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The Essence of Academic Performance

Edited by Bernard Nchindila and Trudy Corrigan



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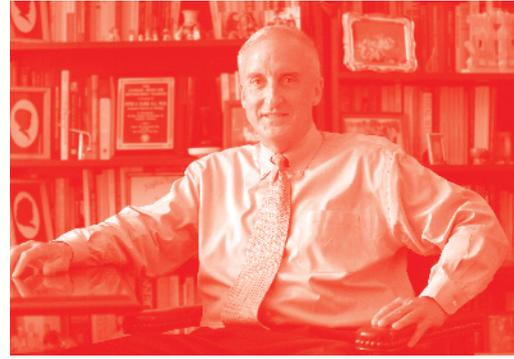
*Edited by Bernard Nchindila
and Trudy Corrigan*

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Contributors

Judith Cochran, Nina Bohdan, Melanie Shell-Weiss, Paul Mocombe, Franco Blezza, Martina Petrini, Fiorella Paone, Regina Brandolini, Halliki Harro-Loit, Charles Tatum

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Meet the editors



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Preface

This edited volume is a collection of reviewed and relevant research chapters concerning the developments within the essence of academic performance field of study. The book includes scholarly contributions by various authors and is edited by a group of experts pertinent to the respective field of study.

Each contribution comes as a separate chapter complete in itself but directly related to the book's topics and objectives.

The book consists of seven chapters, which are as follows:

Chapter 1: Helping Disadvantaged Urban Youth: Tutoring Lessons from University and Community Partnerships

Chapter 2: Education and Science for Innovative Development of the Eurasian Economic Union Countries (Russia, Belarus, Kazakhstan, Armenia, Kyrgyzstan)

Chapter 3: The Power of Narrative: A Practical Guide to Creating Decolonial, Community-Based Projects

Chapter 4: The Haitian Educational Problematic

Chapter 5: Pedagogist: His Profession, His Practice and His Toolbox

Chapter 6: Feedback and Feedforward as a Dialogic Communication in the Learning Environment

Chapter 7: Developing and Evaluating Educational Programs

The target audience comprises scholars and specialists in the field who will find this information useful for the advancement of their research work.

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Helping Disadvantaged Urban Youth: Tutoring Lessons from University and Community Partnerships

Judith A. Cochran

Abstract

For the past 20 years, the endowment of philanthropist E. Desmond Lee has supported a collaborative of youth agencies, universities, and school district programs for disadvantaged urban youth. Called the Regional Institute of Tutorial Education (RITE), its focus has been to build community support to counteract the influence of poverty, low tax funding bases, crime, and poorly resourced schools for the children that can't achieve academically and socially because of these conditions. RITE has addressed these deficits by hiring community members and university students to tutor and mentor the students enrolled in provisionally or unaccredited school districts and their after-school programs sometimes conducted in community agencies. The institute located at the University of Missouri-St. Louis has trained, placed, and supervised tutors in mostly academic areas of math and reading to support students in K-12 classrooms. The results of these programs have been successful when there has been consistent student attendance. In the 2017–2018 school year, RITE provided writing tutoring targeting 150 urban youth attending under-resourced middle and high schools. Lessons from these university and community collaborative programs are provided to aid others working with urban youth.

Keywords: urban youth, intergenerational tutoring, community partnerships

1. Introduction

The vision of one man, E. Desmond Lee, became the cornerstone for a university, community, and public school tutoring collaboration. E. Desmond Lee, a St. Louis philanthropist, felt indebted to the African-American soldiers under his command during World War II. He promised himself that if he survived and made any money, he would see that his brave soldiers and their families were rewarded. The E. Desmond Lee Regional Institute of Tutorial Education (RITE) is that reward. Mr. Lee endowed a Chair of Tutorial Education at the University of Missouri, St. Louis, in 1998. Its responsibilities would be to provide academic and social support to urban children whose parents could not afford to give them the resources they should have as citizens of St. Louis and the United States of America.

The endowment Des Lee gave to the University of Missouri-St. Louis has funded a collaborative of universities, public schools, and community, targeting urban

children of St. Louis. The Institute consists of 6 universities and 10 of the largest community and youth service agencies and all of 4 urban school districts in the city.

For the past 20 years, college student or community tutors have given classroom support under teacher direction within classes or within pullout settings for individuals or small groups of students. The tutoring provides intergenerational support to the youth. Most college tutors are close to the secondary students' age and provide them with role models and methods for going to college. Older graduate student tutors have gone to the suspension room to tutor students and advise them on how to manage their behavior. In one school, the community tutors are retired lawyers, businessmen, and caring citizens who live in the neighborhood. And finally, there are the RITE staff members who build a community of RITE tutors and stay in touch with them after they leave school. The RITE staff and facilitators attend tutoring sessions and school events and add to school opportunities as they bring students to the university, obtain guest speakers, and provide scholarships for the tutors and Rotary Youth Leadership summer camp scholarships for high school students. As a result of all these intergenerational tutors, the students understand that there is a community of caring adults who want to see them succeed academically and socially.

2. Background of tutoring

Tutoring is an ancient form of instruction with an older person informing a child in a skill, story, or abstract concept. Such a structure was expanded to include more than one student in what was called learning circles in the Middle East consisting of one teacher and several students gathered around a tribal or religious leader. As long ago as 1000 BC, a young man would have one constant companion or a tutor responsible for his social and cultural instruction called a paidagogos in ancient Greece and a pedagogue in ancient Rome. These men could be aristocratic slaves from another culture or wise men who could no longer work because of age or disability. The "classic ideal" of education between master and pupil resulted in the tutoring of the young through the counsel and example of an older man. An atmosphere of virile camaraderie shaped and molded the young boy's character. The relationship between the two became personal and intimate and lasted for life ([1], p. 7).

In ancient Egypt, China, Europe, and Africa, tutoring was for aristocratic boys who attended "classes" on government, skills necessary to enter the service of the ruler. Girls were tutored by their mothers and rarely used their skills outside the home. Some high-class courtesans such as Aspasia, the common law wife of Pericles, paid for her own tutoring, enabling her to attract many aristocratic men to her house ([1], p. 435). It was accepted in many societies that boys obtained a tutor at 6 and continued under his guidance until 18. As documented in the Jewish writings as early as 80 BC according to the Talmud, Simeon ben Shetach (103–76 BC) established local schools for boys between the ages of 15 and 17. High Priest Joshua Ben Gamla is said to have begun elementary schools for boys from the age of 6. The elementary school education was taught in the bet ha-sefer later known as the heder, which was normally maintained by the community. Later, higher rabbinic education was given in the bet ha-midrash, located in the nearest temples or synagogues [2].

The effectiveness of the tutor in ancient times was demonstrated by the manly character and expertise of the student. These students were the men expected to become the ruling religious or royal leaders in most cultures, regardless of where they lived. Men's value to their society was found in their manliness, cultural expertise, and knowledge as recognized by memorization of poetry, literature, and religious laws and beliefs.

The tutor's role, in today's world, is to remediate those students whose learning skills do not enable them to keep up with the large classes in public or private schools. In most cases, the tutoring is episodic and knowledge oriented. When a young man is not doing well in English, his parents pay for a tutor to strengthen his skills. When a young girl is unable to play basketball as well as her peers, her mother seeks other older girls to tutor her daughter in how to dribble the ball and shoot the baskets. For the well off, the tutor can be paid handsomely. For the poor, the service is usually provided by a youth service agency such as the YMCA or Boys and Girls Clubs or the school system itself. The tutoring ends when the student reaches the expected math, reading, or writing level established by the school or the parent. For many, transportation to and from the tutoring is difficult and results in poor attendance. Tutoring is not a long-term relationship, and contact is not maintained for any length of time between the tutor and the student. The only exception is music instruction where the teacher will often guide the student for years or until he or she surpasses the skills of the teacher. As it is often episodic and individual, data on tutoring success is not easily obtained.

However, one study conducted a meta-analysis of 65 different tutoring programs. The findings were that tutoring improves the attitude of the student and the tutor toward the subject that is the focus of the tutoring. It also improves the performance of the student. However, tutoring doesn't enhance the self-esteem of either the tutor or the student. This meta-analysis demonstrates the focus of tutoring has not departed from its original intent in ancient times of improving performance, developing a positive attitude toward learning a subject and improving self-esteem [3].

Today, there is increased interest in the delivery of tutoring through the use of computer programs. Developers in instructional technology are calling it an intelligent tutoring system [4–8]. The components focus on the complexity of the content as presented, the expectation of the product as measured by its potential for transfer, and the requirement of the user ([1], p. 435). The keyword in intelligent tutoring is “user friendly.” Many companies are producing intelligent tutoring and selling it to schools that can't afford personal tutors or businesses that do not have training departments. The greatest purchaser of intelligent tutoring is taking place in what is called “domestic tutoring” or homeschooling. The computer is replacing the mother in the home as the teacher, tutor, and guide. To quote one homeschooling mother, “I just turn on the computer and sit the kids in front of it.” In this way, the tutor becomes the time keeper without the need in some cases to evaluate the student's work or even understand it.

Regardless of its format, tutoring has made a significant contribution in the history of education regarding the evolution of schooling. Today, we view the schools as being synonymous with education. This was not always true. There is much evidence that a sizable amount of education took place in the home using one-to-one instruction by a variety of tutors, including parents. Some of the most important philosophers of the West developed educational theories based upon their experience as tutors, rather than as school teachers. Their tutorial philosophy developed into many of our modern educational principles. What were these ideals? The development of the individual's thinking processes became a fundamental educational goal. The recognition of individual differences guided the instruction of each student. Education became a culturally broadening experience that at the same time recognized the child's own talents and prepared him for a specific life vocation ([1], p. 435).

3. RITE tutoring process

RITE provides training to university and community tutors in tutoring methods, while the schools and after-school programs supply subject area content

and the most needy students. Disadvantaged youth are those who meet federal guidelines for free or reduced cost lunches at school. In most of the schools served by RITE, three fourths of the students qualify as disadvantaged youth. The tutoring methods follow consistent processes used in every session. Lessons begin with signature pieces selected by the student. This motivational procedure is followed by targeted skills instruction determined by the school-administered tests or teacher direction. If requested, RITE will diagnose students using appropriate standardized tests. Instructional feedback sheets are provided to parents, teachers, and students. Common tutoring areas such as math and reading are taught in K-12 with 80-page guidebooks *Blueprint for Reading Success* and *Blueprint for Math Success* developed by Dr. Myrna Gifford and Dr. Judith Cochran. Results of all programs are provided to the students by school principals and after-school and community agency directors. For example, unaccredited schools have to meet district AYP benchmarks within specific time frames. United Way after-school providers follow specific evaluation guidelines as a part of their funding requirements. In short, the program results are tabulated on different measures to determine the achievement of grade-level expectations, primarily in math and reading.

In reading, the results are demonstrated at Gene Slay's Girls and Boys Club.

The total overall reading gain was 2.5 years; stanine was 5.3. (Students with IEPs were not included in this gain; however, each student showed progress.) The grade-level breakdown prior to tutoring was G2, 4 youth; G3, 4 youth, and G4 – 1 youth; two students in grade were exited because of attendance. The average grade point gain was 2.5.

Executive Director Prescott Benson provided an overall evaluation of the *Blueprint Reading for Success*:

- Meeting with students at least three times a week achieves better outcomes.
- One-on-one tutoring is more effective to improve reading skills.
- The best results were reported for tutoring sessions from 15 to 60 min. Longer sessions did not result in better outcomes.
- Tutor-tutee relationships that were successful were often supported by strong reinforcement of progress, with reading and writing experiences (being fully supported to working independently and with an explicit demonstration of appropriate reading and writing processes).
- A tutoring program's duration is significantly related with positive outcomes; implementation time of at least 20 h was more effective.
- Parent involvement and good attendance is a must in order to achieve better academic success.

Because of the special problems and the potential associated with minority and disadvantaged parent involvement, care must be taken to emphasize the concept of parents as partners of education. Too often, because of the discontinuities between teachers/administrators and the communities in which their schools are located, school personnel tend to view the parents and surrounding community as needing to change and having little to offer. This "deficit model," as it has been called, is

clearly detrimental to the development of positive attitudes about education and good working relationships between the community and the school.

When academic agencies engage families in ways that improve learning and support parent involvement, students make greater gains. Partnerships with families that respond to parent concerns, honor their contributions, and share decision-making responsibilities able them to sustain connections aimed at improving student achievement.

Directors of youth agencies like Mr. Benson are on the RITE Board along with the University of Missouri-St. Louis, St. Louis University, Webster University, Washington University, Fontbonne University, Maryville University, and Harris Stowe University faculty along with the directors from the YMCA, YWCA, youth residential and family services centers, Herbert Hoover Boys and Girls Club, and Mathews-Dickey Boys and Girls Club. In addition, representatives of other community groups and public schools sit on the board. Some of these are AmeriCorps St. Louis, St. Louis Public School District Community and Alternative Education Division, Normandy Public School District, and representatives of the urban professional, athletic, and business community. The RITE board members' charge is to establish, develop, and sustain extracurricular social and academic efforts for under-resourced youth in the St. Louis community. The lessons learned from this unique institute provide insight and guidance for other university, community, and public school partnerships.

4. Lessons from providing extracurricular assistance

How do you learn to play basketball with good sportsmanship when your parent is a single female who works one, two, or three jobs? The answer to that question could be action taken through the Academic Athletic program started by RITE. This program has benefited children living in the Jennings Housing Development and Emergency Children's Home and those going to the after-school programs at Herbert Hoover and Mathews-Dickey Boys and Girls Club. First children read about sports figures from books purchased by RITE and given to the different agencies. Then the sports section of the St. Louis Post Dispatch is used for discussions with the children in their agencies. Tickets to basketball games were solicited from professional teams and local college teams. These tickets were given to the agencies as rewards for academic improvement by the youth. The University of Missouri previous basketball coach, Chris Baker, conducted clinics with his athletes for the children. He even let some of the boys from a residential care center shoot hoops after a game with team members. He was not alone. The tennis, girls' soccer, and track coaches from UMSL held Saturday clinics for RITE agency youth. Once a year, the Cardinals, Blues, and RAMS gave tickets to RITE to disperse to children, families, and agency staff. In many activities, the effort was made to integrate athletics with academics through "adopting" a player. The youth followed the statistics and career of a favorite professional or university athlete. The idea of having the youth adopt a player was questioned during youth attendance at a Cardinals game. One of the boys asked why the player couldn't adopt him instead. With athletic clinics, agency programs, agency athletic supervision, purchase of books, sports equipment, and event tickets, he didn't realize that he had been adopted by the RITE collaborative members.

Scheduling activities considering athletic partner's responsibilities is another lesson to be shared. The extracurricular programs are always dependent upon the sports season, the coaches, and the players themselves. Since many of the university athletes are on scholarships, the former University of Missouri, St. Louis athletic

director, Pat Dolan, suggested that work study could pay the athletes in their off-seasons to tutor at Jennings Housing Authority. Athletes in reading and math tutored children, who lived in the Housing Authority. The results were compared to the Jennings tutoring program conducted by the housing coordinator. Both groups were trained by RITE staff in how to tutor, assess reading and math levels, and select from the materials available in the housing authority and the RITE library. Results on the Burns and Roe Informal Reading Inventory indicated all but 2 of the 30 children who consistently attended sessions improved an average of one grade level in reading and math when tutored by university athletes. This program was successful, as it did not conflict with the practice and game schedule of the athletes. And the youth learned from the athletes that you can play sports and go to college.

Another lesson is that none of the teams have one decision-maker. For example, Cardinal's Tony LaRussa, Mick Malthene, and current interim manager, Mike Shildt, have one game dedicated to disadvantaged youth. For that game, the managers talk to them, order pizza for the children, and have them come out on the field and meet the players. In order to make sure that day happens, managers have to check with other managers, coaches, and the players. In addition, they have public relations staff and professional rules and recruitment regulations to follow. Each manager's different protocol is replicated at all university and high school athletic programs. The learning from this event is that managers are not the only persons responsible for making this successful event take place.

5. Academic assistance

If you can read and have a calculator, you should be able to help children with their homework. If you have a homework help or academic tutoring program, you can call the nearest college and ask for college students to help tutor children. The problem is just who do you call? Many people call the switchboard of a college and ask for whoever is responsible for tutoring. They may get the learning centers that tutor university students, or they may get individuals responsible for retention at the college. Recently RITE received a call from a woman at a junior high who left a message saying she was going to need 15 college students to tutor in her after-school program. Unfortunately, tutoring in any subject is more complex and challenging than most community members believed, even to access university students. Teacher training has also changed to such a degree that it is no longer valid that college students and particularly prospective teachers could use practical experience. Education majors are assigned hours of observation, practicum, and then full-time student teaching. In many cases, university students also have jobs outside of school. Both course requirements and outside employment reduce the likelihood that university students want to or are available to tutor.

Firstly, most college students may not be living on campus or easily available to university staff. Most also have very tight schedules with their own work, families, and schoolwork. They frequently need to make money and can't afford to volunteer. Secondly, education students are now required to observe, tutor, and teach in schools as early as their first education course. From there, they have clinics in schools where they are required to teach children outside their own scheduled class time. Furthermore, college volunteers tend to disappear during midterms and finals leaving children feeling neglected and abandoned. This is not the relationship the universities want to build with the communities. Likewise, the community groups looking for inexpensive help can't expect to build academic programs with students who may not be available the next semester leaving them to find yet another college student. This untrained college volunteer format is no longer the approach to academic assistance

in the RITE program. College expenses have resulted in students like L.M saying, "I wouldn't have been able to stay in school if it weren't for my job as a RITE tutor."

RITE targets academic needs of the children in the St. Louis Public School through a number of collaborative arrangements. These formats provide models for university/public school/community interaction and funding. One model is to become a partner in an ongoing public school grant. RITE has been a partner with the St. Louis Public School District on an Advancement Via Individual Determination (AVID) grant providing tutoring to middle school students in 19 St. Louis Public Schools. RITE hired university students, paid, and trained them. RITE currently has an AVID grant with River View Gardens School District. The RITE recruits and hires the students, and the school district trains them in the AVID tutoring procedures. Their procedures required classroom teachers attend conferences and follow AVID protocol. A second model is where RITE is a grant partner with the school district. RITE then gets a contract to provide training in tutoring methods and communication effectiveness for the new tutors and teachers in the schools. On one such grant, the twenty-first century grant, the school district administers the twenty-first century grants, and RITE staff conducts training, attends grant meetings, and serves on the advisory board. And finally, RITE also finds and writes grants for school districts. In this third model, the university is the administrator and employer and directs the program. The school district identifies staff, notifies children of the programs, and provides the facilities. Other community partners, such as the YMCA, host athletic activities, identify athletic staff for the grant, and supervise programs. In short, the university, public school, and community agency grant collaboratives take many forms, depending upon the grant requirements and school, university, and community education resources.

In another partnership arrangement, RITE collaborates with AmeriCorps members and the St. Louis School District. AmeriCorps members are placed in 18 of the most needy schools addressing literacy and socialization needs within classrooms and during after-school programs. This model demonstrates how a partnership can exist among public school districts, not-for-profit community agencies, and universities. RITE provides ESL training, testing, lesson plan writing, and literacy training for the members. RITE universities also provided training in communication effectiveness and mentoring for middle school tutors. This academic partnership between RITE and AmeriCorps and the resulting video will enable AmeriCorps centers to strengthen their orientation and training of members. AmeriCorps also developed a lesson observation evaluation to standardize tutor's work with underserved students. As a bonus from university partners, the RITE Director, Dr. Judith Cochran, taught courses for AmeriCorps members, awarding graduate and undergraduate university credit. This collaboration enabled AmeriCorps members to obtain college credits that could be used later toward a degree.

Academic help takes many forms in urban schools. RITE has established many successful programs with two profiled here. The first is training teachers and university and community tutors in *Blueprint for Reading Success* and *Blueprint for Math Success* developed for RITE. These programs have been implemented in many after-school programs.

Executive Director Prescott Benson provided an overall evaluation of the *Blueprint Reading for Success* in the Gene Slay's Girls and Boys Club.

His after-school program has been able to raise reading levels an average of one grade level in 10 weeks of tutoring. One of the university students using the program reported on their success using the signature piece of *Blueprint for Reading Success*:

During one of my subbing jobs, students were reading a book called, "The Journals of Lewis and Clark." I told the students that if they have any problems reading

that they can ask me for help. One student (8th grade) said that he didn't really comprehend what was going on one of the assigned reading pages since the language used was a bit "oldey time" to him. I asked him if it would be OK to use him for an assignment and he said it was fine so I had him read a short paragraph for sixty seconds. The first time timing him, he was able to read 74 words as he was getting tripped up on a few of the words. He didn't know the meaning of all the words so this was difficult to him (such as larboard). He also didn't know why Lewis called described the river as handsome. I explained the meaning of the words to him and the adjectives he had in question. I also cleared up those "oldey time" words such as "whence" and "timbered."

I asked him to read again for one minute and after understanding what the words meant, he was able to read up to 83 words. He was quite pleased with himself after improving his words read per minute. He thanked me for my help and said that he'll be able to read over 100 words per minute one day. The whole exchange took only a few minutes and I felt good knowing that I had helped a student better understand the material and increased his motivation for reading.

RITE has also developed a student retention program called Conscious Choice (CC). For the past 10 years, it has been encouraging youth to remain child-free and graduate from high school. CC's Vashon, Roosevelt, and Sumner are "comprehensive" high schools, meaning that they must take all students who apply. These schools have on-site nurseries for students' children and pregnancy rates that are higher than St. Louis city and the state of Missouri averages. An expansion of the CC program into middle schools was implemented to reduce the pregnancy rate. Another modification was that male students were included. One of the requests for programming of the males was for car repair classes. As most live with either their mother or grandmother, the males are called upon to fix the family cars. This after-school tutorial was added to Conscious Choice programming starting with middle school boys attending Gene Slay's Girls and Boys Club. Other middle school CC programs are informational and take place during health classes in collaboration with the Department of Health, SLU's medical students, and other community experts. Each school's students establish their own activity schedule, are given community mentors if they want them, and visit universities for programs and tours. RITE provides money from the endowment for student scholarships to UMSL and a banquet for the seniors and their mentors and parents that includes gift cards and an iPad for the essay winners. In 2018, the CC graduation banquet was held after CC students (male and female) attended a Science Technology Economics and Mathematics Conference at St. Louis University. The last year's winner, T.W., said that it was a good experience for him to read his essay to his fellow students at the conference and to the Clayton Ladue Rotary Club. He said, "Cuz' when I play in the NFL, I will have to deal with the media."

While the success of programs is measured on different academic tests, for the past 2 years, the 80 program graduates from one high school have had no pregnancies. Initiated by RITE facilitator Mrs. Linda Bell and Dr. Cochran in 2009, the program now has a partnership with St. Louis University (SLU) and the Department of Health. As a result of reading the seniors' scholarship application essays, a RITE facilitator and intern piloted a writing program in 2016. UMSL/RITE and SLU's objectives are to assist in the reduction of the district's 55% dropout rate and encourage career planning and/or college enrollment. Endowment funds pay for RITE staff and interns along with grants awarded from Clayton Ladue Rotary Club.

Building upon RITE's piloted writing program and the teachers' requests, the writing program has expanded to include middle school creative writing courses, field trips to summer UMSL writing workshops, ROTC, and College Summit

courses. Under the direction of RITE facilitator, Mrs. Cathy O'Brien, UMSL tutors are assisting with the writing of college applications, Conscious Choice essay competitions, and course work in classes. The journal reflection of one writing tutor, A.C., is quoted below:

The essays were the best through—especially seeing the look on students' faces upon completing them (CC essays). They were ecstatic. Many of them never thought they would be able to write an essay like the one they wrote. They did not believe in themselves, but then, they saw how talented writers that they were.

Not only were the essays helpful in building students' confidence, it also made students realize how writing can help them learn about themselves. One of my students was writing about basketball and how at first he was terrible. Instead of giving up when everyone made fun of him, he kept practicing and became a good player. When he finished I told him how great of a writer he was and that he should continue since we can learn so many things from it. I asked him if he would have ever thought about why he liked basketball so much if it weren't for the essay. He said "no" so I encouraged him to write more and learn more about himself. I told him he could write and never share it or write it to share. After our conversation he was considering blogging about sports.

I have had mostly great moments, but there have also been some frustrating ones. In one of these, I was trying to convince a student why they should stay for their last semester and why drug dealing should not be an option for them to live by. Many teachers and adults hear students talk like this and instead of destroying the ideology that comes with these thoughts, they punish students. Students are not going to realize by themselves why drug dealing is not a good way to make money just by being punished. Instead of ignoring his comments, I wanted to convince him why that's not a good path to take. I began by telling him how I job shadowed my aunt's classroom at NWH when I was in high school and she had a student saying the same things. She was mad about it, but she didn't break apart the ideology that made that student think that it was okay. He graduated, just to be shot in the back of the head assassination style in an alley.

When I told the student this his eyes widened. Maybe the story itself hit home but I think it was more relevant considering he was familiar with NWH. I gave him many other reasons why he can't be a drug dealer. I told him he would never be able to buy anything expensive because the IRS would have no proof of income, drug dealing is violent and often leads to death (as it often has in my community) plus he could assume he would have a family one day. He wouldn't want his kids see him dealing drugs. I was not trying to judge him but guide him. The end result was definitely worth the frustration.

I've enjoyed this experience and cannot wait to go back next semester to help. My favorite part about this experience is interacting with the students and watching them learn about themselves and how they interact with the world.

In addition to writing essays for CC, middle school students had their short stories presented to other school students. RITE funded printing a class edition of their work. The stories were then given to the students, the parents, and the school. All writing projects evolved under the leadership of RITE facilitator, Mrs. Cathy O'Brien, who encouraged and found funding for students to attend a summer writing workshop for secondary students at UMSL.

Lessons learned by those helping disadvantaged youth are critical when addressing funding. Money must be secured for community partnerships to begin and be sustained. In RITE's case, E. Desmond Lee donated an endowment to the University of Missouri, St. Louis, which enabled the university to hire some tutors and some staff and establish an office. RITE has written additional grants, administered the funds, provided administration services of payroll, and hired and terminated employees for the institute and for partners who were also awarded grants. The third collaboration has been to contract as a service provider to either the agency or the school district that has the grant. When payment is given to university, they can be hired to assist in the payroll, identifying university employees, and provide academic services. The school district, community agency, and university cannot offer a salary they think the poor university student will accept. Many of the university students work part or full time for companies that pay far more than the minimum wage. Community, university, and school partnerships are in competition with well-paying companies and need to pay accordingly in order to hire the best employees.

6. Community initiatives

No matter how they are initiated, the importance of the individual within the organization should not be ignored. It was Des Lee's vision that resulted in the establishment of RITE and 36 other partnerships among university and community agencies in St Louis. It is the action of UMSL President, Dr. Blanche Touhill, and Vice President Kathy Osborn, who supported Des Lee's vision that continued beyond the establishment of four initial endowed professorships. The first six professorships developed endowments to support two internationally recognized science education professors, one nationally recognized museum studies professor, an art educator, and two urban educators: one for school administrators and one for academic tutoring. Furthermore, it is the willingness of the individuals involved in this community and university collaborative to go beyond their own job descriptions to work with the resources and procedures and other entities. One tutor, P.G., didn't want to be a tutor but needed the money. She wrote the following:

I didn't feel comfortable being with high school students. I had always been shy in school. But I found that if I just listened to them, the girls looked forward to seeing me. They started hugging me as they left.

One of the most important lessons for all community partnerships is to consider the importance of individual stability. University faculty, if tenure track, are expected to meet university and peer expectations in their first 5 years. In many cases, the universities hire nontenured faculty with positions that are renewed yearly. Both conditions cause job insecurity in universities. In community agencies, many of which are not-for-profit, the salaries are not high. Frequently, the positions are not professionally classified resulting in no clear path for upward mobility. Few would knowingly dedicate their future careers in such situations. In public schools, many of the teaching and staff positions are poorly paid. And for many, these low-paying jobs are entry level. Those holding them are expected to leave. Staff turnover is high, particularly in community agencies and urban school districts, resulting in partnership instability, while new staff learn their jobs and the context in which they work. The longer individuals remain as principals, staff, and community members, the more likely the partnerships will be successful. The

nuances of individual relationships are often the bricks upon which stable partnerships are built. Transience in after-school clubs, urban teachers and administrators, and not-for-profit community agencies undermine university, school district, and community agency collaborations.

In order to build stability in university, urban school, and community agency delivery and member management, computers have been adopted as sources of academic content. St. Louis Public School District is no different. In three urban schools, Virtual Academy, a computer-delivered high school credit program, has operated for the past 3 years. High school subjects are available on specially configured computers located in the schools and given to students to take home. The computers are funded through a grant from Sprint, a local telecommunication company. The targeted youth are dropouts, returning students, and those who are unable to come to school because of illness or other difficulties. The home computers only deliver high school content, so they are not of interest to others. In the school locations, RITE provides math and literacy student tutors available for students who drop into the Virtual Academy Centers. The locations are supervised by staff and faculty from the school district. The success of the program is measured by exit tests tied to the common core standards for the content area studied. The data from Virtual Academy is taken from academic credits, grades, and subject mastery tests to demonstrate the success of this program for youth in the three urban school districts served.

Computer courses offered by RITE's university are to start serving after-school programs for the US Department of Education. The first meeting on January 3, 2016, held in Washington, DC, was to assess the needs of after-school program staff throughout the country. The second meeting, May 27, 2017, proposed to develop a network of educational courses and programs to be required for after-school providers who receive funding through the federal government. UMSL was one of the five universities invited to participate. This collaboration could result in utilizing existing distance education courses and programs to increase professional skills of after-school providers. Participants' tuition would be supported by the twenty-first century grants. While this program has not yet begun, it has the potential to nationally link university courses and programs and standardize youth program staff professionalism and salaries.

There is another important lesson for partnership participants. There is no means for individuals to learn how to trust those who are not in their own organization. They have no history with them and do not know of their individual competencies. In the case of the community initiative established in St. Louis, the students were surveyed to learn what they wanted from community members. The largest response was the interest in basketball. Community members could have doubted that in a neighborhood with high crime and truancy, basketball would be the first task for the community, school, and RITE to address. However, the collaborative trusted the students' comments and began to figure a way to find a full basketball court for the students to use, after-school staff to provide supervision and coaching, and transportation for university athletes to conduct clinics. In the process, the university, community, and public school members learn to trust and respect each other's competency. That in itself is a worthwhile lesson learned from a community collaborative.

7. Conclusion

Many lessons have been learned in the last 20 years by the director and staff of the Regional Institute of Tutorial Education. Some of those described are listed below:

- Share a vision of action among all collaborative members.

Perhaps the vision of having more basketball activities at an urban school is not ideal, but this vision mobilized collaborative members. All youth, organizations, and schools were engaged in the activities.

- Do not assume that other organizations will volunteer their members to help sustain a collaborative.

Universities are not filled with students who have time on their hands to volunteer in community or public schools. Likewise, volunteers from the community are not waiting to come to a school and perform tasks that teachers do not have the time to do. Volunteers, whether they are teachers or students, cannot be the basis of staffing for any collaborative. They must be paid well enough to commit extra effort and time to the welfare and stability of the partnership.

- Build personal relationships and trust among partner organizations.

Once trust in the strengths of the participating individuals is recognized, the structure of the partnerships will begin to take shape. As the partners reach beyond their own organizational missions to share resources, they construct a collaborative with unlimited potential for urban youth.

- Funding must be sustainable to continue meaningful academic or social programs for disadvantaged youth.

Four different funding models were profiled to demonstrate means of economic program stability for youth. In short, professional and collegiate sports teams' missions are not to directly serve and benefit the community. They are revenue-generating operations for both the team owners and the universities. There are athletic directors, multiple coaches, public relations staff, and community outreach people who are all involved in each community and educational action. Calling a sports team will not get a player to sign a baseball for an after-school fund-raiser. Even though these activities are worthwhile for the community, they may not benefit the existing sports partnerships. Grants, endowments, and tuition paying members are means of obtaining sustainable funding for urban programs.

- Provide between 20 and 60 min of tutoring twice a week to get academic growth.

Attendance and behavioral problems are the most difficult obstacles for programs to overcome in helping students improve their academic skills. Parents need to be involved in the tutoring program and understand it.

- Tutoring must follow a consistent format cemented with positive relationships between the tutor and the youth.

Academic and social progress can't be expected when tutoring and mentoring is haphazardly implemented by individuals without training or expertise.

- The most important lesson is to think outside each organization to shape multiple partnerships.

A partnership increases the funding and the resources for targeted populations. It does not threaten the prestige, resources, and power of the school district, organization, or university.

The academic and social strength of disadvantaged youth will enhance the future of the urban society. Youth with goals and positive ambitions demonstrate predictable and positive behavior—they attend school and they seek employment experience and practice learning new skills. If urban youth can't see a future where they have the skills necessary to earn a living for themselves and their families and live a quality life, they will be frustrated. Their frustration and related behavior promise a future of protest as a result of their current experiences. Collaborations serving the needs of the disadvantaged through youth-serving agencies and school districts are one answer to preparing youth for a successful adulthood.

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Education and Science for Innovative Development of the Eurasian Economic Union Countries (Russia, Belarus, Kazakhstan, Armenia, Kyrgyzstan)

Nina Bohdan

Abstract

Differences in the levels of human capital and the countries' abilities to maintain, attract, and expand it within them determine the opportunities of innovative development and the future economic growth. That is why, as a rule, all the international comparative assessments of the innovative development levels begin with human resources assessments. The most important investments determining the development of human resources are those in education and scientific research. The goal of this research is to identify the potential of the Eurasian Economic Union (EAEU) countries in the formation of innovative economies based on highly qualified cadres, using the current achievements of science and technology for the growth of their population's well-being. EAEU came into force in January 2015; it includes Russia, Kazakhstan, Belarus, Armenia, and Kyrgyzstan. The article considers the issue of financing education of the EAEU countries; it identifies the problems affecting the quality of training specialists as well as correlations between education and development of scientific research. There were also made attempts to assess the effectiveness of education and science which determine the opportunities for forming modern innovative economies in the EAEU countries and the growth of their citizens' well-being.

Keywords: innovations, education, science, financing, publication, patents

1. Introduction

The Eurasian Economic Union (EAEU) came into force in January 2015; it includes Russia, Kazakhstan, Belarus, Armenia, and Kyrgyzstan. This Union ranks eighth in the world with regard to the amount of population (186 million people), first with regard to the territory (20.26 million km²), and fifth with regard to GDP (USD 4695.9 bn). According the Agreement on the Eurasian Economic Union, the goals of this alliance are the member states' economic development as well as

modernizing and enhancing the competitiveness of these countries in the world market. That said, EAEU is open not only for new member states but also for direct interaction and in-depth economic collaboration with other countries. EAEU ensures freedom of goods, services, capital, and work force mobility as well as pursuing of a coordinated or unified policy in the economy sectors. The integration association of the EAEU countries is based on mutual interests; it takes into account the former USSR single economic area as well as the cultural traditions of many generations, current trends of forming economic knowledge, and objectives of mutual innovative development.

The research of the neo-Eurasian integration processes falls into two directions: optimistic and skeptical. The former comprises researches whose representatives see an opportunity of implementing the potential of the Eurasian region countries in the EAEU project. The basis of the integration policy strategy of Russia, Belarus, and Kazakhstan which formed the customs union at the first stage of integration was their desire to leave behind a long period of disintegration within the Eurasian area and establish the Eurasian Union, alongside the European Union already acting in the Eurasian area. A positive evaluation of the Eurasian Union is given by the Russian expert Karaganov [1]. However, he expresses concerns with regard to accepting the former Soviet Union Central Asian republics to the newly established Union. Ivashov [2] states that within the framework of the single project, there are launched processes which form vertically integrated transnational structures in the leading sectors of manufacture as well as single production and customs areas. At the same time, single areas of culture, science, innovations, and sports are resumed. The analysis of the EAEU prospects is in the focus of the researches done by E. Vinokurov and A. Libman who consider the Eurasian Economic Union the most realistic among the existing integration projects in the post-Soviet area [3].

The second group of experts considers the EAEU project an unsuccessful attempt of revive the former imperial structure [4, 5]. An objective reason for it is a negative experience of integration in the post-Soviet area over the past years. According to them, the creation of the Eurasian Union is facilitated by nostalgic reminiscences without realistic prerequisites [4]. Apart from that, any projects of modernizing the post-Soviet cause fears on the part of the West as regional associations contribute to strengthening weak economies, especially those in Central Asia. However, it is pointed out that a considerable advantage of creating the new Eurasian Union will be the huge single market coupled with decreasing barriers for the goods and people's mobility [5].

Researches of prospects for the cooperation of the EU and EAEU integration associations show that for successful and efficient integration, it is necessary to establish a structure similar to EU by its nature—the Eurasian Economic Union. In this case, it will be possible to build equal partnership relations and expect positive results from this collaboration [6]. Europe + Russia + former Soviet republics have a highly educated and technologically competent population whose skills comply with the requirements of the “knowledge-based society” being formed, which no doubt is of primary importance in the twenty-first century. That is why the creation of the global integration region with free mobility of intellectual resources, work force, good, capitals, and services is able to form Eurasia as a center for the world development.

In this context, the creation of EAEU and its further enlargement can be considered as an important condition for forming a transnational communicative intellectual environment. One should agree with scholars [6] who claim that integration in the social sphere (health protection, education, etc.) is to be based on a personality's central role, which is especially relevant in the context of the world tendency of personifying world political and world economic processes. A dual

Eurasian nature of mentality and behavioral stereotypes of Eurasia’s population enables to accept and creatively process the experience of social policy both of Europe (individualism) and of Eastern neighbors (collectivism). That is why a mandatory condition for the countries’ integration within EAEU is a social program based on investments in the human capital and determining the prospects of innovative development.

Human capital in the twenty-first century has become a major factor in the development of the economy and society. The quality of human capital is primarily formed by the education system, whereas the contribution of other factors, such as health, migration, and culture, is less significant. “Human capital” means not individuals themselves but the knowledge and skills they possess that enable them to create value in the global economic system [7, 8]. Human capital is also the ability to create new jobs, structures, and activities, in other words, entrepreneurial abilities in a broad sense. In modern society, the key beneficiary of the “human capital” is the person himself/herself and his/her family.

Accordingly, education in modern economy should be considered not as a cost-based sphere, alongside with social protection, pension system, government staff, defense, and security, but as an investment sphere determining the scale of the economic growth. Education is the main instrument for ensuring social justice through an “equal start” for all the citizens. The educational function of education ensures the reproduction of the cultural code as well as the development of values of solidarity and patriotism. It contributes sustainability to the social development. The National Strategy for Sustainable Development of Belarus until 2030 indicates that “the education system must ensure that the knowledge and skills obtained be adequate to the rapidly changing requirements of the society and economy, engineering and technology, the development of personal initiative and human adaptability, thanks to which human abilities to integrate and create innovation are expanded” [9].

At this point, the potentials of the EAEU countries with regard to their human resource quality and opportunities for innovative development significantly differ, which is shown by the international indicators (see **Table 1**).

The analysis of international ratings shows that Belarus and Russia have similar ratings of potentials in the field of human development, whereas Kazakhstan maintains a high growth rate of human capital assessment indexes. The weakest human resources potential for innovations belongs to Kyrgyzstan. However, the countries’ positions in the assessment of innovative development are not closely related to the

Country	Population, thousand people	Index of human development (rating)	Global index of innovations (rating)		GDP per capita (PPP, USD)		
			2016	2017	2007	2013	2016
Belarus	9507	54	53	88	12,345	17,620	18,060
Russia	144,495	49	48	45	16,729	25,248	23,132
Kazakhstan	18,038	58	82	78	17,354	23,214	25,623
Armenia	2930	83	61	59	6480	7776	8818
Kyrgyzstan	6202	122	109	95	2449	3213	3551

Source: Based on Refs. [10, 11] and <http://data.worldbank.org/indicator/NY.GDP.PCAP.PP.CD?view=chart>

Table 1.
Indicators of EAEU countries’ development by international ratings.

assessment of their human resources; for instance, Belarus, unlike the other EAEU countries, over the recent years has weakened its position in the international innovations rating, despite its most developed human capital among the member states. To some extent, this is related to the fact of changing certain indicators in the assessment that are taken into account in the global index of innovations. At the same, other factors also need to be researched, including integration and financial aspects of supporting education, science, and innovations.

2. New problems of EAEU countries in the sphere of education

In the coming years, the demand for human resources with a high level of education is going to grow. According to the EU data, by the year 2025, the proportion of highly qualified labor “International Standard Classification of Education” (ISCED 5-6) in the economy will grow to 39%, and that of low-skilled labor (an ISCED below 3) will reduce from 22 to 14% [12].

Researches [13] show the necessity of changing the policy in the sphere of education, which is determined by a number of factors:

- Growing importance of international trade: economic activity has become globally interconnected on an unprecedented scale, bringing people, goods, and services together faster than ever. In education, this global economic integration creates both a need and an opportunity to develop new curricula to provide students with the skills required in a globalized economy.
- Migration has become much more common, particularly toward affluent countries. The mobility of individuals, families, and human capital is facilitated by technological advances and driven by trade and skill imperatives. International university students’ mobility grew from 0.8 m in 1975 to 4.3 m in 2011 and keeps growing. Education systems also have to deal with transferability of skills and experience so that they could adequately recognize prior learning and qualifications of immigrant students.
- Rapid technological development has changed the way we interact with each other and our communities. Information and communication technologies (ICT) offer opportunities to store and share data, foster dialog among education professionals, and strengthen feedback mechanisms and evaluation procedures.

Education reform can only be effective if policies are well implemented. This means that in order to support reforms in evaluation and assessment, there must be coherent indicators.

One of the new indicators in the assessment of innovative development prospects is an education level of youth. As an indicator in the European practice, they use the proportion of population with tertiary education within the population aged 30–34. According to the international system of education classification (ISCED 5–6), the third stage of education can include specialists with completed secondary specialized and higher education. The proportion of such specialists among the young people in EU accounts for 35.8%, and according to the strategy “Europe 2000”, by 2020 it should account for at least 40% [14].

Our calculations show that in Belarus the proportion of population with tertiary education aged 30–34 makes 59%, which is higher than in many European countries. An important role in innovative development is played by the structure of

training specialists of the so-called science, technology, engineering, and mathematics (STEM) majors. More than 24% of all the students in Belarus are trained in STEM majors, whereas in Russia—23.5%. The proportion of students majoring in STEM is significantly lower in Kyrgyzstan and Kazakhstan (15%). The proportion of university graduates with STEM majors in Russia and Belarus is in line with the all-European structure. However, in Kyrgyzstan, the proportion of youth with a higher education accounts only for 14.5%, and training young females in STEM majors requires special care of the government and financial support.

Special attention to the results of training is a consequence of the changing role of information in the society and enhancing information transparency, in the context of which the accountability to the society in the broad sense of the word is becoming just as important as observing the legal and regulatory norms.

The World Bank surveys in Belarus [15] show that business as a consumer is not satisfied with the quality of training specialists: 22% of the respondents have pointed out that the specialists' competencies are not sufficient for business growth. This problem is specific not only for the EAEU countries. The surveys show that developed countries have similar problems: 20–30% of employees mark incompatibility of their education with the required skills ([16], p. 54).

The EAEU countries over the recent years have been striving to enter into international projects for assessing the quality of education. Russia, the only one among the EAEU countries, participated in the implementation of the Assessment of Higher Education Learning Outcomes (AHELO) in 2012. The attention of the Russian educational community to AHELO and other alternative international tools for assessing the quality of education is also due to the fact that the positions of Russian universities in international ratings are still weak, and given the lack of alternatives to international ratings, they have to either be part of them or develop their own ratings. The experience of the AHELO project in Russia, which included a wide variety of universities, both leading universities (federal, national research) and nonuniversity institutions, showed that a strong motivation for improving the quality of education, achieving international quality standards, and internationalization is demonstrated today by many Russian educational institutions. Participation in international projects such as AHELO could be a good alternative for many universities to benchmark the level of curriculum development (benchmarking), to self-assess and adjust their development strategies, as well as to confirm their international competitiveness in general and in certain areas of training.

Kazakhstan and Russia have experience of participating in Program for International Student Assessment (PISA) projects—for 15-year-old school students' assessment of the quality of education. The study does not cover the level of mastering the school curriculum but the ability of adolescents to apply the knowledge gained in their lives. Orientation at the transfer of a large body of knowledge does not form an independent thinking. It is PISA that makes it possible to understand which country will be more competitive in the future due to the potential of the younger generation. Russia—in the PISA assessments of the quality of education—is at the level of OECD countries, whereas in Kazakhstan the results of 15-year-old students are much lower than the average in OECD countries and lower than in most countries participating in the PISA program ([17], p. 82). The other EAEU countries have not yet participated in this international project, which is due to a lack of financial resources.

In 2017–2018 a number of Belarusian universities took part in the European Fostering Competencies Development in Belarusian Higher Education (FOSTERC) project aimed at strengthening the use of innovative principles and approaches to teaching and learning in Belarusian higher education institutions to improve the

results of graduates' education based on competencies. Within the framework of the project, there were seminars and 3 large questionnaires, in which over 5000 graduates of Belarusian universities, over 3000 instructors, and 260 employers participated. The results of the survey were analyzed. The analysis showed that there are noticeable discrepancies between the requirements of the labor market and the competencies provided by universities. The abilities to negotiate, diagnose problems, and adapt to changes are the most problematic. Curricula provide low skills and knowledge for being involved in entrepreneurship [18]. The results of the research still require profound study and transformation of knowledge into new pedagogical methods and curricula as well as improvement of management and financing.

Kazakhstan has a very interesting initiative of the state in the field of internationalization of higher education, the "Bolashak" program, which has been operating since 1993. The "Bolashak" scholarship is designed to train future leaders in the field of economy, state politics, science, technology, medicine, and other key areas. About 10,000 people received government scholarships for the "Bolashak" program. They have been trained in the leading universities in 23 countries, including Canada, the United Kingdom, and the United States. In 2014, a total of 1297 young people aged 18–28 years became recipients of the "Bolashak" scholarship [14]. Upon the completion of their study abroad, scholarship recipients are obliged to work in Kazakhstan within their majors for 5 years. Priorities of the "Bolashak" scholarship program are currently aimed at supporting and developing graduates in certain subject areas that will contribute to solving the tasks of the state program of industrial and innovative development of Kazakhstan. However, this initiative of Kazakhstan has not found support in the other EAEU countries. In part, only the initiative of Russia's "global education" coincides with it. "Global education" is being implemented in Russia in accordance with the presidential decree of December 28, 2013, "on measures to strengthen the human resources capacity of the Russian Federation." Any citizen of Russia who independently entered a university included in the list of the leading foreign universities, for the purpose of training in one of the priority majors for the country, can apply for payment by the state of his/her studies. In exchange, such citizens must work within their majors for 3 years in Russia. The grant awarded to participants covers both education expenses and part of the related costs—flights, accommodation, etc. The list of universities where the program participants can be trained includes 225 leading universities from 27 countries. Training participants can take place by 32 majors being a priority for the country [19].

Thus, the EAEU countries face the global problems of the formation of a new educational policy that takes into account the dynamics of modern development and requirements to the growth of the quality of education. The growing complexity of the sociocultural educational environment related to the dynamic development of science and technology strengthens the need for pedagogical cadres capable of solving the tasks of modernization at all levels of education. There is a need to develop a unified strategy for the integration of the EAEU countries aimed at increasing the international competitiveness of educational organizations and the education system as a whole.

3. Specifics of financing education in EAEU countries

The quality of education is largely determined by the financing possibilities. Public spending on education in the EAEU countries considerably varies (see **Table 2**). Over the recent years, with respect to GDP, expenditures on education in

Indicators	Armenia	Belarus	Kazakhstan	Kyrgyzstan	Russia
Government expenditures on education (% GDP)	2.4	4.9	3.3	6.0	3.8
Expected years of schooling (year)	11.2	15.4	15.0	13.0	15.0
Tertiary education enrollment index (% of population of respective age)	44.3	94.3	48.5	45.9	78.7

Source: Calculated according to Ref. [20].

Table 2.
Education indicators in EAEU countries (2015).

Country	State expenditures on tertiary education in percent to GDP		State expenditures on tertiary education in percent to total amount of state expenditures on education	
	2008	2013	2008	2013
Belarus	0.91	0.93	20.07	17.58
Russia	0.95	—	23.11	—
Kazakhstan	0.36	0.4	13.9	13.13
Armenia	0.36	0.2	11.29	8.72
Kyrgyzstan	0.97	0.89	16.44	12.03

Source: Compiled according to Ref. [10].

Table 3.
Expenditures on tertiary education in EAEU countries.

Russia and Belarus have declined; they have increased in Kyrgyzstan and remain low in Kazakhstan and Armenia.

Expected duration of study is the indicator of education statistics, which is taken into account in the calculation of the Human Development Index. Regarding this indicator, the EAEU countries also have significant differences. While Belarus, Russia, and Kazakhstan—with regard to this indicator—have almost approached the developed countries (France, 16.3; Germany, 17; UK, 17.9), Armenia and Kyrgyzstan are significantly behind, which affects the reduction of the rank of the countries in the Human Development Index (see **Table 1**). The EAEU countries have different indicators of the young people coverage with tertiary education (“International Standard Classification of Education”—ISCED 5–6). The highest indicators are in Belarus and Russia (94.3 and 78.7); they are lower in Kazakhstan, Kyrgyzstan, and Armenia (48.5, 45.9, and 44.3, respectively).

One of the features of financing education in the EAEU countries is a low proportion of costs for higher education. For example, in Belarus, with a high proportion of students enrolled in the third stage of education, the share of costs for third-level education in the budget for education is low and keeps declining: in 2008 it was 20%; in 2013, 17.5% of the total funds are allocated for education; and in the other EAEU countries, it is even lower (see **Table 3**). The main part of the expenditures on education is used at the level of secondary education. In developed countries, the share of spending on tertiary education in the structure of the costs of education is much higher: in 2013 it amounted to 26.1% in the United States, 36.6% in Canada, 29.9% in Norway, and 28% in Germany ([10], p. 759).

If we consider expenditures on tertiary education with regard to GDP, within the EAEU countries, these costs significantly vary, from 0.2% of GDP in Armenia to

0.9 GDP in Russia and Belarus (see **Table 3**), and they do not have a tendency to grow. Part of the reason is the smaller enrollment of students at the higher level of education, but the share of funds spent on the education of the third stage in Belarus in Russia, where the student body is much larger, requires an increase. In the rest of the world, the situation is different. Education expenditures have a steady upward trend regarding GDP, with spending on the third stage of education regarding GDP in developed countries being much higher than in the EAEU countries. For example, in 2015 in South Korea, these expenditures made 1.8%; in EU (22), 1.3%; and in OECD, 1.5% of GDP.

Comparison of training costs per one student on tertiary education (% of GDP per capita according to PPP) shows that in 2013, according to UNESCO, those costs in Russia were 14% and in Belarus, 15% of GDP per capita (for comparison: in Finland, 36%, and in France, 35% of GDP per capita). An alarming tendency to reduce the relative costs of training a third-stage student in Belarus should be noted: in 2004, according to UNESCO, these costs accounted for 27.6% of GDP per capita, whereas in 2013 they made only 15%, i.e., over the last decade, they have almost halved with regard to GDP per capita. Today, in absolute terms, the training cost per one student in Belarus is USD 2763 with regard to purchasing power parity (PPP) (this indicator in the CIS area is lower only in Moldova), and in Russia it is USD 3900, with the average European level being USD 13,000.

Low costs for higher education lead to negative consequences. Stable underfunding of education reduces its quality and stimulates the outflow of students to study in other countries. According to UNESCO statistics (*Global Education Digest 2012*), for example, 28.8 thousand students from Belarus were studying abroad; in 2014 there were 35 thousand of them. The largest number of students who chose education abroad from the EAEU countries is in Belarus, 6.39% of the total; in Kazakhstan, 6.25%; and in Armenia, 5.67%. Students from Russia who chose foreign education make up a relatively small amount, 0.67%, the most attractive for them being Germany (17%), the Czech Republic (9.4%), and the United States (9.2%).

The problem of lack of funds creates another problem: Belarusian universities have limited access to the world-renowned scientific journals. In Russia and the other countries, this problem is solved through the organization of consortia and purchase of access to databases of the journals using budgetary funds. In Belarus this task has not been solved yet due to lack of funds. This is largely due to their high price—it is about several tens of thousands of dollars each year. In Kazakhstan there is an inefficient distribution of funds between universities. Thus, “Nazarbayev University” accounts for a significant portion of the total public expenditure [17], which limits funding for the rest of the education system.

Insufficient financing of education at the level of higher and secondary special education is fraught with a decline in its quality and a weak prospect of attracting promising young people to study in the country. According to the indicator characterizing the share of Belarusian students studying abroad, Belarus ranked 20th in the *Global Innovation Index 2013*, and with regard to the share of foreign students in the country, Belarus ranks 61st. International students in Belarus make up 4.8% of the total student contingent (2016–2017 academic year), and in Kazakhstan (2014) they accounted for 2.1%.

Russia remains attractive for foreign students of the countries of the former Soviet Union. For instance, in 2014 35,000 citizens of Kazakhstan out of 48,800 studying abroad were trained in Russia. Of 5800 students of Kyrgyzstan studying abroad, 3200 study in Russia. Two thousand six hundred Armenian students also study in Russia. The predominance of the Russian Federation for students from the countries of the post-Soviet area can be explained by a number of factors. They

include geographical proximity, language compatibility, the number of scholarships provided by the Russian Federation to students in the countries of the former USSR (in particular, for students from regions bordering on the Russian Federation), and the similarities between education systems.

So far, within the framework of the EAEU countries, the most active cooperation in the sphere of education is between Russia and Belarus. Interaction between Belarus and Russia is carried out at the intergovernmental, interdepartmental, interregional, and interuniversity levels. Regular joint meetings of the collegiums of the Ministries of Education of the Russian Federation and the Republic of Belarus are held. More than 550 agreements on cooperation have been signed between universities and scientific organizations of Russia and Belarus. Such relations are determined by the existence of the Union State “Russia-Belarus”; however, such relations do not apply to the other EAEU countries.

It should be noted that the lack of unified statistical approaches and indicators of the assessment of education for the EAEU countries hinders a comparative analysis and does not allow the development of the unified approaches to the educational policies of the integration association’s countries.

4. Financing science and assessment of its effectiveness in EAEU countries

An important role in innovative development is played by investment in research. The main source of investment in science in developed countries is the expenditures of the business sector (up to 70%). In the EAEU countries, the main source of investment in science is the budget expenditures undertaken to support the real sector of the economy. Despite the fact that the main sector of costs for science is entrepreneurial (see **Table 4**), funding from this source in the EAEU countries in 2013 was small: in Kazakhstan it accounted for 28.9%; in Russia, 28.1%; and in Belarus, 43% of the total costs of research ([10], p. 753).

For the development of education and the growth of its quality, investments in science in the higher education sector are important. In developed countries, it is the higher education sector that carries out fundamental research, which is then implemented in applied scientific research and development. The increase in the costs of scientific research in higher education institutions also affects the quality of higher education. In Belarus, the proportion of expenditures on science in the

Country	R&D Expenditures (% GDP)		R&D expenditures in 2013 by sectors of performance (%)			
	2008	2014	Entrepreneurial sector	State sector	Universities	Non-for-profit sector
Belarus	0.74	0.52	65.32	23.82	10.84	0.02
Russia	1.04	1.19	60.6	30.26	9.01	0.13
Kazakhstan	0.22	0.16	29.43	29.68	30.69	10.2
Armenia	0.22	0.24	—	88.63	11.37	—
Kyrgyzstan	0.19	—	23.36	65.18	11.46	—

Source: Compiled according to data [10, 21].

Table 4.
Distribution of expenditures on scientific research by sectors of EAEU countries.

higher education sector is significantly lower than in developed countries, and it keeps declining (e.g., in 2005 it was 17%; in 2016, 9.6% of the domestic expenditures on research) [21]. As the analysis shows (**Table 4**), the financing of this sector in all the EAEU countries is small—it is at the level of 10% of all the expenditures on science. Significant changes have taken place in Kazakhstan, where reforms in the structure of higher education and science resulted in growth of financing this sector to 30% of the total expenditures on research (in 2009 it was only 15%).

It should be noted that over the recent years, there has been no positive change in the growth of the GDP science intensity in the EAEU countries. Data analysis (see **Table 4**) shows that only in Russia the level of the GDP R&D intensity exceeded by 1%. The planned tasks set by the State Program of Innovative Development of Belarus for 2011–2015 regarding the growth of this indicator (2.5% of GDP) have not been fulfilled. In 2015–2016 this indicator accounted for just 0.52% of GDP. The most disturbing, from the standpoint of conformity to the world trends, is the indicator that characterizes expenditures on R&D per one researcher. Our calculations for Belarus show that from 2007 to 2015, they rose from 35 to 45 thousand dollars, but this is almost 4 times less than the average in the countries with an income level above the average and corresponds to the underdeveloped countries of Africa. In Russia, this indicator in 2013, according to UNESCO, accounted for 56.6 thousand dollars, which is higher than in 2007 (47.4 thousand dollars), but it is clearly not enough to preserve promising scientific cadres, because in developed countries this figure is 205 thousand dollars [10].

In Kazakhstan, according to the state program of industrial and innovative development of the Republic of Kazakhstan, the task is to increase the GDP science intensity to 2% of GDP by 2020; however, this indicator in 2015 did not exceed by 0.17% of GDP. Russia has approved the “Strategy for Scientific and Technological Development of the Russian Federation.” The regulatory framework for the launch of the “National Technology Initiative” was provided, which is a key tool for the transition of research results to products and services that contribute to the leadership of Russian companies in promising markets. At the same time, the level of science intensity of Russia’s GDP lags behind that of the developed countries (2.5–3% of GDP), and researchers note a discrepancy between the resources and the results of scientific-technological and innovation activities [22].

Thus, the current state of financing science in the EAEU countries does not correspond to the world trends in the growth of research and development costs. In the world, according to UNESCO, the R&D intensity accounts for 1.7% of GDP, and despite the crisis symptoms in the economy, investments in research and development (R&D) significantly increased: in the period from 2007 to 2013—by 31%. This exceeds the growth of the world GDP for the same period (20%).

Insufficient funding of science and the lack of positive dynamics reduce the interest of young people in a scientific career and result in a reduction in the number of science personnel (see **Table 5**). The analysis shows that in Russia, Belarus, and Armenia, there has been a decline in the number of science personnel, but in Kazakhstan and Kyrgyzstan, despite the continuing low funding for science, the number of scholars has increased. A probable cause of such dynamics is the change of incentives to engage in scientific activities. This trend requires additional research.

Russia has the most powerful potential in terms of the number of science personnel; the reduction in the number of researchers has been gradually overcome. Belarus lost 27% of the science cadres in the period of 2000–2016, the decline being steady and stable. As a result, in Belarus the number of researchers per 1000 employed in 2001–2013 decreased from 7.3 to 6.3 persons. At the same time, almost in all the European countries over the period of 2001–2011, the number of

	2000	2005	2010	2011	2012	2013	2014
Armenia	7.3	6.9	6.6	5.7	5.6	5.2	5.6
Belarus ¹	32.9	30.2	31.7	31.2	30.4	28.9	27.2
Kazakhstan	14.8	18.9	17.0	18.0	20.4	23.7	25.8
Kyrgyzstan	2.9	3.4	3.1	3.3	3.3	4.2	4.2
Russia	887.7	813.2	736.5	735.3	726.3	727.0	732.3

Source: Compiled according to Ref. [20].

¹In 2016—25.9.

Table 5.
 Amount of personnel involved in R&D by EAEU countries (thousand people).

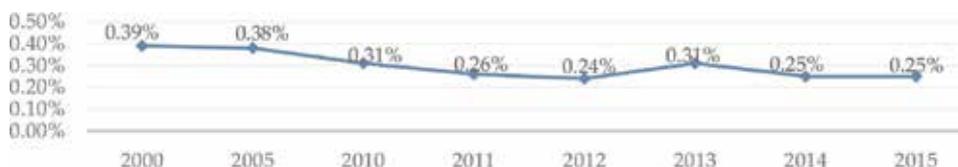


Figure 1.
 Financing science from the national budget of Belarus in 2000–2015, % of GDP. Source: Compiled according to Ref. [21].

personnel in science grew. On average, in the EU the proportion of researchers per 1000 employed in 2011 was 11.1 persons, and in the northern EU countries—more than 20 persons.

The main reason for the reduction in the number of researchers in Belarus is a reduction of financing scientific research from the budget (see **Figure 1**). Over the years 2005–2015, the investment in fundamental science decreased from 20.5 to 15.3%, and this might cause a lag in the development of new promising areas of research.

In international practice, the effectiveness of research is assessed through patenting in five of the world’s leading patent offices—the United States, Japan, EU, South Korea, and China. What concerns international applications for inventions under the Patent Cooperation Treaty (PCT) procedure is that Russia leads the EAEU countries, which is substantiated by its potential: the number of applications has increased from 658 in 2005 to 949 in 2014. In Belarus there are very few such applications: in 2012, 12, and, in 2014, 13. For comparison, in 2014 researchers from the Netherlands and Sweden made 4206 and 3913 applications, respectively [23]. Therefore, entering in the world patent market is still a weak link in the EAEU countries and requires additional incentives.

Another aspect of assessing the cost-effectiveness of research is international publications. The total amount of scientific-technological products indexed in the bibliometric database of SCOPUS was increasing in the period of 2003–2012 almost by 8% per year. In the United States, the total number of publications over this period grew by 50%, in China—almost 4 times, which is the result of increased funding for science. High citation index indicates the appropriate “quality” of scientific products. According to the UNESCO report data, Russia, Belarus, and Armenia have quite a good scientific publication rating (i.e., their potential was preserved); however, there was no noticeable growth over the period of 2005–2014. A positive dynamics of the scientific publication rating is in place in Kazakhstan, which indicates the motivation of researchers for publication in top-rated scientific journals (see **Table 6**). The EAEU countries should improve cooperation and exchange of experience in new areas of work.

Country	Amount of publications										Amount of publications per 1 million residents		
	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2014	2008	2014
Belarus	978	945	914	1033	998	964	1067	1133	1046	1077		108	116
Russia	24,694	24,068	25,606	27,418	27,861	26,869	28,285	26,183	28,649	29,099		191	204
Kazakhstan	200	210	255	221	269	247	276	330	499	600		14	36
Armenia	381	404	418	560	497	574	670	775	705	691		188	232
Kyrgyzstan	46	47	51	54	51	57	65	67	95	82		10	15

Source: *Compilations according to Ref. [10].*

Table 6.
Scholarly publications by EAEU countries.

On average in the world, the indicator of the number of publications per 1 million inhabitants over the period of 2008–2014 increased from 158 to 176, whereas in the European Union—from 542 to 609. Thus, the EAEU countries still lag far behind the advanced countries. It is established that the growth of publication activity is directly related to the amount of science financing. For example, in China in 2014, the funding per one researcher was USD 195.4 thousand, which affected the scale of publications: its share in the world scientific publications accounted for 20% [10].

As a matter of fact, the scale of international cooperation is also important. What concerns publications abroad is that scientists of the EAEU countries mainly publish their works in co-authorship (see **Table 7**).

On the one hand, international co-authorship testifies to the existence of international relations and the implementation of joint scientific projects, which enriches scientific research and promotes the exchange of research experience. On the other hand, a high share of joint publications indicates the weakness of the country's scientific potential, which makes it difficult for individual publications to be printed in foreign journals.

The most active cooperation of Belarus is observed with Russia (2059 publications over the period analyzed), Germany (1419), Poland (1204), the United States (1064), and France (985). The data of **Table 7** show that among Belarusian and Kyrgyz scientists, the percentage of citing in 10% of the most cited publications is higher than that of Russia and Kazakhstan. Armenia stands out from the EAEU countries by the level of citation and its quality (9.2% among the most cited scientific publications), with the main publications being on physics (of the 691 published works in 2014, 406 were in the field of physics-related sciences). But in comparison with the developed countries, where the level of citation is 15–18%, the EAEU countries look quite modest.

Russia, according to 2014 data, leads in publications in physical (7941), chemical (5159), biological (2440), and technical (2755) sciences. A significant contribution to the publication activity of Russian scientists is made by academia (university science): in 2015, with the participation of faculty members and university researchers, 29,628 works were published in scientific journals indexed in the Web of Science, which accounts for two-thirds of the all-Russian flow of publications. In addition, the higher education sector also significantly stands out in terms of the effectiveness of inventive activity: there are 14 patent applications for inventions per 100 researchers employed there, which is 4 times higher than the average level calculated for the whole scientific-technological complex of Russia [24].

Country	2008–2014		2008–2012	
	Total	With international co-authors, abs. (%)	Citations on average (%)	Among 10% of mostly cited (%)
Belarus	7318	4274 (58.4)	0.79	6.6
Russia	194,364	64,190 (33)	0.52	3.8
Kazakhstan	2442	1496 (61.3)	0.51	4.5
Armenia	4472	2688 (60.1)	1.03	9.2
Kyrgyzstan	471	373 (79.2)	0.67	6.2

Source: Thomson Reuters' Web of Science, Science Citation Index Expanded, data treatment by Science-Metrix.

Table 7.
Scholarly publication in international cooperation (2008–2014).

Belarus has also retained its strongest potential in the natural and technical sciences. For example, in 2014, according to UNESCO data, Belarusian scientists published 442 works in the international editions on physics; 143, on chemistry; 105, on engineering sciences; 70, on biology; 43, on mathematics; and 46, on medicine. The reputation of scientists is high, but the professional attractiveness of scientific activity in Belarus remains low, which weakens the inflow of young people into this industry and creates threats to the innovative development of the country. Thus, the number of doctoral and postdoctoral students graduating (ISCED—7, 8) per 1000 population aged 25–34 in 2016 was 0.6 (decreased in comparison with 2012–2014, which was 0.8), and it lags behind the EU—28 (1.8) on average 2.5 times [25]. In Russia, the proportion of young researchers per 1000 persons is 1.4., i.e., twice as high.

Another problem of modern science is the aging of cadres. Over the past 10 years, the proportion of researchers aged 30–39 in Belarus has halved (from 30 to 15%), and that of researchers aged 60 plus grew more than sixfold. Russian science has similar problems, and, despite the fact that in Russia since 2004 the number of researchers below 39 years old grew by 30%, Russia remains a donor of human capital for the world science [26].

A weak connection between the education, science, and production of the EAEU countries is manifested in the low level of innovative activities of enterprises, which is 8–9% for Russia and Kazakhstan, and in Belarus it decreased from 23% in 2011 to 19% in 2015, whereas the EU countries retain innovative activity of business at the level of 50%. Innovations in the EAEU countries are mostly in place at large, economically sound organizations with sufficient financial, human, and intellectual resources. In Russia, 46.3% of enterprises that implemented technological innovations in industrial production have more than 500 employees. The level of innovation activity grows in proportion to the size of firms: from 1.4% (in companies with up to 49 employees) and 4.4% (50–99 people) to 76% (5000–9999 people) and 87.2% (more than 10,000 people) [21]. In Belarus the situation is similar. Small- and medium-sized enterprises have a much lower level of innovative activity: in 2016 only 3.4% of small and medium enterprises allocated funds for innovation.

5. Modern education challenges for the EAEC countries

The accomplished level of education and the growing social demand for learning provide a number of advantages to the EAEU countries. According to the Global Human Capital 2017 report published by the World Economic Forum in September 2017 [27], the EAEU countries occupy high positions with regard to capacity measured as a level of formal education of younger and older generations as a result of past education investment (Russian ranks 4th; Kazakhstan, 2nd; Armenia, 3rd; and Kyrgyzstan, 1st out of 130 countries of the world). As a result, EAEU countries see the activeness of population in the sphere of applying innovations and a high per capita level of cultural consumption and technological innovation consumption. For instance, in Russia the involvement in creating user innovation in 2017 accounted for 9.6% of the respondents, which is higher than in the UK (6.1%) and in Finland (5.4%) [28, 29].

What should be pointed out is the weaknesses of the real impact of the formally high level of population's education in the EAEU countries on the economic growth and its sustainability. With regard to the indicator which characterizes “breadth and depth of specialized skills use at work,” Russia ranks 42nd among 130 countries; Kazakhstan, 64th; Armenia, 47th; and Kyrgyzstan 70th [27]. In particular, the research of FOSTERC project for Belarusian universities (financed by the EU

“Erasmus+” program) showed that, despite the high level of developing relevant skills and putting skills to effective use, there is a significant gap between the competences of specialists with a university degree and employers’ requirements. The biggest gap is with regard to the “ability to make decisions in the context of uncertainty” and “ability to effectively regulate time, i.e., time management” [18]. There is also a lack of soft skills and transferable skills that ensure skills of business communication, doing business, understanding risks, networking management, and working in a team.

The global economy and the development of an entrepreneurial society pose new challenges for universities. Leading universities are formed as third-generation universities. In addition to the educational and scientific mission, they develop an “entrepreneurial mission.” In developed countries, a common concept is the concept of an entrepreneurial university [30]. In the Russian and Belarusian university community, a concept of “University 3.0” aimed at improving the activities of the higher education institutions has been formed. However, oftentimes the focus is made only on entrepreneurship training and the commercialization of intellectual property, without making changes in the management structure and modernization of the motivation system and reduction of bureaucracy. Universities are meant to develop pragmatism and the ability to respond to sociocultural problems without neglecting traditional values and fundamental research related to them.

The analysis shows that despite the political goals of building a knowledge-based economy, the EAEU countries have not increased their research intensity of GDP in recent years. R&D and technology policies should recognize that a dense network of interactions and linkages—between enterprises and knowledge sources, on the one hand, and between enterprises and customers, on the other hand—are critical aspects of the innovation development process. In the context of these considerations, the governments of the countries should adopt a more nuanced approach to evaluation, with less reliance on quantitative indicators and greater appreciation of evaluation as a tool for learning as much as a tool for accountability. The quality of framework conditions is essential for achieving strong innovation performance. The framework conditions include macroeconomic stability, many aspects of the regulatory regime and the tax system, competitive markets, openness to international trade and foreign direct investment, as well as modern education policy that fulfills its function to provide incentives for innovators while not unduly impeding the diffusion of ideas. The future development of technical operations in the promising areas requires political decisions to revise national legislation.

6. Conclusion

The Eurasian Economic Union project is seen as a response to an objective challenge to the geopolitical and geo-economic transformations of the twenty-first century, when new centers of power are being formed in the Eurasian area, and therefore, there is an objective need for consolidation of the states of the post-Soviet area to preserve their integrity. Intensive integration processes and increasing flexibility/mobility of personnel, information, technologies, and network interactions open up new opportunities for the development of individual countries and integration associations. The increasing complexity and ambiguity of these processes are becoming a serious obstacle to the long-term perspectives of interstate alliances.

Increasing the role of financing education and science for the internationalization and globalization of research and innovative activities is obvious but difficult to implement at the country level. So far, the integration processes in the EAEU are mainly focused on economic activities and cross-border movement of goods and

services and do not address the issues of joint educational, scientific, and innovative policies. This is partly due to the fact that the scale of global changes is not yet fully understood by most of the political elites of Eurasia countries. Support of intellectual potential in the EAEU countries' integration policies is becoming an increasingly urgent task for the formation of a new level of integration and ensuring development prospects. The EAEU should find its place in global changes, not only as an interstate institution but also as a community based on common cultural traditions and social needs.

The analysis shows that science and education retain their importance in solving all the pressing problems, which requires increasing financing and increasing the prestige of scientific activity. So far, the EAEU countries are lagging behind the neighboring countries on the most important indicators characterizing the role of this sphere in the society. The countries' governments do not actively invest in applied and fundamental research in order to turn discoveries into commercially viable and sustainable products or technologies with potentially beneficial socio-economic consequences. Effective coordination and interaction between authorities (representing different areas of activity of the EAEU member countries) regarding innovations are weak, and the solutions needed for the development of this sphere are blocked due to adherence to stereotypes and traditional approaches. It is important to transfer expert ideas into administrative logic and to drafts of specific solutions. In solving the tasks of innovative development, the EAEU members are called:

- To form a policy based on facts (evidence-based policy), which involves the use of modern indicators for assessing the effectiveness of policy and the harmonization of education statistics, science, and innovations with the world practice
- To take into account the world development trends and support fundamental science, especially in the higher education sector and increase funding for the third stage of education
- To develop a joint strategy for the development of education, science, and innovations of the EAEU countries for the period until 2020 based on the common concept of the educational and scientific-technological area
- To create a program of academic mobility in the Eurasian area
- To share experience more widely in complex issues of innovative development of countries within the framework of joint international seminars and conferences

The problem of the gap in knowledge and skills can be solved in the sphere of education. This is a multifaceted problem that affects not only higher education and but also the education system of the EAES countries as a whole.

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The Power of Narrative: A Practical Guide to Creating Decolonial, Community-Based Projects

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Abstract

Focusing on the potential for narrative-driven, community-based projects to foster intergenerational connections and mobilize communities on behalf of social justice, this chapter aims to serve as a guide for practitioners. The guidance offered here was developed over two decades of work on oral history and narrative-based projects in a range of national and community contexts that include South Africa and the Americas. Beginning with a short overview of core concepts in narrative and decolonial theory and method, readers are taken through a series of seven questions designed to help them establish a practical, ethical framework for designing, launching, and maintaining narrative based projects of their own. The chapter concludes with a reflection on self-care for practitioners, a too often neglected component of academic or professional fieldwork.

Keywords: oral history, decolonial methods, preservation, ethics, seven questions

1. Introduction

“Tell me again about when I was born,” my daughter entreats as she climbs into my lap. And so, I begin the story of her birth, mindful that how I construct this narrative has the power to shape not only how she thinks of herself but how she understands our relationship to each other, to friends and family who play roles within the story, and perhaps even to how she will ultimately think about childbirth, mothering, and stories she chooses to tell children of her own. This is, in microcosm, the power of narrative. It is a tool that is not only central to shaping personal and communal identities but one that can also be harnessed for social change and social justice as a proliferating number of recent initiatives have shown [1–3]. Narrative is fundamentally relational. Yet for all of the current interest in narrative theory and narrative power analysis as mechanism for feminist and decolonizing research, strengthening intergenerational ties, and mobilizing communities in the name of social justice, few resources exist to guide practitioners in how these principles may be applied to launching, realizing, and maintaining community-based, narrative projects.

This chapter aims to address that need. It begins with a short overview of recent scholarship on narrative, story, and decolonial theory that is designed to foreground

considerations practitioners should take into account before launching initiatives of their own. Next, the reader is asked to consider seven basic questions by way of establishing an ethical framework for carrying out their work and identifying resources necessary to realize their project. Links to additional resources to support project development and connect with fellow practitioners are included as well. The chapter concludes with a reflection on self-care for practitioners, a too often neglected component of academic or professional fieldwork.

The guidance offered here was developed over two decades of work on oral history and narrative-based projects in a range of national and community contexts. Those sites include Cape Town and Durban in South Africa as well as numerous sites in the Caribbean and mainland United States: Puerto Rico, Florida, Illinois, Maryland, and Michigan. While some of these efforts began primarily as research endeavors, all were ultimately community-based; the strongest of these efforts began at the community level and were fundamentally decolonial by intent, focus, and method. Carried out over a long span of time, these projects also spanned a period of rapid technological transformation. In the mid-1990s, it was still almost unimaginable that recorded stories could be so easily obtained and shared around the globe, reaching individuals everywhere from high tech urban centers to rural villages without electricity or running water. Today, mobile smart phones are found just about everywhere. Where the possibility of sharing voices across generations and geographies once seemed profoundly democratic and hopeful, critical consumption and use of these technologies in an age of online trolling, cyberbullying, and persistent electronic surveillance makes careful ethical consideration of the potential impact of any narrative based work all the more important.

2. Narrative, story, and decolonial theory

No researcher or practitioner truly works alone. In this way, narrative-based projects are not only helpful for connecting generations in the present, but they also connect the practitioner to those who have used and developed these methods before them. As the practitioner, then, one inherits a wealth of knowledge. This knowledge is important for informing the careful planning that should be foregrounded as part of any initiative which involves human subjects. But it also brings with it an obligation to humbly consider the mis-steps, insights, and impacts of those who have carried out this work before us. Before any particular method can be employed responsibly, then, it is helpful to understand the larger context in which the approach evolved.

Scholarly interest in the stories that people share proliferated through the mid-twentieth century, producing a significant shift in how narrative was studied, theorized, and understood within academic, educational, and clinical circles. In many ways, these developments owe their roots to what is often referred to as the “linguistic turn.” Through the work of scholars like John Pocock, Patrick Joyce, and Quentin Skinner, historians began to question the assumption that historical interpretation was objective [4]. Emphasizing the links between philosophy and language, these scholars argued that the work of historians could not be separated from their own ideological and cultural influences. Rather than describing the past as it really happened, then, increasingly historians came to see that the past could not be separated from their textual representations.

This movement unfolded in kindred ways across other fields like psychology, linguistics, literature, and anthropology—each of which seek, through different lenses and methods—to examine how human beings make meaning from language and discourse [5]. Building upon the work of Theodore Sardin, in the 1970s,

psychologists began using narrative as a clinical tool designed to more fully examine personality, self, and culture [6, 7]. Around the same time, communications scholar Walter Fisher conceptualized what he called the “narrative paradigm.” Framed as a response to classical (Aristotelian and Platonic) understandings of humans as rational beings who understand their worlds through logical relationships, uncovered through reasoning, Fisher’s view emphasized the importance of storytelling as fundamental to human beings understanding of common sense as a basis for decision-making [8]. Within anthropology, Clifford Geertz’s work on the discursive connection between symbol and culture, the latter defined as a means of “imposing meaning on the world to make it understandable,” had broader impact across a variety of fields, too [9].

Some date the interest in narrative as an extension of research methodology even earlier. Sharpless has argued that the formal practice of oral history dates back well into the nineteenth century when California historians like Hubert Howe Bancroft began hiring assistants to “interview and create autobiographies of diverse groups of people living in the western U.S.” in order to supplement what could be gleaned from maps, manuscripts, and journals alone [10]. Federally sponsored efforts like the Works Progress Administrations extensive interviews with African-American slaves, Native Americans, and immigrants through the 1930s and 1940s provide additional examples of large-scale, systematized efforts to create national or regional histories made up of a patchwork of individual memories. Such efforts grew up alongside folklore studies and kindred efforts by anthropologists like Geertz who were working in global locations that bore the brunt of imperialism and conquest.

Work by postmodern theorist Michele Foucault infused studies of narrative with power analyses. Rather than focusing on how individuals or discreet structures wield power as instruments of coercion through specific acts or episodes, Foucault argued that power was disperse and pervasive. Using a nexus of power/knowledge he argued that accepted forms of scientific understanding, truth, and culture all exemplified a kind of “microphysics” that is primarily discursive, embodied not in individuals but within societies [11]. These understandings continue to influence scholarship today, including a burgeoning interest in narrative studies among political scientists and social movement theorists. Viewed through a theoretical lens, most traditional narrative theorists take pains to separate story from narrative. “Story” is understood as the building blocks—event(s), people, place(s). “Narrative” is how the teller assembles these pieces, putting the blocks together, giving them meaning and crafting a larger structure. Together, this distinction creates a framework that can be applied to interpret various texts—written or spoken.

These theoretical contributions proliferated through the mid-to-late twentieth century era of global freedom struggles. From the anti-colonial, sovereignty, and civil rights struggles that spanned every region of the world, many scholars and practitioners sought to change how academics understood, documented, and interpreted human experience. For historians, this included a move away from relying primarily written texts to understanding all human communication as “text.” It also resulted in an increasing push to recover “hidden” or missing voices within existing historical records.

However much these efforts were motivated by new awareness about power and privilege, most were still guided by a prevailing desire to make new discoveries, leverage new interpretations, and ultimately promote knowledge produced by the researcher or practitioner themselves. Those individuals were drawn largely from the privileged classes. Yet as feminist, anti-colonial, indigenous, queer, and kindred perspectives took greater hold across academe, by the early twenty-first century, more individuals and communities began calling for a more self-critical and disruptive approach to narrative studies.

Within the Americas, one of the most influential of these approaches has become the field of decolonial studies. Born out of indigenous, feminist, and Latin American-based movements to understand modernity in the context of critical theory and modernity studies, decolonial scholars reject the idea of “empire” as fundamentally Eurocentric in favor of focusing on colonialism as tied inextricably to postmodernity. Noting that their work links “thinking and doing,” decolonial scholars distance themselves from postcolonial work because the latter is predominantly about scholarly transformation [12–17]. By contrast, decoloniality sees itself as both a political and epistemic project, rooted in the search for “social liberation from all power organized as inequality, discrimination, exploitation, and domination” [18].

This has a profound impact in that it up-ends the hierarchical relationship between narrator and researcher or practitioner. It also complicates these binary relationships while drawing attention to ways that many discursive narratives themselves have moved the colonial project forward, erasing or rendering invisible the knowledge, experiences, and traditions of indigenous peoples, women, and communities of color. From this gaze, then, decolonial scholars like Malea Powell further reject the core tenants of narrative theory, seeking not to “apply a framework to a set of practices but to immerse oneself within a set of practices in order to make something out of them” [19]. Others, like Emma Perez, have emphasized the importance of a “decolonial imaginary” as a way of unraveling normative understandings of language, race, gender, culture, class, and sexuality [20, 21]. These decolonial approaches are being applied by a wide variety of new practitioners with the intention of linking oral history and storytelling with larger social justice-oriented projects [22].

3. The seven questions

Realizing a narrative-based project that applies feminist and decolonial practices requires beginning with careful reflection on the part of the researcher/practitioner, conducted in dialog with community partners and collaborators. I call these “The Seven Questions.” The seven questions model proposed here is a play on “the six questions” first developed by Doug Boyd, director of the Louie B. Nunn Center for Oral History at the University of Kentucky, to help oral historians and archivists assess the publication risks of an interview [23]. Grounded in western understandings of ownership and U.S. legal practice, Boyd’s list is widely used as a quick reference for practitioners to begin thinking about the larger legal and ethical implications for sharing out recorded stories, interviews, and oral histories. These seven questions, however, aim to do more. This model is rooted in a decolonial perspective—one that understands ethics as rooted in intercultural dialog among multiple people rather than framed by existing political, legal, and/or cultural boundaries and informed by current best practice guidelines for fostering collaboration between tribal and non-tribal organizations [24, 25]. As such, the questions are not limited to ownership. Instead, they focus on relationships: relationships among interviewer, narrator, and their larger communities, past and present, as well as people and the stories themselves [26]. They address a whole process, not just obligations that may or may not exist after a recording has taken place. This approach highlights the process and purpose of the narrative-based project, encourages careful reflection on the intention, positionality, and role of all participants, as well as implications of larger relationships and obligations the participants may have to each other in the present and future [27].

3.1 Question 1: where did the idea for this initiative come from?

Many traditional, western approaches to project development are rooted in ownership, or intellectual property. Roles are delineated not just to accomplish tasks but also to mitigate or assign legal and other responsibilities. Asking *where* an idea came from however, compels a fundamentally different approach. Rooted in the indigenous epistemology of a land/body/history triad, this question is intended to call out the whole network of ideas, rooted in history and communities, that contributed to the vision of the current project [28]. Equally important, this question is rooted in place. It is also rooted in bodies, a recognition that knowledge may be carried in blood memory and experience, as well as acquired through formal training mechanisms or schooling. In other words, this question is designed to highlight what indigenous researchers Cueponcaxochitl Sandoval and their co-authors have called “Ancestral Knowledge Systems” or AKS [29].

The AKS concept relies the consistent practice of critical reflexivity, including awareness of the researcher or practitioner’s own positionality. While there are a variety of dimensions to positionality, including gender and sexual identities, class, race/ethnicity, and nativity, among those that we as researchers should consider are also those of “conferred dominance,” to use Peggy McIntosh’s phrase, which includes entitlements like academic affiliations and imperial privilege, which many researchers take for granted [30]. The latter includes thinking intentionally about one’s citizenship in relation to those with whom they are working, or whose stories they may be hearing or preserving. For example, a researcher who is a U.S. citizen who may be recording stories about immigration experiences should take seriously the various protections they may have in relation to others who do not hold the benefits of citizenship. I highlight these forms of privilege here as most researchers are trained from their time in graduate school to think critically about intersectionalities like race/ethnicity, class, gender, and sexuality. Yet until recently, little recognition has been given within scholarly literature to associated privileges such as citizenship or academic affiliation [27].

A great deal has been written over the past decade about the strengths and dangers of incorporating reflexivity as key central component in community-based research and teaching. For example, as Erica Burman has argued, if carried to extremes “reflexivity threaten(s) to individualize privilege and pathologize the already oppressed for a supposed skills deficit...inciting researchers to work on ourselves and only ourselves” [31]. Nor is this reflection on privilege intended to imply that a practitioner can somehow divest themselves of bias or privilege through personal disclosure. Rather, by posing the question in a way that is both self-reflexive and designed to elicit critical examination of a nexus of relationships and positionalities, the goal is to produce awareness of structures that undergird and support the larger endeavor itself. Only by creating structures that recognize and challenge these positionalities can a project truly be leveraged toward social justice. This gaze also intended to recognize the variety of knowledge (ideas) that informed the project’s vision and goals, including past or shared experiences. Rooted in the relational, the question is designed to produce intentional, critical thinking about the variety of expertise that is represented as part of the project team, the aim and purpose of the larger initiative, as well as empowering the director to put practices in place to mitigate potential risks to various team members while maximizing benefits for the individuals and/or communities the project is intended to serve.

Here is but one example of how the AKS concept might be applied as a tool to foster stronger and more equitable project development. While teaching at a private university in Baltimore, Maryland, I worked with several community members and

colleagues to launch a community-based oral history project designed to collect memories from African American families living in one of the city's most impoverished, inner-city neighborhoods—one that was actively being razed as part of urban renewal efforts. The community activists saw engaging an inter-racial team of university researchers as a way to highlight their work to preserve their neighborhood by showing the positive aspects of community organization, institutions, and family life that were eclipsed by images of drugs and violence displayed in the media. Most residents who remained in the neighborhood were of advanced age and could not afford to move. As researchers, we saw this effort as having both historical value and social justice benefits for the neighborhood. We also saw the pedagogical benefit for undergraduate students who would be the primary interviewers. Thus, one could say that the initiative began at the suggestion of neighborhood activists who appreciated the value of sharing and collecting stories—and that together we appreciated the opportunity to create mutually beneficial intergenerational connections between our students and the older community members. In a much deeper way, the effort drew upon traditional storytelling methods passed down through African American families that also included music and singing. At the same time, technological and methodological expertise and resources brought by university researchers lent legitimacy to the effort as well as enabling archival preservation quality recordings and access to publication venues not available to community members working alone.

While this effort took seriously the project of self-reflexivity and acknowledgement of privilege, several conferred privileges were taken for granted by researchers. One was having a driver's license. Community partners, and interviewees, supported the idea of having their stories preserved in the university's archives. The university also saw the donation of the staff time and archival space necessary to preserve, maintain, and make these materials accessible into perpetuity as being donated in service to the community who wanted the materials preserved but not made available online. But what researchers and archivists took for granted was that access to the university library was limited to those who could provide a driver's license or other state-issued photo identification. As we soon learned, this not something many of those interviewed either had or were willing to temporarily at the library's security desk, as required by institutional policy. Once this barrier was discovered, however, it was difficult to correct. Had the AKS concept been applied as we first addressed whose idea the project was from the outset, we may have avoided these limitations or at least have been able to exercise transparency with participants about these limitations from the outset.

3.2 Question 2: who is the primary audience?

In order to understand who a project is intended to serve, it is important to think intentionally about audience. Who will be served by this endeavor? And who does this project intend to reach? Recognizing from the outset not only who is speaking but who they are speaking to is fundamental to creating a project that will successfully reach its intended audience(s). These questions may also determine the form the project will ultimately take.

Here, too, a consideration of decolonial principles is helpful. Sociologist Aníbal Quijano describes coloniality as a “matrix of power that produces racial and gender hierarchies on the global and local level, functioning alongside capital to maintain a modern regime of exploitation and domination” [18]. Decolonial narratives are not offered in opposition to colonial grand narratives. Rather, the intent is to elevate narratives that originate in knowledge forms from what might be called the Global South, philosophical, intellectual, and artistic approaches are that often suppressed,

erased, or dismissed by imperial structures. Endeavors designed to foster inter-generational connections through narrative should consider carefully just who the intended audience of the particular effort may be, both in an immediate sense (such as the point of recording) as well as once materials have been disseminated and/or preserved—if indeed they will be published or archived.

Identifying early on who the primary audience for the initiative may also address issues of language. Decolonial perspectives highlight the extent to which English as a dominant form of communication is a form of cultural imperialism. Meaning is also best communicated through one's mother tongue, with the dual benefit that stories recorded this way preserve all manner of sounds, rhythms, and cadence that are too often lost in translation. At the same time, however valuable the recording of multilingual materials may be, they also may be of limited utility to the primary audience envisioned for a work is not able to understand the language spoken. Translation in the form of transcripts may provide one way to mitigate these challenges. While imperfect, translation may open up pathways to new audiences, too.

Digital access is another potential consideration and is also rife with challenges. As historian Mary Dillard asks, "What are the potential challenges, for example, of an oral history project where communities document their experiences of displacement, but the government that moved them is still in power? In addition, to what extent does speaking to a researcher make her or him immediately vulnerable to retaliation—either from community members or government officials? How does the type of recording device being used (audio, video) and the possibility of widespread dissemination of a person's history change what an individual shares or how they share that information?" [32]. All of these are the type of considerations a practitioner should take into account before launching a narrative-based project.

3.3 Question 3: what is the primary purpose of this initiative?

Examining the primary purpose of any project is related to audience. Together with Question 2, examining the core reason for taking on this is critical to framing how the project will be carried out and what its ultimate goals may be. It may also help to mitigate risks, more wisely allocate resources, and be realistic about outcomes.

For example, between 2013 and 2016, I directed a series of narrative-based, community projects intended to strengthen ethnic relations in a small, midwestern city. Initiated at the suggestion of city's community relations office and supported by a public library system, the project invited members of the city's Latinx and Asian communities to record short interviews or memories as well as having professional portraits taken of themselves alone or with friends and family. Recording and photography sessions were held in a variety of settings, including local churches, schools, employers, and the public library. The recordings were then archived through the local public library. Excerpts from the interviews were translated into English and posted bilingually on poster-sized boards along with the portraits of the narrators. At the end of each year of the project, participants and community stakeholders were invited to attend an exhibition reception where all of the posters were displayed under variations of the title, "My Community." Copies of the printed posters as well as digital copies of the professional photographs were also given as a thank you gift to each participant. In this way the project met its core purpose: bringing together diverse community members to connect with each other around shared interests and a shared community home. A secondary benefit of the effort was also that it conveyed a message of support for immigrant communities of color by key public institutions, including city hall and the public library system.

Because the interviews were short, they were of lesser value from a research standpoint than longer interviews. But the interviews also were much lower stakes

for participants, a significant number of whom were either not U.S. citizens or were otherwise vulnerable because of immigration or citizenship status. The short length of interviews also took less time and was less intimidating to narrators than full-length, more formal sessions. This encouraged participation and, in some cases, opened the door to more opportunities for collaboration, sharing, and the building of deeper relationships through use of public resources or individual collaborations.

Clearly identifying the primary purpose of an initiative early on may also affect the pace at which a project proceeds. This is often critical piece where grant funding or institutional expectations are involved as those efforts are most likely to have specific quantifiable targets (i.e. x hours of interviews by a specific date) embedded within them. In these cases, institutional priorities or needs may not be compatible with community needs or the primary goal of an initiative. Being clear at the outset helps to foster transparency among project partners and shared decision-making when tensions arise.

One of the best illustrations of this may be an urban Native American oral history project we launched in Michigan as a collaboration among university researchers, several local tribes, and community-based organizations. The advanced age or fragile health of many individuals who were identified as potential narrators was a compelling reason why both community partners and university researchers initially wanted to conduct as many interviews as possible in the first year of the project. Partners agreed at that outset, however, that the primary goal of the effort was to build trust among Native and non-Native participants through these shared stories. As a result, when methodological concerns arose, partners agreed to slow the pace of the project and opted to spend much of the first year focusing on not interviewing but on creating a shared set of bylaws and processes to ensure Native control over primary decisions within the project [33]. This shift in focus was essential to supporting the project's primary goal while also keeping the partnership together and moving the project forward. But it would not have been possible to make this shift if there had not been transparency among the partners and clear goal-setting at the outset. By prioritizing in this way, it also meant that partners turned down funding or promotional opportunities that would have wedded them to collecting a set number of interviews over a set period of time in favor of supporting the ongoing development of mutually beneficial relationships among partners. Again, because of the clear goal-setting, partners were able to support each other through this sometimes difficult decision-making.

3.4 Question 4: what is my goal as a researcher or practitioner?

More than an additional nod toward self-reflexivity, explicitly naming one's goal as a researcher is essential to navigating what are often different—and at times incompatible—needs of the researcher and narrator. In a traditional research model, investigators are trained to value their own needs as part of the production and preservation of knowledge over that of the communities upon which their research is based. One way that practitioners can navigate their own imperial privilege, then, is to be explicit about their needs and goals as investigators in communication with their community partners and/or narrators. This transparency is a first step toward true reciprocity, identifying mutually agreed upon terms for the project as a whole that will balance the needs or desires of the investigator(s) with those of the larger community. Making this recognition an intentional part of the project's methodology empowers the practitioner and their community partners to identify strategies to ensure that power differences are not further exacerbated in the course of carrying out the work [27].

This work of goal setting is also essential to honest evaluation of a project's successes and short comings. At the same time, when working within an AKS

framework, many practitioners may find that their very definitions of success and/or goal-setting themselves become a form of “epistemic disobedience” [34]. For example, the fundamental benefits of a project for the researcher may rest in the intercultural exchange of experiences and meanings. Or it may be the opportunities for dialog or intergenerational exchange. Such benefits do not easily fit easily into the professional check boxes or quantifiable outcomes favored in the majority of western, professional contexts. Yet they are every bit as important to make note of when assessing the overall value of an educational, decolonial effort. At the same time, if such efforts fail to achieve these goals, the practitioner may rightly find that the effort has fallen short even if it produces a wealth of outcomes that satisfy professional or institutional needs.

3.5 Question 5: who will benefit from this project?

Every project worth undertaking should have a clear benefit. These benefits may come in the form of material resources. Or they may be intangible benefits such as moving forward a particular social or political agenda, strengthening community ties, or fostering connections of other kinds. Researchers are encouraged to think carefully and intentionally about who will benefit in addition to whatever risks a project may entail. The reflective process should compel practitioners to consider honestly the ways their own interests or interventions may be at odds with those of their community partners. This is a critical part of any decolonial research process and one more way that practitioners can demonstrate a “willingness to decenter oneself and to learn and act from a place of responsibility rather than guilt” [35].

Part of this process also involves recognizing the ways that undertaking a project may privilege or benefit the researcher that may be evident to community members but taken for granted by those of us within the academy. Examples could be conferring status through promotion, professional recognition, or publicity given to the researchers as an extension of their work. Thinking critically about benefit also compels researchers to avoid positioning community-based or social justice work as a corrective that fully escapes concerns about research practices or colonial institutional practices [36, 37]. As with all of these questions, the fundamental goal is transparency in order to better frame truly reciprocal relationships with community partners.

That said, narrative-based projects can be an extremely effective and powerful way to foster inter-generational connections and intergenerational learning, reaping important benefits for all involved. This can take a variety of forms. For example, in 2013 I was approached by a local arts-based, non-profit organization that runs after school programs for teens and pre-teens in a heavily immigrant, working-class, inner-city neighborhood. The goal of the collaboration was to help support the teen’s academic and creative learning in order to support future college attendance. Very few of the teens came from families where parents or loved ones had ever attended college themselves. Most of their households were non-English speaking. Over the first year, faculty and college students from Grand Valley State University worked with the students two afternoons a week. Rather than focusing on teaching writing or reading skills, the GVSU team began by asking the teens what they most wanted to know or understand about themselves, their families, and their neighborhood. Those questions formed the basis for a series of recorded interviews and neighborhood mapping exercises the teens ultimately carried out with family members, community leaders, business owners, and others. Called “Portrait of My Community,” the collected photographs, video and audio recordings, and kindred materials were ultimately put together in an interactive, bilingual (Spanish and English language) exhibit that opened with a big community dinner and party where everyone who had contributed to the effort gathered along with

the major of Grand Rapids and other local dignitaries. Materials collected through this effort were then archived in the Grand Rapids Public Library—the city’s first historical archive to be focused specifically on the lives and work of Latino immigrants.

In addition to creating materials of historical value and helping to generate additional funding for the local non-profit organization, the greatest benefit of this effort was the inter-generational connections it fostered. Parents and community elders told us how being interviewed by the teens helped them to feel connected to the community in new ways. The teens began to describe themselves in new ways, growing in confidence and pride in their neighborhood. As one student told me, while she used to think of her neighborhood as “la basura”—the trashcan—because of what she saw as dirty streets and run-down homes, she came to see as a place “of hope” where people “built things together.” Now 7 years later, nearly all of those teens have become the first in their families to attend college. A number of parents have also begun taking classes through local community colleges, too. For university students, their role as mentors as well as the applied experience supported their learning and professional goals. Two of our undergraduate interns are now employed in these same community-based organizations. All said the experience helped them feel more comfortable in the urban space and enhanced their own inter-cultural understanding and communication skills. In these ways, the project reaped not only inter-generational benefits but also fostered cross-cultural understanding.

3.6 Question 6: who may be harmed from this project?

All work involving human beings includes some risk. In the United States, current recommendations by scholarly organizations like the American Historical Association and Oral History Association guide institutional review boards to treat oral histories as falling outside the scope of their charge because they “preserve the unique perspective of the individual and do not lead to systemic, ‘generalizable knowledge’” [38]. Federal guidelines were updated in 2018 to reflect these recommendations. These most recent guidelines, which are currently scheduled to take effect in January 2019, specify that “oral history, journalism, biography, literary criticism, legal and historical scholarship are not considered research” for purposes of institutional review [39, 40].

Even though oral histories and kindred narrative-driven work may not be subject to institutional review, this does not mean that they are without risk to participants. Everyone working with narratives, stories, or oral histories is encouraged to think carefully about potential risks to participants. To borrow from an earlier example, what about the project that seeks to document narratives of displacement but the government who moved these individuals is still in power? The community seeking to record these narratives may choose to go forward with the effort despite these risks. But a realistic conversation about the risks and benefits of the endeavor, as well as how to fully inform community members about these potential risks, is important.

It is also essential for practitioners to recognize that risks may be evolving. This is but one reason why a process of interactive consent is important. Different contexts may require slightly different approaches, but in general I make consent part of an ongoing dialog with community participants pursued over the course of a project with the understanding that consent may be withdrawn at any time. Generally, at the outset of a project or interview, I discuss the purpose of the project with a narrator and invite them to share any concerns or questions. Written consent is usually obtained at that time. If this narrative is to be recorded and preserved as part of an archival collection or larger project, that consent may include a deed of

gift. A variety of online models and templates are available online, including those noted in the resources section of this chapter. If the interviews will be transcribed, I typically offer participants a chance to review and edit those transcripts prior to giving those to an archive. This is another opportunity where participants may choose to withdraw consent if they have concerns.

In many ways the idea of an interactive, multi-stage process of informed consent departs from what are often institutional priorities. This can particularly be the case if you are working with an archival repository or have plans to preserve recorded narratives for long-term access. In these cases, a discussion of interactive consent that includes potential take-down criteria or restrictions placed on physical and/or digital materials is essential to have early on in the project. This is particularly important with digital materials. Professionally, most librarians advocate for open access to information and understand this to be a central aspect of their professional obligations. This commitment can be at odds, however, with the needs of vulnerable communities and highlights tensions over sovereignty issues. One of the best documented examples of these tensions is the debates surrounding the Protocols for Native American Archival Materials that were crafted in 2006–2007 and published in 2008 [40, 41]. The Protocols argue that non-Native institutions should relinquish some of the control they hold over Native archival materials in recognition of Native sovereignty. This principle was recently upheld in a much publicized 2017 Supreme Court of Canada decision to allow survivors of abuse in the Indian Boarding Schools to destroy their own records. It was a decision opposed by the Canadian Truth and Reconciliation Commission, however, who argued that the records were critical to national historical memory [42]. Several other international examples demonstrate additional ways that archival repositories are navigating issues of take-down and interactive consent with community partners, including the New Zealand Electronic Text Centre and the British National Library [43, 44].

Practitioners should also be mindful that narrative projects may open up wounds or to cause unintended harm to narrators for whom sharing historical memories or stories may recall traumas or wounding. One of the best ways to offset this potential for harm while providing support for narrators and community collaborators is to avoid working isolation. Community members will often be the best judges of what could potentially be harmful or re-traumatizing for narrators. Working in close collaboration with community members to help identify resources to support narrators and to provide appropriate follow-up and check-in steps after interviews have taken place are a few of the steps that all practitioners should consider when setting up a new project. To return again to the example of our urban Native American oral history project, although this initiative was not intended to focus on boarding school experiences, many of the individual with whom we spoke either attending the Indian Boarding Schools themselves or had parents or grandparents who had attended those schools. For others, the oral history process was the first time some individuals shared difficult experiences with anyone outside of their immediate family circles. Thanks to the guidance of our community partners and elders, several of whom were also trained social workers, we were able to put a plan in place to ensure that any participants in the study would not only be able to locate supportive, therapeutic and culturally appropriate resources if needed. We also were able to frame a set of follow-up protocols to ensure that participants were well-supported beyond the interviewing stage itself. This process also helped to foster lasting connections across generations, as younger interviewees continued to correspond with community elders who had been interviewed for months and years after the interview itself had been recorded. Had we not been open to discussing all potential risks and working to mitigate those risks in culturally appropriate and collective ways, we would not have been able to meet the primary goals of our project.

3.7 Question 7: how will decisions about this project be made now as well as into the future?

Irrespective of where the idea(s) for a project may have originated, most initiatives move forward under the leadership of one or two key individuals. While there is nothing inherently wrong with this model, particularly if framed within the considerations articulated within an AKS framework, it is valuable for practitioners to think long-term as well as short-term when developing a workplan. What happens if one or more principles should move away or change position within their organization(s)? Or if some other unforeseen change such as illness, personal disagreement, or the like result in significant changes to project personnel or kindred structures? While it would be impossible to account for all unforeseen possibilities, there are some practical steps that can be taken to better ensure that projects will be able to meet their set aims or, alternatively, be responsibly dismantled, in the event of significant disruptions over the life of a project.

One way to approach this forward planning may be to formally establish a committee and process for making key decisions about the project. This was an approach we followed as part of our urban Native American oral history initiative [25, 33]. Building upon the principles outlined in the Protocols for Native American Archival Materials, that project established a set of bylaws and Council made up of representatives from major stakeholders within the university and urban Native American organizations. The Council was given authority to make major decisions for the project, including establishing processes for vetting and overseeing transcription of interviews, any changes to interview protocols, and reviewing take-down requests. Bylaws were also written by the project team to specifically articulate processes for decision-making, roles of the partners/councilors, as well as mechanisms for disbanding the project.

Not all projects may require or benefit from such a formal structure. In most cases, a clear conversation about transitional planning, responsibility, and ownership negotiated as part of answering Questions 1–6 may be enough. Still, here as elsewhere, the joined principles of transparency and collaboration are key. Project directors and practitioners should resist working alone. As Sylvia Falcón notes, “Fostering a research community means understanding the relationships formed in the research field as ongoing partnerships...[and] transparency...Scholars embedded in community can then strive toward a collective knowledge model built from the dynamism of a research community” [27].

This is important but can also be challenging. For example, in 2012, I began a research collaboration with an internationally recognized community organizer who had been a significant figure in the Latino Civil Rights Movement and Puerto Rican Independence struggle. We met through a shared connection at the university, where he was a non-traditional student completing an undergraduate degree while in his 60s. It was his goal to collect oral histories with members of his political organization and their children with the goal of keeping the political movement alive and building future leadership, focusing on a single Chicago neighborhood where the movement was born. From the organizer’s standpoint, the university provided a platform, expertise, and legitimacy to build the project and move forward these larger organizing goals. He was clear, however, that this work needed to be carefully controlled and thus could not be run by a committee or larger team; it needed to remain a partnership primarily between himself and the supervising faculty member. For the university and the faculty member, the organizer’s international profile and opportunity to grow archival collections that would be of historical benefit to researchers from across the country as well as creating primary research materials for students was also seen as a benefit. And so, the project moved

forward as a faculty-supported, student-led project even though in this case the student was also a community elder and national figure. Within just a few months, the project had amassed hundreds of hours of video recording and kindred materials drawn from interviews with more than 50 individuals.

Even though the project had clear consent and deed of gift procedures, arguments over control and resources quickly brought the effort to a grinding halt. For the community organizer this effort was not primarily an academic exercise but was deeply political, personal, and familial. Once he had graduated from the university, however, he had no livelihood. Student research grants which had supported his travel and equipment needs as well as providing a small stipend were no longer an option once the organizer was no longer a student. American universities rarely pay independent researchers, particularly on projects lacking funding or other external financial support. While my intentions as the supervising faculty member had been good and the project had initially seemed to be mutually beneficial and reciprocal, the situation highlighted how much those of us working in academic settings can easily assume that university structures are understood by community members, in reality, they are not. In this way, I think it is safe to say that whatever intergenerational learning may have been fostered through the interviews themselves, the most important intergenerational lessons that I learned as a faculty member working with an older student were unfortunately gleaned from hindsight as our collaboration broke down and came apart.

The pace at which the university library was able to digitize and make the interviews publicly available also slowed as key administrative positions transitioned within the university and funding dwindled. What seemed like logical project management decisions to library staff, looked like obfuscation to the community organizer. For him, these decisions also carried high stakes, compromising interpersonal relationships and relationships with family, friends, and allies when interviews were not made available on the schedule he had promised or in well-edited form, creating embarrassment and eroding trust. In less than 2 years from the time it was launched, the project broke down ending painfully and with raw feelings on all sides.

I offer this as a cautionary example that I have continue to learn from as a researcher and practitioner. Intergenerational, community-based projects should never be carried out alone or in pairs. Intentional work to establish a shared network and/or team is critical to ensuring longevity as well as maintaining reciprocity and mutual benefit. Creating a clear timeline and workplan is key. So is identifying which team members have power over what decisions. A contingency plan that addresses needed resources as well as alternative management approaches in the case of job change, illness, or the unforeseen is also important if projects carry high stakes for one or more partners, particularly if this is a long-term effort whose leadership is intergenerational by design. All projects also benefit from starting by establishing a clear end date. This may take the form of phases (e.g. Phase 1, Phase 2, etc.) or it may require establishing a complete date for wrap-up/conclusion. No matter what form it takes, establishing a timeline with space for breaks, re-evaluation of goals, reconfiguration of partners and roles, is a healthy, respectful, and proactive step that fosters healthy collaborations. Practitioners who follow these recommendations can also rest easier knowing their work stands a greater likelihood of doing more good than harm, contributing to lasting relationships and partners that are of truly mutual benefit.

4. Technical considerations and resources

The conceptual issues highlighted here will ultimately shape the form any narrative based project will take and requires both time and commitment on

the part of all involved to fully address the seven questions. Once those steps have been completed, however, practitioners can make use of a range of publicly available resources to aid in identifying equipment, recording standards, and other technological decisions particularly with regard to recording. Two published guides that are considered “classics” among oral history practitioners include Ritchie’s [45] and Trimble et al. [46]. Although both are written with a focus on practitioners working within the United States, they provide practical guidelines that are useful in a global context. Another high quality guide that is currently available as a free, downloadable PDF is the 2016 edition of *The Smithsonian Folklife and Oral History Interviewing Guide* (<https://folklife.si.edu/the-smithsonian-folklife-and-oral-history-interviewing-guide/smithsonian>).

Technology changes quickly. Practitioners are encouraged to consult guides that are available electronically as they are more likely to keep up with current recommended best practices. Within the United States, one of the most comprehensive site for updated information on recording, accessing, and preserving spoken word resources is the “Oral History in the Digital Age” website (<http://ohda.matrix.msu.edu>), which was launched with support from the Institute of Museum and Library Services and digitally housed at Michigan State University. The site includes guidance on video and audio recording equipment as well as additional guidance on curating and disseminating recorded materials, a “very selected” oral history bibliography, and a link to additional web-based oral history guides.

Practitioners working in all geographies would benefit from consulting a range of international guides as well, particularly as a mechanism for more thoroughly integrating decolonial perspectives and aims into their work. In South Africa, for example, oral history and other narrative-based work is broadly categorized as being a part of “living traditions,” a cultural heritage that is protected by UNESCO Conventions, among others. Examples of regional guides to all steps in oral history collection—including ethical responsibilities that extend well beyond the recording process itself, are available online: https://www.westerncape.gov.za/assets/departments/cultural-affairs-sport/oral_history_doc_0.pdf. These publications also place important emphasis on language and interactive consent.

5. Self-care for practitioners

Just as decisions about purpose, intent, and technology should not be made in isolation, so too should researchers remember that the relational aspect of narrative projects can be a source of strength to themselves as they carry forward this work. Incorporating a plan for self-care as a practitioner is important. Yet Self-care is not typically a part of academic conversations when we discuss our research or methodology. Like other aspects of academic work, the prevailing dictum is typically to ignore or erase this need. In this way, the emphasis on power and control that governs much of academic structures and processes simply ignores this need on the part of researchers. The emotional labor tied to investing in community processes, hearing community narratives, and building lasting relationships with community partners is often masked. As a result, many practitioners run the risk of not being able to engage in this important work for very long. Or, if they do, they often do so at tremendous cost to themselves, their professional lives, and those closest to them.

Lorde once famously said, “Caring for myself is no self-indulgence, it is self-preservation, and that is an act of political warfare” [47]. There is perhaps no fuller expression of why self-care is not just important for the research practitioner, but it is fundamentally a community responsibility. Without it, many researchers would

be unable to continue to do the hard labor of forging meaningful, long-term relationships with community partners and narrators [48]. Just as decolonial practice compels us as researchers to critically self-examine our own positionality, seeking more collective, relational models for working, it is impossible to fulfill this charge without recognizing the need for self-care. Rather than thinking of self-care as an isolated or privileged pursuit, researchers should consider this work an extension of the type of dialogic, mutually mediated, shared authority that many oral history interviewers cultivate with their narrators.

The very first and most important step to exercising self-care, then, is to recognize the need as both valid and integral to our research practices. For those new to the idea of thinking about how to exercise self-care as an extension of a lifelong commitment to community-based practice and activism, there are a variety of recently published guides that address this topic from a feminist perspective. I have included links to several of these in the references section of this chapter [49–51]. These resources guide practitioners to consider what for them may be areas of greatest need as well as linking the principle of self-care to larger community responsibilities. That includes fulfilling responsibilities to those who are most dependent upon us for their daily needs. This is why I strive to make time when my daughter asks me to tell her the story of how she was born once again. Narrative is fundamentally about relationships. By taking the time to build more equitable, mutually agreed upon and reciprocal relationships of all kinds, we have the power to strengthen those around us as well as ourselves.

6. Conclusion

This chapter intends to serve as a guide for practitioners and researchers who may be interested in launching narrative-based projects as a way to foster stronger intergenerational connections and intergenerational learning. Emphasizing the value of a feminist, decolonial approach, the seven question model proposed here is designed to get practitioners started. They are rooted in concepts of reflexivity, social justice, and relationality. Coupled with a discussion of technical resources and self-care for practitioners, it is the goal of this chapter to provide a much-needed template practitioners can follow—one that departs in key ways from more traditional, academic approaches to community-based research and educational work.

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Dedication

This chapter is dedicated to the memory of Rudolph Paul “Buzz” Kutsche, Jr. (1927–2017), ethnographer, oral historian, mentor, and friend.

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The Haitian Educational Problematic

Paul C. Mocombe

Abstract

In this work, using a structurationist approach, phenomenological structuralism, to understanding the constitution of society and practical consciousness, I argue that Haiti's educational model is a colonial one, an ideological apparatus established by a French-speaking minority, the mulatto elites and petit-bourgeois blacks, i.e., Affranchis, in order so that they can participate in the global capitalist world system as descendants of their former colonial administrators, while the African majority are interpellated and subjectified as laborers for sports and the entertainment industries, tourism, and export agriculture and manufacturing jobs provided by America, France, and Canada. Thus, in Haiti the attempt for a long time has been on following the black American bourgeois model of integration into the capitalist world system by integrating the masses into the social class language game of their former colonial slavemasters (the French) at the expense of constituting their own social class language based on the Kreyol language and Vodou metaphysics of the majority of the African inhabitants of the country.

Keywords: Mocombe's reading room series, the black/white academic achievement gap, social class language games, a mismatch of linguistic structure and social class function

1. Introduction

Like the Africans of North America who were enslaved by the British, the Africans of Haiti were enslaved by the French on plantations to reproduce the colonial mercantilist system of global capitalism, unlike the black American, which became a structurally differentiated black other in America. In Haiti, given that 67% of the population were directly from Africa when the Revolution commenced, following the Haitian Revolution, many of the Africans were able to maintain and institutionalize their practical consciousness in the mountains and provinces of the island via the Kreyol language, the lakou system, and the Vodou ethic and the spirit of communism [1–3]. Hence, two opposing forms of system and social integration (i.e., social class language games), each with their own mode of production, language, ideology, ideological apparatuses, and communicative discourse, would constitute the Haitian social structure [3]: the Vodou ethic and the spirit of communism of the Africans and the Protestant ethic and the spirit of capitalism of the Affranchis, mulatto elites, and petit-bourgeois blacks [1]. The latter, given their interpellation and embourgeoisement in European languages, mode of production, ideology, ideological apparatuses, and communicative discourse, sought to continue their participation in the global capitalist processes of

the Europeans. The former sought to constitute an alternative form of system and social integration, i.e., social class language game, by which they sought to interpellate and socialize the masses for subsistence living and sustainable development of the material resource framework over capitalist exploitation. Haiti's educational problematic rests on the fact that two opposing educational models are developed in the country, each tied to the aforementioned forms of system and social integration. The elites established a system for themselves based on the French educational model with its emphasis on literature, the arts and humanities, and foreign languages with French as the language of instruction. This model was established at the expense of the African majority who were and are left uneducated in the latter system so as to fulfill their structural roles as agricultural and factory laborers within the society for global capital. Conversely, the Africans established a system based on oral traditions, herbal medicine, and the ideology of Vodou with instruction in the Kreyol language. Lack of resources and ideological apparatuses (i.e., laws, economic policies, etc.) and communicative discourse of the former system has undermined the development of the latter in favor of the former, which has led to the social, economic, and educational problematics of the people and the nation state.

For me, in building on the theory of learning and development highlighted in Paul C. Mocombe's [4] structurationist theory of phenomenological structuralism, Haiti's educational system, given that as a homogeneous speech community, i.e., social class language game, dominated by Africans and the Kreyol language, should be tied to the development and codification of the grammar of the Kreyol language, the peoples' mode of subsistence agriculture, physics, psychology in particular and medicine in general, and socio-history with Kreyol as the language of instruction so as to constitute the society for subsistence living and the sustainable reproduction of the material resource framework. The latter processes constitute the fundamental basis of the lakou system and the Vodou ethic and the spirit of communism. As it stands, however, Haiti's educational model is a colonial one, an ideological apparatus established by a French-speaking minority, the mulatto elites and petit-bourgeois blacks, i.e., *Affranchis*, in order so that they can participate in the global capitalist world system as descendants of their former colonial administrators, while the African majority are interpellated and subjectified as laborers for sports and the entertainment industries, tourism, and export agriculture and manufacturing jobs provided by America, France, and Canada. Thus, in Haiti the attempt for a long time has been on following the black American bourgeois model of integration into the capitalist world system by integrating into the social class language game of their former colonial slavemasters (the French) as agricultural and technical workers at the expense of constituting their own social class language based on the Kreyol language and Vodou metaphysics of the majority of the African inhabitants of the country.

2. Background of the problem

Traditional interpretations of the Haitian Revolution, and subsequent to that the constitution of Haitian identity, attempt to understand them, like the constitution of black diasporic and American practical consciousnesses, within the dialectical logic of Hegel's master/slave dialectic [1–6] (mocombe, 2016, 2019)—concluding that the Haitian Revolution represents a struggle by the enslaved Africans of the island who internalized the liberal norms, values, and rules of their former French masters, for equality of opportunity, recognition, and distribution within and using the metaphysical discourse of their former white slavemasters to convict them of

not identifying with their norms, rules, and values as recursively (re)organized and reproduced by blacks. Haitian identity/practical consciousness, as such, was and is a simulacrum of European practical consciousness and identity, which is universalized and presented as the nature of reality as such. This position, predominantly held by white Westerners, is usually juxtaposed against the postmodern, poststructural, and postcolonial approaches of Haitian and other black bourgeois intellectual elites (i.e., Aimé Césaire), which highlight the hybridity, ambivalence, *négritude*, syncretism, *indigénisme*, and *créolité* of the revolution and Haitian consciousness (Genovese, 1979; Fick, 1990; Desmangles, 1992; Trouillot, 1995; Bellegarde-Smith and Michel, 2006).

Both interpretations, contrary to the position of Haitian intellectuals such as Jacques Roumain (1940) and Jean Price-Mars (1928), who advised the Haitian intelligentsia class to look to the provinces and the peasant classes to constitute to the Haitian culture, identity, and nation state, are problematic in that they are ethnocentric and racist. They both overlook the initial African practical consciousness of the majority of the Africans on the island for either the practical consciousness or discourse and discursive practices of the mulatto, Arab, and petit-bourgeois black elites, *Affranchis*, looking (because of their interpellation and embourgeoisement) to Europe, Canada, and America for equality of opportunity, recognition, and distribution or for their (*Affranchis*) logic of postmodern, poststructural, and postcolonial theories to undermine that African presence is in favor of notions of hybridity, *créolité*, *négritude*, syncretism, intersectionality, double consciousness, etc.

In their assumption of control of the state and its ideological apparatuses, i.e., schools, churches, police force, laws, military, etc., in other words, the *Affranchis*, as the whites before them, attempted to repress “silence,” through anti-superstitious laws to outlaw Vodou and economic policies to undermine its mode of production, the Vodou ethic, and the spirit of communism social class language game of the Africans for their own Euro-centered purposive rationality, even though, paradoxically, many of them exercised aspects of the latter in secrecy [3] (Fick, 1990; Desmangles, 1992; Trouillot, 1995; Ramsey, 2014). Furthermore, their dialectical, postmodern, poststructural, and postcolonial textual productions, as seen in the works of Louis-Joseph Janvier, Thomas Madiou, Beaubrun Ardouin, Hérard Dumesle, and Anténor Firmin, among many others, minimized the African structuring structure to highlight hybridity, *créolité*, *négritude*, ambivalence, and contradictions. In other words, they accentuate and substantiate the European practical consciousness as recursively reorganized and reproduced by whites, mulattoes, and petit-bourgeois blacks but minimize the African in the ambivalence, creole, *négritude*, and hybrid language of postmodern, poststructural, and postcolonial discourses, which are still, dialectically, Western in origins and constitution.

3. Theory and method

Essentially, the argument here is that there is no creole, *négritude*, ambivalent, hybrid, etc., consciousness by which Haitians of the nation state reified their social structure and went/go about recursively reorganizing and reproducing its ideas and ideals as their practical consciousness. My structurationist position, phenomenological structuralism, ultimately views identity and consciousness as the product of power relations within a structure, tied to the mode of production, which attempts to reduce human agency by forcing (via ideology, ideological apparatuses, communicative discourse, language, and the mode of production) actors to internalize its ideas and ideals and recursively (re)organize and reproduce them as their practical

consciousness [1, 7]. Hence, social structure or a social class language game is a duality and dualism: reified as a structure via ideology, ideological apparatuses such as education and family, communicative discourse, language, and mode of production whose concepts are in turn internalized and recursively organized and reproduced as the practical consciousness of individual human actors. Be that as it may, the logic here is that Haitians, the minority Affranchis, either recursively reorganize and reproduce as an “other” the ideas and ideals of the Republican state, the Catholic/Protestant Ethic and the spirit of capitalism social class language game, as their practical consciousness or those of the Vodou Ethic and the spirit of communism of the mass majority. Postmodern, poststructural and postcolonial discourses are the language, ideology, and communicative discourse of postindustrial Catholic/Protestant capitalist social relations of production recursively reorganized and reproduced by the Affranchis in the language of *créolité*, hybridity, *indigénisme*, *négritude*, double consciousness, etc., for equality of opportunity, recognition, and distribution with their former colonizers and slavemasters. That is to say, ambivalence, hybridity, liminality, *créolité*, *négritude*, double consciousness, etc. are the psychological processes, concepts, pathologies, and practical consciousness of the Affranchis bourgeoisies as they desire and struggle for equality of opportunity, recognition, and distribution with whites by reproducing their ideas and ideals as their practical consciousness in order to convict them (whites), amidst their racism and discrimination, for not identifying with their values and norms as revealed by black practices, i.e., practical consciousness. As though by highlighting their alleged ambivalence, double consciousness, *négritude*, and syncretism as opposed to the singular “African” otherness, reflected in the practical consciousness of the masses, which allowed for them to be discriminated against to start with, afford them, Affranchis, their desires (equality of opportunity, recognition, and distribution) and the sympathy of whites.

Essentially, when the Haitian Revolution commences in 1791, there are three distinct groups vying for control of the island, the whites (*blancs*), free people of color and mulattoes (*Affranchis*), and the enslaved and escaped (maroon) Africans of the island. The latter, over 67% of the population were not a structurally differentiated other. They had their own practical consciousness, what Paul C. Mocombe [1] calls the “Vodou ethic and the spirit of communism,” by which they went about recursively (re)organizing and reproducing the material resource framework via the *lakou* system (*Lakouism*). The former two, free blacks and *gens de couleur* (*Affranchis*), were interpellated, embourgeoisied, and differentiated by the language, communicative discourse, mode of production, ideology, and ideological apparatuses of the West and shared the same European practical consciousness, the Catholic/Protestant Ethic and the spirit of capitalism social class language game, as the whites. The latter social class language game stood against the Vodou ethic and the spirit of communism social class language game of the majority of the Africans who were interpellated and *ounganified/manboified* by the language, communicative discourse, mode of production, ideology, and ideological apparatuses of *oungan yo*, *manbo yo*, *gangan yo*, and *granmoun yo* [1–3, 5] (Fick, 1990; Ramsey, 2014).

Be that as it may, four distinct revolutions would come to constitute the Haitian Revolution: the revolutions of the whites, mulattoes, creole blacks, former generals, and the Africans. The whites were divided between large plantation owners, *grand blanc*, and *petit-blancs*, i.e., managers, slave drivers, artisans, merchants, and teachers [2]. The former, *grand blanc*, was independent-minded and like the American colonists wanted political and economic independence from their mother country, France, where their rights and economic interests were not represented in the National Assembly. The *petit-blancs* were more racist and feared the alliance between the larger landowners and the Affranchis. The Affranchis were free people

of color and mulatto, *gens de couleur*, property and slave owners on the island who shared the religion, culture, language, and ideology of their white counterparts and wanted then Saint-Domingue to remain a French colony. Although internal antagonism based on race (color) and class existed between the free (creole) blacks and *gens de couleur*, I group them together under the nomenclature, *Affranchis*, to highlight the fact that their interpellation and embourgeoisement via the ideological apparatuses of the West rendered their practical consciousnesses identical even though there were racial/color (based on phenotype, not ideology) tensions between them (racial tensions, which still plaques Haiti today). Unlike the majority of white large plantation owners, however, the *Affranchis*, like Vincent Ogé, André Rigaud, Alexandre Pétion, Pierre Pinchinat, and Toussaint Louverture, for example, did not want independence from France. In the case of the mulattoes, who after independence would come to be referred to as the children of Alexandre Pétion, the first president of the Haitian Republic, they simply wanted their social, political, and economic rights recognized by France within the colony, not an independent nation state or the end to slavery. In this regard, to the children of Dessalines/Toussaint, creole slave drivers and free blacks, they sought equality of opportunity, recognition, and distribution vis-à-vis the whites and mulattoes. The enslaved and escaped Africans, the children of Sans Souci, of the island were divided between field slaves, domestic slaves, and maroons. The domestic slaves, like their African-American counterparts, “house slaves,” were more so identified with their slave-masters. However, for the most part, the field slaves and maroons, because of their relative isolation from whites, domestic slaves, *gens de couleur*, and free blacks, were interpellated and ounganified/manboified by the modes of production, language, ideology, ideological apparatuses, and communicative discourse of the Vodou ethic and the spirit of communism, and many sought to reproduce their African ways of life in a national position of their own. In the end, the revolution would come down to a struggle between the *Affranchis* and the enslaved and maroon Africans of the island, the latter of whom commenced the Haitian Revolution on August 14, 1791, at Bois Caiman and other congresses [1–3, 5] (Genovese, 1979; Fick, 1990).

Following the Revolution, between 1804 and 1806, the purposive rationality of the enslaved and maroon Africans would become a part of the modus operandi of the Haitian nation state until October 17, 1806, when Jean-Jacques Dessalines, the founding father of the Haitian nation, was assassinated by Alexandre Pétion and Henri Christophe. At which point, the purposive rationality of the *Affranchis* with their emphasis on integration into the mercantilist and free-trade dialectical logic of the global capitalist world system, capitalist wealth, French culture, religion, and language became dominant at the expense of the African linguistic system, Kreyol, Vodou ideology, its ideological apparatuses, and modes of production, subsistence agriculture, husbandry, and *komes* of the African masses on the island who took to the mountains and provinces following the death of Dessalines [2, 3] (Fick, 1990; Nicholls, 1979). This is not to say that Dessalines completely sided with the purposive rationality or practical consciousness of the African masses who sought to recursively reproduce their Vodou ethic and spirit of communism, i.e., subsistence agriculture, husbandry, and *komes* (commerce), practical consciousness on the island via the lakou system. The argument here is that via his nationalization project, he attempted to balance the purposive rationality of his *grandon* class of former generals and slave drivers, i.e., the creole blacks, who yearned to become wealthy landowners and masters like the whites and racist mulatto elites amidst the desires of the African masses seeking to reproduce their subsistence agriculture, husbandry, and *komes*. Be that as it may, the internal struggles between the two bourgeoisies within the *Affranchis*, the mulatto elites who controlled the export/import trade and the free blacks who controlled the land and agribusinesses where

the African masses toiled as cultivators, over control of the state and its ideological apparatuses, would dominate the political and economic conditions of post-revolution Haiti to the present at the expense of the practical consciousness of the African masses [2, 3, 5, 6] (Dupuy, 1989; Fick, 1990; Nicholls, 1979). Both groups would arm the youth and peasants of the island to achieve their initiatives, i.e., control of the state and its ideological apparatuses. Today, the latter, *grandon* class, composed of educated professionals, former drug dealers, entertainers, and police officers (mercantilists or protectionists) attacks the former (free trading) *Affranchis* class, which is now a comprador bourgeoisie seeking to build, own, and manage hotels and assembly factories producing electronics and clothing for the US market, under the moniker the children of Jean-Jacques Dessalines against the children of Alexandre Pétion in the name of the African masses of the island, the majority of whom are peasant farmers (the children of *Sans Souci* and *Macaya*, i.e., Congolese leaders of the revolution who wanted no part of the capitalist world system), seeking to recursively (re)organize and reproduce the *lakou* system and the *Vodou* ethic and the spirit of communism as their form of system and social integration against the protestant ethic and spirit of capitalism.

4. Discussion and conclusions

Building on Paul C. Mocombe's [1, 4] theory of phenomenological structuralism, which views the constitution of society based on five elements or systems (mode of production, language, ideology, ideological apparatuses, and communicative discourse) that constitute its social class language game or social structure, the concepts of which are internalized and reproduced as the practical consciousness of human actors, it is clear as outlined above that Haiti's educational problematic rests on the fact that the elites have attempted to interpellate and embourgeois the African masses to participate in the global capitalist world system of the Europeans as laborers against the attempt to reproduce the *lakouism* and *Vodou* ethic and the spirit of communism of the former group who are the majority. Hence, whereas early on in the history of the nation state the emphasis of the elites was on an educational system, for the elites who governed the country, based on the French and Catholic models heavily geared towards literature, the arts and humanities, and foreign languages with French as the language of instruction [3, 8], when the USA occupied (1915–1934) the country they sought, based on what they did for the black Americans with the establishment of historically black colleges and universities (HBCUs) as technical, agricultural, and mechanical schools following the American Civil War, they constitute the educational system of the island around technical and mechanical training for the masses so that they can fulfill their labor roles as a periphery nation state producing agricultural and manufacturing productions for the First World. Following the occupation, the Haitian elites, for the most part, returned to their French model, in defiance of the USA, at the expense of technical training and hardcore sciences, i.e., physics, etc., with French as the language of instruction [8]. The Africans in the mountains and provinces either relied on the Catholic Church for their education or the oral traditions, herbal knowledge, and ideologies of the *lakous* under *Vodou* priest and priestesses.

Contemporarily, the Haitian educational system is constituted as a three-tier system. The first tier is based on the French and Catholic models directed towards the education of the elites with instruction in French. The emphasis in this tier is on literature, foreign languages, and the humanities and arts. The second tier is based on the American model of vocational and technical training with instruction also taking place in French so as to facilitate the role of the masses as technical, agricultural, and mechanical laborers for global capital. Albeit, there is a push for *Kreyol* instruction

in the early stages of this latter tier as was the case somewhat under the American occupation. The third tier is based on Vodou, herbal medicine, and the oral traditions of the Africans with instruction solely in Kreyol under the control of Vodou priest and priestesses in the mountains and provinces of the country. This latter model is less formal than the former two under the control of the state, church, and NGOs.

In my view, in order for the Haitian educational system to truly be liberating, the emphasis should be twofold, institutionalizing the grammar of the Kreyol language as the medium of and for instruction, and provide training in physics, psychology, medicine, and the general (physical and earth) sciences (via the grammar of Kreyol as the language of instruction) for the reproduction of the mode of production, which should be tied to the sustainability of the human being and the material resource framework of the island as highlighted in the lakou system of the Africans of the provinces and mountains. This latter work is the intent of the Haitian Initiative coming out of the Massachusetts Institute of Technology (MIT) under the direction of Michel deGraff.

In other words, at the base of the lakou system emanating from the Vodou ethic and the spirit of communism is agricultural production at the family level for subsistence living, trade, and independence so that the individual can live free and equal to all. Expanding the system at the national state level would mean (1) promoting agricultural production at the family level for subsistence living and trade; (2) light manufacturing, textile production, etc. on every lakou for lakou consumption; (3) tertiary industries for service and entertainment at the lakou communal level; (4) infrastructure, i.e., schools, roads, and medical facilities, on each lakou provided by the state as a result of taxation of each lakou, not the individual; and (5) community policing provided by each lakou, military provided by the state via recruitment from the lakous.

In the aggregate, this socioeconomic lakou system would be governed politically as the Africans did prior to the advents of Islam and Christianity on the continent. Traditional West African political structures were constituted around “a hierarchical bureaucracy of kings who were regarded as being invested by divine right, ruling in accordance with the will of the ancestors and some omnipotent power. The kings had their own councils and advisers, or ministers of state, who supervised military affairs, external affairs, the treasury, justice, courts, etc. The various subordinate districts within the kingdoms had their rulers, and the villages had their headmen” (Harris, 1998, p. 52). In the constitution of the contemporary Haitian nation state via the lakou system as enframed by the Vodou ethic and the spirit of communism, in place of the king it would be the president ruling in accordance with the will of the ancestors and the people. The president would have their own councils and advisers or ministers of state, who supervised military affairs, external affairs, the treasury, justice, courts, etc. He/she would be appointed for life by the representative body, parliament, of the various communes and communal sections within the nation state. This parliament would constitute a political body replaced every 7 years by lot, like the American jury system, from each lakou, which would be governed by its headperson as determined by the will of the ancestors and the people of the lakous, of the communes and communal sections. In essence, the emphasis would be on constituting and reproducing society based on the physics and metaphysics of individual constitution, which connects the individual and society to nature.

Contemporarily, however, instead of vertically integrating the libertarian communism of the lakou system (expanding the agricultural capacities of each lakou; establishing centers of secondary industries for local consumption and exports on each lakou; facilitating the rise of tertiary industries on the lakous for leisure and entertainment; and providing schools, medical facilities, which combine holistic medicine with western, and other infrastructure) to achieve the vision of total democracy, equality, sustainable development, and liberty among the Kreyol-speaking African masses to

constitute the Haitian nation state, the black-skinned, white-masked elites (Frantz Fanon's term), under the neoliberal projects of the World Bank and the International Monetary Fund, seek to integrate Haiti as a periphery state by displacing the Africans off the land in order to facilitate their migration to the capital cities of the state and other countries where the masses become a cheap labor force to be exploited for global capital and the Haitian bourgeoisie operating manufacturing and textile factories for the West. The educational system as such becomes one of the interpellating masses as vocational workers and athletes for the sports and entertainment industries, tourism, and factories of the local and global economy. However, their inabilities—given the voting power of the majority—to constitute two dominant rotating political parties to implement the desires of their former white colonial slavemasters leave Haiti in perpetual turmoil. As in slavery, the African masses continue to fight against their interpellation, embourgeoisement, and differentiation as wage earners (commodities) in the tourism trade and textile factories of the Catholic/protestant ethic and spirit of capitalism of these two power elites seeking equality of opportunity, recognition, and distribution with whites at their expense. As the current historical conjuncture parallels the mercantilist/free-trade economic conjuncture of 1791, either a unifying national conference that parallels Bois Caiman or a second war of independence will determine the outcome of this perpetual economic and cultural civil war in Haiti. As for now, the masses of Port-au-Prince, galvanized by the grandon class, protest against the neoliberal capitalist world system under the American hegemony under the moniker the children of Pétion v. and the children of Dessalines. Although viewed within racial terms, Pétion representing the mulatto elites and Dessalines the African masses, the metaphor, contemporarily, has come to represent Marxist ideological categories for racial-class (nationalistic) struggles on the island of Haiti against dictatorship, the Haitian oligarchs, and the American neoliberal policies on the island: the ideological position of Pétion representing the neoliberal views of the mulatto elites and petit-bourgeois blacks and Haitian nationalism, economic reform, and social justice representing the ideological position of Dessalines as articulated by educated segments of the petit-bourgeois class claiming to speak for the African masses, the majority of whom are more so the descendants of Macaya and Sans Souci (African soldiers who fought against the Affranchis when France attempted to reconquer the island in 1801) than Pétion or Dessalines/Toussaint.

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Pedagogist: His Profession, His Practice and His Toolbox

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Abstract

Pedagogy, as a human and social science and as a profession, has a history that has its roots in classical Greece. It has had a particularly significant evolution as *Sozialpädagogik* in the eighteenth-century *Mitteleuropa*, as was the case for other social or psychological sciences and related professions. Today, it presents itself as an autonomous science, which is also a field of transposition and integration of inputs from other sciences and other forms of knowledge, to turn everything into specifically educational purposes. The profession, in turn, takes place at the level of the intermediate applicability between theory and practice and is highly compatible with other social and health professions and open to dialogue and teamwork. With these assumptions, it is able to respond positively to the specific and new educational problems that contemporary complexity urgently poses by calling this profession into question. The chapter offers an essential, rigorous, and organic presentation of one of the new branches of General Pedagogy: Professional Pedagogy. The pedagogist carries out a higher intellectual profession whose focus is education in all social domains, and in all ages of life. A solid theoretical and methodological basis allows the pedagogist to treat individual cases using lexicon, techniques, procedures, and conceptual and operational tools of a strictly specific nature.

Keywords: pedagogist, *Sozialpädagogik*, pedagogy and its branches, professional practice, methodology, professional toolbox

1. Introduction

The profession of pedagogist has a history of about 2500 years, and its origins are therefore contemporary to the medical and surgical professions and to the legal professions. The need for professional figures with a specifically pedagogical training and culture has reemerged with the worsening of problems in education in all social contexts and at all levels, starting from the nineteenth century as a doctrine and from the twentieth century as a professional practice. In retracing this fascinating history, we find most of the conceptual and operational tools and methods of practice.

Consistent with the character of this science, which manages to keep together in an organic relationship theory and practice, and to overcome the relative dualism to tend toward an intermediate dimension, in this chapter, we will analyze not only the theoretical evolution of the profession of the pedagogist but also its application side. Precisely for this reason, cases of clinical practice will be treated, that is, general cases, as they present themselves to the professional practice of the pedagogist.

The profession has only recently obtained legal recognition in Italy (Law 205 of 27 December 2017, Article 1 Subsections 594–601) and is having a significant impact on the curricular structure of university courses which are directly affected. But the teaching has already been introduced for sometime in academic courses of beginning training for an increasingly wide range of social, health, psychological, intellectual, and helping professions.

2. From the classical origins of the pedagogist, a social professional...

The history of the professional figure of the pedagogist begins about 2500 years ago in classical Greece, a fertile geographical and cultural context in which, as well as rational Western thought (*logos*), sciences including Medicine, Surgery, and Mathematics had their origins while other disciplines like Astronomy had a significant development. Also in Dewey's works, we can find confirmation of the ancient origin of the pedagogical profession, in particular in the passage in which he defines the sophists as "the first body of professional educators in Europe" [1]. We should point out that in the times of Dewey, the term "Pedagogy" and its derivatives were uncommon. A brief reference to these remote origins is necessary not only to highlight the prestigious and millenary historical evolution of Pedagogy both as a science and as a profession but also because many important operative instruments which make up the "toolbox" of today's pedagogist have their roots in the context of classical Greece.

According to some scholars, the term "Pedagogy" derives from the Greek terms *παῖς* – *παιδός* meaning the young, the child, and the son, and *άγω*, that is the verb to lead, to conduct. In reality, there is no direct derivation from the classical Greek compound, even though there was already the Greek term *παιδαγωγία*, which indicated the activity of the *παιδαγωγός*. This figure was a professional educator to whom the family, or better the father, entrusted the young or at age in which they were no longer under maternal control so that he could be introduced in the main social and cultural contexts of the *πόλις* to be educated to the best. Classical education, at the origins of Western culture, was therefore a fully social education. In the second century B.C., after the conquest of Greece (*Graecia capta*), the Romans inherited this practice and, at least initially, chose the *paedagogus* among the Greek slaves. They were slaves of particular respect because an affective relationship could be formed with them, as with the nanny.

However, the Latin term "*paedagogia*" appeared only very later, in 1495, a year that can be considered of *caesura* between the Middle Ages and the Modern Age, that is, the phase after the loss of the linguistic competence of classical Greek in the West, which was recovered during the period of the Humanism by teachers from Byzantium. In that Latin term emerged the etymological-linguistic detail linked to the verb *άγω* "to lead." In Latin, in fact, it is necessary to distinguish the verb *dūco*, which indicates a typology of directive command, characterized by orders, rules, and norms, from the verb *άγω*, which indicates an approach in which the educator or pedagogist guides, supports, and accompanies the learner or the subject to be educated. The Latin compound gives us a meaning which is not present in classical Greek that allows us to clarify that the pedagogical professional practice, which we will deal with in the following paragraphs, does not follow a strong and directive normative approach, but, on the contrary, bases its practice on dialogue, or rather on a relational modality that is irrevocably characterized, among other things, by openness, reciprocity, and willingness to listen.

In this brief introduction about the ancient history of the pedagogical profession, it would be a serious mistake to ignore the essential contribution of classical

and imperial Latinity; in particular it is important to remember Cato “the Censor,” proponent of the *mos maiorum* and contrary to Hellenization. Another notable figure of the Latin classic context is Quintilianus, whose education concentrated on the art of oratory, as the sophists had done in a completely different time and context; this fact does not appear to be a trivial coincidence. We could continue with *unicuique suum* of Ulpianus or with *homines dum docent discunt* of Seneca.

In addition, in our opinion it would be an even more serious mistake not to integrate these contributions of the Greek and Roman culture with the development of the sciences among the Greeks and technique among the Romans as components of modern and contemporary Pedagogy.

In short, historians of Pedagogy have many contributions to give us for the various pedagogical facts of the Middle Ages. An example of this are the countless figures (tutors, educators, teachers, etc.) or educational structures (childcare institutions, structures that have welcomed children in need, or others structures that educated important figures such as medieval knights or catholic priests after the Council of Trent) that have dealt with education during these historical phases of the Middle or Modern Age. Furthermore, another educational very important structure which was founded in the West in the Middle Ages was the university. Finally, we can draw on several further and in-depth analyses of the history of Pedagogy even though they go beyond the specific aims of this work.

As regards the Pedagogy of modern times, the figure of Komensky stands out. And the focus of interest shifts to the school and didactics even though the period is full of other reasons of interest, for example, the development of the university and the multiplication and differentiation of educational structures, both for those who have particular needs and for reasons of study and education.

The historical transition to the end of the Modern Age has been characterized by the Industrial Revolution, the bourgeois revolutions and their new social arrangements, and the Enlightenment first of all. The greatest exponents of this period are all in the manuals of the history of Pedagogy, even though they were often philosophers of education and so most of them were deprived of that organic contact with the experience of the object of study and application which is a necessary condition in Pedagogy.

3. ...to the nineteenth-century human sciences in the Mitteleuropa and the intellectual professions correspondent of the twentieth century

Among the figures in Pedagogy that marked the end of the Enlightenment in Pedagogy, and therefore the beginning of a new age to which we will return later, were Enrico Pestalozzi and his first students, Johann Herbart and Friedrich Fröbel. Besides being great thinkers, they were at the same time committed to the experience of education with orphans, schools, and *kindergarten*, and they also had important relationships with the newly forming Scientific Psychology.

Referring to these scholars/researchers, we can already begin to outline a precise historical, geographical, linguistic, and cultural context, which will host the evolution of Pedagogy (together with that of other sciences and professions) toward a new manifestation of social profession and, first, of a new branch of the General Pedagogy suitable for the purpose.

The context to which we refer is the nineteenth-century *Mitteleuropa*, that is, to the cultural world of the Central German-speaking Europe, in which (or in whose immediate vicinity) several human sciences flourished in a few decades, laying the foundations for the development of a variety of higher intellectual professions. These emerged and played a great social importance from the century immediately

following, both in the psychological and psychoanalytic sector and in the social sciences and related fields in response to substantially new social needs.

This context saw the birth of Scientific Psychology, initiated by Wilhelm Max Wundt, Hermann von Helmholtz, and Ernst Mach among others, and Psychoanalysis, founded by Sigmund Freud. As regards the development of Sociology, a clarification is necessary, since Durkheim (as emerges from his name of German origin), cofounder of this discipline, was born in Alsace-Lorraine, which in 1871 was a region accomplishing the German II Reich. Therefore, even though Durkheim worked throughout his life in France, he also received and reworked the influences of the *Mitteleuropa* of his time. Thus, we can affirm that the *Mittel-european* nineteenth-century context, also defined as “one of the world’s richest sources of creative talent” [2], left a fundamental legacy for the development of some intellectual and social professions, including that of the pedagogist, thanks to the enormous cultural elaboration of the scholars/researches who they worked there.

To understand the development of Professional Pedagogy, which is a branch of General Pedagogy/*Allgemeine Pädagogik* on which we will deal, we also have to analyze its close relationship (link) with the *Sozialpädagogik*, a discipline in which the profession of the pedagogist finds a solid and recent scientific foundation. Among the scholars who gave impulse to the development of this branch of the pedagogical science, the most important are Karl Mager, who was the first to use the locution *Sozialpädagogik* in 1844 (in the “*Pädagogische Revue*” of which he was director from 1840 to 1848); Friedrich A.W. Diesterweg, who was involved in teacher training and in integrating theory with practice; and Paul Natorp, author of the essay *Sozialpädagogik*, through which the compound term is fixed in the scientific and technical-professional language. Indicating the branch of Pedagogy that has as its object the educational process in the context of the parts of society that are not established to educate but are educational as they are social: not the school, the infantry school, or the university of the third age but the territory, the family, the couple, the world of education that is not formal, the digital universe, and so on.

At this point it is of fundamental importance to refer to the figure of the pedagogist Durkheim, who defined Pedagogy as a “reflexion appliquée aussi méthodiquement que possible aux choses de l’éducation” [3]. However, with an extremely fruitful intuition, he stated that “la pédagogie est une théorie pratique” [4], comme la médecine ou la politique. La pédagogie est à la fois une théorie et une pratique: une théorie ayant pour objet de réfléchir sur les systèmes et sur les procédés d’éducation en vue d’en apprécier la valeur et, par là, d’éclairer et de diriger l’action des éducateurs. la pédagogie est. une théorie pratique”.

The following argument of Durkheim is, evidently, of great interest for the purposes of our speech: “Mais entre l’art ainsi défini et la science proprement dite, il y a place pour une attitude mentale intermédiaire. Au lieu d’agir sur les choses ou sur les êtres suivant des modes déterminés, on réfléchit sur les procédés d’action qui sont ainsi employés, en vue non de les connaître et de les expliquer, mais d’apprécier ce qu’ils valent, s’ils sont ce qu’ils doivent être, s’il n’est pas utile de les modifier et de quelle manière, voire même de les remplacer totalement par des procédés nouveaux. Ces réflexions prennent la forme de théories; ce sont des combinaisons d’idées, non des combinaisons d’actes, et, par là, elles se rapprochent de la science. Mais les idées qui sont ainsi combinées ont pour objet, non d’exprimer la nature des choses données, mais de diriger l’action. Elles ne sont pas des mouvements, mais sont toutes proches du mouvement, quelles ont pour fonction d’orienter. Si ce ne sont pas des actions, ce sont, du moins, des programmes d’action, et, par là, elles se rapprochent de l’art. Telles sont les théories médicales, politiques, stratégiques, etc. Pour exprimer le caractère mixte de ces sortes de spéculations, nous proposons de les

appeler des théories pratiques. La pédagogie est. une théorie pratique de ce genre. Elle n'étudie pas scientifiquement les systèmes d'éducation, mais elle y réfléchit en vue de fournir à l'activité de l'éducateur des idées qui le dirigent" [5].

Also, it is important to remember that Durkheim was called to the university first as a pedagogist and only years later as a sociologist. His works, widely available on the web, should not be considered as ones of minor importance, at least not by us and specialists in Pedagogy [6]. Furthermore, we must point out that he is still a man of the nineteenth century, who remained within the closed dualism theory-praxis, a dualism that Dewey would have excluded from the pedagogical domain, as Pragmatism which Dewey's Instrumentalism draws on. The Deweyan vision constituted, in fact, an exclusive alternative to the dualism of positivism-idealism, even though some philosophers like to seek, in this or that pragmatist, positivist or idealistic characters.

The rich and fertile eighteenth-nineteenth-century cultural elaboration, which we have briefly described, contributed in an essential way to the establishment of Pedagogy as a social science based on the assumptions of the "classical" Pragmatism (we refer to the ideas of Peirce, James, Mead, Dewey and his followers) and of the twentieth-century epistemology, which we find primarily in the work of Popper.

Even Pedagogy, like any other discipline that wants to define itself as scientific, establishes the continuous and unavoidable comparison with experience as an inalienable criterion, activating a *modus operandi* that constantly challenges a system, in order to verify its falsifiability.

For these epistemological reasons, and first of all for its well-focused nature in its suffix "*agogy*," unique together with its branches "*geragogy*" and "*andragogy*" that not everyone and not all languages employ, Pedagogy is not a purely theoretical science or even theoretic. In fact, the work of Pedagogy is not reduced to pure reflexivity but is essentially a problematization of education through the development of the professional dimension that allows the integration of theory and practice, or pedagogical reflection and educational operation, in an application practice plan that is neither theory nor practice but an operating on an intermediate plan, the plan of pedagogical mediation (in German *empirie* alternates with *Theorie und Praxis*, or *anwendungsmöglichkeit*: in Italian *applicatività*).

It is a profession of care, in the sense of taking care of someone.

It is neither a "*logy*," i.e., *λόγος*, nor can it be reduced to it, and Oskar Chrisman's unsuccessful attempt to do so (*Païdologie. Entwurf zu einer Wissenschaft des Kindes*, 1894, always-nineteenth century *Mitteleuropa*...) should not be forgotten. Philosophy of Education is a branch of Pedagogy not necessarily experiential in this particular sense: it plays a role comparable to Physics or Theoretical Chemistry, essential branches for these sciences, but which takes nothing away from, and gives much to, the inalienably experimental nature of these basic disciplines.

4. The essential characteristics of the educational paradigm change of our times (why pedagogical work is urgent today)

As we have seen in the previous paragraph, the scientific and technical-applicative professional development produced by scholars belonging to the nineteenth-century *Mitteleuropean* culture has led to the development and affirmation of intellectual professions belonging to the psychological, sociological, and pedagogical areas which then became established in the twentieth century. The cultural context in which these professional figures have emerged and evolved, including that of the pedagogist, coincides with a very important historical caesura, which is the end of the Modern Age (around sixteenth to eighteenth

centuries and some decades in advance, as well as with the obvious differences from society to society), characterized by a significant social, political, cultural, and economic change.

The progressive establishment of the bourgeois spirit (*Bürgergeist*), the profound social and economic changes, and the industrial revolution have brought out the need for an educational commitment aimed at transmitting rigid rules of behavior and artificial schemes of socialization. This context required an educational practice based on the replication of preestablished and incontestable models and behaviors that aimed, in particular, at the construction of genres in a polarized sense to the extreme (the male engaged outside the nuclear family and the female inside). In this context, the need for a strong and demanding educational investment clearly emerged, but this educational task was aspecific, because it did not require that the educator had a particular pedagogical training, nor even a culture, but simply the preliminary and uncritical adherence to the models and principles established. Hence, the greatest concern of educators was that of replicating these models and principles as faithfully as possible in students unidirectionally from one generation to the next, from parents to children, from teacher to student, etc.

Therefore, although in the historical phase which we have just described the urgent need for an educational commitment was felt, it is only in current times, that is, in the new age that Lyotard [7] defined as “*postmodern*,” that the “need for Pedagogy” has emerged clearly, declining as a need for professional figures with specifically pedagogical training. Today, we are living in a historical period of transition that has continued for decades, characterized by profound evolutions in the world of work, frenetic rhythms imposed by the digital revolution, important transformations in the field of information, and many other rapid changes that also and above all affect the pedagogical dimension. If in the previous era education took place through a process of transmitting predefined models and behaviors, in current times a new pedagogical paradigm is establishing that education must be understood in an evolutionary sense, pluralistic and bi- (or multi-) directional, as it is a process that takes place in different institutions and contexts (formal, non-formal, and informal) and affects all age groups (lifelong learning/education).

The substantial revision of the concept of “education” and, consequently, of the tasks and competences of professionals who deal directly or indirectly with education has led to the development of Pedagogy as an empirical science, a technique, and a profession [8]. The evolution of the pedagogical professional practice, ready to respond to the needs of current times, proceeds at the level of pedagogical mediation, operating a synthesis between theory and practice, or a continuous position of problems and a formulation of hypotheses submitted to the rules and laws of logic and the continuous control of experience, the “future experience” of Pragmatism.

The “need for Pedagogy” of the present times is not only felt in the institutionally educational social centers (the school system, university, social educational institutions) but also in domains and social contexts that are not established for educational reasons (the family, the couple, digital areas, etc.). The awareness of the need to recover and develop the educational dimension, in different social and relational environments, opens up new evolutionary scenarios for Professional Pedagogy, which, with its set of principles, techniques, and methods, represents a precious and fruitful instrument not only for professionals who work in institutionalized educational contexts but also for professionals who work in contexts that do not have explicit educational goals (work, sports, community centers, associations, host communities, etc.).

5. Professional Pedagogy: professional scope and prevailing operating centers

As anticipated, Professional Pedagogy is a specific branch of General Pedagogy and focuses on the study of education, that is to say, “*Qualunque forma di comunicazione tra persone, che concorra all’evoluzione culturale, intesa come prerogativa umana*” (any form of interpersonal communication which contributes, or is likely to contribute to, the perpetuation of history and cultural evolution as essentially human prerogatives) [9]. As a specific research program of a particular community of professionals, it is based on principles, methods, techniques, procedures, conceptual and operational tools, specific vocabulary, and the related organic arrangement. It is, in fact, the method and not the object that outlines the scientific nature of a speech and an intervention by a professional pedagogist and Professional Pedagogy in general. As Popper taught us, in fact: “Diese Überlegung legt den Gedanken nahe, als Abgrenzungskriterium nicht die Verifizierbarkeit, sondern die Falsifizierbarkeit des Systems vorzuschlagen; with and so Worten: Wir fordern zwar nicht, daß das System auf empirisch-methodischem Wege endgültig positiv ausgezeichnet werden kann, aber wir fordern, daß es die logische Form des Systems ermöglicht, dieses auf dem als Abgrenzungskriterium Wege der methodischen—wissenschaftliches System muß an der Erfahrung scheitern können” [10].

Professional Pedagogy, therefore, is to be understood as an empirical science capable, as previously seen, of overcoming the infertile and stagnant theory-practice dualism. Fully endorsing what has been taught by the twentieth-century epistemology and also the teaching on Pragmatism of Peirce [11], James [12], and Dewey [13], the basic methodological approach of the *Sozialpädagogik* is at the basis of the pedagogical professional operation. On the other hand, it must be emphasized that social Pedagogy itself finds applicability and professional and casuistic activity in Professional Pedagogy which, as we shall see later, expresses itself as a constant commitment to problem-posing and problem-solving in a perspective of constant dialogue and synergy.

The professional pedagogist cannot, therefore, do without a constant confrontation with “the present and future experience,” from which she/he draws the necessary feedback to corroborate any speech, proposal, and idea, intended as a product of human creativity. It starts, therefore, from the idea of scientific groundlessness of every a priori, of every absolute truth and the principle of verifiability, and from the assumption that the research proceeds through provisional conjectures, subject to strict controls in an endless process. A hypothesis is then corroborated until the intersubjective controls deny it, according to a principle of *fälschungsmöglichkeit*.

This scientific attitude also guarantees the intersubjective transferability of each proposal in a perspective of openness and respect for the uniqueness of each person, his experiences and his possibilities of a continuous and unpredictable cultural evolution without aims and without end, in an ateleological perspective. This scientific posture guarantees respect for differences and openness to all possible outcomes of every human choice and action, beyond any determinism and reductionism. Please note that in this regard the effective statement by Antiseri who underlines the value of the lived experience: “*la vita si capisce con la vita. La vita passata si comprende attraverso la vita presente: è l’esperienza presente a rendere attuali le esperienze del passato, a dare sangue alle ombre, a farle rivivere*” (“life can be understood by living it. Past life can be understood through present life: it is the present ‘experience’ to make the experiences of the past current, to give blood to the shadows, to revive them”) [14]. Once clarified these fundamental conceptual assumptions, we are now going to specify the prevailing operation centers and the scopes of the professional

pedagogue. He carries out an apical intellectual profession, whose object is education in a perspective of lifelong learning/education.

He therefore turns to the person for whom education is a primary, inalienable, and unavoidable need: a right that should not only be respected but guaranteed in a perspective of fairness and universality.

As in all top professions, the pedagogue can practice as a freelancer, (free professional individual) or within multidisciplinary teams, or even similarly with managerial, coordination, training, and supervision functions.

According to the recent Italian legislation, the main operating centers for Professional Pedagogy are to be found, therefore, “nei servizi e nei presidi socio-educativi e socio-assistenziali, nei confronti di persone di ogni età, prioritariamente nei seguenti ambiti: educativo e formativo; scolastico; socio-assistenziale, limitatamente agli aspetti socio-educativi; della genitorialità e della famiglia; culturale; giudiziario; ambientale; sportivo e motorio; dell’ integrazione e della cooperazione internazionale” (“in the services and in the socio-educational and healthcare facilities, for people of all ages, primarily in the following areas: educational and training, school, healthcare—limited to the socio-educational aspects—of the parenting and of the family, cultural, judicial, environmental, sports and motor, of the integration and the international cooperation”; l. n. 205 of 27/12/17, Subsect. 594).

In other words, the professional domain of the educator consists of all the social and relational sites, both *Gemeinschaft* and *Gesellschaft* [15], whether they were born with expressly educational institutional purposes, such as school, or oriented to other purposes, for example, the couple or the family or the aggregation centers or the virtual networks or the associations or the world of sport, to name just a few. Please note that, as we have already seen, education has an intrinsic social function and that all the social centers are in themselves educational, although they can be in an intentional, formal, and non-formal way or in an unintended and informal way.

More schematically, we can identify as follows the operating centers of the professional pedagogue [16]:

- The couple, in relation to their daily life dynamics, the underlying representations, and any problematic partnership issues
- The family, as a complex system of relationships that relate to the area of parenting and other relationships of proximity
- The territory, seen as a physical, cultural, and political place with a specific governance and specific personal services
- The world of education as *παιδεία*, that is, all the contexts of intentional, planned, professional, reflective education are well structured
- The digital universe, to be understood both from a technical point of view in relation to the instruments and as a space for communication and relationship

Here, for completeness of information, let us mention only the intermediate professional figures of a pedagogical culture, postponing a more exhaustive analysis to another occasion. These figures, just to give a few examples, are to be identified in those who work in nurseries, in family homes, in reception centers, in therapeutic communities, etc. These take on the status of educator, alongside adjectives specifying the functions and the operating contexts and whose supervision and training is in any case the responsibility of the top pedagogical figures.

We consider it important, having reached this point in our discussion, to focus on some case studies (i.e., general cases) that are exemplary exercise for Pedagogy as a profession. It should in fact be emphasized that, although Professional Pedagogy deals with single “cases” and that, therefore, the recipient of the intervention is always the single person, there cannot exist a higher intellectual professional who does not have methodological, cultural, and content competences on the general cases, or “casuistries.” In fact, being able to pass from particular cases to general ones through a logical abductive procedure should be a specific professional competence of the educator. The abduction, or retroduction, differs from the deductive and inductive procedure as follows: in the first the conclusion, after knowing the rule and the case, has the character of automaticity, while in the second it is postulated that a regularity observed and verified in a phenomenon will continue to manifest itself in an always identical way. Both logical reasoning are therefore based on the logic of certainty.

For the professional pedagogist, on the other hand, the reasoning will always be abductive as it is the only one to be open and evolutionary, the only one allowing to construct hypotheses and probability forecasts that are not of an absolutist nature, contemplating in itself the risk of error, of the fallibility that is an essential characteristic of every human action, as of every science and every profession referring to one or several sciences. An abductive reasoning will therefore be confirmed empirically, and its confirmation will never be absolute, but will be reasonable and open to forms of intersubjective assessment. The fallibility of the pedagogist’s conclusion leaves room for personal evolution, the intervention of the other, and respect and acceptance of the unpredictability of every relationship between people.

6. Some exemplary case studies

Without any pretense of completeness, we are going to illustrate below some exemplary cases in which one of the authors, Blezza, has already had the opportunity to have fruitful professional experiences [17–20]. General cases that, although here are treated in an extremely schematic manner, immediately and clearly reveal the distance, already expressed by Dewey [21], from a groundless and reductionist vision that borders Pedagogy in the theoretical dimension, and education in the practical dimension, such as pedagogical reflexivity and educational operations, ideas, and facts, thought and action were antithetical plans.

Let us start by presenting a first category of cases related to *the transformation of the family paradigm* or rather to the crisis still partially underway by the nuclear and puero- and conjugal-centric paradigm, typical of the eighteenth, nineteenth, and in part twenty centuries, that is functional to the rise and the affirmation of the bourgeois culture or *Bürgergeist*. The nuclear family model, formed about three centuries ago and for the last decades in an increasingly serious crisis as immutable in its characteristics and in its rigid role division, is now turning into a plurality of forms, characterized by sociocultural aspects that deviate from the traditional (and nontraditional) concept of family and its deinstitutionalization, due to increasingly unconventional conduct. Today, therefore, there are new family models that coexist alongside the “traditional” (so-called) bourgeois family model.

The latter was born above all following the dissolution of the patriarchal family (and the lady and gentleman one), due to the new processes of modern industrialization. This dissolution would have led to a loosening of parental bonds and to the creation of the nuclear family, typical of the bourgeois model, based on sharing an ethical orientation and a family lifestyle based on the rigid division of the male (instrumental) and feminine (care), on the importance of raising children, on housekeeping, on the distinction between public and private (see the new concepts

of privacy and domesticity), and on the importance of the family relationship. Today, in fact, this model is flanked, for example, by the multiple forms with which the symmetrical family model is expressed, in which, that is, the roles are no longer complementary, but interchangeable and, therefore, capable of greater flexibility and adaptability, for example:

- The single-parent family, composed of a single parent and children
- The extended family to other members besides the children and the parents
- The family rebuilt starting from the dissolution of previous unions
- The de facto family, based on a union not legally recognized because they lived outside marriage

The pedagogist can therefore support the person in the discussion, construction, and acceptance of an alternative family paradigm, capable of mediating between the personal reference systems and amalgamating the attitudes and personal choices in a functional manner to the well-being of those concerned, with a view to reciprocal respect.

Continuing to explore the casuistry, significant space is given to issues related to couples and partnerships. In this case too, we find the overcoming of the nineteenth-century model based on predetermined roles that consider the man engaged “outside,” in the workplace and in production, and the woman engaged “inside,” in tasks of care and assistance of the children and of her husband. Once again it is a bourgeois model of relationship, which is based on a heterosexual and patriarchal conception, no longer functional to the needs of a contemporary world that requires both men and women to learn to share, cooperate, dialogue, and mediate by enhancing the value of specific differences. The lack of a strong and unique model of couple relationship, as well as the lack of a clear definition of roles, based on gender, that is stable and socially accepted leads to a phase of redetermination of the functions of the spouses, a phase that, however, is still under construction and, therefore, equipped with an instability that contributes to increasing marital insecurity. In this context, pedagogical intervention is necessary where the expectations of the two spouses refer to different models, with relational and communicative implications that can be difficult to reconcile. The educationalist can foster a personal evolution that enables the interlocutor to be resilient and to accept the transformation underway, building a relationship based on new presuppositions of respect and symmetry of roles.

Another area is the case studies related to life orientation and, consequently, in studies. Too often, in fact, the two aspects, that of study and life project, are disjointed, and choices are made that divert the person from the possibility of carrying out his own expectations about the future. In fact, choices related to school and university careers are often based solely on assessments related to disciplinary preferences or, even worse, the parents’ ambitions. On the contrary, life projects should orient the study choices in a flexible and open way to progressive reformulations as a consequence of a sound awareness linked to the medium- and long-term attitudes and expectations of everyone that the pedagogist can try to facilitate and feed in every person.

A fourth type of cases concerns patient assistance (in the case of Professional Pedagogy we speak of “interlocutor,” instead of patient, as we will see in detail later in the chapter) and to the therapist. This area refers to any health education action, understood as awareness raising, information, and diagnostic investigation. Particularly interesting from a pedagogical point of view are the sectors of the

prevention of risk behaviors (e.g., the intake of drugs or other addictive substances, the unsecured promiscuous sex, the abuse of drugs or smoking substances, etc.), of patient and family support, and of informed consent. The pedagogist can conduct a dialogical intervention of an educational nature aimed at informing on the one hand and on the other at helping the person to decode the difficult situation she/he is going through and making conscious choices beyond the emotional implications.

Then, there is the case study that relates to the promotion and maintenance of “feeling good” in the most general meaning of this expression, a meaning that interprets health as a state of well-being in a holistic and global sense, as in the well-known definition of the WHO of 1978. It is, as in the previous series, a support offered to the therapist and the patient (in the role of interlocutor), but through an indirect action that has as its object the context of life, understood as the social environment of the person. The pedagogist, that is, by speaking with those who constitute the aforementioned social environment, involving all those who are available for dialogue.

The last case study that we are presenting here has the previous character of intervention on the context, with reference to the planning and direction of a public cultural intervention. This is the case of territorial personal services, such as those offered by libraries, museums, play centers, and community centers, or initiatives such as film festivals, seminars and conferences, cultural trips, and opportunities for meeting and exchange, also in the virtual environment. The pedagogist can act in an educational perspective in this non-formal and informal context, overcoming a transmissive and homologating vision of reproducing preestablished models, offering, also through examples, multiple relational and cultural opportunities and chances able to welcome and enhance the characteristics of each person in an evolutionary perspective.

To conclude this schematic presentation of the pedagogical case series, it seems to us more appropriate than ever to quote Dewey who claims: “We never educate directly, but indirectly by means of the environment” [22]. We agree, in fact, on the consideration that the educational work of the pedagogist, in addition to directly involving the person, also passes through indirect practices of transformation of the living environment.

7. Conceptual tools and methods of pedagogical professional practice: the toolbox

The Professional Pedagogy, as already anticipated, acts in the field of applicability, which is a space for non-spontaneous confrontation and functional interpenetration between the level of theory and the field of *praxis*, in some way transcending both; it is openness to application, capable of overcoming the dangers of dualistic reductionism in one direction or in the other on. It is, therefore, a science of dialogical and dialectical nature, capable of continuous, constant, and coherent openness to experimentation and experience to guarantee a methodologically rigorous and at the same time democratic vision. The pedagogist is, therefore, a professional of mediation, who in his professional practice acts on an intermediate level between theory and practice.

The pedagogical work, as a cognitive, applicative, and practical commitment in the educational field, uses specific conceptual tools and operating methods. A peculiar characteristic of professional pedagogy, however, is that it is not exclusive for the professional practice of the pedagogist; on the contrary, this tool can be used (and it is used actually) also in other professional and intellectual domains, for example, the psychological, health, and social domains, and so on.

Here, we have just the space to state a first review of the conceptual and operational tools that characterize the pedagogist's "toolbox," highlighting its purely pedagogical nature:

- *γνωθι σεαυτόν*
- *ρητορεία*
- *διάλογος*
- The pedagogical dialogue
- The life project
- Proceeding through problems
- The normed and standardized exercise of creativity
- Internal consistency and external consistency
- The *Einfuhlung*, a particular kind of empathy

The first three instruments mentioned have ancient origins, which date back to classic Greece, and they are only some examples. We are presenting them briefly so as to make explicit the deep roots of the discourse developed by Professional Pedagogy.

Let us start by defining the instrument of *γνωθι σεαυτόν*, an expression that literally invites us to "know yourself," to become aware of our own strengths and weaknesses, distancing ourselves from an attitude based on *ύβρις*, or on the arrogance of transcending what it is an essential human character, that is the limitation. The topicality of the *γνωθι σεαυτόν*, an instrument that allows us to focus on the limits and potential of everyone, is relevant in a society where men, especially due to current and evolving technological prostheses, often have an arrogant attitude and find difficult to accept functional boundaries to the definition of their self and their experiences.

With *ρητορεία* we refer to the "art of saying" particularly of sophisticated tradition, that is, to the ability to construct discourses that arouse approval and consensus around one's ideas through captivating arguments, proposed in order to support one's thesis. "The art of saying," which is the basis and instrument of education, is ground on the principles of classical logic, of early Aristotelian elaboration, which incorporate in themselves characteristics of rationality and balance on the basis of three principles: that of identity, of noncontradiction, and of the excluded third party.

Another conceptual instrument of essential importance is the *διάλογος*, already present in the Greek tragedy and in the *erodotea* historiography and then widely used in the philosophical discourse by Socrates. The latter articulates it in two phases:

- That of the *ειρωνεία*, that is, of pretending not to know by putting the interlocutor in the position of having to justify his statements coming to make explicit the contradictions that contain so much as to put in crisis and bring down the mistaken convictions.
- The consequent one of the *μαιευτική τέχνη*, or rather of bringing out the correct ideas from the same pupil/interlocutor, who finds himself identifying the

answers to his own questions and problems, and revealing (or more strictly bringing to the light) the *ἀλήθεια*. Using dialogue as a technical tool implies a non-authoritarian attitude on the part of the pedagogist that accepts the requests of the other, with availability and without judgment.

Heir of the *διάλογος* is the tool of Pedagogical Interlocution, a particular form of activating the helping relation (which will be further examined in the next paragraph) between the pedagogist and the interlocutor that takes place in the cultural and relational dimension of the person without entering the area unconscious. Indeed, the Pedagogical Interlocution makes the moments of the *ειρωνεία* and *μαιευτική τέχνη* its own. It uses, in a systematic way, the refutation and the maieutics, so that the interlocutor can realize by himself the logical and practical fallacy of some of his convictions and be able to autonomously identify the path of a possible functional answer to his situation. In this regard, we are going to highlight a substantial difference between the Socratic *διάλογος* and the Pedagogical Interlocution: the first is based on the concept of the search of truth or *ἀλήθεια*, which it considers in absolute and universal terms, while the second one is based on the idea that the research process is open, continuous, and without end and aims, and therefore there is no truth to be achieved. The interlocutor will therefore be supported in the process that leads him to explain and question the principles underlying his own choices and actions, principles that he considered to be taken for granted and that were not made the subject of critical analysis and conscious and contextualized focusing, that is, dropped in the concrete life situation of the person. It is necessary to make it clear that the pedagogist is an internal part of the discussion, to which he offers points of critical confrontation with a view to systematic doubt and constructive openness, without ever claiming that his positions are valid in absolute terms and in the knowledge that, as an active member of the report, he himself is included in an educational, evolutive, and growth process. Interlocutor and pedagogist must therefore be available to question themselves, evolve, and change as a presupposition when the Pedagogical Interlocution is started.

A further significant tool is the life project, which is an explicit or implicit reference point for the choices and actions of each person. Pay attention to the fact that life cannot be planned and it should be taken into due consideration and that it is precisely for this reason that we are not talking about a “life plan,” but a project: the latter has characteristics of openness, flexibility, and willingness to change. Some difficulties can, in fact, arise precisely from a rigid attitude in front of the contingencies of life, an attitude that sees the person remaining fixed on crystallized positions that he is unable to question starting from what life proposes to him on an empirical level and which it may be in logical or factual contradiction with what the person himself had envisaged. It is as if the person remained a slave to his own projection on the present and the future, from which he cannot free himself at the cost of his unhappiness. It is also possible that the person himself is not able to bring out such contradictions on his own, not being used to questioning his own assumptions, which can become blind automatisms. Once again, the pedagogist has the role of a critical goad, who pushes to place at the center of the discussion automatisms, implicit convictions, and aspects considered implicit and that can lead to situations of internal confusion and incommunicability with others. The dynamic and personal nature of the life project is a condition for it to be explicitly and consciously shared with those with whom significant relationships are intertwined. It may happen, in fact, that the absence of confrontation leads to explode situations of great discomfort where there is a lack of convergence between life projects that remains undervalued and not questioned, in an attempt at a possible mediation based on a partial and reciprocal rescheduling of life projects involved.

Another fundamental method of pedagogical intervention is based on proceeding through problems. The person who turns to the educator is living, in fact, a problematic situation, that is, a situation of crisis and imbalance between herself/himself and her/his life context. The problematic situation refers to the context and not to the subject who must be helped to experience a transition from a passive position to an active one, that is, to move from the problematic situation to posing the problem. A problem is, in fact, a problematic situation that the person faces constructively, that is, the rationalization of the problematic situation; it therefore implies the assumption of the commitment to take charge, to decide to face and find a solution to one's suffering condition. The pedagogist will support the person to make the aforementioned transition, without proposing solutions, but giving, where necessary, indications of the method until the interlocutor himself builds his hypotheses of exit the problem that sometimes turns out to be also very far from the problematic situation initially proposed. These hypotheses must be contextualized and historicized since there is no universally valid and a priori solution. What we are presented are human creations and, as such, are fallible attempts to resolve.

With regard to the formulation of the aforementioned hypotheses, we will introduce the concept of normed and standardized practice of creativity, i.e., the conception of always new possible solutions. In fact, the idea of the nineteenth to twentieth century, a romantic idea, that creativity is only a characteristic of some individuals that are "brilliant and without rules" is overcome to introduce the idea that each person is a creative subject. Creativity is, therefore, a form of thought and always refers, therefore, to rules which are of a logical nature, therefore of internal coherence, or of empirical controllability, therefore of external coherence. And it is precisely this dimension of creativity that places the pedagogist in a position of constant research, which implies not having solutions to offer, but only indications of method to be suggested to ensure that everyone finds the road most suited to their own unique and creative mode of existence.

To conclude the treatment of the pedagogist's "toolbox," which is not the conclusion of the inventory of a much wider and more complex instrumentation, we are going to present the conceptual and operational tool of the *Einführung*. It refers to a particular form of empathy that originates from a deliberate act intentionally designed starting from precise techniques. The *Einführung* stems from an active and reciprocal attitude for which the pedagogist, aware of the risks and limitations that this entails, designs and experiments a form of contact that leads him to "take the situation within himself," renouncing clinical detachment.

8. The clinical practice of the pedagogist-methodologist

In the pedagogical professional exercise, the tool of pedagogical dialogue that we have briefly analyzed in the previous paragraph is particularly important, and, therefore, it seems appropriate to investigate further. The interlocution we have referred to takes place always and in any case within the conscious, cultural, and relational dimension of the person and aims at achieving a profound and integral state of well-being, of which the essential factors are the education, sociality, relationality, value choices, and the search for the sense and meaning of life or *Lebenssinn*. We can thus connect to the health dimension if we accept the broad definition given by the World Health Organization, as was anticipated, according to which "Health is a state of complete physical, mental and social well-being and not merely the absence of disease or infirmity."

The pedagogist, for reasons essential to his culture, is not a therapist and, therefore, does not deal with fighting diseases. He does not attribute to himself the tasks attributable to the verb “to cure”; rather he considers his own task expressed by the verb “to care of.”

The pedagogical dialogue is conceived, born, and developed to have a following in other places and with other interlocutors. Before starting the helping report, the pedagogist is already aware that the dialogue he will try to establish will be completed and will have to be followed up in other locations. It is up to the pedagogist to redirect the interlocutor by choosing between the two possibilities available to him.

The first, which we will call “professional redirection,” refers to the established need to continue the discourse undertaken with another professional, be it a psychologist, a medical doctor, a social worker, a lawyer, or other. In this case the pedagogist will have to make sure that the redirection takes place without friction, trying to remove all the factors, including cultural ones, which may be hindering.

The second possibility offered to the pedagogist is that of favoring the continuation of the dialogic relationship in the context in which it originated and in which the problematic situations were found. It is the “canonical redirection,” that is, how this second possibility is named: it provides that the professional who acts pedagogically enables the interlocutor to reopen that dialogue lacking in the couple; in the family, where he ran into the initial problem situation; and more generally in society, in a more productive way and with new openings [23]. If the pedagogist, as we have been able to emphasize, is never a therapist, it is possible instead to speak, in the professional exercise, of clinic and derivatives, including the adjective “clinical” which, at times, designates a particular figure of the professional pedagogist. To better understand the use of this adjective, and of the corresponding noun in the methodological and pedagogical context, we can refer to its etymology: in the classical Greek, which was also used by Hippocrates and by Galenus, *κλινικός* was an adjective referred to the intervention on the couch (*κλίβε*) where the patient was, an intervention properly in a situation, and an intervention in which the professional falls into context and bends toward the person to go and investigate his own field of interest (the illness for medicine, the educational process for the pedagogist). There was also the verb *κλίω*, which meant to get close, to tilt, and therefore to contribute to the same meaning.

In the educational dialogue, there are evidently some elements of method that are present in the field of the medical clinic, for example, realism, attention to the recipient, positioning and operating in the situation of the interlocutor, the problematic nature, direct relationship, professionalism, the presence of the doctrine, the possibility of considering every form of individual variability, and the mutual exclusion of “medium” typifications. These are in fact used in operational statistics, which constitutes the opposite pole with respect to clinical casuistry and situational, in the methodology of human disciplines [18]. Whereas in the operational statistical method each element of the population is taken into consideration only in the aspects that can be traced to an operational treatment, in the clinical method, the attention shifts to the particular case, with its unique prerogatives and its unrepeatability, irreducibility, and individual variability. Riccardo Massa, the Italian pedagogist who has brought the concept of clinic to the center of pedagogical research, summarizes the cornerstones of clinical methodology in the field of research: *“la clinica della formazione privilegia lo studio approfondito di singole situazioni, di singoli soggetti e di singoli processi di formazione, utilizzando tecniche come quelle del colloquio in profondità, della ricostruzione di storie di vita o di accadimenti particolari, tentando di cogliere dall'interno il significato di determinate esperienze e di determinate testimonianze educative”* (The training clinic favors the in-depth study of individual situations, of single subjects, and of individual training processes, using

techniques such as those of in-depth interviewing, reconstruction of life stories or particular events, trying to grasp from within the meaning of certain experiences and certain educational testimonies) [24].

There is obviously also in the clinic a process that leads from the particular to the general, but this happens not through an induction or an empirical generalization but through the specific competence of the professional in operation with his culture, competence, and expertise. This is the logical procedure that was studied by Peirce under the name of *abduction* and which we have already analyzed previously.

“Clinical case study” method means, first of all, centrality of each individual case, toward which “to bend” without losing sight of its irreducibility, its unrepeatability, and even its inviolability which is the inviolability of the human person involved [25]. “Person” is a technical term of fundamental importance in Pedagogy and social sciences and is often contrasted with the term “individual,” which designates an element belonging to a domain on which global and statistical considerations can be made. The individual is undifferentiated, and the only peculiar characteristic that distinguishes him is his belonging to that domain. With the term person, on the other hand, we want to indicate the human subject as the bearer of our own system of values, of our own sense of life, a subject of social relations and relationships, a node of a network of communication with other people, in a very broad political subject. This consideration takes into account the individual characteristics that are not suppressible or negligible and which are considered in their non-repeatability.

Proceeding in the professional practice and in research with a clinical method means then putting yourself in a helping relationship to the person, even when the help is requested in a social and collective context (help to the family, to the school, to the company, to the sports club, to the couple, they are synecdoches, rhetorical figures which consist in speaking of the whole social reality instead of the part). In Professional Pedagogy, individuals or groups are helped, even when the help refers to their being within these or other human partnerships that are relevant from a pedagogical point of view.

9. Conclusions

We have retraced the ancient and modern history of the profession of pedagogue, that is, the apical profession in the field of education, relationality, sociality, and cultural evolution, from antiquity to recent times, and we have seen extensive exemplary repertoires of conceptual and operational tools, techniques and methods of practice, and treatment of concrete cases.

In this context, methodological questions of fundamental importance are posed, for which the pedagogue must also consider himself a methodologist with particular regard to the social science methodology.

The word now passes to the body of professionals in action, consistent with the applicative character of pedagogical science and profession, because only from all these applications and professional practice can be developed the necessary contribution for the future evolution of the subject.

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Feedback and Feedforward as a Dialogic Communication in the Learning Environment

Halliki Harro-Loit

Abstract

Feedback concept in education is broad and covers several functionalities. The aim of this essay is to open up feedback and feed-forward concept as a process of dialogic communication both on individual level and in (educational) organization. While feedback provides information retrospectively (how has it been?), feed-forward would guide the future progress. While approaching the feedback from the point of view of dialogic communication, this study proposes different aspects of the feedback addressee and feedback provider could negotiate in order to make the feedback satisfying for both sides: number of aspects, time, generalization, and—whose task is to “interpret” feedback to feed-forward. The essay opens up the complexity of feedback and feed-forward asking/giving/receiving from the point of view of interpersonal as well as organizational communication. While approaching feedback giving and receiving as interpersonal communication it might include “noise”—unintended and sometimes spontaneous messages. The essay includes illustrative examples from the daily communication practice concerning the complexity of giving analytical descriptive feedback. On organizational level, the essay suggests to consider carefully the purpose of the feedback, the data collection methods and how the organization can make use of the data.

Keywords: learning process, feedback, feed-forward, communication, learning environment

1. Introduction

In cybernetics, learning processes, and communication, feedback is essential. Often, it is related to the (formative) assessment (e.g., [1, 10]) where “the power of formative feedback lies in its double-barreled approach, addressing both cognitive and motivational factors at the same time” ([2], 2). The feedback concept in education is broad and covers several functionalities: e.g., diagnostic feedback ([3], 769), immediate corrective feedback provided by various information computer platforms and programs [4], critical and constructive feedback (e.g., [5]), verbal and nonverbal feedback, etc. Generally a feedback should feed a learner learning forward and should help to identify the next steps in the learning journey [6]. In the context of this essay, it is important to distinguish feedback and feedforward. While feedback provides information retrospectively (*how has it been?*), feedforward would guide the future progress (e.g., [7–11]).

An important approach concerning feedback is its effectiveness (e.g., [3, 12]). For example ([2], 5) proposes four feedback efficiency- related strategies that might vary: timing (when given how often), amount (how many points made, how much about each point), mode (oral, written, visual/demonstration), and audience (individual, group/class). She (like many other authors, e.g., [5]) also provides recommendations not to judge but to describe, avoid personal comments, focus on the work itself and the process the students used to do the work, use positive comments that describe what is well done, and focus on the students' own past performance. These are widely recognized basic recommendations for efficient and constructive feedback.

Another approach [3, 13–15] focuses on the importance of *dialogic approach*. While Yang and Carless [15] point out that “Our emphasis on dialogue is an explicit attempt to circumvent the limitations of one-way transmission of feedback which frequently arises from the dominant structural constraint of written comments on end of course assignments,” this essay focuses on dialogic feedback as a process of negotiations on the aim, focus, and amount of feedback and feedforward. Ajjawi and Boud [16] point out that “Understanding feedback as information transmission has dominated most of the literature (until recently), where research has focused on the content and delivery of the feedback, that is what the teacher does. Feedback as ‘telling’, which positions the learner as a passive recipient, is problematic, as the act of telling does nothing to ensure the learner has read or listened to the feedback” ([16], 253). Skovholt [17] shows by using conversational analysis (CA) that during student-teacher interaction, the teacher is mostly active (holding initiative) and sets her agenda, while the student is rather in passive role. Hence, in education-related literature on feedback, the focus has been mostly put on giving efficient feedback, while *perception* is central to skillful interaction ([18], 25).

The main aim of this essay is to open up feedback and feedforward concept as a process of *dialogic communication* both in individual and (educational) organization levels. Considering feedback and feedforward as a dialogic communication, we can ask if the feedback starts with *the addressee determining the focus*? Is the skill of asking appropriate feedback one important aspect of feedback literacy? What are the problems concerning negotiations about the object, amount, and timing of feedback? Whose task is to “translate” feedback into feedforward? In addition, feedback never appears to be neutral—it values some aspects, while the others remain outshined. It is often hard to detect if the feedback actually measures, reflects, and supports the aims and values expected; hence, “negotiations” might not necessarily end with the first phase of feedback process.

These questions direct us to the final question: while offering feedback is a demanding communication—it necessitates perusing aims, agreement between the parties, time, expertise, and communication skills—receiving feedback also demands special literacy. Hence, it is important to point out that if feedback is handled from the point of view of dialogic communication, it demands special feedback-feedforward literacy where the teacher and student (addressee of the feedback) are both active and equipped with good communication skills and knowledgeable about efficient feedback.

While feedback is a social practice in which the management of relationships represents a source of emotions influencing the learners' ways of studying ([15], 289), good interpersonal communication or failure during the feedback (forward) process might either establish or destroy relations. Thus, in the discourse of interpersonal communication, much attention is being paid to the techniques of providing constructive feedback via various reinforcement techniques (e.g., “When someone does something especially well, give them positive feedback, and relate it specifically to the action or behavior that was performed.”, [19], 6).

Educational organizations also need and use different feedback systems in order to evaluate their performance and settle further aims, although the vast number of performance indicators [20] might cause a lot of noise if the aim and the focus of the feedback remain vague. But in both cases, the common problem that becomes visible, if the feedback is approached as a dialogic communication, is that the aim and the object focus and timing of the feedback and feedforward should be negotiated.

Illustrative examples in this essay are collected from my various teaching experiences.

2. Negotiating about the aim and the object of the feedback

Why is it important for the provider and the recipient of feedback (and feedforward) to agree upon the purpose and object of the feedback? As to the communication viewpoint, it is essential that the volume and degree of substantiality would be equally clear for both parties and to consider their current needs. Carless and Boud [21] name that kind of talk as meta-dialog: "... there is a need for meta-dialogues between teachers and students about feedback processes. Meta-dialogues discuss processes and strategies of assessment and feedback rather than the specifics of a particular piece of work."

From the point of view of dialogic communication, the first intricacy upon creating a conscious feedback system would be establishing and agreeing about the aim, object, and amount (content) of feedback. A faculty member of the University of Tartu provided an elaborate feedback for a student's essay on journalism history. The academician spent a lot of time in a belief she was doing a good thing, as for years the internal communication in the university had suggested that the faculty members provide students with too short and shallow feedback. In the particular case, the student was annoyed because he expected just the grade.

I have permanently had the same dilemma while feedbacking the students' works (within higher education)—how much would it be optimal for the study process to provide feedback and feedforward? Would the student be able to admit the complexity of the feedback, addressing the content, language, formatting, structure, and the used data validity? While it seems to be obvious that the aim of the feedback needs to be established before providing it, teachers and students quite often forget that this needs a special time in meta-dialogs (communication).

In some cases, the purpose of the feedback can be normatively determined, e.g., in the case of tutoring, the criteria for "learning outcomes" can be assessed. A practical problem arises when the outcomes have been worded too generally or as "fully acquired skills." In the latter cases, the provider needs to make an effort to allot the feedback into reasonably small and cognizable constituent skills for the learner. For example, for a test in mathematics, the teachers' feedback to the student feedforward often stands, "Exercise calculating more!", as the learning outcome is specified as "Can calculate." For a student, "exercising to calculate" can be a too general and overwhelming task, as it includes training several constituent skills. The more explicit feedforward might be "to exercise the written method of division." A more precise analysis of the student's mistakes may enable to focus the feedforward more precisely, "Be cautious in putting down the numbers in written division – write only one number per grid paper square!"

In education organizations, the future directives have usually been formulating development plans. However, these plans have been laid down as if horizons are glimmering far away. The organization's staff still needs particular vision for a closer timeline—in a year or 5 years of perspective.

Altogether, for determining the aim, objective, and amount of feedback and feedforward, the provider and the recipient need to agree upon the following:

1. Would the feedback and feedforward cover few or many aspects?
2. What would be the final object of the feedback and feedforward?
3. The degree of generalization—how much effort lies in interpreting the feedback? Who should “translate” feedback into feedforward?
4. Extent of the feedforward—how much effort is expected from the recipient in the process of implementing it?

As it was said before efficient feedback needs timing, hence, feedback needs to be scheduled, but from the point of view of communication, the main problems are linked to fixed feedback systems in educational organizations that most often are related to the feedback the teacher gets from students. For instance, there is a difference for a teacher to receive feedback from the students either during the course—to enable and implement instant changes—or after the course. The latter’s retrospective nature enables to introduce some changes the next time, but the students vary year by year. As another example for a teacher starting his career, it is important to get collegial feedback and feedforward both before the session and in situations when some activities need to be adjusted.

Thus, the purpose of feedback and feedforward may seemingly be obvious, but, in practice, we have to pay sufficient attention to the time we need for meta-dialog about the objects and volume of feedback and feedforward, its explicitness, and the period of time about what and when the feedback is provided. Merely the considerations of the feedback provider would not suffice—the needs of the recipient must equally be regarded.

3. Asking for feedback and feedforward

Ideally, feedback could start from questions asked by the recipient. Much of the disappointment between the feedback providers and recipients originates from discrepant expectations and perceptions of good and relevant feedback. Therewhile in practice, the recipients may not know what he actually does not know. In other words, formulating the question for feedback necessitates a good self-reflection, an ability to assess feedback provider’s competence, and, after all, a habit to request for feedback.

More often in my educator’s practice, I have been employing a method, asking the students to formulate about what they would like to get feedback. I explain them that if they ask “How was my test?”, I’ll respond in the same degree of generality: “Well”, “Not satisfactory”, or similar. My intention of employing this method is to develop students’ skill to devise what skills and knowledge they elaborated while executing the exercises. Also, I am aiming to provide as much feedback as much the students are willing to “translate” it into feedforward. It is likely that the ability to ask for feedback and feedforward would need systematic training and be shaped out gradually.

How can an (educational) organization obtain feedback for its operations? Ideally, the school staff might formulate the question, in which they would like to have feedback and feedforward. From there on, they put up a methodology on how to get the requested feedback. What data needs to be gathered? How to get these

data? Who and how we might analyze these? How to interpret the results and to “translate” them into future plans?

In an organizational management, there are very many feedback indicators (e.g., [20]). Thus, feedback by external observers can be random, singling out some features and neglecting others. Therefore, in sophisticated systems, the feedback recipient needs to balance traditional and externally provided feedback indicators. I would like to point out that if the educational organizations avoid actively formulating feedback questions about themselves, the declared aims and evaluations fed back often collide. For instance, the curricula and the political rhetoric primarily declare child-centeredness, but the public evaluative feedback focuses on ratings upon state examinations’ results by schools. Analysis (feedback) on the “health” and development of the system actually means permanent scanning of the “dark corners,” also detecting and critically apprehending new patterns.

Grasping initiative while asking for feedback provides an advantage—the recipient can control the vision of what is noticed upon his work and also push it to the direction, in which he wants to advance.

Along with formulating the feedback questions, also the feedback asking a format can be tangled. Format, or genre, simplifies communication and reduces confusion about hidden assumptions. Evaluation interview is a prevalent format, or genre, for feedback and feedforward. During this evaluation interview, the conversational partners take time to listen to each other. The interview can be prepared. Having listened to people working in various spheres, I claim this demanding genre for managers to be misemployed as an enabler of productive feedback and feedforward. Organizations (management, focus groups) may need explicit time and place for evaluation interviews. Group interviews probably take more time, and the preparation is more demanding, but, for the educational institution or its owner, such regular feedback genre, after years of rehearsing, can serve as an event to discuss corporate values and principles.

Standardized questionnaire is another common format for feedback. Employing questionnaires is intricate, as here stands the rule—you’ll get what you ask. In other words, wrongly formulated question to a wrong addressee would rather produce noise.

4. Noise in feedback

In the interpersonal communication, you can read a colleague saying “Your class is awful!” not providing feedback but expressing his anxiety. Besides, the colleague produces judgmental feedback about a situation, in which the recipient cannot do anything. It sounds like a reprimand by a teacher to the parent of a student, “K. is disturbing the lesson!”. The parent could reply in the same mood, “Shall I come to the lesson to sit next to my child?”. The teacher might rather ask his colleagues, “What methods do you use to keep the students busy?”. Therefore, it is important to make difference between feedback and issue propounding.

Noise can also be produced by anonymous feedback. In the case of anonymous feedback, the interrelationship and context between the provider and the recipient is missing. It is very common to ask anonymous feedback from students about finished courses. With regard to translating feedback into feedforward, this contains several problems. The anonymous feedback is hard to interpret due to missing context. Inevitably, the student’s relationship with the teacher and the course is personal. I have met several teachers who along with constructive feedback have received some adverse statements, which tend to irrationally haunt years later. Over all, anonymity provides no motivation to feedback in quality manner. However, all

the mentioned drawbacks do not fully compromise collecting retrospective evaluations, but it cannot be translated into feedforward. Also anonymous questioning may be relevant, but it does not support interpersonal relations.

Relations also suffer from superficial feedback. In daily work, people experience a wide range of features, but the feedback they get about are some marginal nuances. For instance, a teacher had prepared several exercises with diverse ruggedness for students with diverse studying pace. He improved the exercises, based on the feedback from the students. Now, he would need inspiring, analytical, and approving feedback, noticing that he has done much beyond the regular job. During the evaluation interview, the manager mainly asks about the teacher's mid-career training needs and praises for good results in exams. The manager based on easy-access data and has no knowledge about the teacher's innovative work. By analyzing how much and what kind of feedback the managers give, we can indirectly detect how much they have delved into subordinates' job. In fact, the provided feedback reflects the manager's professional competence.

5. “Translation” of feedback into feedforward?

In translating feedback into feedforward, we need to address two major considerations. Firstly, we need to establish if the results can be improved with the help of feedback. This underlines the importance of the time of offering feedback. For instance, when students provide feedback to the teacher, it makes much sense whether the feedback is given during the course or after it. In the first case, the teacher can make improvements to the ongoing learning process; hence, the feedback that is given to the addressee during the process could be turned into feedforward, while the feedback that has been given in the end of a course would not be easy to be “translated.”

It is also important to establish who “translates” and how to “translate” feedback into feedforward. For example, grading at schools is a typical sort of feedback, which points out the errors but establishes how to avoid these mistakes with the subject of grading. The problem is that the feedback on what has been achieved needs special effort to the “translated” into “what should be the next steps” message. In the case of an active learner (addressee), it might be useful if he/she asks actively about the next steps.

6. Analytical descriptive feedback instead of compliments

As it was said before, feedback is a tool for creating (or destroying) relations. To create and keep trustful relations, one might have to learn to provide neutral descriptive feedback. It is probably easier and more convenient to give general positive commending judgment. However, positive descriptive feedback presupposes the qualities of an observant noticer and analyst. For instance, the provider of neutral descriptive feedback instead of saying, “A great lesson! Enjoyable and interesting!” would say something like “I saw that students in your lesson were studying along! At least four-five students asked some further questions and your answers provided also me with new facts!”

The effect of descriptive neutral feedback appears more splendid when negative message needs to be passed on. For instance, a small student fidgets and chats. A critical and judgmental feedforward would be “Don't disturb the lesson!”. The descriptive and neutral way to provide feedforward would be something like “I see that you have hard time to listen to my talk”—a pause—and then “What could help

you to concentrate?” This example illustrates also one more golden rule for feedback and feedforward—before giving feedback and judgments, think about what you do not know and what kind of wrong presumptions you may have. Maybe the child seemingly disturbing the lesson has an acute question on the topic and simply cannot get a chance to say it or is shy.

7. Summary: checklist of critical questions concerning feedback and feedforward

In analyzing feedback and feedforward from the aspect of dialogic communication, we need to keep in mind that communication always produces noise: failure to understand properly, incorrect data, prejudices, data misinterpretations, inappropriate word usage, shallow or judgmental opinions, and others. It would be efficient to start from asking what the recipient needs. Would it be acknowledgment (for cheering up or promoting) or feedback convertible into feedforward? Or is it confirmation on something already known?

If an organization seeks for feedback, it is relevant to detect what kind of data is needed to be collected and how. Would these data and sources be adequate indicators to assess the desired question? What are the permanent working feedback formats (e.g., evaluation interviews), and which need additional effort to be launched?

And what will be the purpose for the gathered feedback? In many cases, organizations make much effort for getting data about their daily functioning and spend much money and time (e.g., carrying out a vast formalized survey) but cannot make use of the results.

Finally, we need to notice what kind of (often unapparent) communication of feedback and feedforward is already going on between the individuals and the organization. What kind of messages and values are forwarded through it? What kind of information would it provide about feedback providers and their competence, values, and ability to delve? Will there remain traces of the feedback procedures to be used for organization's future performance analysis? Altogether, asking organizations about their feedback- and feedforward-related behavior enables to analyze the level of communication noise and, respectively, reduce it.

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Developing and Evaluating Educational Programs

B. Charles Tatum

Abstract

The chapter describes a system for the development and evaluation of educational programs (e.g., individual courses or whole programs). The system describes steps that reflect best practices. The early stages in development (planning, design, development, implementation) are described briefly. The final stage (evaluation) is described in more detail. The evaluation step is a four-tiered process based on the Kirkpatrick and Kirkpatrick model and a performance indexing measurement system of Tatum and Nebeker. The chapter should be a valuable guide for teachers, program directors, and department chairs in their efforts to create and maintain quality educational experiences and high levels of student learning.

Keywords: educational programs, curriculum development, course evaluation, program evaluation, student learning

1. Introduction

Most educational endeavors (e.g., producing curricula, programs, courses) follow a pretty standard set of activities for the purpose of educating students as shown in **Figure 1**. The chapter will rely mostly on college and university curriculum examples, but this does not exclude primary and secondary schools. Think of this as a roadmap. Like any roadmap, it is not the only way to get from Point A to Point B, but it will show the landscape and road signs from which to navigate through the process of creating new and better educational experiences for students. This chapter will briefly describe the first four phases of the process, and then focus in more detail on the evaluation phase. The emphasis on the evaluation phase is in line with current trends in education that view student learning and success as essential to academic performance.



Figure 1. Sequence of activities in educational planning, designing, developing, implementing and evaluating programs and courses.

2. Phase I: planning

Planning is the first of five phases in creating an educational experience (e.g., an individual course, an academic program). Planning includes a set of data gathering

and assessment activities aimed at helping to decide whether or not to proceed to the design, development, implementation, and evaluation phases. The output of the planning phase should be a written concept proposal that makes an academic case for proceeding to the subsequent phases. This planning document can then be submitted to the appropriate approval structures (e.g., principal, department chair, dean, academic committee).

A planning document needs to cover several areas, including but not limited to, a mission statement, a needs analysis, required resources, benchmark assessments, general target competencies and/or outcomes, and an evaluation plan. Before proceeding to the design phase, a few words should be said about the distinction between competencies and outcomes and the evaluation plan.

2.1 Competencies

Competencies refer to a general set of knowledge, skills, abilities, and other personal traits (e.g., attitudes, ethics, interests) that predict behavior in a wide variety of situations. Competencies provide the student with an integrated “mental model” of the current state and evolving standards of the field: [1–8]. Examples of competencies include problem solving ability, communication skills, personal and professional ethics, and values, to name just a few.

2.2 Outcomes

Outcomes come in two varieties: program learning outcomes (PLOs) and course learning outcomes (CLOs). Learning outcomes tend to be more specific than competencies, with PLOs representing broad program objectives and CLOs representing specific ways in which a particular course meets those objectives [9]. Learning outcomes should be expressed as observable, behavioral outcomes (i.e., what the student is expected to do), and typically include an action verb and a target content area. The action verb is often taken from Bloom’s taxonomy [10, 11] that ranges from low level actions (e.g., remember, understand) to high level actions (produce, construct). For example, a PLO might be: A graduate of this program will be able to evaluate research designs and construct research projects. A CLO for a research course in the program might be: At the completion of this class, the student will be able to identify the major designs from Campbell and Stanley [12]. Another CLO for the same class might be: At the completion of this class, the student will be able to create a research project using one of the Campbell and Stanley designs.

2.3 Evaluation plan

An important element in any planning document is an answer to the question: What will be used as evidence that a program or course was successful? One highly researched and successful approach addressing this question comes from the model proposed by Kirkpatrick and Kirkpatrick [13]. The model identifies four evaluation levels as shown in **Table 1**. These levels are (a) reaction: participant satisfaction and self-assessment of learning, (b) learning: the learners’ knowledge and skill improvement, (c) behavior: transfer of learned skills to other areas (e.g., jobs or future classes), and (d) results: impact on the institutions success and improvement. Often, educators seem satisfied with only assessing the first two of these levels (reaction and learning). The last two (behavior and results), however, may be even more essential to academic performance. The last two levels go beyond just learning, and assess what students can do and how this contributes to a more general measure of educational success.

Evaluation Level	Examples of Evaluation Source and Data Type
1: Reaction	<ul style="list-style-type: none"> Participant ratings of satisfaction with materials, activities, instructors, classes, facilities, and general program administration Student self-assessment of learning
2: Learning	<ul style="list-style-type: none"> Exam scores Course grades Demonstrated skill level of participants from skill-based assessments (e.g., observations, expert ratings, simulations)
3: Behavior	<ul style="list-style-type: none"> Student self-report of skills used on a job Supervisor or manager ratings of learned job skills Ability to apply learned knowledge or skill in subsequent courses
4: Results	<ul style="list-style-type: none"> Number of program applicants Number of successful participants Positive reviews from school districts or external agencies Increased number of graduates gaining employment or advancing to other programs

Table 1.
Sample outline of an evaluation plan with Kirkpatrick's four levels.

3. Phase II: design

The design phase involves creating a general structure for later development (see [14, 15]). Completing these steps will help guide the next phase (Development). Several actions should be taken such as (a) establish time frames for the future phases, (b) specify desired competencies or learning outcomes, (c) identify learning and performance activities that demonstrate successful achievement of the competencies/outcomes, (d) set prerequisites (e.g., students taking Algebra II must have completed Algebra I, students enrolled in a college program must have a high school diploma), (e) determine the major administrative concerns, and (f) decide what data can be collected that will reflect the four Kirkpatrick levels (see **Table 1** for some suggestions).

For some ideas about what design actions can be taken, see the checklist below (adapted from [14]).

- Who is the primary point of contact (POC)?
- To whom are the applications submitted?
- How will candidates and participants be kept informed?
- How will prerequisites be assessed?
- Who will ensure the application materials are complete?
- Who reviews and approves the applications?
- When and where will training be conducted?
- Where will the student records (e.g., attendance, course completion, start dates) be kept?
- What budget will pay for the support personnel?
- How will exams be administered?

- How will exams be secured?
- Who will write, proctor, and grade the exams?
- Where, when, and how will skills training be conducted?
- What corrective action steps will be used and who will monitor this process?
- What awards and or recognitions will be issued?
- Who will oversee ongoing program maintenance?
- What sources of data are required to assess the Kirkpatrick four levels and how will they be obtained?

4. Phase III: development

The Development phase described below explains the steps required to produce an educational practice that is ready for implementation (Phase IV). The development phase can generally be carried out in two steps.

4.1 Select and develop learning and performance activities

This step builds on the work completed earlier under Design (identifying learning and performance activities). This is where the actual learning and training activities are generated and matched to the learning outcomes/competencies. There are two, not mutually exclusive, options for achieving this step: (a) find relevant learning and performance activities from external sources, and (b) select or develop these activities in-house.

Procuring the relevant activities from an external source is far less time consuming than developing them in-house. The principal disadvantage is that the learning opportunities offered by outside sources may not be entirely suitable for the curriculum (i.e., the activities may not address the outcomes and competencies in the most direct and relevant fashion).

Selecting and developing the learning and performance activities in-house allows for customized experiences that can target specific knowledge, skills, and abilities. Home-grown educational experiences have the advantage of being directly relevant to the outcomes and competencies identified for the curriculum. The disadvantage of this customized approach is that it can be very specialized and may require a high degree of instructional design expertise and technical skill to develop.

4.2 Establish tests and measures of outcomes/competencies

In this step, the learning outcomes/competencies that the students are acquiring will be assessed. The process of developing tests and measures is described in the literature on testing theory and practice (see [14, 16]). The easiest approach is to locate existing tests and measures. These existing materials may come from a variety of sources including curricula from other institutions, training classes, certification programs, continuing education units, extension classes, and so forth. Below is a partial list of candidate tests and measures that can be used to assess whether students are mastering the content and meeting the outcomes and/or competencies:

- Participant satisfaction ratings
- Participant self-assessment of learning
- Course grades
- Class quiz scores
- Midterm and final exam scores
- Instructor ratings of class assignments
- Final project/thesis evaluation
- Supervisor's assessment ratings
- Peer evaluations
- Self-review of functional skills
- Expert ratings of oral presentations
- Simulation/game scores
- Skill exercise observations
- Panel review recommendations
- Portfolio analyses

When an adequate set of existing assessment tools cannot be located from external sources, then customize tests and measures must be developed. When developing custom-assessment items, two important criteria must be met—reliability and validity [16]. A reliable assessment is one that is consistent. A valid assessment is one that is accurate. The first criterion (reliability) is generally established by showing that the test or measure is stable over time (e.g., repeated use of class quizzes yield consistent scores). The second criterion (validity) assures that the tests or measures accurately evaluate what they are intended to appraise. There are several techniques for ensuring the validity of tests and measures, but the most common validity check is to use Subject Matter Experts (SMEs) who closely examine the tests and measures and form a consensus that these tools in fact reflect the relevant outcomes or competencies.

5. Phase IV: implementation

After a course or program has been developed, it is ready to be implemented. There is no standardized process for implementation, but educational institutions have developed and implemented initiatives across a wide variety of disciplines and there is a large body of common practices to draw from: [14, 15, 17, 18]. In general, there are at least four steps involved in a standard implementation.

5.1 Conduct pilot studies

A pilot study is a “pre-study” conducted as a dry-run prior to launching the full effort. The study should be on a much smaller scale than the full curriculum (e.g., fewer students, less costly technology, fewer classes), but still preserve the essence of the program.

5.2 Refine essential elements

The results of the pilot study should be examined and lessons learned should be noted. Specifically, at least the following elements need to be reviewed and modifications made.

5.2.1 Outcomes/competencies

Are these the right outcomes or competencies for this curriculum? Should more be added? Should some be deleted?

5.2.2 Time frames

Is the timing of events (course duration, project times, testing schedules) optimal? Where can changes occur?

5.2.3 Prerequisites

Were the correct prerequisites identified? Should some be added? Should some be removed?

5.2.4 Administrative procedures

Was the administration of the pilot study efficient? Where were the administrative bottlenecks and glitches? How can these be improved?

5.2.5 Learning and performance activities

Did the learning and performance activities produce the intended outcomes? Should new activities be added? Should some activities be discarded? Can improvements be made to the existing set of activities?

5.2.6 Tests and measures

Did the knowledge tests and performance measures assess the outcomes and competencies of the students as expected? What adjustments should be made?

5.2.7 Data collection

Are the data collected easily obtained and in a usable form? Can clear conclusions be drawn from these data?

5.3 Market the initiative

To help ensure success, a marketing plan should be devised to advertise the program and recruit students. The following items should be considered: (a) identify

the target audience, (b) align the marketing objectives with the curriculum objectives, (c) create a communication plan, (d) publish a schedule, and (e) use specific institutional marketing techniques (e.g., fact sheets, web and electronic media, newsletter, brochures, communication networks, open house events, personal visits to potential recruiting venues).

5.4 Launch full curriculum

In this step, the program gets implemented in accordance with the pilot study modifications.

6. Phase V: evaluation

After the course or program has been implemented, it must be evaluated for effectiveness. This evaluation should be driven by some formal model such as the Kirkpatrick and Kirkpatrick model [13] shown in **Table 1**. If the Kirkpatrick's model is adopted, then data are required that assess each of the four levels. If the evaluation is for a single course, then the tests and measures will be mainly, but not exclusively, relevant to level 2 (learning). If the evaluation is for an entire program, then all the levels should be assessed (as shown in **Figure 3** to be discussed below). I'll begin with the evaluation of a single course, and show one possible approach.

6.1 Evaluating a course

Once the knowledge tests and performance measures have been administered to students in a class, each person should have a set of relatively objective scores. These scores, when combined, should show how successful the student was with regard to the class outcomes. The approach illustrated here is based on "performance indexing" developed by Tatum and Nebeker [19]. Performance indexing is a system for combining and weighting a set of scores and generating an overall index. Performance indexing has been employed successfully in fields outside of education (e.g., real estate, environmental quality management, organizational improvement), but can be used just as effectively in an educational setting. The weighting feature is especially useful because it takes into account how valuable each test or measure is in the overall assessment. If, for example, in a biology class, mid-term and final exam performance is more important than homework, this difference will be reflected in the final index. Often, the degree of importance is reflected by the number of points that can be earned by each assignment. Performance indexing offers a more sophisticated system for balancing performance and getting at the essence of student learning. An example of performance indexing used in a hypothetical class is shown in **Figure 2**.

There are several steps to developing and using performance indexing (for a more complete discussion of the topic see Tatum and Nebeker [19]). The most essential features are (a) each test or measure is given a weight according to its importance in the assessment, and (b) an overall index score is generated from the weighted values (e.g., 370–400 is outstanding performance). **Table 2** is a step-by-step guide for building and using the performance index table in **Figure 2**.

6.2 Evaluating a program

A program (e.g. clinical psychology, biology, history) is designed so that students graduate having met certain competencies or PLOs. Whether the program uses

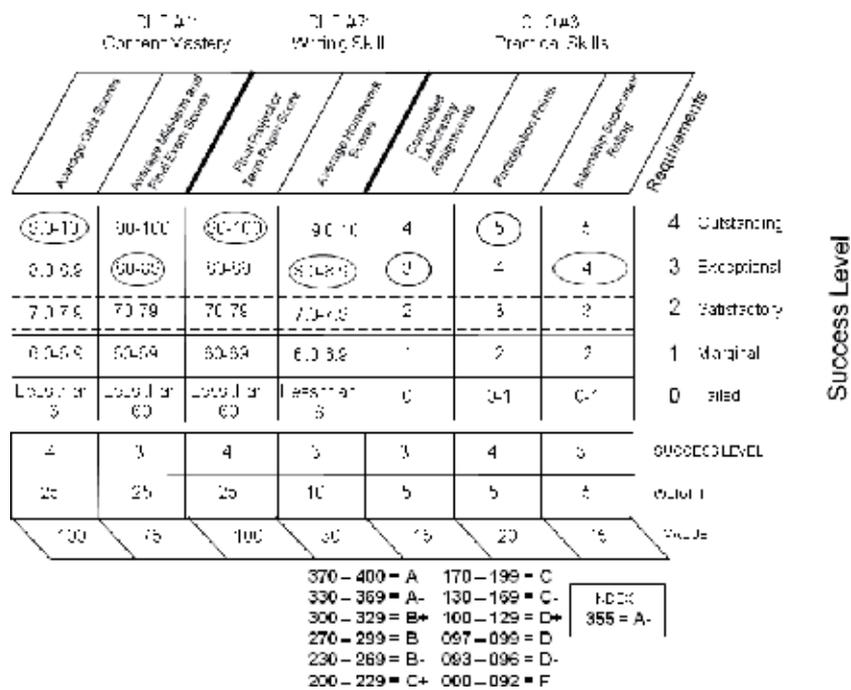


Figure 2. A performance index table used to assign a final course grade to a single student in a hypothetical class.

Steps	Building a Performance Index Table
One	Record the Course Learning Outcomes (CLOs) at the top of the table.
Two	List the specific tests and measures for each CLO in the diagonal spaces.
Three	Identify an average (satisfactory) score for each measured course requirement (center row labeled "satisfactory").
Four	Identify two score levels above the satisfactory level (e.g., the highest possible score is "outstanding," and midway from satisfactory to the highest is "exceptional").
Five	Identify two score levels below satisfactory (e.g., lowest possible score is "failed," and midway between lowest and satisfactory is "marginal").
Six	Use a 100-point allocation system to weight each requirement. Place these weights in the second to the last row ("weight"). The weights should add to 100 with the larger numbers representing higher importance.
Steps (continued)	Using the Performance Index Table
Seven	Collect data from each student and determine the success level. Each circled number in the table represents the score the student earned for that specific requirement. The score corresponds to a "success level" to the right (0-4). The level (0-4) is entered on the third row from the bottom also labeled "success level."
Eight	Multiply the success level (third row from the bottom) by the weight (second row from the bottom) to obtain a value for each requirement (last row).
Nine	Add all the Values to obtain an Index. For example: <ul style="list-style-type: none"> An Index between 370 and 400 signifies outstanding performance (A) An Index below 93 signifies failure (F).* *The grade ranges are suggestions only. Each program or instructor should select the ranges best suited for them.

Table 2. Steps for building and using a performance index table.

competencies or PLOs is a matter of preference, but regardless of this choice, the CLOs must be designed to meet one or more of these competencies or PLOs. When students successfully complete all of courses in the program, they will have satisfied the expected objectives of the program and will leave with specific knowledge, skills, abilities and other desired characteristics (e.g., attitudes, personal ethics, interests).

Figure 3 is an example of how performance indexing can be used to evaluate an entire program (as opposed to a specific course within that program as shown

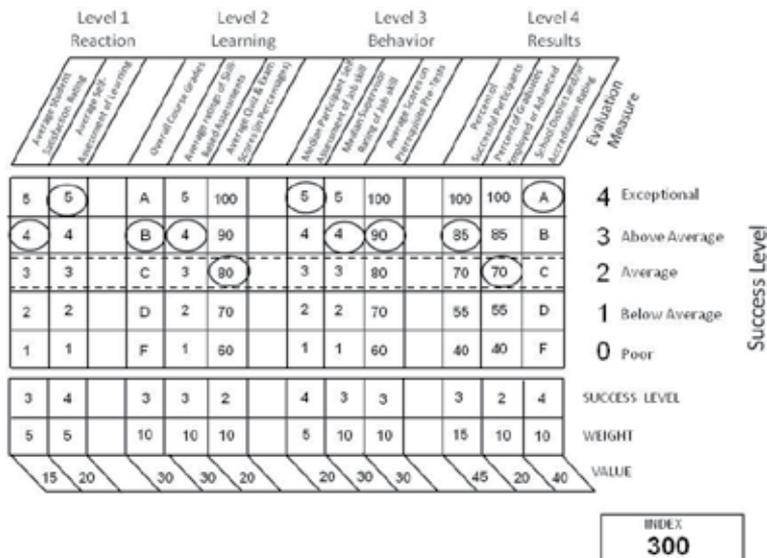


Figure 3.
 A performance index table used to evaluate a hypothetical academic program.

above in **Figure 2**). Developing an index table for a program involves basically the same steps outline in **Table 2**, with a few modifications. The evaluation measures (shown in the diagonal spaces) are based on the Kirkpatrick and Kirkpatrick [13] levels (see **Table 1**), which are shown at the top of the **Figure 3**. The specific evaluation measures will vary from program to program, but each measure should fall into one of the levels. For example, level 1 (reaction) is supposed to indicate the students' satisfaction rating of the program and an assessment of how much they think they have learned. These ratings can be obtained from each class or as part of an exit survey at the end of the program. Level 2 (learning) is intended to reveal, on a more objective basis, how much the students learned (in this case based on grades, ratings of acquired skills, and test scores average across classes). Level 2 is closely tied to the competencies or PLOs of the program. Level 3 (behavior) is an indication of the degree to which the program changed the student's behavior and the extent to which the student can transfer this behavior to other settings (e.g., did they learn valuable job skills, did the acquire knowledge and skills in prerequisite classes that they can apply to future classes?). Although level 3 is normally associated with assessing an entire program, it is still possible to include behavioral measures at the course level. For example, **Figure 2** shows an "internship supervisor rating" as an essential measure of the student's ability to apply what was learned. Finally, level 4 (results) is supposed to show that the program had a positive impact on the current success and future improvement of the institution (e.g., local school, school district, college). Evidence for positive results can be demonstrated by a variety of data such as graduation rates, employment success, advancement to higher levels of education, or ratings by external agencies. Level 4 measures are not common among educational institutions when evaluating individual programs (although these data are routinely collected at higher levels), but they should be. To capture the essence of academic performance, we must assess the degree to which our programs contribute to the general success and welfare of the broader academic community.

Once the final index is computed, the overall success of the program can be evaluated. In the hypothetical program depicted in **Figure 3**, the index score of 300 indicates that the program is above average. A close examination of **Figure 3** will also

reveal where the program is performing well (students rate their learning and job skills as exceptional, the program gets an exceptionally high rating by external agencies) and where it requires improvement (test scores are low, there is a low percentage of students finding jobs or advancing to other programs).

7. Concluding remarks

The phases and steps advocated here are obviously a mechanistic (non-theoretical) approach. It resembles Tyler's [20] thinking about curricular design more than contemporary thought (e.g., [21, 22]). There is nothing wrong with a more mechanical approach. In fact, the phases and steps proposed in this article are not incompatible with modern views of education such as the sharing of common goals [23], scaffolding [24], or the spiral curriculum [25]. At some point, however, we need to find and follow a path towards building an educational program, and this roadmap shows us the way without too many detours.

Academic performance has been the focus of much research and interest during the past few years. Initiatives such as No Child Left Behind [26] and Race to the Top [27] have generated much debate and concern regarding the components of academic performance [28] and the optimal methods for assessing learning and success [29]. This chapter proposes a method for developing and evaluating courses and programs that gets at the heart of academic performance in five phases (i.e., planning, design, development, implementation, and evaluation). The first four phases are a prelude to what the author considers the true essence of academic performance; namely, the identification and measurement of performance indicators. This chapter presents an evaluation model (based on [13, 19]) that guides the user down a well-traveled road that leads, in the end, to a quantitative understanding of student course performance and program success. In the inimitable words of Peter Drucker: *You can't manage what you can't measure.*

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