from the group using it.

Each subject was provided with a 3" x 5" blank file card and requested to describe an incident or practice or behavior which, in the respondent's judgment, was non-professional. Non-professional incidents were requested for two reasons:

1. There is general agreement that at present there is no adequate theory of professionalism. On the other hand, there are many views of what is professional behavior in education. None of these have any peculiar significance at this time. Therefore, the researcher chose to use the "technique of analyzing pathologies to gain insights into natural situations" (31, pp. 35-36). It means that for certain problems it is more appropriate to ask, "what is wrong" rather than "what is right" in order to get a hold on the problem.

2. The researcher wanted the subjects to respond to an open-ended question. If he chose to ask for examples of professional incidents, there is more likelihood that the respondents would react within implied limits of convergent questioning techniques. By asking for non-professional incidents, the subject's perceptual range is extended. In this way it is possible to take into consideration a larger segment of the environment from which the observed phenomena are
taken. In converting non-professional incidents to professional practices and behaviors, the researcher's skill and experience is put to use.

Subjects were reminded to use incidents in which they were involved, or with which they were well acquainted. They were requested not to identify persons involved and not to indicate the names of schools or locales in which incidents occurred. Furthermore, subjects were requested to describe incidents involving only certified personnel in education. Participation in the study was entirely voluntary.

The procedures used to secure data were not uniform in two respects. One group, consisting of thirteen subjects, was not met directly by the researcher. The purpose, rationale, and procedures of the study were described and explained to the administrative head of the school. In turn, he carried out the request with his staff. Of the thirteen data returned, two indicated no knowledge of non-professional practices. However, each of the remaining eleven subjects described critical incidents as illustrated by the researcher to the administrator. Obviously, these same illustrations were used in turn by him since each of the respondents described behaviors similar to those of the illustrations.

The second procedural change concerned the question
posed to one of the four groups. Instead of requesting each subject to describe an actual incident of non-professional behavior, subjects were asked to define or to describe what they considered to be "non-professionalism in education." The data for this group tended to be more abstract as the subjects generalized about non-professional matters. Of the twenty-five data, five reported incidents drawn from actual experience.

Of the one hundred six incidents reported, all but two were used to build the initial category system. The classified data and the categories used to classify the data are reported in Table 1. Six of the categories were deductively established. These were drawn from indirect sources and represent the baseline for moving toward a theory of educational professionalism.

As the reported data were studied and analyzed, it became apparent that some were more relevant to education, teaching, and learning than were others. The researcher eventually classified the data on the criteria of whether the incident implicitly or explicitly related to education. If the reported incident explicitly related, it was classified as a "legitimate professional concern." If it implicitly related to education, it was classified as a "non-legitimate professional concern."
<table>
<thead>
<tr>
<th>Description of the Professional Category</th>
<th>Code</th>
<th>Legitimate Professional Concerns</th>
<th>Non-Legitimate Professional Concerns</th>
<th>Total Incidents</th>
<th>Total Per Cent</th>
</tr>
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<td></td>
<td></td>
<td>No. of Incidents</td>
<td>Per Cent of Incidents</td>
<td>No. of Incidents</td>
<td>Per Cent of Incidents</td>
</tr>
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<td>.9</td>
<td>8</td>
<td>7.7</td>
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<td>Perform standardized tasks</td>
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<td>0</td>
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<td>Accept colleagues as peers</td>
<td>E</td>
<td>6</td>
<td>5.8</td>
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<td>20.1</td>
</tr>
<tr>
<td>Competence as learned method</td>
<td>F</td>
<td>10</td>
<td>9.6</td>
<td>2</td>
<td>1.9</td>
</tr>
<tr>
<td>Control entry into the group</td>
<td>G</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Student considered as client</td>
<td>H</td>
<td>15</td>
<td>14.4</td>
<td>5</td>
<td>4.8</td>
</tr>
</tbody>
</table>
TABLE 1—Continued

<table>
<thead>
<tr>
<th>Description of the Professional Category</th>
<th>Code</th>
<th>Legitimate Professional Concerns</th>
<th>Non-Legitimate Professional Concerns</th>
<th>Total Incidents</th>
<th>Total Per Cent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service over personal gain</td>
<td>I</td>
<td>No. of Incidents</td>
<td>Per Cent of Incidents</td>
<td>No. of Incidents</td>
<td>Per Cent of Incidents</td>
</tr>
<tr>
<td></td>
<td>0</td>
<td>0</td>
<td>6</td>
<td>5.8</td>
<td>6</td>
</tr>
<tr>
<td>Autonomy in performing tasks</td>
<td>*aJ</td>
<td>10</td>
<td>9.3</td>
<td>8</td>
<td>7.7</td>
</tr>
<tr>
<td>Consider education an essential social service</td>
<td>*K</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Legal authority supports task performance</td>
<td>L</td>
<td>0</td>
<td>0</td>
<td>4</td>
<td>3.7</td>
</tr>
<tr>
<td>Totals</td>
<td>42</td>
<td>40.0</td>
<td>62</td>
<td>59.4</td>
<td>104^b</td>
</tr>
</tbody>
</table>

*These categories are from indirect sources. They represent characteristics of established professions and are identified with authoritative notions of professionalism.

aCategories E and J may be related. There seems to be considerable difficulty for subjects to accept colleagues whose roles differ; also teachers express concern for directing affairs that affect the classroom.

bThere were 106 subjects in this study. However, one reported no critical incident and wrote, "fear of those higher up," and one returned a blank card.
These two classes together with the six categories of professionalism extrapolated from indirect sources, served as the basic category system for handling the data. As data were analyzed, additional categories emerged until there were twelve.

The preliminary study indicated the following:

1. Less than one-half (42 out of 104) of the subjects described behaviors considered to be "legitimate professional concern."

2. Categories E and J have almost 43 per cent of the total incidents reported. These categories describe, (a) role relationships, and (b) the desire for decision-making authority to fulfill tasks.

3. While salary is frequently mentioned as a criterion of professionalism, 5.8 per cent, or six subjects, referred to it.

4. Legitimate professional concerns are most frequently found in category F (competence based on knowledge and skills), category H (basic concern for the student as client), and category J (professional autonomy). These are characteristics of professionalism also identified with established professional groups. Therefore, legitimate and non-legitimate professional concerns represent 47.7 per cent of the total number of incidents reported. Of these, 7.7 per cent are non-legitimate concerns. Based upon this study, four out of ten subjects describe legitimate professional concerns which also meet professional criteria.

5. Categories A, G, and K were three of the six categories extrapolated from indirect sources. However, none of the data can be classed into these three categories. It appears that the thinking of educators may not be in these directions unless specific attention is drawn to them. In this study, the re-
searcher made no special effort to identify these three characteristics.

A number of procedural problems or questions are clarified by this first study. It is clear that subsequent studies should adhere to and include the following:

1. The researcher should personally address each group from which data is to be secured. He should inform the group of the general nature of the problem, present the rationale for the study, and offer some illustrations of professional and non-professional behaviors. The examples should not be representative but should be over-statements which magnify the contrasts between professional and non-professional behaviors.

2. The researcher should request each participant to describe a single, real non-professional incident in which he was involved or with which he is well acquainted.

Classifying the data revealed a number of problems which necessitate further clarification and refinement. The distinction between "legitimate professional concerns" and "non-legitimate professional concerns" needed improvement. Categories B, C, D, and E also need clarification. They deal with role relationships in an organizational setting and the meaning here now lacks precision.

Based upon these findings and summarizations, there is limited empirical evidence which suggest relevance of three characteristics of professionalism to
education. Basic concern for the student by the practitioner reflects the characteristic of purpose in professionalism. The other two characteristics are elements of process in professionalism. These are, (1) professional autonomy in work, and (2) competence based upon knowledge and skills.

Knowledge and understanding gained from this preliminary study moved the theory building process toward an exploratory study. To be truly effective, the critical incident technique should be used in a cumulative way. Critical incidents represent only raw data and do not automatically provide solutions to problems (23). Refined classification of critical incident data occurs with repeated efforts to secure, classify, and analyze data. Because the process is inductive, there is considerable subjectiveness. To reduce this subjectiveness, researchers deliberately work at building a classification system that is stable and consistent. Critical incident objectivity is achieved by being able to place in defined categories additional critical incidents.

The confidence attached to definitions derived from critical incidents is relative. The more precise behavioral description one seeks, the greater the need to replicate procedures and to use additional incidents. According to Flanagan (23, p. 355), "The final product
are largely dependent on the skill and sophistication of the formulator."

The preliminary study, together with research reports using the critical incident technique (20, 23, 35, 57, 63), makes it clear that this technique must satisfy four criteria.

First, there must be an authenticity to the incidents reported. Subjects must report incidents honestly and accurately. But for subjects to do this, the researcher must define the task precisely and consistently. Later the researcher brings an internal validity to the reported incidents by his ability to interpret data.

Second, there must be an objectivity to the data reported. The incidents need to have a reliable quality. Because incidents are based on each subject's perception and because the incidents reflect direct experiences, there is a tendency to reduce distortion. In some respects, this makes critical incidents a more valid measure than some other types of measuring instruments.

Third, there must be a completeness of data. The assumption is that categories for classifying data include all possible categories. No new categories develop if additional critical incidents are reported. The classification system must be made up of categories which
are mutually exclusive. Each reported incident can be classified in only one category.

Fourth, there must be a representative quality to the data. Induced descriptions of behavior for a defined group must be based on data received from persons who function in roles and positions of that group.

An Exploratory Study Using Critical Incidents to Develop Theory

The Committee to Upgrade the Profession in Ohio was formed in the spring, 1966. By early summer, the committee was attempting to formulate its objectives for the 1966-67 school year. The committee decided to do the following things:

1. To disseminate, by writing and speaking, a point of view about educational professionalism.

2. To meet with any educational group in the state requesting the assistance of the committee and to aid them in whatever ways it could.

3. To develop several illustrative models to show local education groups how they might begin to put into operation their standards of practice or ethical codes.

4. To engage in empirical research which may lead toward a theory of educational professionalism.

The committee researcher, who is also the author of this study, engaged in an exploratory piece of
empirical research with groups attending the Ohio State University during the summer term, 1966 (42).

The critical incidents technique was used to secure data. Uniform and consistent procedures were applied to secure data. The following measures were undertaken to secure critical incidents. Groups were identified that were thought to represent a cross-section of certified personnel. While no detailed analysis was taken with any of the sample groups prior to collecting data, the researcher did make some assumptions about their composition. It was assumed that the sample was representative and appropriate to the study in terms of sex, roles, and positions. A sample size of one hundred was accepted as minimal for the purposes of the study.

Subjects were in four different courses or classes. Three classes were graduate courses while one was open to both graduates and undergraduates. These groups reported one hundred forty critical incidents from which one hundred thirty were used. Ten subjects had not yet worked in education.

Each of the four classes was personally contacted by the researcher. About fifteen minutes was spent identifying and describing problem areas in education. These included high staff turn-over, continued teacher shortages, lack of wholehearted public support for
education, and similar problems. It was suggested that an adequate theory of professionalism might make education more effective. The notion of professionalism was identified explicitly with educational effectiveness. It was also made clear that we are not able now to validly distinguish between what is and what is not professional. Furthermore, we cannot distinguish adequately between those who are professionals and those who are not until we evolve a theory of professionalism.

The group was then asked to assist in developing a theory by voluntarily making available critical incidents to the researcher. Specifically, subjects in each of the four groups were provided with blank 3" x 5" file cards. Each subject first was asked to record in the upper left hand corner of the card their sex, present age, role assignment, total years of service in education, and the position or organization level in which the subject worked. Figure 3 represents a 3" x 5" file card with these identifications. In this way, the researcher has a factual basis (1) to verify the representative quality of the data, and (2) to determine whether the data was from certified and experienced educators.

Subjects were then asked to follow these directions:

1. Try to recall and describe an incident, behavior, or practice, with which you are well acquainted, and which in your judgment is non-professional in education.
M or F indicates the sex of the subject describing a critical incident.

refers to the present age of the subject.

M 28 T 4 J

represents the organization level in which the subject's position is located; e.g., grades K-6 or 1-8 are "E," grades 7-9, 6-7, etc., are "J," grades 8-12, or 9-12 are "S," and district or central office positions are "O."

refers to the subject's total years of experience in education.

describes the role a subject has in education; "T" for teaching, "A" for administration, "S" for supportive roles like supervision, counseling, curriculum coordinating, etc., and "O" for other.

Fig. 3.—Critical Incident card showing form used to identify personal information about subject.
2. Make no reference by name to persons, schools, systems, areas, or locales.

3. Make sure that the incident which you describe as non-professional involves persons certified as educators.

4. Engage in this research only if you wish; no one needs to participate for any reason other than your own desire to do so.

It was explained to each group that the data from critical incidents will be used to develop categories and generalizations. It is hoped that eventually these might provide a theoretical basis for distinguishing between professional and non-professional behaviors in education.

A number of examples were then used to illustrate and give direction to the group's thinking. Examples were taken from critical incidents reported in the preliminary study. They included such incidents as: an administrator and teacher swore at a student, a teacher's grade for a student was changed without the teacher's knowledge, confidential information about a student was indiscriminately published, teachers arrived late to class—most days, an adviser of the National Honor Society accepted an unqualified student because of pressures from higher authority, and a teacher used class time to discuss highly personal and private matters. In the next ten to fifteen minutes participating subjects described a
critical incident which, for them, represented non-professional behavior in education. Meeting with and securing data from each group required about thirty minutes.

Analyses of the personal information for each subject showed no particular imbalance in terms of sex, role assignments, and organizational positions. Of the 129 subjects (one subject indicated no personal involvement or awareness of non-professional incidents), nineteen were in roles other than classroom teaching. Of these, four were in categories not described by the researcher. Organization level assignments showed that twelve subjects were in positions not described by the researcher. Several volunteered information that they were in college teaching. Table 2 shows the descriptive characteristics of participants in terms of three variables.

All 129 critical incidents were brought together and read. No attempt was made to classify the data in the first reading. After several days, each incident was read, analyzed, and separated as, (1) a legitimate professional concern, or (2) a non-legitimate professional concern. All data are considered "professional" because there is no valid empirical basis now for distinguishing between professional and non-professional incidents. Also each incident reflects a notion of professionalism as understood by the subject reporting it.
An inductive process like this may generate a more precise notion of professionalism. The preliminary study, the authoritative sources, and the professional concept for established professions all suggest a conceptual scheme of educational professionalism that is multidimensional. Together these support the idea that no single category represents or defines professionalism.

TABLE 2

DESCRIPTIVE CHARACTERISTICS OF PARTICIPANTS IN AN EXPLORATORY STUDY USING CRITICAL INCIDENTS TO DEVELOP A THEORY OF EDUCATIONAL PROFESSIONALISM

<table>
<thead>
<tr>
<th>Sex</th>
<th>Role Assignment</th>
<th>Organizational Level Assignment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Male</td>
<td>69</td>
<td></td>
</tr>
<tr>
<td>Female</td>
<td>60</td>
<td></td>
</tr>
<tr>
<td>Teaching</td>
<td>110</td>
<td></td>
</tr>
<tr>
<td>Administration</td>
<td>12</td>
<td></td>
</tr>
<tr>
<td>Supportive</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Elementary</td>
<td>65</td>
<td></td>
</tr>
<tr>
<td>Junior High</td>
<td>19</td>
<td></td>
</tr>
<tr>
<td>Senior High</td>
<td>33</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>12</td>
<td></td>
</tr>
<tr>
<td>Totals</td>
<td>129*</td>
<td>129</td>
</tr>
</tbody>
</table>

*One subject reported, "As to this point in my teaching experience I have not encountered anything that I would classify and identify as non-professional."
The distinction between legitimate professional concerns and non-legitimate professional concerns is based upon the explicitness with which an incident relates to categories derived from non-empirical sources. If an incident relates explicitly, it is classified a legitimate professional concern. Otherwise, it is classified as non-legitimate. This technique encourages a conscious effort to hold inferences to a minimum.

After sorting the 129 data into two major classes, all incidents were read for a third time and categorized. The initial matrix was seven by two, with seven categories describing characteristics of professionalism drawn from non-empirical sources. Six categories emerged from groupings of the data. During the third reading of the data, seven critical incidents shifted from non-legitimate to legitimate and these were distributed over five different categories. Table 3 shows the distribution of data for this exploratory study. It reveals a number of generalizations which are examined next.

Seven categories built from non-empirical or indirect sources of professionalism contain fifty incidents. Of these, forty-seven are classed as legitimate professional concerns. However, this was expected since data were initially sorted into legitimate and non-legitimate classes on the basis of whether an incident
<table>
<thead>
<tr>
<th>Professional Characteristics</th>
<th>Code</th>
<th>No. of Incidents</th>
<th>Per Cent of Incidents</th>
<th>Legitimate Professional Concerns</th>
<th>Non-Legitimate Professional Concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No. of Incidents</td>
<td>Per Cent of Incidents</td>
</tr>
<tr>
<td>Acceptance of colleagues as peers</td>
<td>A</td>
<td>48</td>
<td>37</td>
<td>12</td>
<td>9</td>
</tr>
<tr>
<td>Autonomy in one's work</td>
<td>B</td>
<td>7</td>
<td>5</td>
<td>7</td>
<td>5</td>
</tr>
<tr>
<td>Awareness and use of research for improved performance</td>
<td>C</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Client's welfare is primary</td>
<td>E</td>
<td>15</td>
<td>12</td>
<td>14</td>
<td>11</td>
</tr>
<tr>
<td>Competence based on knowledge, skill and methodology</td>
<td>F</td>
<td>11</td>
<td>9</td>
<td>11</td>
<td>9</td>
</tr>
<tr>
<td>Group sanctioned and imposed discipline on membership</td>
<td>G</td>
<td>7</td>
<td>5</td>
<td>6</td>
<td>5</td>
</tr>
<tr>
<td>Nature of assigned tasks</td>
<td>H</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Need for external authority in task performance</td>
<td>I</td>
<td>15</td>
<td>12</td>
<td>1</td>
<td>1</td>
</tr>
</tbody>
</table>

TABLE 3

CLASSIFIED CRITICAL INCIDENTS DATA FROM THE EXPLORATORY STUDY TO DEVELOP A THEORY OF PROFESSIONALISM
<table>
<thead>
<tr>
<th>Professional Characteristics</th>
<th>Code</th>
<th>No. of Incidents</th>
<th>Per Cent of Incidents</th>
<th>Legitimate Professional Concerns</th>
<th>No. of Incidents</th>
<th>Per Cent of Incidents</th>
<th>Non-Legitimate Professional Concerns</th>
<th>No. of Incidents</th>
<th>Per Cent of Incidents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notion that service to others supersedes personal gain</td>
<td>I</td>
<td>7</td>
<td>5</td>
<td>7</td>
<td>5</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Personal conduct and appearance</td>
<td>J</td>
<td>10</td>
<td>8</td>
<td>6</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recognition that practitioner has control over client</td>
<td>K</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Standardized approach in task performance</td>
<td>L</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Strict adherence to rules and regulations</td>
<td>M</td>
<td>3</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Totals</td>
<td></td>
<td>129</td>
<td>101&lt;sup&gt;a&lt;/sup&gt;</td>
<td>68</td>
<td>54&lt;sup&gt;a&lt;/sup&gt;</td>
<td>61</td>
<td>48&lt;sup&gt;a&lt;/sup&gt;</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<sup>*</sup>Categories marked with an asterisk represent characteristics often associated with professions. Several appear similar in substance. A variation of the same essential characteristic has been used to avoid the need for making inferences for some of the reported incidents.

<sup>a</sup>All percentages are given in whole numbers. This results in some combinations of percentages totaling over 100 or less than 100.
related to one of these seven categories. Of the sixty-eight incidents classed as legitimate professional concerns, forty-seven are in categories thought essential to professionalism.

This is 36.4 per cent of the total sample reporting legitimate educational concerns which are also identified with professional characteristics. Inversely, it means almost two out of three subjects described incidents which are non-legitimate and are not associated with professional characteristics as defined for this study.

If we account for all incidents classed as legitimate professional concerns, we find that 54 per cent of the subjects reported incidents significant to matters of professionalism. A more cautious interpretation of the data reveals a sizable number of incidents, forty-eight, indicating difficulties with interpersonal relations. While many are petty, personal gripes, their number is such that they suggest symptoms of authority relationship problems in educational organization.

If we use the matrix in Table 3 to conceptualize professionalism through purpose, process, and group, we discover that less than one in five (categories D, I, K) subjects reports incidents relating to purpose. While 52 per cent of the subjects report incidents reflecting
group relationships, 37 per cent of these occur because of interpersonal frictions. Only one in seven, or 15 per cent of the subjects, describes incidents along this dimension.

This exploratory study was designed to fulfill two objectives. One, the critical incident technique was used to secure data which, secondly, might be categorized in ways that prove useful for conceptualizing a theory of professionalism.

Second, the data must be handled so as to put in better perspective the relationship of professionalism to education. However, several problems have been identified which warrant concern.

The first problem is one of procedure and logic. In two empirical studies, thus far, the data has been processed by sorting it first into legitimate professional concerns and non-legitimate professional concerns. The criteria used to differentiate between these concerns was whether an incident related explicitly or implicitly to professional characteristics. However, these characteristics and categories are identified a priori from non-empirical sources. Criteria developed in this way are not sufficiently complete or universal to absorb all reported data. Due to this limitation, the researcher enlarged the category system in an attempt to accommodate
all data. This seems like an artificial method for generating meaning out of the category system. Little or no meaning has been brought to the concept of professionalism by this approach.

A new criterion needs to be developed for sorting the raw data initially. This criterion must be a concept basic and integral to education. It should be so generic to education that every critical incident can be quickly and easily classified as either a legitimate or a non-legitimate professional concern.

The second problem is in the development of the category system. In both studies there have been heavy loadings in the category of "acceptance of colleagues as peers" and in the category describing the "nature of educational tasks." While seeming to be different, a close scrutiny of both categories indicates interpersonal relations as basic to both. The preliminary study showed these two categories comprising 42 per cent of all the reported data. In the exploratory study, these categories embraced 49 per cent of the data.

Group relations in education seem quite different from those in established professions. It appears that organization and authority factors affect relationships in education. To deal with group relations as an aspect of professionalism, legal, authoritative, and hierarchical
arrangements in education need more precise identification. It is inadequate to refer to the category simply as "interpersonal relationships" or "acceptance of one's colleagues as peers." We need to know whether these frictions occur because of personality factors or for other reasons. Perhaps antagonisms are directed toward the system. Where authority and hierarchy have a legal basis, how much competence or expertise is possible?

These questions indicate the need to develop categories for group relationships which are more specific. Data which are associated with interpersonal relationships must be studied and analyzed for further meanings. As meanings become clearer, appropriate categories should evolve. The educational social system may need to devise institutional arrangements and create group relationships which are uniquely suited to it. The concept of educational professionalism might well be a variation of, rather than being a duplication from, established professions.

An Attempt to Evolve a Theory of Professionalism

September, 1966, marks the beginning of the last phase of this effort to build a theory of professionalism. When it closed in May, 1967, over fourteen consecutive months had been committed to the task.
The exploratory study conducted during the summer, 1966, supported the notion that a deliberate effort toward evolving a theory was possible. The critical incident technique was shown to be an effective instrument for, (1) gathering large numbers of data, and (2) for developing categories from which theory could be synthesized. A number of procedural problems were encountered, but these were corrected and no serious difficulty was anticipated in securing at least five hundred critical incidents for this next study.

The Committee to Upgrade the Profession decided to go throughout Ohio and present an explanation of the committee's view of professionalism. A series of scheduled speaking engagements unfolded as various educational groups and associations contacted the committee and its chairman. Before the school year, 1966-67, was over, the entire committee or part of the committee met on at least twenty separate occasions.

On eleven occasions, there was a formal presentation made for a particular view of professionalism. In ten of these instances, Professor Frymier made the presentation. The researcher handled the presentation for one occasion. The format and procedures for this phase of the committee's work was uniform and consistent.

The talk on professionalism was not abstract. It
was operational in two respects. First, it was a systematic set of ideas about professionalism suggesting how educators might make themselves and the system more effective. Second, it offered those in attendance the opportunity to participate in research aimed at clarifying the meaning of professionalism in education. Specifically, the research meant receiving critical incidents data from those in attendance. The data are now used in this study to evolve an operational theory of effectiveness based on professionalism.

The talk on professionalism with each group was essentially the same. While not read to each group, the speech always made use of notions central to Frymier's view of professionalism. On the one occasion when the researcher talked about professionalism to a particular group, he also used this viewpoint of professionalism. The talks were based on ideas set forth in an article published in *Ohio Schools*, September, 1966 (27). The article is reproduced for this study in the appendix.

The talk on professionalism was related to this research effort in this fashion. Each person in each group to which the talk was presented was assumed to hold certain ideas about professionalism before they heard the speech. The function of the speech was then an enlargement of each person's perception of professionalism. The
meanings and the values which might be attached to any particular part of the speech were a matter of personal perception.

The talk required about forty minutes. Toward the end of the speech, Dr. Frymier would remind the group of educators that an operational theory of professionalism required the thinking of educators. He would then request the group to listen to the researcher who explained the procedural details.

The researcher talked to the group for about ten minutes. There were five basic parts to this presentation:

1. He reminded the group that our motive for professional concern was not status or prestige, but that of making educators and education more effective.

2. He reminded the group that at present there are many different views of professionalism in education. None of these is more valid than any other. Furthermore, none of them has an empirical base. It means that at the present time, we do not know what is and what is not professional in education.

3. He explained that the talk which they had just heard was one point of view about professionalism. No one here was obligated to accept or reject it, either in total or in part.

4. He reminded the group that any concept of professionalism which will function for educators must reflect ideas and thinking from the educational group. Without this, an operational theory of professionalism is not likely.
5. He suggested participation by the group in this research effort in order to provide an empirical basis for our educational concerns.

Procedures for securing the critical incident data were next outlined. The group was informed that each person would receive a blank 3" x 5" file card. The card was to be used in accordance with the following directions:

1. Each subject was to recall and describe a single incident, situation, practice, or behavior which in his judgment was non-professional.

2. The incident was to have involved the subject, or was to have been a situation or practice about which the subject was very well informed.

3. The incident must involve a person who is certified as an educator by state law.

4. Subjects were asked not to reveal names, schools, systems, or locales when describing a critical incident.

5. Subjects were reminded that they were not obligated to participate. A subject was to provide such data only if he voluntarily wished.

The researcher used an enlarged file card, as shown in Figure 3, p. 91, to show how each participant was to provide the personal information requested. Blank file cards were then distributed, and most groups completed and returned these within ten minutes. The entire experience, including the talk, took about one hour for each group.
In the course of nine months, data was secured from eleven different educational groups. It is estimated that various committee members met with about fifteen hundred persons on these occasions. The researcher personally secured all data used for this study. Generally, 50 to 60 per cent of those present participated. Information explaining how much data was secured, when it was secured, and where, is shown in Table 4.

Analysis of personal information shown on the critical incident cards reveals no peculiar distribution in the sample for sex, role assignments, and positional levels in organization. This information is shown in Table 5.

The fundamental purpose of the study is theory building. The theory is based upon two kinds of sources. One kind is indirect and includes, (1) authoritative notions of professionalism, and (2) codes and standards associated with established professional groups. The other source is direct. It is direct because it is derived empirically from persons in the group for which theory is to be developed.

Procedures Used with 750 Critical Incident Data

The researcher brought together all of the critical incident cards for initial treatment of the data. Over a
<table>
<thead>
<tr>
<th>Date</th>
<th>Educational Unit*</th>
<th>Location</th>
<th>Quantity of Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sept. 6, 1966</td>
<td>Vermillion Local School District</td>
<td>Erie County, Ohio</td>
<td>53</td>
</tr>
<tr>
<td>Sept. 6, 1966</td>
<td>Tuscarawas County School System</td>
<td>Tuscarawas County, Ohio</td>
<td>107</td>
</tr>
<tr>
<td>Sept. 23, 1966</td>
<td>Champaign County School System</td>
<td>Champaign County, Ohio</td>
<td>54</td>
</tr>
<tr>
<td>Sept. 30, 1966</td>
<td>Preble County School System</td>
<td>Preble County, Ohio</td>
<td>159</td>
</tr>
<tr>
<td>Oct. 5, 1966</td>
<td>Lorain County School System</td>
<td>Lorain County, Ohio</td>
<td>112</td>
</tr>
<tr>
<td>April 4, 1967</td>
<td>Wyoming City School District</td>
<td>Hamilton County, Ohio</td>
<td>19</td>
</tr>
<tr>
<td>April 5, 1967</td>
<td>North Canton City School District</td>
<td>Stark County, Ohio</td>
<td>14</td>
</tr>
<tr>
<td>April 24, 1967</td>
<td>New Carlisle-Bethel Local School District</td>
<td>Clark County, Ohio</td>
<td>60</td>
</tr>
<tr>
<td>April 24, 1967</td>
<td>Western Ohio Education Association</td>
<td>Montgomery County, Ohio</td>
<td>80</td>
</tr>
<tr>
<td>May 4, 1967</td>
<td>Avon Local School District</td>
<td>Lorain County, Ohio</td>
<td>10</td>
</tr>
<tr>
<td>May 4, 1967</td>
<td>Youngstown City School District</td>
<td>Mahoning County, Ohio</td>
<td>82</td>
</tr>
</tbody>
</table>

Total 750

*These eleven units or groups represent: 3 local school districts, 4 county school systems, 2 suburban city school districts, 1 large city school district, and 1 regional educational group.
TABLE 5

DESCRIPTIONS OF SEX, ROLES, AND ORGANIZATIONAL POSITIONS FOR SUBJECTS REPORTING CRITICAL INCIDENTS

<table>
<thead>
<tr>
<th>Sex</th>
<th>Role Assignment</th>
<th>Position in Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>Male</td>
<td>289</td>
<td></td>
</tr>
<tr>
<td>Female</td>
<td>461</td>
<td></td>
</tr>
<tr>
<td>Teaching</td>
<td></td>
<td>625</td>
</tr>
<tr>
<td>Admin</td>
<td>71</td>
<td></td>
</tr>
<tr>
<td>aSupportive</td>
<td>18</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>19</td>
<td></td>
</tr>
<tr>
<td>aNot indicated</td>
<td>17</td>
<td></td>
</tr>
<tr>
<td>Elementary</td>
<td></td>
<td>311</td>
</tr>
<tr>
<td>Junior high</td>
<td></td>
<td>137</td>
</tr>
<tr>
<td>Senior high</td>
<td></td>
<td>242</td>
</tr>
<tr>
<td>Other</td>
<td>43</td>
<td></td>
</tr>
<tr>
<td>aNot indicated</td>
<td>17</td>
<td></td>
</tr>
<tr>
<td>Totals</td>
<td>750</td>
<td>750</td>
</tr>
</tbody>
</table>

*aThe total data collected were 762. Eight subjects did not report a critical incident describing a non-professional incident, practice, or behavior. Two other subjects reported critical incidents which they suggested be used in behalf of four other educators. Therefore, 762 cards were collected, but 750 critical incidents were reported and used.

*aSupportive roles include guidance counselors, curriculum coordinators, curriculum directors, supervisors, attendance personnel, audio-visual coordinators and the like. If we use the military model of line and staff, then supportive roles are basically staff.
three-day period, each critical incident was read and studied. No effort was made to sort or classify data. After all cards had been read and studied, a few days elapsed before the initial sorting commenced.

One of the problems identified in the two earlier studies was with the criterion used for distinguishing legitimate professional concerns from non-legitimate professional concerns. In this third study, a legitimate professional concern is defined as an incident, behavior, or practice which directly bears upon, sustains, or nurtures the basic purpose of education which is helping children learn. A non-legitimate professional concern is an incident, behavior, or practice which does not directly bear upon, sustain, or nurture the basic purpose of education which is helping children learn.

Using this criterion, each incident was again read and classified as an LPC (legitimate professional concern) or as an NLPC (non-legitimate professional concern). Following this classification process, which took place over a three-day period, data classed as NLPC's were read and studied for a third time. Building a category system began with critical incidents classed as NLPC's. There was no need to use indirect sources to formulate categories for NLPC's. The literature does not typically treat questions of professionalism in a negative way.
After the NLPC's were grouped into nine separate and discrete categories, the researcher applied the same treatment to data classed as LPC's. These data were grouped into eight categories.

However, six of the eight categories are derived from authoritative sources of professionalism. Variations of these six are also found in codes or standards of practice for established professions. By handling and working with these empirical data, a total of eleven categories emerged from direct sources. These define and describe behaviors relevant to professionalism. It required a week to treat all the data in this manner. Table 6 shows the classified data for seven hundred fifty critical incidents.

Flanagan (23, p. 344) suggests submitting tentative categories to others in order to determine their validity and reliability. His alternative suggestion is to repeat the process of category building three to five times.

Both suggestions have been considered by the researcher. He is also alert to the fact that a theory is only as valid as the categories from which it is derived. Repeating the process five times or so was rejected. The researcher felt that the data might become contaminated by memory or recall. Confidence in a category system is
<table>
<thead>
<tr>
<th>Professional Characteristic</th>
<th>Code</th>
<th>No. of CI</th>
<th>% of CI</th>
<th>LPC</th>
<th>NLPC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Membership in educational organizations</td>
<td>1.1</td>
<td>32</td>
<td>4.3</td>
<td>32</td>
<td></td>
</tr>
<tr>
<td>Salary determines status</td>
<td>1.2</td>
<td>9</td>
<td>1.2</td>
<td>9</td>
<td></td>
</tr>
<tr>
<td>Educator's &quot;second&quot; (outside) job</td>
<td>1.3</td>
<td>4</td>
<td>0.5</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Nature of educational tasks</td>
<td>1.4</td>
<td>68</td>
<td>9.0</td>
<td>68</td>
<td></td>
</tr>
<tr>
<td>Adherence to rules-regulations</td>
<td>1.5</td>
<td>20</td>
<td>2.7</td>
<td>20</td>
<td></td>
</tr>
<tr>
<td>Service instead of personal-gain</td>
<td>1.6</td>
<td>5</td>
<td>0.7</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>Undefined interpersonal frictions</td>
<td>1.7</td>
<td>100</td>
<td>13.3</td>
<td>100</td>
<td></td>
</tr>
<tr>
<td>Organization hinders educational purpose</td>
<td>1.8</td>
<td>47</td>
<td>6.7</td>
<td>47</td>
<td></td>
</tr>
<tr>
<td>Need for more legal support</td>
<td>1.9</td>
<td>51</td>
<td>6.8</td>
<td>51</td>
<td></td>
</tr>
<tr>
<td>Education is essential social service</td>
<td>2.1</td>
<td>13</td>
<td>1.7</td>
<td>13</td>
<td>1.7</td>
</tr>
<tr>
<td>Client's welfare is primary</td>
<td>2.2</td>
<td>125</td>
<td>16.6</td>
<td>125</td>
<td>16.6</td>
</tr>
<tr>
<td>Professional Characteristic</td>
<td>Code</td>
<td>No. of CI&lt;sup&gt;a&lt;/sup&gt;</td>
<td>% of CI</td>
<td>LPC&lt;sup&gt;b&lt;/sup&gt; CI</td>
<td>%</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>------</td>
<td>-----------------------</td>
<td>---------</td>
<td>-------------------</td>
<td>---</td>
</tr>
<tr>
<td>Autonomy in work</td>
<td>2.3</td>
<td>8</td>
<td>1.1</td>
<td>8</td>
<td>1.1</td>
</tr>
<tr>
<td>Methodology is learned</td>
<td>2.4</td>
<td>35</td>
<td>4.6</td>
<td>35</td>
<td>4.6</td>
</tr>
<tr>
<td>Practice based on research</td>
<td>2.5</td>
<td>64</td>
<td>8.5</td>
<td>64</td>
<td>8.5</td>
</tr>
<tr>
<td>Conduct based upon a code</td>
<td>2.6</td>
<td>120</td>
<td>16.0</td>
<td>120</td>
<td>16.0</td>
</tr>
<tr>
<td>Undefined misbehaviors</td>
<td>2.7</td>
<td>48</td>
<td>6.4</td>
<td>48</td>
<td>6.4</td>
</tr>
<tr>
<td>Group imposed discipline</td>
<td>2.8</td>
<td>1</td>
<td>.1</td>
<td>1</td>
<td>.1</td>
</tr>
<tr>
<td>Totals</td>
<td></td>
<td>750</td>
<td>100.2</td>
<td>414</td>
<td>55.0</td>
</tr>
</tbody>
</table>

*Because we do not know empirically what is professional, we assume that in each reported critical incident is a notion of professionalism as conceived by the respondent.

<sup>a</sup>Critical Incident.

<sup>b</sup>Legitimate Professional Concerns.

<sup>c</sup>Non-Legitimate Professional Concerns.
developed over time by scrutinizing procedures used in conjunction with ever-increasing quantities of data. This particular system is the outgrowth of work over an extended period of time. The present category system evolved from four earlier systems which had been progressively modified.

Validating the Category System

The task of validating the category system followed. Rather than rely upon replication or upon others to develop a category system, the researcher decided upon a combination of inter-observer and intra-observer checks for testing the validity of the categories.

Two of the researcher's colleagues were chosen to handle the data as it was treated by the researcher. Both are graduate students in education. One has personal interest in the area of professionalism, while the other indicates no special interest. For this task, each is considered an observer and a checker of the data. The researcher provided each with, (1) a set of definitions and descriptions of the seventeen category system, and (2) a sheet of detailed instructions for classifying and categorizing the critical incidents data. A copy of each is in the appendix. In addition, the researcher spent one hour with each checker clarifying definitions and directions.
The data was handled first by one checker and then by the other. Each was instructed to read, study, classify, and categorize every critical incident in accordance with prescribed directions. Slightly more than one week was needed for each observer to process the data. This validation procedure was based upon all the data being handled four different times. Each of these occasions is viewed as a check, and the person engaging in the task is identified as the checker. The researcher treated the data first and he is referred to as Checker I. Checker II is one of the observers and he handled the data next. Checker III, the other observer, treated the data for the third time. When the researcher treats the data for a fourth time, he is functioning as Checker IV.

This validating process is not only used to determine the stability and integrity of the category system, but it also tests the researcher's skill and understanding for handling critical incident data with which to build theory. Therefore, the adequacy of the theory is dependent upon a category system using effective procedures and sound logic.

The findings for the study are examined and analyzed in the following chapter.
<table>
<thead>
<tr>
<th>Code</th>
<th>Description of Specific Categories of Behaviors</th>
<th>Groupings of Specific Categories</th>
<th>Differences Between</th>
<th>Range</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>I  II  III  IV</td>
<td>I-III  I-IV</td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>Membership - involvement in educational groups and activities</td>
<td>1.1, 1.2, 1.3, 1.4 and 1.5 represent categories</td>
<td>32 32 34 33</td>
<td>0 2 1 2</td>
</tr>
<tr>
<td>1.2</td>
<td>Salary</td>
<td>built upon certain conditions and prescriptions of operation</td>
<td>9 9 9 10</td>
<td>0 0 1 0</td>
</tr>
<tr>
<td>1.3</td>
<td>Relationship of an educator's second job to education</td>
<td>4 4 4 4</td>
<td>0 0 0 0</td>
<td>0-0</td>
</tr>
<tr>
<td>1.4</td>
<td>Nature of tasks</td>
<td>68 70 70 67</td>
<td>2 2 1 0</td>
<td>2-0</td>
</tr>
<tr>
<td>1.5</td>
<td>Bureaucratic principles</td>
<td>20 18 17 21</td>
<td>2 3 1 1</td>
<td>3-1</td>
</tr>
<tr>
<td>1.6</td>
<td>Service supersedes personal gain</td>
<td>1.6 reflects ideas and attitudes</td>
<td>5 5 14 3</td>
<td>0 9 2 9</td>
</tr>
</tbody>
</table>
TABLE 7—Continued

<table>
<thead>
<tr>
<th>Code</th>
<th>Description of Specific Categories of Behaviors</th>
<th>Groupings of Specific Categories</th>
<th>Sorting By</th>
<th>Differences Between</th>
<th>Range</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>I II III IV</td>
<td>I- I- III I- IV III</td>
<td></td>
</tr>
<tr>
<td>1.7</td>
<td>Interpersonal structures</td>
<td>1.7, 1.8, 1.9 100 115 103 107 15 3 7 12 15-3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.8</td>
<td>Organizational structures</td>
<td>1.8 categories in which behavior is based on relationships 47 48 50 48 1 3 1 2 3-1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.9</td>
<td>Legal authority structures</td>
<td>1.9 51 52 50 51 1 1 0 2 2-0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Totals</td>
<td>336 353 351 344 21 23 14 28</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Non-legitimate professional concern, NLPC, is by definition a behavior, practice, or incident which does not directly bear upon or sustain the basic purpose of education; the basic purpose of education is helping children learn.

Sorting by - "I" refers to researcher's first sorting of the data, while "IV" is the researcher sorting again after data have been classified by "II" (checker II) and "III" (checker III).

Range - refers to the maximum-minimum variance resulting within a given category from sorting.
<table>
<thead>
<tr>
<th>Code</th>
<th>Description of Specific Categories of Behaviors</th>
<th>Groupings of Specific Categories</th>
<th>Sorting By</th>
<th>Differences Between</th>
<th>Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1</td>
<td>Education is an essential social service</td>
<td>2.1, 2.2 are categories based on purpose</td>
<td>13 13 10 0</td>
<td>0 3 3 3</td>
<td>3-0</td>
</tr>
<tr>
<td>2.2</td>
<td>Client's welfare is primary</td>
<td></td>
<td>125 120 117 131</td>
<td>5 8 6 3</td>
<td>8-3</td>
</tr>
<tr>
<td>2.3</td>
<td>Autonomy in work</td>
<td>2.3, 2.4, 2.5 are categories describing process</td>
<td>8 7 16 9</td>
<td>1 8 1 9</td>
<td>9-1</td>
</tr>
<tr>
<td>2.4</td>
<td>Competence is based on a methodology</td>
<td></td>
<td>35 33 30 33</td>
<td>2 5 2 3</td>
<td>5-2</td>
</tr>
<tr>
<td>2.5</td>
<td>Practices are based on research and knowledge</td>
<td></td>
<td>64 54 50 53</td>
<td>10 14 11 4</td>
<td>14-4</td>
</tr>
</tbody>
</table>
## TABLE 8—Continued

<table>
<thead>
<tr>
<th>Code</th>
<th>Description of Specific Categories of Behaviors</th>
<th>Groupings of Specific Categories</th>
<th>Sorting By</th>
<th>Differences Between</th>
<th>Range</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>I  II  III  IV</td>
<td>I- II  III  IV  I- IV  III</td>
<td></td>
</tr>
<tr>
<td>2.6</td>
<td>Has a moral and ethical code of conduct</td>
<td>2.6, 2.7, 2.8 are categories</td>
<td>120 111 114 126</td>
<td>9  6  6  3</td>
<td>9-3</td>
</tr>
<tr>
<td>2.7</td>
<td>Has a notion on conception of misconduct</td>
<td>referring to the groups</td>
<td>48 53 58 41</td>
<td>5  10  7  5</td>
<td>10-5</td>
</tr>
<tr>
<td></td>
<td></td>
<td>called education</td>
<td>1  6  4  3</td>
<td>5  3  2  2</td>
<td>3-2</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Totals</td>
<td>414 397 399 406</td>
<td>37 57 38 32</td>
<td></td>
</tr>
</tbody>
</table>

*Legitimate professional concern, LPC, is by definition a behavior, practice or incident which directly bears upon, sustains, or nurtures the basic purpose of education. The basic purpose of education is helping children learn.

Sorting by - "I" refers to researcher's first sorting of the data while "IV" is the researcher sorting again after data have been classified by "II" (checker II) and "III" (checker III).

Range - refers to the maximum-minimum variance resulting within a given category from sorting.
CHAPTER IV

THE FINDINGS

Scheme for Analyzing Procedures and Data

The findings for this study are analyzed two ways. First, the procedures used to secure the critical incident data are examined and analyzed. Second, there are detailed and descriptive analyses of the findings as generated by the study. In Chapter III, attention was given for the need to adhere to certain conditions when using the critical incident technique. Before analyzing the data, the critical incident procedures are examined to determine whether procedural criteria have been satisfactorily met.

Examination of Critical Incident Technique Criteria

The first criteria is to use data or incidents which are authentic. Critical incident data are authentic if the incidents are reported honestly and accurately by subjects. This condition was met by the following procedures. Subjects were explicitly told that they were listening to one viewpoint of educational professionalism.
They were asked to consider it but were not compelled to accept it. Participation in the study was also voluntary. This condition was expressly stated to each group prior to the distribution of blank file cards on which incidents were reported.

Authenticity of the reported data depends upon the researcher's ability to define the task precisely and consistently. These conditions were met by presenting the same notion of professionalism to each group reporting incidents. This view of professionalism is set forth in the article appended to the study. Each time, the task was defined as a need growing out of an assumption that there is no adequate operational theory of professionalism. The lack of precise meaning for professionalism was also made evident to each group. Individual members in each educational group were invited to participate so as to provide the study with operational significance.

Adherence to these procedures resulted in a total of 762 critical incident cards. Of these, twelve were not considered authentic by the researcher. These were discarded and are not part of the data reported for this study. The data used for this study are considered valid. They represent authentically reported incidents because appropriate procedures were followed.
The second criteria is in the objectivity of the reported data. The objectivity of the incidents is based upon each reported incident being a perception of each subject. With each group, the researcher specified that the reported incidents be a part of the subject's direct experience. This was qualified to the extent that some data represent incidents about which the respondent was well informed but were incidents in which the subject was not directly involved. This condition was imposed by the nature of the request. Subjects were asked to report incidents which they considered non-professional. It is reasonable to assume that subjects will report authentic incidents if offered a "psychological alternative" to that of identifying themselves overtly with non-professional practices. The data used for this study are reliable. They are reliable because the incidents are based on each subject's perception of non-professional behavior.

The third criteria is in the completeness of the data. Grouping the incidents into legitimate professional concerns (LPC) and non-legitimate professional concerns (NLPC) facilitated the classification task. All reported incidents were classified initially in this manner. The seventeen categories are, in turn, combined into six major groupings. Three hundred incidents classed
as NLPC were processed before all nine categories evolved. By comparison, all eight categories of the LPC class evolved from the processing of one hundred critical incidents. After processing 436 incidents, no new categories were necessary. The remaining 314 incidents were categorized within the existing seventeen category system. The processing of the critical incidents in this way indicates the categories in the system to be mutually exclusive. Therefore, the data have a completeness which supports the third criteria.

The fourth criteria requires the data to have a representative quality. The reported incidents used for this study are all from subjects certified as educators by the State of Ohio. All data used are reported by subjects who worked in public school systems for the year 1966-67. This information was provided by each subject in the upper left hand corner of the incident card. This is shown in Figure 3, page 91. The representative quality of the data was verified by checking this information for each reported incident.

The population for this study is an incidental and non-probability sample. All subjects reporting incidents for the study are anonymous. No significance is attached to particular characteristics in the sample. Characteristics shown in Table 5, page 108, identify the sample in
terms of sex, role, and organizational position. This was done to protect against a sample which may have been extremely imbalanced. The data from Table 5 indicate that the sample is not imbalanced in its distribution of sex, educational role, and organization positions.

The 750 reported incidents used in this study represent data which are valid, reliable, complete, and characteristic of the group being investigated. We now turn to analyses of the data.

A Quantitative Description of the Findings

Table 6, page 111, shows data upon which the following descriptive statements are based.

This sample shows that 55.0 per cent of those reporting critical incidents describe behaviors, practices and ideas which "directly bear upon the way children learn." By contrast slightly less than half of those reporting incidents failed to describe a situation, practice or behavior which, by definition, is a legitimate professional concern in education.

This study indicates that the concept of professionalism might be constructed around three sub-notions. These are ideas of purpose, elements of process, and group relations. From Tables 6, 7, and 8, we know that categories 2.1, 2.2, and 1.6 are related to purpose.
These three categories represent 19 per cent of all reported incidents. Less than one in five of the subjects in this study report incidents dealing with matters of educational purpose.

Continuing, Tables 6, 7, and 8 show categories 2.3, 2.4, 2.5, and 1.4 as descriptive of process characteristics. Together, these four categories represent 23.2 per cent of the reported incidents. Less than one in four of the subjects in this study report incidents essential to matters of educational process.

Again, Tables 6, 7, and 8 show categories 2.6, 2.7, and 2.8 as characteristic of group relations appropriate to educational professionalism. These categories represent 22.5 per cent of the reported incidents. Less than one in four identifies a behavior or practice dealing with this facet of professionalism.

By combining categories representing purpose, process and group, we secure a total of 64.7 per cent. Almost two of every three subjects in this study report incidents which, when combined, suggest the syndrome of professionalism.

By definition, category 2.7 does not readily relate to professionalism. Behaviors described by this category are classified in a general way, and reflect notions of acceptable-unacceptable, appropriate-inappro-
appropriate conduct as perceived by those in education. It is classed as a category dealing with legitimate professional concerns because such incidents do directly affect the way children learn. On the other hand, category 1.6 describes incidents which are not legitimate concerns of professionalism in education. With some inference, category 1.6 can be associated with other categories classed as LPC's. Therefore, by including 1.6 with categories 2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.8, and excluding category 2.7, we secure a description of reported incidents which closely corresponds to the professional concept found in authoritative sources and in established professional groups. These categories represent 49.3 per cent of all reported data. Almost one-half of all subjects report data which are related to the professional concept as derived from indirect sources.

A considerable portion of the data describe various situations which originate from interpersonal relations and structures. These are present in data classed as LPC's and as NLPC's. They include categories 1.7, 1.8, 1.9, 2.6, 2.7, and 2.8. Together these data represent 49.3 per cent of the reported incidents or one-half of all subjects in the study describe incidents involving group relations.

Earlier it was noted that category 2.7, which
describes misbehaviors arising from interpersonal relations, is associated with LPC's by general rather than specific definition. If this category is combined with 1.7, 1.8, and 1.9, we group data that depict interpersonal relations but which are least likely to be classed as legitimate professional concerns. These four categories represent 33.2 per cent of the reported incidents. One in three of all subjects reports interpersonal practices which, by definition, are basically non-legitimate professional involvements in education.

Category 1.2 prescribes salary or income level as a criterion measure of professionalism in education. The category system classifies it as a non-legitimate professional concern. In the study, 1.2 per cent of the sample, or nine subjects, report income as a measure of professionalism.

Category 1.1 suggests membership and involvement in existing educational associations as a standard of professionalism. Membership and/or involvement in educational groups is not related directly to the basic purpose of education which is helping children learn. Of the reported data, thirty-two, or 4.3 per cent, describe incidents which propose such membership and involvements as indicators of professional conduct.
Summarizing, these findings are presented in condensed form in the following list.

1. Slightly more than one-half or 55 per cent of the subjects report incidents classed as legitimate professional concerns.

2. The notion of purpose, as indicated through categories 2.1, 2.2, and 1.6, represents 19 per cent of all reported incidents.

3. Elements of process, as indicated by categories 2.3, 2.4, 2.5, and 1.4, comprise 23.2 per cent of the reported incidents.

4. Group relations appropriate to professional conduct represent 22.5 per cent of the reported incidents.

5. Categories combining purpose (2.1, 2.2, 1.6), process (2.3, 2.4, 2.5, 1.4), and group relations (2.6, 2.7, 2.8) reflect a syndrome of professionalism that comprises 64.7 per cent of the reported incidents.

6. Categories related to the professional concept and derived from indirect sources, such as authorities and established professional groups, represent 49.3 per cent of the reported data. These categories include 2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.8, and 1.6.

7. Group relations classed as NLPC's, categories 1.7, 1.8, 1.9, and category 2.7 which has general rather than specific relevance to professional matters in education, comprise 32.2 per cent of the reported data.

8. Nine subjects, or 1.2 per cent of the subjects, report incidents prescribing salary or income as an indicator of professionalism.

9. Thirty-two, or 4.3 per cent, of the subjects prescribe membership and involvement in educational associations as a measure of professionalism.
These quantitative descriptions of the findings are followed next by a qualitative analysis of the data. There is a qualitative aspect to the data because of interpretative factors inherent in the critical incident technique.

Interpretation is necessary to developing an adequate category system. This system is a refinement of a rough scheme which began from sorting and classifying incidents. The interrelating process of handling 750 incidents and of developing the seventeen category system represents the instrument from which eventual concept meaning evolves.

Stability in the category system is one indication of validity and reliability in the instrument and process. Qualitative analyses of data are related to the stability of the seventeen categories and to the classification system used initially to separate incidents. In effect, the variability between each class and within each category through several sortings of the data is a measure of stability in the category system.

The researcher sorted the incidents the first and fourth times the data were processed. Outside observers or checkers sorted and classified the incidents for the second and third times. A comparative analysis between the first and fourth sorting is assumed to be the most
valid and reliable measure of the system. This assumption is predicated on the researcher's superior knowledge and experience with this particular system. The system used in this study is a product of the researcher's efforts, as no outside observers engaged in its direct formulation.

**Qualitative Analyses of the Findings**

The first qualitative finding with which we are concerned is change or stability in the classification system. To what extent do critical incidents shift from legitimate professional concerns to non-legitimate professional concerns or vice versa?

After the fourth sorting, each incident card was examined to determine whether a shift had occurred from its original classification. Table 9 depicts the number of NLPC's originally placed in nine categories. It also shows the number in each NLPC category following the fourth sorting. From this is derived the change in the number of incidents for each category of data classified as NLPC.

Table 9 shows there were 336 incidents classed NLPC's in the first sorting. After the fourth sorting, there were 344 NLPC's. In the nine categories making up this class, twelve incidents shifted from an LPC to an NLPC. Nine, or 75 per cent, of the changes occurred in
categories describing interpersonal relations or structures.

**TABLE 9**

THE NUMBER OF CLASSIFIED INCIDENTS FOR EACH NLPC CATEGORY SHOWING A CHANGE IN NUMBER BETWEEN THE FIRST AND THE FOURTH SORTING

<table>
<thead>
<tr>
<th>Category Code Number</th>
<th>First Sorting</th>
<th>Fourth Sorting</th>
<th>Change from LPC to NLPC</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>32</td>
<td>33</td>
<td>1</td>
</tr>
<tr>
<td>1.2</td>
<td>9</td>
<td>10</td>
<td>0</td>
</tr>
<tr>
<td>1.3</td>
<td>4</td>
<td>4</td>
<td>0</td>
</tr>
<tr>
<td>1.4</td>
<td>68</td>
<td>67</td>
<td>0</td>
</tr>
<tr>
<td>1.5</td>
<td>20</td>
<td>21</td>
<td>2</td>
</tr>
<tr>
<td>1.6</td>
<td>5</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td>1.7</td>
<td>100</td>
<td>107</td>
<td>4</td>
</tr>
<tr>
<td>1.8</td>
<td>47</td>
<td>48</td>
<td>3</td>
</tr>
<tr>
<td>1.9</td>
<td>51</td>
<td>51</td>
<td>2</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>336</strong></td>
<td><strong>344</strong></td>
<td><strong>12</strong></td>
</tr>
</tbody>
</table>

The same analytical process is used to identify the number of reported incidents which shift from NLPC's to LPC's. Table 10 shows the number of LPC's which were distributed among the eight categories in the first sorting. The table also shows the number of incidents in each LPC category after the fourth sorting. Four
incidents are identified as shifting from one classification to another in the process. Although the change is relatively small in number, 75 per cent of this change occurs in category 2.7. This category describes a variety of interpersonal situations and practices which some educators consider as inappropriate to professional practice and conduct.

TABLE 10
THE NUMBER OF CLASSIFIED INCIDENTS FOR EACH LPC CATEGORY SHOWING A CHANGE IN NUMBER BETWEEN THE FIRST AND THE FOURTH SORTING

<table>
<thead>
<tr>
<th>Category Code Number</th>
<th>First Sorting</th>
<th>Fourth Sorting</th>
<th>Change from NLPC to LPC</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1</td>
<td>13</td>
<td>10</td>
<td>0</td>
</tr>
<tr>
<td>2.2</td>
<td>125</td>
<td>131</td>
<td>0</td>
</tr>
<tr>
<td>2.3</td>
<td>8</td>
<td>9</td>
<td>0</td>
</tr>
<tr>
<td>2.4</td>
<td>35</td>
<td>33</td>
<td>0</td>
</tr>
<tr>
<td>2.5</td>
<td>64</td>
<td>53</td>
<td>1</td>
</tr>
<tr>
<td>2.6</td>
<td>120</td>
<td>126</td>
<td>0</td>
</tr>
<tr>
<td>2.7</td>
<td>48</td>
<td>41</td>
<td>3</td>
</tr>
<tr>
<td>2.8</td>
<td>1</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td>Totals</td>
<td>414</td>
<td>406</td>
<td>4</td>
</tr>
</tbody>
</table>
The fourth sorting results in eight less incidents being classified as LPC's. Although there are twelve incidents shifting from LPC's to NLPC's, and four incidents shifting from NLPC's to LPC's, the net change is eight incidents which shift from LPC's to NLPC's.

The over-all stability of this category system is based upon the particular firmness in each of the specific categories. One of the ways by which we can estimate the stability for each category is to check the frequency with which incidents are located in the same categories. Depending upon its initial classification, each incident can be categorized into one of eight or nine categories. Since each incident is subjected to four sorting processes, it means that any given incident conceivably might be placed in a different category each time. The likelihood of this might also appear to be greater if more than one person sorted the data on these occasions. For this study, three different persons classified and categorized all the reported incidents on four separate occasions.

Table 11 describes the categories into which the NLPC data was placed as it was treated on four separate occasions. The first sorting by the researcher represents the baseline to which the subsequent sortings are measured. If an incident is placed in the same category on
### TABLE 11

STABILITY AND CHANGE IN CATEGORIZING INCIDENTS CLASSED AS NLPC THROUGH FOUR SEPARATE SORTINGS

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>Code No.</th>
<th>First Sorting</th>
<th>Fourth Sorting</th>
<th>Agreement in Four Sortings</th>
<th>Agreement in Three Sortings</th>
<th>A Shift but within the General Grouping</th>
<th>% of Incidents Categorized the Same through Four Sortings</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Grouping</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Prescriptions and Operations</td>
<td>1.1</td>
<td>32</td>
<td>33</td>
<td>30</td>
<td>30</td>
<td>30</td>
<td>93.7</td>
</tr>
<tr>
<td></td>
<td>1.2</td>
<td>9</td>
<td>10</td>
<td>9</td>
<td>9</td>
<td>9</td>
<td>100.0*</td>
</tr>
<tr>
<td></td>
<td>1.3</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>100.0*</td>
</tr>
<tr>
<td></td>
<td>1.4</td>
<td>68</td>
<td>67</td>
<td>65</td>
<td>66</td>
<td>66</td>
<td>95.6</td>
</tr>
<tr>
<td></td>
<td>1.5</td>
<td>20</td>
<td>21</td>
<td>15</td>
<td>17</td>
<td>15</td>
<td>75.0*</td>
</tr>
<tr>
<td>Ideas and Attitudes</td>
<td>1.6</td>
<td>5</td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>60.0</td>
</tr>
<tr>
<td>Interpersonal Relationships</td>
<td>1.7</td>
<td>100</td>
<td>107</td>
<td>90</td>
<td>97</td>
<td>97</td>
<td>90.0*</td>
</tr>
<tr>
<td></td>
<td>1.8</td>
<td>47</td>
<td>48</td>
<td>42</td>
<td>43</td>
<td>44</td>
<td>89.4*</td>
</tr>
<tr>
<td></td>
<td>1.9</td>
<td>51</td>
<td>51</td>
<td>39</td>
<td>47</td>
<td>43</td>
<td>76.5</td>
</tr>
<tr>
<td>Totals</td>
<td></td>
<td>336</td>
<td>344</td>
<td>297</td>
<td>316</td>
<td>311</td>
<td>88.4</td>
</tr>
</tbody>
</table>

*These four categories each show a greater number of incidents after the fourth sorting than each had in the first sorting. However, the percentage of incidents categorized the same on four occasions is calculated by dividing the number of incidents for which there is agreement in four sortings by the number of incidents in that category in the first sorting.*
four separate occasions, then this indicates high reliability among those sorting the data. It also suggests a high level of confidence or validity in the category description or definition. Categories which group incidents in uniform and consistent ways reflect discriminatory power that suggests validity. The validity of a category can be estimated from the frequency with which an incident is placed in the same category and from the number of incidents identified with particular categories.

Incidents placed in the same category four times reflect a high level of agreement. Table 11 shows the number of incidents in each NLPC category which have agreement in four sortings. It shows, too, the number of incidents for which there is category agreement through three sortings. Also shown are the number of incidents which change categories but only within their grouping. As mentioned earlier, these general groupings are purpose, process, and group relations for incidents classed as LPC. Incidents classified as NLPC are grouped as prescriptions and operations, ideas and attitudes, and interpersonal relationships.

Contrasts, Similarities, and Relationships from a Comparative Analysis of the Findings

Findings from Tables 11 and 12 indicate with more precision the degree of stability or change in each
### TABLE 12

**STABILITY AND CHANGE IN CATEGORIZING INCIDENTS CLASSED AS LPC THROUGH FOUR SEPARATE SORTINGS**

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>Code No.</th>
<th>First Sorting</th>
<th>Fourth Sorting</th>
<th>Agreement in Four Sortings</th>
<th>Agreement in Three Sortings</th>
<th>A Shift but within the General Grouping</th>
<th>% of Incidents Categorized the Same through Four Sortings</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Grouping</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Purpose</td>
<td>2.1</td>
<td>13</td>
<td>10</td>
<td>9</td>
<td>9</td>
<td>9</td>
<td>69.7</td>
</tr>
<tr>
<td></td>
<td>2.2</td>
<td>125</td>
<td>131</td>
<td>107</td>
<td>116</td>
<td>108</td>
<td>85.6</td>
</tr>
<tr>
<td>Process</td>
<td>2.3</td>
<td>8</td>
<td>9</td>
<td>4</td>
<td>7</td>
<td>6</td>
<td>50.0*</td>
</tr>
<tr>
<td></td>
<td>2.4</td>
<td>35</td>
<td>33</td>
<td>30</td>
<td>30</td>
<td>31</td>
<td>85.7</td>
</tr>
<tr>
<td></td>
<td>2.5</td>
<td>64</td>
<td>53</td>
<td>39</td>
<td>45</td>
<td>42</td>
<td>60.9</td>
</tr>
<tr>
<td>Group</td>
<td>2.6</td>
<td>120</td>
<td>126</td>
<td>93</td>
<td>108</td>
<td>114</td>
<td>77.5*</td>
</tr>
<tr>
<td></td>
<td>2.7</td>
<td>48</td>
<td>41</td>
<td>33</td>
<td>34</td>
<td>37</td>
<td>68.8</td>
</tr>
<tr>
<td></td>
<td>2.8</td>
<td>1</td>
<td>3</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>Undefined</td>
</tr>
</tbody>
</table>

**Totals**

|               | 414 | 406 | 315 | 351 | 347 | 76.1 |

*Each of these two categories shows a greater number of incidents after the fourth sorting than each had in the first sorting. However, the method for determining the number of stable incidents through four sortings is calculated by dividing the number of incidents for which there is agreement in four sortings by the number of incidents in that category in the first sorting.*

---

135
category. The number of NLPC and LPC incidents which are categorized from agreement on four occasions is 612. When this sum is divided by the total number of reported incidents, 750, we have the per cent of critical incidents which do not shift categories and classifications through four sortings. This per cent is 81.6.

If findings from Table 11 are studied together with those in Table 12, a number of contrasts, similarities, and relationships are revealed. Some of the contrasts include the following:

1. NLPC categories show higher levels of agreement when sorting incidents four times, than do LPC categories.

2. More than half of the NLPC categories show percentages of agreement through four sortings which are 90 per cent or higher, but no LPC category has a percentage of agreement higher than 85.7.

3. The range in percentages of agreement among NLPC categories is from a low of 60.0 to a high of 100. The range among LPC categories is from a low of 50.0 per cent to a high of 85.7 per cent. The range in NLPC categories exceeds that of the LPC categories by 4.3 per cent.

4. A greater number of incidents shift in NLPC categories but remain within their general group classification when compared with changes in LPC categories.

5. Among the seventeen categories, those which describe and define more specific kinds of behaviors or practices appear to reach higher levels of agreement than do categories of a more general nature.
6. There is a higher level of agreement in categorizing incidents describing interpersonal and group relations if they are NLPC's, rather than LPC's.

7. Incidents describing professional autonomy (2.3) show relatively low agreement and also less agreement than incidents from NLPC's which suggest need for more legal support (1.9) in education.

8. Incidents which assume professionalism to be a function of salary (1.2) or "outside" jobs (1.3) have very high levels of agreement among sorted data, although the number of incidents reporting these characteristics is few as compared to other categories.

9. Category 2.8 is estimated to be the least stable among all categories. Furthermore, the number of incidents depicting "group imposed discipline" for maintaining standards is comparatively few when contrasted with category 1.9 which describes need for more legal support.

A number of relationships are also evident when findings from Tables 11 and 12 are examined. Some of the relationships include the following:

1. Among NLPC categories that are prescriptions (1.1, 1.2, 1.3, 1.4, 1.5), the more specific the category, the higher the level of agreement in categorizing incidents. As a category description becomes more general, as in 1.5, the per cent of incidents grouped the same way on four occasions becomes less.

2. Incidents describing and defining interpersonal and group relationships show higher percentages of agreement if they are NLPC's than if they are classed as LPC's.

3. There is higher level of agreement in categories describing work tasks or referring to amounts of work (1.4) than there is in categories which describe the nature of
work or explain how tasks (2.3, 2.4, 2.5) should be performed.

4. The range for the per cent of incidents categorized the same through four sortings is greater for NLPC's than it is for incidents classified as LPC's.

5. Agreement for processing incidents in the same category four times is higher if the incidents are classed NLPC's than if they are classed LPC's. The same relationship exists if agreement levels are based on processing the data three times.

A study of the findings for Tables 11 and 12 shows several similarities. These similarities include the following:

1. Among the general groupings comprising the two major classifications (LPC and NLPC), the largest number of incidents are in the corresponding areas of interpersonal relationships (1.7, 1.8, 1.9), and group relations (2.6, 2.7, 2.8).

2. The decline in the per cent of agreement for placing incidents in the same categories through four sortings as compared to three sortings for both LPC's and NLPC's is almost the same. For NLPC's the decline is 8.3 per cent, while for LPC's it is 8.6 per cent.

Findings from Tables 11 and 12 provide considerable data for further analysis and thought. These data together with other empirical evidence in this study should provide the researcher the basis for a number of generalizations. The generalizations then need to be conceptualized into theoretical propositions from which testable hypotheses are derived. This represents the
next sequence in our task to evolve a theory of effectiveness in education. We undertake this task in the next chapter.
CHAPTER V

SUMMARY, CONCLUSIONS, AND DISCUSSION

This study began from the assumption that efforts to improve education tend to be marginal. One of the reasons for the lack of significant improvement in education is reliance upon indirect methods to improve the system. A second assumption is that teaching and the teacher represent the crucial factors in school learning. Attempts to improve education must originate with direct efforts that make teachers and teaching more effective. This study advances the idea that professionalism makes teaching and education effective. The third assumption is that effectiveness is a function of professionalism.

These assumptions raised a number of questions which became an integral part of the study. An incidental sample of educators possesses what kinds of knowledge and understandings about professionalism? If perceptions of these groups are deliberately extended by discussion about professional matters, can the sample groups then discriminate between professional and non-professional practices? To what extent are educators capable of
relating themselves to characteristics of professionalism derived from authoritative sources? These and similar questions are basic to the study.

In the wider sense, the empirical research undertaken here was an attempt to determine whether the educational group is capable of working in professional ways. The more immediate task was to evolve a theory of effectiveness in order to test the professional capabilities of educators.

Three tasks are accomplished in this chapter. First, there is a summary presentation of the findings. This summary includes analyses of the data. Second, conclusions are drawn from generalizations based upon the data. As postulates, these conclusions are vital to conceptualizing a theory of effectiveness in education. The third task includes discussion and implications of the results. Here, efforts are made to relate appropriate aspects from conclusions to specific practices now prevailing in education. Included in the discussion, are limitations of this research effort with suggestions for improvement.

A Summary of the Findings

A review of the findings from Tables 11 and 12 in Chapter IV, together with Table 6, Chapter III,
describes data showing that slightly more than half of the subjects report incidents which are legitimate professional concerns in education. Fifty-five per cent of the subjects report incidents classed as LPC's. This suggests the approximate size of the educational group capable of applying professional practices. The assumption is that the theory will be verified by subsequent experimentation.

How much confidence can be placed in this figure? There are two sets of data in this study which support this figure. One set of data is associated with the constructs of purpose, process, and group. An analysis of our data in Table 6 shows that no single set (purpose, process, group) of categories exceeds 23.2 per cent of all reported incidents. If combined, these categories total 64.7 per cent of all reported incidents. However, no single grouping musters more than one in four reported incidents.

Half of the subjects report incidents classed as LPC's when data are grouped or combined in still another way. These data identify categories which correspond to characteristics of professionalism derived from indirect sources. Categories 2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 2.8, and 1.6 are included and together these represent 49.3 per cent of all reported incidents.
Data from the exploratory study, Table 3, page 96, also disclose a similar finding. With an N of 129, 54 per cent of the subjects reported incidents classified as LPC. Categories corresponding to characteristics of professionalism based on indirect sources represent 37 per cent of the reported incidents. This is 12.3 per cent less than found in corresponding categories in this study. One explanation for this difference is the comprehensive discussion on professionalism presented to sample groups in this study.

The first generalization is that slightly more than one-half of the subjects report incidents classified as LPC, while slightly less than half report incidents classified as NLPC. This is supported by empirical evidence from two studies.

How much confidence can be placed in the classification and category system used in this study? One way of determining a confidence level for the system is to ascertain the degree of stability in the classification system and in the categories. Findings in Tables 9 and 10, Chapter IV, show the number of critical incidents which change classifications after four sortings. These tables indicate that the classification system has a high level of stability. Evidence supporting this includes the fact that a net shift of eight incidents occurs when
classifications are compared between the first and fourth sortings. Of the 750 critical incidents reported, 81.6 per cent do not shift categories or classifications.

The second generalization, then, is the high degree of stability in the classification system for sorting incidents into LPC and NLPC. Other generalizations emerge from efforts directed toward determining category stability within the two classifications. An analysis of data from Table 11 reveals a third generalization which is that higher levels of agreement are reached in categorizing incidents classified as NLPC than are reached for those classified as LPC.

Determining and noting the levels of agreement for sorting incidents into the various categories led to an unexpected development. Categories belonging to the NLPC class have descriptions and definitions which usually are more specific than those associated with categories classified as LPC. There are also some categories in the LPC class whose descriptions and definitions are more specific (2.2, 2.4, 2.6) than others. This is not proposed as a basis for making distinctions between classes or among categories. Nevertheless, there is an obvious correlation between the levels of agreement reached from multiple sortings of the data and the nature of the category or class.
The relationship between the stability of a category and the wording in a category is observable when analyzing the sixteen incidents which shifted from one classification to the other following four sortings. This illustrates another facet of professional characteristics. A fourth generalization emerges when it is noted that categories classed as LPC are more general than categories classed as NLPC. This is because categories classed as LPC are likely to represent deductions from fully established principles. Deductively arrived at principles also are general rather than specific because they embody practices which the whole group deliberately, consciously, and universally accepts.

This relates to professionalism when the category system as a whole is considered a criterion measure which includes or assimilates all reported incidents. The fact that only 55 per cent of the incidents are brought into the rubric of legitimate professional concerns indicates that education functions through a wide range of specific principles, rather than being guided by a more limited number of generalized principles.

A close scrutiny of the sixteen incidents which shifted classification shows that the researcher categorized these incidents as general principles rather than upon specific behavioral descriptions. The four incidents
which shifted from NLPC's to LPC's were originally considered interpersonal frictions of a very specific nature. Subsequent classification and study revealed that three of the incidents described interpersonal situations which the respondents consider improper or unsuited to educational practices. This refers to category 2.7. The other incident was originally considered a petty gripe or personal objection. Subsequent study led the researcher to interpret this incident in a more general way. It was placed in category 2.5 which prescribes research and knowledge as a basis for educational practice.

A reverse pattern developed in categorizing the twelve incidents which shifted from LPC's to NLPC's. Nine of these incidents shifted into the general grouping of interpersonal relationships (1.7, 1.8, 1.9). Each was considered a specific description with particular educational character. The rationale is that none of these incidents is now perceived as describing situations to which general rules might apply. Analyzing the specific aspects of an incident influences its classification as an NLPC. The remaining three incidents which shifted from LPC's to NLPC's were first considered general principles in areas of methodology (2.4), in techniques based upon research and knowledge (2.5), and misconduct (2.7).

In the fourth sorting, these incidents were
perceived in more specific terms. The incident describing methodology shifted to "involvements in professional associations and meetings" (1.1); practices based upon research and knowledge was now perceived as "adherence to a uniform grading system" (1.5); and educational misconduct was seen as an appeal "for uniform school regulations." This shifting process with certain incidents illustrates some of the psychological factors that influence the stability of the category system. It also suggests the manner in which meaning is generated from a category system and how that meaning shifts.

The study showed there are interrelationships among the constructs of purpose, process, and group. In addition, these were functionally useful in three ways. First, they were used to analyze codes of conduct from other professions and occupational groups. Second, they were used to analyze related literature. And third, they facilitated the analysis of data by grouping incidents in this category system.

From the constructs, came another generalization. The constructs not only served to identify, sort, and classify various components of the professional concept, but they revealed professionalism as a syndrome. The fifth generalization is that professionalism is a syndrome
whose components include ideas of purpose, elements of
process, and group relations.

The category system has several areas which are
not essential to professional development in education.
Incidents that prescribe salary, "outside" or second jobs
for educators, and membership-involvements in prevailing
educational associations reflect unusually high levels of
agreement in sorting data. Together these categories
(1.1, 1.2, 1.3) represent 6.0 per cent of all reported
incidents.

None of these has a basis in theory or logic which
establishes significant relationships with professional
behaviors and practices. The reporting of such incidents
may or may not indicate professional thinking in educa-
tion. These phenomena might be explained as the effect
of deficiencies in professional teacher training pro-
grams, or as deficiencies in educational associations
which often equate effectiveness with salary, or the
presence of elementary levels of thinking about profes-
sionalism. The lack of significant relationships among
these entities suggests that generalizations are not pos-
sible from them.

The empirical findings of the study are summarized
in the following list:

1. Fifty-five per cent of the incidental and
non-probability sample report incidents classified as LPC.

2. The classification system used to distinguish between LPC's and NLPC's has a high degree of stability.

3. Higher levels of agreement are reached in categorizing incidents classified as NLPC than are reached for those classified as LPC.

4. Categories classed as LPC are more general than categories classed as NLPC.

5. The concept of professionalism is a syndrome which includes ideas of purpose, elements of process, and group relations.

**Conclusions from the Study**

Category definitions and descriptions, together with the generalizations derived from the summary findings, indicate that some preconceptions about educational professionalism are not valid. The position is often taken that bureaucracy and professional development are incompatible. This claim is based on the idea that if there is to be professional growth in education, it must be patterned upon the traditional and classical model associated with medicine. The related literature used in this study and the empirical findings support the position that professional development is possible in education. This thought is made more specific in the following three concluding statements:

1. There is no pure professional model to which education can be related.
2. There is no pure bureaucratic model to which education can be related.

3. A complex organization like education is capable of accommodating professionals and professional practices providing that,

a) the notion of autonomy in education is differentiated from the traditional idea of professional autonomy, and

b) that educational purpose, as defined in this study (e.g., helping children learn) is differentiated from purpose(s) such as efficiency, uniformity, and regularity, which are typically served by educational organization.

Related literature describes how technical competence and autonomy influence some occupational groups toward professionalism. While this is the case for some groups, it is not applicable to education. In education, purpose represents the fundamental and primary force around which professional work occurs. This is illustrated by further study into the functions of autonomy.

Professional autonomy is not reported as a major influence in this study. One per cent of the reported incidents describe practices identified with autonomy. This is not surprising. In education, the character of autonomy is different from that which is simply identified with technical competence. When autonomy is associated with the competence of a single practitioner, then independence in work is a basic characteristic of autonomy.
However, if the conventional idea of professional autonomy is applied to education, then one of two conditions must prevail. One condition is being able to sort out and distinguish among the many tasks which facilitate learning. The other is having educators sufficiently skilled and knowledgeable to handle the entire education process. Neither of these conditions now exists. Education cannot differentiate learning tasks with that kind of precision. Individual educators do not possess all the skills and knowledge necessary to fulfilling a complete education program. Like other complex social systems, education must rely upon effective organizational patterns to realize its purpose. The problem is one of developing group associations or arrangements which are capable of fulfilling educational purpose.

At present, a variety of influences militate against educational autonomy. One of these is increased complexity in educational organization. As specialization increases, greater efforts are made to enlarge the coordinating function. But this enlargement is always within the prevailing legal and authority pattern. Therefore, the traditional notion of autonomy remains unaffected in educational work.

There are growing numbers of interpersonal frictions and difficulties in schools. This study reports
367 incidents which describe some aspect of interpersonal relations and structures. But most of these fail to relate bureaucratic practices to autonomy. Furthermore, they fail to indicate any basic change in the idea of autonomy as it might apply to education organization. As yet, existing legal and organizational patterns are not being directly challenged as possible sources for dysfunctions. It may be that positions of hierarchy and authority in public education do not typically function so as to promote close scrutiny and accurate feedback of organization problems.

Educational autonomy has yet another facet. Persons with high level skills and competence eventually reach a stage of refinement in their work when ethical considerations assume paramount importance. This may be more applicable to groups whose work is in helping others. But competence that leads to autonomy takes on ethical considerations when practitioners recognize that those being helped are vulnerable to discretions by practitioners. This is why the ethical factor is so crucial to groups identifying themselves as professions. Competence and autonomy are means by which group purposes are sustained in a profession.

In education this is more crucial than ever. Whereas other occupational groups relate and work with
persons who are adults, educational work is carried on with minors. Not only are there "unequal" relationships between practitioners and students, but the power of legal authority is always present in school situations.

In this study, category 2.6 reports incidents which describe situations with moral and ethical implications. This category is classified as an LPC because educators, authorities, and established professions all consider it imperative that the conduct and performance of its group members be guided by a moral and ethical code. The incidents reported in this category also clarify ethical relationships that arise out of purpose for groups called professions.

One hundred twenty incidents were reported in category 2.6. Of these, thirteen incidents described situations in which confidential information about students was disclosed indiscriminately. Of all incidents reported for this category, forty-nine, or 41 per cent, described situations in which practitioners were involved immorally or unethically with students and colleagues. Situations ranged from stealing to swearing at students, and to having illicit affairs.

Authoritative sources, established professional groups, and some educators consider it a tenet of professional practice to hold the client's welfare as primary
or basic. Incidents in category 2.2 identify the "client's welfare as primary" by reporting situations in which this principle is violated. Of the 125 reported incidents for category 2.2, forty-one, or 33 per cent, describe situations in which children are verbally or physically abused, or threatened, or mocked, or simply ignored. Empirical evidence in this study shows that the ethical factor is equally important, if not more so, to persons outside the occupational group as it is to those who compose the group. One of the characteristics by which a profession is distinguished from other occupations is the manner in which a group copes with the client-practitioner relationship.

Category 2.6 defines and describes relations involving ethical and moral conduct. It reports 16.5 per cent of all the incidents. Several other categories report data which also relate to ethical considerations. These are categories 2.1, 2.2, and 2.7. Together the four categories of 2.1, 2.2 (purpose) and 2.6, 2.7 (group) represent 40.5 per cent of the reported data. This shows that a sizable portion of the sample population identifies ethical considerations as basic to educational professionalism.

It is apparent that an operational theory of professionalism in education must simultaneously account
for this ethical factor and technical competence. Furthermore, both must become functional within a bureaucratic setting.

A Theory of Effectiveness Based on Professionalism

Professionalism in education has the following characteristics:

1. Education's purpose is helping children learn.
2. Competent educational practices and methods are learned.
3. Education renders a social service which is intellectual in nature.
4. An individual member's conduct in education affects the welfare of the entire educational group.
5. Autonomy in education is the outgrowth of ethical relationships between practitioners and clients.
6. Educational organization produces dysfunctions that subvert educational purpose.

An examination of these postulates reveals the presence of process, purpose, and group. This verifies the concept of educational professionalism as a syndrome. By synthesizing the ideas in these six postulates, we are able to generate a concise statement of theory for educational professionalism:

Professionalism in education applies competent practices which are rationally derived, ethically sound, and set in organization patterns which directly help students learn.
The postulates from which this theory is produced make it clear that all segments do not fit together smoothly. The indirect sources and the empirical data make it evident that the educational enterprise exists in order to render an essential social service and to help others learn. Findings from the empirical data showed that this purpose is somehow prostituted by influences generated through the machinery of organization.

This fact has been known for some time. The more refined frictions in education are called role conflicts. As these conflicts become more widespread and serious, they assume the form of strike action, incompetent teaching, and unethical or immoral conduct.

Closely associated with the growing militancy in contemporary education, is the aspiration that teachers achieve autonomy in their work. However, this study shows that educational autonomy is not derived from competence, but from legally imposed relationships between practitioners and students. Education now lacks an adequate system of self-discipline and control. This it must have before it can commence to consider professional autonomy as a function of technical competence.

As a critical observer of education, this researcher sees any attempt now toward so-called educational autonomy as an artificial imposition. The lack of mechanisms
for determining or assessing performances or personal conduct means autonomy is to be exercised without restraint.

It is imperative that educators understand that professionalism opens no easy door to success. Professionalism can make educators more effective, it can provide a basis for greater self-satisfaction in one's work, and it may bring more status to one's work. But these are possible only if the educational group is willing to assume the responsibilities of professionalism. This means that educators must devise group methods which assess the performances and conduct of group members. In this manner, educators would put in order their own house.

Conditions which are vital to an operational theory of effectiveness should relate educational purpose to processes and group relationships. These should be interrelated so as to permit us to conceptualize a profession. Conditions basic to effective education or effective teaching must include the following:

1. Identify the educational tasks and functions which directly influence the way children learn in school.

2. Identify the roles and positions which directly influence the way children learn in school.

3. Identify the structural relationships in education which directly support the way children learn in school.
4. Identify the interpersonal relationships which either promote or negate educational purpose.

5. Identify and devise some rational ways by which those directly concerned with helping children learn can become accountable for their performance and personal conduct.

6. Identify the legal patterns and organizational arrangements which obstruct and contradict efforts directed toward fulfilling educational purpose.

These conditions of professional practice show how a theory of professionalism in education might begin to be implemented. They also substantiate the operational nature of our theory.

The final section of this chapter is devoted to discussion of results from the study. Consideration is given to proposals for further research, and a number of questions are raised about current educational practices.

Discussion

The results suggest further research in two directions. The one course is to replicate the study. The category system worked satisfactorily although a number of questions are raised by results of this study. Are the relatively high levels of agreement for sorting incidents into classes and categories due to the quality of the categories or are they because of other variables? Other procedures might be used to check or verify the stability of the classes and categories.
There are several categories in the system which are not sufficiently refined. Categories 1.6 and 2.7 represent two which are in need of further study and development. Category 1.6 emerged for very specific reasons. Some incidents reported teacher strikes as non-professional because they stopped children from learning. These were categorized as 2.2 because they described the purpose of education as that of helping children learn. Meanwhile, other incidents reported teacher strikes as non-professional because teachers should not strike for salary. In these, meaning had to be inferred and it was decided as being that of valuing service to others over personal material gain. Category 2.7 originated as an extension from category 2.6. Some incidents described ethical situations which appear more suited to work in education than to other occupations. It may be that a characteristic of professionalism exists which is only applicable to educational work. There may also be other variables which explain this distinction between moral and ethical practices (2.6) and misconduct in behaviors (2.7).

Replication of the study should be undertaken to determine whether a similar category system would evolve if persons other than the researcher contributed to its development. This would provide a different basis for
checking the validity and reliability of the categories. In this study, 436 incidents were processed before all seventeen categories developed. Replication of the study should be undertaken to determine whether other categories would emerge if all procedures remained the same. It seems that somewhere between 400 and 500 valid incidents are necessary to replicate the study. However, a study with at least 2,000 incidents would suggest results which might give added importance to this and subsequent studies in this area.

The results suggest a second course of research action which makes use of this category system. Can the category system be used to measure the effectiveness level of educational groups? In this study it has been theorized that educators reporting incidents that are LPC's are more likely to work as professionals than those reporting NLPC's. Future studies which followed this course of action could use other variables to determine correlations between these and professional behaviors as measured by categories from this system. Such research could possibly lead to instrumentation which discriminated professionally among groups of persons in teacher training programs, or among groups of educators working in schools.

Isolating effective teaching as the dominant
variable in education would open an array of research possibilities. Educators could then secure experimental data which showed whether student achievement was a function of teaching or of other influences.

The results of this study have some implications for current educational practices. For one thing, it is evident from the category system that there is some kind of adverse relationship between educational organization and work directed toward education's purpose. Does this suggest that personnel identified with curricular and instructional improvement are ineffective because of organization arrangements? Should supervisors, coordinators, or change-agents represent administrative authority? Is the prevalence of role conflict in education due to incongruities between organizational purpose and educational purpose? Are there other organizational approaches which concentrate the power of educational resources on fulfilling education's purpose?

One proposal is to divorce completely instructional tasks from administrative control and authority. This implies that the notion of an administrator as an instructional leader is out-dated or perhaps even fallacious. It suggests a new and different role for educational association groups. If teaching is the crux of education, then teacher groups should undertake
leadership functions to improve instruction and learning in schools. Some of the specifics associated with this proposal include the following:

1. Teacher associations must assume responsibility for recommending the hiring of all personnel whose work is directly related to the improvement of teaching. This applies to the various subject matter specialists, supervisors, and coordinators now often identified with central office operations.

2. Teacher associations decide when consultants or other supportive personnel are needed to improve teaching and learning.

3. Teachers must assume greater financial support for their associations. However, arrangements are possible by which teacher salaries are increased to supplement in part or totally the additional assessments necessary to support these operations.

4. Teacher association groups must structure bodies which consider the following:
   a) moral and ethical matters involving group members,
   b) complaints from persons outside the group regarding the competence of group members,
   c) charges against group members which lead to recommendations for dismissal and loss of certification to teach.

Much of this proposed change in organization arrangements can be implemented without additional legislation. Professionally, this is as it should be. After the education group has established itself as a profession in the public's mind, then state regulations will
evolve similar to those now utilized by established professional groups. The crucial test of whether a group is a profession is not whether it calls itself a profession, but whether others see the group as a profession.

The results of this study indicate rather clearly that our knowledge of educational professionalism is just beyond the verbal stage. We are now beginning to grasp the operational significance of the concept. The last section of this chapter should make evident the complex nature of the problem and the many persons and resources needed to cope with it. If effective education was ever a luxury afforded only by a few, then the time is past when such luxury is ours. A free society must have effective education. This study puts forth the theory that effective education is education based on principles of professionalism.
EVERYBODY IN education talks about professionalism. What is it? Why is it necessary? What do we have to do to achieve truly professional status in education? Is there a relationship between professionalism and what educators do, day in and day out, in order to help children learn?

In general terms, professionalism means two things. On the one hand it can mean to do for money those things that other people do for recreation or pleasure. On the other hand, to be a professional means to join a group that is devoted to helping persons who are in need. The first meaning is imbued with the concept of personal aggrandizement. The second meaning relates to the altruistic notion of helping others rather than oneself.

To the author of this article, professionalism is characterized in six different ways that relate primarily to the second meaning. An exploration of these ideas may give substance to the notion of educational professionalism as well as direction to those who are concerned about attaining truly professional status.

Every group that is truly professional is engaged in the business of helping other people. In the act of helping other people, however, these groups that are truly professional provide an essential service for their fellow man. When one's appendix becomes inflamed, he must have help. He cannot attend to that problem on his own. Likewise, if one decides to purchase a piece of property, he needs legal counsel. Is the title to the property clear? Is the contract valid? People cannot take care of these matters by themselves. The first characteristic of every truly professional group, therefore, involves providing essential services or help to other people.

A second characteristic of every group that is truly professional is that the members have a methodology, a set of specific techniques and procedures, which they employ to provide essential service to their fellow man. That which distinguishes a mathematician from an engineer is not how much mathematics either of them knows, but the
engineer has acquired those mathematical skills and techniques which are useful in building bridges or rockets or roads. The mathematician does not possess these particular skills. In similar manner, that which distinguishes a physiologist from a surgeon is not how much either one of them knows about the structure or function of the human organism. Both are knowledgeable along these lines. But physiologists do not perform surgery because they have not acquired those methods that have been learned by members of the surgeon group.

The third characteristic of every group that is truly professional is that its members build their practice and base their methods upon the best that men know: research. Physicians are denied the right to belong to the Church of Christ Scientist, for example, because the Christian Science Church advocates a method of healing that is not empirically verifiable. In a similar way, social workers build their practices upon a sound research base. Truly professional groups build upon ideas that have been subjected to experimental scrutiny, and by virtue of the process of scientific replication, are of demonstrable value in the helping task.

The fourth characteristic is that professional persons make decisions and judgments that affect the welfare of those they serve. An interesting point about the decisions, though, lies in the fact that the persons for whom the service is being provided almost never know whether those decisions are appropriate or valid. If a person goes to his physician, for example, the physician may decide he needs a particular therapy in the form of drugs or rest or surgery. Whatever the physician says, the patient must depend upon his judgment. He can go to another physician, if he chooses, but the fact of the matter remains, professional people make decisions affecting the welfare and even the lives of those they serve, and the other people seldom know whether those decisions are correct or not. Because this is so, professional people regularly relate to those they serve in such a way that they have an opportunity to exploit these persons. Because this is so, every group that is truly professional has developed special rules and organizational concepts which set them apart from nonprofessional groups.

The fifth characteristic of a professional group is that it has a written statement of objectives in the form of an ethical code. A code of ethics constitutes a guide or benchmark against which professional persons can measure
their own conduct. The purpose of the ethical code arises from the fact that professionals have the opportunity to exploit described above, and the code attempts to clarify for those who would be professional what is appropriate and what is not appropriate professional behavior.

Professional codes of ethics specify that the basic purpose of professional persons is to help other people. This is illustrated in the first principle of medical ethics:

The principal objective of the medical profession is to render service to humanity with full respect for the dignity of man. Physicians should merit the confidence of patients entrusted to their care, rendering to each a full measure of service and devotion.

Professional codes are typically short, general statements, and they constitute a basis for interpreting what is ethical and what is unethical behavior. In every case, those groups that are truly professional have formulated their codes in such a way that anything and everything which a practitioner does relates directly to the attainment of the basic objective: that is, helping other persons. Anything which impedes the attainment of that objective is unprofessional by definition. A physician can patent a surgical technique or drug, for instance, but the patent dare not stand in the way of the utilization of the innovation to help other persons. The same is true in law. No attorney is permitted to "take advantage" of a client's funds or information in order to attain special favors for himself. Codes of ethics constitute tangible evidence of the purposes of the profession and the way in which professional persons ought to behave.

The sixth characteristic of every group that is truly professional is that its members use the power of the professional organization to impose a discipline upon themselves in order to ensure that every member of the group adheres to the ethical way. That is, those groups that have attained the highest status in professional terms use the concept of peer discipline to guarantee that every member of the professional group provides those services, uses those methods, and employs that scientific knowledge which will assure the realization of the basic objective: helping other persons. When an errant member exploits the dependency relationship and takes advantage of any person whom he purports to be helping, his group steps in and
protects the person being served. The concept of professionalism is rooted in this point, and those groups that are truly professional work hard at the business of guaranteeing to the general public that any and every member of their professional group can be relied upon to provide the best assistance and service possible.

These six ideas constitute a general framework of the concept of professionalism as it exists in America today. Truly professional groups are characterized in all of these ways. One measure of the extent to which an individual or group has attained professional status is reflected in the degree to which these six characteristics have been incorporated into the practice and thinking of the persons involved.

Any objective assessment of education today would probably indicate that we have achieved to a greater or lesser degree the first five characteristics which have been described. In the process of evolving professionally, we have one additional step to go: imposing a professional discipline upon ourselves.

An understanding of the concept of professionalism is interesting, but there still remains the question "Is professionalism really necessary?" The answer clearly seems to be "yes." Professionalism is important in order to guarantee effectiveness. Groups that are truly professional seek to develop and maintain that status primarily in order to assure the highest level of quality service to those they help. Professionalism is not important in order to make more money, though typically that occurs also. Professionalism is important because it is the only way those persons who are concerned with helping other people have found to ensure the provision of the highest quality help to their fellow man.

In education, questions consistently arise about the legality of certain teacher behaviors, or the economic efficiency of certain educational operations, or the frequency with which a particular curriculum program has been adopted throughout the area. These questions are always interesting, but in fact they are irrelevant. If a teacher disciplines a child, for example, and if that disciplinary act is questioned, someone usually says: "Doesn't the teacher have a right to discipline a child?" The answer to that question is obviously "yes." But just as obviously, that is the wrong question. The question ought to be, "Does a teacher's disciplining of a particular
child help that child learn?" Do children in fact learn more and better when they have been disciplined by a particular teacher in a particular way?

If we ask the question in legal terms we get a legal answer. The thing we need to do in education is to learn to ask, not the legal question, not the economic question, not the frequency question, but the effectiveness question. Whether any particular practice or any particular behavior costs more money or less is in fact incidental. Whether every school system has the program or nobody else has it is really unimportant. The fundamental question is: "Does it help children learn?"

The basic purpose of education is to help children learn. Anything which facilitates the attainment of that objective is professional by definition. Anything which impedes the attainment of that objective is unprofessional by definition. Professionalism is important from an effectiveness point of view.

What Do We Have To Do?

Assuming that we are clear about the nature of professionalism and what it is that sets professional groups apart from nonprofessional groups, and assuming further that we have decided in our own mind that the attainment of truly professional status is important, what do we do next? Theoretically there are two problems. Practically there are several. Let's explore the theoretical problems first.

A profession is both a process and a group. Medicine is an activity and medicine is a group. When a person says that he intends to "enter law," he means that he intends to acquire those skills--arguing a case in court, preparing a contract, recording a deed--which are unique to that professional group. On the other hand, when a person says that he intends to "enter law," he also means that he plans to affiliate himself with that group of persons whom we recognize as lawyers.

In the very same manner, teaching is both a process and a group. If we want to attain truly professional status, the two things that we need to do are (1) clarify the process and (2) clarify the group. One way to look at this might be to think about drawing two circles.
If we could draw a ring around what teaching is and include within that circle all of those things that contribute directly to the attainment of educational ends, and if we could simultaneously define outside the teaching circle anything and everything that contributes only indirectly or actually negates the attainment of educational objectives, the first part of our problem would be solved. In other words, if we could differentiate those activities that help children learn from those that are only incidentally related to children's learning or that in fact are not related at all, then we would have made one monumental step toward the attainment of truly professional status.

At the present time, for example, many teachers engage in all kinds of activities that have no direct relation to children's learning at all. They score objective examinations, they supervise the loading of busses, they collect tickets at football games, they fill out attendance records. These activities are all important, but they are not teaching. One major task involved in achieving professional status involves identifying among all of the activities that are possible those which relate directly to children's learning: providing information, counseling with students, making inferences about learning difficulties, clarifying values, providing encouragement, motivating children, and so forth. By limiting their own behavior, professional persons are able to give both focus and power to what they do. They tend to magnify their energy output, thus making a very significant difference in what they do for those they serve. They become effective in the very best sense of that term.

Defining Teaching Group

Defining the teaching group is a second task. Those who have had the training and whose behavior falls within the first circle should be drawn inside the professional group. Those persons whose behaviors fall outside the first circle must be either denied admission to or actually ejected from the educator group. Only in this way can we guarantee that any person who calls himself an educator does those things that contribute directly to educational objectives.

Drawing these two circles is easy in the abstract but extremely difficult in reality. Nonetheless, a theoretical conceptualization may enable us to be clear about the tasks
at hand. It may in fact suggest new directions in which we might move. Getting rid of unnecessary paper work for teachers is important, not to ease the teachers' load, but to ensure that the teachers provide the best possible kind of help to the students they teach. Denying certain persons admission to the professional group is important, not to elevate the status or prestige of the members in their own eyes, but to guarantee that the service provided is of the highest possible caliber. Defining the teaching act and defining the teaching group are important for one reason and one reason only: to help children learn.

What do these things mean in practical terms? If educators are concerned about attaining truly professional status, four specific steps seem to be required: we must adopt a code of ethics; we must petition the governing board for permission to initiate the plan; and we must do it—that is, we must behave in truly professional ways by assuming responsibility for disciplining ourselves.

The first step would involve adopting an ethical statement or code that defines the basic purposes of education and sets forth principles of ethical behavior. To be adopted, however, means that each point, each word, each phrase must be argued through and thought through to the point that a substantial majority of those involved in any particular local education association become psychologically committed to the code. Unless we really believe in the code of ethics and understand its purpose and agree with its basic tenets, a code is useless.

Grievance Procedures Needed

Once the goals of education are clear and we have committed ourselves to an ethical code, it then becomes important to establish procedures for processing grievances or criticisms against members of the professional group. A code is a noble statement of professional aims, but unless there is some way of implementing these aims and guaranteeing that every person who belongs to the professional group behaves according to the code, it is worthless. The second step in attaining truly professional status, therefore, becomes one of setting forth in writing (in the form of local education association by-laws probably) a set of procedures for handling complaints against members of the professional group.

Certain principles seem especially important here.
First of all, there must be a way of inserting into the thought stream of the profession any complaint lodged against any member of the professional group. Unless the public being served can have confidence that the professional group is committed to the welfare of those they serve rather than the welfare of the members of the group itself, professional status can never be attained. By definition, professional persons are those who engage in helping other people. The people being helped must have a way of raising questions about behavior that they think is unprofessional.

Those groups which are truly professional set forth judicial procedures for processing criticism leveled against individual members. When a criticism is made, therefore, there must be a way of determining whether the criticism is valid, and this consideration must occur apart from public view by the membership of the professional group.

These judicial processes must be characterized by such factors as written records of testimony, rules of evidence, opportunity for appeal, democratic selection of persons who sit as judges, knowledge of the charge, and awareness of the possible judgments that might occur. Those groups that are truly professional must have confidence in the process and their members must believe in their fellow professionals to the point that they willingly submit their practices to the judgment of their peers.

Professional persons do not assume that those persons who are "higher up" in terms of legal authority "know more" about professional practice than those persons who are "lower down." Hospital trustees, for example, do not tell surgeons what is professional and what is unprofessional behavior. Senior members of a law firm, likewise, do not tell junior members what is ethical and what is not ethical for lawyers as a professional group. In the same way, educators dare not slip into the traditional pattern of presuming that those persons who are higher up in terms of legal authority can make decisions about the effectiveness or the level of professionalism of any particular teacher or administrator who may be involved.

Once a clarification of these procedures has been set forth in writing, they must be adopted by the profession. The members of the professional group must again psychologically commit themselves to this way of governing their
own behavior. They must commit themselves to an ethical code, and then they must commit themselves to a way of working together to ensure the attainment of that code. They must recognize the advantages of criticism and professional self-discipline, if you please, and recognize that it is not the welfare of the members of the professional group that is involved, but the welfare of the children being served that must be honored.

Confrontation by Peers

In the final analysis, the acid test in education must always be: does it help children learn? If it helps children learn, it is professional. If it does not help children learn, it is unprofessional. Those things that educators do which do not in fact contribute directly to the attainment of educational objectives are unprofessional by definition, and anybody who engages in unprofessional behavior must be confronted by his peers and he must account for his behavior. If such behavior persists, pressure must be brought to bear by his colleagues so that such practices stop.

Once this kind of commitment to the idea of professionalism is attained in the minds of the educational group through the adoption of a code and the establishment in writing of the procedures for processing criticisms, the next step involves petitioning the board of education for permission to engage in self-disciplining activities. The final authority for hiring or disciplining educational personnel presently rests with school boards. However, any educational group that petitions a board for permission to assume this responsibility would probably be welcomed with open arms. Because the legal responsibility rests with the local board, however, such a request would be a necessary step in order to impose a discipline upon errant members of the educational group itself.

These three steps constitute a pathway to the attainment of truly professional behavior and truly professional status. The only thing left to do, then, is to act. If we are concerned about children's welfare, then it seems important to clarify what professionalism really is; to understand the power of the notion as a means of attaining educational goals. If we can come to focus our attention upon ourselves as instruments in the facilitation of learning, and if we can face squarely the difficult problems
involved in using self discipline and the power of organization as a means of eliminating from our group and our own behavioral practice those aspects that do not belong, then we will have gone a long way toward the attainment of truly professional status.

Truly professional status is a difficult and heavy yoke to bear. It demands personal and professional maturity and ultimate responsibility by the people who are most involved. When we evaluate what we do in terms of whether children do or do not learn, we evaluate ourselves. This is a very difficult chore.

Helping other persons is the modern concept of the golden rule. But the concept demands a rigor as well as an altruism, and that rigor can only be achieved by the organizational aspects of professional groups.

We need to ask ourselves: "Are we ready for this responsibility? Can we move into the same league with other truly professional groups? Can we submit ourselves to the judgments and control of our professional colleagues?" If we can, the rewards will be unbelievably great. If we cannot, we will undoubtedly slip sideways to the attainment of technician status or stay at our present level of an "almost but not quite" professional group. Can we become truly professional? To whom are we committed? What do we believe in? The time to answer these questions is now.
APPENDIX B

DEFINITIONS AND DESCRIPTIONS OF THE
17 CATEGORY SYSTEM
DEFINITIONS AND DESCRIPTIONS OF THE 17 CATEGORY SYSTEM USED TO EVOLVE A THEORY OF EDUCATIONAL PROFESSIONALISM

1.0 NLPC - A non-legitimate professional concern describes a behavior, practice, situation or incident which does not directly bear upon or sustain the basic purpose of education. The basic purpose of education is helping children learn.

2.0 LPC - A legitimate professional concern describes behaviors, practices, situations or an incident which directly bears upon, sustains or nurtures the basic purpose of education. The basic purpose of education is helping children learn.

1.1 Prescribing membership in and/or suggesting involvement in various educational organizations and groups is professional.

1.2 A prescribed amount of salary or income received in education is the criterion for determining professional status.

1.3 It is suggested that a relationship exists between professional behavior and the type of second job an educator holds. If a CI simply describes the "need" for educators to moonlight or hold second jobs, then these CI's belong in category 1.2.

1.4 Prescribed tasks that an educator engages in or the nature of assignments associated with education determine professional standing. Furthermore the range of tasks and assignments is viewed as a criterion of professionalism.

1.5 Prescriptions for a bureaucratic approach toward educational work or assignments is considered essential to professionalism. Often it means abiding by rules/regulations that are uniformly and consistently applied.

1.6 Holding an attitude of commitment, obligation and responsibility that exceeds personal gain, advantage
or remuneration. However, the CI does not focus directly upon the client and his welfare as the primary concern for educators. These CI's are often critical of peers for the lack of a minimal sense of commitment to education and learners. There is a sense of altruism without the human element.

1.7 Many situations, practices, and incidents are described in which interpersonal criticisms and gripes represent the bases for non-professionalism. The connecting element in these CI's is person to person rather than person to organization, or a person against sources of legal authority. The assumption prevails in these CI's that frictions would not exist if different people were cast in these same roles or positions.

1.8 These CI's describe non-professional behaviors and practices whose basis is the organization structure in education. The organization pattern is hierarchical in nature and the incidents indicate that the organization hinders or undermines in some way the fulfillment of educational purpose. It differs from 1.7 because the criticisms are leveled against the "system" rather than against specific persons.

1.9 While these CI's are critical of behaviors and practices of others, they are not similar to 1.7 because there is acceptance of the prevailing patterns in educational organization. According to the perceptions of those reporting these CI's, such non-professional incidents are likely to occur because of the insufficient or inappropriate exercise of legal authority. Not only is there acceptance of the legal authority structure, but these CI's indicate a need for more support from legal authority.

2.1 Education is viewed as an important and purposeful social system. Positive values are associated with education. Education is an essential service provided to others.

2.2 The client's welfare and well-being is primary and basic. Professional practitioners work in order to fulfill this fundamental purpose. The altruistic expression in a profession is located here.
2.3 These CI's deal with education as a process. Education is doing certain things and not doing other things. There is a way of working in education and a way of not working. Having professional autonomy means being able to control and direct significant aspects of one's work.

2.4 These CI's consider education to have a methodology. Educational practices and assignments are predicated upon a learned vocational competence rather than being based on whims, inclinations, and expediencies. Vocational competence is more than possessing knowledge. It is the use of learnings in the form of knowledge, skills, attitudes, which are used to fulfill practical ends.

2.5 According to these CI's, educational practices should be based on the best that educators know. Educational practice which is sound is based, therefore, on research and knowledge. Practices which are predicated upon things other than knowledge and research are open to serious question and criticism.

2.6 Belonging to education as a group means that those who are part of the defined group should adhere to a moral and ethical code of personal behavior.

2.7 Educators as a group have a notion of what constitutes acceptable behavior from that which is considered unacceptable. This notion of misconduct often takes form in the making of critical comments about others within the group to those outside the group, or in being an instrument for group dissension by indiscriminate remarks and practices to others within the group.

2.8 There is a perceived need for using formally developed procedures to impose and sanction use of group discipline. Group imposed and sanctioned discipline ought to be used to deal with members charged with misconduct or incompetence.
APPENDIX C

DIRECTIONS TO CHECKERS CLASSIFYING CRITICAL INCIDENT DATA
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CRITICAL INCIDENT DATA

CHECKER II - Pilder
blue, upper right

CHECKER III - Redick
green, lower left

There are 750 critical incidents (CI) and 750 cards which represent the data to be read, studied and classified for this study. Begin by merely reading and examining incidents randomly so as to get a feel for the task. When you think you are ready to begin sorting and classifying the data, follow these directions:

(1) first, you are to sort the entire group into 2 general categories. One group is called "legitimate professional concerns" (LPC) and the other is composed of "non-legitimate professional concerns," (NLPC). An LPC describes a critical incident which directly bears upon, sustains or nurtures the basic purpose of education. The basic purpose of education is helping children learn.

(a) in your judgment, if the CI bears upon the basic purpose of education only indirectly, then that CI is classed as an NLPC. Periodically you will need to remind yourself of this criteria as the specific incidents often require thoughtful and careful consideration in order to sort out the LPC from the NLPC.

(b) also, you'll notice that the S's have been asked to describe practices, behaviors & incidents which they consider to be non-professional in education. From this data, the researcher is planning to evolve a theory of professionalism. The reason that non-professional incidents have been requested is this; 1) in education we do not have a theory of professionalism, in effect, we don't know what is and what is not professional. By asking for non-professional descriptions rather than professional incidents, we are
encouraging the use of divergent thinking so as to avail ourselves of a wide range of views on the subject. It is the intent of the researcher to construct positive notions about professionalism from these data. This also explains why it is necessary to give careful attention to those CI's whose meaning may not be readily apparent.

(2) secondly, after having built two groups (LPC and NLPC) begin with the NLPC and sort into one of the 9 categories developed by the researcher. You may be interested to know that the CI technique is based on the following two conditions. (a) each category is exclusive in that each CI belongs in one and only of the categories of the system, and (b) it is an inclusive system in that additional CI's would not result in the development of new categories.

For this study, the researcher is attempting to evolve a valid theory of professionalism. In effect, this reliability exercise will possibly help formulate an authentic theory or it may reveal the category system as being deficient in communicating meaning to others. It is possible that you will perceive certain CI's different from the researcher. Your classification of CI's will vary some from the way the incidents were initially classified. As each of you handles each CI, you have these choices:

(a) classify it exactly (both as to LPC, NLPC and specific category) as the researcher

(b) classify it in same grouping (LPC or NLPC) but in a different category from researcher

(c) classify it in a different grouping (LPC or NLPC) and in a different category from researcher
(d) classify it in a different grouping (LPC or NLPC) but in the same category as the researcher.

After you have finished classifying all the NLPC cards, follow the same procedure and put into classification (8 categories) all the LPC.

(3) Having classified all 750 CI's, count the number of CI's for each category and record this number on the back of the category title card either in the UR or LL corner with the prescribed color. Then take each card in a given category and in either the upper right corner (UR), back-side, (checker II) or in the lower left corner (LL) back-side (checker III), record the category number, 1.1, 1.2, 1.3, ......... 2.6, 2.7, 2.8 with appropriate colored pencil. Checker II is blue and checker III is green.

(4) You should now have 2 rather large stacks of cards or CI's grouped as NLPC and LPC, and each including subgroupings representing the 9 categories for NLPC and the 8 categories for LPC. Total up the number in each grouping and you will have, the number of NLPC, and the number of LPC.
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These are two excellent works from an area with many publications and studies in recent years.


