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# International Dialogues on Education Past and Present

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How William H. Kilpatrick's Project Method Came to Germany:  
"Progressive Education" Against the Background of American-German  
Relations Before and After 1933

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*Reinhard Golz (Germany)*

## Editorial

The articles in this issue of "International Dialogues on Education: Past and Present" demonstrate in their own special way the claim of our journal to be a contemporary forum in which educational scientists and pedagogical practitioners can inform and exchange information about research results and discussions in the field of education and related human and social science disciplines.

**Leanna B. Aker & Arthur K. Ellis** examine in their meta-analysis the scientific commitment of middle school students in the context of compulsory scientific courses. What it means to be committed is not thoroughly agreed. Although a coordinated operational definition of commitment is still in the process of being developed, there is an emerging consensus in research literature about a tripartite model of student commitment. The authors thus develop a synthesis of the existing primary research of the scientific commitment of early youths within the framework of this emerging conceptualization. They show that teaching methods, class characteristics and competence predictors represent particularly strong relationships to scientific engagement in this age group. The students' self-reports also revealed sub-types of their affective and cognitive engagement.

**Tatjana V. Paliyeva** deals with the conceptual foundations of poly-cultural education in the Republic of Belarus. The author first deals with global, philosophical and pedagogical problems in the thematic environment and then with the Belarusian term "polycultural education" which is similarly understood as "multicultural education" in the Anglo-American region or "interkulturelle Bildung" in the German language. The specificity of the theory and practice of polycultural education in Belarus is due to geographical, historical, denominational, cultural, sociolinguistic, social and pedagogical factors. Although Belarus is a practically multi-ethnic country with a rather low level of migration, the development of a multicultural personality is nevertheless seen as an important national task to prepare the younger generation for life in modern society.

In their contribution, **Abdulaziz M. Alshaikh & John B.B. Bond** examine the relationship between the principle of self-efficacy and the organizational citizenship behavior of teachers. They show that so far there has been no study dealing with this relationship or context. However, self-efficacy and organizational citizenship behaviour in schools are crucial for understanding the interactions between school principals and teachers. Following constructivism and Bandura-based social cognition theory, they present self-efficacy as individual behavior that is not directly or explicitly recognized by the formal reward system and promotes the efficient and effective functioning of the organization as a whole.

**Galina, A. Berulava & Mikhail N. Berulava** deal with important factors of personality development and its dynamic role in the modern world and especially in higher education. The authors criticize that neither the organized education system nor the teachers are now a primary source of personality development, but the electronic media, which have an increasingly negative influence on the development of individual and social competencies. The authors call for more detailed philosophical, sociological and psychological analyses of the role of electronic media in the education of people facing the challenges of our time.

**Manfred Oberlechner's** contribution deals with aspects of migration pedagogy in the context of early school dropouts. The author discusses the connection between educational poverty, migration background and school drop-out as well as educational reforms with a view to inclusion. In doing so, he questions the institutional self-image of educational institutions within migration societies because it is predominantly ethnically-nationally and linguistically-homogeneously conceived. Bourdieu's educational concept and Mecheril's definition of migration pedagogy are the theoretical foundations of his argumentation.

The research question in **Sharon H. C. Chiang & Arthur K. Ellis's** contribution was whether and to what extent the expectations of parents influence the parent-child relationship, and how this can be demonstrated in particular by the example of selected Chinese groups. The authors initially assume that the family is the most important learning environment and the first social network for children. Parallel to school education, the critical influence of parental expectation finally extends to all aspects of a person's life. The study examines parental expectation and its influence on parent-child relationships using quantitative and qualitative research methods. This explorative study offers the potential to stimulate further research on expectations and relationships.

In his historical-pedagogical contribution, **Hein Retter** explores the question of how the project method of the American educator and co-founder of the international Progressive Education Movement, William H. Kilpatrick, came to Germany. In his research, Hein Retter can rely on previously unknown archival documents as well as on Kilpatrick's digitized diaries and, among other things, shed light on American-German educational relations up to the beginning of the Nazi era in Germany. For various reasons, the IDE editorial board did not (exceptionally) insist on a shortening of the article to our usual length of about 12,000 words, because this article not only represents the thematic conclusion of a number of other contributions by the author in this journal, but also because of the complexity of this topic and the inclusion of previously unknown documents.

So far on the contributions for this issue.

\* \* \*

As already written in earlier Editorials and at other places in our journal, we would like to emphasize our positions and expectations regarding future contributions:

- We will continue to maintain a broad thematic focus on educational developments from historical, international and comparative perspectives. Furthermore, not only educational scientists and practitioners can exchange information about their research results, but also representatives of related fields in the human and social sciences. We publish articles that are scientifically verifiable, permeated by humanistic, democratic values, social responsibility, respect for autonomy, diversity and the dignity of individuals, groups and communities. We stand for liberal, independent educational research and publication activity and against the unrestrained commercialization of access to scientific publications.
- We publish **two** issues per year; the first is published at the end of **May** and the second at the end of **November**. This means for the **next** issue:
  - ✓ For editorial planning reasons, it is recommended that the **provisional titles** of the intended contributions be submitted to the Editorial Board **as early as possible**, but no later than 15 September 2019.
  - ✓ **The deadline for sending the complete articles is 15 October 2019.**
- Authors are requested to strictly adhere to our editorial standards and requirements in: [www.ide-journal.org/instructions-to-contributors/](http://www.ide-journal.org/instructions-to-contributors/).

We look forward to further high-quality contributions: articles, essays, book reviews, conference reports and information on research and teaching projects.

[Reinhard Golz](#) – on behalf of the [Editorial Board](#)



Leanna B. Aker & Arthur K. Ellis (USA)

## A Meta-Analysis of Middle School Students' Science Engagement

**Abstract:** The extent to which middle school students are engaged in required science courses is an elusive but increasingly documented phenomenon. Anecdotal and empirical evidence alike raise concern with a perceived decline in science engagement reported by students as they transition into the middle school setting. Even what it means to be engaged is not thoroughly agreed on. Though an agreed-on operational definition of engagement is still nascent, an emerging consensus on a three-faceted model of student engagement exists in the research literature (Fredricks, Blumenfeld, & Paris, 2004). Thus, a synthesis of existing primary research of early adolescents' science engagement under this emerging conceptualization is warranted. The results of this meta-analysis indicate that instructional methods, class characteristics and competence predictors comprise the strongest relationship with self-reported science engagement in early adolescence. These predictors also show the strongest relationship with affective and cognitive engagement sub-types. Though affective and cognitive engagement were well-represented in primary studies, behavioral engagement was under-represented in student self-reports.

**Keywords:** meta-analysis, behavioral engagement, cognitive engagement, affective engagement, science, middle school, junior high school, early adolescence, self-determination theory, stage-environment fit theory

**摘要** (Leanna B. Aker & Arthur K. Ellis: 关于初中生科学课参与度的元分析研究) : 初中生在必修科学课程中的参与度是一个难以捉摸, 但逐渐获得关注的现象。相关的轶事证据和实验性证据引起了各界对学生在进入初中阶段后所报告的科学课参与度下降问题的担忧。各界在如何定义参与度这一问题上也未能达成共识。虽然研究者对参与度的操作性定义的意见并不完全一致, 但是研究文献中已开始出现一些对学生参与度三面模型的共识 (Fredricks, Blumenfeld, & Paris, 2004)。因此, 在此新兴概念化背景下, 有必要对针对初中生的科学课参与度的各项研究进行综合分析。

本项元分析的结果表明, 教学方法、课堂特征和能力预测因素与初中学生自我报告的科学参与度有密切的关系。同时, 这些因素也显示出与情感和认知这一参与度子类型情感的密切关系。此外, 元分析的结果显示, 虽然目前对情感和认知参与的研究比较充分, 但对行为参与的研究相对缺乏。

**关键词:** 元分析, 行为参与, 认知参与, 情感参与, 科学, 初中, 青春期早期, 自我决定理论, 阶段-环境契合理论

**摘要** (Leanna B. Aker & Arthur K. Ellis: 關於國中生科學課參與度的元分析研究) : 國中生在必修科學課程中的參與度是一個難以捉摸, 但逐漸獲得關注的現象。相關的軼事證據和實驗性證據引起了各界對學生在進入國中階段後所報告的科學課參與度下降問題的擔憂。各界在如何定義參與度這一問題上也未能達成共識。雖然研究者對參與度的操作性定義的意見並不完全一致, 但是研究文獻中已開始出現一些對學生參與度三面模型的共識 (Fredricks, Blumenfeld, & Paris, 2004)。因此, 在此新興概念化背景下, 有必要對針對國中生的科學課參與度的各項研究進行綜合分析。

本項元分析的結果表明, 教學方法、課堂特徵和能力預測因素與國中生自我報告的科學參與度有密切的關係。同時, 這些因素也顯示出與情感和認知這一參與度子類型情感的密切關係。此外, 元分析的結果顯示, 雖然目前對情感和認知參與的研究比較充分, 但對行為參與的研究相對缺乏。

**關鍵詞:** 元分析, 行為參與, 認知參與, 情感參與, 科學, 國中, 青春期早期, 自我決定理論, 階段-環境契合理論

**Zusammenfassung** (Leanna B. Aker & Arthur K. Ellis: Eine Meta-Analyse des wissenschaftlichen Engagements von Schülern der Mittelstufe): Das Ausmaß, in dem Schülerinnen und Schüler der Mittelstufe

*an naturwissenschaftlichen Pflichtkursen teilnehmen, ist ein schwer zu erfassendes, aber zunehmend dokumentiertes Phänomen. Anekdotische und empirische Beweise werfen gleichermaßen Bedenken hinsichtlich eines wahrgenommenen Rückgangs des wissenschaftlichen Engagements der Schüler beim Übergang in die Mittelschule auf. Selbst was es bedeutet, engagiert zu sein, ist nicht gründlich vereinbart. Obwohl eine abgestimmte operative Definition von Engagement noch im Entstehen begriffen ist, gibt es in der Forschungsliteratur einen sich abzeichnenden Konsens über ein dreigliedriges Modell des studentischen Engagements (Fredricks, Blumenfeld, & Paris, 2004). Somit ist eine Synthese der bestehenden Primärforschung des wissenschaftlichen Engagements früher Jugendlicher im Rahmen dieser aufkommenden Konzeptualisierung gerechtfertigt. Die Ergebnisse dieser Meta-Analyse deuten darauf hin, dass Unterrichtsmethoden, Klassenmerkmale und Kompetenzprädikatoren die stärkste Beziehung zum selbstberichteten wissenschaftlichen Engagement in der frühen Adoleszenz darstellen. Diese Prädiktoren zeigen auch die stärkste Beziehung zu den Subtypen des affektiven und kognitiven Engagements. Obwohl affektives und kognitives Engagement in Primärstudien gut vertreten war, war das verhaltensbedingte Engagement in den Selbstberichten der Schüler unterrepräsentiert.*

**Schlüsselwörter:** *Meta-Analyse, Verhaltens-Engagement, kognitives Engagement, affektives Engagement, Wissenschaft, Mittelschule, Gymnasium, frühe Adoleszenz, Selbstbestimmungstheorie, Stage-environment fit theory*

**Аннотация** (Леанна Б. Акер & Артур К. Эллис: Метаанализ научной вовлеченности учащихся средних классов): масштабы участия учащихся средних классов в естественно-научных курсах обязательных дисциплин сложно выразить в цифровом эквиваленте, однако данный феномен подвергается всё большему описанию. Как неверифицируемые, так и эмпирически подтвержденные случаи не проливают свет на причины регистрируемого уменьшения вовлеченности учащихся в научную жизнь при переходе на среднюю ступень обучения. Само понятие «вовлеченность» также не имеет общезакрепленного определения. Несмотря на то, что рабочее определение вовлеченности еще находится на стадии уточнения, в научно-исследовательской литературе отмечается единство взглядов в вопросе трехмерности модели студенческой вовлеченности (Фредрикс, Блюменфельд & Парис, 2004). Тем самым представляется оправданной попытка синтезировать актуальные данные первичных исследований степени вовлеченности подростков в научную жизнь в рамках зарождающейся концептуализации данного феномена. Результаты этого метаанализа указывают на то, что в раннем подростковом возрасте методы преподавания, характеристики класса и предикаторы компетенций имеют самое непосредственное отношение к рефлексии над собственной научной вовлеченностью. Эти предикаторы демонстрируют также самую тесную связь с подтипами аффективной и когнитивной вовлеченности. Аффективный и когнитивный типы вовлеченности в первичных исследованиях были представлены достаточно полно, в то время как поведенческая составляющая вовлеченности в процессе самозаполнения отмечалась у учащихся реже.

**Ключевые слова:** *метаанализ, поведенческая вовлеченность, когнитивная вовлеченность, аффективная вовлеченность, наука, средняя школа, гимназия, ранний подростковый возраст, теория самоопределения, модель взаимного соответствия индивидуума и среды*

## Introduction

The problematic nature of student engagement with school science has been a concern of science researchers and practitioners for several decades as student interest in, and attitudes toward, science as a school subject appears to have waned (Jenkins & Pell, 2006; Lee & Anderson, 1993; Osborne, Simon, & Collins, 2003; Polkin & Hasni, 2014). This decline often coincides with the transition into middle school (Braund & Driver, 2005; Eccles et al., 1993; Eccles & Roeser, 2010; Mahatmya, Lohman, Matjasko, & Farb, 2012). However, researchers have demonstrated that declining engagement is not an inevitable outcome of the transition to middle school (Anderman & Maehr, 1994; Eccles et al., 1993; Vedder-Weiss & Fortus, 2011). There is good reason to think that early adolescence is a time of rich developmental potential to engage cognitively in abstract

reasoning, considering multiple perspectives, and weighing several strategies simultaneously (Mahatmya et al., 2012; Piaget, 1972).

Self-determination theory (SDT) and stage-environment fit (SEF) theory offer anchors to guide an evaluation of research about early adolescents' engagement with middle school science. SDT posits that students are most likely to be motivated when they feel a sense of competence, autonomy, and relatedness (Roeser & Eccles, 1998; Ryan & Deci, 2000). SEF theory suggests that an appropriate fit between the educational environment and students' developmental needs will lead to increased engagement (Eccles & Midgley, 1989, Eccles et al., 1993, p. 90). As early adolescents are unique in their increasing developmental need for autonomy and relatedness, these two theories provide a lens with which to evaluate engagement research at this age level (Steinberg & Silverberg, 1986; Soenens & Vansteenkiske, 2010).

As conceptual and operational clarity emerges about engagement, a meta-analysis of existing engagement studies in the area of school science is a logical next step toward increased coherence for this body of research. Studies exist in the research literature that purport to measure engagement but which use operationalizations that are incongruent with the emerging consensus about the construct. In 1991, a meta-analysis of engagement was conducted that focused almost exclusively on behavioral indicators of engagement with scant attention to affective or cognitive factors. While observable student behavior is indeed an indicator, it represents a limited subset of what is now considered a more complex description of engagement (Kumar, 1991). On the other hand, there are studies that are not identified as engagement-related, yet assess indicators of behavioral, affective, or cognitive engagement. A purposeful, updated synthesis of engagement and engagement-related research serves to solidify an operational definition of the construct.

The identification of practically significant predictors of engagement stands to benefit educational practitioners. Engagement is intuitively understood by educators and viewed as malleable and responsive to teacher practices (Finn & Zimmer, 2012; Singh, Granville, & Dika, 2002; Skinner & Pitzer, 2012). A synthesis of existing research can inform possible interventions that positively impact student engagement with specific science tasks. Identifying effective predictors of each type of engagement can inform targeted interventions to address certain specific engagement issues.

## Engagement

The term "engagement" is ubiquitous in the educational field, appearing in teacher evaluation criteria, educator vernacular, and educational research. Part of the reason that the term is so pervasive is that it has such an intuitive meaning in education. This intuitive meaning is reflected in different definitions of engagement found in the research literature. Examples include the following: "the student's psychological investment in and effort directed toward learning, understanding, or mastering the knowledge, skills, or crafts that academic work is intended to promote" (Newmann, 1992, p. 12), "the attention...investment, and effort students expend in the work of school" (Marks, 2000, p. 155), and "constructive, enthusiastic, willing, emotionally positive, and cognitively focused participation with learning activities in school" (Skinner & Pitzer, 2012, p. 22). Thus, engagement refers to the nature and quality of a student's participation in school and its academic tasks.

Despite this intuitive meaning, or perhaps because of it, engagement has only recently begun to become operationalized as a construct. Some researchers criticize engagement as subsuming, duplicating, or overlapping existing educational constructs, such as motivation (Azevedo, 2015; Fredricks et al., 2004). Due to historical changes in both the construct itself and its grain size of interest—differentiating facilitators, indicators, and outcomes of engagement has also presented challenges. While differing engagement models exist in the research literature, each fundamentally attempts to describe and differentiate high and low quality engagement.

A seminal synthesis of engagement research proposes a model that has been increasingly adopted by educational researchers. Fredricks and her colleagues (2004) suggested that engagement is a meta-construct with three facets—behavioral, cognitive, and affective. Behaviorally engaged students show on-task actions such as attention and participation (Caraway & Tucker, 2003, p. 417). Affectively engaged students are interested, see value in the tasks they are given, and have positive emotions about what they are experiencing (Fredricks et al., 2004). Cognitively engaged students are self-regulated learners, use multiple strategies for learning, and show effort beyond what is required (Azevedo, 2015; Fredricks et al., 2004; Pintrich & DeGroot, 1990).

The three-faceted model of engagement has come to dominate the research literature—it has been validated psychometrically, used to examine and categorize psychometric instruments, taken up and cited by researchers in subsequent studies, and used to interpret existing research about engagement (Doğan, 2014; Fredricks et al., 2004; Fredricks, McColskey, Meli, Montrosse, Mordica, & Mooney, 2011; Sinatra, Heddy, & Lombardi, 2015; Veiga, Reeve, Wentzel, & Robu, 2014; Wang & Holcombe, 2010; Wang, Willett, & Eccles, 2011). Furthermore, each type of engagement can be disaggregated and understood as a distinct entity—one can, for example, imagine a situation in which a student is behaviorally but not cognitively engaged; and the cognitively engaged high achiever who works hard for good grades but professes no real interest in a subject represents a near folklore-like caricature.

## Methodology

**Literature Search.** This meta-analysis includes a comprehensive literature review based on both published and grey literature. Included studies were published between 2006-2016, involved participants from 10 to 15 years old (grades 5-9), and written in or translatable to English. As causality was not desired, the search accommodated a variety of methodological designs, including experimental, quasi-experimental, repeated measures, correlational (e.g., correlational, regression), and ex post facto. Studies were excluded if they did not report effect sizes or the statistics necessary to calculate the effect size and its precision.

Characteristics of the engagement predictors and indicators further limited the number of included studies. Included studies examined science engagement predictors and outcomes that are malleable at the classroom or task level. For example, studies that primarily examined science content as predictors of engagement were excluded. The assessment of engagement indicators could be explicit or implicit, but could only be accomplished through student self-report. The decision about whether a study implicitly measured engagement was informed by guidelines from the research literature (Fredricks et al., 2004; Skinner & Pitzer, 2012).

**Coding.** A number of potential moderators of middle school science engagement were coded, including publication and peer-review status, grade level, school structure, school type, school setting, geographic location, socio-economic status, experimental design, instrument reliability and validity, and repeat authors. Additionally, engagement outcomes were coded as behavioral, affective, cognitive, or a combination thereof. Engagement predictors were coded by predictor type (instructional methods, technology, class characteristics, and social characteristics), as well as by self-determination theory component (autonomy, competence, and relatedness).

**Statistical Analysis.** Given that true effect sizes were expected to differ from study to study, a random effects meta-analysis was conducted, utilizing Comprehensive Meta-Analysis (CMA), Version 3 (Biostat, 2015) to conduct the meta-analysis, an online effect size calculator (Wilson, 2015) for effect size calculations not offered within the program, and Microsoft Excel to perform sub-calculations and examine descriptive statistics. Sub-analyses were conducted using random

effects meta-regression to determine the relationship between various predictors or moderators and engagement outcomes.

Hedges'  $g$  was selected as a common effect size metric for comparing studies. Effect sizes reflecting measures of association (the  $r$ -family of effect sizes) were converted to the  $d$ -family of effect sizes within CMA, and then Cohen's  $d$  values were then converted to Hedges'  $g$  within CMA. Guidelines for interpretation of effect sizes as strong ( $g > 2.7$ ), moderate ( $g > 1.15$ ), minimum ( $g > .41$ ), and no practical effect ( $g < .41$ ) were established by Ferguson (2009). While some studies produced single effect sizes, other studies reflected complex data structures. For independent groups, data were pooled together via a mini meta-analysis to yield a single effect size for each study. For non-independent subgroups, the pooling of data was conducted using a variance that corrected for the correlation among multiple outcomes. Values for high (.8), moderate (.5), and low correlation (.2), were assigned following guidelines proposed by Ferguson (2009). Identical engagement outcomes (e.g., affective and affective) were designated highly correlated, while different engagement outcomes (e.g., affective and cognitive) were designated moderately correlated.

## Results

Seventy-nine studies met inclusion criteria. The majority of studies were published ( $k = 58$ , 73.4%) and peer-reviewed ( $k = 52$ , 67.6%). Sample sizes ranged from 20 to 10,437, with an overall sample size of 53,971 for the meta-analysis. Sixteen of the 79 studies yielded multiple engagement predictors. Predictors were coded both by type and by self-determination theory component. Instructional method ( $n = 57$ ,  $k = 40$ ) and class characteristics ( $n = 60$ ,  $k = 20$ ) were the most common predictor types (see Table 1). Autonomy SDT predictors were most common ( $n = 94$ ,  $k = 22$ ), followed by relatedness ( $n = 35$ ,  $k = 49$ ) and competence ( $n = 29$ ,  $k = 21$ ). The number of studies sums to more than 79 as some studies included more than one engagement predictor. A full list of studies can be found in Aker's dissertation (2016).

Table 1: *Descriptive Statistics for Predictor Classification*

Predictor classification	Point estimates		Studies	
	$n$	Percent	$k$	Percent
<b>Type</b>				
Instructional Method	57	36.1%	40	48.2%
Technology	15	9.5%	13	15.7%
Class Characteristics	60	37.9%	20	24.1%
Social Characteristics	26	16.5%	10	12%
<b>Self-determination theory</b>				
Autonomy	94	59.4%	22	23.9%
Competence	29	18.4%	21	22.8%
Relatedness	35	22.2%	49	53.3%

Twenty-three of the 79 studies yielded multiple engagement outcomes (see Table 2). The most common outcome provided by the studies was affective engagement ( $n = 84$ ,  $k = 56$ ), followed by cognitive engagement ( $n = 49$ ,  $k = 31$ ), combinations of two engagement outcomes ( $n = 13$ ,  $k = 9$ ),

behavioral engagement ( $n = 10, k = 7$ ), and combinations of all three engagement outcomes ( $n = 2, k = 2$ ). The number of studies summed to more than 79 ( $k = 105$ ) because some studies provided data about more than one engagement type.

Table 2: *Descriptive Statistics for Engagement Outcomes*

Engagement type	Point estimates		Studies	
	$n$	Percent	$k$	Percent
Behavioral	10	6.3%	7	6.7%
Affective	84	53.2%	56	53.3%
Cognitive	49	31%	31	29.5%
Two outcomes combined	13	8.2%	9	8.7%
Three outcomes combined	2	1.3%	2	1.9%

One hundred fifty-eight effect sizes were calculated, representing each engagement predictor and outcome for the 79 included studies. The effect sizes ranged from  $-.75$  to  $2.51$ , with the majority falling between  $-.75$  and  $1.8$ . Positive effect sizes were most numerous ( $n = 124$ ), though there were 33 negative effect sizes, and one effect size of zero.

**Moderators of Engagement.** A meta-regression was conducted for seven of the 12 coded moderators—five provided a minimum of ten point estimates for each moderator category, and two provided ten point estimates for most categories (see Table 3). Omnibus tests revealed statistically significant results for four of these seven moderators—geographic location, school setting, instrument reliability, and publication status.

Point estimates from studies sampling from countries outside the U.S. ( $g = .42$ , 95% CI  $[.04, .49]$ ) showed the higher effect size while sampling U.S. schools showed the lower effect size ( $g = .24$ , 95% CI  $[.16, .31]$ ). An examination of regression coefficients for the geographic location model showed that studies sampling schools outside the U.S. predicted increases in engagement point estimates ( $\beta = .18, p = .0008$ ) when compared to studies sampled from schools within the United States ( $\beta = .24, p < .00001$ ). However, 18 of the 44 studies from countries outside the United States originated from Turkey, where a K-8 school structure is common. The mean science engagement effect size for point estimates from middle schools was  $g = .16$ , 95% CI  $[.06, .25]$ , and from K-8 schools was  $g = .42$ , 95% CI  $[.31, .52]$ . These results suggest that the observed differences in science engagement due to geographic location might also be confounded by school structure.

Table 3: *Summary of Effect Sizes and Regression Models for Moderators*

Moderators	Point estimate categories			Regression model			
	$n$	Significant ( $n$ )	Minimum of 10 ( $n$ )	$Q$	$df$	$p$	Significant coeff. ( $n$ )
Publication status	2	2	2	15.70	1	.0007	2
Geographic location	2	2	2	11.28	1	.0007	2
School setting (w rural)	5	4	4	14.81	4	.0051	3
Instrument reliability	5	4	4	13.65	4	.008	0
School setting (no rural)	4	4	4	7.17	3	.067	2
Study methodology	4	3	4	6.41	3	.093	1

Peer review status	2	2	2	2.38	1	.123	1
Repeat authors	2	2	2	.03	1	.873	1
School structure	7	6	4	-	-	-	-
School type	4	3	3	-	-	-	-
Instrument validity	5	3	4	-	-	-	-
Socioeconomic status	5	3	3	-	-	-	-

School setting was reported for fewer than half of the point estimates ( $n = 75$ ) within the study. Of those 75 point estimates, 18 reflected a mix of school settings (e.g., rural and suburban), and thus could be analyzed no further with respect to the effect of school setting on science engagement. Of the remaining 58 point estimates, those from urban schools reflected the highest effect size ( $g = .40$ , 95% CI [.25, .54]), and rural schools reflected the lowest effect size ( $g = -.11$ , 95% CI [-.42, .21]). Though the effect size for rural schools was not significant, the coefficient for rural schools was significant in the meta-regression ( $\beta = -.50$ ,  $p = .003$ ). This suggests that science engagement is expected to be lower in rural settings than in suburban or urban settings. However, an analysis of the lower mean science engagement effect size in rural schools was conducted with caution, as there were only five point estimates originating from schools in rural settings.

Instrument reliability was reported for all but six point estimates within the study. Point estimates from studies referencing an external instrument produced the highest mean effect size ( $g = .60$ , 95% CI [.39, .81]), followed closely by point estimates from studies referencing external instrument reliabilities ( $g = .58$ , 95% CI [.37, .78]). Though the effect sizes for both categories were statistically significant, the coefficients for each category within the regression model were not ( $\beta = .33$ ,  $p = .078$ , and  $\beta = .31$ ,  $p = .099$ , respectively). Point estimates from studies providing measures of internal reliability produced lower mean effect sizes, regardless of whether the internal measure was less or greater than .70 ( $g = .26$ , 95% CI [.12, .39], and  $g = .30$ , 95% CI [.22, .37], respectively). Neither coefficient was statistically significant in the regression model ( $\beta = -.01$ ,  $p = .965$ , and  $\beta = .03$ ,  $p = .841$ , respectively).

Point estimates from published studies showed the higher effect size ( $g = .40$ , 95% CI [.33, .46]), while those from unpublished studies showed the lower effect size ( $g = .15$ , 95% CI [.04, .25]). The regression coefficients for the publication status model showed that published studies predicted increases in engagement point estimates ( $\beta = .25$ ,  $p = .00007$ ) when compared to unpublished studies ( $\beta = .15$ ,  $p = .007$ ). Though these results suggest possible publication bias, no other analysis supported that conclusion (see Publication Bias).

**Practically Significant Predictors.** Fifty-one practically significant effect sizes ( $g > .41$ ) represented 32.3% of the 158 point estimates and 46.8% ( $n = 37$ ) of included studies (see Figure 1). Thirteen of 51 practically significant effect sizes reflected moderate effects ( $g > 1.15$ ), and two had effect sizes approaching classification as strong—a science-technology-society curriculum approach ( $g = 2.5$ , 95% CI [2.079, 2.947]) and project-based learning ( $g = 2.5$ , 95% CI [1.954, 2.953]). The remaining 11 moderate effect size point estimates reflected a variety of predictors, including different instructional approaches (project-based learning, research, and scaffolding), self-determination theory components (autonomy and competence), and class characteristics (student-teacher relationship and perception of class goals).

**Commonalities in Practically Significant Predictors.** The distribution of engagement effect sizes for each predictor type was examined (see Table 4). Instructional method predictors had the highest frequency of practically significant effect sizes ( $n = 24$ ; 46%), the highest frequency of

moderate effect sizes ( $n = 7, 12.8\%$ ) and the lowest frequency of negative effect sizes ( $n = 9, 15.8\%$ ). Though the other three categories of predictor types (technology, class characteristics, and social characteristics) yielded comparable frequencies of practically significant effects (26.7%, 28.3%, and 23%, respectively), technology had the highest frequency of negative effect sizes ( $n = 5, 33.3\%$ ). Further, there were no practically significant technology point estimates that represented moderate effects ( $g > 1.15$ ).

Table 4: *Distribution of Point Estimates by Predictor Classification*

Predictor Classification	Practically Significant Effect Sizes				Practically Insignificant Effect Sizes			
	Moderate ( $2.7 > g > 1.15$ )		Small ( $1.15 > g > .41$ )		Small ( $.41 > g \geq 0$ )		Negative ( $g < 0$ )	
	<i>n</i>	Percent	<i>n</i>	Percent	<i>n</i>	Percent	<i>n</i>	Percent
Type								
Instructional method	7	12.8%	17	29.8%	24	42.1%	9	15.8%
Technology	0	0%	4	26.7%	6	40%	5	33.3%
Class characteristics	5	8.3%	12	20%	33	55%	10	16.7%
Social characteristics	1	3.8%	5	19.2%	15	57.7%	5	19.2%
Self-determination theory								
Autonomy	5	5.3%	17	18%	51	54%	21	22.2%
Competence	4	13.8%	13	44.8%	11	37.9%	1	3.4%
Relatedness	4	11.4%	7	20%	16	45.7%	8	22.9%

Mean effect sizes were calculated for each category of predictor. Instructional method predictors showed the highest effect size ( $g = .42, 95\% \text{ CI } [.34, .51]$ ), followed by class characteristics ( $g = .34, 95\% \text{ CI } [.25, .42]$ ), and social characteristics ( $g = .25, 95\% \text{ CI } [.12, .38]$ ). For technology predictors ( $g = .10, 95\% \text{ CI } [-.06, .27]$ ), it was possible that the effect size was zero ( $Z = 1.23, p = .22$ ). Only the mean effect size for instructional methods predictors achieved a minimum practical effect size of  $g > .41$ . See Table 5 for effect sizes and null tests of each predictor.

Table 5: *Effect Sizes and Null Tests for Predictor Classification: Type*

Predictor type	<i>n</i>	<i>g</i>	95% CI	<i>Z</i>	<i>p</i>
Instructional methods	57	.42	[.34, .51]	9.82	.0000
Technology	15	.10	[-.06, .27]	1.23	.2201
Class characteristics	60	.34	[.25, .42]	7.87	.0000
Social characteristics	26	.25	[.12, .38]	3.72	.0002

A test of the predictor type regression model reveals that it was likely effect size differed by predictor type ( $Q = 13.56, p = .004$ ). The predictor type model explained 5% of the total between-studies variance in effect sizes ( $R^2 = .05$ ). An examination of the regression coefficients for the model suggested that technology, class, and social predictors predicted decreased engagement point estimates when compared to instructional methods. However, only the coefficients for technology ( $\beta = -.32, p = .0006$ ) and social characteristics ( $\beta = -.18, p = .027$ ) were statistically significant (see Table 6). Though the null test of technology ( $Z = 1.23, p = .2201$ ) indicated that the mean effect size point estimate for technology predictors on could be zero, the regression model suggested the impact of technology predictors on the model was significant.

Competence was the self-determination theory predictor with the highest frequency of practically significant effect sizes ( $n = 17, 58.6\%$ ), the highest frequency of moderate effect sizes ( $n = 4,$

13.8%), and lowest frequency of negative effect sizes ( $n = 1$ , 3.4%). Autonomy and relatedness yielded similar frequencies of practically significant point estimates ( $n = 22$ , 23.3% and  $n = 11$ , 31.4%, respectively) and negative point estimates ( $n = 21$ , 22.2% and  $n = 8$ , 22.9%, respectively).

Table 6: *Meta-regression Model for Predictor Classification: Type*

Predictor type	Variance		Test of model			Regression		
	$T^2$	$R^2$	$Q$	$df$	$p$	Coeff.	$Z$	$p$
Instructional method (intercept)	.0898	0				.42	9.82	.000
Technology	.09	0	7.92	1	.005	-.32	-3.40	.0006
Class characteristics	.0888	.01	8.42	2	.015	-.09	-1.44	0.149
Social characteristics	.0857	.05	13.56	3	.004	-.18	-2.22	0.026

Mean effect sizes were calculated for each category of SDT predictor. Competence showed the highest effect size ( $g = .56$ , 95% CI [.44, .69]), and autonomy showing the lowest effect size ( $g = .26$ , 95% CI [.19, .33]). All of the SDT predictors were statistically significant. See Table 7 for effect sizes and null tests of each predictor.

Table 7: *Effect Sizes and Null Tests for Predictor Classification: SDT*

SDT predictor type	$n$	$G$	95% CI	$Z$	$p$
Autonomy	94	.26	[.19, .33]	7.31	.0000
Competence	29	.56	[.44, .69]	8.90	.0000
Relatedness	35	.34	[.22, .46]	5.74	.0000

Though it was likely that the effect size differed by SDT predictor type ( $Q = 17.80$ ,  $p = .0001$ ), the model explained a negligible amount of the between-studies variance in effect sizes ( $R^2 < .001$ ). An examination of the incremental changes to the model suggested that a model with just autonomy and competence explained 6% of the variance in effect sizes ( $R^2 = .06$ ).

An examination of the regression coefficients for the model suggested that each SDT component predicted increased engagement (see Table 8). Furthermore, the coefficient for competence was statistically significant ( $\beta = .31$ ,  $p = .00002$ ) when compared to the intercept for autonomy. Though relatedness predicted increased engagement ( $\beta = .08$ ), it was possible that the effect of relatedness predictors on engagement could be zero ( $Z = 1.18$ ,  $p = .236$ ).

Table 8: *Meta-regression Model for Predictor Classification: SDT*

SDT predictor type	Variance		Test of model			Regression		
	$T^2$	$R^2$	$Q$	$df$	$p$	Coeff.	$Z$	$p$
Autonomy (intercept)	.0898	0				.26	7.31	.000
Competence	.0840	0.06	18.13	1	.0000	.31	4.22	.000
Relatedness	.0950	0.00	17.80	2	.0001	.08	1.18	.236

## Predictors of Engagement Types

Of 84 affective engagement point estimates, 28 were practically significant ( $g > .41$ ). Of the predictor types, class characteristics and instructional methods showed the highest affective engagement effect sizes ( $g = .42$ , 95% CI [.30, .53], and  $g = .38$ , 95% CI [.28, .48], respectively). Similar to the holistic engagement results, technology showed the lowest effect size ( $g = .09$ , 95% CI [-.08, .25], and was not statistically significant. The regression model for predictor type on affective engagement explained 13.2% of the between-studies variance in affective engagement effect sizes

( $R^2 = .132$ ), though only the instructional methods coefficient was statistically significant, as the effects of class characteristics and instructional methods were so similar.

Of the self-determination theory predictors, competence yielded the highest affective engagement mean point estimate ( $g = .53$ , 95% CI [.34, .71]), followed by relatedness ( $g = .35$ , 95% CI [.21, .50]), and autonomy ( $g = .27$ , 95% CI [.17, .37]). However, it was unlikely that affective engagement differed by SDT predictor type ( $Q = 4.49$ ,  $p = .06$ ), and the regression model explained a negligible amount of the variance in affective engagement ( $R^2 < .001$ ).

The results for cognitive engagement paralleled those of engagement overall, with instructional methods and competence showing the highest mean cognitive point estimates ( $g = .49$ , 95% CI [.33, .66]) and ( $g = .61$ , 95% CI [.41, .81], respectively). Both predictor type and the SDT predictor models explained negligible variance between studies ( $R^2 < .001$ ). With only 10 behavioral engagement point estimates, it was inadvisable to analyze mean effect sizes by category or through meta-regression.

**Publication Bias.** A comparison of unpublished ( $g = .15$ , 95% CI [.04, .25]  $n = 39$ ) and published studies ( $g = .40$ , 95% CI [.33, .46],  $n = 119$ ) warranted an examination of potential public bias. However, other suggested analyses did not find evidence for publication bias in this study. Though the regression model for publication status was statistically significant, it explained a negligible portion of the effect size variance ( $R^2 < .0001$ ). The funnel plot revealed studies missing to the *right*, rather than the left of the mean. The adjusted mean effect size produced through a trim and fill procedure ( $g = .42$ , 95% CI [.35, .48]) was *larger* than the original ( $g = .37$ , 95% CI [.30, .42]). Last, Orwin's classic fail-safe  $N$  indicated that 9197 studies would be required to bring the mean Hedges'  $g$  to a value that would no longer be statistically significant.

## Discussion

Of the predictor types, instructional methods were the best predictors of engagement. Though technology, class characteristics, and social characteristics all generated positive mean effect sizes, they also predicted decreases in science engagement in the regression model, with respect to instructional methods. Technology predicted the greatest decreases in engagement and had the highest representation of negative point estimates of all of the predictors ( $n = 5$ , 33%). Class characteristics and social characteristics predicted smaller decreases ( $\beta = -.09$ ,  $p = .149$ , and  $\beta = -.18$ ,  $p = .026$ , respectively), and the predicted decrease for class characteristics was not statistically significant.

Though causality was not established by this study, these results suggest that interventions focusing on technology, class characteristics, and social characteristics could be less effective at increasing science engagement than interventions focusing on instructional methods. The fact that technology predictors showed the lowest mean effect size and predicted the greatest decrease in engagement with respect to instructional methods runs counter to rationales given for technology integration in science classrooms—authenticity with the scientific discipline, equity, novelty, and autonomy support (Guillén-Nieto & Aleson-Carbonell, 2012; Zucker, Tinker, Staudt, Mansfield, & Metcalf, 2008). A common rationale given for the incorporation of technology games into the curriculum is that students receive more immediate feedback on their progress in a gaming situation (Garris, Ahlers, & Driskell, 2002). One explanation for the disconnect between rationales for technology integration and the relationship of technology with engagement in this study is that technology is one of many conduits through which authenticity, equity, novelty, autonomy, and feedback can be enhanced. The mere integration of technology does not ensure that any of the aforementioned desired qualities are implemented, or implemented effectively.

The predicted decrease in engagement from social characteristics when compared to instructional methods is also contradictory to educational research. Examples of social characteristics within

this study included perceptions of teacher characteristics—approachability, social support, and strictness—as well as more holistic social characteristics, such as perceptions of belonging, cooperative learning, and respect for differences. Research supports the efficacy of social interventions such as cooperative learning (Slavin, Hurley, & Chamberlain, 2003). Further, extensive research on the middle school transition suggests that students report their teachers to be more controlling and less nurturing, and also that social comparison and competition increases (Eccles & Midgley, 1989; Eccles et al., 1993; Lepper, Corpus, & Iyengar, 2005; Roeser & Eccles, 1998). Thus, perceptions of social characteristics should predict students' engagement.

There are a number of possible explanations for the incongruity between the observed relationship of social characteristics with engagement in this study and other educational research findings. One is that the vast majority of social characteristics point estimates ( $n = 22$ ) reflected correlations between perceptions of those characteristics and engagement; only four of the point estimates in this category involved an intervention. Thus, it is possible that a student could report being engaged, while also reporting that his or her teacher was not approachable—in a correlational study there is no reason for one to explain the other. While the social characteristics category reflected 26 point estimates, they originated from only ten studies. In fact, one study produced 10 of the 26 point estimates. Additionally, six of the 26 point estimates reflected predictors that would be expected to have a negative relationship with engagement: perceptions of the teacher as admonishing, strict, or dissatisfied. When considering these different explanations in concert, a more likely explanation for the incongruity between observed and expected relationships between social characteristics and students' science engagement is that there were not enough point estimates to draw a definitive conclusion.

The class characteristics category, which predicted a statistically nonsignificant decrease in engagement with respect to instructional methods, was comprised of a variety of predictors, such as relevance, critical voice, autonomy support, and democratic versus traditional environments. The duration of more abstract interventions such as autonomy support could impact their efficacy, with students experiencing some discord with the intervention at early stages, and becoming more comfortable and benefitting from such interventions over time. Alternately, the novelty of such interventions could cause positive initial effects, with decreases over time as the intervention becomes more routine. In studies with multiple measures of engagement over time, the investigator selected the most proximal measure of engagement to the intervention. Thus, it is possible that longer-duration measures of the relationship between class characteristics and science engagement could show higher or lower point estimates than the more proximal measures within this study.

To further complicate the analysis of predictor type classification, many instructional methods can incorporate aspects of technology, class characteristics, or social characteristics. For example, project-based learning (instructional method) can include cooperative learning (social characteristic), and/or relevance (class characteristic) components. Thus, while one can conclude that a broad focus on technology, class characteristics, and social characteristics predicts decreases in science engagement, one cannot conclude that instructional methods incorporating these other components would be less effective than instructional methods that do not. Because the instructional methods category is a broad one—encompassing varied predictors such as project-based learning, graphic organizers, and whole brain teaching—further analysis is needed to fully answer the research question about commonalities in practically significant science engagement predictors.

Despite research on the middle school transition that shows students report negative perceptions of their teachers as more controlling, and their classrooms as more heavily focused on social comparison (Eccles & Midgley, 1989; Eccles et al., 1993; Lepper et al., 2005; Roeser & Eccles, 1998), competence was the best SDT predictor of increased science engagement over autonomy and relatedness. This finding is not entirely unexpected, as another defining characteristic of the

middle school transition is an increased focus on academic content standards (Ryan & Patrick, 2001). Cognitive mismatches between science classroom tasks and the changing early adolescent brain were not a neglected component of students' self-reports of their middle school classrooms or their science classes (Anderman & Mueller, 2010; Mahatmya et al., 2012; Ryan & Patrick, 2001, Uekawa, Borman, & Lee, 2007).

The finding that competence yielded the greatest effect size of the SDT predictors could suggest that science engagement is fundamentally different than engagement in other content areas. This premise is supported by Deci and Ryan's (2002) assertion that the relative importance of one given self-determination theory need to another can change depending on classroom characteristics. Science engagement may benefit more from explicit attention to competence as the content becomes more complex during middle school than engagement benefits from attention to autonomy or relatedness concerns. In other words, a perceived competence deficit could be a bigger problem than a perceived autonomy or relatedness problem. Though autonomy and relatedness may be the most prevalent unmet needs of early adolescents in science classrooms, competence predictors could be most effective at meeting those autonomy and relatedness needs. The relationship among autonomy, competence, and relationship is iterative; students' emotions related to perceived competence with a task can serve to increase or decrease their sense of autonomy and relatedness. Competence predictors could be more effective at increasing engagement in the early stages of engagement interventions.

Though instructional methods and competence produced the highest mean effect sizes, both predictor type and SDT predictor type regression models left a large amount of engagement variance unexplained. This finding parallels research that suggests only a small portion of engagement variance was explained by teacher and class-level variables, with the majority of variance occurring between and within individuals (Uekawa et al., 2007). Though this study examined classroom and task level science engagement predictors, it did not capture between individual and within individual variance.

## Conclusion

Though much of the literature concerning early adolescents' perceptions about the middle school transition suggests that autonomy and relatedness are the most prevalent unmet needs, the results of this study suggest that academic predictors, such as instructional methods and competence, were more effective predictors of science engagement. Though these results are somewhat unintuitive, they do not fundamentally contradict interpretations through the lens of SEF theory or SDT. A lack of engagement indicates a mismatch between a learner's needs and the classroom environment.

Comprehensive instruments, or collections of instruments representing all three facets of engagement, should be utilized to examine trajectories of engagement for individual students. This recommendation is supported by the finding that within or between person variables explained more engagement variance than classroom or teacher-level variables (Lau & Roeser, 2008; Uekawa et al., 2007). The Experience Sampling Method (ESM) is a promising technique to examine these changes in student engagement. When self-reports of engagement through ESM are matched to the characteristics of tasks and activities occurring at the time of the self-reports, researchers can analyze nuanced changes in engagement for individuals. The Uekawa et al. (2007) study provides an exemplar of how students' self-reports of engagement, gathered through ESM, can be matched with temporally-immediate reports of class activities to produce a complete picture of students' changing engagement and possible antecedents of those changes.

Another benefit to assessing engagement longitudinally through ESM is the identification of possible engagement trajectories. Some research suggests that affective engagement is a precursor or regulator of other types of engagement (Ajzen, 1991; Ajzen & Fishbein, 1977, p. 888; Eccles & Wang, 2012; Pekrun & Linnenbrink-Garcia, 2013; Schank, 1979). Other researchers suggest that

cognitive and affective engagement predict behavioral changes (Reschly & Christenson, 2006). The use of ESM could afford the kind of detailed observation necessary to elucidate temporal changes and trajectories of engagement changes. Such information could inform decisions of which engagement types are appropriate targets in initial engagement interventions, compared with interventions that would better be targeted later in the sequence.

Another recommendation is to purposefully sample disengaged students in order to determine what practices *change* engagement for those students. In other words, though the results from this study may indicate that certain predictors have a more positive relationship with engagement than others, the study cannot inform conclusions about which predictors show the largest changes in engagement, nor can the study inform conclusions about which predictors show the largest changes in engagement for specific groups. As an implicit purpose of this study was to identify practices that engage or re-engage students with science coursework, an analysis of predictors that improve engagement for disengaged students is critical to inform best engagement practices in science classrooms.

The results from this meta-analysis suggest the inclusion of certain predictors in future studies. Categories that predicted the largest mean engagement effects included instructional methods, class characteristics, and competence. The finding that instructional methods best predict science engagement bears further examination. Do some instructional methods work better for disengaged students? Does the order in which instructional method interventions are implemented matter? What types of instructional methods work best? Similar questions emerge for class characteristics and competence predictors. Further analyses of effective engagement predictors will also be enhanced by the aforementioned use of longitudinal methods and purposeful sampling.

Though effective predictors of early adolescents' science engagement were identified in this study, it would be premature to eliminate less effective predictor categories from consideration in future science engagement studies. For example, though technology predicted a statistically significant decrease in engagement, the mean effect of technology on each engagement type was positive, and there were limited numbers of technology point estimates. Thus, the results of this study might inform hypotheses about expected results in future studies, but would not be cause for exclusion of particular predictors. Simple models with only predictor type or predictor SDT type did not predict a great deal of engagement variance, and there were also four statistically significant moderators of engagement—publication status, instrument reliability, school setting, and geographic location. These variables deserve further elucidation before definitive conclusions about predictors worthy of inclusion in future studies can be made.

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*Tatyana V. Paliyeva (Belarus)*

## Polycultural Education as a Socio-Pedagogical Phenomenon

**Abstract:** *The article analyses the conceptual foundations of polycultural education, both from a global philosophical and pedagogical point of view and using the example of the peculiarities of polycultural education in the Republic of Belarus. (The term "polycultural education" is understood in a similar way to "multicultural education" in the Anglo-American sphere or "interkulturelle Bildung" in the German language.) The author reflects on the use of different terminological concepts to illustrate the diversity of ideas regarding the purpose, nature and content of polycultural education and training in a multicultural world. The specificity of the theory and practice of polycultural education in Belarus is based on geographical, historical, denominational, cultural, sociolinguistic, social and pedagogical factors. At present, the Republic of Belarus is a practically multi-ethnic country with rather low migration. Nevertheless, the development of a multicultural personality is seen as an important task in preparing the younger generation for life in today's society.*

**Keywords:** *polycultural education, multi-ethnic society, personality development and national identity, Belarus*

**摘要** (Tatyana V. Paliyeva : 多元文化教育作为一种社会教育现象) : 本文以白俄罗斯多元文化教育的特点为例, 以全球视野, 从哲学和教育学的角度对多元文化教育的概念基础进行了分析。 ("polycultural education" 一词的定义与英美体系中的 "multicultural education" 或德语中的 "interkulturelle Bildung" 类似。) 作者反思了在多元文化世界中使用不同术语概念对多元文化教育和培训的目标、性质和内容的多样性进行阐述的尝试。地理、历史、宗派、文化、社会语言学、社会和教育学等因素造成了白俄罗斯多元文化教育理论和实践的特殊性。目前, 白俄罗斯共和国实际上是一个移民人数较少的多民族国家, 但发展多元文化人格被白俄罗斯社会视为培养年轻一代的重要任务。  
**关键词:** 多元文化教育, 多民族社会, 人格发展和民族认同, 白俄罗斯

**摘要** (Tatyana V. Paliyeva : 多元文化教育作為一種社會教育現象) : 本文以白俄羅斯多元文化教育的特點為例, 以全球視野, 從哲學和教育學的角度對多元文化教育的概念基礎進行了分析。 ("polycultural education" 一詞的定義與英美體系中的 "multicultural education" 或德語中的 "interkulturelle Bildung" 類似。) 作者反思了在多元文化世界中使用不同術語概念對多元文化教育和培訓的目標、性質和內容的多樣性進行闡述的嘗試。地理、歷史、宗派、文化、社會語言學、社會和教育學等因素造成了白俄羅斯多元文化教育理論和實踐的特殊性。目前, 白俄羅斯共和國實際上是一個移民人數較少的多民族國家, 但發展多元文化人格被白俄羅斯社會視為培養年輕一代的重要任務。  
**關鍵詞:** 多元文化教育, 多民族社會, 人格發展和民族認同, 白俄羅斯

**Zusammenfassung** (Tatyana V. Paliyeva: Polykulturelle Bildung als sozialpädagogisches Phänomen): *Der Artikel analysiert die konzeptionellen Grundlagen der polykulturellen Bildung, sowohl aus globaler philosophischer und pädagogischer Sicht als auch am Beispiel der Besonderheiten polykultureller Bildung in der Republik Belarus. (Der Begriff "polykulturelle Bildung" wird in ähnlicher Weise als "multikulturelle Bildung" im angloamerikanischen Raum oder als "interkulturelle Bildung" in deutscher Sprache verstanden.) Die Autorin reflektiert die Verwendung verschiedener terminologischer Konzepte, um die Vielfalt der Ideen hinsichtlich Zweck, Wesen und Inhalt polykultureller Bildung und Ausbildung in einer polykulturellen Welt zu verdeutlichen. Die Besonderheit der Theorie und Praxis der polykulturellen Bildung in Weißrussland beruht auf geographischen, historischen, konfessionellen, kulturellen, soziolinguistischen, sozialen und pädagogischen Faktoren. Gegenwärtig ist die Republik Belarus ein praktisch multiethnisches Land mit einer eher niedrigen Migrationsbewegung. Dennoch wird die*

*Entwicklung einer polykulturellen Persönlichkeit als wichtige Aufgabe angesehen, um die jüngere Generation auf das Leben in der heutigen Gesellschaft vorzubereiten.*

**Schlüsselwörter:** polykulturelle Bildung und Erziehung, multiethnische Gesellschaft Entwicklung nationaler Identität, Weißrussland

**Аннотация** (Татьяна В. Палиева: Поликультурное образование как социально-педагогический феномен): В статье рассматриваются концептуальные основания поликультурного образования – в глобальной философской и педагогической перспективе, также на примере особенностей поликультурного образования в Республике Беларусь. Термин "поликультурное образование" понимается почти похож на "multicultural education" в англо-американском регионе или как "interkulturelle Bildung" на немецком языке.) Автор анализирует использование разных терминологических концептов, чтобы продемонстрировать многообразие идей относительно целей, сущности и содержания поликультурного образования и профессиональной подготовки в поликультурном мире. Особенность теоретических исследований и практических решений в вопросах поликультурного образования в Республике Беларусь основывается на географических, исторических, конфессиональных, культурных, социолингвистических, социальных и педагогических факторах. На сегодняшний день Республика Беларусь – практически мультиэтническое государство, с незначительной долей мигрантов. Тем не менее развитие поликультурной личности считается в Беларуси важной задачей, направленной на подготовку молодого поколения к жизненным реалиям в современном обществе.

**Ключевые слова:** поликультурное образование и воспитание, мультиэтническое общество, формирование национальной идентичности, Беларусь

## Introduction

In the world of pedagogical theory and educational systems, the problem of the polycultural education of the younger generation is currently receiving wide coverage. This is due to a number of social, political, economic and other factors. The development of communication technologies, the expansion of the information space and economic international relations have necessitated the organization of interaction between people of different nationalities. Modern migration processes have led to the fact that all states of the world are multinational. Languages, cultures and nations are mixed, the number of ethnic conflicts increases. Under these conditions, a huge number of problems manifest themselves, such as problems of social adaptation, preservation of national identity, traditions and cultural values, organization of mutual understanding and interaction between representatives of different nationalities and others. Separate existence of peoples and cultures becomes almost impossible. In this regard, polycultural education in a polycultural world and a multi-ethnic society is becoming an integral part of modern culture.

The Sustainable Development Goals were adopted by the United Nations in 2015 for the period up to 2030 and are aimed at ensuring peace and prosperity for all people and the planet as a whole. It is based on the 17 Sustainable Development Goals, which are defined by tasks that define the main activities of all countries in the framework of the global partnership (Transforming Our World: A Sustainable Development Agenda 2030, 2015).

It should be noted that, in general, the entire document "Transforming our world: the Sustainable Development Agenda until 2030", while defining the Sustainable Development Goals, focuses on close international cooperation, assistance and mutual support. The fourth goal focuses on providing quality education. It is education that is considered as a resource capable of ensuring the sustainable development of countries and peoples. Achieving this goal seems possible by solving several problems. In particular, we note task number 7, orienting the education systems of different countries to "promoting a culture of peace and non-violence, global citizenship and recognition of cultural diversity and the contribution of culture to sustainable development" (Transforming our world: Sustainable Agenda 2030, 2019).

Considering the importance of polycultural education for many countries of the world and the complexity of the problem of inter-ethnic interaction, when searching for effective ways of its implementation, it is necessary to carefully study the accumulated both theoretical and practical experience of various countries. The Republic of Belarus also has considerable experience in the implementation of polycultural education. Under the influence of general historical, ethnogenetic, geographical and confessional factors of the development of the Belarusian people, there has been an integration of various cultures and ideological ideas, reflected in pedagogical theory and practice. In each historical epoch, the rethinking and enrichment of fundamental approaches to education and training in a polycultural world took place, which were subsequently not only thoroughly worked out in theoretical terms, but also largely implemented.

## The essence of polycultural education

The theory of polycultural education is relatively young (it first appeared in the 1960s ). Having emerged as a pedagogical solution for settling relations between representatives of different ethnic cultures in a multinational social environment, polycultural education has been widely developed and diverse interpretations presented in modern pedagogical theory and practice in many countries of the world. Polycultural education initially considered the protection of the cultural and educational interests of ethnic minorities, and today, in its field of attention, the titular nations of small countries.

In Russian pedagogy, the doctrine of polycultural education began to be developed in the 1990s. Theoretical and practical issues of the organization of polycultural education in a modern Russian school were studied by N.N. Vygodchikova, T.N. Gello, A.N. Dzhurinsky, F.N. Ziatdinova, I.I. Kalacheva, Yu.A. Karyagina, V.V. Makayev, Z.A. Malkova, S.V. Rykova, N.I. Sorochkina, L.L. Suprunova, N.N. Ushnurtseva, A.E. Shabalda, A.G. Shirin and others. Similar studies were conducted in other neighbouring countries (M.A. Abrahamyan, Armenia; K.G. Adylbek, Kyrgyzstan; A.K. Solodka and V.V. Boichenko, Ukraine) and others. Researchers are also interested in the organization of polycultural education in the field of higher and secondary vocational education, including pedagogical education (N.Kh. Baicheueva, Russia; L.V. Volik, Ukraine; V.M. Yeremina (Russia), L.V. Orinina (Russia), D.V. Sazhin (Russia), K.N. Topolyan (Russia) and others.

However, despite the significant number of scientific works devoted to the problem of polycultural education, the availability of legal documents regulating the activities of educational systems in many countries and guiding them along the path of polyculturalism, there remain a number of problems that need to be resolved: uncontrolled migration, inter-ethnic and religious conflicts, terrorist activity, vivid manifestations of nationalism and chauvinism, etc. That is, problems determined by society and capable of being resolved including through the exercise of effective pedagogical influence on the process of individual personality formation.

To determine the essence of polycultural education, let us dwell on the terminological meanings used in the definitions of this work.

Thus, the concept of "education" is traditionally regarded as a process, result and system. As a system, education is usually represented by a set of educational institutions and their management bodies. Education as a process is carried out in educational institutions and consists of two interrelated and complementary processes - education and training. At the same time, training is viewed as a process of mastering a system of knowledge, skills and abilities, and upbringing as a process aimed at shaping personal qualities and their relationship to the world and to oneself. Education as a result is an achieved level in mastering the content of education, cultivating personal qualities and developing mental processes.

Based on the above relation between the concepts of “education” and “upbringing”, we consider polycultural education as a broad process, carried out through training and upbringing and implemented in an integrated system, having centralization of government at the state level.

In the world of pedagogical theory and practice, there is currently no single approach to the terminology used. For example, Russian researchers M.I. Bogomolova and L.M. Zakharova use the term “international education”, meaning by it

the process of purposeful interaction between the teacher and the educated in order to familiarize them with the rich cultural heritage accumulated by mankind, the formation of friendly relations, and positive international relations communication, manifestations of friendliness and sympathy for his and other peoples, tolerance and delicacy towards them (Bogomolova & Zakharova, 2016, 121).

The authors consider inter-ethnic education as comprehensive, based on ethno-cultural, national, and civic-patriotic education. The term "polyethnic education" in the scientific literature was developed precisely in connection with the need to implement education for ethnic minorities. In its content, polyethnic education is limited to the assimilation of the achievements of national, racial and ethnic culture. Education tolerance is a mandatory part of this type of education.

The definition of the essence of tolerance, the problems of its formation and implementation both at the personal and public levels are investigated by philosophers, teachers, psychologists, sociologists, etc. As early as 1995, UNESCO approved the Declaration of Tolerance Principles. Nowadays, the term “tolerance” is more commonly used to translate into Russian. The Declaration proposes the following definition:

Tolerance means respect, acceptance and correct understanding of the rich diversity of the cultures of our world, our forms of self-expression and ways of manifestation of human individuality. (...) Tolerance is harmony in diversity. Tolerance is a virtue that makes peace possible and contributes to replacing a culture of war with a culture of peace. Tolerance is first and foremost an active attitude, formed on the basis of the recognition of universal rights and fundamental freedoms of a person. (Declaration of Tolerance Principles, 1995)

This declaration considers tolerance at the personal, state and social levels and proclaims education as the most effective means of preventing intolerance. Education in the spirit of tolerance is regarded as an urgent imperative. To define the essence of the concept of “polycultural education”, it is necessary to establish the dictionary meaning of the word “polyculturalism”. The prefix "poly" refers to the many and comprehensive coverage or diverse composition of something. The meaning of the word "culture" is determined ambiguously. In science, there are more than a thousand definitions of this concept. By “culture” we understand the historically-formed certain level of development of society, the creative forces and abilities of a person, expressed in the types and forms of organization of life and activities of people, as well as in the material and spiritual values they create. Culture includes the objective results of people’s activities, as well as human strengths and abilities realized in activities (knowledge, skills, intellect, moral and aesthetic development, outlook on life, ways and forms of communication of people, etc.). Also, the culture of a person means the rules of behaviour, the ability to follow them, education and education. At the level of a social group, culture both unites people and differentiates them. At the individual level, culture provides access to the wealth of human activity, contributes to the development of creative abilities. At the synthesizing level - human creation - all of the above forms are expressed.

## Polyculturalism in the educational process contributes to the interaction of ethnic, national, racial and world culture

**World culture** is the totality of all the cultures of the world. National culture is the culture of a group of peoples of the same linguistic community, including the originality of traditions, and customs that distinguish it from the cultures of other nations. National-specific features of culture are caused by ethno-landscape, natural, social conditions, peculiarities of historical genesis, level of production development, etc.

**Ethnic culture** is the culture of representatives of one or another ethnos. In the conditions of the Republic of Belarus, the Belarusian culture is the meaning of the national culture, the culture of the representatives of national minorities is the meaning of ethnic culture.

The concept of **racial culture** is based primarily on the theories of racial classification of human populations. Since the XVII century, scientists have been actively offering more and more new classifications, differing in the characteristics underlying them. However, to date, there is no universally accepted approach to determining both the number and morphological characteristics of races. Moreover, racial theories and attempts to classify them are increasingly recognized as untenable.

Culture is a universal mechanism for the formation of a humane person. A major role in the harmonious development of relations between members of the world community is played by the mastery of the national-cultural values of other nations.

In a large modern pedagogical encyclopedia, the concept of "polyculturalism" includes the principle of cultural pluralism, based on the recognition of the equal value and equal rights of all ethnic and social groups that make up a given society, on the inadmissibility of discrimination of people on grounds of national or religious affiliation, gender and age. Polyculturism in education makes it possible to turn the diversity of society into a useful factor in its development, as well as to ensure a more rapid adaptability of a person to the changing conditions of existence in society (Pedagogy: The Big Modern Encyclopedia, 2005).

Summarizing the definitions given by many authors, let us formulate the essence of the basic concepts of our research:

### **Polycultural education is**

- education that includes the organization and content of the pedagogical process, in which two or more cultures are represented, differing by language, ethnic, national or racial basis;
- aimed at familiarizing the younger generation with ethnic, national and world culture, developing on this basis planetary consciousness, forming readiness and ability to live in a multi-ethnic environment;
- the process of formation and development in students of ideas about the diversity of cultures in the world and in their country, raising their positive, respectful attitude to the cultural differences of other nations, developing the skills of humane, productive interaction with carriers of other cultures.

### **A polycultural personality is**

- a person ready for effective inter-ethnic interaction, preserving ethnic identity and striving for understanding of other ethnic cultures, respecting other ethnic communities, able to live in peace and harmony with representatives of different nationalities.

### **Polyculturism is**

- the construction of education on the principle of cultural pluralism, recognition of the equal value and equality of all ethnic and social groups that make up this society, on the inadmissibility of discrimination of people on grounds of national and religious affiliation, gender and age;

- helps to turn the diversity of society into a useful factor in its development, provides a more rapid adaptation of a person to changing conditions of existence, helps him to form a multi-faceted picture of the world.

## Migration policy and polycultural education

The theory of polycultural education arose and developed most actively in countries with a high migration balance. Nowadays, often referred to as the “Great Migration of Peoples”, many countries have adopted a stabilization option for solving demographic problems by compensating for the population decline through the recruitment of migrants.

The need to regulate migration policy is also stated in the document defining the Sustainable Development Goals. Thus, Task 7 of the Tenth Goal speaks of the need to create “orderly, safe, regular and responsible migration and mobility of people, including through the implementation of planned and well-managed migration policies” (Transforming our world: The Sustainable Development Agenda 2030, 2015).

The expansion of migration processes actualizes the search for ways of effective socialization of migrants in the socio-cultural space, which is feasible only through educational systems. Therefore, the theory and practice of polycultural education has developed along the path of finding new models that take into account the specifics of the cultural characteristics of teaching migrant children, thereby focusing on the protection of cultural and educational interests of ethnic minorities. But today, in connection with the intensification of migration processes and their aggravation, the interests of titular nations are in the field of special attention of many countries.

Moreover, as the Russian philosopher A. Dmitriev notes, “the growth of cultural and ethnic diversification within the states themselves basically makes impossible the cultural homogeneity of the population” (Dmitriev, 2015).

## The specifics of the implementation of polycultural education in the Republic of Belarus

Historically, a unique system existed on the territory of Belarus, where East Slavic, West Slavic, Balt and other cultures intersected and interacted in different periods. The territory of Belarus was part of Kievan Rus, the Grand Duchy of Lithuania, the Polish-Lithuanian Commonwealth, the Russian Empire, the USSR. Many ethnic groups and religious movements created a single cultural space. The spread of various national cultures on the territory of Belarus was also associated with a peculiar geographical location. The location of Belarus almost in the geographic center of Europe, on the one hand, was the cause of numerous bloody and tragic events, on the other hand, contributed to the economic and cultural development of the region, penetration and further interaction of various languages and religions.

On the basis of opposition and integration of various views of the world and cultural ideas of East and West, the formation of a special type of Belarusian mentality, characterized by tolerance and openness to other traditions, was ensured. This approach was implemented through educational systems. In each historical epoch, the rethinking and enrichment of fundamental approaches to education and training in a polycultural society, which were not only thoroughly developed in theoretical terms, but also largely implemented in the modern education system, took place.

In the history of pedagogical thought in Belarus, special emphasis has always been placed on the need to create a truly national school, the formation of patriotism and citizenship of the younger generation. The process of national identification is impossible without awareness of the cultural and national diversity of the world. Only by comparing and understanding of the uniqueness of the ethnic group and its culture.

At present, migration processes in the Republic of Belarus are not so intensive, and in recent years their decline has generally been observed. Thus, the migration balance (the difference in the number of people arriving on any territory and the number of people leaving for the same period of time) in 2015 was 18,494 people (this was the highest figure since 2010), and the migration increase in 2017 was only 3874 people. It should be noted that the migration increase in the Republic is carried out mainly at the expense of migrants from the CIS countries (Krasovsky, 2018). According to the 2009 census (we note that in 2019 a new population census will be carried out in the Republic), the national composition was as follows: Belarusians made up 83.7% of the total population, Russians 8.26%, Poles 3.09%, Ukrainians 1.67%, Jews 0.13%. Such nations as Armenians, Tatars, 'Gypsies', Azeris, Lithuanians, Moldovans, Turkmen, Germans, Georgians, Chinese, Uzbeks, Latvians, Kazakhs, Arabs, Chuvash, etc. (listed in descending order according to the results of statistical data) are less than 0, 1% of the total population (2009 Population Census).

Despite the ethnic homogeneity characteristic of modernity, the theory and practice of polycultural education is actively developing in our country, since such education is now becoming an integral part of modern culture and is designed to ensure political stability and integration into the world socio-cultural space at the state level; at the public level - increasing the spiritual potential of the people; on the ethnic level - the guarantee of the survival of the ethnic group, the harmonization of inter-ethnic relations; on a personal level - the formation of a competitive, creative personality, able to assimilate and rethink the heritage of various cultures. Therefore, the modern concept of polycultural education pays great attention to the formation of the national identity of the individual.

The activity of the entire modern education system is regulated by the Education Code of the Republic of Belarus. The Code repeatedly emphasizes the importance of familiarizing the younger generation with the cultural traditions and values of the Belarusian people, as well as the need to master the achievements of world culture (Chapter 9, Article 89; Chapter 62, Article 290, Education Code of the Republic of Belarus, 2011).

All educational programs of the Republic, starting with preschool education, are permeated with the principle of polyculturalism, which is the basis for the selection of the content of education. Polyculturalism is considered as a source that provides a more rapid adaptation of a person to changing conditions of existence and helps him or her to form a multifaceted picture of the world.

The introduction to universal and national values is provided both in the learning process and in the process of education. In the Concept of Continuous Upbringing of Children and Young Students, approved by the Decree of the Ministry of Education of the Republic of Belarus of July 15, 2015 No. 82, polycultural education is considered as mandatory, "aimed at forming a tolerant attitude towards people of other cultures, nationalities, religions, etc.". The fifth chapter of the document devoted to polycultural education determines the content, conditions and specifics of its implementation, depending on age and individual characteristics. Particular attention is paid to the education of students, "the ability to live in a polycultural world, to resist political and religious extremism" (Concept of continuous education of children and young people, 2015).

An obligatory component of any polycultural educational systems is an appeal to the problem of linguistic competence. In linguistics, the disciplines of sociolinguistics, linguo-didactics, psycholinguistics, linguistic culturology are often the issues discussed relating to the influence of language on the process of formation of the polycultural personality.

In the Republic, the state has two languages - Russian and Belarusian. The language situation in Belarus is distinguished by its uniqueness, caused by the fact that the national language (Belarusian) being a minority language, at the same time, is nominally considered the native majority of the inhabitants of the Republic. Thus, according to the latest census (2009), 62.2% of

the total number of inhabitants of the Republic consider Belarusian as their mother tongue, although only 23.43% said they speak it at home. If we compare the results of the 1999 census, we will see a significant decrease in the role and significance of the Belarusian language in the Republic: 73.7% of the total number of inhabitants of the Republic considered Belarusian as their mother tongue, although only 36.7% said they speak it at home (2009 Population Census).

Based on the terminological definitions of the notion “native language” and the existing sociolinguistic situation in the Republic, one can hypothetically deduce the status of the Belarusian and Russian languages. Today, for the majority of Belarusian children (who originally master Russian, think and speak mainly in it) two languages are native - Russian and Belarusian. Russian - according to the criteria of competence and functionality, and Belarusian - according to the criterion of identification. Due to the current linguistic situation in the Republic of Belarus, a bilingual educational system has been formed. Educational institutions with both Russian and Belarusian language of instruction have worked and are working in the country. However, there has been a steady decline in the number of educational institutions engaged in the pedagogical process in the Belarusian language.

The distribution of children in pre-school education institutions by language of instruction and upbringing at the end of 2012 was as follows: 12.7% of the total number of children enrolled in public pre-school education were taught in Belarusian, 84.8% in Russian, 3.8% children were taught in two languages - Russian and Belarusian. For comparison, in 2005, 12.7% of preschool children studied in Belarusian, 76.7% in Russian, and 10.6% in two languages (Education in the Republic of Belarus, 2013).

According to the latest statistics, in 2016, 90.3% of pupils studied in pre-school institutions in Russian, respectively, in Belarusian – 9.7% (Education in the Republic of Belarus, 2017).

Most Belarusian-language preschool institutions are located in rural areas. Thus, in 2012, 56.1% of children in preschool institutions located in rural areas studied in Belarusian, 39.6% in Russian, and 4.3% in two languages. Only 2.9% of preschool children studied in Belarusian cities (Education in the Republic of Belarus, 2013). Note that in the statistical information for 2017 there is no indicator of the distribution of preschool institutions by language of instruction relative to location in rural or urban areas.

In the 2005/2006 school year, pupils studying in the Belarusian language were 23.3% (280,200 people) of the total number of schoolchildren (1,203,000 people), and in the 2012/2013 school year only 16.6% (150,700 people) of the total number of schoolchildren (909,100 people). It should also be noted that in the 2012/2013 academic year, 670 people studied in institutions of general secondary education in Polish, 57 people in Lithuanian (Education in the Republic of Belarus, 2013).

According to statistical data for the 2016/2017 academic year, 838,400 people studied in Russian (which is 86.6% of the total number of students (967,900), 128,600 in Belarusian (which is 13.3% of the total number of students.) 868 people studied in Polish, 63 people in Lithuanian (Education in the Republic of Belarus, 2017). Thus, there is a constant reduction in the number of educational institutions providing training in the Belarusian language.

The use of two languages in the education system requires special regulations and software, a relevant scientific and methodological base of bilingual education, the availability of human resources capable of providing education and training in two languages. An obligatory component of the curriculum of general secondary education is the study of foreign languages. According to statistics in the 2012/2013 school year, 724,700 people studied the English language in Belarusian schools, 78.1% German, 17.1% French 3.5%, Spanish 0.7 % (Education in the Republic of Belarus, 2013).

In the 2016/2017 academic year, out of the total number of general secondary education students studying foreign languages (746,100 people), 82.6% studied English, 13.9% German, 2.8% French, 6% Chinese (Education in the Republic of Belarus, 2017).

## Conclusions

Thus, the specific features of the development of the theory and practice of polycultural education in the Republic of Belarus include:

- relative multi-ethnic population homogeneity and a slight migration balance;
- rich historical pedagogical experience of educational systems in the context of ethnic, linguistic, cultural and religious diversity;
- the presence of tolerance as a mental characteristic of a nation;
- the focus of modern educational policy on the development of both the cultural traditions and values of the Belarusian people, and the achievements of world culture; implementation of bilingual education;
- the implementation of education mainly in Russian with a pronounced national orientation of the content of education and training towards the development of the values and traditions of the Belarusian culture.

Summarizing the above, we note that the adoption of polycultural education does not imply the destruction of the already existing and functioning educational system but ensures its improvement by introducing new qualitative characteristics. Polycultural education should become the ideological basis of the educational systems of many countries of the world and be implemented in the aspect of a dialogue of cultures, education for tolerance and multilingual education. Polycultural education has the potential to ensure the relevance of the educational system to modern social challenges.

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Abdulaziz M. Alshaikh & John B. Bond (Saudi Arabia & USA)

## The Relationship between Principal Self-Efficacy and Organizational Citizenship Behavior of Teachers

**Abstract:** Self-efficacy and organizational citizenship behaviors in schools are critical to understanding interactions between principals and teachers. The main purpose of this research is to look for the relationship between principals' self-efficacy (PSE) and organizational citizenship behavior (OCB) of teachers. Theoretically, self-efficacy is rooted in constructivism, and, particularly, in social cognitive theory, which is grounded in the work of Bandura. OCB, according to Organ, Podsakoff, and MacKenzie (2006), is defined as "individual behavior that is discretionary, not directly or explicitly recognized by the formal reward system, and in the aggregate promotes the efficient and effective functioning of the organization" (p. 3). Williams (1988) asserted that OCB is composed of two dimensions: benefits to the individual and benefits to the organization. Interestingly, there is no study, thus far, that addresses the connection between PSE and the OCB of teachers.

**Keywords:** Albert Bandura, self-efficacy, organizational citizenship behavior, principal self-efficacy.

**摘要** (Abdulaziz M. Alshaikh 和 John B. Bond : 校长自我效能感与教师组织公民行为之间的关系) : 自我效能感和组织公民行为对理解学校中校长与教师的互动至关重要。本研究的主要目的是探究校长的自我效能感 (PSE) 与教师的组织公民行为 (OCB) 之间的关系。自我效能理论植根于建构主义, 更准确的说, 该理论来源于Bandura的社会认知理论。Organ, Podsakoff和MacKenzie (2006) 将OCB定义为“未被正常的报酬体系所明确和直接规定的、员工的一种自觉的个体行为, 这种行为有助于提高组织功能的有效性。”(第3页)。Williams (1988) 断言OCB由两个维度组成: 个人利益和组织利益。值得注意的是, 目前没有关于PSE与教师OCB之间关系的研究。

**关键词:** Albert Bandura, 自我效能感, 组织公民行为, 校长自我效能感

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**关键词:** Albert Bandura, 自我效能感, 组织公民行为, 校长自我效能感

**Abstract** (Abdulaziz M. Alshaikh & John B. B. Bond: Das Verhältnis zwischen prinzipieller Selbstwirksamkeit und organisatorischem Staatsbürgerschaftsverhalten von Lehrkräften): Selbstwirksamkeit und organisatorisches Bürgerschaftsverhalten in Schulen sind entscheidend für das Verständnis der Interaktionen zwischen Schulleitern und Lehrern. Hauptzweck dieser Untersuchung ist es, nach dem Zusammenhang zwischen der Selbstwirksamkeit (PSE) der Prinzipien und dem Verhalten der Organisationsbürgerschaft (OCB) der Lehrer zu suchen. Theoretisch ist die Selbstwirksamkeit im Konstruktivismus und insbesondere in der sozialen Kognitionstheorie verwurzelt, die auf der Arbeit von Bandura basiert. OCB, so Organ, Podsakoff und MacKenzie (2006), ist definiert als "individuelles Verhalten, das diskretionär ist, nicht direkt oder explizit durch das formale Belohnungssystem anerkannt wird und insgesamt das effiziente und effektive Funktionieren der Organisation fördert" (S. 3). Williams (1988) behauptete, dass OCB aus zwei Dimensionen besteht: dem Nutzen für den Einzelnen und dem

*Nutzen für das Unternehmen. Interessanterweise gibt es bisher keine Studie, die sich mit dem Zusammenhang zwischen PSE und OCB von Lehrern beschäftigt.*

**Schlüsselwörter:** Albert Bandura, Selbstwirksamkeit, Verhalten der Organisations-bürgerschaft, grundsätzliche Selbstwirksamkeit.

**Аннотация** (Абдулазиз М. Альшаих & Джон Б.Б. Бонд:): Соотношение между самоэффективностью принципов и гражданским организационным поведением преподавателей): Самоэффективность и гражданское организационное поведение в школах играют решающую роль для понимания взаимодействия между администрацией школы и её педагогическим составом. Главная цель данного исследования – установление связи между самоэффективностью принципов - Perceived Self-efficacy (PSE) - и гражданским организационным поведением преподавателей - Organizational Citizenship Behaviour (OCB). Теория самоэффективности берет свое начало в конструктивизме, чтобы быть более точным, в социально-когнитивной теории, которая основывается на трудах А. Бандуры. OCB, вслед за Органом, Подсакофф и МакКензи (2006), определяется как «индивидуальное дискреционное поведение, не распознаваемое непосредственно и определенным образом формальной системой поощрений, но которое в агрегированном виде способствует эффективному функционированию организации» (с. 3). Вильямс (1988) утверждает, что OCB состоит из двух величин: индивидуальной выгоды и корпоративной выгоды. Интересно отметить, что до сих пор не было исследований, описывающих связь между PSE и OCB в педагогической среде.

**Ключевые слова:** Альберт Бандура, самоэффективность, гражданское организационное поведение, принципиальная самоэффективность

## Introduction and Historical Context

Over time, expectations of how principals should fulfill their roles have evolved and become more complex. The addition of accountability regarding student academic achievement in high-stakes assessments has also increased the pressure on principals' performance. This increased pressure highlights the importance of principals' sense of efficacy to meet the expectations and demands of their position (Tschannen-Moran & Gareis, 2004). Within the process of meeting those expectations and demands, a principal's belief and skill in urging those under his leadership toward needed behaviors defines self-efficacy. However, administrators and principals often ask teachers to adopt behaviors that are outside their traditional roles. For example, they may ask teachers to help newly hired teachers, to volunteer for school committees, and to participate in fund-raising campaigns. These extra-role behaviors are voluntary and aimed at benefitting someone else. Organ (1988) has defined such pro-social behaviors in organizational settings as organizational citizenship behavior. The importance of organizational citizenship behavior to organizational success has led to many attempts to identify its antecedents. Meta-analyses have shown that employees' attitudes (satisfaction, perception of fairness, and commitment) relate to organizational citizenship behavior (Organ & Ryan, 1995; Podsakoff, MacKenzie, Paine, & Bachrach, 2000). Moreover, Podsakoff et al. (2000) have shown that transformational leadership relates to each dimension of organizational citizenship behavior. Somech and Drach-Zahavy (2000) have suggested that teachers' job satisfaction correlates with their citizenship behavior towards the students, the team, and the organization. They also pinpointed self-efficacy as a possible predictor of teachers' organizational citizenship behavior. The purpose of this study is to measure principals' self-efficacy (PSE) and the organizational citizenship behavior (OCB) of teachers and to determine if there is any significant relationship between these two variables.

## Theoretical Basis of the Study

**Self-Efficacy Theory.** Self-efficacy theory refers to a belief that someone has the capability and skills to achieve success in a particular subject. According to Bandura (1986), self-efficacy's most prominent theorist, self-efficacy is an individual's ability to "organize and execute courses of action required to attain designated types of performance" (p. 391). However, as Bandura (1997) clarified, the concept of self-efficacy theory is someone's belief in his or her own ability—not the ability itself—to accomplish an objective or attain an aim. He claimed:

people make causal contributions to their own functioning through mechanisms of personal agency. Among the mechanisms of agency, none is more central or pervasive than peoples' beliefs about their capabilities to exercise control over their own level of functioning and over events that affect their lives. (Bandura, 1997, p. 118)

According to Bandura's (1997) social-cognitive theory, the ability of people to achieve, based on their belief that they are able to attain a desired target, is due to their sense of self-efficacy. Consequently, the theory of self-efficacy plays a major role when pursuing objectives and dealing with difficult tasks. Bandura (1997) provided and emphasized different ways to develop a stronger sense of self-efficacy in order to overcome challenges, cultivate persistence, and motivate oneself. He stated, "the stronger their beliefs, the more vigorous and persistent are people's efforts" (p. 394). This clearly stated the importance of the self-efficacy theory in how it affects people's daily lives and influences people's efforts to succeed. However, if people have negative perceptions of self, those might lead to inaction where action is expected, whereas positive perceptions of self may compel them to achieve.

Bandura's (1997) self-efficacy theory has three dimensions: complexity, generality, and strength. Ware and Kitsantas (2011) described Bandura's classification of the sources of self-efficacy beliefs as "mastery experiences, vicarious experience, verbal persuasion, and physiological reactions" (p. 184). The mastery experiences are the most influential factors among these four (Bandura, 1997; Goddard, Hoy, & Hoy, 2000). The complex cognitive process individuals experience through the social cognitive framework results in motivation for most actions (Bandura, 1977).

**Organizational Citizenship Behavior (OCB).** Since the late 1970s and over those last three decades, many studies have contributed to the study of OCB and overall organizational effectiveness. Three particular aspects are central to the OCB construct. First, OCB is discretionary behavior, not part of a job description, and performing OCB is an employee's personal choice (Organ, 1988). Second, OCB can extend beyond a job description's requirement (Organ, 1988). Third, OCB contributes positively to overall organizational effectiveness (DiPaola & Tschannen-Moran, 2001).

Organ is one of the first authors and researchers who wrote about and expanded on the subject of OCB. Moreover, the concept has evolved since Organ and his colleagues first described it in 1983. In his 1988 book, Organ defined OCB as

individual behavior that is discretionary, not directly or explicitly recognized by the formal reward system which, in the aggregate, promotes the effective functioning of the organization... the behavior is rather a matter of personal choice, such that its omission is not generally understood as punishable. (p. 4)

## Statement of the Problem

The quality of the learning environment depends largely on the OCB of teachers, especially as schools worldwide are struggling to meet the needs of students in their particular learning

environment. However, administrators acknowledge that while some teachers display high levels of OCB, others do not. Addressing this is a challenge for school principals. Our research is one way to help students, teachers, and principals improve a school's achievement and effectiveness. Self-efficacy and OCB, in general, can have an influence on the personal and organizational level, such as school environment. Schools need to develop these concepts in students, teachers, and principals to help improve school achievement and effectiveness. Self-efficacy and OCB theories have been researched extensively, but no study measuring the relationship between PSE and OCB has been found.

## Review of the Research on Principals' Self-efficacy

Practicing leaders' self-efficacy (of which principals' self-efficacy is a part) is necessary for bringing about change and reaching higher levels of student achievement; its practice leads to an improvement in schools' collective efficacy and teachers' abilities. Moreover, leadership self-efficacy has a positive effect on staff and teachers' efforts and their commitment to their work. As Goddard and Salloum (2011) have argued, leaders' self-efficacy not only encourages staff and teachers' input, but also positively influences their attitudes, and teachers' enthusiasm can have a positive impact on student accomplishment and achievement. According to Versland (2013), however, a lack of self-efficacy can inhibit a leader's ability to set higher goals and "can negatively affect the performance of followers and their commitment to organizational goals" (p.14). Also, Bandura (2009) has suggested that self-efficacy of new leaders might be vulnerable to influence or harm, or it might be reduced by challenges they face; even if they have had a few successful mastery experiences, their self-efficacy might still be still susceptible to these difficulties.

Leaders' (principals') self-efficacy, and its influence on staff and teachers' achievement, is essential to achieving school goals. Versland (2013) stated that self-efficacy is associated with making plans, developing staff and teachers, restructuring a school, and running an instructional program. This view is also supported by Leithwood and Jantzi (2008) who stated that "both task direction and goal setting are leader behaviors empirically associated with the development of self-efficacy beliefs" (p. 507).

Versland's (2013) research discussed the implications of a "grow your own" leadership program. Versland expressed the importance of leaders' self-efficacy as a theory that "provides a conceptual framework through which to examine the factors of effective leadership and the ways in which these factors enhance school success and student growth" (p. 14). Bandura (1997) also viewed self-efficacy as a fundamental skill for leadership because leaders face challenges on a daily basis. Bandura further emphasized that leaders who hesitate in decision-making or who do not believe in their ability to succeed may avoid obstacles and challenges, and may therefore fail. In contrast, according to Bandura, those who believe strongly in their own proficiencies may intensify their efforts to succeed.

Self-efficacy can guide and effect many behaviors. Modlin (1997) found that principals' who have a high level of self-efficacy had teachers who expressed how strongly their principals influenced their own motivation and behavior. Research by Yu-kwong and Walker (2010) found that among Hong Kong vice principals there were four main aspects to job satisfaction. These were "professional commitment, sense of efficacy, sense of synchrony, and level of personal challenge" (p. 545).

Wahlstrom, Seashore-Louis, Leithwood, and Anderson (2010) discussed the findings from a learning leadership study. They claimed there are two reasons why self-efficacy is an essential element of successful school leadership. First, self-efficacy is a factor that affects principals' choice of what actions they should take. Second, self-efficacy is an ability that helps leaders deal effectively with difficulties they may face in their field. Bandura (1997) suggested that self-efficacy is important to school leaders' success, especially in schools whose leaders have a strong desire to

succeed. These types of leaders have the power to adapt to changing circumstances and are more determined to overcome obstacles.

Research by Tschannen-Moran and Gareis (2004) examined three studies conducted to capture principals' sense of efficacy. They have found that when observing teachers, principals with higher self-efficacy were more likely to pursue a deeper understanding of the subjects being observed, more open to new thoughts that could aide in effective teaching, and more inclined to launch challenging and inspiring instructional aims for themselves and their teachers. The results also showed that principals' self-efficacy could motivate and inspire teachers.

In a study conducted by Murphy and Torff (2012) was focused upon administrators' self-efficacy beliefs on supervision of teachers of English as a Second Language. The research investigated whether or not administrators who supervise ESL teachers feel proficient in doing so. The results of their study indicated "low self-efficacy in supervising ESL teachers was felt more acutely by supervisors who were responsible for larger numbers of ESL teachers" (Murphy & Torff, 2012, p. 5). That means the higher the number of ESL teachers an administrator supervises, the lower the self-efficacy the administrator has (Murphy & Torff, 2012).

Devos, Bouckennooghe, Engels, Hotton, and Aelterman (2006) aimed to designate at the elementary school level which individual, organizational, or external environmental factor contributed to enhancing the understanding of the well-being of Flemish primary school principals. The results showed self-efficacy to be correlated with job satisfaction and suggested that principals who experience lower self-efficacy may view difficult situations as threats rather than challenges and opportunities for change. Devos et al. (2006) found that "school principals with higher levels of self-efficacy are more likely to experience higher well-being compared to their counterparts with a lower degree of self-efficacy" (p. 38). The researchers also concluded that job satisfaction, higher well-being, and lower levels of burnout could be associated with high levels of PSE. Consequently, high levels of PSE may reduce principal turnover (Devos et al., 2006).

Federici and Skaalvik (2012) investigated the relationship between principals' self-efficacy, burnout, job satisfaction, and principals' motivation to quit. The results of the two models that delineated the relationships between factor loadings and latent variables indicate that the indirect relation between principals' self-efficacy and motivation to quit a job was large and negative (-.619 and -.631). In contrast, in both models there was a moderate but positive direct relationship between self-efficacy and motivation to leave the position as principal (.224 and .235). The study found that principals with low self-efficacy might hesitate in their decision making more and may doubt their ability to face challenging tasks more than principals with higher levels of self-efficacy.

## Review of the Research on Organizational Citizenship Behavior

A number of arguments draw solid objects on the dimensional surface of organizational citizenship behavior. Organ (1990) asserted that OCB has a five-dimensional construct (i.e., altruism, conscientiousness, sportsmanship, courtesy, and civic virtue). Williams (1988), however, found and argued for a two-dimensional definition of OCB: (a) benefits to the organization in general, and (b) benefits directed at individuals within the organization. DiPaola and Tschannen-Moran (2001) were the first to examine OCB in school contexts. They argued that, through factor analysis, OCB should be viewed as a one-dimensional construct when applied to school settings: behaviors that benefit individual coworkers and students and those that benefit the school enrich the organization's goals (DiPaola & Tschannen-Moran, 2001). The presence of OCB can prevent those in the role of managers or administrators from threatening penalties or needing to offer formal incentives to employees or teachers to solicit OCB (Organ, 1990). However, Haworth and Levy (2001) claimed that employees enact and sustain OCB only when managers reward such behaviors fairly. Moreover, as Somech and Ron (2007) pointed out, teachers who believe their principals appreciate their contributions and care about their well-being show higher levels of OCB. "The

more supportive the teachers perceived their principal, the more likely they were to engage in OCB” (Somech & Ron, 2007, p. 57). DiPaola and Tschannen-Moran (2001) argued that many teachers cannot do more than fulfill minimum performance requirements, but that teachers in well-operated schools may be able to perform more than the minimum requirements of their formal, daily job descriptions.

While one of the benefits of OCB is its positive contribution to individuals or to an organization as a whole (Kidwell, Mossholder, & Bennett, 1997), organizational citizenship behavior can nevertheless have major consequences. Oplatka (2009) argued that OCB might not necessarily generate positive outcomes for an organization; outcomes may depend on context. For example, a worker might help other coworkers and he or she may save the organization time and money on training. However, that worker might spend so much time helping colleagues that the quality of her or his own work may suffer or not receive proper attention.

A consideration of organizational citizenship behavior in schools is critical to the understanding of interactions between principals and teachers. DiPaola and Tschannen-Moran (2001) asserted that OCB contributes to the overall effectiveness of the school and reduces the management component of the administrator’s role. DiPaola and Hoy (2005) found a significant relationship between organizational citizenship of teachers and student achievement on standardized tests. Dussault (2006) examined the relationship between teachers’ instructional efficacy and their OCB and found positive and significant correlations. Furthermore, Somech and Bogler (2002) showed that teacher commitment was positively related to OCB. Bragger, Rodriguez-Srednicki, Kutcher, Indovino, and Rosner (2005) studied how OCB among teachers was related positively to job satisfaction, work-staff culture, and organizational commitment. According to Somech and Drach-Zahavy (2000), job satisfaction was positively associated with OCB. Bogler and Somech (2004) found that teachers with high levels of satisfaction in their work tended to exhibit more OCB than other teachers.

Oplatka (2009) noted that professionals and employees often perform extra-role activities that they are not paid for or appreciated by superiors for. In his study, he attempted to better understand teacher OCB consequences for the teachers who performed OCB, as well as for their school. The inductive analysis of the teacher interview data indicated that teachers link teachers’ tendency to perform OCB at work to self-fulfillment, job satisfaction, and positive feedback from stakeholders, peers, and superiors. Students also benefitted in terms of high achievement, well-being, and class behavior from teachers who perform OCB in their work. Through the interviews, the teachers expressed their feelings about OCB and how it leads to higher student achievements, more positive attitudes towards class and school, and improved discipline in school.

DiPaola and Tschannen-Moran (2001) designed their study to explore how OCB can be cultivated and created a new measure for OCB. The researchers found a strong link between OCB and both school climate and one of the dimensions of school climate—collegial leadership. Other findings show a strong correlation between teacher professionalism and OCB, and that a strong school climate was positively related to the cultivation of OCB in schools.

Burns and DiPaola (2013) claimed that principals are obligated to create a culture in which educators can use professional discretion to choose when to exceed minimum performance requirements if those principals intend to increase the expectations and complexities of performances. The results of their study suggested direct correlations among organizational citizenship behaviors, trust, and student achievement and indicated that student achievement has a positive significant relationship with OCB in both qualitative and quantitative studies.

The only research found that has examined the relationship between self-efficacy and organizational citizenship behavior is Somech and Drach-Zahavy’s (2000) study. They suggested that teachers’ job satisfaction correlates with their citizenship behavior towards the students, the

team, and the organization. They also determined that self-efficacy is a possible predictor of teachers' organizational citizenship behavior; however, the prediction was made about teacher self-efficacy and teacher organizational citizenship behavior. Somech and Drach-Zahavy (2000) found a positive significant relationship between self-efficacy and extra-role behavior towards the organization ( $r = 0.19$ ,  $p < 0.01$ ); however, there was no significant relationship between self-efficacy and extra-role behavior towards the student ( $p > 0.05$ ). They also looked at the relationships between collective efficacy and extra-role behavior and they found no significant relationships between collective efficacy and extra-role behavior towards the student or towards the organization.

## Summary

The literature on the self-efficacy and organizational citizenship behavior of school leaders is substantial and ongoing. A consistent pattern of findings underscores how a principal's attitudes and behaviors impact that of those they lead. Principals with high self-efficacy positively influence others. Similarly, as shown by research on organizational citizenship behavior, school climate, culture, and teacher job satisfaction are highly related to the degree of support, modeling, and nurturing provided by a leader.

## Methodology

### *Research Questions and Hypotheses*

Below are the research questions and hypotheses:

*Question 1.* What is the level of principals' self-efficacy in Dhahran's schools as measured by the Principals' Self-Efficacy Scale (PSES)?

*Question 2.* Are there any differences in the level of PSE between the three levels of schools?

*Question 3.* What is the level of OCB of teachers in Dhahran's schools as measured by the Organizational Citizenship Behavior Scale (OCBS)?

*Question 4.* Are there any differences in the level of OCB between the three levels of schools?

*Question 5.* Is there a statistically significant relationship between PSE and the OCB of teachers?

### *Analytic and Statistical Procedures*

To answer the first and the second research questions, descriptive statistics were used to examine the principals' self-efficacy and to examine the organizational citizenship behaviors of teachers.

To answer the third and the fourth research questions, one-way analysis of variance (ANOVA) was used to determine whether there are any statistically significant differences between the means of the three levels of schools in the principals' self-efficacy scores and in the organizational citizenship behaviors of teachers scores. One-way analysis of variance (ANOVA) is used to determine whether there are any statistically significant differences between the means of two or more independent groups.

To answer the fifth research question, Spearman's rank-order correlation was used to determine the relationship between the principals' self-efficacy and the organizational citizenship behaviors of teachers. Spearman's correlation is used to determine the strength and direction of the association or relationship between two continuous and/or ordinal variables (Field, 2013).

## *Research Design*

Descriptive statistics and correlational design were assessed to measure the self-efficacy of school principals and the organizational citizenship behavior of teachers and to describe the relationship between school principals' self-efficacy and the organizational citizenship behavior of teachers. This study determined the extent to which the three levels of schools differ from each other with PSES and teachers' OCBS scores. Principals and teachers were enabled to provide information based on the context of their individual schools. The use of anonymous surveys provided an opportunity to collect ample information for analysis.

## *Population and Sample*

Surveyed in this study were principals and teachers at public and private schools in Dhahran's school district in the Eastern Province of Saudi Arabia, as identified through the Educational Services Department of the Eastern Province. The Dhahran School District's website has general statistical data about Dhahran's schools from the school year 2015–2016. The sample included 37 private schools and 34 public schools (32 boys' elementary schools, 20 boys' middle schools, and 19 boys' high schools) for a total of 71 boys' schools.

## *Instrumentation*

The instruments used to investigate these research questions were two separate web-based anonymous questionnaires that include a description of the study, external and personal factor questions, and either the Principals' Self-Efficacy Scale survey or the Organizational Citizenship Behavior Scale survey. The first instrument that was used in this study is a refinement of the earlier PSES created by Tschannen-Moran and Gareis (2004) to measure principals' self-efficacy. The instrument measures PSE with a scale that uses 18 items and three developing factors through factor loading: management, instructional leadership, and moral leadership. The survey assesses PSE along a 6-point Likert-type scale. Responses range from 1 (*Not at All*) to 6 (*Very Well*). The OCBS, developed by Somech and Ron (2007), is a 24-item Likert-type scale that measures the degree to which the teacher at a school engages in organizational citizenship behavior. The Likert-type instrument will use a 6-point scale that ranges from 1 (*Not at All*) to 6 (*Very Well*).

## **Results**

### *Data Collection*

The data from the online, voluntary principal survey were collected from December 12, 2016 through December 26, 2016, and again from January 2, 2017 through January 10, 2017, and for a third time from January 16, 2017 through January 26, 2017. After the survey period ended, the data were downloaded directly from the web-based survey website into SPSS for analysis. As specified in the informed consent statement, no IP addresses were collected from the respondents.

### *Analysis of Response Rates*

This study's final population included 71 school principals and 1,496 schoolteachers from the Dhahran School District. During the three survey periods, the total final completed responses to the PSES survey were a sample of 46, which resulted in a 64.7% response rate, and the total final completed responses to the OCBS survey was 233, which resulted in a 15.5% response rate. In general, online survey response rates tend to be low (Fowler, 2009). According to Sax, Gilmartin,

and Bryant (2003), online survey response rates decline over time and may drop as low as 12.3% (especially among male participants). However, in this study, the response rate to the PSES was (64.7% > 12.3%), and the response rate to the OCBS was (15.5% > 12.3%).

### Analysis of Data

SPSS version 24 was used for normality and descriptive testing to examine graphic and numeric assumptions of normality. According to Field (2013), the Shapiro-Wilk is preferred to the Kolmogorov-Smirnov test as it has “more power to detect differences in normality” (p. 188). For this reason, the Shapiro-Wilk test was used to determine if the distribution of scores was significantly different from a normal distribution (Field, 2013). When the values of skewness and kurtoses were reviewed, this test revealed they were within normal ranges (less than 1.0 and greater than -1.0).

The Shapiro-Wilk and the Kolmogorov-Smirnov tests of normality were not statistically significant for the PSES mean scores,  $M = .970$ ,  $p = .270$ , and the value of skewness and kurtosis was within the range of  $\pm 1$  (see Tables 1 and 2) in the histograms, which indicates that the data are normal. On the other hand, the Shapiro-Wilk and Kolmogorov-Smirnov tests of normality were statistically significant for the OCBS mean scores,  $M = .970$ ,  $p = .001$ , which indicates non-normality (see Tables 3 and 4). However, with the value of skewness and kurtosis within the range of  $\pm 1$  in the histograms, we can infer that the data was approximately normally distributed. Thus, the normality assumption is satisfied.

Table 1  
*Tests of Normality*

	Kolmogorov-Smirnov <sup>a</sup>			Shapiro-Wilk		
	Statistic	df	Sig.	Statistic	df	Sig.
PSES means	.114	46	.173	.970	46	.270

a. Lilliefors Significance Correction

Table 2  
*Descriptive Statistics*

	N	M	Skewness		Kurtosis	
	Statistic	Statistic	Statistic	SE	Statistic	SE
PSES means	46	5.3031	-.207	.350	-.449	.688

Table 3  
*Tests of Normality*

	Kolmogorov-Smirnov <sup>a</sup>			Shapiro-Wilk		
	Statistic	df	Sig.	Statistic	df	Sig.
OCBS means	.080	233	.001	.970	233	.000

a. Lilliefors Significance Correction

Table 4  
*Descriptive Statistics*

	N	M	Skewness		Kurtosis	
	Statistic	Statistic	Statistic	SE	Statistic	SE
OCBS means	233	5.2879	-.481	.159	-.291	.318

## Analysis of Principals' Self-Efficacy

### Data results 1.

The PSE scores reported the Cronbach alpha coefficient for internal consistency as .883 for the overall 18 items. The PSES mean score of 5.3 out of 6 with  $SD = .38$  indicates that principals in Dhahran's schools have a high level of self-efficacy as measured by the PSES. A one-way analysis of variance (ANOVA) was used to examine whether the level of the PSES differs between the three levels of schools. (See Table 5 for the means and standard deviations for each of the three levels of schools).

Table 5  
 Means and Standard Deviations of PSES

	<i>N</i>	<i>M</i>	<i>SE</i>
Elementary school	19	5.2339	.43056
Middle school	14	5.3214	.40951
High school	13	5.3846	.26300
Total	46	5.3031	.38091

The test for normality indicated the data were statistically normal and the homogeneity of variance was not significant, *Levene's*  $F(2, 43) = 1.507, p = .233$  (see Table 6), indicating that the assumption that underlies the application of ANOVA was met. All subsequent analyses used an alpha level of .05. The one-way ANOVA of PSE (see Table 7) was not statistically significant,  $F(2, 43) = .617, p = .544$ , indicating that all three levels of the schools had the same level of PSES scores.

Table 6  
 Test of Homogeneity of Variances for PSES

Levene statistic	<i>df1</i>	<i>df2</i>	Sig.
1.507	2	43	.233

Table 7  
 Analysis of Variance for PSES

	<i>SS</i>	<i>df</i>	<i>MS</i>	<i>F</i>	Sig.
Between groups	.182	2	.091	.617	.544
Within groups	6.347	43	.148		
Total	6.529	45			

## Analysis of Organizational Citizenship Behavior of Teachers

### Data results 2.

The OCBS scores reported the Cronbach alpha coefficient for internal consistency as .886 for the overall 24 items. The OCBS mean score of 5.28 out of 6, with  $SD = .454$ , indicates that teachers in Dhahran's schools have a high level of organizational citizenship behavior as measured by the OCBS. A one-way analysis of variance (ANOVA) was used to examine whether the level of the OCBS

differs between the three levels of schools. (See Table 8 for the means and standard deviations for each of the three levels of schools).

Table 8  
*Means and Standard Deviations of OCBS*

	<i>N</i>	<i>M</i>	<i>SD</i>
Elementary school	125	5.2913	.46889
Middle school	49	5.2543	.45479
High school	59	5.3086	.42675
Total	233	5.2879	.45408

The test for normality indicated the data were statistically normal and the homogeneity of variance was not significant, *Levene's*  $F(2, 230) = .277, p = .758$  (see Table 9), indicating that the assumption underlying the application of ANOVA was met. All subsequent analyses use an alpha level of .05. The one-way ANOVA of the OCB of teachers (see Table 10) was not statistically significant,  $F(2, 43) = .198, p = .820$ , indicating that all three levels of schools had the same level of OCBS scores.

Table 9  
*Test of Homogeneity of Variances for OCBS*

Levene statistic	<i>df1</i>	<i>df2</i>	Sig.
.277	2	230	.758

Table 10  
*Analysis of Variance for OCBS*

	<i>SS</i>	<i>df</i>	<i>MS</i>	<i>F</i>	Sig.
Between groups	.082	2	.041	.198	.820
Within groups	47.753	230	.208		
Total	47.835	232			

## Analysis of the Relationship between Principals' Self-Efficacy and Organizational Citizenship Behavior of Teachers

There were 46 schools that participated in the PSES, and 42 schools that participated in the OCBS. To determine the relationship between the principals' self-efficacy and the organizational citizenship behaviors of teachers in this study, the researcher included only schools whose principal had participated in the PSES and who had at least one teacher that participated in the OCBS. To test the relationship between PSES and OCBS, the PSES means and the OCBS means were calculated and merged into one SPSS file along with the school names to correlate the means of the two variables in each school. The number of schools that participated in both the PSES and OCBS surveys is 37 (16 elementary schools, 10 middle schools, and 11 high schools; the total includes 37 principals and 228 teachers; see Table 11 and Table 12).

Table 11  
*Schools Participating in both PSES and OCBS Surveys*

		<i>f</i>	%
Valid	Elementary school	16	43.2
	Middle school	10	27.0
	High school	11	29.7
	Total	37	100.0

Table 12  
*Number of Principals to Teachers in Same Particular School for Comparison between PSE & OCB*

	N Principals	N Teachers
1	1	3
2	1	1
3	1	5
4	1	5
5	1	6
6	1	13
7	1	5
8	1	17
9	1	11
10	1	9
11	1	12
12	1	2
13	1	4
14	1	1
15	1	4
16	1	6
17	1	7
18	1	2
19	1	1
20	1	4
21	1	16
22	1	9
23	1	8
24	1	1
25	1	4
26	1	7
27	1	5
28	1	7
29	1	5
30	1	6
31	1	2
32	1	6
33	1	11
34	1	10

35	1	7
36	1	1
37	1	5
Total	37	228

### Data Results 3.

A Spearman's rank-order correlation was used to test for correlation between the mean of principals' self-efficacy and the mean of organizational citizenship behaviors of teachers. As noted in this chapter, Spearman's correlation is used to determine the strength and direction of the association or relationship between two continuous and/or ordinal variables (Field, 2013). In this study, the PSES and the OCBS are Likert scales, which are considered ordinal variables. The analysis of data reveals that the PSES is normally distributed but the OCBS is not.

Principals' self-efficacy as measured by the PSES score will show a statistically significant relationship ( $p < .05$ ) with the OCBS of teachers' mean scores. The correlation between PSES and OCBS was not significant,  $r = .102$ ,  $n = 37$ ,  $p = .546$  (see Table 13). However, the correlation ( $r = .102$ ) is not statistically significant at the .05 level (two-tailed), which may be interpreted as an absence of a statistically significant relationship between PSE and teachers' OCB. In order to have a statistically significant relationship between two variables with an  $n = 37$ , the correlation must be  $r > .325$  and  $p < .05$ .

Table 13  
*Correlations between PSES and OCBS*

			OCBS means	PSES means
Spearman's rho	OCBS means	Correlation coefficient	1.000	.102
		Sig. (2-tailed)	.	.546
		<i>N</i>	37	37
	PSES means	Correlation coefficient	.102	1.000
		Sig. (2-tailed)	.546	.
		<i>N</i>	37	37

## Discussion

For research question 1, the results indicated that principals in Dhahran's school district have a high level of self-efficacy as measured by the PSES. A high level of self-efficacy can be defined many ways. Principals with high levels of PSE can influence teachers' motivations and behaviors (Modlin, 1997); therefore, principals in Dhahran's school district could potentially influence their teachers' motivations and behaviors regarding school effectiveness. Additionally, because of their high level of PSE, principals in Dhahran's school district are more likely to pursue a comprehensive understanding of supervision and instructional leadership and openness toward teaching effectiveness. They may also be more willing to pursue higher educational goals for themselves and their teachers (Tschannen-Moran & Gareis, 2004). The high levels of PSE in Dhahran's school district may be associated with higher levels of well-being and job satisfaction as well as lower levels of principal burnout (Devos et al., 2006). A high level of PSE can be an important tool for improving a school's leadership qualities; for principals in Dhahran's school district, therefore, it would be advantageous to acquire and maintain proficiency in self-efficacy (Federici and Skaalvik, 2012).

For research question 2, results indicated that all three levels of schools had the same level of PSES scores. Therefore, there are no significant differences in the level of principals' self-efficacy as measured by the PSES between the elementary, middle, and high schools in Dhahran's school district. Typically, leader self-efficacy performs consistently between elementary and middle schools, and these schools are more likely to be influenced by school leadership than high schools are (Leithwood & Jantzi, 2008). However, in this study, only nonsignificant differences were found in the level of PSE between the three levels of schools. This result does not agree with the results of previous studies, and may thus add to the body of knowledge and research in this area.

Regarding research question 3, the results indicated that teachers in Dhahran's school district have a high level of organizational citizenship behavior as measured by the OCBS. High levels can be interpreted in many ways. A high level of OCB could be a result of the appreciation principals in Dhahran's schools show for their teachers' contributions and their concern for those teachers' well-being (Somech & Ron, 2007). High levels of OCB can also be a result of well-operated schools (DiPaola & Tschannen-Moran, 2001); this may indicate that most of Dhahran's schools are well operated. When there are high levels of teacher satisfaction at work, a high level of teacher OCB is often also present; this may suggest that Dhahran's school teachers are experiencing high levels of satisfaction in their work (Bogler & Somech, 2004). One outcome of school effectiveness is the performance by teachers of behaviors that exceed than their job description (DiPaola & Hoy's, 2005); in this study, the high level of teacher OCB might thus be an outcome of their school's effectiveness. A high level of the OCB of teachers could be a major component of effectiveness in their schools.

For research question 4, results indicated that all three levels of schools had the same level of OCBS scores. Thus, according to this study, no significant differences were found in the level of organizational citizenship behavior of teachers as measured by the OCBS were found between elementary, middle, and high schools in the Dhahran school district. The results based on this question are interesting. They show that among the three levels of schools, teachers' OCB level does not have an effect or change. Specifically, though the type of school may differ between school levels, teacher OCB appears to regularly behave in a particular way and to possess certain consistent characteristics.

For research question 5, the results indicated that in Dhahran's school district, principals' self-efficacy as measured by the Principals' Self-Efficacy Scale and organizational citizenship behavior of teachers as measured by the Organizational Citizenship Behavior Scale did not correlate at a statistically significant level, so the two variables had no significant relationship. There are several possible reasons of this result. First, there is a possibility that the teachers who participated in the OCB survey were primarily those with higher OCB, and the lack of teachers with lower levels of OCB may thus have affected the correlation between PSE and OCB. There may have been underrepresentation or overrepresentation (Gall, Gall, & Borg, 2007). Therefore, it may be that a higher concentration of teachers with higher OCB responded, thus making it difficult to find a statistically significant relationship between PSE and OCB. Second, we assume that there were too many variables between PSE and OCB, which made it challenging to test the relationship between PSE and OCB. Third, because no studies have done on PSE or OCB in Dhahran's school district, it may have been difficult for principals and teachers to respond in new concepts, even though the two instruments reached high reliability scores when first tested as well as after they had been distributed. Fourth, having a high OCB survey response rate from private school teachers but a low OCB survey response rate from public school teachers could affect the correlation result of this study. A possible explanation for the variation in OCB response rates between private and public

schools in Saudi Arabia is the differences between the human resource systems in those schools. The Ministry of Education oversees teachers in public schools. However, in private schools, principals are in charge of hiring and dismissing teachers. Consequently, private school principals have more authority than public school principals, and that could explain the higher response rates from private schools, because teachers might have felt that they were obligated to participate in the survey when their principal asked them to do so. In this case, the sample respondents may not have been representative or may have over- or under- represented the population. Fifth, the main purpose of this study is to find a statistically significant relationship between PSE and the OCB of teachers. However, self-efficacy and OCB are two different concepts, and in this study, the researcher tested these two variables between two different types of educators and two different positions. This may also explain why the result of this question was not correlated at a statistically significant level and the two variables had no significant relationship.

## Limitations of the Study

This study has several limitations, which include the following: missing data, limited schools, low OCBS response rates, and use of a nonparametric test. This study did not attempt to make or determine the degree or direction of causality for any variable or effect. The truthfulness of the respondents is assumed but cannot be verified. The truthfulness and candor of the principals and teachers taking the two surveys was assumed but not verified. Although the respondents were advised that the survey was anonymous, some principals and teachers may have felt uncomfortable expressing their beliefs and opinions.

## Recommendations for Further Research

The results of this study add to the literature and current research on the relationship between the self-efficacy of school principals and the organizational citizenship behavior of teachers. The current study simply addresses the relationship between principals' self-efficacy and organizational citizenship behavior of teachers. This study did not find any statistically significant relationships between PSE and the OCB of teachers; one of the possible reasons is that the sample of schools that participated in both surveys (the PSES and the OCBS) was small. Furthermore, the study involved only boys' schools because dealing with two different Educational Administration Departments in Dhahran's district—one for boys' schools; one for girls' schools—proved difficult. Therefore, generalizability is problematic. However, future studies that address the issues relating to generalizability by including more school districts that are fully representative of the Eastern Province of Saudi Arabia student population are warranted.

This study did not investigate the relationship between principals' self-efficacy and organizational citizenship behavior of principals. Since there has been a positive significant relationship between teachers' self-efficacy and their extra-role behavior towards the organization as the same participants, future research on the relationship between principals' self-efficacy and the organizational citizenship behavior of principals may be a rich area for further research.

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*Galina A. Berulava & Mikhail N. Berulava (Russia)*

# A New Theoretical Platform of Personality Development in the System of Higher Education

**Abstract:** The article discusses the main factors of personal development and the dynamics of their role in the modern world. It is shown that an organized system of education, a teacher, is no longer a priority source of personal development: such a source is the electronic media that are today having a mostly negative impact on personal development. The paper considers the prognosis of the new trends in personality development: decentralization of the universities functioning; identification as the main source of personal development via electronic information sources; development, active use of educational films and video courses, the formation of positive stereotypes of mental activity in the individual. It is substantiated that the answer to the question of what and how to teach in a higher education institution autonomously is impossible, without analyzing the role of various sources of personality development and, in particular, a detailed philosophical, sociological, and psychological analysis of the role of modern electronic means for the formation of personality.

**Keywords:** state of the higher education system, mental activity, sphere of the unconscious, sources of personality development, electronic sources, network development of personality

**摘要** (Galina A. Berulava Mikhail N. Berulava) :

高等教育系統中人格發展的新理論平台) : 本文旨在討論影響個人發展的主要因素以及這些因素在現代社會背景下的動態關係。結果顯示, 有組織的教育系統, 教師, 已不是個人發展的首要影響因素。電子媒體代替教師, 成為個人發展最重要的影響因素, 並對個人發展產生了極大的負面影響。本文對人格發展新趨勢給出幾點預期: 大學功能的去中心化; 通過電子信息資源進行的身份認同成為個人發展的主源; 發展, 教育電影和視訊課程的積極使用, 形成個人心理活動的積極刻板印象。事實證明, 分析人格發展各種影響因素, 特別是從哲學、社會學和心理學方面對現代電子手段對人格形成的影響所作的詳細分析, 是解答在高等教育機構中教什麼和如何教這一問題的必要條件。

**關鍵詞:** 高等教育體系現狀, 心理活動, 無意識領域, 人格發展源, 電子資源, 人格網絡發展

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**Zusammenfassung** (Galina, A. Berulava & Mikhail N. Berulava: Eine neue theoretische Plattform für die Persönlichkeitsentwicklung in der Hochschulbildung): Der Artikel beschäftigt sich mit wichtigen Faktoren der Entwicklung der Persönlichkeit und ihrer dynamischen Rolle in der modernen Welt. Es wird gezeigt, dass das organisierte Bildungssystem, und der Lehrer / die Lehrerin, keine vorrangige Quellen der Persönlichkeitsentwicklung mehr sind: Eine solche Quelle sind die elektronischen Medien, die heute einen

*immer größeren negativen Einfluss auf die persönliche Entwicklung haben. Es werden die prognostizierten Trends der Persönlichkeitsentwicklung betrachtet: eine Dezentralisierung des Funktionierens von Universitäten; die Definition elektronischer Informationsquellen als Hauptquelle der Persönlichkeitsentwicklung; die Entwicklung und aktive Nutzung von Lehrfilmen und Videokursen; die Bildung positiver Stereotypen der geistigen Aktivität einer Persönlichkeit. Es wird gezeigt, dass es fast unmöglich ist, die Frage zu beantworten, was und wie man an einer Universität unabhängig lehrt, wenn die Rolle der verschiedenen Quellen und insbesondere die Rolle der modernen elektronischen Mittel bei der Bildung der Persönlichkeit nicht einer detaillierten philosophischen, soziologischen und psychologischen Analyse unterzogen wird.*

**Schlüsselwörter:** *Stand des Hochschulsystems, geistige Aktivität, Sphäre des Unbewussten, Quellen der Persönlichkeitsentwicklung, elektronische Quellen, Netzwerkentwicklung der Persönlichkeit*

**Аннотация** (Галина А. Берулава & Михаил Н. Берулава: Новая теоретическая платформа развития личности в системе высшего образования): *В статье рассматриваются основные факторы развития личности и динамика их роли в современном мире. Показано, что организованная система обучения, педагог, уже не являются приоритетными источниками развития личности: таким источником являются электронные средства информации, которые оказывают сегодня в большей степени отрицательное влияние на развития личности. Рассмотрены прогнозные тренды развития личности: децентрализация функционирования вузов; определение как основного источника развития личности электронных источников информации; разработка, активное использование учебных фильмов и видеокурсов, формирование позитивных стереотипов психической активности личности. Обосновывается, что решение вопроса чему и как учить в вузе автономно, без анализа роли различных источников развития личности и в частности детального философского, социологического, психологического анализа роли современных электронных средств на формирование личности невозможно.*

**Ключевые слова:** *состояние системы высшего образования, психическая активность, сфера бессознательного, источники развития личности, электронные источники, сетевое развитие личности.*

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One of the most important tasks of modern society is to raise the level of higher education, since only that can lead to an increase in the scientific and technical level of our society, the development of innovative technologies in the economy and the production sector.

Nowadays, modern education system is subject to criticism from the side of both scientists and practitioners. However, the analysis of the problem is mainly reduced to particulars without its analysis in the general methodological and theoretical perspective. There is a consensus that the higher education system requires fundamental reforming. The reason is that it has less and less influence on the development of a young man, on his professional development. Accordingly, higher education institutions are challenged to increase the role of the higher education system in the professional development of young people.

One can't help taking into account (since education is initially global in its nature) the global trend in the development of the higher education system, namely, the transition to online learning.

Today, the replacement of mid-ranking specialists with artificial intelligence is becoming a trend in the world due to the high level of the machines' productivity and the better quality of their work. Accordingly, universities cannot but take into consideration that there will be a need in the near future, above all, for highly professional specialists - generators of new ideas and technologies. It is highly likely that that will happen quicker than we expect, since the development of technology takes place primarily owing to qualitative leaps.

At present, behind the scenes, outside the scope of discussion is the fact that the decline of the university role in personal development, which has been in progress for many decades, has

happened thanks to the fundamental change in the rating of the main sources of personality development.

In the recent past the main sources of personal development used to be the family and an organized system of education (school, university), now electronic sources of personal development have taken the dominant place. Television continues to play a significant role as it does not require the personal activity of the individual. The less is the role of the family in the life of a young man, for objective reasons it is happening, the greater is the role played by the media, the Internet: the average impact time of those is increasing.

The role of organized learning is becoming less and less significant, because it is not able to counter with the powerful factors that give priority to electronic means concerning a young man, such as psychological comfort in learning information, the efficiency of learning (the information is perceived not only through visual or auditory analyzers, but always in their emotionally saturated synthesis, and learning always takes place in accordance with the individual motivation that obligatory accompanies a powerful positive emotional component). With the help of the Internet, a person can work at a genetically defined pace, in accordance with his level of concentration, his cognitive strategy, which is very comfortable (Берулава, Г.А., & Берулава, М.Н. [Berulava G.A., & Berulava], 2012b).

They consider as an axiom in psychology that only a talent can form a talent, although the teaching profession is rather widespread and such a great number of talented teachers is impossible in principle (Bruner, 1996; Выготский [Vygotsky] (1965). As a source of information presentation, a teacher has long been unable to compete with electronic sources of information. Realization of this fact requires changes in the content and technologies of personal development at the university, learning with maximum reliance on the use of electronic sources of information. This is, first of all, the creation of educational films (where information would be given only by outstanding and first-scale scientists and specialists), the creation of special educational channels, where each lesson is accompanied with the support of the video series - today that does not occur on a centralized size and scope. Therefore, newly opened online educational platforms should win a priority place in education.

A necessary solution to the problem could be the creation of training studios. Each study unit should ideally be accompanied by a training film, video series. Only that can compensate the lack of necessary resources of the teacher. It could be the most interesting films which neither entertainment program, nor a detective film could compare with. Currently, we in no way use the phenomenal possibilities of television and its technologies or other electronic means influencing a person. At the same time, the resources that are being spent today on creating endless soap series that young people do not watch do not form a new generation of scientific stars.

Could it be said that a teacher will not be needed in the long run, as mid-level specialists in industry? No, in the realm of human relations it is not possible. A very important role of the teacher still remains relevant - to teach independent work, to teach to analyze, synthesize, systematize information, to debate, because creative thinking is formed only in discussion. Thus, a modern teacher should be, above all, an organizer of the learning process with a high level of psychological training.

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The education system also does not take into account the changes in the role of the main sources of information and the historical stage of development of scientific and technological progress in regards of continuation to fetish the textbook role (Berulava G.A. & Berulava M.N., 2012a). The activity in the field of scientific and technical progress, with consideration for its colossal dynamics, is becoming restrictedly professional and its specificity at a particular historical stage can only be understood by highly skilled scientists and specialists. But due to the fact that high-quality

generators of ideas and technologies do not, as a rule, write textbooks, they are often written by interpreters and popularizers of the average hand, who represent the achievements of a particular science rather poorly. Therefore, the history of the development of various sciences of a decade, and often centuries ago, is sometimes studied in school and in a higher educational institution, sometimes in one direction due to the preferences of the interpreter.

The second important aspect that had to be constantly kept in mind dealing with the education system is the aspect of upbringing, personal development, which also remains behind the scenes - education is now viewed, including the university, as self-sufficient value. However, the diagnosis of the formation of the conceptual apparatus and factual material, without taking into account the motives of life, the personal qualities that have developed in a person, is absolutely meaningless. Practice shows that a good professional cannot exist if he has negative personal qualities. These are absolutely interconnected things. And personal qualities in this regard are priorities. At university it still exists as a certain optional work.

Sociological researches indicate that every year the role of television is becoming an increasingly negative factor in the formation of personality. We see this by the colossal growth of aggressiveness, by the wild acts of sadism on the part of adolescents, the decline in the general level of culture, and the lack of basic moral qualities of the personality in many young people. The transition of television to commercial rails, its pursuit of ratings, which provide super-profits, provide orientation of television to the increasingly base demands of young people. It is television that forms the most negative personality traits: aggressive and non-intelligent behavioral patterns, pathological forms of emotional response (people communicate only on the verge of constant hysteria and systematic humiliation of interlocutors without any arguments, without forming ability to hold a discussion).

Elevating the anti-moral behavior to the rank of standard has become a mass phenomenon, namely the ubiquitous sale of your personal life and the lives of your loved ones at various shows, notwithstanding the consequences for a person and his dearest and nearest. The development of young people in modern conditions takes place on the basis of the internalization of these negative forms of mental activity, which are transformed into behavioral, communicative, emotional, mental stereotypes, which are also already a form of the unconscious - the most stable basis of behaviour. Another quite large group of people has been formed, it consists of not only retired artists, but also young people who consider appropriate to look into other people's personal lives and have the right to discuss and condemn it. They are unable to realize that it is dishonorable, embarrassing and not acceptable in the society of decent people.

Commitment to the daily demonstration of misfortunes and catastrophes undoubtedly forms an increased anxiety among young people, a depressed image of the world, an uncertainty in their abilities which leads to the lack of optimism as character traits. We practically do not see on the screen positive news, the display of high moral actions and just smart people. As a lifestyle, as a behavioral stereotype, the desire for outrage is formed, for the so-called "beautiful life", for consumption, to increase; in order to have these the young man considers it possible to destroy not only other people, but above all, his own personality always leads him to an utter failure in life.

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Unfortunately, the Internet today exists for young people not as a source of self-education, but as a source of entertainment. For many students, the formation of a desire to capture every minute of their lives in photos and videos is also a source of imitation of the so-called stars for a significant part of young people. Sending and exhibiting photos to complete strangers, picking up the number of "likes" indicates internal emptiness and poverty, loneliness and lack of realization due to the fact that people successful professionally and personally do not spend hours in social networks, as they save their time, inner world and personal life.

It should be especially noted that since personality development occurs as an acquisition of forms of the reference group behavior, young people today more than ever need socially promoted positive patterns of behavior, communication and emotional response (Берулава, Г.А. [Берулава], 2008).

Once again we would like to emphasize that determining the issue of what and how to teach at a university without analyzing the role of various sources of personality development and, in particular, a detailed philosophical, sociological, and psychological analysis of the role of modern electronic means for the formation of personality is impossible. However, this problem today is practically not discussed in any way in a wide information field. At the same time, the role of television is becoming increasingly destructive; it has already formed in many young people negative life motives, stereotypes of destructive behavior, aggressive communication and emotional response, unproductive thinking stereotypes. At the same time at the core of their life motives is not the professional creative activity, the acquisition and generation of new knowledge. Television continues to be a very important source of the formation of these values among young people. But it forms only two basic values and the accompanying motivations - the formation of the value of consumption and the value of entertainment. At the same time, the main value of a person - the value of creative self-realization based on the formation of the motivation of scientific and research activities for decades has remained behind the scenes. Without forming this value and this motivation, it is impossible to raise the question of the development of fundamental science and the latest technologies.

The formation of such motivation and such competences, mediated by the formation of productive mechanisms of mental activity is impossible without the formation of the value of creative activity - as the major value of human mental activity. It is impossible to forget that the formation of the creative thinking of a modern student should be mediated by the formation of productive mental stereotypes that allow them to be used automatically, through the sphere of the unconscious, which is possible through daily mental gymnastics. That, in turn, should ensure the daily enjoyment of creative activity, which ensures the formation of the habit of creative activity and, accordingly, the need for it. All these activities form the image of scientific, creative activity for the young deemed as prestigious. Every activity must necessarily be accompanied by the formation of communicative and emotional stereotypes of productive personal and business communication at the university. They just need to be formed - they should not form spontaneously. The presence of such patterns of mental activity is a guarantee of professional and personal self-realization in most intellectual activities and ensuring the status of the intellectual elite (Bodenhausen, & Lichtenstein, 1987).

The challenge is that very often a non-creative teacher acts as a source of scientific information, yet it is widely known; only a creative teacher can educate a creative person. At the same time, the interest to such information is not stimulated by the colorless, non-emotional form of presentation. At this background, the information noise received from various shows which has the role of an informational novelty simulacrum, as a rule, is accompanied by a powerful emotional background, although it also carries a negative impact (Berulava G.A., 2009). Unfortunately, today the place of scientific information is increasingly occupied by mysticism, medieval insanity. The propensity to scientific analytical thinking is neither formed by the media nor by the educational system which apparently were obliged to have done the aforementioned objective.

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One of the most important reasons for the absence of any positive changes in the modern practice of teaching is the discrepancy between the cognitive style of the student and the style of the presentation of educational information in a textbook or teacher. The thinking style of young people today due to constant communication with the media is predominantly figuratively emotional. Students' minds less and less gravitate to abstract constructions. At the same time, the

foremost acquired information is that which has a significant emotional impact. These facts work against the verbal, declarative style of presentation of educational information, which leads to the phenomenon of cognitive dissonance (Фритт [Frith], 2010, p. 257).

The foregoing leads us to conclude that today's technologies for presenting educational information do not correspond to the thinking style of the modern youth, the development trend of which increasingly contradicts the verbal, disjunctive, formal-logical constructs of a textbook and teacher. Entry into the era of the information society destroys the current evolution of human thinking. The massive impact of the media actually closes the phase of reflection for the person - the most important phase of the formation of mental structures.

I would like to dwell on another aspect that is very important for the higher education system. Today, students do not form an understanding that the opinion of a single scientist and a single author is not the ultimate truth, an understanding that any scientific concept can be subjected to criticism and revision. It is not a secret that none of the existing scientific concepts dominating at a certain historical stage remained without revision, and often without a fundamental change in the view of it. Any theory is temporary and may be changed to opposite views in the future. Therefore, the most dangerous thing that a modern university does is - fetishize and sacralize the meaning of certain theories and concepts described in textbooks. But knowledge is by nature always probabilistic.

Many prominent scholars point out that the trouble with the modern education system is that it is more often similar in its functions to a museum and reflects more the past than the future. Young people should be turned not to the past, but to the future – without it there is no progress. Those scientists are right who say that in the Internet era, the role of the teacher, the teacher, has changed dramatically. As a means of transmitting information, the teacher is practically not needed, it can be downloaded from the Internet. The task of the teacher today is to form pupils' creative thinking mechanisms, self-learning mechanisms. The combination of these stereotypes constitutes an individual strategy of mental activity and, as a result, an individual image of the world. Thus, the negative influence on the formation of creative mental activity is the tendency of the university to the fetishization of the role of certain probabilistic concepts and the conceptual apparatus accompanying them. Concepts are assigned a special, often sacred role, suggesting that already assigning a name to a phenomenon is practically its explanation. This phenomenon in science is called nominative error. We can agree with those specialists who note that a modern university should not form students' deterministic approach to understanding reality (today it undoubtedly dominates in presenting information and in textbooks and teachers), teaching the young man to look for a causal relationship, building which very often leads to false conclusions. At the same time, the metaphor of the “web of causes” has long been used in science. This means that after the occurrence of an event is very difficult, and most often it is impossible to find any one reason - it is, as a rule, an individual combination of the influence of various factors.

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The inefficiency of the modern education system is also related to the fact that it is traditionally focused on the development of the sphere of rational consciousness, focusing primarily on verbal-theoretical learning technologies. At the same time, the sphere of behavior, determined by the area of the unconscious, occupies an equally important place in the life of a person, in his professional and social success. It is this area that produces all sorts of stereotypes of communication, cognition, emotional response, motor activity. Stereotypes can be both productive and irrational, interfering with the effective self-realization of the individual (Фэйдимен, & Фрейгер [Fejdimen, & Frejger], 1996).

Experts underline that, in fact, automatic, stereotypical behavior in humans prevails, since it is most appropriate in many cases, and in the others it is simply necessary. Many people either do not have

the skills necessary to cope with everyday life problems, or have acquired the wrong skills and erroneous behavior patterns, some people do not know how to be friendly, how to talk, how to express anger in an appropriate way, how to reject unreasonable requests, etc. However, most of the human behavioral responses are automatic. Experts say that civilization is moving forward by increasing the number of operations that we can carry out without thinking about them (Хьелле, & Зиглер [Hjelle, & Ziegler], 1997).

It is necessary to stress once again that when developing the content and technologies of teaching in a higher educational institution, behavioral patterns formed by the students are not defined in any way, are not analyzed and, accordingly, are not taken into account. Consequently, there is a need to study existing stereotypical behavioral patterns and develop learning technologies aimed at creating productive professional and social stereotypes of mental activity in behavioral, cognitive, communicative, emotional spheres and correcting unproductive patterns of mental activity that make a young person's livelihoods ineffective.

In turn, the formation of positive stereotypes of mental activity is the most important task of the university. However, today an insignificant part of the educational process takes place on the basis of the teacher's understanding of the role of the sphere of the unconscious in the development of the student's mental activity and the need for a focused and systematic formation of this sphere. Traditional educational technologies rely only on the sphere of rational consciousness, which is the basis of purposeful activity. However, the human psyche is also active due to the sphere of the unconscious, which is the regulator of the subject's behavior.

The methodological error of the modern education system is that it focuses only on the formation of abstract-logical thinking, while the style of presentation of the textbook and teacher is also focused on this cognitive strategy. However, when it comes to solving practical, life problems, as well as many problems of professional activity, for example, managerial, practical intelligence is much more in demand, the most important component of which is implicit (implicit) knowledge obtained in the process of everyday life. Thus, modern learning technologies should appeal to the formation of productive cognitive stereotypes - cognitive phenomena that are actualized unconsciously (Берулава, Г.А. [Berulava, G.A.], 2010). It is established that the knowledge and understanding of human cognitive, communicative and emotional strategies of mental activity provides the possibility of their correction and consideration in a significant area of relationships. The lack of reflection on the prevailing stereotypes of behavior does not allow making any kind of mental activity sufficiently effective.

Acknowledgement of the provisions mentioned above should become a necessary trend of personal development in the system of higher education.

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Manfred Oberlechner (Austria)

## Migration Pedagogy and Early School Leaving

**Abstract:** The article focuses on migration and education, in particular on the anchoring of migration pedagogy within educational institutions in order to prevent early school leaving in the context of educational insufficiency and migration background; it discusses a requirement for educational reform with a focus on inclusion, and critically questions the institutional self-image of educational institutions – which is conceived along ethnic national and/or linguistically homogeneous lines – in migration societies. Pierre Bourdieu's conception of education and his concept of a "reflective sociology", Paul Mecheril's definition of migration pedagogy, as well as theoretical positions on the theme of inclusion form the theoretical bases of a line of argument which defines the necessary standards for migration pedagogy as an essential element in Austrian teacher training, a pedagogy that can avoid early school leaving.

**Keywords:** early school leaving, Austrian teacher training, migration pedagogy

**摘要** (Manfred Oberlechner: 移民教育学与辍学现象) : 本文讨论移民与教育, 特别关注教育机构为防止由教育资源稀缺和移民导致的辍学现象所采用的移民教育法。本文指出包容性是教育改革的一项要求。作者同时对移民社会中教育机构的自我形象进行了批判性的质疑, 指出该自我形象通常形成于单一民族或语言的社会背景中。Pierre Bourdieu 的教育观念和他的“反思社会学”概念, Paul Mecheril 对移民教育学的定义以及关于包容性主题的理论立场形成了一系列论证的理论基础, 这一论证定义了移民教育学作为奥地利教师培训的一个基本要素的必要标准。移民教育学可以有效的解决辍学问题。

**关键词:** 辍学, 奥地利教师培训, 移民教育学

**摘要** (Manfred Oberlechner: 移民教育學與輟學現象) : 本文討論移民與教育, 特別關注教育機構為防止由教育資源稀缺和移民導致的輟學現象所採用的移民教育法。本文指出包容性是教育改革的一項要求。作者同時對移民社會中教育機構的自我形象進行了批判性的質疑, 指出該自我形象通常形成於單一民族或語言的社會背景中。Pierre Bourdieu 的教育觀念和他的“反思社會學”概念, Paul Mecheril 對移民教育學的定義以及關於包容性主題的理論立場形成了一系列論證的理論基礎, 這一論證定義了移民教育學作為奧地利教師培訓的一個基本要素的必要標準。移民教育學可以有效的解決輟學問題。

**關鍵詞:** 輟學, 奧地利教師培訓, 移民教育學

**Zusammenfassung** (Manfred Oberlechner: Migrationspädagogik und frühzeitiger Schulabbruch): Der Artikel fokussiert den Schwerpunkt Migration und Bildung und ordnet sich ein, wenn es um eine bildungsinstitutionelle Verankerung von Migrationspädagogik zur Prävention von frühzeitigem Schulabbruch im Kontext von Bildungsarmut und "Migrationshintergrund" geht. Er diskutiert einen Bildungsreformanspruch mit Blick auf Inklusion und stellt gleichzeitig das institutionelle Selbstbild von Bildungsinstitutionen innerhalb von Migrationsgesellschaften in Frage, das vorwiegend ethnisch-national und sprachlich-homogen gedacht wird. Pierre Bourdieus Konzeption von Bildung und dessen Konzept einer „reflexiven Soziologie“ sowie Paul Mecherils Definition von Migrationspädagogik, außerdem theoretische Positionen zum Thema Inklusion bilden die theoretischen Grundlagen einer Argumentationslinie, die Anforderungen für eine Migrationspädagogik definiert, die frühen Schulabbruch vermeiden helfen kann.

**Schlüsselwörter:** frühzeitiger Schulabbruch, Lehrerbildung in Österreich, Migrationspädagogik

**Аннотация** (Манфред Оберлехнер: Миграционная педагогика и раннее «расставание» со школой): В статье фокусируется внимание на миграции и образовании; она встраивается в ряд тех публикаций, где речь идет о закреплённом на институциональном уровне функционале миграционной педагогике для предупреждения случаев, когда ребенок досрочно прерывает свое обучение в школе. Все это рассматривается в контексте понятий «образовательная бедность» и «миграционный бэкграунд». Дискутируется необходимость проведения образовательной реформы через призму инклюзии, одновременно формируется критический взгляд на институциональный профиль образовательных институтов, функционирующих в

*мультиэтнических обществах. Этот профиль задумывается преимущественно как этнически-национальный и гомогенный в языковом плане. Образовательная концепция Пьера Бурдьё, его теория рефлексивной социологии, также дефиниция, данная П. Мехерилом относительно миграционной педагогики, равно как теоретические положения по теме инклюзивного образования, составляют основу аргументационной линии, которая вырабатывает определенные требования к миграционной педагогике, помогая предотвращать случаи, когда дети уходят из школы раньше отведенных на обучение сроков.*

**Ключевые слова:** прерывание обучения, подготовка учителей в Австрии, миграционная педагогика

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Migration affects the system of formal education in a variety of respects. The conditions of heterogeneity and diversity, as well as of democratically-seen, non-legitimate inequality, visibly show the precarious status not only of habitual practices and institutionalised forms of pedagogical practice but also of pedagogical self-conceptions and programmes.

In a society, early school leaving has to be seen in the context of educational disadvantage (in the form of qualifications and skills) and unequal opportunities. In terms of a migration pedagogy based on inclusivity, social work and social pedagogy are important components of social competences within the framework of teacher training because a migration pedagogy oriented towards the social environment (see also Thiersch, Grunwald, & Köngeter, 2012; Otto & Rauschenbach, 2008) *can* avoid, i.e. prevent, early school leaving.<sup>i</sup> From this perspective, the question of the relationship between academic teacher training and social work and social pedagogy becomes vital. This article is therefore a response to the phenomenon of early school leaving in Austria and the related question of which role a migration pedagogy based on inclusion can play in preventing it.<sup>ii</sup>

The recent extension of compulsory schooling in Austria to the age of 18 only makes sense if this compulsory inclusion in the education system represents a genuine opportunity to prevent early school leaving. On a related note, in modern migration societies such as Austria there are also specific needs for school and university teachers to learn core skills based on migration pedagogy, including the ability to reflect in a thorough manner. However, this teacher training cannot only take the form of recommendations within the framework of a special minority pedagogy exclusively for migrants, since society, including Austrian educational institutions, has been profoundly shaped by migration: migration has become part of the norm in everyday life not only in Austria and at Austrian schools and universities but everywhere in Western Europe. Consequently, it is not enough to add optional modules on migration or interculturality (the very concept of which is problematic) to the curricula of teacher training degrees. *All teachers* need to receive systematic basic training on the phenomenon of early school leaving, in regard to which migration (alongside other social difference factors) can play an important role.

Intercultural competence is a concept which ultimately does not go far enough in terms of diversity-oriented teacher training, which encompasses far more than the meaning implied in the abstract concept of a successful understanding, or successful social interaction, between two or more cultures. It is more appropriate therefore to speak of diversity competence or multiplicity competence, within which intercultural competence is only a sub-section of the aforementioned competences. Ultimately, we have to take into account the diversity in a classroom, i.e. within a heterogeneous cohort of pupils, and we have to deal with this from the perspective of equal rights regarding participation and the safeguarding of equal opportunities. Diversity competence or multiplicity competence for teachers means being familiar with the different prerequisites for successful learning, or rather being conscious of the fact that, in particular, the sociocultural and economic backgrounds or social environments beyond school may inherently contain unequal

learning conditions for pupils. Here, the migration background, or cultural origin, is only one of many influencing factors which play a role in the success of the individual's learning. The others are social gender, the parents' educational background or level of education (cultural capital), socio-economic factors (social class, residential area, parents' employment status), unemployment, welfare recipients (poverty), size of family, family status (keyword: single parents), psychological illnesses or traumas in the parental home, the pupil's personal resistance or resilience – or the pupil's own self-image, illnesses, disabilities and limitations –, parental expectations (high or low expectations of achievement), etc.

In order to understand these factors, teachers *must* have background knowledge of the pupils' social environments and cultural models, empathy, knowledge about group processes and dynamics in groups (keyword: bullying), the ability to reflect – particularly on their own prejudices –, and awareness of their own cultural conditioning (cultural perception) and the resultant subjective interpretation and judgement of others.

Neither heterogeneity nor migration are regarded as the norm within society: this is reflected in the training and further education of teachers. Teachers are still not adequately prepared for working from a social perspective with a diverse pupil cohort. Subjects such as heterogeneity, migration and the migration society do now feature in the curricula and degree programmes of prospective teachers, but the systematic appropriation of necessary knowledge is lacking, as are the qualifications and attitudes required in order to create a learning culture in lessons and within schools which reduces discrimination and puts a value on differences.

Furthermore, especially the Austrian education system is still structured in a way that means migrants are more likely to be systematically disadvantaged in the Austrian education system, students with a migration background are especially likely to reproduce the phenomenon of early school leaving over the course of several generations: Given that many pedagogical practices paradigmatically see migration exclusively as a problem, it must be asked whether early school leaving among young people with a migration background is being systematically coproduced by schools, given that it is primarily those students who do not have a middle-class habitus (which is produced outside schools and universities) who are sanctioned, and that early school leavers with a migration background are more likely to face intersectional discrimination that systematically impacts on their education across multiple dimensions. The author takes the view that migration pedagogy should be implemented as a core element of teacher training in Austria.<sup>iii</sup> This is linked with broad-ranging ideas pertaining to a (self-)reflective and inclusive teacher training that is increasingly able to avoid shortcomings in the Austrian education system, such as the phenomenon of adolescents with a migration background leaving school too early. This inclusive teacher training is based on a particular kind of knowledge transfer whereby migration pedagogy is broadened to include an inclusive pedagogy. The aim is to prevent injustices and provide fairer higher education, thereby also achieving a perspective on migration that is more sensitive to diversity.

*What is the relationship between diversity and early school leaving in Austria?* Here, statistical data shows that urbanity, the parents' employment status, the parents' education and the pupils' so-called migration background are, today, significant influencing factors in social differences when it comes to the risk of early school leaving (BMUKK 2012, 15; Steiner, 2009, 146): for young people whose parents do not have the Austrian school leavers' qualification, the risk of discontinuing training in Austria is four times higher than for those whose parents have the qualification. This means that anyone who does not have the cultural and financial resources to support their children has to face the consequence that their children will underperform and leave school early.

*What enables the socio-critical consciousness required for the new teacher training? To what extent can educational institutions influence stability and change in a society and, in so doing, make a specific impact on social inequalities?* This kind of reflective teacher habitus can provide innovative alternatives which make it possible to think and act from an educational science and pedagogical

perspective. A corresponding educational mandate might start with the reflective competence of teachers and learners, the prevailing teaching methods and teaching content and the characteristics of the (institutional) educational organisation. *To what extent does social change lead to social dimensions of difference – where advantages and disadvantages prevail – and to multiple experiences of recognition or neglect among persons included in the educational process?* To answer this question, intersectional analyses of discrimination must be carried out with a focus on a concept of education that is humanizing, self-empowering, democratic and egalitarian. The potential and existing barriers in teaching-learning situations can then be assessed more accurately. Such a reflective teacher habitus provides innovative possibilities, promoting pedagogical debate and didactic practice in relation to migration, too: the critical potential of the considerations that follow should contribute to a deeper and more systematic understanding of inclusive migration-pedagogical professionalism in the context of a reflective teacher habitus (Oberlechner, 2018).

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The term “migration” refers to a cluster of multifaceted phenomena relevant to education. They produce different educational trajectories and are therefore of importance to educational institutions – including higher education institutions. Accordingly, “migration society” and “migration” are adequate references in terms of pedagogical thinking. It is not enough to add optional modules on migration or interculturality to the curricula of teacher training degrees. All students *need to receive systematic basic training* with regard to migration, and this must include an intersectional perspective on other dimensions of difference such as gender, sexual orientation, language, religion, aptitudes or cognitive, motivational and emotional potential, age, mental and physical impairments and/or position within the structure of social inequality. The Austrian education system discriminates significantly more against students with a migration background, pushing them to leave school too early (Oberlechner, 2018), because young people with a migration background often find themselves facing “intersectional” discrimination which systematically impacts on their education across multiple dimensions. It is not surprising that the proportion of children with a migration background who are certified as having “special education needs” is still significantly overrepresented in Austrian special education schools (even though poor German language skills are not supposed to be the reason for this: learners with a migration background are therefore more likely to be de facto shunted into special education establishments which generally fail to offer them any adequate school-leaving qualification for them to build on in their further education) (Oberlechner, 2018).

A correspondingly critical and reflective teaching habitus contributes to ensuring that the requirements of migration pedagogy are met as adequately as possible in teaching and learning situations. This is primarily the case where institutions of higher education also have a reflective culture that accepts mistakes, where they are familiar with the practices of case review, peer advice and supervision, and where offers of training are not interpreted as implying weaknesses or even incapacity on the part of the staff. The question of how the educational environments can become places of reflection, places where professionals likewise view themselves as learners, is *central: reflective practice requires reflective environments*. It is important to increase the awareness of this, as otherwise it is not possible to continually re-conceive the field of migration and take it beyond an overly-prescribed migration discourse (Oberlechner, 2018). A reflective habitus based on migration pedagogy uses a concept of migration that is neither a-political nor post-political but instead cognisant of moral pitfalls, difficult balancing acts between divergent outlooks on life and the risks of instrumentalisation. This concept reflects critically on approaches that culturalise the phenomenon of early school leaving in connection with migration, since students and teachers need to be able to justify their pedagogical practice. Those responsible for managing schools or universities need to know how and why the issue of migration should be implemented within the

framework of diversity management in relation to both administration and teaching staff, since migration is an issue that is of relevance to all areas of school and university organisation (Oberlechner, 2018).

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*Migration and early school leaving* need to be discussed in connection with diversity in the recruitment of academic and teaching staff. Schools and universities could implement guiding principles at their own initiative, or reforms could be proposed to create an inclusive atmosphere in schools and classrooms. After all, a key factor behind early school leaving is whether *everyone* has an emotional attachment to, and sense of belonging at, an educational institution. These inclusive reforms would need to involve parents, migrant communities, NGOs and above all the migrants themselves. All this requires continuous reforms of educational institutions. Furthermore, universities of education must not leave fundamental research on migration and early school leaving to non-vocational universities and limit themselves to research that is narrowly focused on the teaching profession and only covers issues “directly linked to actual practice with children”. This requirement to measure direct impact in practice restricts the relevance of research as a whole and curtails the demands and possibilities of migration pedagogy-based research, not forgetting early school leaving, since reflection and deconstructive criticism do not necessarily directly lead to practical proposals for pedagogical solutions. Critique and reflection are valuable in their own right, and they are only possible if practices of teacher training cultivate a critical awareness. Highly reflective approaches help to ensure that teaching staff continue to apply pedagogical theories in practice. It needs to be possible to address questions that go beyond the immediate teaching and learning context in universities and schools and that pertain to society as a whole. In the case of migration, this can lead to fundamental questions of social philosophy or even questions of an existential nature. A multidimensional migration pedagogy and, alongside it, a more complex educational mission for schools and universities hence involves four main factors: the characteristics of the teachers, the organisational features of the school or university, the form and content of teaching and the characteristics of the students. Moreover, migration pedagogy must keep a constant eye on society and social changes, since statistics show that students whose language skills and “ethnic” status differ from what the education system constructs as normal still have extremely restricted opportunities for participation in the Austrian education system. Because early school leavers, and indeed *all* students, are a heterogeneous group with different experiences of education, different social backgrounds and different needs and goals, a migration pedagogy thus conceived is also an efficient tool for preventing educational disadvantage and socio-economic exclusion in Austria’s migration society. By drawing on intersectionality research, it is possible to continuously and concretely assess how strongly dimensions of difference between students influence successful learning outcomes. The central question is what potential advantages and disadvantages are associated with different social dimensions of difference and lead to multiple experiences of recognition or neglect in the education process. Social dimensions of difference and potential categories of discrimination need to be constantly analysed so that it is possible to precisely assess students’ potential and impediments in relation to the learning process, since potential, on the one hand, and impediments, on the other, can trigger positive or negative spirals respectively in relation to successful educational and learning outcomes. Early school leaving can be an intersectional event in the educational biography of a young person that is preceded by cumulative and observable processes of discrimination or of alienation from school learning.

If students’ potential is unlocked and used as “capital” in Bourdieu’s sense of the term (Bourdieu, 1983, 183), this can trigger multiple experiences of recognition among students (see, for example, Honneth, 2012). These experiences ultimately increase inclusiveness across multiple dimensions in the social environment of the school or university, prevent early school leaving and help pave the way for a successful future career. However, if students start their education with multiple

impediments and these are combined with experiences of discrimination, this can result in far-reaching experiences of neglect that lead to students feeling excluded (whether or not they have a migration background) and ultimately to early school leaving.

Attainment deficits must be understood not just as individual problems but always also as socially constructed ones. The phenomenon of early school leaving has correspondingly complex causes and multidimensional interactions that can only be explained by reference to an intersectional, interdependent interplay of socio-economic milieu, a lack of problem-solving strategies at an individual level and systematic conditions. Systematic institutional discrimination at educational institutions also plays a significant role. This discriminatory external selection at a systemic level often goes hand in hand with individual self-selection by students who lack a feeling of self-esteem and belief in their own self-efficacy. Experiences of devaluation and humiliation can significantly contribute to students' lack of confidence in their ability to achieve success at school.

Major consequences of early school leaving include restricted life and career opportunities in the future and higher long-term risks of health problems, low life satisfaction, social exclusion and unemployment. These risks last throughout the early school leavers' entire lives. There is a need for reassessment of and sensitisation to the "deficit-focused perspective" that is adopted on migration within educational processes, which results, firstly, in negative expectations and one-sided assessments of performance by teachers and, secondly, in students with a migration background being disproportionally allocated to lower-ranked school types compared with students without a migration background. Teachers' focus on students' weaknesses is a fundamental problem that can contribute to early school leaving. Teachers' conceptions of intelligence and talent, which are usually ethnocentric, i.e. predominantly geared towards white middle-class students, need to be critically reassessed, including intelligence tests or linguistically demanding tests of knowledge that are geared towards educated middle-class norms or neglect first languages other than German. Consequently, it needs to be asked what knowledge is legitimised by Eurocentric educational institutions and what knowledge is rejected and disqualified through epistemic disciplining.

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i From the beginning of the academic year 2016/17, the government introduced a package of measures which stipulates mandatory training until the age of 18. The corresponding legislative proposal of 2016 exempted asylum seekers from this: a failure which, from the perspective of inclusive migration pedagogy represented here, has not done Austria any favours (retrieved from URL: [https://www.parlament.gv.at/PAKT/PR/JAHR\\_2016/PK0808/](https://www.parlament.gv.at/PAKT/PR/JAHR_2016/PK0808/); accessed on 02.01.2019); this mandatory training applies to all young people who completed their general compulsory schooling at the end of the academic year 2016/17 and onwards.

ii The early school leavers group consists of young people who end their educational career as soon as they have completed their mandatory schooling, as well as of those who do begin senior high school education but then discontinue this without replacing it with anything else, i.e. who do not switch to any other form of schooling or training (Oberlechner, 2018).

iii In 2013 the “Federal Framework Law Introducing New Training for Educationalists” was passed in the Austrian National Council, thereby creating the legal basis for the education policy project “PädagogInnenbildung NEU” (retrieved from URL: <https://bildung.bmbwf.gv.at/schulen/pbneu/index.html>; accessed on 02.01.2019).



Sharon H. C. Chiang & Arthur K. Ellis (USA)

# Does Expectation Influence Relationship? An Investigation of Parental Expectation and Parent-Child Relationship Among Selected Chinese Groups

**Abstract:** Family is the primary learning environment for children. Parents are children's first social network. Prior to and concurrent with school education, the critical influence of parental expectation eventually permeates into all aspects of an individual's life. However, the subject of family relationships is rarely addressed within school curricula. Furthermore, due to some seemingly unreachable parental expectations and unbearable family discord, brokenness continues to increase. The influence of expectation on relations is an area of limited academic research.

This study explores parental expectation and its influence on parent-child relationships, using mixed methods: qualitative research methods involving interviews and focus group studies; and quantitative research utilizing a 41 item Likert scale questionnaire which was analyzed using exploratory factor analysis (EFA) in order to identify underlying relationships among measured variables. This exploratory study establishes the basis to encourage further research on the topic of expectations and relationships.

**Keywords:** parental expectation, parent-child relationship, family relationship, Chinese cultural groups.

**摘要** (Sharon H. C. Chiang 和 Arthur K. Ellis : 期望是否会影响关系? 特定华裔群体中父母期望和亲子关系的调查): 家庭是儿童的主要学习环境。父母是孩子们的第一个社交关系网络。先于学校教育并与之并存, 父母期望的重要影响最终会扩展到个体生活的各个方面。然而, 学校课程鲜少涉及家庭关系这个主题。与此同时, 由看似无法实现的父母期望和难以忍受的家庭不和谐所造成的关系破裂仍在继续增加。期望对关系的影响是一个尚待探索的学术研究领域。本研究采用混合研究法, 探讨父母的期望及其对亲子关系的影响。定性研究方法涉及访谈和焦点小组研究。定量研究使用 41 项李克特量表(Likert Scale)问卷, 并通过探索性因素分析法 (EFA) 确定变量之间的潜在关系。本次探索性研究旨在抛砖引玉, 为未来此课题的进一步研究与讨论提供实验依据。

**关键词:** 父母期望, 亲子关系, 家庭关系, 华裔文化群体。

**摘要** (Sharon H. C. Chiang 江秀圈 和 Arthur K. Ellis: 期望是否會影響關係? 華裔家庭中父母的期望對親子關係的影響之研究): 家庭是兒童成長的主要學習環境。父母是孩子第一個接觸的社交關係網絡。在接受學校教育之前或同時, 父母的期望對孩子的成長所帶來的影響深遠地擴展到兒童發展的各個層面。然而, 學校課程極少涉及家庭關係這個主題。此外, 由於一些來自父母親近乎無法實現的期望, 以及難以承受的家人關係不和諧, 因此破碎的家庭不斷地持續增加。期望對關係的影響是一個學術界鮮少探索的研究領域。本研究採用混合研究法, 探討父母的期望對親子關係的影響。定性分析法採用個案訪談與焦點小組研究法。定量分析法使用 41 項李克特量表(Likert Scale)問卷, 並通過探索性因素分析法 (EFA) 確定變量之間的潛在關係。本次探索性研究旨在拋磚引玉, 盼望學術界未來能更多對此相關課題做進一步的研究與探討。

**關鍵詞:** 父母期望, 親子關係, 家庭關係, 華裔文化群體。

**Zusammenfassung** (Sharon H. C. Chiang & Arthur K. Ellis: *Beeinflusst die Erwartung die Beziehung? Eine Untersuchung der elterlichen Erwartungen und der Eltern-Kind-Beziehung zwischen ausgewählten chinesischen Gruppen*): Die Autoren gehen davon aus, dass die Familie die wichtigste Lernumgebung für Kinder ist. Eltern sind das erste soziale Netzwerk für Kinder. Vor und parallel zur Schulbildung erweitert sich der kritische Einfluss der elterlichen Erwartung schließlich auf alle Aspekte des Lebens eines Menschen. Das Thema Familienbeziehungen wird jedoch selten in den Lehrplänen der Schulen behandelt. Darüber hinaus scheint die Gebrochenheit aufgrund einiger scheinbar unerfüllbarer elterlicher Erwartungen und unerträglicher familiärer Zwietracht weiter zu steigen. Der Einfluss der Erwartung auf die Beziehungen ist ein Bereich begrenzter akademischer Forschung. Diese Studie untersucht die elterliche Erwartung und ihren Einfluss auf die Eltern-Kind-Beziehungen mit gemischten Methoden. Qualitative Forschungsmethoden umfassten Interviews und Fokusgruppenstudien. Die quantitative Forschung verwendete einen 41 Punkte umfassenden Likert-Skalenfragebogen, der mit Hilfe der Exploratory Factor Analysis (EFA) analysiert wurde, um zugrundeliegende Beziehungen zwischen den Messgrößen zu identifizieren. Diese explorative Studie bietet das Potenzial, weitere Forschungen zum Thema Erwartungen und Beziehungen anzuregen.

**Stichworte:** Elternvorstellung, Eltern-Kind-Beziehung, Familienbeziehung, chinesische Kulturgruppen.

**Аннотация** (Шарон Х.К. Чжан & Артур К. Эллис: *Влияют ли ожидания на отношения? Исследование родительских ожиданий и взаимоотношений родителей и детей на примере отдельных фокус-групп в Китае*): Авторы исходят из того, что семья является наиважнейшей обучающей средой для ребенка. Родители для детей - их первый социальный опыт. За время дошкольного и школьного образования критическое влияние родительских ожиданий охватывает практически все аспекты жизни человека. Однако тема семейных отношений мало представлена в школьных учебных планах. Кроме того, создается впечатление, что усиливается подавленное состояние, появляющееся вследствие некоторых кажущихся невыполнимыми родительских ожиданий и гнетущей атмосферы разногласия в семье. Влияние ожиданий на взаимоотношения – достаточно редкая тема в научных изысканиях. Данное исследование, которое базируется на использовании смешанных методов, изучает родительские ожидания и их влияние на взаимоотношения родителей и детей. Качественные методы исследования представляют интервью и изучение фокус-групп. В рамках количественного исследования применялась основанная на шкале Ликерта анкета из 41 пункта, которая была подвергнута экспланаторному факторному анализу (Exploratory Factor Analysis - EFA) с целью идентификации основополагающих отношений между заданными величинами. Данное эксплоративное исследование открывает перспективу для дальнейшего изучения взаимовлияния ожиданий и социальных отношений.

**Ключевые слова:** родительские ожидания, взаимоотношение родителей и детей, семейные отношения, этнокультурные фокус-группы Китая

## Introduction

According to the family theory of Klein and White (1996 & 2008), four major differences distinguish the family as a social group from other associations and networks. Individuals spend greatly extended periods of time with their families. The family group is intergenerational. The relationships of family members are both biological and legal. And, the network group expands due to biological or affiliate connections (pp. 17-18). Even with significant societal changes in family structure and dynamics, these four characteristics remain evident and relevant. Gullotta and Blau (2008) concluded that although “there are numerous factors that impact child development..., the most important is the influence of families,” (p. 21) and “the parental environment is the first contextual factor encountered and thus serves as the impetus for a child’s development” (p. 26). Parents are typically children’s primary social contact. Prior and concurrent to school education, the influence of parents establishes children’s values and identities; and impacts in all aspects of growth for the remainder of their lives (Coser, 1964; Lewis

& Rosenblum, 1979). Lewis & Rosenblum (1979) affirmed that “[a] child’s social network forms a social environment from and through which pressure is extended to influence the child’s behavior and is also a vehicle through which the child exerts influence on others” (p. 25).

Education in the form of schooling is designed to cultivate students’ talents and further expand their potential for the development of a positive future. Nonetheless, there is sparse existing curricula in family relationships in the education system designed to equip individuals for their future roles as spouses and parents. Throughout elementary, secondary, college and post graduate education, rarely does one receive formal school instruction regarding family development or strategies to cope with family relationships. Most must cope “on the job” until they find themselves in need of counseling when psychological and emotional problems arise, worsen and become unmanageable due to unmet expectations in family relationships. In such situations, these relationships have already deteriorated “beyond repair,” and giving up becomes the least painful option.

Parents with unmet expectations become open to frustration, anger, or depression; children with unmet expectations become vulnerable to passive acceptance, rebellion, or traumatization. Unmet expectations also commonly occur in marital relationships where husband or wife can no longer live with the spouse he/she was once deeply in love with. Consequently, the brokenness of family relationship increases and has become a major epidemic in this modern world. Gullotta and Blau (2008) noted that nearly 50% of children experience the divorce of their parents before age 18 in the U.S., and that children raised in divorced families typically have poorer adjustment compared to their counterparts from intact families (p. 143). This early psychological impact could well influence children’s fortunes in a range of outcomes, including academic success, self-esteem, self-confidence, and even physical and mental health (Saarela & Finnäs, 2003; Davies & Cummings, 1994; Gullotta & Blau, 2008). Research shows that parental marital discord is negatively related to an offspring’s marital harmony and positively correlates to an offspring’s marital discord (Amato & Booth, 2001). Troxel & Matthews (2004) also note that conflict surrounding divorce influences children’s health even more than parental absence (p. 41).

Parental expectations, particularly in behavior and academic performances, have emerged as a primary influence in children’s outcome (Samura 2015). Cultural influences often dictate the expression of these parental expectations. For example, Samura (2015) found that Asian parents often display leniency towards their college-age children’s social life as long as strong academic performance is maintained. Such discordance of expectations likely shapes a child during development.

Family is the primary learning environment for children. Children need warm, loving, and stable home conditions to grow and develop in a healthy manner (Thompson & Henderson 2007). However, given an inability to meet seemingly unreachable parental expectations and experiencing the pain associated with the family dysfunction, increasingly children are expressing resentments overtly towards their parents who may be genuinely dedicated, or covertly by internalizing the unspoken hurt within themselves. Some run away from home rather than live under the pressures of meeting such unbearable parental expectations. Still others avoid relationships when they reach adulthood in order to shun expectations. The brokenness affects not only children themselves, but also propagates generationally onto their progeny with dysfunction of expectation and relationships. Expectation from the parents therefore impacts a child; and that influence pervades and profoundly shapes the child into the adult and possibly parent when s/he grows up.

## Parental Expectation in Chinese Culture Root

Expectation as a social construct is created and affected by culture and value. It is used within the culture to enforce certain shared values, social behaviors, and standards. Therefore, expectations are often embedded within the culture and parental expectations communicate both cultural and personal ideals. Not surprisingly, Chao (2001) commented on the influence of culture and value on the interactions and relationship between parents and children. Among Chinese cultural groups, the traditional values and teachings of Confucius are still evident in models of socialization today (Miller, et al., 1997; Wu, 1996; Wu, 1997). The three most highly emphasized and deeply rooted expectations in Confucian principles among Chinese families are respect for the elderly, filial piety and the valuing of education (Chuang & Tamis-LeMonda, 2013; Wang 2014).

The Confucian principle of Respect for the elderly is highly prized in the Chinese family (Chao, 1994; Su & Costigan, 2009; Baggerly, Ray & Bratton, 2010). Due to the teachings of Confucius that have been deeply embedded in Chinese culture over the past two thousand five hundred years, respect for the elderly is considered a philosophical virtue and intrinsic to “being Chinese.” With culture, society and the family unit all imposing such a virtue on children, Chinese parents often command absolute authority and control over their children to follow their expectations in different forms (Bates & Bates, 1995; Xu, Farver, Zhang, Zeng, Yu, & Cai, 2005). Chao (2001) described Chinese parenting style as prescribing parent-child relationships based on respect and obedience rather than establishing closeness and intimacy.

“Among all virtues, filial piety is the foremost” is a statement that is commonly accepted and stressed in parenting according to historical Confucian teachings. Filial piety is therefore highly valued and strongly asserted as a guiding principle among Chinese families in ascribing honor and respect to parents and all elderly (Bond, 1996; Flanagan, 2011; Yue & Ng, 1999; Su & Costigan, 2009; Shek, 2008; Baggerly, Ray & Bratton, 2010; Naftali, 2014). It is considered an indigenous Chinese virtue so favorably integrated in Chinese cultural history that it is perpetuated as a socialization pattern that is deeply intertwined with family relationships (Chan, & Tan, 2004; Fan, 2010; Yue & Ng, 1999), even becoming a qualification in the selection of suitable marital candidates (Cheung & Pomerantz, 2011).

Confucianism likewise idealizes scholarly achievement and highly values education (Wang 2014). There is an old saying in Chinese culture, “Everything is lowly, only studying is supreme,” which describes how highly Chinese value academics above everything else. Numerous studies have noted how, due to the strong influence of Confucianism and its mandate of filial piety, children are expected by their parents to maintain high standards of academic achievement as a way to show respect for the elderly and bring honor to their families (Chen, 2014; Chen & Ho, 2012; Chen & Wong, 2014). The emphasis becomes more prominent as children grow older with the intensification of the parental expectation upon academic performance. Filial piety and respect for elders become inextricably linked with a child’s academic achievement (Chen & Wong, 2014; Shek, 2007). High academic performance becomes a classic gesture of filial piety in traditional Chinese families, and is viewed as a way of honoring the family.

Consequently, families perceive their children’s failure in academic performance as an absence of filial piety or “causing shame to the family.” Children who do not practice filial piety or who commit misdeeds are considered a source of family shame and disgrace, and are often made to feel guilty (Slote & De Vos, 1998). Chinese parents’ expectations toward their children’s academic success are uniquely influenced by their cultural and social views of what is honorable and virtuous. Researchers have highlighted that

the unconditional financial, material, and psychological support Chinese parents provide for the learning of their children as an expression of their love; and their only expectation in return is their children's success in academics (Chen & Ho, 2012; Chen & Wong, 2014). Chen (2014) noted that "because of Confucianism, schools, families, and the entire society have an interwoven education net to support and urge students to meet academic success" (p.78). The parents' educational expectations of their offspring reflect an ulterior expectation of prosperity and blessing (through their children's top career choices and professional success) that Chinese parents assume will result later in their children's lives (Chu, 1999; Ramirez, 2008).

## Methodology and Rationale on Sample Selection

### *Research Design*

The purpose of this study is to investigate the correlation between parental expectation and parent-child relationships. First, given that the aim is to study "relationships," a social and behavioral science "human element" focus (Creswell, 2015), a mixed-methods investigation model was performed to investigate the complexity of Chinese cultural groups. Second, this model not only investigates influences of family background, but also facilitates personal discussions. Considering that Chinese are typically more reserved in their verbal and non-verbal communication as compared with their peers from Western cultures (Zhao, Xu, Wang, Jiang, Zhang & Wang, 2015), conducting both qualitative and quantitative researches provided complementary approaches that allowed participants multiple avenues of response. Having both qualitative and quantitative research tools also provides a more comprehensive platform for the investigator to creatively expand the research design for more extensive and robust data collection. Interviews and focus group studies were conducted in qualitative investigations. A set of four open questions were utilized for both the interviews and focus group studies. In order to ensure gender and age representation, four individuals were interviewed separately, while two focus groups were conducted among two different age groups at independent times and locations. All sessions were recorded in audio as well as transcribed. One session was video recorded. The Childhood Family Experience Scale (CFES) questionnaire instrument was employed for conducting the quantitative investigation. CFES involves 41 question groupings with items sub-divided by paternal, maternal and family aspects into 90 items in a Likert scale. Additionally, a companion open-ended question allowed participants to express data beyond what the Likert scale provides.

### *Participants—Why study adults for childhood experiences?*

The subjects were drawn from a convenience sample with the inclusion requirements of Chinese heritage and at age of 18 or above. Explicitly, the intent to limit the sample to adults in this research was based on several major considerations. Firstly, examination of a completed relationship was for the consideration of face validity (Vogt & Johnson, 2011). This study is to assess parent-child relationships through the lens of perceived/reported childhood family experiences. Therefore, the participants included only adults, so the responses would be based on a completed and processed childhood experiences. Secondly, as adults the participants could respond fully with their own consent and full authority, which increases content validity (Vogt & Johnson, 2011). Thirdly, developmental stage considerations for population validity were considered (Vogt & Johnson, 2011). This research was explicitly and intentionally designed to focus on Chinese adults. To assess individuals younger than 18 would mean that the parent-child relationship would still be in progress and therefore process unfinished. Among current studies, assessing family relationships, particularly the parent-child

relationship, many have already studied sample populations from the adolescent point of view (Shek, 2005a; Shek 2005b; Shek, 2006; Shek, 2008; Shek & Ma 2010). A weakness of previous studies involving adolescent participant has been the questionable population validity (Vogt & Johnson, 2011). There is ample reason to suggest that adolescents are unsettled developmentally but continue to undergo *shifting* developmental stages in many areas of life, such as their evolving psychological identity and physical (hormonal) changes. Prior researches indicate that there could be substantial resentment and/or significant conflicts ongoing in their relationship with parents (Gullotta & Blau, 2008; Lane & Beauchamp, 1959; Kerr & Bowen, 1988; Pomerantz, Qin, Wang & Chen, 2009; Zhao, Xu, Wang, Jiang, Zhang & Wang, 2015). Given that there appears to be a more reserved cultural background, Chinese adolescents tend toward avoidance in the parent-adolescent relationship, and research indicates that self-development and family relationships frequently are affected by parent-adolescent conflicts (Zhao, Xu, Wang, Jiang, Zhang & Wang, 2015).

Strom, Bernard, & Strom (1989) concluded that adolescents experience more conflict with their parents due to their developmental stage, that is, one of ongoing identity and role confusion; they will often seek to ultimately escape or sometimes even consider self-destruction. Consequently, suicide has become a well-documented cause of fatality among adolescents (Strom, Bernard, & Strom, 1989). Parent-adolescent relations often suffer from tension or even disruptions due to conflicts and avoidance. For the reasons discussed above, the current study intentionally designs to focus on adult subjects only because assessing parent-child relationship using adolescents as the sample population potentially carries a high risk of volatile reliability and validity for empirical research. Vogt & Johnson (2011) stated that the nature of social science research involving subjects relating to the “human element” is very challenging as the factors investigated can change by year, month, date, or sometimes even hours. Therefore, using adult subjects allows the completion of the volatile adolescent stage and afford the subjects some time to complete introspection of the adult-child relationship that s/he has experienced a more stable developmental stage, adulthood, is the focus of this current research for criterion-related validity and population validity (Vogt & Johnson, 2011).

### *Measure—The development of bilingual scale*

The instrument was created by drawing on three surveys: FACES IV (Family Adaptability and Cohesion Evaluation Scales IV) by Olson (2011), FAD (Family Assessment Device) by Epstein, Baldwin, & Bishop (1983), and FAM (Family Assessment Measure) by Skinner, Steinhauer, & Santa-Barbara (2009) (Grotevant & Carlson, 1989). Since none of them was designed to assess parent-child relationships, particularly regarding paternal and maternal interaction specifically for Chinese participants, the English and Chinese bilingual Childhood Family Experience Scale (CFES) were developed. The CFES consists of 41 Likert scale items in addition to one open-ended question. And, the 41 questions were not only further sub-divided to cover paternal and maternal aspects, but also to reflect on childhood and adolescence developmental stages. The instrument was designed with an intent to investigate how responses of participants might differ when the same questions were posed specifically to their experience with their father or mother, and at different developmental stages.

### *Procedure*

Participants for both qualitative and quantitative investigations were recruited from convenience sample groups. Their backgrounds included American Born Chinese, Overseas Born Chinese living in the U.S., and Taiwanese Chinese living in Taiwan, plus a small number of Chinese from other regions.

Instead of comparing the variance of cultural backgrounds, this study focused on the comparison of developmental stages of childhood and teenage years, and the difference between paternal and maternal parent-child relationship. The age range covered individuals from college-age (above 18) to retirees (79 being the oldest), of both male and female genders. A pilot study (Pett, Lackey & Sullivan, 2003) was conducted with combinations of gender and education background among six samples. Snowball sampling was also involved (Vogt & Johnson, 2011) via social networks such as religious groups, school groups, Facebook groups, LINE, WeChat groups, and email contacts. For the qualitative research, interviews involved four individuals and two focus groups. Individuals and focus groups were interviewed with four questions engaged. In this research model, the interview, focus groups, and questionnaire development occurred concurrently.

### *Data Analysis*

The theming and coding of the qualitative studies from interview responses were taken as invaluable reference points by the investigator for effective development of variable items to align more closely with the missional intention of the study and the unique culture of the population. For statistical data analysis, the data collected from the CFES was analyzed through SPSS. Exploratory Factor Analysis (EFA) was conducted for dimension reduction to uncover the underlying structure and relationships of the set of variables. The data analysis involved oblique rotation using Maximum Likelihood with Promax rotation for factor extraction. The factor loading was set at .30 to suppress the small coefficients. Cronbach's Alpha scores were calculated through SPSS to test the internal reliability of each factor for all constructs. The Bivariate Correlations were conducted to examine the Pearson  $r$  Correlation Coefficients among the variables.

## Results

### *Qualitative Research—Data Synthesis*

Through coding and theming techniques, the interview findings aided the development of the CFES with respect to several critical construction decisions and item development. First, parents' expectation on academic achievement were unquestionably expressed by most of the participants. Second, the discussion and reflections related to "strict father, kind mother" and "kind father, strict mother" confirmed the need to divide each item in order to show answers with experiences from paternal or maternal interactions independently. Therefore, the sub-division of each item to cover paternal and maternal aspects aligns with the recommendation from Shek's study regarding the need to assess the parent-child relationship according to paternal and maternal reflections in order to distinguish the differences (Shek, 2005a). Third, the parent-child relationship covered should range from early childhood through elementary years and end on the teenage years. Strom, Bernard, & Strom (1989), stated that subjects in adolescence experience more conflict with their parents due to being in a developmental stage that is undergoing identity and role confusion. Therefore, items were further divided to reflect the "when I was a child" and "when I was a teenager" stages, which allowed participants to answer more precisely, since the parent-child relationship in adolescence can be distinctly different from what it is in childhood years. Lastly, some of the items were developed to not only assess childhood family experiences, but also to evaluate how participants reflect upon and discover parental influences in their adulthood stage.

## *Quantitative Research*

### **i. Reliability of Childhood Family Experience Scale**

A reliability test was conducted on the CFES via SPSS for both paternal and maternal items. Cronbach's Alpha based on standardized items of reliability test on 41 paternal items was .945 and on 41 maternal items was .943, indicating excellent internal consistency of the items for both categories (Salkind, & Rasmussen, 2007). This robust reliability of the Childhood Family Experience Scale strongly indicates that the items produce stable and consistent results (Vogt & Johnson, 2011). In other words, the results of Cronbach's Alpha clearly indicate that the instrument used to study relationships among the items related to the topic and hypothesis through the CFES was reliable.

### **ii. Sample**

A total of 1,056 responses were collected through both convenience sampling (Gall, Gall & Borg, 2007; Tashakkori & Teddlie, 2003) and snowball sampling (Vogt & Johnson, 2011; Tashakkori & Teddlie, 2003). The data from the responses were rich and robust. The return rate was unmeasurable since the CFES was designed to allow participants to respond through an online platform and was encouraged to pass out via social network of any recipient. Due to validity concerns, sample of responses was reduced to 846, mainly because some responses were incomplete. Therefore, a total of 846 cases were retained for the quantitative data analysis via EFA on SPSS.

### **iii. Results from Exploratory Factor Analysis**

An EFA was conducted for dimension reduction on 41 items. Due to the theoretical relatedness and high correlations among the variables, oblique rotation was chosen over orthogonal (independent) rotation (Field, 2013). Maximum Likelihood extraction method with Promax rotation was used. Coefficient display format was set to suppress small coefficients at the absolute value of below .30. Therefore, during the factor evaluating and refining process, factors loading weaker than .30 were eliminated due to their insufficient correlation score with other items in the matrix (Pett, Lackey & Sullivan, 2003). A total of 22 items were removed while 19 items were retained. Both the Scree Plot and Correlation Matrix indicated that there are three distinctive factors.

Regarding the results of the participants' responses related to their interactions with father (referred to paternal interactions thereafter), the Kaiser-Meyer-Okin measure verified the sampling adequacy for the analysis,  $KMO = .923$ , a score which is identified as 'marvelous' according to the Hutcheson and Sofroniou (1999). An initial analysis was run to obtain Eigenvalues for each factor in the data. Five factors had eigenvalues over Kaiser's criterion of 1 and in combination explained 63.10% of variance. Items deleted were those that cross-load (i.e., have small factor loadings on multiple factors) and items with very low factor loadings ( $<.30$ ) in each successive attempt. The purpose is to retain items that load clearly on one factor while having no or small loading on other factors to improve the clarity of the factor structure. This step was also guided by careful consideration of whether the retained items are theoretically meaningful and consistent with the hypothesized factor structure. The final pattern matrix suggested a 3-factor structure, with eigenvalues over 1 and in combination that explained 53.19% of variance.

Regarding the results participants' responses related to their interactions with mother (referred to maternal interactions thereafter), the Kaiser-Meyer-Okin measure verified the sampling adequacy for the analysis,  $KMO = .924$ , which is 'marvelous' according to Hutcheson and Sofroniou (1999). An initial analysis was run to obtain eigenvalues for each factor in the data. Five factors had eigenvalues over

Kaiser’s criterion of 1 and in combination explained 61.68% of variance. Again, cross-loading items and items with very low factor loadings were deleted (<.30) in each successive attempt to improve the clarity of the factor structure. The final pattern matrix suggested a 3-factor structure, with eigenvalues over 1 and in combination that explained 49.07% of variance.

The 3-factor structure obtained from maternal and paternal interactions were similar with some non-overlapping items. Since a future goal is to administer the survey with the same items to assess respondents’ experiences with their mother and father across multiple samples, the non-overlapping items (items 15, 17, 20, 21, 24, 25, ,27, 29, 30, 31 ,35, 36, 38, 39, 40, 43, 44, 49, 50) between the paternal pattern matrix and the maternal pattern matrix were deleted. The will also provide for between-group comparisons (e.g., paternal expectations vs. maternal expectations). It should be noted that future studies will no doubt use different samples to gather evidence to verify or confirm the obtained factor structure. The final loadings are shown in Table 1. The items that clustered on the same factor suggested that factor 1 represents the outcomes of *Parental Influences*, factor 2 represents *Relationship Quality*, while factor 3 represents *Parental Expectations*. The 3-factor structure largely supports the research hypotheses that the survey items were measuring parental expectations and parent-child relationships.

*Table 1. Summary of Exploratory Factor Analysis Results for Childhood Family Experience Scale Using Maximum Likelihood Estimation (N=846)*

	Factor 1	Factor 2	Factor 3
Items	Dad/Mom	Dad/Mom	Dad/Mom
Q16: My parent expressed affection with me when I was a child.		.453/.625	
Q18: My parent was fair in disciplining me when I was a child.		.345/.489	
Q19: My parent was strict with me when I was a child.			.668/.534
Q22: Meeting my parents' expectations was difficult when I was a child.			.714/.688
Q23: My parents' expectations of me made me feel stressed when I was a child.			.820/.782
Q26: My parents made me feel guilty when I wanted to spend time away from home during my teenage years.			.579/.549
Q28: My parent and I fought over their expectations for my college, major and/or career choice.			.534/.448

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Q32: I tried to avoid contact with my parent when I was a child. .429/.599

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Q33: I tried to avoid contact with my parent during my teenage years. .394/.557

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Q34: My parent was supportive of me when I had difficult times when I was a child. .430/.630

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Q37: Looking back on my teenage years, I am satisfied with how my parent communicated with me. .413/.483

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Q41: Looking back on my childhood, I am satisfied with the amount of time that my parent spent with me. .943/.808

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Q42: Looking back on my teenage years, I am satisfied with the amount of time that my parent spent with me. .903/.793

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Q45: I have become more appreciative of my parents' expectations of me, now that I am an adult. .647/.591

---

Q47: My parents' expectations of me were helpful to my academic success. .704/.615

---

Q48: The influence my parents' expectations of me on our parent-child relationship had been... .595/.558

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Q51: The influence my parents' expectations of me on my emotional health today has been... .812/.774

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Q52: The influence my parents' expectation of me on my confidence today has been... .906/.855

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Q53: The influence my parents' expectation of me on my success today has been... .989/.939

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Extraction Method: Maximum Likelihood.

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Rotation Method: Promax with Kaiser Normalization.<sup>a</sup>

a. Rotation converged in 6 iterations for maternal; Rotation converged in 5 iterations for paternal.

In questionnaire research, reliability is crucial for both the assessment developer and the user (McDonald, 2002). Therefore, six reliability analyses were conducted to examine the reliability of internal consistency for each of the three factors for both paternal and maternal interactions. Regarding *Paternal Influences* (Factor 1), Cronbach's Alpha for the six items was .90, which is considered excellent. Cronbach's Alpha for the 8-item *Paternal Relationship Quality* (Factor 2) was .87, which is considered good. Regarding the 5-item on *Paternal Expectations* (Factor 3), Cronbach's Alpha based was .77, which is in the range of acceptable to good. Regarding *Maternal Influences* (Factor 1), Cronbach's Alpha for the six items was .89 which is considered good to excellent. Cronbach's Alpha for the 8-item *Maternal Relationship Quality* (Factor 2) was .89, which is considered good to excellent. Regarding the 5-item on *Maternal Expectations* (Factor 3), Cronbach's Alpha based was .74, which is in the range of acceptable to good.

Correlation coefficients among the factors for both the paternal and maternal variants were also conducted through Bivariate Correlations on SPSS to examine the Pearson r Correlation Coefficient as *rough rules of thumb* (Holcomb, 2014). For the correlations among three paternal factors, the Pearson r Correlation Coefficient between *Paternal Expectations* and *Paternal Relationship Quality* is .44, which is considered strong. The correlation between *Paternal Relationship Quality* and *Paternal Influences* is .71, which is considered very strong. The correlation between *Paternal Expectations* and *Parental Influences* is .32, which is considered moderate. The 2-tailed correlation is significant at the 0.01 level (see Table 2).

*Table 2. Paternal Factors—Pearson r Correlations Coefficients*

	Father		
Factors	Expectations	Relationship Quality	Influences
Expectation	1	.439**	.319**
Relationship Quality	.439**	1	.706**
Influences	.319	.706**	1

\*\* . Correlation is significant at the 0.01 level (2-tailed).

For the correlations among three maternal factors, the Pearson r Correlation Coefficient between *Maternal Expectations* and *Maternal Relationship Quality* is .45, which is considered strong. The correlation between *Maternal Relationship Quality* and *Maternal Influences* is .70, which is considered

very strong. The correlation between *Maternal Expectations* and *Maternal Influences* is .34, which is considered moderate. The 2-tailed correlation is significant at the 0.01 level (see Table 3).

*Table 3. Maternal Factors—Pearson r Correlations Coefficients*

Mother			
Factors	Expectations	Relationship Quality	Influences
Expectation	1	.450**	.338**
Relationship Quality	.450**	1	.702**
Influences	.338**	.702**	1

\*\* . Correlation is significant at the 0.01 level (2-tailed).

The results from the EFA are considered robust overall, which has supported and confirmed the hypothesis of this research regarding parental expectation and its influence upon parent-child relationships.

**iv. Summary**

The above chronological report of the results from concurrent administration and analyses of both qualitative and quantitative research studies supported the research hypothesis.

From the qualitative study, a number of participants indicated that they experienced some level of influence and stress from their parents' expectations in their childhood family experiences, while some indicated that they had little experience of pressure due to parental expectations. From the quantitative study, the results from exploratory data analysis and Pearson r correlation coefficients confirmed the influence of parental expectation on parent-child relationships to be considered statistically significant. The null hypothesis was rejected, i.e., the hypothesis that there is *no* statistically significant difference regarding the influence of parental expectation on parent-child relationship was rejected. The alternative hypothesis, that there *is* statistical significant difference regarding the influence of parental expectation on parent-child relationship, is confirmed by data analysis. Both qualitative research results through interviews and quantitative research results through the questionnaire support the hypothesis.

The results of the EFA also indicate that there is a third factor, *Parental Influences* which appears to be an outcome from the parent-child relationship. This factor included the following six items: "appreciate parent's expectations when I became an adult," "parent's expectations had positive influence on my academic success," "parent's expectations had positive influence on our parent-child relationship," "parent's expectations have a positive influence on my emotional health today," "parent's expectations have a positive influence on my confidence today," and "parent's expectations have a positive influence on my success today." This salient finding and its implication are exceptional valuable and will be further discussed.

## Discussion

### *Development of Paternal and Maternal Measures on Items*

The qualitative and quantitative research methods were conducted concurrently, which strongly supported the development of both investigations. In consideration of the need to assess the differences between paternal and maternal parental expectations upon the parent-child relationship, items were subdivided into “Father” or “Mother” to distinguish between and facilitate the collection of potentially different responses. After much revision on many of the items during the research design process, the Childhood Family Experience Scale was developed for the purpose of this study and customized for the unique cultural mindset of Chinese families. This, in fact, was a recommendation from Shek’s research (Shek, 2005a). As a result, items were designed to assess the different interaction among family members: paternal, maternal, father-to-mother, mother-to-father, and the family as a unit.

### *Development of Measure by Specifying Developmental Stages on Items*

During the pilot study, participants responded that “childhood” was too broad a range to cover. Taking into account the key developmental stages of childhood, the Childhood Family Experience Scale was further divided into inquiries specifically focused on asking “when I was a child” and “when I was a teenager.” Specifying questions according to developmental stages for the measure enabled the investigator to examine how respondents related their family experiences differently from when they were children and when they were teenagers.

### *Data Collection—Internet Survey as Platform and Online Social Network as Medium*

The quantitative research was designed to be conducted using an online survey platform. The CFES was initially loaded on Google Forms in two language versions, English and Chinese, to accommodate the language background of the participants. However, the switch from free primitive platform to more comprehensive Survey Monkey, and the development of making the survey questionnaire bilingual brought needed change and made the instrument more sophisticated as well as user-friendly. These developments made data collection drastically effective and efficient. As a result, data analysis was ready to be conducted with 1,056 responses in less than ten days with robust results. Besides, in consideration of the sensitivity of questions regarding personal family experiences, sending out the survey link directly and anonymously by group via social network platforms such as LINE, WeChat and Facebook through third parties in the social network of the primary investigator, afforded a successfully amplified expansion of the snowball sampling effect (Vogt & Johnson, 2011; Tashakkori & Teddlie, 2003).

Inclusion of a short vision statement to convey the purpose of the research effectively drew participation. As this research is to study relationships, this data collection process also shows that relationship is the key to its success. The first 150 responses were collected within six days. The most remarkable phase came in the following three days when over 850 more people responded to the survey. To calculate the response rate of those three days, it translates to an average of 11.8 responses per hour. Most of these 850 respondents had no direct relationship with the investigator, which indicates the significance of social networks and the power of social media.

### *Findings and Implications from the Population Distribution*

The gender ratio of respondents was approximately 30% male respondents and 70% female. The result of this gender difference implies that men may be less interested in participating in questionnaire surveys or family relationship research. There was a rather high formal education sample segment: among the 846 completed samples, the education distribution of the sample population consisted of 349 respondents with a bachelor's degree (41.29%), 256 with master's (28.89%), and 55 (6.25%) with a doctoral degree. These higher education groups made up 76.43% of the entire sample. The result could suggest that people who have higher education tend to be more motivated when it comes to participating in research questionnaire surveys.

### *Findings and Implications from Exploratory Factor Analysis Results*

The EFA indicated that there are 3 factors from the dimension reduction on the 41 items. The items clusters suggested that factor 1 represents the outcomes of *Parental Influences*, factor 2 represents *Relationship Quality*, while factor 3 represents *Parental Expectations*. The 3-factor structure largely supports the research hypotheses that the survey items were measuring parental expectations and parent-child relationships. The strengths of the influence are indicated by the Pearson r correlation coefficients as follows: (See Table 2 and Table 3) The correlation coefficient on *Paternal Expectations* and *Paternal Relationship Quality* is .44, which is considered strong. The correlation coefficient on *Maternal Expectations* and *Maternal Relationship Quality* is .45, which is considered strong. The correlation coefficient on *Paternal Relationship Quality* and *Paternal Influences* is .71, which is considered very strong. The correlation coefficient on *Maternal Relationship Quality* and *Maternal Influences* is .70, which is considered very strong. The correlation coefficient on *Paternal Expectations* and *Parental Influences* is .32, which is considered moderate. The correlation coefficient on *Maternal Expectations* and *Maternal Influences* is .34, which is considered moderate.

The results of the correlation coefficients indicate that the influence of *Paternal Expectations* on *Paternal Relationship Quality* is considered strong, and the influence of *Paternal Expectations* on *Parental Influences* is only moderate. However, the influence of *Paternal Relationship Quality* on *Paternal Influences* is very strong, in fact, the strongest among the three. The results of correlation coefficients indicate that the influence of *Maternal Expectations* on *Maternal Relationship Quality* is considered strong, and the influence of *Maternal Expectations* on *Maternal Influences* is only moderate. However, the influence of *Maternal Relationship Quality* on *Maternal Influences* is very strong, which is the strongest among the three. The results indicate that while parental expectations have strong influence on parent-child relationship, the parent-child relationship has even stronger influence on the outcomes of the items on parental influences, such as emotional health, confidence and success, than the other factors. The results of the EFA and Pearson r correlation coefficient confirmed that parental expectation has statistical significant influence on the parent-child relationship, and the parent-child relationship has influence on the future marriage relationship, emotional health, confidence and success of the child. To summarize the findings of the EFA, the results confirmed that parental expectation has influence on the parent-child relationship. Furthermore, Parental Influence is strongly influenced by the parent-child relationship including respondents' academic success, emotional health, confidence and success. This robust empirical outcome is extremely remarkable. The results imply that the parent-child relationship could be the fundamental influence on building the self-efficacy and self-esteem that many researchers have been investigating in the past decades.

## *Strengths*

- The methodology design of selecting adults as the sample group was successful and relevant as this provided results from reported parent-child relationships.
- The survey was conducted in English and Chinese which helps and ensures a diverse population of participants.
- The survey was conducted via an online platform where participants could answer by computer, smart phone or ipad at their convenience, which provided anonymity.
- Participants' ability to return to the same page if interrupted allowed respondents to continue the survey easily, which became an important factor in increasing the completion rate.
- Succinct survey item responses were to a Likert scale, which made responding and completion easier.
- The survey was conducted via Survey Monkey, which provided a clear and professional presentation, in addition to including an IRB number that helped in acquiring the trust of the participants.
- Deep level sharing during focus group studies was achieved due to pre-existing close relationships. These relationships allowed participants to respond with strong levels of openness.
- Instrument design--due to concerns about the culture and language background of the participants, the survey was designed to be presented in a bilingual setting to enhance clarity and comprehension. Many participants expressed appreciation for the opportunity to see the survey in both languages as it helped them ascertain their understanding of the items. For data collection purposes, the bilingual structure was more efficient as all the data could be compiled together and made ready for clean-up and analysis.
- Qualitatively, the research provided rich vein of insightful non-quantifiable data.
- The qualitative and quantitative research methods, being conducted concurrently, strongly supported the mutual development of both areas of research (Creswell, & Plano Clark, 2007).

## *Limitations*

- Due to the nature of the online snowball invitation, a response rate as such was not attainable.
- One respondent answered, "My childhood was very sad, and I preferred not to participate in the study." This result might imply that: i) respondents who had a more positive childhood are more likely to participate; ii) people who had more negative childhood family experiences are more likely to decline participation and/or not go any further after the demographic items in the questionnaire, which may explain the drop-out rate.
- 121 drop-out cases happened right after demographic items and right before the faith background questions. It is possible that the prospect of answering faith background questions offended some participants, even though the faith background questions were optional.
- Conversations and interruptions happened due to the close relationships in the first focus group.
- Data collection issue—unequal sample sizes for the qualitative and quantitative data collection. Qualitatively, the sample had more females than males, so the gender ratio was not balanced. Quantitatively, a total of 73.96% of participants live in Taiwan, a ratio that represents an unbalanced sample population as nearly three-quarters of the responses are from Taiwan.

## *Recommendations*

This study was proposed and conducted to raise awareness and draw scholarly attention to the extent to which expectations represent a critical factor in influencing relationships and to stimulate interest in further research. The study focused on parental expectations and parent-child relationships in the context of family relationships, particularly among Chinese cultural groups. The findings of this study respectfully aimed to add a vital piece to the larger research picture of the challenges faced in Chinese familial ways of thought, which may on the one hand be unique to the Chinese culture, but on the other hand universal to child-rearing and family relationship-building among different culture groups.

Recommendations for further research pertinent to topics relating to expectations and relationship include:

- Comparing samples of American Born Chinese with Mainland Chinese
- Comparing parental expectations and parent-child relationship among different cultural groups
- Investigation of unmet parental expectation and its relationship to parental depression
- Investigation of unmet parental expectation and its influence on children's emotional traumatization
- Comparison studies on parental expectation between intact and non-intact families
- Investigation of spousal expectation and its influence on marital relationship
- Correlation between family expectation and choice of homelessness

## *Summary*

As discussed, parents are the primary contact for a child, and the influence of a parent can impact the development of a child in numerous ways (Gullotta & Blau, 2008). The breadth of changes and the adaptations Chinese families and their society have undergone in response to those changes have been enormous and radical in recent decades, directly affecting parenting and parent-child relationships.

Further research related to parental expectation and its influence on parent-child relationships is crucial and imperative, as the family is the primary growth environment for children (Klein & White, 1996), yet topics related to expectations and its influence on relationship are rarely studied. Further studies and scholarly attention will help Chinese families to grow understanding in how to navigate the unique difficulties they are facing and perhaps convince appropriate governing bodies to create innovative programs to support children and families at this pivotal time in Chinese history. With such help, parents can realize how to place expectations upon children according to a healthy and balanced understanding of each child's unique individual development. They can preserve the intrinsic, positive side of traditional Chinese culture and values while promoting healthy parental expectations that will improve their parent-child relationship and benefit their children in today's increasingly globalized world.

This leads to the second potential contribution of the current research: to serve as a useful measuring tool that can create opportunities for reflective learning from and review of the childhood journey. Through these reflections and reviews, this measuring tool will enable individuals to proceed on a much-needed path of self-discovery and/or recovery from the influence of childhood family experiences. Furthermore, through the discussion and reflections among family members in any specific area of childhood family experiences that may have deeply affected their own lives, marital relationship or family relationships, the process could potentially bring consolation, confirmation and constructive dialogue to improve family relationships and bless the next generation—the children.

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*Hein Retter (Germany)*

# How William H. Kilpatrick's Project Method Came to Germany: "Progressive Education" Against the Background of American-German Relations Before and After 1933

**Abstract:** This study shows which contacts and events were decisive for the publication of essays by John Dewey and William Kilpatrick as a German book in connection with Kilpatrick's ensuing discussion after 1918 of the project method - in the middle of the Nazi era. The volume was edited in 1935, by Peter Petersen, at the University of Jena, the founder of the Jenaplan (Jena Plan). A number of previously unknown letters, information from various archives and Kilpatrick's diaries, which are now available in digital form, were used. It was not possible to clarify all the details. However, it is certain that personal contacts and the educational exchange in American-German relations were not completely broken off with the beginning of Nazi rule in Germany in 1933.

**Key words:** Project method, William H. Kilpatrick, John Dewey, Thomas Alexander, Peter Petersen, Franz Hilker, progressive education

**摘要:** (Hein Retter: William H. Kilpatrick的项目教学法如何来到德国: 1933年前后美、德两国关系背景下的“进步主义教育”): 本项研究展示了对John Dewey 和William Kilpatrick的论文集在纳粹德国的出版产生了重大影响的背景和事件。此论文集于1935年由耶拿制度的创始人Peter Petersen在耶拿学院编辑, 其内容与1918年后Kilpatrick的项目教学法引发的讨论密切相关。本文使用了大量此前未被发现的信件、多种档案资料以及Kilpatrick本人的日记, 目前这些文档均有电子版可供参阅。虽然许多具体细节已无从查证, 但可以确定的是美德两国之间的个人接触和教育交流并未随着1933年纳粹在德国的统治而中止。

**关键词:** 项目教学法, William H. Kilpatrick, John Dewey, Thomas Alexander, Peter Petersen, Franz Hilker, 进步主义教育

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**Zusammenfassung** (Wie William H. Kilpatrick's Projektmethode nach Deutschland kam: Die "Reformpädagogik" auf dem Hintergrund der amerikanisch-deutschen Beziehungen vor und nach 1933): Die vorliegende Studie zeigt, welche Kontakte und Ereignisse entscheidend dafür waren, dass Essays von John Dewey und William Kilpatrick im Zusammenhang mit der seit 1918 von Kilpatrick in den USA neu entfachten Diskussion um die Projektmethode als Buch in Deutschland veröffentlicht werden konnten – mitten in der Nazi-Zeit. Der Band wurde 1935 herausgegeben von Peter Petersen, Universität Jena, dem Begründer des Jenaplans. Dabei konnte eine Reihe von bislang unbekanntem Briefen, Informationen aus verschiedenen Archiven benutzt werden. Ausgewertet wurden auch die heute digitalisierten Tagebücher

*Kilpatricks. Nicht alle Einzelheiten sind geklärt. Doch fest steht, dass - bezogen auf die internationale Reformpädagogik - persönliche Kontakte und die amerikanisch-deutschen Beziehungen mit Beginn der Nazi-Herrschaft in Deutschland, 1933, nicht völlig abgerissen waren.*

**Schlüsselwörter:** Projektmethode, William H. Kilpatrick, John Dewey, Thomas Alexander, Peter Petersen, Franz Hilker, Reformpädagogik (Progressive Education)

**Аннотация** (X. Реттер: Метод проектов У. Х. Килпатрика в Германии: реформаторская педагогика (прогрессивное образование) на фоне германо-американских отношений до и после 1933 года): В данной работе показано, какие контакты и события стали определяющими для того, чтобы очерки Дж. Дьюи и У. Килпатрика смогли быть опубликованы в книжном варианте в Германии на фоне вновь инициированной Килпатриком после 1918 года в США дискуссии о методе проектов – и все это в разгар существования нацистского режима. Труды были изданы в 1935 году Петером Петерсоном (Йенский университет), основателем т. н. «Йена-плана». При этом стало возможным включить в издание целый ряд ранее не опубликованных писем, сведения, полученные в ходе работы в различных архивах. Были проанализированы дневники Килпатрика, которые на сегодняшний день уже переведены в цифровой формат. Не все детали еще прояснены, но можно определенно говорить о том, что – с проекцией на интернациональную реформаторскую педагогику – и личные контакты, и германо-американские связи с приходом к власти нацистов в 1933 году не были прерваны полностью.

**Ключевые слова:** метод проектов, Уильям Х. Килпатрик, Джон Дьюи, Т. Александер, Петер Петерсен, Франц Хилькер, реформаторская педагогика (прогрессивное образование).

## 1. Goal of the Contribution

Peter Petersen (1984-1952), Professor of Educational Science at the University of Jena after 1923 and founder of the "Jenaplan", edited a book entitled "Der Projekt-Plan. Grundlegung und Praxis" in 1935. The volume contained relevant essays by John Dewey (1859-1952), the most important educational philosopher in America, and his pupil William H. Kilpatrick (1871-1965), the new founder of the project method. Both university educators enjoyed an international reputation in the 1920s. They were regarded as leading representatives of American educational philosophy in the sense of American Progressivism. Both were convinced democrats - in the sense of that understanding of democracy that largely excluded the fact that non-white citizens were second-class in the white majority society of the USA (Retter, 2018b). Both fought fascism in Europe, especially Hitler's National Socialism. How did it happen that a book that made Dewey's and Kilpatrick's democratic convictions apparent could be published in Germany in the middle of the Nazi era?

The present attempt at reconstruction uses Kilpatrick's diaries which are accessible today via online services (but are difficult to read) and previously unknown letters from Kilpatrick, to clarify details. Widely-scattered and not yet evaluated texts as well as archives are used to answer the question with a preliminary judgement.

## 2. Petersen's First Contact with Kilpatrick, 1928

In a previous essay in the IDE Journal, Retter (2018c, Ch. 4) describes how a German group of 25 interested educators and school experts was received by the Teachers College of Columbia University (TCCU) in New York City at the beginning of April 1918. After the program prepared for them, they were introduced to the American education system in various US states through a stay of several months. The facts of the matter have been known for some time in the monographs on educational history on German-American relations after the First World War (Bittner, 2001, 96f.; Koinzer, 2011, 31f. ). It was the first official contact between representatives of leading educational institutions of the USA and the German Reich after the end of the First World War; until the summer, these relations existed in the sense of an international cultural exchange. The German travel group

included three university scholars: the two professors Peter Petersen (Jena) and F.E. Otto Schultze (Königsberg) as well as the private lecturer at the University of Cologne, Friedrich Schneider, who was also professor at the Pedagogical Academy in Bonn.

After the German Reich had become a democratic state, the Weimar Republic, in 1919, the interest of progressive teachers in American pedagogy grew in Germany. The cultural influence of the USA on Germany and Austria was enormous in the 1920s, and not only in the entertainment industry and sport; however, nationalist and communist efforts to separate Germany from the leading country of capitalism also existed on the fringes. The negatively connotated term "Americanization" made the rounds and is not completely extinct even today (Paulus, 2010). But in the second half of the twenties, with the increase in American-German contacts, the positive view prevailed, even a German-American euphoria can be assumed (Rust, 1973, 585f.).

Both in America and in Germany there had been a new interest in pedagogical progressivism since the beginning of the 1920s. In the Weimar Republic there was a backlog demand for the idea of democratic education as advocated by Dewey, which, however, remains underexposed in his book "Democracy and Education" (1916) and only becomes clearer in the publication "The Public and Its Problems" (1927) on the basis of "community".

The German-American meeting of pedagogues at the TCCU in New York, 1928, was so successful that it was decided to deepen the mutual contacts for the following years through educational study trips: Interested American pedagogues visited Germany in 1929, German pedagogues visited the USA the following year; further study trips followed (Retter, 2018c). What did Hitler's fascism change from 1933 on? In the field of American-German relations within pedagogy, the question was never seriously researched, but was regarded as settled with a moral statement that prevented rather than favoured research. This contribution shows how quickly moral judgements can be misleading without differentiated analysis of the situation.

The first official contact of German educators was planned in 1928 by the Zentralinstitut für Erziehung und Unterricht (ZEU) in Berlin, the leading institution of teacher training in Prussia and the German Reich. The American side was led by the International Institute at the TCCU, which had issued the invitation; the driving force here was Thomas Alexander, the German expert of the International Institute at Teachers College. The German tour group was led by Franz Hilker. Petersen's impressions of his trip to the USA, which he wrote to his wife Else in Jena, are contained in Barbara Kluge's dissertation (1992).

Über die ersten ihn überwältigenden Tage nach Ankunft in New York schreibt Petersen:

*"Meine alten Freunde empfangen mich herzlich, vor allem Dr. Alexander und Dr. Del Manzo. Dr. Kandel schleppte mich gleich mit in den Klub. Im Klub war ein besonderer Abend für distinguierte Männer aus ganz NY mit Vortrag ..."* (4.4.28)

Auch dort trifft Petersen wieder auf einen Locarno-Vertrauten: "Dr. HAROLD RUGG" und lernt neu, wie er schreibt, "auch den alten Prof. KILPATRICK kennen."

Im Hotelzimmer erwartet ihn "ein herrlicher Rosenstrauß" - Willkommensgruß von zwei amerikanischen Locarnoteilnehmerinnen, von denen die eine, MISS ALLARD, wie aus einem späteren Brief hervorgeht, Petersen inzwischen auch schon in Jena aufgesucht hatte.<sup>11</sup>

Vom 5.4. schreibt er:

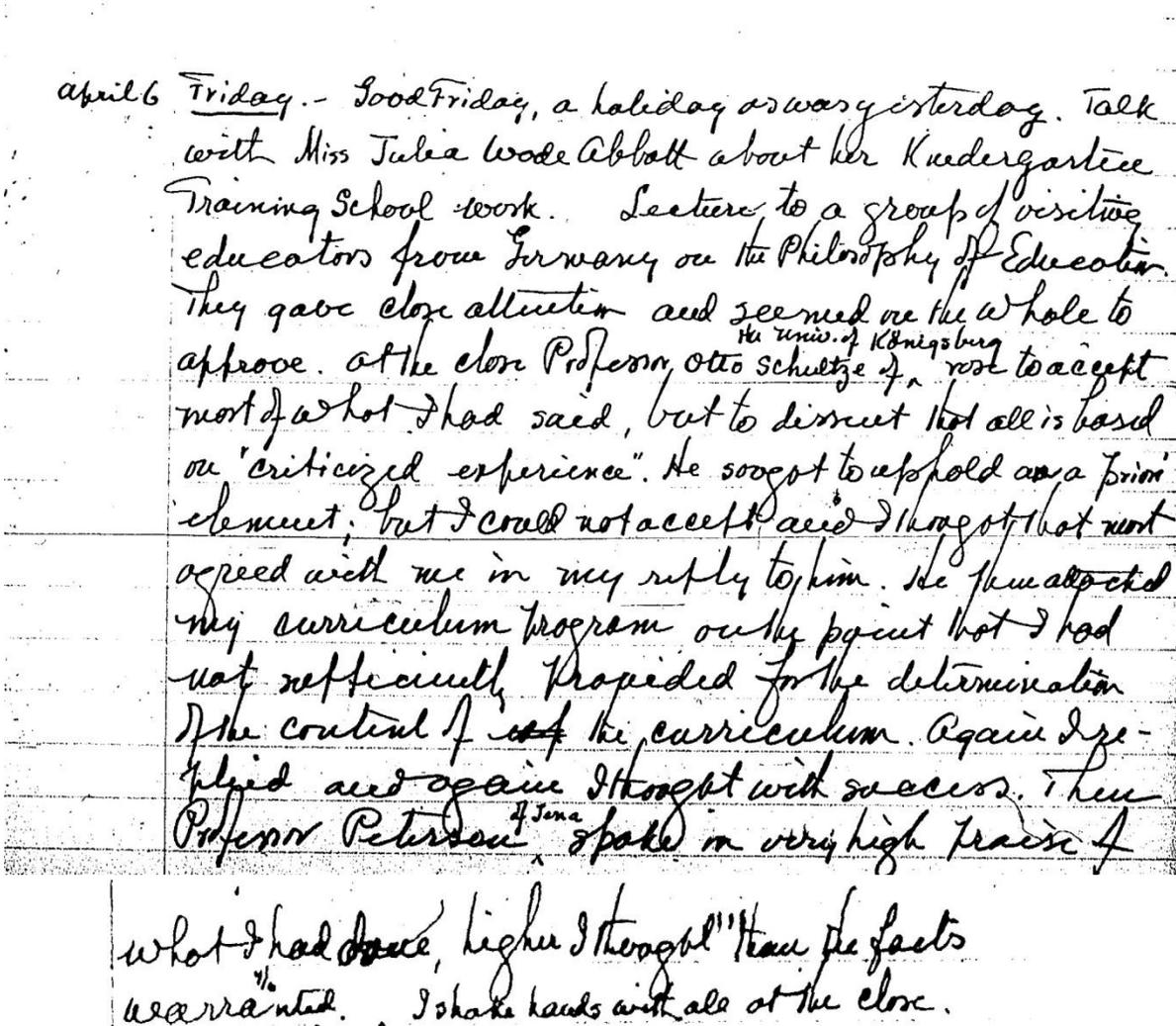
*"Gestern begannen die einführenden Vorträge von ersten Experten, eine Folge des allerbesten; wir lernen Wissen von Amerika in Kübeln reinsten Wassers."*

Figure 1: Peter Petersen in the USA (Kluge, 1992, p. 204)

The last sentence of the text excerpt from Petersen's letter to his wife in Jena reads: "Yesterday

began the introductory lectures of first experts, a series of the very best; we are acquiring knowledge of America in buckets of purest water" (Petersen, in Kluge, 1992, 204; English translation H.R.; see excerpt above)

It is known that Kilpatrick entrusted all important events to his diary. This unpublished work comprising many volumes is now available for research in digital form in the Gottesman Library of Teachers College, New York. So what did Kilpatrick think about those introductory lectures of the TCCU lecturers for the German guests? Kilpatrick's diary (Vol. 24, 1928) contains the following entry regarding the effect of his own lecture.



April 6 Friday. - Good Friday, a holiday as was yesterday. Talk with Miss Julia Wade Abbott about her Kindergarten Training School work. Lecture to a group of visiting educators from Germany on the Philosophy of Education. They gave close attention and seemed on the whole to approve. At the close Professor Otto Schultze of <sup>the Univ. of Königsberg</sup> ~~the~~ <sup>not</sup> to accept most of what I had said, but to dissent that all is based on "criticized experience". He sought to uphold as a priori element; but I could not accept and I thought that next agreed with me in my reply to him. He then attacked my curriculum program on the point that I had not sufficiently provided for the determination of the content of ~~of~~ the curriculum. Again I replied and again I thought with success. Then Professor Petersen <sup>of Jena</sup> spoke in very high praise of what I had done, higher I thought than the facts warranted. I shake hands with all at the close.

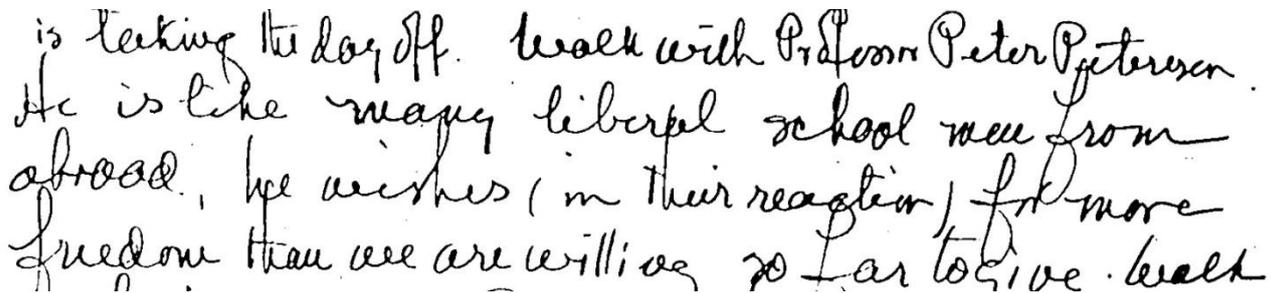
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Figure 2: Mention of Peter Petersen in Kilpatrick's diary (vol. 24), April 6, 1928 (Source: GL-TCCU [GotLib])

Kilpatrick had the impression, "They seemed on the whole to approve." As can be seen, the two German university professors Schultze and Petersen spoke in the discussion, following Kilpatrick's lecture on "Philosophy of Education". With approval in general, Schultze formulated an objection in principle to the concept of Kilpatrick's experience ("criticized experience"), which Kilpatrick rejected as an - indisputable - a priori argument; in the end, however, they agreed to disagree. His German colleague, Petersen, on the other hand, praised Kilpatrick's lecture in the highest terms, so that the praise paid to Kilpatrick probably went too far for the pragmatic American when he noted it down: "Then Professor Petersen of Jena spoke in very high praise of what I had done, higher I thought than the facts warranted. I shake hands with all other else" (Kilpatrick, The Diaries, Vol. 24;

April 5, 1928).

Another entry in Kilpatrick's diary shows that Petersen was impressed by Kilpatrick:



is taking the day off. Walk with Professor Peter Petersen. He is like many liberal school men from abroad, he wishes (in their reaction) for more freedom than we are willing so far to give. Walk

Figure 3: Peter Petersen, in Kilpatrick's diary (vol. 24), April 12, 1928 (Source: GL-TCCU [GotLib])

[Relevant text] Walk with Professor Peter Petersen. He is like many liberal school men from abroad, he wishes (in their reaction) far more freedom than we are willing so far to give (Kilpatrick, The Diaries, Vol. 24; April 12, 1928).

Note, Kilpatrick's remark came at a time when his project method in the USA was subject to initial criticism due to its radical child-centred approach. As Michael Knoll emphasized (2011, 170-179), Dewey expressed his dismay that the switch from teaching to project-oriented work makes the teacher's actions the disruptive variables of a project that is exclusively driven by the student's interest ("the project"), even though Dewey did not expose his student by naming him, he perceived it "with horror" (Knoll, *ibid*, 170) that the project method that Kilpatrick sketched in 1918 in a renewed form was associated by followers with his, Dewey's, name as the core of democratic-progressive thinking. Knoll, who emphasizes not the common ground but the greatest possible opposition between Dewey and Kilpatrick, shows in unsurpassed fine analysis from year to year how the relationship of US educators to the project method changed in the then current publications of the twenties and thirties - towards a more critical attitude. However, the term "horror" accentuated Dewey's reaction as being too strongly chosen. Wouldn't it have been more appropriate to speak of "concern" - instead of "horror"?

We know, there were much more radical school concepts that Dewey himself by no means rated equally positively, although they all referred to him. They failed at an early stage to become the general type of public school in the USA:

(A) The Gary Plan of Dewey's student William Wirt, whom Dewey had supported in the New York school dispute, failed totally in the late 1920s (Retter, 2019b). This was about much more than a teaching concept, namely the interlocking of the entire school system of a big city, including the municipal facilities for mass schooling with shift changes (see Spain, 1923).

(B) Helen Parkhurst's Dalton Plan - more radical than the project method in terms of the independence of the student role - had been honoured by an essay by Evelyn Dewey (1922), but by no means corresponded to the educational ideal of her father, John Dewey, as Piet van der Ploog (2013, 65-8) shows:- Dewey understood school as a community and, in consequence, regarded it as a democratic institution, but this was dropped by Parkhurst, who nevertheless referred to Dewey's book "Democracy and Education". The term "headmistress of the university school" mentioned in the announcement is not an assignment to Columbia University's Teachers College, but an imprecise term for the name Parkhurst herself chose for her school: "Children's University School", which in New York was called "Dalton School".

Kilpatrick's "Diaries" prove that for decades Germany and German reform pedagogy played no role in his interest in reception. They also show that Petersen found much closer personal contact with

the school reformer Kilpatrick during his stay at the TCCU than with the (much older) educational philosopher John Dewey. His achievement as founder of the Laboratory School in Chicago remained unforgotten, but that was a quarter of a century before. There is also no indication in Petersen's records that there had been any personal conversations with Dewey. Although Dewey still gave many lectures on the then current educational theory, his important books from the second half of the 1920s onwards - apart from "Experience and Education" in 1938 - had little to do with pedagogical practice but dealt with a broad spectrum of philosophical and socio-political problems. On April 10, 1928, Teachers College in New York began its first general conference of American educators on the situation of education in the United States; the participation of the German group at the opening was part of the prepared program.

April 10 Tuesday - At 9:15 <sup>or a bit later</sup> we meet for the first of the inaugural meetings, ~~the~~ <sup>some</sup> Contributions of American Education. I preside & speakers: Professor Peter Petersen of Jena, Professor Albert Feuillerat of the University of Rennes, and Mr. ~~Dr.~~ <sup>Mr.</sup> Rafael Ramirez, Minister of Rural Education of the Republic of Mexico. The last named was afraid of his English so had his paper read by José Miguel Bujarano, secretary of public education of Mexico stationed here in New York. I could hardly hear Petersen well enough to pass judgment on his speech. Feuillerat was good, typically French in his method of treating the subject. Then off

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Figure 4: Peter Petersen in Kilpatrick's diary (vol. 24), April 10, 1928 (Source: GL-TCCU [GotLib])

Kilpatrick later also mentioned Dewey as speaker for the welcoming addresses, but right at the beginning - as our excerpt shows - he put the speeches by: "Peter Petersen of Jena, Professor Albert Feuillerat of the University of Rennes [Feuillerat had accepted a Chair at Columbia University in 1927; see Wikipedia entry; H.R.], and Mr. Rafael Ramirez, Minister of Rural Education of the Republic of Mexico."

Commenting on Petersen's speech, Kilpatrick said (see extract above): "I could hardly hear Petersen well enough to pass judgment on his speech." Petersen himself wrote to his wife in Jena about this event one day later:

Yesterday, April 10, was a serious day for me: I was the first speaker on the program of the 1st National American Conference of Education - after the first words I relaxed; spoke slowly, clearly, with warmth etc. and was a great success ... Dr. Alexander said "very well delivered" and it depends on his judgement. (Kluge, 1992, 204). - [Transl. H.R.]

For Friday, April 13, Kilpatrick noted in his diary: "Having Prof. Petersen with me. It goes rather

well." (Kilpatrick, Diaries, Vol. 24; see 04-13-1910ll28). Petersen had therefore not gone with the travel group, which, according to Hilker, had left New York on the evening of 12th April. He chose his own itineraries, as he himself gave lectures at some guest locations (Bittner, 2001, 98, fn. 35). Petersen's letters to his wife in Jena made clear just how impressed he was with the schools in the USA - also after his visit to the famous Francis W. Parker School in Chicago (Kluge, 1992, 211); as is well known, after the death of the school founder, Francis Wayland Parker (1837-1902), Dewey supervised Parker's school (in addition to the Lab School founded by himself and another school). Throughout his life, Dewey was committed to Parker's educational principles. After his conflictual resignation from all offices at Chicago University in 1904, Dewey followed a call to Columbia University in New York (see Martin, 2002, 205). - On May 9, 1928, Petersen wrote to his wife in Jena:

I'm going to Chicago to "Fr [Francis] Parker School", I'm just inside, the director, Miss Cook, who I know from Locarno and who has so locked me and her companions in her heart. But we are also so related in our educational philosophy, our thoughts and practice of school life; love never let me go, showed me everything untiringly until 2 o'clock; fine, wonderful, wonderful - what a real child's life there! I was just like at home ... (Petersen, in Kluge, 1992, 211-212)

After his guest professorship at an academic summer school at George Peabody Teachers College in Nashville/Tennessee in 1928, Petersen returned to New York at the end of September. Kilpatrick's diary for 09-30-1928, a Sunday, recorded: "Professor Petersen of Jena (Germany) was to dine with us, but prevented by a severe cold" (Kilpatrick, Diaries, Vol. 24; see 09-30-1928).

At the beginning of November 1928 Petersen was again in Jena. He brought with him a wealth of ideas and suggestions for his own school, the Jena University School. When he returned to the University of Jena, problems and anger awaited him above all. During Petersen's stay in the USA, one of the three teachers and a politically left-wing father had attempted to transform the university school into a socialist, worldly school with no religious instruction; this led to the dismissal of a teacher. The "Petersen School" was known nationwide as a reform school, the enrolment of children far exceeded the spatial possibilities. More rooms were urgently needed, the school was bursting at the seams. There were no permanent posts for teachers who worked as financially insecure temporary staff (assistants). These and other problems were the subject of Petersen's bitter dispute with the Thuringian Ministry of Education. In this situation Petersen accepted an offer from the government of Chile to start the modernization of the Chilean school system as a visiting professor. From the beginning of May to mid-October 1929, Petersen's location was Valparaiso de Chile. He was largely cut off from the further expansion of contacts with Teachers College in New York.

### 3. Kilpatrick in Germany (1929) - the Contact with Erich Feldmann

The close relations between the TCCU in New York and the ZEU in Berlin that had existed since 1928 led to a three-day event at the end of August 1929 in Mainz, with lectures by TCCU lecturers at the "Pädagogisches Institut [Mainz] bei der Technischen Hochschule Darmstadt" - as Kilpatrick wrote in his diary. The director of the institute was Dr. Erich Feldmann, who was also a "private lecturer of philosophy at the University of Bonn" (wrote Kilpatrick in his diary).

How this arrangement came about is still not clear today. An attempt to reconstruct the facts can be based on the assumption that such an extraordinary event would have taken place in Jena if Petersen had not been abroad. Therefore, it is very likely that: (A) Alexander asked - in coordination with Hilker - Petersen to name a colleague with whose help he would first prepare the project in

New York and later organize it on site. (B) Petersen had suggested Erich Feldmann in Mainz. Ever since Petersen had given lectures at Feldmann's Mainz Institute (Petersen, 1926), he had been in friendly contact with him. This is also evident from Feldmann's autobiographical review (1975). The Mainz lecture series was announced in the *Pädagogisches Zentralblatt* (PZ), also in the official publications of the Ministries of Education of the Länder and the teacher associations (see below).

**Vorlesungen von Professoren der Columbia-Universität New-York (Teachers College) über Bildungswesen und Erziehungswissenschaft in den Vereinigten Staaten, im Pädagogischen Institut Mainz vom 29.—31. August 1929.** **D o n n e r s t a g**, den 29. A u g u s t 1929, vorm. 10 Uhr: Prof. Dr. T h o m a s A l e x a n d e r: Verwaltung und Organisation der Schulen in den Vereinigten Staaten. Prof. Dr. E d w i n H. R e e d e r: Schulaufsicht in den öffentlichen Schulen der Vereinigten Staaten. Nachm. 3 Uhr: Prof. Dr. H a r o l d R u g g: Die neue Erziehung; freier Ausdruck durch die schöpferischen Künste. Prof. Dr. W i l l i a m B a g l e y: Die historische Entwicklung der Lehrerausbildung. Abends 8 Uhr: Prof. Dr. W i l l i a m H. K i l p a t r i c k: Philosophie der Erziehung. — **F r e i t a g**, den 30. A u g u s t 1929, vorm. 10 Uhr: Frau H e l e n P a r k h u r s t, Direktorin der Universitätsschule New-York: Die Theorie der Dalton-Schule. Prof. Dr. R a n d a l l J. C o n d o n, Superintendent für das Schulwesen, Cincinnati (Ohio): Die Arbeit der National-Education-Association in Amerika. Nachm. 3 Uhr: Prof. Dr. R e e d e r: Anschauungsunterricht in der amerikanischen Schule. Prof. Dr. R a n d a l l J. C o n d o n, Superintendent für das Schulwesen, Cincinnati (Ohio): Die Verwaltung des amerikanischen City-School-Systems. Abends 8 Uhr: Prof. Dr. W i l l i a m B a g l e y: Gegenwärtige Lage und Probleme der Lehrerbildung. Prof. Dr. H a r o l d R u g g: Der Aufbau der Progressive-School. **S a m s t a g**, den 31. A u g u s t 1929: vorm. 10 Uhr Frau H e l e n P a r k h u r s t, Direktorin der Universitätsschule, New-York: Die Anwendung des Dalton-Planes in der öffentlichen Erziehung. Die Veranstaltung findet statt im Konzertsaal der „Liedertafel“, Mainz, Große Bleiche 56. Die Vorlesungen werden in deutscher und englischer Sprache gehalten. Im Anschluß an jede Vorlesung findet unter Leitung des Vortragenden eine Besprechung über den behandelten Gegenstand statt. Außerdem werden Lichtbilder und Filme vorgeführt. In einer A u s s t e l l u n g wird den Besuchern der Vorlesungen das zur Erläuterung der Vorträge nötige Material zugänglich gemacht, insbesondere Schul- und Lehrbücher, Bilder und Pläne von Schulhäusern, Schülerarbeiten, statistische Tabellen, Tests, Formulare

*Figure 5: Announcement of the lectures by professors from Teachers College N.Y. and school professionals from the USA at the Pedagogical Institute in Mainz, 1929 (PZ, 1929, 466)*

As is well known, the project method and the Dalton Plan were the two most important reform concepts originating in the USA and gaining a foothold in Europe – which could not be said for a third US concept, the so-called Gary Plan of the Dewey follower William Wirt (see Retter, 2018b, 100-107). All the more striking is the fact that the project method did not appear at all in the Mainz lecture programme in 1929. Neither Kilpatrick nor any other lecturer offered any information about it. Why? I suppose, following Michael Knoll (2011), it had already been criticized so much in the USA that it didn't seem attractive enough in Germany to gain a foothold there. In contrast, the founder of the Dalton Plan, Helen Parkhurst, was allowed to talk about the school concept she represented in Mainz on two days. What is also striking is that the topics "Progressive School" and "New Education" were not dealt with by Kilpatrick, but by Harold Rugg in two lectures, while the announced William Bagley, as Kilpatrick's diary makes clear, did not come (he was in the Soviet Union for six months). Instead, Kilpatrick's esteemed colleague Robert B. Raupp lectured, in German even. Kilpatrick spoke on his general topic "Philosophy of Education". The content of his lecture probably corresponded to his lecture translated into German, which he had given to the German guests at the TCCU in April 1928 (Kilpatrick, 1928).

There are two Kilpatrick biographies: on the one hand, Samuel Tenenbaum's (1951) account of benevolence and reverence, and on the other, John Beineke's (1998) source-critical monograph

written from a historical distance. Both books hardly mention the challenging topic "American Educators in Mainz" at all, "Mainz" is only mentioned in a single sentence. However, the Mainz conference is important for our contribution: it was the starting point for Kilpatrick's later correspondence with his German colleagues, first with Feldmann, later with Peter Petersen. Therefore, further details of this meeting are given.

The conference in Mainz was not Kilpatrick's final destination, but the beginning of his journey. Accompanied by his wife, he was on his way to an international meeting of the Institute for Pacific Relations in Kyoto in October 1929, but on a detour via Europe and the Far East. Coming from the USA, Rotterdam was the starting point for further stays after a short stay in England. The itinerary touched Germany, Poland, the Soviet Union (Moscow, Vladivostok), China and other countries.

The first destination in Germany was Hamburg. Here Kilpatrick had a detailed conversation with the university pedagogue Wilhelm Flitner (1889-1990), who had acquired his *venia legendi* in Jena in 1922; his eldest daughter attended the Jena University School in the school year 1924/25. Flitner was one of the representatives of what was later to become known as a humanities education. He first taught in Kiel at the Pedagogical Academy, but from 1929 at the University of Hamburg. Flitner (1931, 295) promoted international reform pedagogy and its democratic motives. Kilpatrick recorded this encounter:

Had a long talk at dinner and afterwards with Prof. Dr. Wilhelm Flitner of the University, his English leaves much to be desired, but we were able to get on together. We seem to see things much alike. I am quite pleased with him (Kilpatrick, Diaries, Vol. 25, 08-25-1929; source: GL-TCCU).

On August 27, 1929, the Kilpatricks arrived in Mainz - after a detour of their own choosing via Cologne - welcomed by Thomas Alexander, Dr. Feldmann (Director of the Pedagogical Institute), and some American colleagues from the TCCU who lectured in Mainz. On 08-28 a sightseeing tour and a City of Mainz reception, represented by the mayor, followed. The diary entry for August 29, begins with the sentence: "Go to the meeting hall and am much pleased and not a little surprised to see some 1300 (I am told) present" (Kilpatrick, Diary, Vol. 25; August 29, 1929). Feldmann (1975, 200) wrote in his autobiographical review that "twelve hundred teachers" participated in the conference. Kilpatrick spoke on the evening of the first day of lectures. But he suffered a dizzy spell and left the end of the lecture to his translator, the Berlin American Georg Kartzke (see Kartzke, 1928).

The next day Kilpatrick had recovered. Among the conference participants was the leading socialist school reformer Dr. Fritz Karsen, whose school in Berlin-Neukölln was to bear the name "Karl-Marx-Schule" six months later. They knew each other well through Karsen's guest role at Teachers College N.Y. during his stay in the USA in 1926 (but Kilpatrick was by no means part of the left wing of Dewey's followers). As Kilpatrick's diary gratefully notes, Karsen was very eager to make the Kilpatricks' stay in Germany as pleasant as possible, as there was a heatwave at the time.

The next day, the Kilpatricks travelled via Frankfurt am Main to Berlin. Karsen also travelled back to the capital. After initial difficulties Kilpatrick received the visa for the trip through the Soviet Union there. In Berlin he also saw Erich Hylla from the Prussian Ministry of Culture, Franz Hilker (Head of the Foreign Department of ZEU) as well as some participants of the German group who had been guests of the TCCU in New York 15 months previously, at the beginning of April 1928. There is no mention of Kilpatrick visiting any school in the capital Berlin in the diary. The stay was only short. According to the diary, Kilpatrick discussed philosophical questions of education, some of them controversial, with a number of interested interlocutors whom Hylla had invited. They were concerned at his lecture to the German guests at the TCCU in April 1928, because Kilpatrick refused, following Dewey, to regard a valid catalogue of values as necessary for education. Today one would think of human rights in this context. But education, morality and ethics were pure concepts of experience for Kilpatrick in the spiritual succession of Dewey. This, among other things which

Kilpatrick had explained in his lecture at the TCCU at the beginning of April 1928 (here put back into English from the German issue of the lecture in PZ 1928):

Critically tested experience is the final confrontation with all things, [is] experiences, critically tested in their relationships to other experiences. From this point of view, knowledge and "principles" are hypotheses for a guiding experience. [...] No principle is absolute, but each can only be applied in the light of all other principles prompted by the situation in question. [...] Ethics gets its definition from the desire to bring this good life together for all to the highest possible degree of development. Democracy, much more than a form of government, is the kind of social order that is supposed to promote this good life and the maximum of development (Kilpatrick 1928, 582; see also Retter, 2019).

What did Kilpatrick mean by his ethical demand to give the "good life" to ALL citizens in American democracy? Were Afro-Americans, Latinos, Native American Indians included, who were forced by the supremacy of the white majority into social submission? This question will be pursued in the following.

#### 4. Excursus: Kilpatrick, the Project Idea and the Colour Line

A maxim taken from pragmatism could be this: The deep rift of lacking equality in the social reality of the USA of the twenties, which degraded "coloured humans" to unwelcome individuals of a separately living parallel society, was legally and morally secured by the verdict of the Supreme Court of 1896: "Separate, but equal". The paradox was that the emphasis on "separate" equality made it impossible to experience equality in dignity. When Kilpatrick replaced ethical principles with critically tested "guiding ideas" of experience, their strength was that they contained and justified precisely what reflected the realities of white superiority. For "should be" and "be" are not distinguished in pragmatism from the outset, a priori; both aspects are (or are based on) experience. According to Dewey and Kilpatrick, a priori settlements were a matter of idealistic philosophy, which was regarded as having been overcome with the new American Philosophy. As history has shown, this did not mean that the idealistic traditions of thought in Europe constituted an obstacle for the mass murders of the dictatorships of the 20th century, especially not for the racial ideology and genocide of the Nazi rule.

John Beineke devoted an entire chapter to the racism problem in his Kilpatrick biography (Beineke, 1998, 353-388). He pointed out that the Southerner Kilpatrick, initially influenced by the racial ideology of his homeland, adopted a more liberal attitude in the course of his life. Beineke stressed that neither Kilpatrick nor Dewey had a vision to change this by actively fighting the existing situation. I think, that was pragmatic, for pragmatism can best regard unresolved problems as the future task of a - supposedly - ever-changing society that has pushed this problem forward without change for a long time.

Kilpatrick's project idea, in which cooperation between pupils was a matter of course, could undoubtedly be a contribution to the social integration of pupils into American society who had found a new home in the USA, coming from various ethnic groups in Europe and Asia. Was it also propagated for the peaceful and conflict-free coexistence of black and white children in public schools? No, this was not the case and there were reasons for this.

Nevertheless, the project method could have provided good opportunities for children from white and non-white families to engage in joint activities - as social psychologist Elliot Aronson introduced in the early 1970s using the "jigsaw" method to reduce racial prejudice and conflict in the classroom. But such experiments were not Kilpatrick's intention. Like his revered role model Dewey, Kilpatrick didn't care so much about America's historically troublesome legacy. He was in favour of the "new" and the dynamic change of society - buzzwords he both used - but when it came

to concrete racism and racial discrimination for African Americans in primary or secondary schools, both were persistently silent, at least in the public debate.

Dewey was a founding member of the first National Negro Conference in New York in 1909, which became the National Association for the Advancement of Coloured People, which still exists today. He gave a greeting address in 1909 in which he pointed out that all children should have equal educational opportunities. Unlike Jane Addams, who practised lifelike democracy in the famous Hull House in Chicago and stood up for the rights of African Americans, Dewey did not write a single article in the NAACP official publication. As chairman of the LIPA (League for Independent Political Action) Dewey gave an address to the NAACP Annual Meeting in 1932, but only with the intention of winning voters for the LIPA's candidate, Norman Thomas, in the 1932 US presidential election. As we now know, this remained completely hopeless. The election was won by Franklin D. Roosevelt. In Dewey's book, *Schools of To-Morrow*, which he published with his daughter Evelyn in 1915, a school reserved for African American children and teachers is portrayed as an example, because the children in the "Black Ghetto" " of the city of Indianapolis combined school learning with practical work. Such services of black students were useful for the school's neighbourhood and the whites; the services provided also brought in some money for the black students. Dewey even saw school segregation in this case as an exemplary step to solve the racial problem. Was that Dewey's idea of the "Great Community"? we may ask ironically today. His ideas of community-democracy did not play a role in the Civil Rights Movement of the 1960's, nor mitigate the violence of white opponents. At an advanced age Kilpatrick held a number of honorary posts in the decades following his retirement in 1937, but in the Civil Rights Movement of the sixties, which is associated with the name Martin Luther King, he was a spectator at best; Kilpatrick died in 1965 at the age of 93. There is little evidence of how detailed Kilpatrick was interested in the problem of skin colour. Like Dewey he avoided addressing the problem of the colour-line directly and bluntly in all its social consequences. A 1954 Supreme Court decision to separate public schools for black and white children, which was seen as unconstitutional, changed the situation for Kilpatrick.

In the run-up to the Supreme Court judgement *Brown v. Board of Education*, 1954, there were court proceedings in Clarendon County (South Carolina) to protest against the unequal conditions of education to the detriment of the black children. The racial inequality of the conditions in education regarding black and white public schools was well-known. As was mentioned in the court hearings, the hygiene conditions in schools for black children were disastrous because there was no running water for the toilets. Schools for blacks had hardly any equipment, the care factor (the number of children a teacher had to care for) was much higher than in schools for Whites. Black children often had to walk many kilometres to get to school, while white children had a school bus. Uncovering these conditions in a project led by Kilpatrick would have been democratic action.

Collings' Typhus project, which Kilpatrick described as ground-breaking, was considered valuable, not least for social hygiene reasons. Farmers' families, often threatened by disease, should respect hygiene principles. But the highly acclaimed project undoubtedly concerned white children. To describe this form of indirect racism as democratic was apparently uncommon at the time. For the NAACP it was urgently necessary to get credible witnesses and advocates, who could parry the probing questions of a judge with high expertise and quick-wittedness. There existed very few appropriate black academics. Wanted were professionally impeccable speakers to advocate the fight for equality in education. Richard Kluger's book about black America's struggle for equality described the situation and the attitude of Kilpatrick. The following section is informative:

The most impressive and effective professional educator that the NAACP could have put on the stand in Charleston was John Dewey's genial follower at Columbia Teachers College, William H. Kilpatrick. Some 35,000 of the best school superintendents, principals, headmasters, and teachers in America had passed under the tutelage of the engaging, green-eyed professor with the big shock of white hair and the dulcet tones of his native Georgia still readily detectable in his speech. Kilpatrick would not have sounded like a wise-guy carpetbagger down for the day to lecture the rednecks; on the contrary, he came on in public like a good old country boy running his down-home school district without a lot of newfangled notions. In fact, the Dewey-Kilpatrick approach to schooling

had been exceedingly newfangled. The school, they held, was the laboratory for social experimentation, the seedbed for tomorrow's society, and its purpose was not merely to jam a lot of memorized data into the slowly yielding gray matter of its young charges but to teach them as well how to cope with the problems they would confront in the world beyond the reach of the schoolhouse bell. Here was the perfect witness for the NAACP. Carter wrote him an earnest letter asking him to testify.

The great Kilpatrick was cordial in response. He approved of the NAACP's efforts to secure admission of Negroes to graduate and professional schools "and I have rejoiced in your success along these lines." He looked forward to the day when segregation would cease everywhere. "But I must confess," he added, "that I seriously doubt the wisdom of seeking to have the Courts attempt to abolish at this stage the existing segregation in the elementary and secondary schools. I fear the results in the South would put back the long-run cause. I think some time is necessary first to digest the change at the highest level." In view of that belief he preferred not to testify.

*Figure 6: From Richard Kluger, Simple Justice. Vintage Books: New York, 2004, 335-336.*

Reading the last sentence again, we see: Kilpatrick refused to stand up for the rights of black children - with the pragmatic argument that this would only make things worse. He was right. After the Supreme Court's ruling, those families and individuals of the South who had publicly advocated the lifting of segregation in the court proceedings of *Brown v. Educational Board* were flooded with threats from the local population and assassination attempts followed. Those affected could only flee to cities in the north. But how could Kilpatrick and Dewey, in all conscience, justify praising (American) democracy in the face of this tyranny of violence and injustice?

Well, there's another source for Kilpatrick's attitude to the racial issue: an article about "Racial Inequality and the Social Reconstructionist at Teachers College" (Columbia University, New York), in 2013, by McCarthy & Murrow. Both authors confirm what was rather shamefully admitted in the opinion of a few American historians: that the interest of the Social Constructivism movement, which Kilpatrick, Dewey and other professors of the Teachers College of Columbia University created, did not or only marginally care about the prevailing racial inequality. But there were a few exceptions, of course, mentioned by the authors. This includes a sentence by the old Kilpatrick dating from 1936, just before his retirement (1937):

We cannot be content with anything less than actual equality of educational opportunity - equal as far as thought and money can reasonably make it so. This means that the rural child

shall have equal teaching and equal school equipment with the city child, the Negro child and student with the white child and student, the child in a poor community or state with the child in a rich community or state (Kilpatrick, in McCarthy & Murrow, 2013, 23).

At the time of the Great Depression there were also black students at the Teachers College. Did they feel that they were equally treated? Were they welcome? McCarthy & Murrow say: Not at all!

Ironically, the experience of students of color at Teachers College in the 1930s and 1940s did not match the Social Reconstructionists' rhetoric of democratic equality. Using the movement's stated ideals as criteria students criticized the institution's limited attention to the rights and needs of African Americans. On two different occasions, African American students expressed their frustration with conditions at the College and made suggestions for improvement. In 1937, members of Carney's ED 246D class prepared a set of recommendations the College could take "to promote more wholesome attitudes and better relations toward Negroes" (Daniel, 1938, p. 92). The suggestions included hiring African American faculty and staff, and ending racial discrimination in housing and extracurricular activities. In complaints leveled at projects that involved Social Reconstructionists most directly, they called for the integration of Lincoln and Horace Mann schools—private, university-affiliated, progressive schools headed for a time by members of the Kilpatrick Study Group. They cited the omission of discussions of racial issues and inequality in ED200F: Social Foundations of Education, the course that had been created by George Counts and John Childs and was designed to prepare all Teachers College students with a knowledge of the social context of education (Daniel, 1938). They called on Teachers College to support national, state, and local efforts to end educational inequalities. A faculty committee did take up the African American students concerns, which

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Figure 7: From: McCarthy & Murrow (2013, p. 30).

There were no black professors at Teachers College, black Universities were racially separated. That relatively many Afro-American students were enrolled at Teachers College in New York City, was rather an exception. For instance, at the same time Princeton University had forbidden the enrolment of black students. They were not welcome. Well-known institutions for Afro-Americans were Howard University (Washington D.C.) and Fisk University (Nashville, Tennessee).

During his stay in 1928, Peter Petersen (University of Jena) spent time at George Peabody College, Nashville, accompanied by his colleague Friedrich Schneider (University of Cologne/ Pedagogic Academy, Bonn). Both German professors also visited Fisk University at Nashville in a private enterprise, where only African Americans studied. They were impressed by the friendliness and hospitality there, also by the motivation and high interest for all questions of education there, and they were shocked, coming back to Peabody College about white racism. The Peabody president warned Schneider afterwards:

Wenn Sie vielleicht die Absicht gehabt hätten, hier in den Staaten eine Professur zu erhalten, so ist das jetzt völlig ausgeschlossen. / *If you had perhaps intended to have a professorship here in the States, that is now completely out of the question!* / (Schneider, 1970, 19).

Petersen wrote to his wife in Jena that his secretary at Peabody College, a German-American woman, had refused to attend Fisk University with him, otherwise she would "be cut off socially if

she went to see Blacks". Petersen was also appalled at the way the African Americans were treated in Nashville:

They've been almost mean to them here - and now for three days, especially this morning, to intimidate them for Thursday, where the elections for the governor are. One blot among others here (Petersen, in Kluge, 1992, 218).

In Germany at that time the "Negro Question" in the States was not an unknown subject. Every now and then authors informed about the situation within the context of their own attitude. Friedrich Brie (1930), Professor of English and American Studies at the University of Freiburg, wrote an essay of his experiences in the United States of America (As a half-Jew, he was later endangered in the Third Reich, as he supported the resistance; see Brie's Wikipedia entry). Brie stressed that education had become the key issue for Negroes in their struggle for equality (Brie, 1930, 137; see also Roucek, 1960).

At Columbia University, there was just one (white) lecturer, Mabel Carney, at Teachers College in the thirties who was well-known for her interest in the provision of black education and who gave lectures on the life of Afro-Americans. She retired in 1942. McCarthy & Murrow give an appreciation of Carney in an informative chapter of their article. It took Kilpatrick until 1956 to make his democratic convictions morally credible. In his essay "Modern Educational Theory and the Inherent Inequality of Segregation" he judges openly and self-critically:

How to treat the Negro then became the problem. "Reconstruction" did not solve the problem. Following this, the South undertook what, fairly described, seems to be a definite caste system, with the apparent intent of forcing the Negroes to live permanently as a lower class. To use the Freudian term we can say that two "defense mechanisms" were accepted in support of this caste system: (a) that the Negro race is innately inferior to the Caucasian in intellect and in morality; and (b) that it is ethically right for the superior race to control the inferior. [...] Because of this commitment modern education must oppose segregation as the denial of an ideal to which we of this country stand committed (Kilpatrick, 1956, 40; 61).

These are not new insights, but they had been clear to every honest and just intellectual for more than half a century. And now, for the first time, the truth of democracy had been clearly expressed by the leading educator of "progressive education". Dewey, who died in 1952, may have been aware of these words for many decades. But did he say so straight out? At best, he mumbled that racial prejudice wasn't good. Kilpatrick always suffered from the problem that he was often considered as Dewey's lackey, hanging on the coattails of America's most important philosopher. At least at that moment, however, Kilpatrick was Dewey's moral superior.

## 5. Petersen's Interest in Kilpatrick's Project Idea – a Look at the Contexts

The principles of teaching in Kilpatrick's project method show an astonishing agreement with Petersen's ideas, which he brought to life with the Jena Plan. The latter normally has age-heterogeneous learning groups instead of age-homogeneous classes (like modern schools), which had tradition in public schools everywhere in the country, also in the USA. It should already be mentioned here that the method which Petersen called the "group teaching method" formed the basis of the pedagogical "work" of the pupils in the Jena Plan at the Jena University School and was in many respects identical with Kilpatrick's project idea. However, one difference was that Jenaplan children learnt basic skills and knowledge in the normal mode, as a condition for later project work,

and, secondly, there were special courses in maths and also in language where the children were divided up into groups of talents, so that gifted children got a chance to improve their performance. Above all, a large share of school life was determined by the group of pupils themselves. "Helping" the others if they didn't know or couldn't do something was socially desired; in traditional school profiles "helping" is punished. Petersen wrote:

Free progress: Once the elementary grammar has been mastered, the child may work freely - always to the extent to which it has acquired the basic knowledge and skills. Then he has free access to all material and all tools, machines, learning aids etc. Since no child is excluded from anything (except because of lack of interest or lack of basic knowledge), and since everyone wants to and can work, the child will turn to the teacher: "Please, introduce me to this field!" We experienced no abuse. A child does not get the idea of playing stupid with tools, machines, if it has learned their seriousness and meaning. It knows that with strong motivation and aptitude it can immediately learn how to use them properly and thus open up sources of real joy, as well as the ability to create valuable and functional things (Petersen 1932, 65, translation H.R.).

The description is fully consistent with Kilpatrick's child-oriented concept, which in his essay of 1918 stressed that the normal school needed equipment that would enable practical project work. Petersen had such equipment in the university school through the support of the Jena Zeiss Group, which was already internationally well-known for the production of optical precision measuring instruments at that time and still is today. Many Zeiss employees sent their children to the "Petersen School". But unlike Kilpatrick, Petersen's teachers had a defined cycle of tasks in the preparation and implementation of pedagogical projects; Petersen spoke of "pedagogical guidance" (Führung) of the group by the teacher but transferred the stimulus-response model of US psychology into the term "situation". In this sense, teaching is 'free educational acquisition through natural learning', whereas the teacher has an observation task in the background and is only active if children need help and in securing learner outcomes.

Challenging stimuli of the given situation usually focus on material or a task prepared by the teacher in order to stimulate the mixed-age (learning-) group of students to react actively. But unlike Kilpatrick, Petersen's teachers had a defined cycle of tasks in the preparation and implementation of pedagogical projects; Petersen spoke of "pedagogical guidance" of the group by the teacher and transferred the stimulus-response model of US psychology into the term "pedagogical situation". In this sense, teaching is "free educational acquisition" through natural learning, whereas the teacher has an observation task in the background, active only if children need help and securing at the close the learning outcomes. Children themselves can find stimulating situations which are discussed and edited. But normally the teacher has to prepare such a situation with challenging stimuli. The given situation usually focusses on material, a phenomenon of nature or a striking event. The situation (prepared by the teacher) stimulates the mixed-age (learning-) group of students to react actively. Children of the upper group work in long-term projects, they can choose their subject matter from a given list created responsibly by the teacher, but not without the participation of the students. The chosen topics are complex and can last up to six months. Comprehensive documentation was produced and at the end demonstrated to the public of the school community (see Petersen, 1930).

Now it should be obvious why Petersen had so much interest in Kilpatrick's project method. He only met him personally in New York in 1928, almost 10 years after the publication of Kilpatrick's famous essay. As has become clear above, this happened at a time when the discussion in the USA about the "project method" began in some respect to turn increasingly into criticism. In Germany, however, Petersen was interested in the project method, in any case. The reason was simple. His

intention was to optimize his Jena Plan theoretically and practically. Thus, concepts of New Education played a role that were useful for integration into the Jena Plan concept. Petersen saw the teamwork of the students in a carefully-prepared, semi-annual project involving group work confirmed in Kilpatrick's project method. Montessori's principles of learning supported Petersen's pedagogy of a stimulating learning environment. It enabled individual learning with materials that allowed self-control. Kerschensteiner's 'work school', the pedagogy of Hermann Lietz's boarding schools and the method of Ovide Decroly (who integrated the education of normal and disabled children) were important sources for Petersen's Jena Plan as well.

## 6. Kilpatrick's Correspondence with Erich Feldmann and Peter Petersen

The lectures of the TCCU professors at the Pedagogical Institute in Mainz were a unique event. The communication between Feldmann and the lecturers of Teachers College was apparently not continued, however. But there was a new impetus, the origins of which can be traced back to the meeting of German and American teachers in 1928. I suspect that Petersen was the inspiration for Feldmann's contact with Kilpatrick. In any case, Kilpatrick answered immediately. The archives have handed down a letter from Kilpatrick to Feldmann in the year 1931. On February 9, 1931, Kilpatrick wrote to Erich Feldmann in Mainz with the letterhead of Teachers College:

My dear Dr. Feldman,

This is to acknowledge yours of the 20. ult. and to express my very great appreciation that matters are going so well regarding the translation of my book. I shall await with interest the letter which you will send me for Macmillans and I shall be glad to forward it to them at once with my own request that they act according to your wishes. With sentiments of high esteem, I beg to remain, sincerely yours, [handwritten] W.H. Kilpatrick

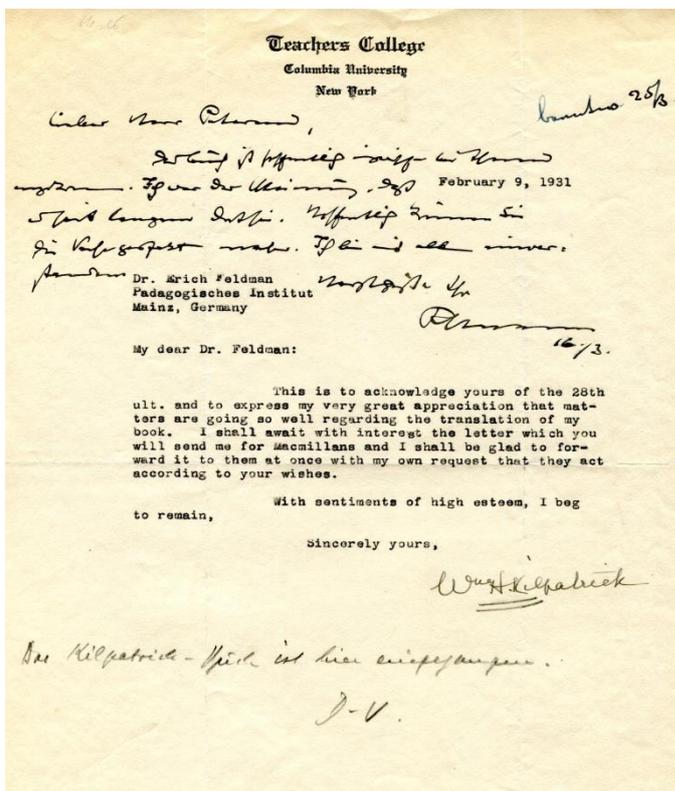


Figure 8: Letter from W.H. Kilpatrick to E. Feldmann, dated 02-09-1931  
(Source: PPAV)

Feldmann's letter of January 20th, 1931, unknown to us, which, as Kilpatrick mentioned, opened the correspondence, was followed by another letter from Feldmann, which Kilpatrick was still expecting. Feldmann asked him to forward the letter to the publisher (Macmillan) in order to get the copyright for a German edition of the volume "Education for a changing civilization" dating from 1926. This succeeded, because with their letter of 10-18-1933 (received in the PPAV) Macmillan and Kilpatrick communicated the agreement of the publishing house, which in turn forwarded it to Petersen.

The above letter from Kilpatrick to Feldmann dated 02-09-1931 contains a note written in ink by Feldmann, which at the same time proves that he sent this letter to Petersen. The note read: Dear Mr. Petersen, the book has hopefully arrived in your hands in the meantime. I thought it had been there for a long time. Hopefully you can make it perfect. I agree with everything, cordially, your Feldmann, 03-16 [1931] - Another pencil-written entry in the lower part of the letter reads: The Kilpatrick book has arrived here. D-V. It should be remembered that during his stay in the USA Petersen first wanted to win Thomas Alexander for a publication on the Jena Plan educational concept.

The abbreviation D-V is without doubt the abbreviation for "Döpp-Vorwald" - that was the name of Petersen's assistant at the time. This means that Kilpatrick's monograph of (1926) to Petersen was available in March 1931 - determined by the intention to have it translated into German and published. Three guest lectures given by Kilpatrick as part of a lecture series at Rutgers University in the US state of New Jersey form the content of the text, which was published as an independent monograph.

Dewey greatly appreciated Kilpatrick's volume, which Petersen later published in a German translation as the first part of the 1935 anthology. In a letter dated March 2nd, 1928 to Mary M. Maloney, editor of the New York Herald Tribune Sunday Magazine after 1926, Dewey wrote: "I think the best educational books of recent publication are Bode, Modern Educational Theories (Macmillan), Kilpatrick, Education for a Changing Civilization (Macmillan) ..." (Dewey 2005, No. 04908).

Two more letters from Kilpatrick have been preserved in the Peter-Petersen-Archive in Vechta. Kilpatrick wrote - now to Petersen - on 10-13-1933 and one last time on 05-01-1934. In the first-mentioned letter Kilpatrick replies to Petersen's - as then not received - inquiry (of 10-04-1933) after the contact to Kilpatrick had become less frequent. The inquiry undoubtedly concerned Kilpatrick's book and his famous essay on the project method of 1918 to be used for a German text edition. Replying to this, Kilpatrick wrote on 10-13-1933:

My dear Professor Petersen, Your letter of October 4 has just come to me. It is a great pleasure to hear from you again and also to know that you wish to translate my book und pamphlet "The Project Method". You have, of course, my permission to do so. In the case of the book the publisher also should assent, and I am therefore writing to the Macmillan Company by this mail and asking them to get in touch with you at once. I have consulted with the publishers of the pamphlet and am hereby giving you full permission to use it. With kindest regards and best wishes I am sincerely yours, [handwritten] Kilpatrick

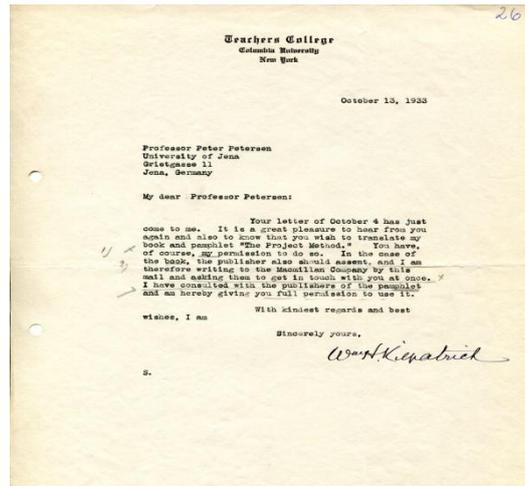
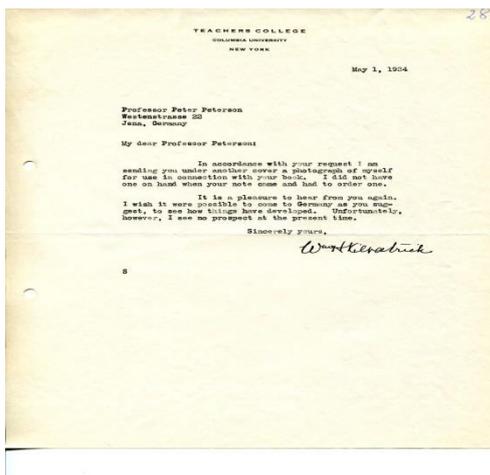


Figure 9: Letter from W.H. Kilpatrick to P. Petersen, dated 10-13-1933 (Source: PPAV)

In another letter dated 10-18-1933 (available in the PPAV) Kilpatrick sent Petersen the consent of the Macmillan publishing house for the German translation of Kilpatrick's two texts. One last letter to Petersen dates from 1st May 1934:



My dear Professor Petersen,  
In accordance with your request I am sending you under another cover a photograph of myself for use in connection with your book. I did not have one on hand when your note came and had to order one.  
It is a pleasure to hear from you again. I wish it were possible to come to Germany as you suggest, to see how things have developed. Unfortunately, however, I see no prospect at the present time. Sincerely yours,  
[handwritten] W.H. Kilpatrick

Figure 10: Letter of W.H. Kilpatrick to P. Petersen, dated May 1st, 1934 (Source: PPAV)

The last sentences of the letter make clear the distance which Kilpatrick wishes to express to Petersen. The circumstances in the German Reich were not such in Adolf Hitler's state that he might have wanted to accept an invitation from Petersen.

## 7. Remarks on Kilpatrick's and Dewey's Texts in the Volume "Der Projekt-Plan" (Petersen)

The question is whether the selection of Kilpatrick's and Dewey's texts was representative of the two leading progressive educators in the United States, and whether they adequately reflect the state of discussion - not to say the dispute - on progressive education in the United States. My answer to both reflections is 'yes', both are true. They are texts of outstanding quality that do justice to Dewey's and Kilpatrick's points of view as well as to the ongoing discussion about "project" and "progressive education" in the USA. In our reconstruction attempt, it remains unclear whether Petersen (without or with the influence of the Central Institute for Education and Teaching in

Berlin) selected the texts. It also remains in the dark whether Petersen received suggestions from Kilpatrick and Dewey or from the publishers who owned the copyright.

Kilpatrick's contributions show a theoretical and a practical focus. The theoretical focus is on the three-part lecture series of the book Petersen had already received about Erich Feldmann from the publisher Macmillan in 1931. The practical focus is on the dissertation by Ellsworth Collings (1923), which was published as a book. Kilpatrick was enthusiastic about the work of his doctoral student Collings. Kilpatrick's foreword and the so-called Typhus project, which Collings described, make up the practical part of the Petersen volume, "The Project Plan". Michael Knoll (1996) presented evidence that Collings' typhoid project never took place but was a mental construction of Collings based on curriculum guidelines. Apparently, Kilpatrick didn't notice the fake, and the many German teacher educators who informed their students about the Typhus project in the second half of the 20th century didn't notice it either, because there was no reason not to believe the given text.

While we know a lot about Kilpatrick's active role in the creation of the book "Der Projekt-Plan" (1935) in Germany, it is completely unknown how John Dewey's essays got into the volume edited by Petersen. Dewey himself apparently made no contribution to this that could be proven by sources. The Dewey-Correspondence (Dewey, 2005) does not identify the name Peter Petersen - neither by direct letter contact, nor by mentioning the name Petersen in Kilpatrick's extensive correspondence with Dewey. It is hard to imagine that the US publishers concerned did not notify Dewey of the license request from Germany. Dewey's then most recent and at the same time most important text, "The Way Out of Educational Confusion", was a lecture he had given at Harvard University in March 1931. The text was immediately published as a single print by Harvard University Press.

It was the "Inglis Lecture on Secondary Education", held annually by invited guest speakers. In Petersen's 1935 anthology, a footnote on the first page of the text informs the reader: "Note: With the kind permission of Harvard University" (Petersen, 1935, 85). The volume edited by Petersen does not contain any further references for the other texts, nor does it contain a name or keyword index, which can certainly be found in Petersen's introductory works. This is striking for the critical reader of our time and sheds light on the special political situation in Germany in 1935. Letters of the translator Wiesenthal shed light on the special situation (see below). The volume (Petersen, 1935) contains four texts from Dewey's pen:

DER AUSWEG AUS DEM PÄDAGOGISCHEN WIRRWARR / The Way Out of Educational Confusion / Inglis Lecture Harvard University Press, 1931 [LW 6, 75-89]<sup>ii</sup>.

DIE QUELLEN EINER WISSENSCHAFT VON DER ERZIEHUNG / The Sources of a Science of Education / First published by Horace Liveright, N. Y., 1929 [LW 5, 3-40]

DAS KIND UND DER LEHRPLAN / The Child and the Curriculum / First published by University of Chicago Press, 1902 [MW 2, 273-279]

DAS PROBLEM DER FREIHEIT IN DEN NEUEN SCHULEN / How much Freedom in New Schools? / First published in The New Republic, 63 (9 July 1930): 204-206, as the final contribution to the symposium "The New Education Ten Years After." [LW 5, 319-326]

As editor of the volume, Petersen has not separated the arrangement of Kilpatrick's and Dewey's contributions, but has jointly subordinated them to a systematic principle - apparently with the intention of moving from general pedagogy and the sociology of education to school and project pedagogy. The starting point is Kilpatrick's three-part lecture series:

ERZIEHUNG FÜR EINE SICH WANDELNDE KULTUR / Education for a Changing Civilization. The three-part lecture comprises more than one third of the total contributions of both authors and provides an introduction to the social problems of education. Three of Dewey's four essays follow in the order given above. These three essays are from the years 1929-31, and exactly reflect the debates to which progressive pedagogy in the USA was increasingly exposed in those years. Dewey finds a balance between the principle of the child's self-activity and the demand for qualified education, according to the requirements of the curricula, which in my view does not deviate from the view he had already given in 1902 in "The Child and the Curriculum" (see the quotation in the following chapter).

In the Inglis lecture of 1931 - for the first time ever in his publications - Dewey explicitly deals with the project method in one section, but without mentioning Kilpatrick. By no means did the project work, which dissolves conventional subjects in favour of holistic contexts of experience, make Dewey a bogeyman: on the one hand, he equated the value of the project method with that of the so-called "problem method" which has its starting point in real factual problems. On the other hand, Dewey emphasized that the contents of the lessons must not be separated from the contexts of life:

The failure is again due, I believe, to segregation of subjects. A pupil can say he has had "a subject", because the subject has been treated as if it were complete in itself, beginning and terminating within limits fixed in advance. A reorganization of subject-matter which takes account of out-leadings into the wide world of nature and man, of knowledge and of social interests and uses, cannot fail safe in the most callous and intellectually obdurate to awaken some permanent interest and curiosity. Theoretical subjects will become more practical, because more related to the scope of life; practical subjects will become more charged with theory and intelligent insight. Both will be vitally and not just formally unified. I see no other way out of our educational confusion (Dewey, LW 6, 86-87).

## 8. Dewey - An Opponent of Progressive Education?

In the reception of the project method, John Dewey was often regarded as the actual author and spiritual father of Kilpatrick's project method, an impression that Petersen also created in Germany through the integrated arrangement of the contributions of both authors in the 1935 volume. After the Second World War, this impression was retained in the German reception of the project method and was only corrected by the works of Knoll (2011). But even in the USA this impression dominated the discussion of the project method following Kilpatrick's programmatic essay of 1918. Since Kilpatrick constantly referred to Dewey, the latter, founder of the Laboratory School in Chicago in 1896, was also regarded as the spiritual source of Kilpatrick's project idea.

This was ensured not only by Kilpatrick's proximity to Dewey's terminology, but also by Dewey's texts, which make him appear as the leading figure of the progressive movement. It was not until the late twenties that Dewey himself sought to counter the impression that he was a radical advocate of progressive pedagogy; but by then the term had already acquired a negative connotation in public. As early as 1902, Dewey sought to strike a balance for each chapter in the essay "The Child and the Curriculum", referring to the significance of the curriculum, which had shown him to be an advocate of a child-oriented and progressive education in his confession "My Pedagogic Creed" (1897) and in his slim, but famous book "The School and Society" (1899). Does he depart from the principle of child-oriented pedagogy? Not at all. Dewey's summary was:

The case is of Child. It is his present powers which are to assert themselves; his present capacities which are to be exercised; his present attitudes which are to be realized. But save as the teacher knows, knows wisely and thoroughly, the race-experience<sup>iii</sup> which is embodied in that thing we call the Curriculum, the teacher knows neither what the present power,

capacity, or attitude is, nor yet how it is to be asserted, exercised, and realized (Dewey, MW 2, 291).

For Dewey, the child is foremost. But the task of education requires a curriculum. The quote does not speak of traditional school subjects but refers to the experiences of humanity: life contexts in which courses and subjects certainly play a role, but which are not further emphasized here. This is an attitude fundamentally different from the so-called "essentialists" under the leadership of William Bagley, who emphasized the intrinsic value of the fields of knowledge and regarded the imparting of theoretical knowledge (which usually stands apart from experienced "life") as a fundamental task of the school. One can only make an opponent of progressive education if one connotes the term negatively from the outset: the self-activity of the children is then declared disorientation, the New Education criticism of the authoritarian role of the teacher interpreted as a lack of respect for the responsibility of the adult in education. But this does not do Dewey justice.

The question remains: To what extent was it justified to regard Dewey's and Kilpatrick's ideas of reform as ultimately identical? This was the tenor that shaped the German reception of the Project Plan after the Second World War, as it was essentially only the volume published by Petersen in 1935 that gave this impression. While Kilpatrick repeatedly referred to Dewey, the opposite was not the case; on the other hand, there is no evidence of an alienation between Dewey and Kilpatrick. It seems that Kilpatrick wanted to reform his pedagogical concept in the thirties. Now he described his pedagogical idea as "activity" without responding to the criticism of the project concept, but with new balances regarding the problem of students' freedom and guidance. And Dewey? At the end of his life, when his own pedagogy seemed to have become history, Dewey adopted a fully supportive attitude towards his pupil in the preface to Tenenbaum's Kilpatrick biography.

In the second half of the 20th century, the reception of Dewey in the USA in part massively resisted seeing Kilpatrick as an executor of Dewey's educational philosophy; Kilpatrick was interpreted more as a falsifier of Dewey's concerns. This can be read in the well-known works of Lawrence A. Cremin, Herbert M. Kliebard and Robert B. Westbrook (see Knoll 2011, 170, *passim*), which largely followed the intention to emphasize not what they had in common but the opposition between the two reformers, especially with regard to the project idea. The focus of the Kilpatrick debate of American educational historians, however, was not his programmatic essay of 1918 on the project method, but rather what emerged from the implementation of Kilpatrick's new idea of the "project" in the public schools of the 1920s: a realization of projects instead of lessons, characterized by situational randomness and the subjective needs of the students. The subject principle, fixed essentials, objective goals of the curriculum, which were above the claimed rapid change of society, were abandoned. School should enable real-life experience so that students "actually acquire better and more appropriate behaviours on an ongoing basis". That is why, in 1926, Kilpatrick made his appeal:

Rid the schools of dead stuff. With those who are in fair touch with educational thought the opinion grows that the present secondary curriculum remains not so much because it is defensible as because we do not have assured material in workable form to put in its place. For most pupils, Latin can and should follow Greek into the discard. Likewise, with most of mathematics for most pupils. Much of present history study should give way to the study of social problems (where more history will be gained than in the old way). [...] This new curriculum consists of experience. It uses subject matter, but it does not consist of subject matter. [...] It is here again that we wish teacher and pupils to fix their own curriculum (Kilpatrick, orig. 1926: 111, 125, 127; translated in Petersen, 1935, 69, 77f. 79).

What did such absolute freedom of self-determined education mean in the Nazi dictatorship, where the first duty was to follow Adolf Hitler's commandments and to profess antisemitic racism? The

contradiction could not be bigger, but no educational historian was interested in this question until the present day. It is astonishing not only that such ideas of democracy in Hitler's state could appear on behalf of the ZEU, but also that today's interpreters are only interested in the editor's epilogue. Petersen had in fact tried to explain to the readers in his typical way, namely completely implausibly, that the American understanding of "democratization" had nothing to do with the democratic traditions of Europe, but was based on "national community" (Volksgemeinschaft), "in exactly the sense that we give this word today" (Petersen, 1935, 207). The unexpressed message was: the Nazis had to learn from the USA when it came to the "national community". Hardly anyone of Petersen's later interpreters dealt with the political dynamite offered by the texts of Kilpatrick and Dewey at the time of the Hitler dictatorship. They demand a democratic education to develop a self-responsible personality in a liberal world.

## 9. The Letters of Translator Ernst Wiesenthal to Peter Petersen – the Political Background

For the planned volume, Dewey's and Kilpatrick's texts had to be translated into German. The last page of the book "Der Projekt Plan" mentions two translators: "Georg Schulz, Ettersburg bei Weimar", who translated Kilpatrick's EDUCATION IN A CHANGING SOCIETY, and "Herr Ernst Wiesenthal, Berlin-Spandau", whose work consisted of translating all other texts. Why Georg Schulz did not continue the translation work is unknown. Under certain circumstances he had already carried out this assignment long before 1933, and after a longer break someone else continued with the work, namely Ernst Wiesenthal. I have no proof of the suspicion, but Petersen must have made this decision. It was known of Wiesenthal that he - what a rarity in the Weimar Republic! - had written a high-quality essay about John Dewey - with a remarkable positive evaluation of Dewey's philosophy. The essay appeared in 1931 in *Die Neue Erziehung*, the official magazine of the socialist "Entschiedene Schulreformer" / Determined School Reformers. Bittner (2001, 81f.) rightly stressed that it was apparently "Wiesenthal's main concern to disseminate Dewey's writings, which had not yet been covered in Germany".<sup>iv</sup>

My archive research at the LAB revealed that Wiesenthal (\*1902), who had grown up in Landsberg (province of Brandenburg), was a teacher, living in Berlin from the 1920s, in Berlin-Spandau from December 1933, and later in Falkensee (near Spandau). In 1946, his denazification file contained a detailed curriculum vitae and a list of his newspaper and magazine articles.

Wiesenthal's file shows that during the Weimar Republic he was politically left-wing, was with the "Young Socialists", and, in addition to his work as a teacher, developed considerable journalistic activities in teacher newspapers and pedagogically left-wing journals, including *Die Neue Erziehung*. For some time he was also a teacher at the "Karl Marx School" (in Berlin Neukölln, headmaster: Fritz Karsen). Besides, he tried to further his education in English at the University of Berlin and had contacts with personalities in England, where he stayed during the summer holidays. At the beginning of the thirties his educational interest lay in the USA, mentioning left-liberal journals such as "The New Republic" (in which Dewey published). Wiesenthal appreciated John Dewey, whose pedagogy and philosophy Wiesenthal, in his own words, was particularly fond of. He was also interested in Dewey's "League for Independent Action" (LIPA), the small party of which Dewey was chairman. It is well known that LIPA did not succeed in influencing the electorate in the US presidential elections in 1932, not even African American voters. All in all, Wiesenthal's knowledge of the contexts of Dewey's (and Kilpatrick's) pedagogy made him better suited than anyone else to the task Petersen entrusted him with. There is no indication that Wiesenthal did any damage to the continued practice of the teaching profession, even under the "Law to Restore the Professional Civil Service" of April 7, 1933, on the basis of which the Nazis dismissed left-wing and

Jewish civil servants from the civil service. During the war, many big-city families voluntarily sent their children to rural areas of the Reich because of the danger of bombing in the big cities. It was an evacuation measure of the Hitler State, called the *Kinderlandverschickung*. Wiesenthal worked in a camp for such children in the German-occupied Eastern Carpathians. According to his curriculum vitae, Wiesenthal joined the NSLB in August 1933 and the NSDAP in 1941. He was denazified in 1947 and was then allowed to work as a teacher again.

In his handwritten curriculum vitae, which Wiesenthal wrote for his denazification, which he himself applied for in 1946, he had mentioned the translation of Dewey's and Kilpatrick's essays he wrote for Petersen in a single sentence - framed by the following context:

I published an essay about Dewey in the official federal magazine of the Determined School Reformers, "Die Neue Erziehung". I translated some of his works, which form the larger part of the series "Pädagogik des Auslands" (Education Abroad). When the Nazis came to power in 1933 and further resistance was initially hopeless, I was forced to join the NSLB on August 1st. When the editor [Theodor Wilhelm; H.R.] of the "Internationale Zeitschrift für Erziehungswissenschaft" asked me to cooperate<sup>v</sup>, I refused; I could not justify it before my conscience to inform American authorities and personalities of the appearance of the translation by sending on the documents sent to me (LAB, file Wiesenthal, curriculum vitae, here translated into English).

Wiesenthal's latter reference makes it clear that from 1933 the Hitler State did not immediately prohibit pedagogical relations with the USA and that the USA, as a non-member of the League of Nations (which Germany under Hitler left in October 1933), adhered to its wait-and-see policy of neutrality. Paul Monroe, professor at the TCCU with high international appeal, was won over by Friedrich Schneider in 1931 as co-editor of the "International Education Review". Schneider, politically unwanted in the Nazi era, was forced to retire, and the Nazi Alfred Baeumler took over the position as editor-in-chief. Monroe, Kilpatrick's doctoral supervisor, held this position as co-editor until 1937, or at least his name was used.

Under Nazi rule, the journal continued to publish articles on the USA - now instrumentalized in the Nazi spirit. Although Hitler's provocations had aroused the distrust of the USA, President Roosevelt's scope of action in foreign policy was restricted by other constraints (Sirois, 2000, 55). Until 1936, many cultural exchange relations continued, albeit with considerable restrictions and in an atmosphere that could no longer be called free in the German Reich.

It is also significant, however, that, although Wiesenthal mentioned his Dewey translation in his CV in 1946, he did not mention Petersen as editor nor the ZEU as the actual client of the entire series "Pädagogik des Auslands". Apparently, the ZEU had signalled agreement with the project - but, we have to stress, under new personnel leadership in the Nazi era. Franz Hilker reported after the war how his release from the ZEU took place in 1933 (in Radde, 1995); Fritz Karsen escaped imminent arrest by fleeing (see Karsen, 1993). The Nazi tyranny ended democratic conditions on the legal basis that this tyranny had created for itself. Even if Dewey's German translation of "Democracy and Education", was banished and burned, for which Bittner (2001, 107) mentions source documents, a Reich-wide order for burning and annihilation apparently did not exist for this volume, if one looks through the lists of literature published by Wikipedia and described by the Nazis as "undesirable" or "un-German".

The term "democracy" in the title of Dewey's volume (translated by Erich Hylla) was decisive for the reluctance it caused among the Nazis. The content of Dewey's well-known book was not particularly a provocation regarding its democratic theory. In Petersen's 1935 anthology, on the other hand, Kilpatrick's thesis that modern industrial society can only do justice to social change on the basis of democracy was a slap in the face for the Nazis. For Kilpatrick stressed, "that in the long run man will

not be satisfied with any social order which in principle denies the essence of democracy" (Kilpatrick, in Petersen, 1935, 22).

Petersen, as editor of the text, commented in the 1935 volume on Kilpatrick's statement (on the meaning of education) that Kilpatrick meant "continuous growth", and he did this with the recommendation: "See John Dewey, Demokratie und Erziehung. German by Erich Hylla - Breslau 1930. Ch.4: Education as Growth (Petersen, 1935, 83, Fn.)".

Petersen repeated his positive valuation of Dewey's "Democracy and Education" (and Kilpatrick's project idea) in his book, "Pädagogik der Gegenwart" (1938, 137f., 159-161). – Five letters from translator Ernst Wiesenthal to Petersen survived (PPAV). They were written on 17 April, 23 November and 17 December 1933 and on 13 and 22 January 1934.

Let us consider the accompanying letter with which Wiesenthal sent the last four texts translated by him from English into German to Petersen in Jena, dated January 13, 1934: Wiesenthal mentions that this is his first translation work and offers to participate in the proofreading once the proofs produced by the publisher have arrived. He concludes with the hope that the volume will appear quickly and be well evaluated by German educators.

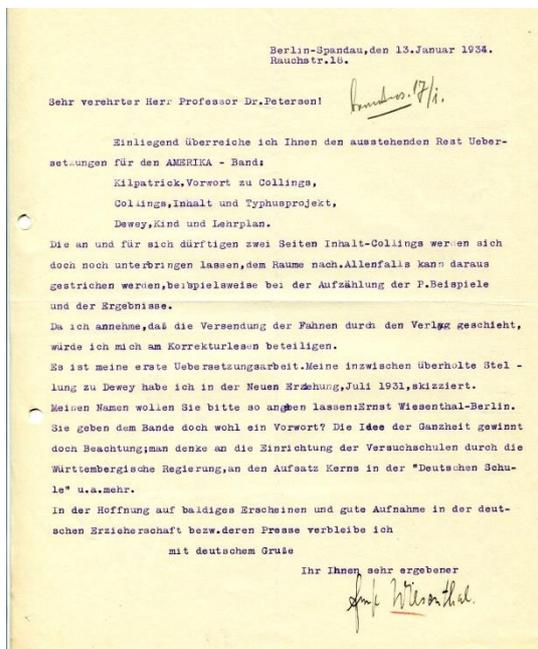


Figure 11: Letter from Ernst Wiesenthal to Peter Petersen, 01-13-1934 (Source: PPAV)

In Wiesenthal's last letter to Petersen (dated 01-22-1934), which was personally signed and marked the end of the whole enterprise, he signed without the official greeting, but only with "Ihr Ernst Wiesenthal". It still seemed unlikely to him that texts by Dewey and Kilpatrick could be published under Nazi rule. Wiesenthal's last words were:

Hopefully the work you had to do to make this happen is worthwhile. As long as the present is striving for its new line, there is hope (Wiesenthal, letter to Peter Petersen, 01-22-1934; PPAV) - see figure 12, below)

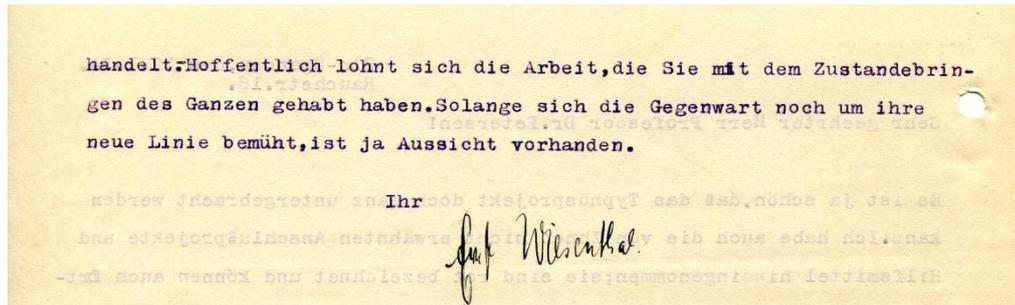


Figure 12: End of letter from Ernst Wiesenthal to Peter Petersen, dated 01-22-1934  
(Source: PPAV)

## 10. Petersen, National Socialism and the Jena University School in Jena

Isaac L. Kandel, as a Jew socialized in Europe, closely followed the situation in the "Third Reich". At the International Institute, Teachers College, N.Y., he had not failed to notice Petersen's positive statements on Hitler and on the "national revolution" in the journal of the National Socialist Teachers' Association (see Petersen, 1934). He mentioned Petersen, in an essay entitled "The Making of Nazis". Kandel impressed with his excellent knowledge of German journals, books and official regulations. At first it was disturbing to believe that Petersen had become a "Nazi". In this respect Kandel referred to Petersen's completely different behaviour before 1933:

More than most German educators, he urged that attention should be given to educational theories abroad in order to escape from national smugness. His position then was definitively humanistic in favour of ideals of humanity and tolerance gaining in force and validity internationally (Kandel, 1934, 465).

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However, in his footnote text Kandel showed:

<sup>11</sup> Peter Petersen, *Bedeutung und Wert des Politisch-Soldaten für den deutschen Lehrer und unsere Schule*. *Deutsches Bildungswesen*, January, 1934, pp. 1 ff. It is interesting to compare this article with Professor Petersen's philosophy before the Revolution. More than most German educators, he urged that attention should be given to educational theories abroad in order to escape from national smugness. His position then was definitely humanistic in favor of ideals of humanity and tolerance gaining in force and validity internationally. In his practice school at Jena he insisted that the school must be a self-contained community and that "children must be kept beyond the limits of the political struggle," that "the child's world must be kept free from the scurry and bustle of the adult world," that "such temporal powers as state, church, the sects, political or other views of life" should be kept aloof, that teachers have "subtle pastoral tasks," and that pupils must learn in a natural way through attractive situations!

Figure 13: "Making the Nazis", *Yearbook of Teachers College, N.Y.* (Kandel, 1934, 465)

Kandel's judgment is correct. A few months later the volume edited by Petersen with texts by Dewey and Kilpatrick was released in Germany. This fact, however, has not yet been explained by

contemporary historical research. It was ignored because the facts could not be reconciled with the moral judgment on Petersen, which could only be negative - as Kandel made clear.

Today, in the German-speaking world, Petersen is interesting for the history of education researchers of the last 30 years, especially in confirming the moral negative judgment. Only in the context of research that focused on children and parents of the Jena University School did a new research approach emerge. It was known that in the 1920s Petersen admitted a considerable number of children from social democratic and communist families, children from families with Jewish roots and disabled children to the Jena University School. These were from 1933 onwards - considering the NS race laws of 1935 - children who lived together with their parents constantly under the threat of the NS regime to be humiliated, persecuted and killed by the Nazis. What is striking is that Petersen did not expel a child from his school for racial or other ideological reasons, as the exclusionary Nazi idea of a racial "national community" demanded. On the contrary, from 1933 Petersen also admitted children to his school who were humiliated in the public school for political reasons, victims of racial or political persecution (Retter, 2010). New material that has been found awaits further documentation. Therefore, one can assume that the research on Petersen in contemporary history is by no means complete.

## 11. American Students from New College at TCCU, New York City, in Nazi Germany

This study concludes with a reference that sheds a new light on German-American relations during the first years of Nazi rule in Germany. The overall evaluation of the material must be left to a research project of its own. The Gottesman Libraries of TCCU keeps archival documents about the NC, which invites further research. Among them are the travelogues of 1934 and 1936 from two groups of the NC who had visited Germany in study groups.

The driving force at the TCCU in New York, which developed the first contact between American and German educators in 1928 into a lasting cooperation with the ZEU in Berlin, was Prof. Dr. Thomas Alexander. The founding of the New College (NC) at Teachers College was his initiative (see Wikipedia entries: "Richard Thomas Alexander", and "New College"). A new, high-quality form of teacher training was to be introduced with the new establishment. On the basis of John Dewey's philosophy, students were given practical experience in various areas of life - to a greater extent than is usually the case in teacher training. The stay in an overseas country played an important role. From a financial and organisational point of view, the New College was an autonomous unit within the TCCU and answered to the long-standing Dean of the TCCU, William F. Russell. Alexander, a friend of Russell's, was chairman of the NC, in fact he took over the function of personnel and structural development of this new institution at the TCCU. As the organizer of curriculum and studies, he was also responsible for hiring lecturers and planning excursions abroad.

The official NC newspaper, *New College Outlook*, reported about every two weeks on activities and news and academic controversy. In the November 16, 1934 issue, a travelogue – "Scandal-Anzeiger" [Scandal News, H.R.] - was announced. Its title is meant to be humorous. The report informs the readers about the experiences of the group of NC students who stayed in (Nazi) Germany from August 12 to September 16, 1934. As it says in the press note, this was from the students' point of view

"a happy and thoroughly fruitful stay, and [they] find much of interest and value in German institutions: "One admires Hitler even more than previously" (see Figure 14, below).

# NEW COLLEGE OUTLOOK

New College, Teachers College, Columbia University  
New York City

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No. 5

## STUDENTS TOUR SOUTHERN SCHOOLS

### Dr. Stratemeyer Conducts Group; To Lecture

On Thursday, November 15, Dr. Florence Stratemeyer left for North Carolina and took with her George O' Brien, Paul Williams, Evelyn Saxe and Janet Brinkerhoff. The purpose of the trip is to visit the schools in North Carolina. On Saturday, they will attend the District Teachers Meeting in Elizabeth, N. C. Sunday and Monday will be spent at the State Teachers College in

## German Group Publishes Paper

The eleven New College students who are in Germany for their study period have written and published two issues of an intimate journal or group newspaper in mimeograph, called the "Skandal-Anzeiger," an account of their joint activities in Germany. Their purpose was "not to attempt literary perfection, nor to review the passing events in Germany, but rather to set down a few incidents and experiences which we think will be of interest to our friends."

According to the "Skandal-Anzeiger," the nine girls and two boys in Germany are enjoying a happy and thoroughly fruitful stay, and find much of interest and value in German institutions: "One admires Hitler even more than previously."

Because of their many activities, and their work on their own newspaper, the German group expressed regret that they would not be able to contribute to the *Outlook* personally.

## COLUMBIA DEMANDS CASA INVESTIGATION

### Italian Center Held for Fascist Propaganda

The Columbia Committee Against Fascism, organized Tuesday by the Social Problems Club, is calling a meeting for Friday, November 16 to secure an investigation by Dr. Butler of the charges that Casa Italiana is a center for Fascist propaganda. The Columbia League for Industrial Democracy invited Dr. Butler to speak in Harkness Academic Theater on Friday when Dr. Gerhart Segar,

Figure 14: Report of a study trip to Germany by NC students in late summer 1934

Dr. Alexander reported in the NC Outlook issue of 11-09-1934 that he would travel to Europe for three months, visiting the NC study groups in England, France and Germany, but mainly collecting material for a book entitled "New Education in Germany". His aim, he said, was to compare Nazi rule with the liberal tradition before 1933. It is not known whether he was successful in carrying out his intention, apparently not.

New College slipped economically into the red in 1938; it closed in 1939. After the Second World War Alexander was in Germany with OMGUS (Office of Military Government for Germany, U.S.) to start building a democratic education system after the end of the Nazi regime, and that turned out to be difficult. Here he also met Peter Petersen again. Petersen's attempts to gain a professional foothold in the Western Zone and from 1949 on in the Federal Republic failed, not least because of several racist texts and his activities for institutions of the Nazi regime in 1933-44. Apart from the slim volume "Der Kleine Jenaplan", Petersen's edition of "Der Projekt-Plan", with essays by Kilpatrick and Dewey, became that book of the Jena educationalist which had a lasting influence on West German pedagogy.

## 12. The Berlin "ZEU" under Nazi Rule – Dr. Alexander under suspicion of being a Nazi sympathizer

During 1933, the ZEU was restructured by the NS authorities, simply by replacing the staff. The scholar Ludwig Pallat, archaeologist and connoisseur of Greek art, was left as the director of the institute, as it were, as a figurehead, but had completely retired from his previous function. At the beginning of 1934 the magazine "Deutsche Volkserziehung" was published instead of the PZ which had to end publication (see Kraas, 2002). All democratic institutions and ideas which might recall the Weimar Republic were now fought and despised in the public life of the Hitler state. The media had been brought into line. Parties on the left were banned, their members put under so-called "Schutzhaft" (preventive arrest), and sent either to prison or Concentration Camps (KZ), which were then being erected. Without any other reason than Hitler's hate Jews were humiliated and publicly persecuted by Nazi groups of HJ and SA; critics of the system lived in mortal danger.

The contents of the new journal "Deutsche Volkserziehung" were essentially designed to convey Nazi ideology, in fact, to teachers in all areas of life in which educators were active. A new form of this mediation was brought to life by ideological training sessions in "work camps" (Arbeitslager), following the example of the Hitler Youth (HJ) – not to be confused with the Nazi penal camps, in which opposition activists had to do heavy labour. In the first years of Nazi rule, teachers from all types of schools, all universities, teacher colleges and all extracurricular institutions had to attend such ideological "work camp" training sessions – everywhere in the Third Reich, with overnight accommodation often in tents or under spartan conditions. This was cheap and evoked days of the youth movement. So, the courses in work camps lasted several days, in which trained leaders practised the Nazi ideology with the participants, within a community formed through Nazi ideology. The daily schedule in such a work camp looked something like this:

7 a.m. waking, morning run, washing, cleaning – 8 a.m. morning celebration, flag hoisting, breakfast – 8.30-12.30 lectures and exercises – 12.45 lunch – 14.45-15.30 singing together – 15.30 afternoon coffee – 16.00-18.30 lectures, working groups – 19.00 lowering the flag, dinner – 20.30-22.00 discussion, photo lectures or common evening hours – 22.00 evening song (Source: Deutsche Volkserziehung, 1, 1934, 70f. ).

The ZEU served as the centre of conducting such training courses in the Nazi state. Nazi racial theory, anti-Semitism and physical training to strengthen the military force and the strengthening of community spirit through "camp life" played an important role. Often foreign visitors could not immediately see what was going on, but during a longer stay in contact with the people they understood.

Although there is no evidence, it must be assumed that Thomas Alexander received a message from ZEU in New York with the cancellation of the event which he had presumably planned together with Hilker in 1932 for a study visit to Germany in the summer of 1933. Secondly, it is likely that the new Nazi program for November/December 1933 was sent to Alexander in time. The current occasion was certainly the program. Its formulation makes clear that groups from other countries could also attend this event, which was no longer a free and open visit, but an ideological indoctrination of the participants. This program was also not reported in "Outlook". Here the translation into English (see the German original text below).

## II. The Foreign Department of ZEU: Lectures for Foreign Educators

The training courses announced by the Foreign Department for the summer of 1933 had to be cancelled, since a treatment of educational science and its related fields before was not planned from the National Socialist point of view. Instead of these courses, the following lectures were held in November and December 1933, especially for American professors and students:

1. The spiritual historical foundations of National Socialism, 2. The organisation of the administration of the German school system, 3. An introduction to folklore literature, 4. The subject area of racial science and hereditary watchfulness, 5. Organization of racial studies and heredity in the classroom, 6. The new guidelines for teaching history, 7. Tasks of teaching German in the education of the new state, 8. Tasks of teaching old and new languages in the schools of the National Socialist state, 9. Geography lessons and their tasks in the new state, 10. The Revival of Germanic Peasantry, 11. Organisation of German Youth, 12. Education in the labour service camps. –

The lectures were combined with practical demonstrations, in particular lessons were observed.

Figure 15 shows the original note as a part of the report on the activities of the ZEU in the period 1933/34:

## II. Die Ausland-Abteilung

### Vorträge für ausländische Erzieher.

Die von der Auslandsabteilung für den Sommer 1933 angekündigten Lehrgänge mußten abgesagt werden, da eine Behandlung der Erziehungswissenschaft und ihrer verwandten Gebiete nicht vom nationalsozialistischen Standpunkt aus vorgesehen war. An Stelle dieser Kurse wurden im November und Dezember 1933 folgende Vorträge insbesondere für amerikanische Professoren und Studenten gehalten:

1. Die geistesgeschichtlichen Grundlagen des Nationalsozialismus,
2. Die Organisation der Verwaltung des deutschen Schulwesens,
3. Einführung in die Literatur der Volkskunde,

4. Das Stoffgebiet der Rassenkunde und Erbpflege,
5. Die Behandlung der Rassenkunde und Erbpflege im Unterricht,
6. Die neuen Richtlinien des Geschichtsunterrichts,
7. Die Aufgaben des Deutschunterrichts in der Erziehung des neuen Staates,
8. Die Aufgaben des altsprachlichen und neusprachlichen Unterrichts in der Schule des nationalsozialistischen Staates,
9. Der erdkundliche Unterricht und seine Aufgaben im neuen Staat,
10. Wiedererweckung germanischen Bauerntums,
11. Organisation der deutschen Jugend,
12. Die Erziehung in den Arbeitsdienstlagern.

Die Vorträge waren mit praktischen Vorführungen verbunden, insbesondere wurden Unterrichtsstunden besucht.

Studienreise für amerikanische Pädagogen.

Im Juli und August 1933 fand eine vom Zentralinstitut vorbereitete Studienreise für amerikanische Professoren, Lehrer und Studenten statt. Die Gruppe studierte insbesondere die Leibesübungen in West-, Süd- und Mitteldeutschland.

Figure 15: Extract from the annual activity report of the ZEU for 1933/34, 17 July 1933 (Source: *Deutsche Volkserziehung*, 1, 1934, issue 3, special section, 2),

Although there is no evidence, it must be assumed that Thomas Alexander received a message from ZEU in New York with the cancellation of the event which he had presumably planned together with Hilker in 1932 for a study visit to Germany in the summer of 1933. It is not clear if any academic from NC, TCCU or Columbia University was motivated to follow the invitation. We recognize the radical change in aim and structure of international meetings in Nazi Germany. Instead of free exchange, ideological training for guests from abroad dominated.

What about further study trips for American educators to Germany? Astonishingly, they went on. In the magazine "Deutsche Volkserziehung" a short report followed many months later, with the headline: "Studienreisen für amerikanische Pädagogen" (Study Trips for American Educators):

From mid-July to the end of August 1934, a group of American professors and teachers was led through West, South and Central Germany by the Central Institute [ZEU, Berlin]. In particular, the participants studied the elementary school and the high school system, as well as the educational work of the HJ [= Hitler Jugend/Hitler Youth] (Source: *Deutsche Volkserziehung*, 2, 1935, 104)

Such a short report also exists for 1935 (English translation H.R.):

Study trips for American educators: The Central Institute prepared two study trips for American professors and teachers through West, Southern and Central Germany. In particular, one group studied the elementary and secondary school system as well as the educational work of the HJ; the other group devoted itself to questions of musical education (Source: *Deutsche Volkserziehung*, 3, 1936, 107).

It is not clear which US organization prepared the stay of the Americans in Germany, supposedly not the TC nor NC of Columbia University.

Soon after Alexander had left New York for Germany, the accusation suddenly appeared that he was anti-Semite and sympathized with the Nazis. This charge had raised a voice outside the university. The investigative journalist John L. Spivak, made this accusation in the Communist newspaper "New Masses" in an article that pointed to Alexander's proximity to certain circles in the States, which sympathized with anti-Jewish and fascist tendencies in Europe. This made waves at Columbia University (see: *Spivak Reveals ...*, 1934).

More than one colleague knew of Alexander's fondness for Germany. The Hitler-friendly remark at the end of the report on the NC study group's stay in Germany (see Figure 14) gives cause for thought. If not Alexander but Dr. Clara Stratemeyer (TCCU) had accompanied the study group to Germany, he would have had the opportunity to prevent it or to distance himself from it.

A committee was formed at the NC to investigate these allegations. Jewish students of NC whose share was high (about 40%) could not confirm Alexander's anti-Jewish attitude. Upon the defendant's return in January 1935, the incriminating allegation did not appear to have triggered any university public prosecution, and the matter apparently had no negative consequences for Alexander. He was not an isolated case.

If you leaf through the university news of that time, you get the impression of strong political tensions. Apparently at Columbia University, there ruled not a liberal democracy, but an unpleasant "frontier" spirit: Everybody suspected everybody. Around 1934 newspapers reported allegations against professors that they were fascists and had sympathies for fascist Italy (Of course the suspicion could be justified, similar to Alexander's). At that time Mussolini's nationalism was in full bloom and impressed quite a few US intellectuals during the time of the Great Depression. At the same time, the politics and education system of the Soviet Union were highly valued by some TC professors, as reports of expert lectures show (see *NC-Outlook*, November 4, 1935).

A final note. In 1936, Columbia University received an invitation to visit Heidelberg University on the occasion of the 550th anniversary of the founding of the university. After many university professors had fled from Germany to the USA to escape the Nazis, President Butler had already formulated the ironic statement in 1934: "Conditions in Germany are similar to those that would exist in the United States should the Ku Klux Klan, let us say, be in control of the Federal government" (quoted in *NC Outlook*, March 13, 1936, 1). Interesting, because the Ku Klux Klan provides the keyword: The lack of educational opportunities for African Americans at the "white" US universities did not upset anyone.

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## Abbreviations

BAB	Bundesarchiv Berlin
LAB	Landesarchiv Berlin
NC	New College [New York]
NSDAP	Nationalsozialistische Deutsche Arbeiterpartei
NSLB	Nationalsozialistischer Lehrerbund
PPAV	Peter-Petersen-Archiv Vechta
PZ	Pädagogisches Zentralblatt
TCCU	Teachers College, Columbia University [New York]
ZEU	Zentralinstitut für Erziehung und Unterricht [Berlin]

## Archives

Bundesarchiv Berlin (<https://www.bundesarchiv.de/DE/Navigation/Meta/Ueberuns/Dienstorte/Berlin-Lichterfelde/berlin-lichterfelde.html>) NSDAP membership file (Information on Ernst Wiesenthal)

Columbia Spectator Archive, Columbia University, New York City  
(<http://spectatorarchive.library.columbia.edu/cgi-bin/columbia?a=d&d=cs19341121-01.2.9>)  
Article: Spivak Reveals Evidence, Columbia Daily Spectator; November 21, 1934, p. 1, p. 4  
Landesarchiv Berlin (<http://landesarchiv-berlin.de/kontakt>) Akte C Rep. 375-01-13, Nr. 5110 A. 17  
[Ernst Wiesenthal]  
Peter Petersen Archiv Vechta (<https://www.jenaplan-archiv.de/archiv-arbeitsapparat.html>) Letters  
Ernst Wiesenthal; Letters William H. Kilpatrick  
Gottesman Libraries at Teachers College, Columbia University (GL-TCCU [GotLib]), N.Y.  
(<https://library.tc.columbia.edu/>) Archives. for guests files available with special access. –New  
College Outlook: <https://pk.tc.columbia.edu/item/New-College-Outlook-24958> – William H.  
Kilpatrick collection: The Diaries (quoted passages); April 1928:  
[https://pk.tc.columbia.edu/item/April-1928-\(v.24\)-28617](https://pk.tc.columbia.edu/item/April-1928-(v.24)-28617) – Sept. 1928:  
[https://pk.tc.columbia.edu/item/September-1928-\(v.24\)-28630](https://pk.tc.columbia.edu/item/September-1928-(v.24)-28630) – August 1929:  
[https://pk.tc.columbia.edu/item/August-1929-\(v.25\)-28577](https://pk.tc.columbia.edu/item/August-1929-(v.25)-28577) -  
William H. Kilpatrick collection: The Diaries; Thomas Alexander collection: archival materials New  
College; New Outlook (for guests: files available with special access)

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- i W.E.B. Du Bois (1868-1963), spokesman for *Rights for African Americans*, used the term *color line* 1903 in his book "The Soul of Black Folk". The foreword contains the above-mentioned quotation, "for the problem of the Twentieth Century is the problem of the color-line". W.E.B. Du Bois: (1986, 359).
  - ii The source of the original text is shown in square brackets with volume name and page number in Dewey's "Collected Works" (see Dewey, 2008).
  - iii The term "race" appears more often in Dewey's early writings, and with Thomas Fallace (2011) this can be traced back to the dominance of a biologically dominant understanding of the child. Here the "nature" of the dominance of the white skin over all others belonging to a "lower" stage of cultural evolution definitely comes into play. "The Dilemma of Race" (Fallace) by Dewey has nothing to do with an excluding racist race theory of the Nazis. But it was a social overinterpretation of Darwin's theory and illuminated the historically social dilemma in the USA of the predominance of the white society over the "coloured" one. Left-wing liberals like Dewey did not approve of this, but it was pragmatic not to stress the own anti-racist attitude but to avoid speaking concretely about it and to remain silent instead of publicly seeking conflict. Nevertheless, in 1935, when the term "race" was translated into German as "Rasse" in the volume of Petersen, as it happened, Dewey and Kilpatrick could be seen as representatives of a fascist race theory, which was simply wrong, but Petersen could apparently use this as a quiet justification for propagating democratic models from the USA in Nazi Germany.
  - iv Bittner's study on "John Dewey and German Pedagogy" (2001) was valuable due to an extensive collection of secondary literature on Dewey. But his interpretations of Petersen are often only speculation. The "conspiracy theory" that the author developed, however, was already questionable from the beginning: Eduard Spranger, as well as the "Verein für wissenschaftliche Pädagogik" (the association for Herbartian Pedagogy), had waged a "national defensive struggle" in the German Reich to achieve Dewey's "elimination" from public consciousness (Bittner, 2001, 67f.; 71f.); related to this was Jürgen Oelkers' (2011) thesis that Dewey had fallen victim to a

"misunderstanding" in Germany. But those who represented Dewey's rediscovery a quarter of a century ago in order to make Dewey an unrecognised figure of a heroic story, from today's point of view, set a bigger misunderstanding in the world.

- v The "Internationale Zeitschrift für Erziehungswissenschaft" was founded in 1931 by Friedrich Schneider, who in 1933 was forced by the Nazis to withdraw from the editorship; until 1945 he served as editor of the Nazi university pedagogue Alfred Baeumler, as editor of the Nazi lecturer Theodor Wilhelm. The latter was still active as a writer after the war. According to my documents from the former Berlin Document Center (now available at the BAB), Theodor Wilhelm became a member of the NSDAP on May 1, 1937 (membership number 4.833.253) and a member of the NSLB on January 1, 1938 (membership number 358.411). Friedrich Schneider (who was a friend of Petersen) was dismissed by the Nazis in 1934 as professor of the Pädagogische Akademie Bonn (resp. Hochschule für Lehrerbildung), he was forced to retire. In 1940 he was deprived of his habilitation (postdoctoral lecturing qualification), acquired in Cologne in 1928, for political reasons.

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