THE AESTHETIC AND EFFERENT PEDAGOGICAL STANCES AND PERSPECTIVES OF HIGH SCHOOL ENGLISH TEACHERS DURING THE STUDY OF LITERATURE

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BY

JO ANN PATTON, B.A., M.Ed.

DENTON, TEXAS

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TEXAS WOMAN'S UNIVERSITY
DENTON, TEXAS

June 13, 2001
Date

To the Dean of Graduate Studies and Research:

I am submitting herewith a dissertation written by Jo Ann Patton entitled "The Aesthetic and Efferent Pedagogical Stances and Perspectives of High School English Teachers During the Study of Literature." I have examined this dissertation for form and content and recommend that it be accepted in partial fulfillment of the requirements for the degree of Doctor of Philosophy with a major in Reading.

Billie J. Askew, Major Professor

We have read this dissertation
and recommend its acceptance:

Margaret M. Griffin

Diane D. Allen

Catherine Zeck
Department Chair

Accepted: Michael H. Drafe
Dean of Graduate Studies and Research

DEDICATION

This dissertation is dedicated to the four people who
have most positively and profoundly influenced my life:

Augustine Arbios, my grandmother, whose selfless devotion
to her family reflected a life of virtue,
courage, and endurance;

Edward Dayton Chase, my father, whose life has exemplified
the finest qualities of scholarship, self-reliance,
self-discipline, and integrity;

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independent spirit have been an inspiration
and have given me confidence and hope
throughout my life;

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degree a reality.

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ABSTRACT

THE AESTHETIC AND EFFERENT PEDAGOGICAL STANCES AND PERSPECTIVES OF HIGH SCHOOL ENGLISH TEACHERS DURING THE STUDY OF LITERATURE

Jo Ann Patton, B.A., M.Ed.

Texas Woman's University
College of Professional Education

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Louise Rosenblatt's (1978, 1995b) transactional reading theory provided the framework for this qualitative study designed to explore the aesthetic and efferent pedagogical stances and perspectives of 10 high school English teachers during the study of literature. Research was conducted during the spring semester of the 1999-2000 school year in four high schools in a Texas public school district. Three questions guided the study focusing on the aesthetic and efferent stances the teachers manifested during classroom observations, their perspectives reported during interviews, and a comparison between their observed stances and reported perspectives.

Two primary sources provided data: transcriptions of classroom observation field notes of each teacher's regular English class and transcriptions of an in-depth audiotaped interview with each teacher. Two secondary sources provided background

and corroboration of the primary sources: instructional artifacts and the researcher's journal.

Analyses of observation transcripts rendered identification of idea units and the emergence of 8 categories. Idea units in 2 of these categories, Aesthetic and Efferent, were then placed into 2 Aesthetic sub-categories and 10 Efferent sub-categories. Codes, definitions, examples, and explanations were developed for categories and sub-categories. Findings of the teachers' classroom oral communication overwhelmingly indicated the preponderance of an efferent stance within a traditional transmission classroom with limited attention given to an aesthetic stance.

Analyses of interview transcripts rendered the teachers' reported aesthetic and efferent perspectives. Teachers discussed and ranked the priority of five dimensions of literary study, and most teachers indicated the aesthetic dimension of literature to be a higher priority than the efferent dimension. Teachers reported having minimal or no awareness of Rosenblatt's transactional reading theory and reader response. Findings from observation and interview transcripts were compared and revealed a distinct contradiction between the teachers' limited aesthetic oral communication in the classroom and their reporting the aesthetic dimension to be a high priority during interviews.

TABLE OF CONTENTS

Page

COPYRIGHT iii

DEDICATION iv

ACKNOWLEDGMENTS v

ABSTRACT viii

LIST OF TABLES xiv

LIST OF FIGURES xvi

CHAPTERS

I. INTRODUCTION 1

Statement of the Problem 3
Purpose of the Study 6
Significance of the Study 6
Definitions of Terms 7
Limitations of the Study 9
Assumptions of the Study 9

II. REVIEW OF TRANSACTIONAL READING THEORY AND RELATED LITERATURE 11

Rosenblatt's Autobiographical Influences 13
Transactional Reading Theory 16
Reader Response Theorists 22
Reader Response Research 30
Background 30
Research Related to Teachers 32
Transactional and Transmission Pedagogy 33
Teacher's Influence on Aesthetic and Efferent Stances 42

Page

Research Related to Students 47
Aesthetic Transactions with Fiction 49
Aesthetic Transactions with Non-fiction and Pseudonarration 54
Aesthetic and Efferent Stances 56
Summary 62

III. RESEARCH DESIGN AND PROCEDURES 65

Qualitative Design 66
Researcher's Role 67
Selection and Description of Sites and Participants 68
Sites 69
District 69
High Schools 70
Classrooms 71
Participants 72
Pilot Study 77
Overview 77
Outcomes and Alterations 79
Data Collection Procedures 81
Primary Sources 81
Classroom Observations 81
Interviews 83
Secondary Sources 86
Instructional Artifacts 86
Researcher's Journal 87
Data Analysis Procedures 88
Analysis of Classroom Observation Transcripts 89
Idea Units 89
Emergence of Categories and Sub-categories 91
Instructional Strategies and Activities 104
Analysis of Interview Transcripts 104
Analysis of Aesthetic and Efferent Observed Stances and Reported Perspectives 107
Analysis of Secondary Sources 108
Inter-rater Agreement 109

Page

IV. FINDINGS 111

Aesthetic and Efferent Pedagogical Stances Manifested in the Classroom 113
Instructional Strategies and Activities 114
Analysis of Teacher Oral Communication During Lessons 123
Aggregated Analysis of Teacher Oral Communication 123
Individual Analysis of Teacher Oral Communication 130
Detailed Analysis of Aesthetic and Efferent Categories 137
Analysis of Aesthetic Sub-categories 137
Analysis of Efferent Sub-categories 141
Aesthetic and Efferent Pedagogical Perspectives Reported During Interviews 154
Career Influences 155
Purposes for Teaching Literature 157
Preferred Instructional Strategies and Activities 161
Influences Affecting Preferred Strategies and Activities 169
Priorities When Teaching Literature 171
Efferent Dimension 175
Aesthetic Dimension 178
Critical Thinking Dimension 182
Literacy Skills Dimension 184
Artistic Appreciation Dimension 187
Understanding of Transactional Reading Theory and Reader Response 189
Comparison of Aesthetic and Efferent Observed Stances and Reported Priorities 192
Summary 194

V. SUMMARY, DISCUSSION, IMPLICATIONS, AND RECOMMENDATIONS 197

Summary 197
Purpose of the Study 199
Design and Procedures 199
Findings 203
Research Question 1 203
Research Question 2 205

Page

Research Question 3 206
Discussion 207
The Predominance of an Efferent Pedagogical Stance Within Traditional Transmission Classrooms 208
The Contradiction Between Pedagogical Practices and Perspectives 214
The Challenge of Pedagogical Change 219
Implications and Recommendations for Classroom Practice and Future Research 223

REFERENCES 236

APPENDICES 247

A. Idea Units, Categories, and Sub-categories: Codes, Definitions, Examples, and Explanations 248
B. Letter to Teacher: Invitation to Participate in the Study 280
C. Teacher Information Sheet 283
D. Pilot Study and Research Study Transcripts: Abbreviations and Symbols 285
E. Pilot Study: Unit of Analysis, Categories, and Sub-categories--Codes and Definitions 287
F. Classroom Observation Field Note Excerpt 291
G. Classroom Observation Transcript Excerpt 293
H. Teacher Interview Guide 295
I. Interview Transcript Excerpt 300
J. Researcher's Journal: Excerpts from Notes, Memos, and Reflections 303
K. Researcher's Journal: Teacher Phone Call 307
L. Researcher's Journal: Teacher Eclectic Information Sheet 310
M. Researcher's Journal: Teacher Appreciation Letter 313
N. Classroom Observation Transcript Excerpt: Coding of Idea Units, Categories, and Sub-categories 315
O. Classroom Observation Field Note Form: Field Note Analysis 1A 320
P. Classroom Observation Field Note Form: Field Note Analysis 1B 322

LIST OF TABLES

Table Page

1. Category Names and Codes 92

2. Sub-category Names and Codes 97

3. Instructional Strategies and Activities Employed During Classroom Observations 115

4. Literary Works Studied During Classroom Observations 116

5. Examples of Efferent Information Referenced Via Visual Aids 118

6. Examples of Efferent Information Referenced Via Handouts and Worksheets 119

7. Examples of Efferent Quiz Questions 120

8. Frequency and Percent of Aggregated Teacher Idea Units Within Categories 124

9. Frequency and Percent of Individual Teacher Idea Units Within Categories 131

10. Frequency and Percent of Aggregated Teacher Idea Units Within Aesthetic Sub-categories 138

11. Frequency and Percent of Individual Teacher Idea Units Within Aesthetic Sub-categories 139

12. Frequency and Percent of Aggregated Teacher Idea Units Within Efferent Sub-categories 142

13. Frequency and Percent of Individual Teacher Idea Units Within Efferent Sub-categories 144

Table Page

14. Teacher Reported Reasons for Becoming High School English Teachers 156

15. Teacher Reported Purposes for Teaching Literature 158

16. Teacher Reported Preferred Instructional Strategies and Activities 164

17. Teacher Comments about Group Work 167

18. Teacher Reported Influences Affecting Preferred Instructional Strategies and Activities 170

19. Teacher Reported Priorities for Teaching Literature 173

20. Teacher Reported Efferent Dimension Statements 177

21. Teacher Reported Aesthetic Dimension Statements 181

22. Teacher Reported Understanding of Rosenblatt's Transactional Reading Theory and Reader Response 190

23. Comparison of Teacher Observed Aesthetic Stances and Reported Aesthetic Perspectives 193

24. Comparison of Teacher Observed Efferent Stances and Reported Efferent Perspectives 195

LIST OF FIGURES

Figure Page

1. Typical Teacher Classroom 73

CHAPTER I

INTRODUCTION

> In the teaching of literature . . . we are basically helping our students to learn to perform in response to a text. In this respect we are perhaps closer to the voice teacher, even the swimming coach, than we are to the teacher of history or botany. The reader performs the poem or the novel, as the violinist performs the sonata. But the instrument on which the reader plays, and from which he evokes the work, is--himself. (Rosenblatt, 1995b, p. 266)

In her seminal work Literature as Exploration (1995b), first published in 1938, Louise Rosenblatt became the harbinger of transactional reading theory which champions the centrality of the reader during the reading process and the importance of the aesthetic dimension of literature study. Throughout these past six decades, Rosenblatt's transactional reading theory has contradicted the hegemony of the New Criticism that grants authority to the teacher for the interpretation of literature rather than to the student--the reader (Rosenblatt, 1964, 1995b). Contrasting with the New Criticism proponents, Rosenblatt has proclaimed consistently the essentiality of bringing an aesthetic dimension to the study of literature that embraces the reader's personal, affective literary transaction with the text. Continuously, she has warned against relying exclusively or primarily on an outside authority that maintains an efferent, impersonal stance while transmitting factual information and the objective

analysis of words on a printed page. Instead, Rosenblatt's (1978, 1991, 1995a) transactional theory is inclusive, rather than exclusive, and offers the concept of a continuum in which both the aesthetic and the efferent dimensions of literature study receive balanced attention while focusing on the reader--the cynosure--who is an active, constructive participant in the literary experience.

During the last 40 years, an increasing number of theorists and researchers have articulated variations of Rosenblatt's transactional reading theory, often referred to as reader response theory (e.g., R. Beach, 1993; Bleich, 1975; Langer, 1992a, 1995, 1997; Many, 1991, 1992; Probst 1981, 1988, 1990, 1992; Purves, 1990, 1992, 1993; Squire, 1964, 1968, 1985). However, a commonality among these educators is the concentration on the reader during a dynamic, constructive reading process while offering equitable consideration to the aesthetic, affective dimension of literature study.

In recent years, researchers have studied the ubiquitous presence of the traditional transmission approach to literature instruction emphasizing efferent learning (e.g., Applebee, 1989, 1993) contrasted with the characteristics and advantages of a constructivist transactional approach giving attention to aesthetic learning (e.g., Hickman, 1979, 1980, 1984; Langer, 1994, 1997). Studies have indicated that the teachers' aesthetic or efferent instructional stances affect the respective stances assumed by their students (e.g., Many, Gerla, Wiseman, & Ellis, 1995; Peters, 1992; Wiseman & Many, 1992). In addition, qualitative and quantitative research related to reading fiction and non-fiction has indicated that students' responses were enhanced by

engaging in aesthetic literary transactions and assuming aesthetic stances (e.g., Ash, 1994; Carroll, 1994; Cox & Many, 1992b; Gaskins, 1996; Hancock, 1992; Jetton, 1994; Langer 1990, 1997; Livdahl, 1993; Many 1991, 1992; Sadoski & Quast, 1990). Clearly, research related to Rosenblatt's transactional reading theory indicates the necessity of assuming an aesthetic, as well as an efferent, stance while exploring literature.

Statement of the Problem

Rosenblatt (1980, 1982, 1986) has admonished that the preponderance of literature study appears to remain efferent or non-aesthetic and that the reader is often the forgotten, essential ingredient in the reading process. Other eminent researchers in the field of reading also acknowledge this problem. The comprehensive work by Applebee (1989, 1993) and Langer (1992b, 1995) as well as others (e.g., Anderson & Rubano, 1991; Cox & Many, 1992b; Farrell & Squire, 1990; Purves, 1993) concur with Rosenblatt and affirm that the hegemony of the New Criticism with its transmission, teacher-centered model of instruction pervades and dominates education producing limitations on student growth and performance.

Compared to the elementary level, literacy at the secondary level has been a forgotten stepchild. In the 1999 August/September edition of Reading Today, the lead, front-page article "Adolescent Literacy Comes of Age" focuses on this problem and states: "Once it was the concern of a few scattered individuals, but IRA [International

Reading Association] as a whole is now formally recognizing--and suggesting solutions for--what is seen as pervasive neglect of adolescent literacy" (p. 1). However, a review of the article and the "solutions" intended to rectify this "neglect" do not mention or hint at the importance of the aesthetic dimension of literacy and its needed attention and integration in a balanced literacy program. This omission is mirrored nationally in another major well-known publication The Literacy Dictionary (Harris & Hodges, 1995). When reviewing the introduction and the salient "Categories Involved in the Study of Literacy" (p. xi), the aesthetic dimension of literacy instruction receives no recognition. Instead, a few, succinct definitions of terms related to transactional reading theory such as "aesthetic reading," (p. 5) "evocation," (p. 76) and "reader response" (pp. 209-210) are offered along with approximately 2,000 other terms related to literacy.

Indeed, a similar situation at the state level affirms the neglect of the aesthetic dimension. Texas has an adopted curriculum for public schools K-12, the Texas Essential Knowledge and Skills (TEKS) for English Language Arts and Reading (Texas Education Agency, September 1997). This common curriculum offers scant, unbalanced attention to the aesthetic dimension of literacy instruction for English, grades 9 through 12. With approximately 200 pages and hundreds of instructional objectives providing the foundation and framework for Texas high school English classes, only two brief sections allude to knowledge and skills associated with the aesthetic dimension. These two sections, "Reading/culture" and "Reading/literary

response," have fewer than eight objectives at each grade level. Within "Reading/culture," the students are expected to read while empathizing with other cultures via their own lives. The section "Reading/literary response" uses the term aesthetic one time and begins with "respond to informational and aesthetic elements in texts" and then ends with examples of types of responses (e.g., discussions, journals, oral interpretations, dramatizations, enactments, or graphic displays). In addition, a review of the released spring 2000 Texas Assessment of Academic Skills (TAAS) Exit Level reading and writing tests based on the TEKS verifies that these high stakes accountability tests required for high school graduation are silent regarding the aesthetic dimension of literacy (Texas Education Agency, February 2000).

Clearly, additional transactional reader response research, especially at the secondary level, is needed that will promote the awareness and commitment of educators to the quintessence of an integrated, balanced inclusion of the aesthetic dimension of literacy instruction. As Rosenblatt (1982) wisely warned, "In the teaching of reading, and even literature, failure to recognize the importance of the two stances [aesthetic and efferent] seems to me to be at the root of much of the plight of literature today" (p. 274).

Purpose of the Study

The purpose of this study was to explore the aesthetic and efferent pedagogical stances and perspectives of high school English teachers during the study of literature. The study was guided by three questions.

1. What aesthetic and efferent pedagogical stances do high school English teachers manifest in the classroom during the study of literature?

2. What aesthetic and efferent pedagogical perspectives regarding the study of literature do high school English teachers report during in-depth interviews?

3. How do high school English teachers' aesthetic and efferent pedagogical stances manifested in the classroom compare with their aesthetic and efferent pedagogical perspectives reported during in-depth interviews?

Significance of the Study

Recognition of the proclivity to neglect the aesthetic dimension of literature study and acknowledgment of the aesthetic dimension's special place in the reading process hold significant import for current pedagogical theory and practice (e.g., Anderson & Rubano, 1991; Cox & Many, 1992b; Langer, 1992b, 1995; Rosenblatt, 1980, 1982, 1986). Thus, a fertile field exists to cultivate a constructivist transactional model of English instruction at the secondary level that promotes a student-centered environment where both aesthetic and efferent stances receive balanced and equitable

consideration. The study of high school English teachers' aesthetic and efferent stances and perspectives should heighten awareness of pedagogy influencing literary transactions. In addition, a deeper understanding of these stances and perspectives should contribute to improved instructional practices that benefit teachers and, ultimately, their students, administrators, university professors responsible for teacher preparation, and the public at large. Students in America's schools need and deserve a comprehensive education that includes a balanced integration of both the aesthetic and the efferent dimensions of learning (Rosenblatt, 1978, 1991, 1995a). As Rosenblatt suggests in her "Retrospect" in Transitions with Literature (1990), "personally meaningful, self-critical literary experience[s] . . . will serve a broader purpose, the nurturing of men and women capable of building a fully democratic society" (p. 107). Thus, a tacit acceptance of the value of the aesthetic, affective dimension as well as the efferent, cognitive dimension of literature study in American schools should be of concern and interest to both educators and members of a democratic nation who honor not only science and society, but also art and the individual.

Definitions of Terms

The following definitions are relevant and instrumental in this study. Additional detailed definitions regarding the 8 identified categories and the 2 identified aesthetic and 10 efferent sub-categories related to the study's findings are found in Appendix A.

Aesthetic stance--the attitude or focus of attention assumed by the reader that is private, artistic, emotional, and individual; "in aesthetic reading . . . the reader's primary concern is with what happens *during* the actual reading event. . . . *the reader's attention is centered directly on what he is living through during his relationship with that particular text*" (Rosenblatt, 1978, pp. 24-25).

Efferent stance--the attitude or focus of attention assumed by the reader that is public, objective, utilitarian, and informational; efferent reading "is focused primarily on what will remain as the residue *after* the reading--the information to be acquired, the logical solution to a problem, the actions to be carried out. . . . what he [the reader] will carry away from the reading" (Rosenblatt, 1978, pp. 23-24).

Evocation--an aesthetic transaction with the text that has created a poem during a "lived-through process of building up the work under the guidance of the text" (Rosenblatt, 1978, p. 69).

Idea Unit--the unit of data analysis designating a single, complete idea or thought orally expressed via a word, phrase, sentence, or sentences by the teacher during the literature lesson.

Poem--an individual, aesthetic transaction with the text; the poem "presupposes a reader actively involved with a text and refers to what he makes of his responses to the particular set of verbal symbols. . . . [and] stands . . . for the whole category, 'literary work of art' "; the poem "happens during a coming-together, a compenetration, of a reader and a text" (Rosenblatt, 1978, p. 12).

Text--printed signs with potential for personal meaning; "a set or series of signs interpretable as linguistic symbols" (Rosenblatt, 1978, p. 12).

Transaction--"an ongoing process [during reading] in which the elements or factors are . . . aspects of a total situation, each conditioned by and conditioning the other" thus creating a "circular . . . process" or a "live circuit" between the reader and the text (Rosenblatt, 1978, pp. 17, 43-44).

Limitations of the Study

The following limitations may influence the study.

1. The limited number of 10 teachers from four high schools within the same school district may restrict transferability of the findings to other contexts.

2. The restricted time available during one semester for the researcher to develop relationships with the participants and to gather data may affect the teachers' behaving typically during classroom observations or their being candid during audiotaped interviews which may influence the findings.

Assumptions of the Study

The following assumptions are relevant to this research study.

1. The instructional lessons observed for this study were typical and represented the teachers' usual oral communication and classroom behavior during the study of literature.

2. The teachers were candid during the audiotaped interviews, and their comments reflected genuine thoughts and opinions regarding teaching literature to high school students.

3. The principals from the four high schools recommended experienced, successful teachers for the study who had taught at least two years and who had earned a rating of "Proficient" or "Exceeds Expectations" on the Texas Professional Development and Appraisal System (PDAS) for the preceding school year.

4. The researcher's knowledge of Rosenblatt's transactional reading theory, her understanding of the literature related to aesthetic and efferent stances, and her many years of experience as a language arts teacher and language arts curriculum coordinator enabled her to define and identify the categories and sub-categories related to the classroom observation data and to develop the questions that guided the interviews.

CHAPTER II

REVIEW OF TRANSACTIONAL READING THEORY AND RELATED LITERATURE

> . . . I find it helpful to visualize a little scene: on a darkened stage I see the figures of the author and the reader, with the book--the text of the poem or play or novel--between them. The spotlight focuses on one of them so brightly that the others fade into practical invisibility. Throughout the centuries, it becomes apparent, usually either the book or the author has received major illumination. The reader has tended to remain in shadow, taken for granted, to all intents and purposes invisible. . . . Here or there a theoretician may start to take him seriously, and the spotlight may seem from time to time to hover over him, but actually he has never for long held the center of attention. . . . [We] will . . . admit into the limelight the whole scene--author, text, and reader. . . . [and] be especially concerned with the member of the cast who has hitherto been neglected--the reader. (Rosenblatt, 1978, pp. 1-2, 5)

In her seminal work Literature as Exploration (1995b), first published in 1938, Louise Rosenblatt proclaimed the necessity of bringing an aesthetic dimension to the study of literature that focuses on the reader's constructivist transaction during a literary experience. Throughout the past decades, Rosenblatt's (1978, 1995b) transactional reading theory has influenced numerous reader response advocates (e.g., Anderson & Rubano, 1991; R. Beach, 1993; Bleich, 1975; Hickman, 1979, 1984; Langer, 1992a, 1995, 1997; Many, 1991, 1992; Miller, 1980; Probst, 1981, 1990, 1992; Purves, 1990, 1992, 1993; Squire, 1964, 1968, 1985; Zarrillo & Cox, 1992).

The concerns of these educators and researchers have promoted an increasing number of theoretical and empirical works focusing on the reader's constructivist, aesthetic response to texts. These publications repeatedly affirm Rosenblatt's transactional reading theory regarding the benefits and necessity of including the reader's transaction with literature as an aesthetic, personal experience during classroom instruction. Still, 60 years after the first edition of Literature as Exploration, theorists and researchers remain aware and concerned that Rosenblatt's constructivist transactional reading theory continues to be neglected in classrooms today (e.g., Anderson & Rubano, 1991; Applebee, 1989, 1993; Cox & Many, 1992b; Farrell & Squire, 1990; Langer, 1992b, 1995; Purves, 1993; Rosenblatt, 1980, 1982, 1986). Instead, pedagogical practices predominantly promote an impersonal focus on information gathering and objective analysis without a balanced integration of the aesthetic dimension of the reader's personal literary exploration and discovery.

Chapter II reviews the literature germane to this study's purpose: to investigate the aesthetic and efferent pedagogical stances that high school English teachers manifest in their classrooms during the study of literature and the aesthetic and efferent perspectives they report during interviews. The chapter is organized into four parts and concludes with a summary. Part one describes the events in Rosenblatt's life that have influenced the development of her transactional reading theory. Parts two and three offer respectively discussions of transactional reading theory and major theorists in the field of reader response. Part four presents reader response research with three areas of

emphases primarily focusing on the aesthetic and efferent dimensions of literary study: background information, research related to teachers, and research related to students.

Rosenblatt's Autobiographical Influences

As noted in autobiographical essays and articles (Rosenblatt, 1990, 1993, 1995b), Louise Michelle Rosenblatt's transactional reading theory has been influenced not only by her family and her teaching experiences, but also by her eclectic interests and studies in literature, art, philosophy, anthropology, and psychology. She remarked in her "Retrospect" (1990) about the "overarching importance" of her family at the turn of the century which "saved [her] from acquiring lingering Victorian attitudes--especially about gender, class, and ethnic differences" (p. 97). The works of the Transcendentalists Emerson and Thoreau; her studies with the eminent anthropologist Franz Boas; and her wide, independent reading in a unique program at Barnard College while earning her M. A. degree led her subsequently to the University of Paris. At the Sorbonne, she earned a doctorate in comparative literature and published a dissertation in 1931 written in French--*L 'idée de l'art pour l'art*, "the idea of 'art for art's sake,' " which became the impetus for Literature as Exploration (p. 98).

After receiving her doctorate and while teaching at Barnard College, Rosenblatt became disenchanted with university English departments in which "literary history, philology, or a watered-down, moralistic didacticism mainly constituted the 'study of

literature' " (Rosenblatt, 1990, p. 100). During this period of experimentation while teaching literature courses and reading the influential work of John Dewey, Rosenblatt began developing her theory and pedagogy grounded in the conviction that a response to literature is aesthetic and individual. Based on her knowledge of the social sciences as well as literature and art, Rosenblatt (1990) believed that she could create "a philosophic or theoretical foundation for revising the teaching of literature, a foundation for setting up a process that would make personal response the basis for growth toward more and more balanced, self-critical, knowledgeable interpretation" (p. 100).

Rosenblatt's knowledge, experience, and convictions led to the writing and publication of Literature as Exploration in 1938. The work markedly contrasted with the popular and predominant New Criticism approach to literature study which focused on the text as a separate entity intended to be analyzed formally and objectively while ultimately relying on the authoritative interpretation of a university professor or classroom teacher. Although Rosenblatt (1990) has acknowledged the ubiquity of the New Criticism, it is interesting to note that Literature as Exploration has remained a viable work with five editions published between 1938 and 1995. In addition, in 1978 Rosenblatt's The Reader, the Text, the Poem: The Transactional Theory of the Literary Work extended her pedagogical philosophy by detailing her transactional reading theory and her concept of a continuum on which aesthetic and efferent stances

fluctuate, which she admits has been "most difficult to communicate" (Rosenblatt, 1990, p. 104).

Louise Rosenblatt, the recipient of numerous, prestigious accolades (e.g., professor emerita at New York University, Reading Hall of Fame [International Reading Association, 1992]), is a luminary in literary theory and pedagogy whose long life and career have been devoted to championing steadfastly the quintessential, constructivist voice of the reader during the literary experience. In addition to her two major works, Literature as Exploration (1995b) and The Reader, the Text, the Poem (1978), she has offered through the years a wealth of explications and clarifications of her transactional reading theory via papers presented at professional conferences and journal articles published in a variety of publications (e.g., College English, Journal of Aesthetic Education, Journal of Reading Behavior, Language Arts, Research in the Teaching of English, and Theory Into Practice). Indeed, Transactions with Literature: A Fifty-Year Perspective (Farrell & Squire, 1990) celebrated the anniversary of the first publication of Literature as Exploration and offered a commemorative tribute to her life's work reflected in essays from renowned reader response scholars such as Richard Beach, Robert Probst, and Alan Purves.

An icon in the field of reading, Louise Rosenblatt has battled for over 60 years the hegemonic influence of the New Criticism; and, on occasion, she is the misunderstood mother of reader-response who endures the alteration and adulteration of her intended words and her work. As Wayne Booth paradoxically acknowledged in

the "Foreword" to the fifth edition of Literature as Exploration (1995b): "I doubt that any other literary critic of this century has enjoyed and suffered as sharp a contrast of powerful influence and absurd neglect as Louise Rosenblatt" (p. vii).

Transactional Reading Theory

Literature as Exploration (Rosenblatt, 1995b) provides the philosophical, pedagogical foundation of Rosenblatt's transactional reading theory. In all of her prolific writings since the publication of its first edition in 1938, Rosenblatt has consistently affirmed and celebrated the special, central place of an active reader engaged in an aesthetic response during the reading process. She unrelentingly emphasizes the inextricable union and intimate relationship between the reader and the text and describes the reading process as a personal, aesthetic experience which is democratic and embraces special social and cultural significance for the reader and society at large. Hence, to deny an aesthetic literary experience to a student is to limit the student's unfolding humanity and, therefore, ultimately inhibit the student's potential contributions to an evolving democracy. Rosenblatt's theory is, indeed, as much an instructional teaching theory as it is a transactional reading theory.

In her writings, Rosenblatt has acknowledged a common connection between her transactional reading theory and the works of several eminent intellectuals. Of these, John Dewey, William James, Charles Sanders Peirce, and Lev Vygotsky appear as motifs in her writing signifying their relevancy and importance to her work. She has

been influenced especially by the work of Dewey and often credits him with extending and affirming her thinking. In Dewey's (1980) Art as Experience, Rosenblatt (1978) found special agreement with the notion that ordinary, familiar objects and images pervading and permeating human life each day offer worthy artistic experiences.

The term transaction, which Rosenblatt (1969b, 1977, 1978, 1985, 1986, 1988, 1993, 1994, 1995b) ultimately endorsed as opposed to the more limiting term interaction, was initially provided by Dewey and Bentley (1949) in Knowing and the Known. They concluded that rather than "*interactional,*" which suggests "irreconcilable separates," "*transactional*" more aptly conveys the idea of "the right to see together, extensionally and durationally" (pp. 68-69). The concept of a transaction became a salient feature of Rosenblatt's reading theory. Applying this concept in The Reader, the Text, the Poem (1978), Rosenblatt stated that the transactional reading process is more than a mere interaction, which might be described as "billiard balls colliding" (p. 17) because the billiard balls remain the same after the interaction as they did not experience a transaction, or any transformation. In contrast to the billiard ball interaction, the aesthetic transaction is "an ongoing process in which the elements or factors are . . . aspects of a total situation, each conditioned by and conditioning the other" (p. 17) creating "a two-way, . . . circular, process . . . [or] live circuit" (pp. 43-44) between the reader and the text.

Also, Rosenblatt (1978, 1980, 1982, 1985, 1986, 1988) has credited William James (1890) with the related concepts and terms stream of consciousness and

selective attention, which are essential features of her transactional reading theory. James (1890) suggested that "the mind is at every stage a theatre of simultaneous possibilities. Consciousness consists in the comparison of these with each other, the selection of some, and the suppression of the rest by the reinforcing and inhibiting agency of attention" (p. 288). Rosenblatt (1988) affirmed this idea by referencing " 'the cocktail party phenomenon': In a crowded room, where various conversations are in progress, we focus our attention on only one of them at a time, and the others become a background hum" (pp. 3-4). The related concepts of stream of consciousness and selective attention ("the cocktail party phenomenon") are especially germane to transactional reading theory which holds that the reader can engender a multiplicity of responses to a text and that the reader's stance, the position assumed during a particular reading experience, is determined by the reader's unique selective attention throughout a fluid process that is continuously influenced by a host of factors such as the reader's experiences, predilections, and personality--which all converge and impact the reading experience.

In addition to Dewey and James, Rosenblatt's transactional theory was also influenced and affirmed by Peirce's triadic semiotic theory (Rosenblatt, 1986, 1988, 1993). Peirce perceived a seamless connectivity between a "Sign," "Object," and "*Interpretant*" (1935, p. 237) in which "a sign is in a conjoint relation to the thing denoted and to the mind" (1933, p. 210). As Rosenblatt (1988) noted, this triadic

concept is especially congenial with her reading theory that fuses the individual's language development within a holistic, transactional environment.

Rosenblatt (1980, 1982, 1985, 1988) also found Vygotsky's (1997) social constructivist views of literacy compatible with her transactional reading theory. Her theory mirrors Vygotsky's conviction that the individual's intellect and emotions are fused and not separate entities. And, she found agreement with Vygotsky's thinking regarding the importance of social influences on language development, which begins in a social context and is subsequently acquired individually. As Rosenblatt (1988) noted, "Language . . . is a socially-generated public system of communication--the very bloodstream of any society. But . . . language is always internalized by an individual human being in transaction with a particular environment" (p. 3).

Transactional reading theory is organic and totally integrated, simultaneously personally and socially oriented. Rosenblatt honors the reader, whom she feels is the traditionally forgotten, yet essential, focal point in the reading process. In The Reader, the Text, the Poem (1978), Rosenblatt defines the difference between the terms text and poem. The text reveals signs on a printed page with possibilities for personal meaning that become a poem once the reader breathes life into the text by dynamically fusing the text with the reader's own past experience and imagination thus creating a poem, or individual, aesthetic transaction. According to Rosenblatt, an interpretation of a literary work occurs after a reader's aesthetic transaction with the text has created a

poem during a "lived-through process of building up the work under the guidance of the text" (p. 69).

Rosenblatt (1978) has also offered a precise and clear explanation of aesthetic and efferent reading stances. Stance, the reader's attitude or focus of attention, is aesthetic when it is private, artistic, emotional, and individual; stance is efferent when it is public, objective, utilitarian, and informational. The determining factor between the two stances is the purpose and attitude assumed during the reading process and the selective attention of the reader. Rosenblatt (1978) explains that efferent reading--from the Latin term " 'efferre,' 'to carry away' " (p. 24)--occurs when the reader attends to "what will remain as the residue *after* the reading--the information to be acquired" (p. 23). However, during aesthetic reading the reader focuses "*on what he is living through during his relationship with that particular text*" (p. 25).

Clearly, Rosenblatt (1978, 1991, 1995a) has not suggested a dichotomy between an aesthetic and an efferent reading stance, nor has she suggested that one stance is preferable to another. In fact, she consistently contends that stance, whether aesthetic or efferent, lies on a continuum dependent upon the purpose of the reading and the attitude of the reader. A work may be read aesthetically or efferently, and throughout the reading experience the reader may be shifting stances and focusing on the piece of literature more aesthetically or more efferently.

Rosenblatt (1978) believes that eliciting a poem from a text "must be an active, self-ordering and self-corrective process" (p. 11). The reader engages in the literary

event with a unique background of experiences, prejudices, predilections, and distractions at the time of the literary transaction. Hence, the reader is continuously affected by, and selecting from, his "linguistic/experiential reservoir" (Rosenblatt, 1988, p. 5). Because the reader has an individual past history and personality, it is inevitable that a myriad of evocations and subsequent interpretations would occur in a classroom of students reading the same literary work. In fact, the reader's own interpretation of a piece of literature may, and probably will, change over time.

As Rosenblatt (1964, 1988, 1991) noted, the teacher's role is paramount in promoting, limiting, or negating aesthetic transactions during literary experiences. Teachers need to be aware of the stances that they and their students assume, whether aesthetic or efferent; and the teachers' pedagogical reasoning and selected strategies must foster a fertile environment in which the teachers guide aesthetic literary transactions. Rosenblatt realistically acknowledges that a well-intentioned teacher may wish to facilitate an aesthetic experience but lack the knowledge, the skill, or the will to do so. This dilemma is mirrored in the following scenario (Rosenblatt, 1977): "A scholar making the point about the need for suspended judgment told about an 8-year-old who objected, 'But rabbits don't carry watches!' The scholar replied, 'Shut up! in this story they do,' and he went on reading" (p. 15). Rosenblatt offered the insight that the boy, who assumed an efferent stance,

> had somehow not learned, or had lost, or had been given the wrong cue as to, the appropriate (aesthetic) stance. He should have been living in the experience evoked from the words, perhaps even delightedly

> savoring the unorthodoxy of this rabbit. The scholar was depending entirely on the text to force the aesthetic stance. (p. 15)

Reader Response Theorists

Louise Rosenblatt became the harbinger of reader response theory and its first advocate with her original publication of Literature as Exploration in 1938. Since that initial, influential publication, other theorists have articulated--especially during the last 40 years--variations of reader response theories. However, a common denominator of these educators is the focus on the reader during a dynamic, constructive reading experience while often suggesting, directly or indirectly, their objections to the limitations of the New Criticism's exclusive focus on the text and its neglect of the reader.

Notable reader response advocates such as Richard Beach (1993), David Bleich (1975), Judith Langer (1990, 1992a, 1992b, 1994, 1995, 1997), Robert Probst (1981, 1988, 1990, 1992), Alan Purves (1990, 1992, 1993), and James Squire (1964, 1968, 1985) have primarily produced their work in the United States, although significant work has emanated from scholars in other countries, such as James Britton (1968) and Wolfgang Iser (1981) from England and Germany, respectively. These, and other, proponents of reader response have provided both complementary and contrasting ideas related to reader response theory.

Employing a scholarly, courteous, and--at times--a wry and witty tone, Rosenblatt has taken the opportunity on occasion to clarify the similarities and differences between her transactional theory and the reader response theory of others. Rosenblatt (1977, 1985) noted that Bleich's subjective criticism concentrates too heavily on the personal, psychological, affective aspects of the reading experience and, thus, diminishes the appropriate role of the text during reading events. On the other hand, Rosenblatt (1985) noted that Iser's theory places too much emphasis on the text and does not fully acknowledge the richness of aesthetic transactions and the importance of the triadic semiotic aspects of the reading experience. Hence, according to Rosenblatt, Iser limits the potential of aesthetic reading transactions by relegating the reader to merely "filling in the 'gaps' " (p. 103). Although Rosenblatt (1977, 1985) agreed with Britton's attention to the reader, she has taken issue with his term spectator which she believes is an inappropriate term to describe the role of an active reader assuming an aesthetic stance during an authentic literary transaction. Regarding Purves, Rosenblatt (1995a) stated that he misrepresented her concepts of aesthetic and efferent stances by incorrectly interpreting them as dualisms. Rosenblatt (1995a) contradicted Purves by stating the following:

> It is ironic that one who has thought of herself especially as a crusader against dualistic habits of thinking . . . should be subjected to such an accusation. . . . [because] the terms efferent and aesthetic refer to a continuum of 'mixes' of different proportions that range from predominantly public (which I term efferent) to predominantly private (which I term aesthetic). (pp. 349-350)

Although Rosenblatt disapproved of Purves' incorrectly suggesting that she perceived a duality between aesthetic and efferent stances, other aspects of Purves' writing regarding the literary experience are in accord with Rosenblatt's transactional reading theory. Both Purves (1990, 1993) and Rosenblatt (1978, 1995b) have affirmed the potential and promise of literature bringing cultural awareness to students while enlightening their understanding of themselves and others. Both scholars also acknowledge the reality of multiple interpretations of a literary work within reasonable limits while recognizing that the text guides the literary evocation and interpretation. In addition, Purves and Rosenblatt share a concern for cultivating an aesthetic response rather than promoting primarily, and oftentimes exclusively, an efferent response during the study of literature. Purves (1993) noted the following:

> By secondary school, the large majority of students in the United States report that they are moralizing symbol hunters. . . . they read to take tests on what is read, and if they cannot figure [out] the hidden meaning, they turn to *Cliff's Notes*. (Many teachers do the same, but we call the notes the Teacher's Edition). (pp. 349-350)

Correspondingly, Rosenblatt (1993) stated that high school literature instruction has been based on "a single 'correct' interpretation (often according to Cliff's Notes!)" (p. 378). Both Purves (1990, 1992) and Rosenblatt (1994) have concurred that the increasing attention given to testing, particularly standardized testing, debilitates and often nullifies the aesthetic experience. Reflecting and agreeing with Rosenblatt's views, Purves (1990) stated:

> . . . the nation's testing programs focus . . . on textual comprehension at a relatively low level of understanding. . . . without a clear differentiation between reading a literary selection and reading a nonliterary one. . . . In most tests that affect high school students, literary texts are treated as if they were no different from articles in encyclopedias or research reports. . . . literature is a complex use of language to stimulate the readers' imaginations about the world and themselves, and to make readers aware of the beauty and power of our language as well as of the richness of our multicultural heritage. (p. 83)

R. Beach, Probst, and Squire have also provided leadership in the area of reader response throughout the years. Among notable reviews of literature related to reader response (R. Beach & Hynds, 1989, 1990; Purves & R. Beach, 1972) and other works, R. Beach's (1993) A Teacher's Introduction to Reader Response Theories offered a unique, comprehensive review of reader response theories from the perspective of five domains: textual, experiential, psychological, social, and cultural. This publication also provided suggestions for applying theoretical principles to pedagogical practice and presented a detailed, extensive bibliography. While including an abundant number of references to reader response theorists, R. Beach concluded that Rosenblatt was a premiere experiential theorist who did not gain influence until 20 years after the publication of Literature as Exploration in 1938. Drawing from the work of Carolyn Allen, he speculated that prior to the 1960s, Rosenblatt was neglected because (a) she was associated at the university level with English education, rather than English per se; (b) she appeared to be influenced more by American philosophic thought (Dewey and James) than the popular European scholars of the time; and (c) she was a female theorist dealing with affective issues. However, R. Beach was quick

to point out that Rosenblatt's transactional reading theory is substantive and includes the affective, cognitive, and social aspects of the literary experience.

Probst's (1981, 1988, 1990, 1992) publications related to reader response are in harmony with many of the salient features of Rosenblatt's transactional reading theory. This was especially evident in "*Literature as Exploration* and the Classroom" (1990) in which he enumerated and explicated seven major principles of transactional reading theory set forth in Rosenblatt's seminal work that range from the freedom and trust that must be nurtured in the literature classroom to the social and critical thinking dimensions of literary transactions. Probst also emphasized the natural union of the cognitive and affective dimensions of learning during the literary experience and noted that Rosenblatt's reading theory requires considerable expectations and commitments from students actively involved in their own learning. With special insight, Probst (1981, 1988) also realistically acknowledged the dilemma for both teachers and students engaged in a literary transaction. Regarding the teacher's dilemma, he stated:

> Many teachers respond warmly, but with some confusion, to this emphasis on the transaction. Uncertain how to achieve it, or what to do with it once they have it, they see it as less manageable, less predictable, than reading the text and answering the ten comprehension questions that follow it in the anthology. (Probst, 1981, p. 44)

Complementing and compounding the teacher's dilemma is the student's struggle. Referring to the literary transaction, Probst (1988) stated the following:

> . . . the students aren't used to it and don't trust it; we . . . haven't figured out all of its complications; it places tremendous responsibility on everyone involved, not the teacher alone; it requires that we deal

> with thirty evolving poems at a time rather just one stable text; it requires that students accept a new and frightening notion of what knowledge is; and it demands a tolerance for ambiguity and digression. But if meaning is a human act rather than a footlocker full of dusty facts, then we must focus attention on the act of making meaning rather than simply on the accumulation of data. (p. 38)

Squire's (1968) long association with reader response was clearly manifested when he edited papers from The Dartmouth Seminar Study Group on Response to Literature, a seminal conference that included scholars from the United States and England deliberating on literary study. Among numerous other publications, in 1985 he offered a paper at the Annual Convention of the National Council of Teachers of English (NCTE) in which he referenced Rosenblatt and reader response and elaborated upon the following four major instructional issues related to "The Current Crisis in Literary Education."

1. Teacher's have a responsibility to acknowledge "that the quality of the literary work impacts the quality of the literary experience" (p. 2).

2. Students need to engage in thoughtfully "selected major literary experiences . . . [in order] to develop a common culture" (p. 4).

3. Students' "understanding and appreciating . . . literary works is dependent . . . on . . . developing the background knowledge and experience needed for understanding" (p. 5).

4. Educators "need to reexamine the traditional and contemporary canon of major literary works and identify those which speak most persuasively to young people living today" (p. 7).

Langer (1990, 1992a, 1992b, 1994, 1995, 1997) and Rosenblatt (1978, 1995b) share a number of theoretical concepts and pedagogical principles. Agreeing with Rosenblatt's social, constructivist view of literacy and her insistence that an authentic literary transaction embodies an aesthetic experience, Langer has developed through the years a detailed theory of response to literature. She has based her theory on research studies, many of them associated with the National Research Center on English Learning and Achievement (CELA) where she is a director. (Langer's research related to literary stance is referenced later in this chapter.)

Although Rosenblatt (1978, 1995b) and Langer (1990, 1992a, 1992b, 1994, 1995, 1997) endorse a number of corresponding reader response concepts and principles, Langer uses different terminology and presents a more detailed identification of literary stances and elaborates more extensively upon the role of critical thinking. Rosenblatt (1978) speaks about the student's unique and personal response to a reading event and the student's selective attention creating a poem from a text during a dynamic aesthetic transaction. Similarly, Langer (1995) talks about actively changing

> envisionments . . . [which are] text-worlds in the mind . . . [that] differ from individual to individual. . . . [and] are a function of one's personal

> and cultural experiences, one's relationship to the current experience, what one knows, how one feels, and what one is after. (p. 9)

Like Rosenblatt, Langer describes literary experiences organically. Langer's (1995) "horizon of possibilities" (p. 26), which is similar to Rosenblatt's aesthetic stance, and her "point of reference" (p. 30), which is similar to Rosenblatt's efferent stance, are not dualisms but, rather, reciprocal aspects of the literary experience that enhance envisionments.

Langer (1990, 1992b, 1995, 1997) has identified four stances and, like Rosenblatt's (1978) aesthetic and efferent stances, Langer's stances fluctuate during the reading experience and are non-linear, thus, representing a dynamic reader-text relationship. The four stances are presented and quoted from her article "Rethinking Literature Instruction" as found in her edited work Literature Instruction: A Focus on Student Response (1992b).

> *Being Out and Stepping Into an Envisionment.* In this stance, readers attempt to make contacts with the world of the text by using prior knowledge, experiences, and surface features of the text to identify essential elements (e.g., genre, content, structure, language) in order to begin to construct an envisionment.
>
> *Being In and Moving Through an Envisionment.* In this stance, readers are immersed in their understandings, using their previously constructed envisionment, prior knowledge, and the text itself to further their creation of meaning. As they read more, meaning making moves along with the text; readers are caught up in the narrative of a story or are carried along by the argument of an informative text.
>
> *Stepping Back and Rethinking What One Knows.* In this stance, readers use their envisionments of the text to reflect on their own previous knowledge or understandings. Rather than prior knowledge informing

their envisionments as in the other stances, in this case readers use their envisionments of the text to rethink their prior knowledge.

Stepping Out and Objectifying the Experience. In this stance, readers distance themselves from their envisionments, reflecting on and reacting to the content, to the text, or to the reading experience itself. (p. 40)

Reader Response Research

Background

The literature related to reader response has steadily increased since the 1960s. Purves and R. Beach (1972) are generally credited with producing the first detailed, comprehensive review of literature on reader response--Literature and the Reader: Research in Response to Literature, Reading Interests, and the Teaching of literature. The subtitle reflects the three major sections of information included in the work; each section concludes with a complete bibliography, and the work ends with an annotated appendix of the most important studies. Since this 1972 publication, numerous other surveys of reader response research have been published (e.g., S. A. Beach, 1997; R. Beach & Hynds, 1989, 1990; Bradley, 1990; DeKay, 1996; Galda, 1983; McGee, 1992; Probst, 1991; Squire, 1994). Several publications (Bradley, 1990; R. Beach & Hynds, 1989, 1990) provide annotated bibliographies. The two reviews by Richard Beach and Susan Hynds (1989, 1990), albeit published in two different works with different titles, provide essentially the same information that is especially valuable not

only because the annotated information is extensive, but also because the information is presented in an organized manner with specific reader response categories.

Through the years, with the number of reader response studies increasing, researchers have developed various methods for analyzing and categorizing responses to literature. Squire's (1964) The Responses of Adolescents While Reading Four Short Stories produced one of the first important classification systems identifying seven categories: (a) Literary Judgments, (b) Interpretational Responses, (c) Narrational Reactions, (d) Associational Responses, (e) Self-Involvement, (f) Prescriptive Judgments, and (g) Miscellaneous. Providing a more detailed, multi-layered analysis than Squire's prior work, Purves and Rippere's (1968) Elements of Writing About a Literary Work produced a framework having implications not only for writing, but also for reading and included four main categories and a fifth "Miscellaneous" category: (a) Engagement-Involvement, (b) Perception, (c) Interpretation, (d) Evaluation, and (e) Miscellaneous.

Indeed, classifications systems to aid in the analysis of responses to literature have evolved through the years and at times have been used or adapted by other researchers. Langer's research (1990, 1992b, 1995, 1997) has rendered four categories for analyzing stances which were discussed in detail previously in this chapter: (a) Being Out and Stepping Into an Envisionment; (b) Being In and Moving Through an Envisionment; (c) Stepping Back and Rethinking What One Knows; and (d) Stepping Out and Objectifying the Experience. Many (1991) and Cox and Many (1992a, 1992b)

have presented a system for analyzing aesthetic and efferent stances on a continuum ranging from 1 (Efferent) to 5 (Aesthetic). (See elaboration of this continuum later in this chapter with the discussion of Many's [1991] study.) Sebesta, Monson, and Senn (1995) have designed a classification system for analyzing aesthetic responses based on four stages with related sub-categories: (a) Evocation, (b) Alternatives, (c) Reflective thinking, and (d) Evaluation.

Research Related to Teachers

Research in elementary and secondary classrooms (e.g., Applebee, 1993; Ash, 1994; Carroll, 1994; Hickman, 1979, 1980, 1981, 1983, 1984; Langer, 1994, 1997; Livdahl, 1993; Many, 1991, 1992; Vine & Faust, 1992a, 1993d; Zarrillo, 1991) has revealed that teachers play a pivotal role in creating a constructivist transactional environment fostering aesthetic literary experiences rather than relying on a traditional transmission model that promotes primarily, or exclusively, efferent instruction. Also, research (e.g., Many et al., 1995; Many & Wiseman, 1992; Peters, 1992; Wiseman & Many, 1992) has indicated that the teachers' manifestation of an aesthetic or efferent stance influences the respective stances of their students. Hence, challenges and changes exist for teachers and students who wish to engage in a constructivist transactional classroom that gives balanced and integrated attention to both the aesthetic and efferent dimensions of literary experiences. Rosenblatt's (1969a) comments written over 30 years ago have special relevancy today:

> In bringing together the student and texts that are indeed meaningful to him, the teacher's contribution can be magnificent. . . . The relationship between teacher and students, and above all among the students in the classroom should provide a favorable social context for talk about their reading. Instead of the usual effort to guess at "what the teacher wants" or to see the work through the teacher's eyes, the emphasis will be on an effort to arrive at a responsible personal approach to the work. (p. 1010)

Transactional and Transmission Pedagogy

The valuable contribution of aesthetic transactions to the student's reading experience directly contrasts with the reality of literature study that remains predominantly efferent in classrooms today (e.g., Anderson & Rubano, 1991; Applebee, 1989, 1993; Cox & Many, 1992b; Farrell & Squire, 1990; Langer, 1992b, 1995; Purves, 1993; Rosenblatt, 1980, 1982, 1986). Through the years, reader response researchers have investigated the advantages and characteristics of a constructivist transactional classroom that promotes the integration of both aesthetic and efferent literary experiences as contrasted with a traditional transmission model emphasizing an efferent stance (e.g., Applebee, 1974, 1989, 1993; Cox & Many, 1992c; Hickman, 1979, 1980, 1981, 1983, 1984; Langer, 1994, 1997; Langer & Applebee, 1988).

Applebee's (1993) comprehensive research presented in Literature in the Secondary School provided important information and insights into the realities of the traditional transmission instructional model predominant in schools today. This extensive body of research integrated findings from four studies conducted in 1988-1989 related to literature instruction in the United States, grades 7-12, and included

case studies of schools noted for excellence as well as national surveys and analyses of texts. Applebee's (1989) publication The Teaching of Literature in Programs with Reputations for Excellence in English focused on one of the four studies involving the case studies of literature instruction in 17 American secondary schools.

Applebee's (1989, 1993) research created a portrait of the secondary English classroom remarkably similar to the classrooms Goodlad (1984) described several years earlier in his monumental study A Place Called School in which the environments were "neither harsh and punitive nor warm and joyful; . . . [they were] flat" (p. 108). The typical classroom had a teacher situated at the front of the room directing the learning of approximately 30 students who were seated at their desks in fixed rows listening to the teacher giving information. The classrooms in Applebee's research reflected the same setting and scenario. Applebee's (1993) research concluded that "the overall impression of [secondary school] literature instruction . . . is one less of confusion than of complacency" (p. 192). These classrooms reflected a traditional transmission model of instruction with the teachers leading whole class discussions while relying on handouts and the New Criticism approach to literary analysis emphasizing the text and the teachers' authoritative "correct" interpretation of the literature which limited individual student responses and critical thinking.

Applebee (1993) noted that "curriculum changes with glacial slowness" (p. 83). He found that teachers emphasized the traditional literary canon and that almost three-fourths of the teachers had scant or no current knowledge of literary theory. One

teacher said, "These [literary theories] are far removed from those of us who work the front lines!" (p. 122). If teachers employed reader response theory, which was not the norm, the theory was not clearly understood and was "not [used] as a legitimate approach in its own right" (Applebee, 1989, p. 37). Instead, it initially was employed as a lure to capture the students' attention so that they ultimately would become engaged in analyzing the text.

The dilemma of making a transition from a traditional transmission model of instruction to one that is constructivist and transactional is complex and compounded by several disturbing realities. As early as the 1970s and the 1980s, Applebee (1974) and Langer and Applebee (1988) recognized a disjointed relationship between the goals that literature teachers espouse--which relate to developing their students' thinking and understanding of others and themselves--and their actual instruction in the classroom--which emphasizes traditional content knowledge. Literature teachers not only have conflicts between their philosophical goals and their classroom practice and have limited knowledge of literary theory (Applebee, 1993), but also doubt the possibility and practicality of implementing reader response theory in their classrooms. Studies (Agee, 1998; Dreyer, 1998; Fox, 1993) conducted at the university level indicated that education majors experience difficulties and frustrations in classes modeling and encouraging constructivist transactional teaching--which requires a paradigm shift from the instruction they have personally experienced throughout their lives as students. Additionally, professors--albeit undaunted and committed to

implementing and promoting constructivist transactional pedagogy--are often faced with a " 'tug-of-war' " (Fox, 1993, p. 15) and asked questions such as " 'Does this stuff really work' " (Dreyer, 1998, p. 2). Berghoff (1997) stated in her paper "Stance and Teacher Education":

> Students who soak up my ideas in class at the university write me angry email notes about . . . how I have "messed them up." They ask how I dare to teach them to value [reader response] practices and ideas that have no basis in reality. They feel as if they have been duped into believing a fairy tale, and they liked believing--more than not believing. In the context of traditional classrooms, they lose sight of new possibilities and grieve the loss, becoming angry at me for sharing the potential with them in the first place. (p. 12)

Hickman's (1979, 1980, 1981, 1983, 1984) reader response research of elementary school classrooms has revealed hopeful and positive signs regarding the potential and promise of constructivist transactional teaching, and her findings have implications for all levels of instruction. Her research offers insights and suggestions not only regarding the benefits of ethnographic literary studies and the developmental literacy levels of students, but also regarding the role of the teacher in a constructivist transactional classroom setting. Hickman (1984) noted that the teacher's direct and indirect behavior profoundly affects student learning. She stated:

> [in] the classroom community . . . the teacher . . . [is the] single most influential member. . . . the teacher acts as the classroom's number-one model reader, showing in attitudes, habits, and actions what it is like to find enjoyment and meaning in books. . . . we might also think of the teacher as producer and director of children's classroom experiences with books. (p. 282)

According to Hickman's (1979, 1980, 1981, 1983, 1984) studies, the learning and the joy of learning found in transactional literary experiences orchestrated and guided by the teacher are manifested in multiple ways: the students laughing and projecting positive body language (1983); students eagerly sharing with a peer a favorite part of a book (1984); a student "kissing a book cover" (1980, p. 525); and students mimicking the teacher's use of language (1983). These constructivist transactional classrooms revealed significantly effective teachers who provided classrooms filled with a rich variety of print resources, a myriad of meaningful literacy activities, and abundant opportunities and time for authentic conversations with the teacher and other peers.

Judith Langer has contributed important research related to the development of pedagogy and literary experiences that promote reader response transactions in the classroom. In Langer's (1990, 1992a, 1992b, 1994, 1995, 1997) research, she has investigated the concepts of "envisionments" (cf. Rosenblatt's aesthetic transaction); "horizon of possibility" (cf. Rosenblatt's aesthetic stance); and "point of reference" (cf. Rosenblatt's efferent stance). (See the discussion of Langer's theory and the detailing of her four literary stances earlier in this chapter.) Langer's work corroborates not only the principles of Rosenblatt's (1978, 1995b) transactional reading theory, but also the findings of other reader response researchers (e.g., Ash, 1994; Carroll, 1994; Livdahl, 1993; Peters, 1992; Vine & Faust, 1992a, 1993d; Zarrillo, 1991) regarding the challenges and difficulties that occur when teachers attempt to change from a

traditional transmission instructional model to one that is constructivist and transactional.

During a 6-year period, Langer (1994) conducted a study with 10 assistants and 40 veteran teachers who worked cooperatively while meeting weekly to investigate existing pedagogy and literature lessons in order to develop improved, effective reader-response strategies. Various qualitative methods were used during the study such as audiotapes and field notes of weekly meetings and classroom lessons, the engagement of research assistants and teachers in cooperative lesson planning and reflection after classroom lessons, audiotaped interviews with students, and collection of artifacts. Data were analyzed and patterns emerged that produced "*Some General Guidelines for Instruction*" when studying literature (pp. 207-208).

> 1. Use class meetings as a time for students to explore possibilities and develop understandings as opposed to recounting already acquired meanings (what they remember) and teaching what they've left out.
>
> 2. Keep students' understandings at the center of focus--in writing as well as discussion. . . .
>
> 3. . . . Teachers need to be listeners, responders, and helpers rather than information-givers.
>
> 4. Encourage wonderings and hunches even more than absolutes. . . .
>
> 5. Encourage students to develop their own well-informed interpretations and gain vision from others. . . .
>
> 6. Remember that questioning, probing, and leaving room for future possible interpretations is at the heart of critical thinking in literature. . . .

7. Help students learn by providing scaffolds that guide in ways to listen and speak to one another and in ways to think about their own developing understandings.

8. Help students engage in more mature literary discussions by eliciting their own responses, asking for clarification, inviting participation, and guiding them in sustaining the discussion.

9. Help students think in more mature ways by guiding them to focus their concerns; shape the points they wish to make; link their ideas with what they have already discussed, read, or experienced; and think about their issues in more complex ways.

Langer (1994) noted that these strategies are not intended to be followed in sequence, to be considered all-encompassing, or to be present in each literature lesson. Her research also rendered a suggested, flexible lesson plan format with three parts: "inviting initial understandings, developing interpretations, and taking a critical stance" (p. 208).

Langer (1994) recognized the dilemma of attempting a shift from a traditional transmission model of literacy instruction to a constructivist transactional model. Her research has acknowledged the confusion and insecurity of teachers attempting to engage in classrooms committed to reader response. Speaking about these teachers, Langer stated:

> On the one hand they are attracted to the notions underlying a pedagogy of student thoughtfulness because they think it provides students with ownership for their own learning; motivates and engages them in making sense; and provides a context for them to try out, negotiate, and refine their ideas in interaction with others. On the other hand, they are uncertain how to carry through such lessons. . . . The old teaching routines almost all of us learned in graduate course work and saw modeled in curriculum guides, instructional materials, and assessment

> instruments don't apply when response-based instruction is the goal. However, the field has not yet provided adequate guidelines or strategies to allow teachers to build "new bones"--internalized routines and options to take the place of plot summaries and leading questions guiding students toward predetermined interpretations . . . (pp. 203-204)

Throughout a 6-year period, Langer (1997) studied the " 'envisionment-building classroom' " which (a) promoted students being "lifelong envisionment-builders" (p. 6); (b) encouraged questioning as an integral and necessary ingredient in literature study; (c) devoted class time to creating envisionments; and (d) facilitated varied points of view and literary interpretations. Similar to Langer's research findings in 1994, teachers--although committed to "envisionment-building"--still encountered repeated obstacles and frustrations based on their former traditional teaching paradigm that considered teaching to be interpreting correctly the text from one perspective, detecting the author's meaning, and utilizing techniques such as plot summaries.

Building upon and extending her prior 1994 research, Langer (1997)--along with the research assistants and teachers who participated in the study--created teaching strategies for building " 'new bones' " (p. 8) and designed a flexible lesson design with five components (the first and last components being added since the 1994 study): "1) easing access before reading, 2) inviting initial understandings, 3) supporting the development of interpretations, 4) inviting critical stances, and 5) stocktaking" (pp. 7-8). Another important finding of this research indicated that the objectives of formal literary analysis in the traditional transmission classroom model are not neglected in the constructivist transactional "envisionment-building" model but, instead, are fused

into a more inclusive, meaningful pedagogy and classroom literary experience enhancing student involvement and critical thinking.

In order to investigate more fully the characteristics of an aesthetic stance and to provide suggestions for teachers facilitating aesthetic transactions in the classroom, Cox and Many (1992c) selected a student, Winke, to study in-depth from their research of the aesthetic and efferent stances of 38 fifth-grade students (1992b). (See the discussion of Cox and Many's [1992b] study later in this chapter.) Affirming the principles of Rosenblatt's transactional reading theory, Cox and Many (1992c) noted that teachers need to acknowledge the individuality and multiplicity of students' aesthetic transactions and recognize and remember that readers rely personally on their prior knowledge while responding affectively during the reading process. In promoting aesthetic transactions, Cox and Many offered several suggestions to teachers: (a) students need to be involved in creating and choosing their own responses to literature; (b) students need appropriate amounts of time to reflect and respond thoughtfully to texts; (c) students need to hold authentic conversations with the teacher and other students; and (d) students need to create personal connections with a variety of resources ranging from books to multimedia. Teachers must always be mindful of the characteristics of aesthetic transactions and consciously guide and promote these transactions throughout literacy experiences.

Teacher's Influence on Aesthetic and Efferent Stances

An essential element of Rosenblatt's (1978) transactional reading theory is the concept of a continuum on which aesthetic and efferent stances fluctuate and her concern (1980, 1982, 1986) that the aesthetic stance is neglected while the efferent stance receives primary, or exclusive, attention during the reading experience. Research at the elementary through the college levels has indicated that the teachers' instructional strategies and stance directly, and indirectly, influence the students' assuming a more aesthetic or a more efferent stance (Many et al., 1995; Many & Wiseman, 1992; Peters, 1992; Wiseman & Many, 1992; Zarrillo & Cox, 1992).

Wiseman and Many (1992) studied the stances of 52 pre-service elementary education students who had received information on Rosenblatt's transactional theory and the concepts of aesthetic and efferent reading. Then, they were placed in either a group receiving an aesthetic instructional orientation or a group receiving an efferent instructional orientation. Students read various works of fiction, responded orally and in writing to the readings, and rated the works. The study concluded with the students writing an open-ended response to a short story. Data were analyzed both qualitatively and quantitatively and indicated that the instructional approach affected the students' stances when responding to the literature. Those students engaged in the aesthetic instructional approach employed an aesthetic stance responding emotionally and personally while connecting with the story and characters, and those students engaged in the efferent instructional approach employed an efferent stance responding more

objectively focusing on literary analysis. This study also indicated that, although all of these undergraduate elementary education students were informed about the concepts of aesthetic and efferent reading stances, it was the actual approach that they had participated in while reading and responding to literature that influenced their ultimately assuming a particular stance. The researchers noted the necessity of integrating both aesthetic and efferent dimensions during literary instruction.

Employing both qualitative and quantitative analyses, Many et al. (1995) compared two instructional orientations to determine the influence of teaching on aesthetic and efferent stances when 56 pre-service elementary education students read multi-cultural fiction. Students were assigned to one of two instructional approaches: (a) an aesthetic literary approach emphasizing a student's personal, emotional connection with a story and (b) a transactive criticism approach emphasizing first an aesthetic experience with the story and then a complementary literary (efferent) analysis of the aesthetic evocation. Again, findings from open-ended responses written at the conclusion of the study confirmed results in other studies (e.g., Wiseman & Many, 1992) that teaching approach affected the stance that students assumed. The aesthetic literary group wrote more aesthetic responses, and the transactive criticism group wrote more literary analysis than the aesthetic literary group. However, with the exception of one student, the other students in the transactive criticism group wrote responses that reflected both an aesthetic evocation and a literary interpretation whereas only a few students in the aesthetic literary group provided both an aesthetic

evocation and a literary interpretation. In addition, literary analyses produced by both groups remained fairly unsophisticated. Because students in the transactive criticism group also produced responses incorporating an aesthetic stance as well as an efferent stance, the data seemed to indicate that exposure to literary analysis did not diminish the student's ability to respond aesthetically. Many et al. (1995) concluded that teachers should integrate both an aesthetic transaction with a text that evokes a poem and an efferent interpretation of the literature.

Many and Wiseman (1992) conducted a quantitative study in which 120 third graders read three illustrated books and were placed in one of three types of discussion groups receiving different instructional approaches: (a) a literary experience group that received an aesthetic orientation, (b) a literary analysis group that received an efferent orientation, and (c) a group that received no discussion. After being read a book, students were asked to offer a written response to an open-ended prompt. The responses were categorized as "primarily aesthetic," "primarily efferent," or "no primary focus" (neither aesthetic nor efferent emphasis). Data revealed that students in the literary experience group assumed a more aesthetic stance becoming personally involved in the story and identifying and connecting with the story while students in the literary analysis group assumed a more efferent stance responding more impersonally by focusing on story elements. Students in the no discussion group mainly retold the story and had the highest percentage (75%) of responses classified "no primary focus." The researchers suggested that literary instruction begin with an

aesthetic stance and subsequently include an efferent stance. Also, Many and Wiseman (1992) concluded that when given an opportunity to respond in writing to an open-ended prompt, students who have experienced either aesthetic or efferent instructional approaches tend to write aesthetically.

Peters (1992) conducted a study that provided data and insight related to the preparation of 38 secondary English teachers and the influence of stance. During the study of four works of fiction, these pre-service English teachers, who were all familiar with Rosenblatt's transactional reading theory and her concepts of aesthetic and efferent stances, experienced three different instructional approaches respectively in their three undergraduate methods classes: (a) aesthetic class--assumed a personal, affective stance towards the texts; (b) efferent class--assumed an analytical stance towards the texts; and (c) aesthetic/efferent class--assumed both aesthetic and efferent stances towards the texts. Qualitative and quantitative analyses of student responses and ratings of the literary works indicated that teaching methods influenced the students' responses in the three respective classes: the aesthetic approach rendered personal and emotional responses to the literature; the efferent approach rendered objective literary analyses, and the aesthetic/efferent approach rendered a personal connection with the literature that provided a foundation for literary analysis. Peters concluded that the preferred instructional approach is aesthetic/efferent that includes both stances and affords the students the richest, most complete experiences when studying literature.

Zarrillo and Cox (1992) conducted a qualitative study of 27 elementary teachers via classroom observations and teacher interviews to investigate their aesthetic and efferent stances during the study of literature. The researchers developed a classification system based on efferent and aesthetic teaching stances. Eight sub-categories related to an efferent stance such as "Structure of Language" and "Analysis of the Text" (pp. 237, 240). Five sub-categories related to an aesthetic stance such as "Imaging and Picturing" and "Relating Associations and Feelings" (pp. 243-244). While 26 teachers assumed efferent stances during the study, 1 teacher assumed only an aesthetic stance. Although 19 teachers assumed aesthetic stances to some extent, with the exception of the 1 teacher who manifested a steadfast aesthetic stance, the teachers primarily focused on efferent teaching. As Zarrillo and Cox (1992) stated, "The priorities were clear: literature is for teaching reading skills, for finding information, for analysis. Aesthetic teaching is dessert, to be sampled after the main course of efferent objectives has been consumed" (p. 245). Zarrillo and Cox surmised that the prevalence of an efferent teaching stance is related to two major pedagogical factors: the historical hegemony of the New Criticism approach to literature instruction and the historical influence of basal texts.

Research Related to Students

Only a few reader response studies were conducted prior to the 1970s, and these focused on students. Many literary scholars (e.g., Miller, 1980; Newkirk, 1991; Probst, 1991; Purves & R. Beach, 1972; Purves & Rippere, 1968) agree that I. A. Richards' (1929) Practical Criticism was the first important study dealing with response to literature. His research in England of university students' written responses to poems, in which the poets' names were deleted, provided information and insights regarding the students' lack of sophistication and inability to analyze poems. Richards identified 10 related reasons for the students' inadequate analysis of poetry which ranged from "*Stock Responses*" to navigating ineptly between "*Sentimentality*" and the "Scylla whose Charybdis is . . . *Inhibition*" (pp. 13-17).

In the 1960s, Squire (1964) and Wilson (1966) conducted two of the earliest studies in the United States of students' responses to literature. Squire (1964) interviewed 52 ninth- and tenth-grade students throughout their reading of four short stories and analyzed their responses according to seven response categories which he developed (see the list of the categories previously presented in this chapter). Slightly more than 42% of the students' responses revealed what Rosenblatt would term an efferent stance: they were identified as "interpretational" (analysis of story elements such as plot, character, and theme). Fewer responses revealed what Rosenblatt would term an aesthetic stance. For example, "associational" responses (association of a story

element other than a character with the reader's own life) represented less than 4% of the responses. And, "self-involvement" responses (association of a character with the reader's own life) represented less than 17% of the responses. Similar to some of the findings of I. A. Richards' (1929) study, Squire (1964) identified six problems that the readers encountered such as offering "stock responses" and being " 'happiness bound' " (p. 37). Squire's conclusions mirrored Rosenblatt's theoretical principles when he stated:

> The results suggest that although certain group tendencies are observable in the reading reactions of adolescents, individual variation is caused by the unique influence of the abilities, predispositions, and experiential background of each reader. . . . readers respond to literature in . . . selective ways and . . . the nature of an individual's reactions is conditioned by the dynamic interplay of a constellation of factors rather than by single causes. (pp. 50-51)

Wilson's (1966) study involved 54 undergraduate college students who wrote multiple reactions before and after reading three novels; 9 of these students were selected for individual analysis. Data were analyzed based on Squire's (1964) seven response categories; and like Squire's study, the majority of the responses (65.6%) were "interpretational." Results indicated that, after formal classroom study of the novels, student responses coded "interpretational" increased whereas responses coded "self-involvement" decreased. Wilson concluded that, when studying literature, the teacher should first encourage a personal engagement with the literary work and then proceed with formal analysis. He stated the following:

> College students are usually more personally involved in a novel before they try to analyze it . . . [the teacher should] not impose on the students his own interpretation of the work [at the beginning of the literary experience]. . . . The college instructor can expect that the intensive study of literature will not only increase the interpretational facility of his students--it will also result in a concomitant loss of their empathy with the work. (pp. 40-41)

Reader response research has steadily increased since the 1970s, particularly within the last decade. Overall, this growing body of research has revealed multiple benefits for students actively engaged in aesthetic literary transactions while reading both fiction and non-fiction texts (e.g., Ash, 1994; Carroll, 1994; Gaskins, 1996; Goetz, Sadoski, Fatemi, & Bush, 1994; Hancock, 1992; Jetton, 1994; Sadoski & Quast, 1990). In addition, a number of studies have focused primarily on investigating the aesthetic and efferent stances of students with data affirming the advantages of the aesthetic dimension of literature study (Cox & Many, 1992b; Langer, 1990, 1997; Many, 1991, 1992).

Aesthetic Transactions with Fiction

Studies employing qualitative, quantitative, and a combination of qualitative/ quantitative research methods have indicated that students' personal involvement and their language development were enhanced by engaging in aesthetic literary transactions while reading fiction (Ash, 1994; Carroll, 1994; Hancock, 1992; Livdahl, 1993; Newell, 1996; Vine & Faust, 1992a, 1992b, 1993a, 1993b, 1993c, 1993d).

In a six-part series of articles, Vine and Faust (1992a, 1992b, 1993a, 1993b, 1993c, 1993d) offered case studies of students who were a representative sampling from a larger study originally including 288 participants, ages 11 to 25. Students at all age levels read the same poem and were given directions to read the poem three times and after each reading write their reflections and responses. Vine and Faust concluded that students' ability to create meaning from the text was enhanced through aesthetic transactions and that they wrote more thoughtful, engaging responses when they could imagine, feel, make personal connections, and offer questions and concerns. However, students were limited in their ability to make meaning and offered less thoughtful, engaging responses when they wrote plot summaries, character descriptions, and theme statements with a more objective stance. Vine and Faust (1992a, 1993d) also acknowledged the difficulty and challenges faced by both teachers and students who engage in an unfamiliar constructivist transactional approach to literary experiences rather than the traditional transmission approach to which they have been accustomed.

Similar to the conclusions of Vine and Faust's series of six articles published throughout 1992 and 1993 discussed previously, Livdahl's (1993) classroom case study of advanced ninth-grade students indicated that when given opportunities to transact aesthetically with fiction in writing and in group discussions that students (a) were eager to make meaning from the text, (b) assumed a personal relationship with the text, (c) gained insight into human problems, and (d) actively took responsibility for their learning. The following are two students' aesthetic transactions with Gun's Up!, a

book about the Vietnam War, which reveal these multiple benefits of an aesthetic transaction: (a) " 'I don't understand how they [the soldiers] went on living having been through war. It's so sad, and more than once I felt sick while reading it. Hopefully, society can learn from mistakes, and not go into war anymore' " (pp. 198-199) and (b) " 'about the Vietnam War . . . I knew virtually nothing. Now, having read *Guns Up!*, I feel almost as if I'd lived through it' " (p. 199).

Carroll (1994), Ash (1994), and Hancock (1992) concurred with the findings of Vine and Faust (1992a, 1992b, 1993a, 1993b, 1993c, 1993d) and Livdahl (1993). Carroll (1994) offered a case study of an 11th-grade English class that made a transition during a school year from a more traditional classroom with an efferent orientation to a reading-writing workshop approach with a more aesthetic orientation valuing the student as an active learner and meaning-maker. Data indicated that students offered more insightful oral and written responses during transactional experiences and that students' attitudes toward learning showed progress and improvement. Carroll emphasized the teacher as the essential element in creating a constructivist transactional classroom environment. However, she also noted, as did Livdahl (1993) and Vine and Faust (1992a, 1993d), the problems associated with encouraging students--who have traditionally relied on a transmission model and the teachers' authoritative interpretations of texts--to assume more responsibility for their own thinking and for creating their own meaning. Carroll noted particular challenges with group work when the students doubted that their independent thinking within a

collaborative context held authentic meaning and influence regarding the literary experience.

Ash's (1994) case study of a ninth-grade English class (students ages 15 to 17 in an at-risk program) indicated that when given an opportunity to transact aesthetically with fiction, students made personal, meaningful connections and that their unique past experiences promoted individual evocations. In other research, Hancock (1992) provided a case study of one sixth-grader who transacted with a text and assumed an aesthetic stance while writing in a literature response journal. The researcher concluded that the student's responses exhibited the following: a strong connection and empathy with the characters, recall of personal experiences, and fine insights into human problems. Regarding Gary Paulsen's Hatchet, the student wrote the following:

> "Brian, watch what your doing! one false move and boom!!! be more careful! . . . [Brian] even wallowing in self pit won't help but I do feel as if I am the character at times. I realize how deep his pain would be. . . . More awful memories. I sometimes *hate* memories they bring unnessicary pain, they hurt you sub-conciously and hunt you it seems for eternity." (pp. 38-40)

Hancock was impressed by the quality of the student's aesthetic response and empathy and insight. She suggested that freely and spontaneously responding to literature in a journal with attention to aesthetic involvement--rather than concentration on the "correct" answer, spelling, and grammar--was a good alternative to the traditional book report that assumes a more efferent stance.

Employing both qualitative and quantitative methods, Newell (1996) conducted a study of two 10th-grade classes: one class experienced a reader-based transactional model, and the other class experienced a teacher-centered transmission model when studying a short story. Four students were selected for in-depth case study analysis and engaged in interviews to provide deeper understanding of the collected data. Students involved in reader-based instruction engaged in small group collaboration and a discussion guided by the teacher that explored the students' interpretations elicited during group work, and they wrote an essay that encouraged interpretation based on the short story and the students' personal experiences. On the other hand, students involved in the teacher-centered instruction did not engage in group work and experienced instead a discussion directed by the teacher interpreting the text, and they wrote an essay adhering to a prescribed five-paragraph format. Students in the reader-based classroom had higher posttest scores on written responses to three questions than those in the teacher-centered classroom. Also, students in the reader-based classroom responded in their essays with more flexibility and used personal experience and insights while interpreting the literature and exhibited, overall, a much better understanding of the short story.

Aesthetic Transactions with Non-fiction and Pseudonarration

Rosenblatt (1978, 1995b) has indicated that the reader's personal, emotional involvement in the text is an essential ingredient of an aesthetic stance. Researchers have conducted qualitative and quantitative studies on non-fiction and pseudonarration (a literary work mixing fiction and non-fiction) showing that an affective or emotional connection with a text influenced the reader's comprehension and response (Gaskins, 1996; Goetz et al., 1994; Jetton, 1994; Sadoski & Quast, 1990).

Gaskins (1996) combined both qualitative and quantitative research methods when studying three groups (24 students in each group) of male and female eighth-grade students from public and private schools to investigate the influence of an aesthetic stance during a non-fiction reading experience. Students read a passage about a basketball game and were then asked to answer three questions about the text by recalling the passage from memory. Two of the groups were emotionally involved with the two teams represented in the text, and one group had no emotional involvement with the two teams mentioned in the text. Data indicated that the students' comprehension of, and response to, the basketball passage were influenced by the students' emotional involvement with the respective team that they supported. Thus, the two groups emotionally involved with the teams represented in the passage revealed personal preferences and different interpretations of the same passage. The third group that had no emotional involvement with the teams represented in the passage revealed a more impartial interpretation and comprehension of the text.

Gaskins concurred with Rosenblatt (1978, 1995b) that an individual, emotional transaction with literature influences the interpretation of a text.

Sadoski and Quast (1990) conducted quantitative research involving 54 female undergraduate education majors to determine the degree to which imagery (a subjective criterion), affect (a subjective criterion), and importance (an objective criterion) influenced the students' responses to, and recall of, three magazine articles. Sixteen days after reading the three articles, the subjects were asked to recall the most important information in the articles and explain their reasons for including the information. Data indicated that imagery and affect, subjective criteria, influenced student responses and recall rather than importance, an objective criterion. Also, data revealed that students most often indicated the criterion, affect, as the major contributor to their recalling information.

Goetz et al. (1994) expanded the research mentioned previously by Sadoski and Quast (1990) and found similar results. The 1994 research involved two separate, yet similar, experiments with undergraduate students who read newspaper articles (27 students in Experiment 1; 28 students in Experiment 2). After reading the newspaper selections, students were asked to rate the newspaper articles on a 6-point scale responding to 10 aspects ranging from "General Familiarity" with the content of the article to "Story Emotional Response" created by the article. As in the Sadoski and Quast (1990) research, imagery associated with affective responses influenced comprehension. Story interest was closely linked to emotional response.

A study by Jetton (1994) paralleled the findings of Gaskins (1996), Sadoski and Quast (1990), and Goetz et al. (1994). Jetton (1994) studied 81 second-grade students who were read the same pseudonarration (a literary work mixing fiction and non-fiction) and were then placed in two groups. Students in one group had been instructed to read the work aesthetically as a story, a narrative, while students in the other group were instructed to read the work efferently as a book with information. Quantitative data analysis indicated that in response recalls, students from both groups emphasized fiction rather than non-fiction elements. Also, the informational group recalled less information than the story group; however, the difference was not significant as neither group recalled detailed information. Qualitative data analysis indicated that those students in the story group were more personally and creatively involved with the work as a story--a piece of fiction--whereas the students in the informational group related more impersonally to the work as a book with information.

Aesthetic and Efferent Stances

Based on Rosenblatt's transactional theory, a number of researchers have conducted reader response studies focusing especially on the aesthetic and efferent stances that students assume during the study of literature. Findings have affirmed the benefits of students' engaging in aesthetic transactions and assuming aesthetic stances during literary transactions (Cox & Many, 1992b; Langer, 1990, 1997; Many, 1991, 1992). Reader response research has supported Rosenblatt's contention that the

aesthetic dimension of literature study needs to find its equitable and rightful place along with the efferent dimension in order to promote and provide rich, complete, and meaningful literary experiences for all students.

Employing both qualitative and quantitative methods in two related studies, Many (1991, 1992) investigated the aesthetic and efferent stances and the influence of grade level on understanding of 4th-, 6th-, and 8th-grade students. After reading three short stories, students were given ample time to respond to each story openly and freely when answering the following question: " 'Write anything you want about the story you just read' " (Many, 1991, p. 67; 1992, p. 171).

In Many's study conducted in 1991, responses to the prompt were analyzed using two ratings scales. One scale analyzed the students' understanding of the stories using four levels ranging from Level 1 (low level reflecting a literal interpretation of the story) to Level 4 (high level reflecting more sophisticated thinking and personal connections with the story). The other scale analyzed stance using a 5-point continuum (pp. 84-85).

Point 1--Most efferent response
Point 2--Primarily efferent response
Point 3--Elements of aesthetic and efferent
Point 4--Primarily aesthetic response
Point 5--Most aesthetic response

Data indicated that eighth-grade students had more responses at the highest level of understanding (Level 4) and that the students' levels of understanding at all grade

levels increased when assuming an aesthetic stance, as opposed to an efferent stance or a combination of aesthetic and efferent stances.

In Many's study conducted in 1992, responses to the prompt were analyzed using a different method from the 1991 study. Analysis of stance was based on three criteria: "primarily efferent," "no primary focus" (i.e., no stance or a combination of both efferent and aesthetic stances), and "primarily aesthetic." Data revealed that students at all three grade levels (4th, 6th, and 8th) manifested similar aesthetic and efferent stances related to the three short stories and that 8th-grade students' responses were more complex and insightful than the elementary level students.

Cox and Many (1992b) employed both qualitative and quantitative methods to study the responses of 38 students in two fifth-grade classrooms who read four novels and saw five films and after each literacy experience responded to a prompt similar to the one employed in Many's (1991, 1992) studies described previously: " 'Write anything you want about the book (film) you just read (saw)' " (Cox & Many, 1992b, p. 43). Responses were analyzed according to the two scales already presented in Many's study of 1991: a four-level scale of understanding and a 5-point continuum analyzing stance. Findings indicated that students responding to the open-ended question assumed more aesthetic than efferent stances. Regarding levels of understanding, slightly more than half the students were placed in Levels 2, 3, and 4 (beyond the low literal level of understanding in Level 1); and 28% were placed at Levels 3 and 4 (high levels of personal understanding). Because data indicated that the

students had better levels of understanding when they assumed aesthetic stances, Cox and Many concluded that Rosenblatt's transactional reading theory has important implications for classroom literacy experiences. Findings also indicated that students had similar levels of understanding when reading novels or watching films; however, students responded more aesthetically to the novels than to the films. Since data indicated similar levels of understanding when reading books or watching films, the researchers concluded that more varied genres and media should be included when teaching literature.

In 1990, Langer conducted a qualitative study of 36 secondary school students and their literary (i.e., aesthetic) and informational (i.e., efferent) reading. Think-alouds related to fiction and non-fiction (poetry, short stories, social studies and science texts) were analyzed to investigate the students' interpretations of texts. In order to analyze the data, Langer used four identified stances (see prior discussion and elaboration of these stances in this chapter) that the students assumed while making meaning and creating envisionments with the text.

1. Being Out and Stepping Into an Envisionment usually occurred at the beginning of the reading experience when students greeted the text while fusing their existing prior knowledge with the text to begin building understanding and an envisionment.

2. Being In and Moving Through an Envisionment occurred when students continued to use their prior knowledge to extend their understanding of the text and their evolving envisionment.

3. Stepping Back and Rethinking What One Knows occurred when students, instead of using prior knowledge to guide their understanding of the text and the creation of an envisionment, used their current understanding of the text and their envisionment created from the first two stances to think about themselves and what they knew.

4. Stepping Out and Objectifying the Experience occurred when students objectified their understanding of the text and their envisionments by disassociating themselves from the text to study and judge their process of interpretation or the text itself.

Although students engaged in all four stances, data indicated that the students most often engaged in the first two stances: (a) Being Out and Stepping Into an Envisionment and (b) Being In and Moving Through an Envisionment.

Data from Langer's (1990) study also indicated that the students' stances were directly related to the purpose of the reading--whether literary (i.e., aesthetic) or informational (i.e., efferent)--and that their stances shifted dependent upon their perceived purpose of the reading. When reading literary texts, students flexibly moved within a "*horizon of possibilities*" (p. 248) responding personally to experiences about life and living. In contrast, however, when reading informational texts, students

remained fixed and focused on a "*point of reference*" (p. 248) and the collection of information. Langer noted that, although a particular stance may be primarily assumed during a reading experience, these stances are fluid and fluctuate dependent upon the needs of the reader.

Langer (1997) presented research related to reader stance that she conducted with 10 associates, 50 teachers, and students (pre-kindergarten to adult). A series of studies spanning four years concentrated on "envisionment-building" (p. 1), which is the students' continuously active construction of meaning. Data indicated that students vacillate in their reading between two positions--literary and discursive--which are similar respectively to Rosenblatt's (1978) aesthetic and efferent stances that fluctuate on a continuum. Data were analyzed based on the identification of four literary stances elaborated upon previously in this chapter: (a) Being Out and Stepping Into an Envisionment, (b) Being In and Moving Through an Envisionment, (c) Stepping Back and Rethinking What One Knows, and (d) Stepping Out and Objectifying the Experience. Langer noted that these stances are essential to the reading experience and that they are recursive and can occur simultaneously. Her findings revealed that less able readers experienced their envisionments as a compilation of separate entities. In contrast, however, the findings suggested that more able readers are adaptable and flexible and experienced their envisionments as developmental and integrated. Also, when studying content areas such as science and social studies, literature was considered a lure to entice student interest initially, but the ultimate goal was finding

textual information. When students independently assumed an aesthetic stance, the students were "thwarted by their . . . teachers who thought they were 'off-base' " (pp. 4-5), thus, indicating the teachers' preference for an efferent orientation.

Summary

The review of transactional reading theory and related literature in this chapter was presented in four parts to provide background and support for the purpose of this study: to investigate the aesthetic and efferent pedagogical stances and perspectives of high school English teachers. Since the theoretical framework of this study is Louise Rosenblatt's transactional reading theory, part one offered autobiographical information related to Rosenblatt (1990, 1993, 1995b) which she acknowledged directly influenced the development of her theory. She noted particularly the positive influence of her progressive family at the turn of the century, her graduate studies at Barnard College and the Sorbonne, the thinking of other notable scholars such as John Dewey, and her university teaching experiences.

Part two presented the pedagogical principles and salient theoretical features of Rosenblatt's (1978, 1995b) transactional reading theory. The discussion included elaboration of her concepts of a text as distinguished from a poem and the concepts of aesthetic and efferent stances. In addition, other important aspects of her theory were discussed as well as the influence of scholars whose thinking inspired or affirmed Rosenblatt's work: Dewey and Bentley's (1949) concept of a transaction as contrasted

with an interaction, James's (1890) concepts of stream of consciousness and selective attention, Peirce's (1933, 1935) triadic semiotic theory, and Vygotsky's (1997) social constructivist theory of language acquisition and development.

Part three provided information regarding notable theorists who have been influenced by Rosenblatt's transactional reading theory and have made important contributions to the field of reader response such as Richard Beach, Judith Langer, Robert Probst, Alan Purves, and James Squire. Through the years, on occasion, Rosenblatt has held differing opinions from some of these reader response theorists (Bleich, Iser, Britton, and Purves) and these differences were noted.

The fourth and final part of this chapter elaborated upon reader response research in three main areas giving special attention to the concepts of aesthetic and efferent stances, which were especially germane to this study. First, background information was presented regarding some of the major reviews of literature associated with reader response research and the classification systems developed for analyzing responses to literature. Second, research related to teachers and literature instruction revealed the prevalence of a traditional transmission model of teaching (e.g., Applebee, 1989, 1993); the conflicts associated with changing from a transmission to a transactional teaching model (e.g., Agee, 1998; Langer 1994); the potential and promise of a constructivist transactional classroom (e.g., Hickman, 1979, 1981, 1984; Langer, 1994, 1997); and the teacher's influence on the aesthetic and efferent stances of their students (e.g., Many et al., 1995; Many & Wiseman, 1992; Peters, 1992).

Third, reader response research related to students was presented. Early studies prior to 1970 were discussed (Richards, 1929; Squire, 1964; Wilson, 1966) and later research after 1970 was presented, particularly those relevant studies conducted within the last decade related to fiction (e.g., Ash, 1994; Livdahl, 1993; Newell, 1996); non-fiction and pseudonarration (e.g., Gaskins, 1996, Jetton, 1994; Sadoski & Quast, 1990); and aesthetic and efferent stances (e.g., Cox & Many, 1992b; Langer 1990, 1997; Many 1991, 1992). These studies indicated that aesthetic transactions during literary experiences provided multiple personal and instructional benefits to students at all levels.

CHAPTER III

RESEARCH DESIGN AND PROCEDURES

> Given the transactional paradigm, the old dualistic experimental research design, with its treatment of student and text as separate, static entities acting on one another in a presumably neutral context, cannot suffice . . . no matter how much we may generalize quantitatively about groups, reading and writing are always carried on by individuals. If research is to serve education, the linguistic transaction should be studied above all as a dynamic phenomenon happening in a particular context, as part of the ongoing life of the individual in a particular educational, social, and cultural environment. . . . Increasing interest can be noted in the contributions of case studies and ethnographic methods . . . [because] reading and writing transactions are at once intensely individual and intensely social activities. (Rosenblatt, 1988, p. 14)

The purpose of this research study was to explore the aesthetic and efferent pedagogical stances and perspectives of high school English teachers during the study of literature. The study focused on three research questions.

1. What aesthetic and efferent pedagogical stances do high school English teachers manifest in the classroom during the study of literature?

2. What aesthetic and efferent pedagogical perspectives regarding the study of literature do high school English teachers report during in-depth interviews?

3. How do high school English teachers' aesthetic and efferent pedagogical stances manifested in the classroom compare with their aesthetic and efferent pedagogical perspectives reported during in-depth interviews?

Chapter III describes the study's design and procedures. This chapter presents information regarding the following areas: (a) qualitative design, (b) researcher's role, (c) selection and description of sites and participants, (d) pilot study, (e) data collection procedures, (f) data analysis procedures, and (g) inter-rater agreement.

Qualitative Design

This qualitative study (Creswell, 1994) was designed to explore comprehensively, describe in detail, and interpret inductively in the authentic environment of 10 high school English classrooms the teachers' aesthetic and efferent literary stances and their perspectives articulated during interviews. The two primary data sources were the classroom observation of each teacher during a literature lesson and an in-depth interview with each teacher after the classroom observation. Bogdan and Biklen (1998) stated that "the best-known representatives of qualitative research studies . . . employ the techniques of *participant observation* and *in-depth interviewing*" (p. 2). Two secondary data sources, instructional artifacts and the researcher's journal, complemented the primary data sources by providing a "thick description" of the environment and by facilitating a comprehensive understanding of the conditions and circumstances of the fieldwork (Erlandson, Harris, Skipper, & Allen, 1993, p. 33). This "naturalistic inquiry" of the pedagogical stances and perspectives of English teachers in the public high school setting was characterized by "studying real-world situations as they unfold naturally . . . [while being]

non-manipulative, unobtrusive, and non-controlling" (Patton, 1990, p. 40). Rosenblatt (1985, 1988) herself has affirmed the benefits and necessity of studying transactional reading theory and aesthetic and efferent literary stances in the classroom through qualitative research; and she has cautioned that "Research on [reader] 'response' especially needs to be liberated from the restriction to problems amenable to the older research designs, with their emphasis on translation into quantitative terms" (1985, p. 104).

Researcher's Role

Creswell (1994) states that "the qualitative researcher is the **primary instrument** for data collection and analysis" (p. 145), and Patton (1990) contends that while "complete objectivity is impossible; pure subjectivity undermines credibility" (p. 41). Thus, the researcher attempted throughout this current study to be a thoughtful, impartial observer; meticulous recorder of data; and professional researcher protecting the confidentiality and anonymity of the participants. However, the data collected and the conclusions derived from this qualitative research study were interpreted through the mind of an educator who had biases influenced by her 33 years of experience in public education in which she has promoted thoughtful literary analysis and criticism within a constructivist transactional context while serving both as a language arts teacher at the elementary, junior high, high school, and college levels and as a language arts curriculum coordinator, K-12. She has supported Rosenblatt's

transactional reading theory and believes that both the aesthetic and the efferent dimensions of learning require balanced, integrated attention during the study of literature. Indeed, Rosenblatt (1985) has offered insights regarding the observer's role and the research process:

> . . . any investigation of human activities should honor above all the scientist's admission that the observer is part of the observation. . . . The assumptions the investigator brings, the relationship between investigator and subject, the past experiences of the subjects and their understanding of the situation, the extent to which their present activities reflect past indoctrinations, the practical institutional, professional, and political influences present in the situation--such concerns apply no matter what the particular research methodology: experimental, case study, interview, or ethnographic. (p. 105)

Selection and Description of Sites and Participants

In November 1999, approval was received from Texas Woman's University's Human Subjects Review Committee (HSRC) to conduct the study. Approval was also granted that same month from a large school district in Texas to conduct the study in its four high schools during the spring semester of the 1999-2000 school year pending approval of each building principal and the voluntary participation of English teachers. Hence, in December 1999, the research process began in the school district (a) by first meeting with each of the high school principals who approved the study and offered the names of potential participants, (b) by meeting with each of the English department chairmen to explain the purpose of the study, and (c) by subsequently sending

invitations to approximately 25 English teachers recommended by their principals with 10 teachers ultimately participating in the study.

Sites

District

A large public school district in Texas was selected for this qualitative study for the following reasons. First, the district had a tradition of academic excellence distinguished by national and state awards and achievements which provided an opportunity to study the aesthetic and efferent stances and perspectives of high school English teachers in an environment committed to teaching and learning. Second, the size of this school district provided a sufficient number of teachers needed to participate voluntarily in the study. Third, the researcher had taught high school English in the district which facilitated knowing the district's " 'gatekeepers' " (Bogdan & Biklen, 1998, pp. 75-76, 79) who offered access and an entree to the campuses and participants. However, Bogdan and Biklen (1998) also have warned against conducting research with participants whom the researcher personally knows in order to ensure objectivity and the researcher's being perceived as a "neutral observer" (p. 52). It should be noted that, although the researcher previously knew some of the district administrators and teachers associated with this study, these colleagues were only acquaintances; and the researcher had not had personal or professional contact for over a decade with any teacher who participated in the study.

The district had a population of approximately 200,000 people with 35,000 students and 4,500 employees, which included 2,500 teachers. The district had 4 high schools, 10 junior high schools, and 40 elementary schools. The student ethnic distribution was 50% Anglo, 22% African-American, 19% Hispanic, and 9% Asian. The teaching staff had an average of 12 years experience with 40% of the professional employees having advanced degrees. The budget for 1999-2000 was approximately $280,000,000 with an average per pupil expenditure of $6,300. This district had a broad curriculum, pre-K through 12, which comprehensively included not only academic subjects, but also a wide variety of electives and co-curricular options. In addition, the district had received numerous accolades throughout the years at both the national and state levels such as Blue Ribbon School awards given by the U.S. Department of Education and "Exemplary" school awards given by the Texas Education Agency.

High Schools

All four high schools in the district participated in this study. The average enrollment among the four schools was approximately 1,750 students with an average daily attendance over 95%; the average pupil-teacher ratio was 16:1. The high school campuses had well-maintained and well-equipped buildings and facilities such as classrooms, offices, libraries, gymnasiums, and athletic fields that promoted a positive curricular and co-curricular environment. The campuses included grades 10, 11, and 12

and had seven to nine class periods involving approximately 50 minutes of instruction per period. Throughout the years, each of the four high schools had received numerous honors and awards for academic program recognition and for co-curricular activities and achievements.

Classrooms

The classrooms of all 10 participants were traditionally situated with the students' desks in rows and the teachers presiding during the class periods primarily from a focal point at the front of the classrooms. Although other instructional topics were addressed, the teachers engaged primarily in the study of literature, appeared prepared and focused on instruction, and presented polite and professional demeanors. The students were generally cooperative and complied with the teachers' directions, comments, and questions throughout the class periods. During two observations, students engaged in limited group work at the end of the periods and turned their desks to varying extents to accommodate small group discussions.

The classrooms were comfortable and well-equipped with ample ventilation, lighting, desks, chairs, textbooks, tables, filing cabinets, built-in bookshelves, and built-in teacher lockers. Each classroom had an overhead projector, a television, and a computer, which was primarily for teacher use with the exception of one classroom that had four additional computers for student use. Some classrooms had other equipment such as tape recorders and record players. Large boards and smaller bulletin

boards were mounted on the walls in each classroom on which the teachers could write or present displays. Most of the classrooms appeared orderly and manifested academically oriented decorations, such as posters, while one classroom appeared cluttered and one classroom was absent ornamentation (see Figure 1).

Participants

Participants were chosen "*purposefully*," not randomly, in order "to select information-rich cases whose study . . . illuminate[d] the questions under study" (Patton, 1990, p. 169). The 10 teachers who voluntarily participated in the study were recommended by their principals and taught regular English in one of the district's four high schools. Five of the teachers taught English IV (12th grade); two taught English III (11th grade), and three taught English II (10th grade).

At the outset of the study, a meeting was held with each of the four high school principals to receive approval to conduct the study and to seek the names of potential participants. During the meetings, the following issues were discussed: (a) the study's purpose, (b) the teachers' involvement and time commitments, (c) the criteria for participant selection, and (d) a request for the names of qualified teachers. The principals recommended participants who met three criteria identified by the researcher. The following criteria were defined because the purpose of this study was to explore the aesthetic and efferent literary stances and perspectives of experienced, successful high school teachers in the regular English classroom.

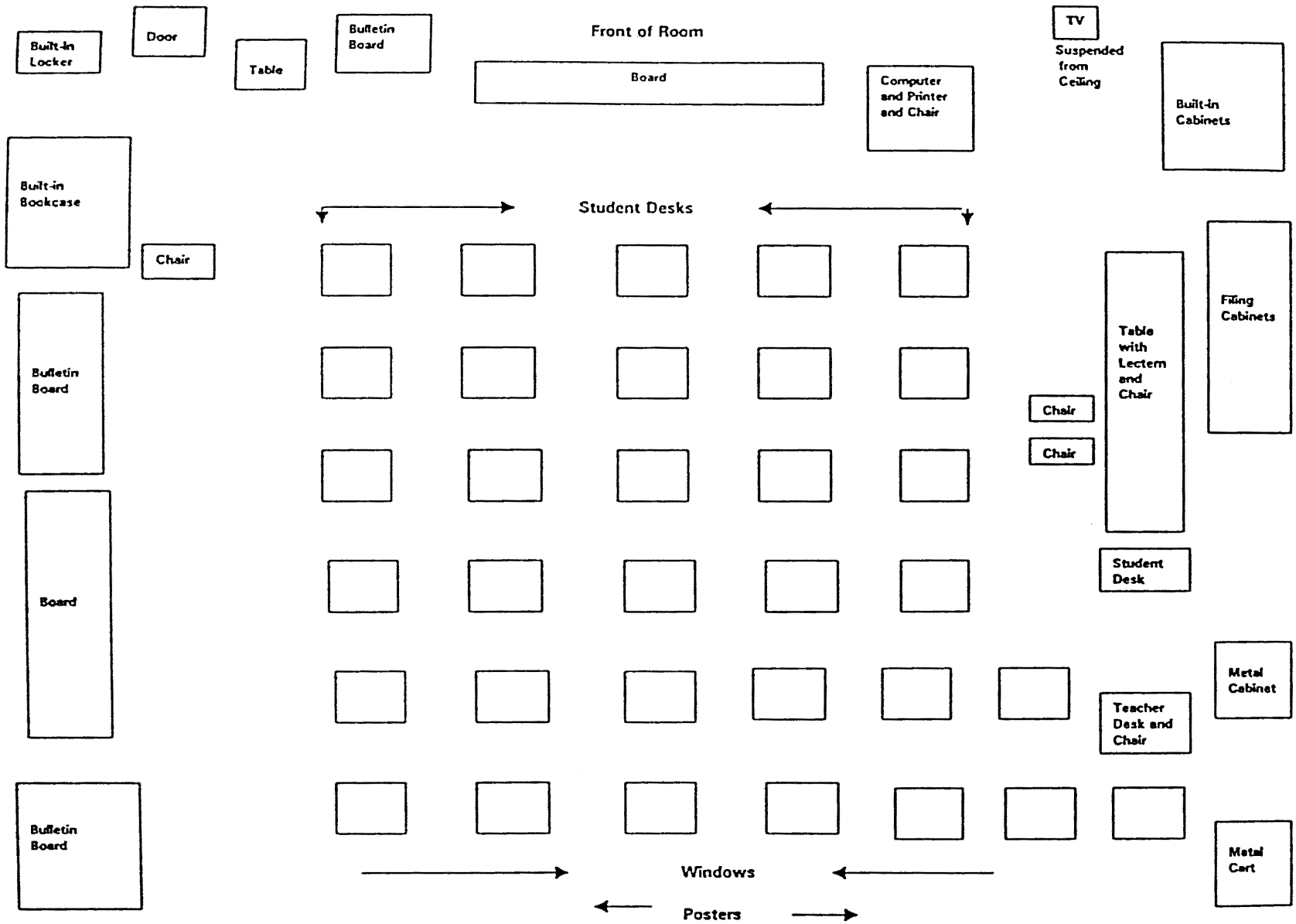

Figure 1. Typical teacher classroom.

1. Each participant must have a minimum of 2 years teaching experience.

2. Each participant must be identified by the building principal as a successful teacher who was not on a professional growth plan intended to rectify any teaching deficiency. If a teacher had taught in Texas public schools during the preceding 1998-1999 school year, the teacher must have received on the Texas Professional Development and Appraisal System (PDAS) an overall rating of at least "Proficient" or "Exceeds Expectations."

3. Each participant must teach at least one period in the regular 10th-, 11th-, or 12th-grade English curriculum because the study focused on teachers during a regular English class. Hence, Advanced Placement (AP), remedial English, and special education classes were not included in the study.

The four high school principals recommended 26 teachers who met the criteria for participation. These teachers were invited to participate in the study via a letter sent to their schools (see Appendix B). By either e-mail or phone calls, 13 teachers responded and volunteered to participate in the study; 3 teachers declined, and 10 teachers offered no response. Of the 13 teachers who volunteered for the study, 10 teachers actually participated while personal or professional obligations of 3 teachers precluded their participation.

Before meeting with the participants and with the permission of the high school principals, meetings were held with each of the four English department chairmen to explain the building principal's approval of the study and its purpose. One

department chairman who taught one period of regular English (as well as pre-AP classes) participated in the study; the other three department chairmen were not invited to participate because they taught only AP English classes.

Individual meetings for approximately 30 minutes were scheduled at the high schools with each of the participants who volunteered for the study, with the exception of one meeting which involved three participants. The primary purpose of the meetings was to begin establishing the rapport with the participants needed to conduct the qualitative study effectively (Bogdan & Biklen, 1998). In addition, these meetings provided an opportunity to elaborate on the contents of the letter each teacher had received regarding the study's purpose and the teacher's involvement and time commitments (see Appendix B). Along with other information, the letter indicated the following salient aspects of the study: (a) the teachers would be observed in one regular English class during a typical literature lesson; (b) the researcher would be as unobtrusive as possible while taking descriptive field notes in the classroom; (c) an audiotaped interview would be conducted for approximately one hour at a mutually convenient time after the classroom observation; and (d) the teachers, their schools, and school district would be assured of anonymity and confidentiality. These meetings also provided occasions in which the teachers could ask questions and state their preferred classroom observation and interview times. The teachers were asked to specify dates and times for the observations when the class periods would be devoted

to the study of literature so that relevant data could be gathered related to the purpose of the study.

During the meetings, the teachers were given two forms to complete: a consent form required by Texas Woman's University's Human Subjects Review Committee (HSRC) and a "Teacher Information Sheet." The teachers received and discussed with the researcher the consent form required by HSRC, which was signed during the meeting or returned prior to the classroom observation. The brief, one-page "Teacher Information Sheet" provided information about each teacher's educational background and experience and was returned usually at the beginning of the classroom observation (see Appendix C).

The 10 participants from the four high schools included 9 females and 1 male. In all oral and written communications, classroom observations, and interviews throughout the research process, the teachers consistently presented professional demeanors; conveyed sincere commitments to their students and an enthusiasm for their teaching; and offered a positive, courteous attitude toward the researcher.

The "Teacher Information Sheet" provided the following information about the 10 teachers. The teachers ranged in experience from 2.5 years to 34 years with an average of 17 years experience. They all had bachelors degrees with three of the teachers also having master's degrees and one teacher having a doctorate. The teachers had certifications to teach English; and a number of the teachers held additional teaching certificates in fields such as ESL (English as a Second Language), French,

history, mathematics, physical education, reading, Spanish, and speech. In addition to the teachers having experience teaching at the high school level, five of the teachers also had taught at the junior high school level, and three at the college or university level. Their current teaching assignments included regular 10th-, 11th-, or 12th-grade English; two teachers also taught English courses in the AP program. Several of the teachers also taught other courses such as ESOL (English Speakers of Other Languages), French, and dance. Also, a number of the teachers were involved with co-curricular responsibilities such as directing the drill team, sponsoring the Academic Decathlon Team, or coaching golf. One of the teachers was chairman of her English department.

Pilot Study

Overview

The pilot study conducted in July 1999 was instrumental in making alterations and improvements to the research questions and the qualitative design and procedures. Also, the pilot study afforded an opportunity to define precisely the unit of analysis (the idea unit) and to determine initial categories and sub-categories related to the teachers' aesthetic and efferent stances. Additionally, the pilot study offered insight into the data collection and analysis processes and provided the researcher experience

in developing skills associated with the four data sources: classroom observations, interviews, instructional artifacts, and the researcher's journal.

The pilot study was conducted in the high school of a public school district in Texas on July 15, 1999. The teacher was an experienced 14-year veteran with 25 students in a 9th-grade summer school class. During the 4-hour classroom observation of the teacher's literature lesson focusing on Eudora Welty's short story, "A Worn Path," copious field notes were taken and then transcribed. Both teacher and student artifacts were collected related to the literature activities employed during the class period. After the class period, two interviews were conducted: one with the teacher for approximately 40 minutes and one with a student for approximately 10 minutes. Although it would have been preferable to have an interview with the teacher face-to-face, the teacher's personal circumstances necessitated that the interview be conducted on the telephone and audiotaped with the teacher's permission. Notes were taken rather than tape-recording the student interview. The audiotape of the teacher interview was transcribed; the notes taken during the student interview were elaborated upon and transcribed. In addition, detailed notes and reflections were written in the researcher's journal regarding the campus and classroom experience and the two interviews with the teacher and the student.

Because the research questions focused on aesthetic and efferent literary stances, a color-coding system was employed with the four data sources to denote these stances. Based on the classroom observation and interviews, abbreviations and

symbols were developed to make the transcribing process more efficient (see Appendix D). Repeated reviews of the observation transcript assisted with the development of definitions and codes for the idea unit, 7 categories, 1 aesthetic sub-category, and 13 efferent sub-categories that emerged from the data (see Appendix E). A thorough review and analysis of all four data sources clearly indicated that the teacher employed a teacher-directed, transmission model in the classroom and that throughout the study of literature, an efferent literary stance dominated the classroom with limited attention given to an aesthetic stance.

Outcomes and Alterations

The evolutionary nature of this study remained flexible to accommodate necessary alterations in the research questions and in the research design and procedures (Marshall & Rossman, 1995). The pilot study was invaluable in providing important information and insights that produced the following six major outcomes and alterations in the study.

1. To accommodate the realities of limited time and financial resources, the research questions were altered from investigating both the teachers' and the students' aesthetic and efferent stances and perspectives to focusing on the teachers' stances and perspectives.

2. Based on the wealth of data generated during the pilot study from 1 teacher, data gathered from 10 teachers utilizing two primary data sources (classroom

observations and interviews) were expected to provide the needed "*data saturation*" (Bogdan & Biklen, 1998, p. 62) in which the data become repetitious and adequate in order to answer the research questions. Secondary data sources, instructional artifacts and the researcher's journal, would provide corroboration of the primary sources but would not be instrumental in the data analysis of the study.

3. The pilot study provided the foundation for the analysis of the observation transcripts and the definition of the idea unit, categories, and sub-categories, as well as the abbreviations and symbols used in the observation and interview transcripts.

4. The guiding questions asked of all participants during interviews were revised in order to discover more completely and efficiently the relevant information needed to answer the research questions.

5. Audiotaping each interview with the teacher and researcher face-to-face and using two tape recorders in case one tape recorder malfunctioned were essential to the study.

6. A more realistic understanding was gained regarding the significant amount of time required not only to conduct an observation and an interview and make journal entries, but also to transcribe verbatim field notes and audiotapes. Hence, more reasonable, appropriate time schedules were developed for the study.

Data Collection Procedures

Data for this qualitative study were gathered in the field in the authentic setting of four Texas public high schools during the spring semester of the 1999-2000 school year. The two primary data sources were the classroom observation and in-depth interview of each of the 10 teachers participating in the study; the two secondary data sources were instructional artifacts and the researcher's journal. The primary sources provided the basis of the study's findings; the secondary sources provided ancillary information related to the study and were incidental, rather than instrumental, in answering the research questions.

Primary Sources

Classroom Observations

Observation field notes provided one of the two primary data sources for the research study. During the data collection process, field notes were "the observer's *raison d'etre*" (Patton, 1990, p. 239). Hence, the field notes were intended to be "accurate, and extensive" (Bogdan & Biklen, 1998, p. 108) and "detailed and concrete" (Patton, 1990, p. 240).

Drawing on the work of Guba and Lincoln, Erlandson et al. (1993) discussed the issues of " 'trustworthiness' " and "*credibility*" (pp. 28-31) in a qualitative study. Following their guidelines, the researcher in this study attempted to spend as much

time as possible during the research process gathering data and being involved in "*Prolonged Engagement*" and dedicated, "*Persistent Observation*" (pp. 28-31). While eight teachers were observed in their classrooms on one occasion, one teacher invited the researcher to observe three class periods, and one teacher invited the researcher to observe two class periods. These invitations for additional classroom observations were accepted and appreciated, and thorough field notes were taken and completely transcribed for each of these observations. Nevertheless, in order to be consistent with the other eight participants who were observed on one occasion, only the first observation of each of these two teachers with multiple observations became part of the data analysis.

Each observation was scheduled on the day and class period specified by the teacher, and each teacher was observed for approximately 50 minutes during a literature lesson. Copious, detailed field notes were taken before, during, and after each lesson and then transcribed verbatim by the researcher. Prior to each observation, field notes were taken describing the campus and the classroom environment. Upon arriving in the classroom, each teacher was greeted with a sincere expression of gratitude for the teacher's cooperation and support. Because it was essential to observe a typical literature lesson without distracting the teacher or the students, the researcher sat in a student desk or a chair at the side or back of the classroom behind the students and away from the teacher during the lesson. Thus, assuming the role of " 'spectator' "

and engaging in "passive participation" (Spradley, 1980, p. 59), the researcher took extensive field notes without directly becoming involved in the lesson.

In order to answer the research questions in this study, the primary focus of the observation was the oral communication of the teacher. Therefore, the teacher's comments and questions were quoted verbatim in the field notes, although student responses were quoted also. When the exact words of the teacher or student could not be heard, an ellipsis was noted and augmented, if needed, by parenthetical, explanatory notes (see Appendix F for an excerpt of handwritten field notes). After each observation, the teacher was thanked once again; and immediately a quiet place was found in order to review the field notes and add supplementary information and clarifications. The field notes were transcribed as soon as possible after the classroom observation with interpolations and explanatory notes added when needed (see Appendix G for the transcription of the handwritten field note excerpt in Appendix F). Abbreviations and symbols based on the pilot study were used to make the field notes and transcriptions more efficient and clear (see Appendix D).

Interviews

The other primary data source was an in-depth interview with each teacher that occurred as soon as possible after the classroom observation at a time specified by the teacher. These interviews were "semistructured . . . [being] neither an open conversation nor a highly structured questionnaire" and followed an "interview guide"

(Kvale, 1996, p. 27) (see Appendix H). Most of the interviews were held during the teachers' conference periods for approximately 50 minutes with the exception of two teachers whose interviews were conducted at the end of the school day and lasted for approximately 80 minutes. All interviews were held in the respective high schools of the teachers: 7 interviews were held in the teachers' classrooms, 1 in a teacher's office, 1 in a conference room, and 1 in a room in the library. The interviews occurred without interruption with a few exceptions when either a student or an administrator needed to speak briefly with a teacher. To avoid equipment malfunctions and to ensure that the complete interview was recorded, two tape recorders were used simultaneously. Every attempt was made to establish a positive, relaxed atmosphere conveying that the teachers' time and comments were sincerely honored and appreciated. Throughout the interviews, the teachers appeared willing and interested in offering their insights and opinions.

The interviews were intended to illuminate the research questions while gaining an "*emic*, or insider's perspective" focusing on the teachers' viewpoints, rather than the researcher's viewpoint (Merriam, 1998, pp. 6-7). The "semistructured" interviews (Kvale, 1996, p. 27) were "*guided conversations*" (Lofland & Lofland, 1995, p. 85) characterized by adaptability and, yet, arranged to include predetermined questions asked of all the teachers following an "interview guide" (Kvale, 1996, p. 27; Lofland & Lofland, 1995, pp. 78-87; Patton, 1990, pp. 283-284). The "Teacher Interview Guide" prepared by the researcher provided the framework for each of the interviews

and the detailed information related to the following areas: (a) content of the brief, informal introduction to the interview; (b) important reminders while conducting the interview; and (c) the guiding questions that were asked of all the teachers (see Appendix H).

The guiding questions were carefully designed to elicit information that would answer the research questions and were based on the researcher's understanding of Rosenblatt's transactional reading theory and the researcher's experience as a language arts educator, which included 12 years of teaching high school English. These guiding, or main, questions were asked of each teacher to ensure that the interview remained focused on gathering relevant information germane to the purpose of the study. In addition, throughout the interviews "probes [to] encourage the speaker to keep elaborating" (Rubin & Rubin, 1995, p. 148) and "follow-up questions . . . to get the depth that is the hallmark of qualitative interviewing" (p. 151) were employed. Although the guiding questions provided the interview framework, the "probes" and "follow-up questions" contributed the lucidity and richness of the teachers' thinking and their unique perspectives and voices. As soon as possible after each interview, the audiotape was transcribed verbatim by the researcher (see Appendix I for an excerpt of an interview transcription).

In addition to the scheduled interview with each teacher, "*informal conversational interview*[s]" (Patton, 1990, pp. 280-282) also occurred during the data collection process when natural, impromptu conversations came about either in person,

over the telephone, or via e-mail. These conversations were detailed in the secondary data source: the researcher's journal.

Secondary Sources

Instructional Artifacts

Instructional artifacts, one of the two secondary data sources, were provided by seven teachers generally at the conclusion of the classroom observations and included items such as a few handouts, study guides, and worksheets; one quiz; one lesson plan; and one student seating chart. In addition, artifacts were gathered from other sources such as textbooks and trade books which contained copies of the literature being studied. The researcher's internet searches provided other printed information related to the literature referenced in the observations or interviews. Although these artifacts represented a variety of items, they were not numerous; however, the collection of these artifacts supplemented the understanding of the literature lessons and the teachers' strategies and stances.

"Referential adequacy materials" which "support[ed] credibility by providing context-rich, holistic materials that provide[ed] background meaning" (Erlandson et al., 1993, pp. 139-140) were also collected. Although these artifacts did not represent instructional materials per se, they provided a broader understanding of the high school campuses and included items such as master schedules identifying the names and

teaching assignments of all teachers in the buildings; bell schedules specifying class periods and their length; school maps, brochures, newsletters, and newspapers.

Researcher's Journal

Throughout the data collection process, extensive notes, memos, and reflections were entered in the researcher's journal detailing information that supplemented the transcripts of the observations and the interviews. These journal entries included not only factual information and descriptive data, but also professional and personal ponderings and responses during the study (Bogdan & Biklen, 1998; Erlandson et al., 1993). Almost all of the journal entries were typed on a computer with printed copies placed in binders. Although some journal entries were placed in a binder designated "Dissertation Journal--Notes/Memos/Reflections," others were included in binders related to the participating school district, high schools, and teachers depending upon the respective content of the note, memo, or reflection.

These journal entries reflected a wide range of abundant descriptions, information, and reflections related to topics such as the campus environments, meetings, phone calls, and e-mails (see examples in Appendices J and K). Also, an ongoing "Teacher Eclectic Information Sheet" was maintained for each teacher that summarized calendar events such as meetings, the observation, the interview, and other verbal and written communication throughout the research process (see Appendix L). In addition, memos and copies of informal notes and formal letters of appreciation to

the four principals and the 10 teachers who supported and participated in the study were kept in the journal (see Appendix M). All of the journal entries complemented the other three data sources and indirectly contributed to a more complete understanding of the data collection process.

Data Analysis Procedures

Data were collected from the two primary sources (classroom observations and in-depth interviews) and the two secondary sources (instructional artifacts and the researcher's journal). The primary sources were assiduously and thoroughly analyzed and provided the quintessence of the study's analysis. The secondary sources provided ancillary information related to the study and were incidental, rather than instrumental, in answering the research questions. Although instructional artifacts were analyzed, they were limited in number and merely provided subordinate confirmation of the primary source findings. The researcher's journal was not formally analyzed; however, the journal information provided concomitant corroboration of the data collection process. Patton (1990) stated that various data sources are essential and that "a combination of observations, interviewing, and document analysis . . . [provide] different data sources to validate and cross-check findings" (p. 244).

Analysis of Classroom Observation Transcripts

The analysis of the classroom observation transcripts provided data relevant to the first research question: What aesthetic and efferent pedagogical stances do high school English teachers manifest in the classroom during the study of literature? Analysis was guided by the researcher's understanding of transactional reading theory and her experience as a language arts educator and focused on three major areas: (a) idea units, (b) emergence of categories and sub-categories, and (c) instructional strategies and activities.

Idea Units

During classroom observations, the study focused specifically on the oral communication of the teachers. First, "*unitizing data*" occurred by carefully reviewing and scrutinizing the observation transcripts and identifying each unit of analysis (idea unit) that conveyed "one idea found in a portion of content" (Erlandson et al., 1993, p. 117).

The following definition of an idea unit guided the analysis: the idea unit is the unit of data analysis designating a single, complete idea or thought orally expressed via a word, phrase, sentence, or sentences by the teacher during the literature lesson and is marked with virgules (diagonal marks) at the beginning and at the end of the idea unit in the field notes (see Appendix A). After all 10 observation transcripts were "unitized" (Erlandson et al., 1993, p. 117) according to the preceding definition using

the virgule markings, the process was repeated on unmarked observation transcript copies; and then the results were compared with the first idea unit analysis to ensure consistency. Few changes were required, and the process was repeated two more times. Notes were taken during these idea unit analyses, and numerous examples with detailed explanations were written to explicate the idea unit designations among the 10 transcripts (see Appendix A). Excerpts from two teacher transcripts were given to an inter-rater to analyze independently using the idea unit definition, examples, and explanations found in Appendix A; agreement on the two excerpts was .94 and .95, respectively. (The final section of this chapter details information related to the inter-rater agreement process and results.)

The following example and explanation illustrate the type of information that can be found in Appendix A related to idea units. Brackets ([ ]) indicate the researcher's interpolation in the quotation in order to offer context and clarity to the teacher's comment or question.

Example of Idea Units (IUs)

/"If you would get out your notes/and turn to [page] 401 [in your textbook]./I believe [we're on page] 401 [in your textbook]."/

Explanation: This quotation has three IUs representing three different single, complete ideas or thoughts. IU1 tells the Ss to take out their notes. IU2 tells the Ss to engage in another activity by referring to their textbooks. Although IU3 is closely related to IU2, it offers another single, complete idea or thought by indicating that the teacher believes she has designated the proper textbook reference. (IU3 Note: Even if IU3 had reiterated verbatim IU2 by stating "Turn to page 401 in your textbook," this repetition would have still been considered another

single, complete idea or thought and would, hence, have been designated IU3.)

Emergence of Categories and Sub-categories

After identifying and marking the idea units in each observation transcript, the idea units were read again and again to identify the types of teacher comments and questions and the patterns emerging from the teachers' oral communication. The researcher was guided throughout this notetaking, cross-referencing, and sorting process by the research questions; her understanding of Rosenblatt's transactional reading theory; and her many years of experience as a language arts teacher and coordinator, especially her 12 years as a high school English teacher.

The observation transcripts involved "*initial* and *focused* coding" (Lofland & Lofland, 1995, pp. 192-193). First, the transcripts were color-coded to denote aesthetic stances, efferent stances, and other types of oral communication. Next, via repeated and numerous "focused" analyses of transcripts, notes were taken and cross-referenced. Then, the idea units in all 10 observation transcripts were grouped according to their similar characteristics (Merriam, 1998, p. 179). Eventually, eight categories emerged via this process; and two of the categories were germane to the aesthetic and efferent comments and questions offered by the teachers (see Table 1). These categories were named to reflect the essence of each category in which the idea units were placed, and they were given codes (Merriam, 1998, pp. 164-166, 182-183).

Table 1

Category Names and Codes

Administrative	(A)
Aesthetic	(AS)
Complimentary	(C)
Disciplinary	(D)
Efferent	(EF)
Other	(O)
Not Clear	(NC)
Teacher Reading	(TR)

Throughout the analysis process, transcripts were coded on multiple, separate occasions to confirm the consistency of the idea unit placements in these categories. Reading and rereading the observation transcripts rendered the development of elaborate definitions, examples, and explanations for each of the eight categories that guided the analyses (see Appendix A). Excerpts from two teacher transcripts were given to an inter-rater to analyze independently using the category definitions, examples, and explanations found in Appendix A; agreement on the two excerpts was .96 and 100%, respectively. (The final section of this chapter details information related to the inter-rater agreement process and results.)

Noted below are the definitions, codes, and one example with an explanation for idea units placed in each of the eight categories. Comprehensive, detailed examples and explanations of these categories can be found in Appendix A.

Codes, Definitions, Examples, and Explanations of the Eight Categories

Administrative(A)--An Idea Unit placed in the Administrative (A) category is a teacher comment or question to a student, a group of students, or the entire class during the class period that offers information or directions regarding engaging in or completing classroom activities or assignments, following classroom routines and procedures, or monitoring instructional progress on activities or assignments.

Example: Idea Unit	Category
/"I believe [we're on page] 401 [in your textbook]."/	A

Aesthetic (AS)--An Idea Unit placed in the Aesthetic (AS) category is a teacher comment or question to a student, a group of students, or the entire class in which the attitude or focus of attention assumed by the teacher indicates to or elicits from the students a personal or emotional response, reflection, or involvement with the literature being studied or with other literary works or topics being addressed during the class period. An Idea Unit in the Aesthetic (AS) category may reference a contemporary person, object, place, event, topic, or publication that facilitates a personal or emotional connection, reflection, or response to the literature being studied or with other literary works or topics being addressed during the class period. In addition, an Idea Unit in the Aesthetic (AS) category may facilitate a personal or emotional connection, reflection, or response engendered by identification with a character, event, or theme in the literature being studied or with other literary works being addressed during the class period. Regarding the Idea Unit in the Aesthetic (AS) category, the "primary concern is with what happens *during* the actual reading event. . . . *the reader's attention is centered directly on what he is living through during his relationship with that particular text*" (Rosenblatt, 1978, pp. 24-25).

Example:

Idea Unit	Category
/"[The teacher asks the students to ask themselves when reading Pope's The Rape of the Lock] 'Have I ever done this [worry about and dwell on insignificant things that do not really matter]?' "/	AS

Complimentary (C)--An Idea Unit placed in the Complimentary (C) category is a teacher comment or question to a student, a group of students, or the entire class that praises a student, a group of students, or the entire class during the class period.

Example:

Idea Unit	Category
/"Good [that's a good answer to the previous question]"/	C

Disciplinary (D)--An Idea Unit placed in the Disciplinary (D) category is a teacher comment or question to a student, a group of students, or the entire class during the class period focusing on maintaining discipline in the classroom, proper student behavior, or student attention. Although an Idea Unit placed in the Disciplinary (D) category may be stated with a polite tone of voice, the teacher's tone of voice does not indicate merely a polite request but rather a firm comment or question giving direction regarding student behavior.

Example:

Idea Unit	Category
/"Shhhhh"/	D

Efferent (EF)--An Idea Unit placed in the Efferent (EF) category is a teacher comment or question to a student, a group of students, or the entire class in which the attitude or focus of attention assumed by the teacher indicates to or elicits from the student an objective, analytical, or informational response to the literature during the class period. An Idea Unit in the Efferent (EF) category may relate to literary analysis and literary topics such as the following: author, literary work, character, plot, setting, symbol, theme, or other literary terms. Also, an Idea Unit in the Efferent (EF) category may relate to the development of reading skills such as the following: main idea, paraphrasing, prediction, summarization, and vocabulary. In addition, an Idea Unit in

the Efferent (EF) category may relate to the development of writing skills such as the following: grammar, mechanics (capitalization and punctuation), spelling, and syntax. Regarding the Idea Unit in the Efferent (EF) category, the "attention is focused primarily on what will remain as the residue *after* the reading--the information to be acquired, the logical solution to a problem, the actions to be carried out. . . . what he [the reader] will carry away from the reading" (Rosenblatt, 1978, pp. 23-24).

Example:

Idea Unit	Category
/"It's [The Rape of the Lock is] just a [satirical] story--[a] piece of satiric work done in Horatian fashion."/	EF

Not Clear (NC)--An Idea Unit placed in the Not Clear (NC) category is a teacher comment or question to a student, a group of students, or the entire class during the class period that is not clear or intelligible to the researcher when the researcher is transcribing the field notes.

Example:

Idea Unit	Category
/"What does . . . ?"/	NC

Other (O)--An Idea Unit placed in the Other (O) category is a teacher comment or question to a student, a group of students, or the entire class during the class period that is not represented in one of the other seven categories: Administrative (A), Aesthetic (AS), Complimentary (C), Disciplinary (D), Efferent (EF), Not Clear (NC), or Teacher Reading (TR).

Example:

Idea Unit	Category
/"Okay"/	O

Teacher Reading (TR)--An Idea Unit placed in the Teacher Reading (TR) category is an oral reading by the teacher during the class period when the primary purpose of the teacher is to read aloud a word, phrase, sentence, or sentences that subsequently will be referenced, analyzed, or explicated from the literature textbook or another literary work: from written material such as handouts, study guides, worksheets, or quizzes used during the literature lesson; or from a board mounted on a wall, television, or

overhead transparency. (Note: When the teacher is quoting aloud from memory or paraphrasing a word, phrase, sentence, or sentences but not reading aloud the quotation from another source, the Idea Unit is not placed in the category Teacher Reading [TR] and will be placed in another appropriate category.)

Example: Idea Unit	Category
/" 'And particolored troops, a shining train,/ Draw forth to combat on the velvet plain' . . . ."/ (The T is reading the quotation from the textbook. The virgule [diagonal mark] in the quoted textbook passage after the phrase "a shining train,/" does not indicate an IU. This virgule is a poetic device indicating the ending of a line of poetry.)	TR

Because this study explored the teachers' aesthetic and efferent stances, the idea units in the Aesthetic and the Efferent categories were analyzed in more detail and placed into sub-categories. A thorough process of "*initial* and *focused* coding" (Lofland & Lofland, 1995, pp. 192-193) was used to determine the sub-categories similar to the process used to determine categories. The observation transcripts were repeatedly reviewed and analyzed concentrating on the idea units in the Aesthetic and the Efferent categories. During the process of notetaking, cross-referencing, and sorting these idea units, 2 Aesthetic sub-categories and 10 Efferent sub-categories emerged (see Table 2). As with the categories, the sub-categories were named to reflect the essence of each sub-category in which the idea units were placed, and they were given codes (Merriam, 1998, pp. 164-166, 182-183).

Table 2

Sub-category Names and Codes

Aesthetic Sub-categories	Efferent Sub-categories
Personal Connection: Contemporary Society (pc:cs)	Author (au)
	Literary Work (lit wk)
Personal Connection: Literary Work (pc:lw)	Character (ch)
	Plot (pl)
	Setting (set)
	Symbol (sym)
	Theme (th)
	Other Literary Term (other lit term)
	Reading Skill (rs)
	Writing Skill (ws)

Unlike the eight categories in which idea units seemed to congregate into distinct areas, the idea units within the Efferent sub-categories were more diverse; hence, numerous Efferent sub-categories originally emerged. Therefore, in order to manage data effectively, efferent idea units were collapsed into fewer and more meaningful sub-categories ultimately rendering 10 Efferent sub-categories. For example, efferent idea units related to grammar, mechanics (capitalization and

punctuation), parts of speech, spelling, and syntax were collapsed into one Efferent sub-category: Writing Skill.

Throughout the analysis process, transcripts were coded on multiple, separate occasions to confirm the consistency of idea unit placements in the 2 Aesthetic and the 10 Efferent sub-categories. Reading and rereading the observation transcripts rendered the development of elaborate definitions, examples, and explanations for each of the sub-categories that guided the analyses (see Appendix A). Excerpts from two teacher transcripts were given to an inter-rater to analyze independently using the sub-category definitions, examples, and explanations found in Appendix A; agreement on the two excerpts was .91 and .96, respectively. (The final section of this chapter details information related to the inter-rater agreement process and results.)

Noted below are the definitions, codes, and one example with an explanation for idea units placed in each of the Aesthetic and Efferent sub-categories. Comprehensive, detailed examples and explanations of these sub-categories can be found in Appendix A.

Codes, Definitions, Examples, and Explanations of the Two Aesthetic Sub-Categories

Personal Connection: Contemporary Society (pc: cs)--An Idea Unit placed in the Personal Connection: Contemporary Society (pc: cs) sub-category is a teacher comment or question referencing a contemporary 20th or 21st century person, object, place, event, topic, or publication facilitating a student's personal or emotional connection, reflection, or response to the literature being studied or to other literary works or topics addressed during the class period.

Example:

Idea Unit	Category	Sub-Category
/"Richard Simmons . . . [is] going with us [on the fictional pilgrimage]."/	AS	pc: cs

Personal Connection: Literary Work (pc: lw)-- An Idea Unit placed in the Personal Connection: Literary Work (pc: lw) sub-category is a teacher comment or question facilitating a student's personal or emotional connection, reflection, or response engendered by identification with a character (whether major or minor, animate or inanimate, human or non-human), event, setting, or theme in the literature being studied or in other literary works addressed during the class period.

Example:

Idea Unit	Category	Sub-Category
/"[The teacher asks the students to ask themselves when reading Pope's <u>The Rape of the Lock</u>] 'Have I ever done this [worry about and dwell on insignificant things that do not really matter]?' "/	AS	pc: lw

Codes, Definitions, Examples, and Explanations of the Ten Efferent Sub-Categories

Author (au)--An Idea Unit placed in the Author (au) sub-category is a teacher comment or question referencing an author's name or facilitating knowledge of an author's biographical information, philosophy, personality, or style of writing regarding the literature being studied or in other literary works addressed during the class period.

Example:

Idea Unit	Category	Sub-Category
/"Name the place where Shakespeare was born."/	EF	au

Literary Work (lit wk)--An Idea Unit placed in the Literary Work (lit wk) sub-category is a teacher comment or question that provides background information regarding the literature being studied or other literary works or is a teacher comment or question that

references or facilitates the recognition of the title of the literature being studied or other literary works addressed during the class period.

Example:

Idea Unit	Category	Sub-Category
/"What about the story 'The Rocking-Horse Winner' ?"/	EF	lit wk

Character (ch)--An Idea Unit placed in the Character (ch) sub-category is a teacher comment or question that focuses on the naming or identification of a major or minor character, whether animate or inanimate, human or non-human, in the literature being studied or in other literary works addressed during the class period. In addition, the Character (ch) sub-category is a teacher comment or question that facilitates the description of the background, physical characteristics, or the personality traits of a major or minor character, whether animate or inanimate, human or non-human, in the literature being studied or in other literary works addressed during the class period.

Example:

Idea Unit	Category	Sub-Category
/"Is Hyde a mixture of good and evil or [is Hyde] pure evil?"/	EF	ch

Plot (pl)--An Idea Unit placed in the Plot (pl) sub-category is a teacher comment or question facilitating recognition of the physical or psychological action in a scene or event or the sequence of physical or psychological action in scenes or events in the literature being studied or in other literary works addressed during the class period.

Example:

Idea Unit	Category	Sub-Category
/"Card game [is] brewing;"/	EF	pl

Setting (set)--An Idea Unit placed in the Setting (set) sub-category is a teacher comment or question facilitating the identification or description of the place or the time that a scene or event or a sequence of scenes or events occurs in the literature being studied or in other literary works addressed during the class period.

Example:

Idea Unit	Category	Sub-Category
/"When is this [tale] taking place?"/	EF	set

Symbol (sym)--An Idea Unit placed in the Symbol (sym) sub-category is a teacher comment or question during the class period facilitating the recognition that a concrete, tangible person, object, entity, or event in the literature being studied or in other literary works represents an abstract idea or concept of greater significance.

Example:

Idea Unit	Category	Sub-Category
/"[The word] 'You' represents [the] soul."/	EF	sym

Theme (th)--An Idea Unit placed in the Theme (th) sub-category is a teacher comment or question during the class period facilitating the recognition or understanding of an idea, message, or insight about life and living or about human beings or human existence revealed in the literature being studied or in other literary works.

Example:

Idea Unit	Category	Sub-Category
/"W____[S name], what does that [quote referring to the theme] mean?"/	EF	th

Other Literary Term (other lit term)--An Idea Unit placed in the Other Literary Term (other lit term) sub-category is a teacher comment or question during the class period facilitating recognition or understanding of a literary term or literary concept in the literature being studied or in other literary works that is not included in the following sub-categories: Author (au); Literary Work (lit wk); Character (ch); Plot (pl); Setting (set); Symbol (sym); and Theme (th). The Other Literary Term sub-category includes, but is not limited to, the following literary terms or literary concepts: allusion, anachronism, canto, diction, epic, epigram, fairy tale, free verse, hero or heroine, heroic couplet, hubris, iambic pentameter, imagery, irony, legend, metaphor, mood, myth, narrative, narrator, novel, parable, paradox, parallelism, poetry, point of view, prologue, pun, satire, short story, simile, soliloquy, synecdoche, tone, and tragedy.

Example:

Idea Unit	Category	Sub-Category
/"[An] epic--[is] told on [a] grand scale."/	EF	other lit term

Reading Skill (rs)--An Idea Unit placed in the Reading Skill (rs) sub-category is a teacher comment or question facilitating the development of reading skills such as determining the main idea, paraphrasing, predicting, summarizing, using context clues, and defining or pronouncing vocabulary words or phrases other than literary terms while referring to the literature being studied or to other literary works or topics addressed during the class period.

Example:

Idea Unit	Category	Sub-Category
/"How . . . [do you] paraphrase or summarize [when you are actively reading]?"/	EF	rs

Writing Skill (ws)--An Idea Unit placed in the Writing Skill (ws) sub-category is a teacher comment or question facilitating the development of writing skills related to topics such as grammar, mechanics (capitalization and punctuation), parts of speech, spelling, or syntax while referring to the literature being studied or to other literary works or topics addressed during the class period.

Example:

Idea Unit	Category	Sub-Category
/"[Considering the] subject and a verb --does that sentence make sense?"/	EF	ws

As noted previously in this section, using the detailed definitions, codes, examples, and explanations in Appendix A, an inter-rater independently analyzed idea units, categories, and sub-categories in two teachers' transcript excerpts, which resulted in an inter-rater agreement on all analyses of .91 or higher. Thus, with this level of

inter-rater agreement, the researcher was more confident about the previous identification of idea units and the coding of idea units within categories and sub-categories. Nevertheless, after this inter-rater agreement was established, unmarked copies of all 10 observation transcripts were analyzed and coded one more time to confirm the consistency of the identification of idea units and the coding of idea units within categories and sub-categories. Appendix N provides an excerpt from a classroom observation transcript noting the identification of idea units and their placement into categories and sub-categories with appropriate codes.

Based on the coding of the 10 teachers' observation transcripts, the frequency and percent of the idea units placed in the 8 categories and the 2 Aesthetic and 10 Efferent sub-categories were analyzed. Miles and Huberman (1994) have commented that combining qualitative and quantitative data produces "a very powerful mix" (p. 42) when analyzing data. Therefore, two forms were developed to tabulate the findings. First, the number of idea units were tabulated for each category and sub-category and placed on a form for each teacher titled "Field Note Analysis 1A" (see Appendix O for an example of this form and one teacher's data). Second, these data were placed on another form, "Field Note Analysis 1B"; and the percentage of idea units in categories and sub-categories for each teacher was calculated (see Appendix P for an example of this form and one teacher's data). Data on these two forms were then placed in tables in Chapter IV that revealed aggregated and individual findings related to teacher oral communication during lessons.

Instructional Strategies and Activities

Although the teachers' oral communication during classroom observations and the identification of idea units, categories, and sub-categories were the essential, salient data used to answer the first research question, analysis of the teachers' instructional strategies and activities provided background and contextual information that supplemented an understanding of the teachers' aesthetic and efferent stances manifested in the classroom. While reading each of the 10 transcripts, notes were taken and a list was made recording the strategies and activities that each teacher used during the class period. Then, these notes and lists were cross-referenced and sorted to determine similar and different strategies and activities utilized among the 10 teachers. Nine categories emerged from the data analysis; data were arranged on a matrix (Miles & Huberman, 1994, pp. 93, 239-244) in Chapter IV that reflected the instructional strategies employed by the teachers and the frequency of these strategies and activities within categories.

Analysis of Interview Transcripts

The analysis of the interview transcripts provided the data relevant to the second research question: What aesthetic and efferent pedagogical perspectives regarding the study of literature do high school English teachers report during in-depth interviews? Like the analysis of the other primary data source (classroom observation transcripts), the analysis of the interview transcripts was guided by the researcher's

understanding of transactional reading theory and her experience as a language arts educator.

Each teacher's "semistructured" interview (Kvale, 1996, p. 27) followed predetermined questions via an "interview guide" (Kvale, 1996, p. 27; Lofland & Lofland, 1995, pp. 78-87; Patton, 1990, pp. 283-284). Hence, all the teachers were asked similar questions and reported their perspectives regarding six main topics: (a) reasons for becoming high school English teachers, (b) purposes for teaching literature, (c) preferred instructional strategies, (d) influences affecting these strategies, (e) priorities when teaching literature, and (f) understanding of Rosenblatt's transactional reading theory and reader response (see Appendix H). Although data were analyzed related to all six topics, the first four topics provided subordinate data related to the second research question; however, the last two topics were specifically germane to the study of the teachers' aesthetic and efferent perspectives. The fifth topic, priorities when teaching literature, received considerable attention during the interviews when the teachers were asked to discuss, elaborate upon, and rank as either a high, moderate, or low priority five dimensions of literary study: (a) Efferent, (b) Aesthetic, (c) Critical Thinking, (d) Literacy Skills, and (e) Artistic Appreciation.

Reflecting Patton's (1990) approach, a "cross-case or cross-interview analysis" (p. 376) of the transcripts was conducted by using the interview guide as a reference to sort and put together similar responses from the participants. Each of the 10 interview transcripts was reviewed and analyzed focusing on one of the six topics at a time, and

then the process was repeated for each of the other topics. The following process, in sequential order, was adhered to when analyzing the six interview topics noted in the preceding paragraph.

1. The teachers' reported responses to one topic were color-coded on the transcripts to identify answers to the respective topic.

2. The color-coded responses to the topic were analyzed with notes and comments added in the margins of the transcripts.

3. A detailed listing was developed for each teacher's responses to the topic.

4. The listing of the individual teacher's responses was cross-referenced with the other teachers' responses to the topic, and a master list was compiled noting similarities and differences among all teachers.

5. This master list was sorted, and the teachers' related responses were grouped together.

6. Categories emerged and were given succinct names that reflected the essence of their meaning (Merriam, 1998, pp. 182-183).

7. After all categories had been determined for one topic, these categories were reviewed again.

8. Some categories were collapsed to avoid redundancies and were appropriately renamed.

This process was repeated for the six main topics asked during interviews. In addition, after the entire process had been completed, unmarked copies of the 10

interview transcripts were analyzed again; and the process was repeated, topic by topic, to ensure that the coding and categories that emerged were consistent and complete. Matrices (Miles & Huberman, 1994, pp. 93, 239-244) were developed and placed in Chapter IV depicting the categories and data related to each of the six interview topics for all teachers: four matrices reported data as frequencies while two matrices reported data as descriptive responses.

Analysis of Aesthetic and Efferent Observed Stances and Reported Perspectives

The analysis of the teachers' aesthetic and efferent observed stances and reported perspectives provided the data relevant to the third research question: How do high school English teachers' aesthetic and efferent pedagogical stances manifested in the classroom compare with their aesthetic and efferent pedagogical perspectives reported during in-depth interviews? The answer to this question was based on comparing analyses previously discussed relevant to the first two research questions respectively: (a) data regarding the frequency and percent of idea units placed in Aesthetic and Efferent categories related to teacher oral communication during literature lessons were compared with (b) data regarding the priorities associated with the Aesthetic and Efferent dimensions of literature study reported during interviews. Analyses comparing these data were presented in tables in Chapter IV.

Analysis of Secondary Sources

The two secondary sources (instructional artifacts and researcher's journal) provided ancillary information related to the study and were incidental, rather than instrumental, in answering the research questions. Although instructional artifacts were analyzed, they were limited in number and merely provided confirmation of the primary source findings. The researcher's journal was not formally analyzed; however, journal information provided concomitant corroboration of the data collection process. Although neither of the secondary sources was germane to the data analysis in Chapter IV, which was based on the two primary data sources, the following information offers a description of the analysis of the instructional artifacts and the function of the researcher's journal.

Instructional artifacts--Instructional artifacts were collected from the teachers and subjected to "*content analysis*" (Marshall & Rossman, 1995, p. 85) based on the definitions in Appendix A for the Aesthetic and Efferent categories, which were appropriately altered to relate to the written, rather than the oral, communication of the teachers. These artifacts were analyzed and color-coded respectively for their aesthetic or efferent orientation. Then, a master list was made of the artifacts, which were limited in number (e.g., a few handouts, study guides, and worksheets; a quiz; and a lesson plan). The artifacts were categorized as either aesthetic or efferent.

Researcher's journal--The researcher's journal indirectly supplemented the other data sources by providing an elaborate description of the setting, participants, and events including the researcher's "reflexive" thinking (Erlandson et al., 1993, pp. 143-147) during the research process. The researcher's journal also offered an " 'audit trail' "(p. 34) that provided "dependability and confirmability" (pp. 148-151) should an auditor wish to verify the process, data, and findings of the study.

Inter-rater Agreement

Boyatzis (1998) stated that in qualitative research, "Reliability is consistency of judgment that protects against or lessens the contamination of projection" (p. 146) and that "*Interrater reliability* is consistency of judgment among multiple observers" (p. 147). To facilitate reliability in this study, a portion of the classroom observation data was analyzed independently by an inter-rater who was knowledgeable, experienced, and conscientious. This person had 30 years experience in public education both as a teacher at the elementary and secondary levels and as an administrator at the central office and building levels. Her experience included over 10 years teaching secondary students reading, primarily at the junior high school level. She has earned a Ph. D. in curriculum and instruction and also has taught undergraduate and graduate educational administration and curriculum courses at the university level. Throughout the inter-rater process, she was extremely conscientious and devoted many hours to the task.

The inter-rater process, which was conducted between July 25 and August 13, 2000, focused on the analysis of the teachers' oral communication during the observations. Excerpts from two teachers' observation transcripts, which represented approximately 15% of each transcript, were analyzed by the inter-rater using the definitions, codes, examples, and explanations in Appendix A. The transcript excerpts were analyzed on several occasions throughout a three-stage process: first, idea units were identified; second, categories were coded; and, third, Aesthetic and Efferent sub-categories were coded. The inter-rater agreement was .94 and .95 for the identification of idea units; .96 and 100% for categories; and .91 and .96 for sub-categories, respectively. After each stage was completed, the inter-rater and the researcher discussed any discrepancies and came to agreement on the analysis.

CHAPTER IV

FINDINGS

> The efferent stance . . . has generally been emphasized throughout the child's experience in the home and in the school, to the neglect of the aesthetic. In part, this has been due to the misconception that the text alone does the aesthetic job, instead of recognition of the reader's contribution. Both the learning environment and teaching approaches have tended to inculcate a predominantly efferent stance toward all texts, even those presumably "literary"--poems, stories, or plays. (Rosenblatt, 1980, p. 389)

Chapter IV details the findings of the study, which focus on the aesthetic and efferent pedagogical stances and perspectives of high school English teachers during the study of literature. The findings are based on the two primary data sources: classroom observations and in-depth interviews. The secondary data sources (instructional artifacts and the researcher's journal) provided ancillary information related to the study and were incidental, rather than instrumental, in answering the research questions. Hence, only the primary sources are analyzed to determine the findings. This chapter is organized in three parts with each part relating to one of the three research questions.

Part one of this chapter presents data related to the first research question: What aesthetic and efferent pedagogical stances do high school English teachers manifest in the classroom during the study of literature? These data represent the

observed pedagogical stances of each of the 10 participants during a literature lesson. In order to build background and context for the aesthetic and efferent findings, part one begins by presenting data regarding the pedagogical strategies and activities the teachers employed. However, the findings in this section are centered on the aesthetic and efferent aspects of the literature lesson. The teachers' oral communication is analyzed using 8 identified categories (see Table 1), which include the Aesthetic and the Efferent categories, and 2 Aesthetic and 10 Efferent sub-categories (see Table 2).

Part two of this chapter presents data related to the second research question: What aesthetic and efferent pedagogical perspectives regarding the study of literature do high school English teachers report during in-depth interviews? These data represent the self-reported pedagogical perspectives of the 10 participants articulated during individual interviews. In order to provide background and context for the teachers' aesthetic and efferent perspectives, findings are offered regarding the teachers' reasons for becoming English teachers, their purposes for teaching literature, their preferred instructional strategies and activities, and the influences affecting these strategies and activities. Data also include the teachers' priorities when teaching literature which offer special insight into the aesthetic and efferent dimensions of literature study. This section concludes with the findings related to the teachers' understanding of Rosenblatt's transactional reading theory and the concept of reader response.

Part three, the final section of this chapter, presents data related to the third question: How do high school English teachers' aesthetic and efferent pedagogical stances manifested in the classroom compare with their aesthetic and efferent pedagogical perspectives reported during in-depth interviews? Findings reveal the similarities and differences between the aesthetic and the efferent stances the 10 participants exhibited in the classroom and the aesthetic and efferent perspectives the participants enunciated during the interviews.

Aesthetic and Efferent Pedagogical Stances Manifested in the Classroom

This section answers the first research question: What aesthetic and efferent pedagogical stances do high school English teachers manifest in the classroom during the study of literature? The findings reflect data gathered from classroom observation transcripts and focus on the teacher during classroom interactions. The analysis is organized into three areas: the teachers' pedagogical strategies and activities; the teachers' oral communication within 8 identified categories, which include the Aesthetic and Efferent categories; and the teachers' oral communication within 2 Aesthetic and 10 Efferent sub-categories. Throughout this section, examples of idea units placed in categories and sub-categories are offered; additional examples and detailed explanations can be found in Appendix A.

Instructional Strategies and Activities

In order to offer background and context for the aesthetic and efferent findings, data are provided regarding the pedagogical strategies and activities employed by the teachers during the classroom observations. Table 3 shows that the first four instructional strategies and activities listed (Reference to Text, Teacher's Oral Reading, Whole Class Discussion, and Use of Visual Aid) were used most frequently by the teachers and that the last five (Use of Audiotape or Record, Use of Handout or Worksheet, Quiz, Group Work, and Writing Assignment) were used less frequently.

Regarding the four most favored strategies and activities, data reveal that all of the participants employed and emphasized whole class discussions while analyzing the literature and while referring continually to texts during these discussions. Teachers and their students referenced state-adopted basal texts and paperback novels representing five genres of well-known works traditionally studied in 10th-, 11th-, and 12th-grade English classes respectively (see Table 4). All the teachers read aloud from either basal texts or trade books, other printed material, or visual aids. The extent of the teachers' oral reading varied, with half the teachers reading frequently and half the teachers reading infrequently during the class periods. Although one student read briefly from a list of character descriptions that she had written, no other student read orally in any class. Nine of the teachers reinforced the literary discussions with visual aids referencing efferent information via the use of a picture or material written either

Table 3

Instructional Strategies and Activities Employed During Classroom Observations

	Teacher									
Strategies	T1	T2	T3	T4	T5	T6	T7	T8	T9	T10
Reference to text	X	X	X	X	X	X	X	X	X	X
Teacher's oral reading	X	X	X	X	X	X	X	X	X	X
Whole class discussion	X	X	X	X	X	X	X	X	X	X
Use of visual aid	X	X	X		X	X	X	X	X	X
Use of audiotape or record			X	X		X		X		
Use of handout or worksheet	X			X	X					X
Quiz				X	X	X				
Group work		X								X
Writing assignment							X		X	

Note. Instructional strategies employed during classroom observations are listed in order of frequency.

Table 4

Literary Works Studied During Classroom Observations

Grade Level	Genre	Title	Author	Type of Text
10th grade	Legend	"Arthur Becomes King"	T. H. White	Basal
10th grade	Legend	"Arthur Becomes King"	T. H. White	Basal
10th grade	Play	Julius Caesar	William Shakespeare	Basal
11th grade	Novel	The Great Gatsby	F. Scott Fitzgerald	Trade book
11th grade	Poetry	"Song of Myself," "A Noiseless Patient Spider," "Reconciliation"	Walt Whitman	Basal
12th grade	Novel	Dr. Jekyll and Mr. Hyde	Robert Louis Stevenson	Trade book
12th grade	Play	Pygmalion	George Bernard Shaw	Basal
12th grade	Poetry	Prologue to the Canterbury Tales	Geoffrey Chaucer	Basal
12th grade	Poetry	The Rape of the Lock	Alexander Pope	Basal
12th grade	Short story	"The Rocking-Horse Winner"	D. H. Lawrence	Basal

on large boards mounted on the walls, on television screens connected to computers, or on overhead transparencies (see Table 5).

The five strategies and activities that received less attention also provide interesting information about the classroom context and the study of literature. Four teachers supplemented the texts using audiotapes or records of the literary works to guide efferent discussions of the literature, and four teachers utilized student handouts or worksheets with an efferent orientation as an integral part of the literature lesson (see Table 6). Three teachers administered brief quizzes with efferent questions to check reading comprehension or the completion of homework assignments (see Table 7). Two teachers employed group work that was situated at the end of the lesson as a culminating activity either to plan for group work the following day or to complete a short story worksheet with efferent questions. In addition, two teachers asked students to engage in brief writing assignments with one teacher asking the students to respond in their journals to an efferent prompt related to their novel study and the other teacher asking the students to explicate a poem as practice for a forthcoming essay examination.

The teachers directed the literature lessons and were the dominant voices offering predominantly efferent comments and questions. Most student responses were brief and efferent, and the teachers often repeated verbatim or paraphrased the students' responses. The following representative examples from each of the 10 teachers offer insight into typical teacher (T) and student (S) verbal exchanges

Table 5

Examples of Efferent Information Referenced Via Visual Aids

Visual Aids		
Large Boards Mounted on Wall[a]	Television Screen Connected to Computer[b]	Overhead Projector Transparency[c]
Examples		
Humor--irony rape Horatian--Pope, Chaucer Juvenalian--Swift Epic--long narrative about a tragic hero told on a grand scale Mock Epic--funny--pun on it Allusion Canto What mighty contests rise from such trivial things.	What can you infer about Daisy's life from her statement? "That's the best thing a girl can be in this world, a beautiful little fool."	Who is Caesar's most loyal friend in Act One?

Note. In addition to the three types of visual aids exemplified in the table, one teacher also utilized a picture depicting a cheval glass to help the students understand a reference in Dr. Jeckyll and Mr. Hyde.

[a] This information has been noted verbatim as written on a large board mounted on a classroom wall and refers to Alexander Pope's The Rape of the Lock.

[b] This information has been noted verbatim as written on a television screen that displayed information typed into a computer and refers to F. Scott Fitzgerald's The Great Gatsby.

[c] This information was presented on an overhead projector transparency and refers to Shakespeare's Julius Caesar. Classroom observation transcripts indicate that this information captures the essence of the question written on the overhead transparency but may not be quoted verbatim.

Table 6

Examples of Efferent Information Referenced Via Handouts and Worksheets

Examples	
Handout Excerpts	Worksheet Excerpts
Strategies for Active Reading[a] 1. Question: Ask the questions "Who? What? Where? Why? and How?" 2. Predict: Try to decide what will happen next and how the selection might end. Then read on to see how accurate your guesses were.	The Last Night[c] 1. Why is Poole afraid? 2. What does Poole say about his master's voice?
Essay Writing Project[b] When we study the play, you will be marking passages from it that can be used as specific support for your point of view. These passages will become the material of your quote cards which we will be using in writing the paper. The characters which you can discuss are as follows: Alfred Doolittle, Henry Higgins, Mrs. Pearce Eliza Doolittle, Mrs. Higgins, Colonel Pickering	Elements of the Short Story[d] 1. Who is the protagonist--the main character--in the story? 2. What challenge or conflict does the protagonist encounter? 3. How is the conflict resolved?

[a] The excerpt from the student handout "Strategies for Active Reading" refers to two of the seven active reading strategies presented during part of a literature discussion. It should be noted that five of the seven strategies and their explanations have an efferent orientation (question, predict, question again, clarify, and evaluate) and two of the strategies (visualize and connect) have an aesthetic orientation.

[b] The excerpt from the student handout "Essay Writing Project" refers to the study of George Bernard Shaw's Pygmalion with the complete handout reflecting an efferent orientation. During part of the literature discussion, the teacher guided the students to determine adjectives describing a character and to identify passages and quotations in the play as supporting evidence in their essays.

[c] The excerpt from the student worksheet "The Last Night" refers to the study of Robert Louis Stevenson's Dr. Jekyll and Mr. Hyde and reflects 2 of the 16 questions which all have an efferent orientation. During part of the literature discussion, the worksheet provided a framework for the teacher's directing the class discussion.

[d] The excerpt from the student worksheet "Elements of the Short Story" refers to the study of D. H. Lawrence's "The Rocking-Horse Winner." The students answered in small groups approximately 10 questions with an efferent orientation. The students were told that they could omit other questions at the end of the worksheet that had an aesthetic orientation such as, "In a short paragraph, describe an element of the short story that reminds you of something in your own life."

Table 7

Examples of Efferent Quiz Questions

Example[a]
1. Mrs. Pearce is Higgins' (a) sister, (b) housekeeper, (c) neighbor. 2. Eliza wants Higgins to (a) teach her correct speech, (b) give her some money, (c) buy some flowers. 3. Eliza wants to become (a) a duchess, (b) an actress, (c) a lady in a flower shop.
Example[b]
1. Give me the definition of a pun. 2. Give me two reasons why Caesar is well-liked. 3. [Give me] two reasons why Caesar is disliked.

Note. One teacher administered a short three question quiz disseminated to the students on small, white slips of paper to check the students' completion and comprehension of their homework reading assignment in Robert Louis Stevenson's Dr. Jekyll and Mr. Hyde. The field notes do not indicate the exact questions; however, the answers discussed in class after the completion of the quiz indicate that they were efferent questions related to character and plot. The teacher stated in class that the three quiz questions came from a worksheet the students had been asked to complete.

[a] One teacher administered a written multiple-choice quiz which included these three questions and seven other efferent questions related to George Bernard Shaw's Pygmalion. After the completion of the quiz, the teacher orally discussed the correct answers while eliciting student responses to the questions.

[b] One teacher administered orally a short answer quiz which included these three questions and four other efferent questions related to Shakespeare's Julius Caesar. After the completion of the quiz, the teacher orally discussed the correct answers while eliciting student responses to the questions.

that occurred during literature lessons. Brackets ([ ]) indicate the researcher's interpolation in the quotation in order to offer context and clarity to the comment or question.

Example 1

T: "What is the tone [in Kafka's Metamorphosis]?"
S: "Terrible"
T: "He [Gregor Samsa] has changed into a cockroach--vermin."

Example 2

T: "Think--who is the hero [in Pope's The Rape of the Lock]?"
S: "Heroine"
S: "Belinda"
T: "Yeah . . . Belinda is our heroine."

Example 3

T: "When is this [T. H. White's 'Arthur Becomes King'] taking place?"
S: "Twelfth century"
T: "Twelfth century"

Example 4

T: "How does he [Higgins in George Bernard Shaw's Pygmalion] treat her [Eliza]?"
S: "Demanding"
S: "Badly"
S: "Self-confident"
T: "Self-confident--Do you know the passage [in the text]?"

Example 5

T: "Who are Jekyll and Hyde [in Robert Louis Stevenson's Dr. Jekyll and Mr. Hyde]?"
S: "One person"
T: "Are Jekyll and Hyde one in the same?"
S: "Yeah"
T: "[Are we] dealing with one in the same?"

Example 6

T: "At the end of Act One [in Shakespeare's Julius Caesar], who is coming [to see Brutus]?"
S: "Casca and Cassius"
T: "Casca and Cassius "

Example 7

T: "What did Tom [in F. Scott Fitzgerald's The Great Gatsby] do?"
S: "Broke her [Myrtle's] nose."
T: "Broke her nose."
T: "How?"
T: "Why?"
S: "She mentioned Daisy's name."

Example 8

T: "[Arthur in T. H. White's 'Arthur Becomes King'] finds [a] sword in [an] anvil."
T: "What is anvil?"
S: "Big, black metal thing"
T: "Big, black metal thing"

Example 9

T: "Line eight--out in vast space--what would 'spheres' be for the soul [in Walt Whitman's poem 'A Noiseless Patient Spider']?"
S: "Home"
T: "[The spider's web represents a] home for a soul"
T: "What would this home be?"
S: "Heaven and earth"
T: "Heaven and earth . . . "

Example 10

T: "What is the term in Greek tragedies for fatal flaw?"
S: "Hubris"
T: "Hubris"
(The teacher then writes the word hubris on the large board at the front of the classroom.)
S: "Excessive pride"
T: "Yes--excessive pride"

Analysis of Teacher Oral Communication During Lessons

Based on multiple, recursive reviews and analyses of classroom observation transcripts focusing on the oral communication of the 10 teacher participants, idea units were determined and placed in eight identified categories that emerged from the data (see Table 1). Aggregated and individual analyses of the teachers' oral communication and the allocation of idea units within the eight identified categories are offered with special attention given to the Aesthetic and Efferent categories. The idea unit--the unit of data analysis designating a single, complete idea or thought orally expressed via a comment or question by a teacher--provided the basis for these analyses and is defined and explicated in Chapter III and Appendix A.

Aggregated Analysis of Teacher Oral Communication

Table 8 shows that among the eight identified categories with a total of 1,753 idea units, the 10 teachers' efferent comments and questions dominated the classroom instruction with 1,049 idea units, or approximately 60%, placed in the Efferent category. The Administrative category, although including considerably fewer idea units than the Efferent category, received the second largest number with 372, or approximately 21%, of the idea units. Indeed, there were 1,421, at least 81%, of the idea units attributed to the teachers either making statements or asking questions efferently or administratively. The Aesthetic category received limited attention with 127 idea units, or approximately 7%, designated to this category. Each of the

Table 8

Frequency and Percent of Aggregated Teacher Idea Units Within Categories

Categories (Codes)	Number of Idea Units Within Categories	Percent[b]
Administrative (A)	372	21.22%
Aesthetic (AS)	127	7.24%
Complimentary (C)	23	1.31%
Disciplinary (D)	35	1.99%
Efferent (EF)[a]	1,049	59.84%
Other (O)	46	2.62%
Not Clear (NC)	18	1.02%
Teacher Reading (TR)[a]	83	4.73%
Total	1,753	99.97%

Note. Three categories represent idea units directly related to academic instruction: Aesthetic (AS), Efferent (EF), and Teacher Reading (TR). The other five categories do not represent idea units directly related to academic instruction, but rather to other classroom considerations: Administrative (A), Complimentary (C), Disciplinary (D), Other (O), and Not Clear (NC).

[a] One idea unit is matched with one category; however, an exception can occur in which one idea unit is placed in both the Efferent (EF) and the Teacher Reading (TR) categories when the teacher is reading aloud efferent information. There were 1,717 idea units placed in one category and 36 idea units placed in two categories when the teacher was discussing efferent information (Efferent [EF]) while also reading aloud (Teacher Reading [TR]). Hence, the total number of idea units within all categories is 1,753.

[b] Percentages are rounded and, therefore, do not equal 100%.

remaining five categories (Complimentary, Disciplinary, Other, Not Clear, and Teacher Reading) received less than 5% of the idea units. These remaining five categories combined included only 205, approximately 12%, of the 1,753 idea units.

Data in Table 8 also provide an opportunity to examine the teachers' oral communication related to academic instruction and non-academic instruction. Three of the eight categories include idea units directly related to academic instruction: Aesthetic, Efferent, and Teacher Reading. On the other hand, five of the eight categories include idea units not related to academic instruction: Administrative, Complimentary, Disciplinary, Other, and Not Clear. Data clearly indicate that the class periods were devoted overwhelmingly to academic instruction with 1,259 idea units, approximately 72%, designated within the three categories related to academic instruction. In contrast, only 494 idea units, approximately 28%, were designated within the five categories not directly related to academic instruction.

Table 8 offers interesting data when considering idea units allocated to the three categories related to academic instruction (Aesthetic, Efferent, and Teacher Reading). Of these three categories, the Efferent category fostering the gathering of factual, objective information included 1,049, or approximately 83%, of the idea units which signifies substantially that the teachers manifested an efferent stance. On the other hand, the Aesthetic category facilitating a personal or emotional connection with contemporary society or a literary work received much less attention with 127, or approximately 10%, of the idea units allocated in the three categories related to

academic instruction. The Teacher Reading category represented 83, or approximately 7%, of the idea units credited to academic instruction and were almost exclusively related to acquiring efferent information. This category reflected instances when teachers were either reading aloud passages from the text; reading aloud efferent information written on large boards mounted on classroom walls, overhead transparencies, or television screens; reading aloud efferent handouts and worksheets to guide literature discussions; or reading aloud efferent quiz questions to check reading comprehension or the completion of homework assignments.

Data from the three categories related to academic instruction markedly indicate the predominance of the teachers' manifesting an efferent, as opposed to an aesthetic, stance during classroom observations. The following representative examples provide insight into the type of teacher comments and questions reflected in the idea units designated in the three categories. Supplemental information is offered in parentheses when needed to offer contextual clarity.

Idea Units Within the Aesthetic Category

Example: "I know at 17--[you can be] feeling really happy and then being at [the] bottom [unhappy]."
(The teacher is attempting to facilitate a connection between the students' personal feelings and the characters' feelings in Pope's The Rape of the Lock.)

Example: "[During the] most perfect moments of my life--[there has been] no music."
(The teacher is suggesting a contrast between her own personal life and Arthur in T. H. White's legend "Arthur

Becomes King" in which Arthur magically can hear music during significant times in his life.)

Example: "You know from your experience in the world--" (The teacher is prompting the students to understand the potential for both good and evil in the world by making a connection with their own personal life experiences and the characters and plot in Stevenson's Dr. Jekyll and Mr. Hyde.)

Idea Units Within the Efferent Category

Example: "[The] main character--[is] Gregor Samsa." (The teacher is referring to Kafka's Metamorphosis.)

Example: "What's he [Brutus] reading?" (The teacher is referring to Shakespeare's Julius Caesar.)

Example: "Line four--what are filaments?" (The teacher is referring to Whitman's poem "A Noiseless Patient Spider.")

Idea Units Within the Teacher Reading Category

Example: " 'About half way between West Egg and New York the motor road hastily joins the railroad and runs beside it for a quarter of a mile, so as to shrink away from a certain desolate area of land. . . .' " (This is the first sentence of the first paragraph of Chapter II of Fitzgerald's The Great Gatsby describing the valley of ashes. The teacher reads aloud the entire paragraph.)

Example: " 'According to T. H. White's lively retelling of the legend, Arthur is an orphan of unknown parentage, who lives with his guardian, Sir Ector. . . .' " (This is the first sentence of a four paragraph introduction to T. H. White's "Arthur Becomes King." The teacher reads aloud the entire introduction.)

Example: " 'There was a woman who was beautiful, who started with all the advantages, yet she had no luck. She married for love, and the love turned to dust. . . .' "
(These are the first two sentences of the first paragraph of D. H. Lawrence's "The Rocking-Horse Winner" describing the mother in the story. The teacher reads aloud the entire paragraph.)

As noted in Table 8, one idea unit is matched with one category; however, an exception can occur in which an idea unit is placed in both the Efferent (EF) and Teacher Reading (TR) categories. Of the 1,753 idea units, this situation occurred on 36 occasions when the teacher was offering efferent information or questions (Efferent category) while also reading aloud (Teacher Reading category) from a text, handout, worksheet, or quiz. The following quotation offers an example of one idea unit that is placed in both categories when a teacher read aloud the following efferent information from a worksheet related to George Bernard Shaw's Pygmalion: " 'Question 1--Why does Higgins decide to teach Eliza?' "

Table 8 also relates the findings in the five categories not associated with academic instruction: Administrative, Complimentary, Disciplinary, Other, and Not Clear. The idea units placed in these categories are not specifically germane to the analysis of the aesthetic and efferent stances of teachers; nevertheless, these data provide subordinate information that aids in understanding the full range of teacher oral communication observed during classroom discussions. Among these five categories and the 494, or 28%, of the idea units they represent, the Administrative category included the largest number with 372, or approximately 21%, of the 1,753

idea units. These idea units were related to the teachers' administrative directions and procedural instructions which were most apparent at the beginning and ending of the class periods and when there was a change in classroom activities.

The remaining four categories combined represent only 122, or approximately 7%, of the total number of idea units. In the Complimentary category, few overt compliments were offered to students, and most of the these were succinctly offered to acknowledge and praise students' correct responses to efferent questions. In the Disciplinary category, teachers' disciplinary comments or questions were infrequent and were usually requests for the students to pay attention or stop talking. On a few occasions, idea units were placed in the Other category when the teachers' comments or questions did not correspond appropriately with one of the other categories. On rare occasions, idea units were placed in the Not Clear category when the teachers' oral communication was not completely audible during the classroom observations. The following idea units are representative examples of teacher comments and questions designated in the five categories not related to academic instruction. Supplemental information is offered in parentheses when needed to offer contextual clarity.

Idea Units Within the Administrative Category

Example: "Let's increase students with perfect score[s] [on the vocabulary test] this week."

Example: "Those who didn't bring books, sit with someone who has one."

Idea Units Within the Complimentary Category

Example : "Good"
(The teacher offers this complimentary word when a majority--about 80%--of the class raise their hands indicating that they have made a 100% or 90% on the quiz just taken in class.)

Example: "Excellent"
(The teacher is complimenting a student's comment.)

Idea Units Within the Disciplinary Category

Example: "I need you all quiet--shhhh."

Example: "Hush--shhhh"

Idea Units Within the Other Category

Example: "Okay"

Example: "Why is your brain fried?"

Idea Units Within the Not Clear Category

Example: "This lock--name"

Example: "now--now--oh--"

Individual Analysis of Teacher Oral Communication

Table 9 details the findings of the 10 individual teachers within the eight identified categories. Analysis centers on three categories--Efferent, Administrative, and Aesthetic--because these three categories have the largest allotment of idea units.

Table 9

Frequency and Percent of Individual Teacher Idea Units Within Categories

Categories (Codes)	Teacher T1	T2	T3	T4	T5	T6	T7	T8	T9	T10
	Number of Idea Units Within Categories / Percent[b]									
Administrative (A)	24 19.35%	69 29.61%	14 9.21%	42 24.27%	26 13.47%	44 25.88%	21 12.20%	25 15.82%	64 36.57%	43 21.18%
Aesthetic (AS)	27 21.77%	13 5.57%	25 16.44%	4 2.31%	6 3.10%	0 0.00%	10 5.81%	13 8.22%	0 0.00%	29 14.28%
Complimentary (C)	8 6.45%	1 .42%	3 1.97%	1 .57%	0 0.00%	2 1.17%	5 2.90%	0 0.00%	2 1.14%	1 .49%
Disciplinary (D)	3 2.41%	12 5.15%	0 0.00%	4 2.31%	4 2.07%	5 2.94%	1 .58%	1 .63%	1 .57%	4 1.97%
Efferent (EF)[a]	58 46.77%	122 52.36%	101 66.44%	90 52.02%	130 67.35%	114 67.05%	114 66.27%	113 71.51%	97 55.42%	110 54.18%
Other (O)	0 0.0%	4 1.71%	2 1.31%	10 5.78%	9 4.66%	3 1.76%	1 .58%	3 1.89%	7 4.00%	7 3.44%
Not Clear (NC)	1 .80%	1 .42%	0 0.00%	1 .57%	2 1.03%	1 .58%	0 0.00%	2 1.26%	2 1.14%	8 3.94%

Table 9 (continued)

Categories (Codes)	T1	T2	T3	T4	T5	T6	T7	T8	T9	T10
	Teacher									
	Number of Idea Units Within Categories									
	Percent[b]									
Teacher Reading (TR)[a]	3 2.41%	11 4.72%	7 4.60%	21 12.13%	16 8.29%	1 .58%	20 11.62%	1 .63%	2 1.14%	1 .49%
Total Column No. Percent	124 99.96%	233 99.96%	152 99.97%	173 99.96%	193 99.97%	170 99.96%	172 99.96%	158 99.96%	175 99.98%	203 99.97%

Note. Three categories represent idea units directly related to academic instructions: Aesthetic (AS), Efferent (EF), and Teacher Reading (TR). The other five categories do not represent idea units directly related to academic instruction, but rather to other classroom considerations: Administrative (A), Complimentary (C), Disciplinary (D), Other (O), and Not Clear (NC).

[a] One idea unit is matched with one category; however, an exception can occur in which one idea unit is placed in both the Efferent (EF) and the Teacher Reading (TR) categories when the teacher is reading aloud efferent information. There were 1,717 idea units placed in one category and 36 units placed in two categories when the teacher was discussing efferent information (Efferent [EF]) while also reading aloud (Teacher Reading [TR]). Hence, the total number of idea units within all categories is 1,753.

[b] Percentages are rounded and, therefore, do not equal 100%.

Among the three, the Aesthetic and Efferent categories receive primary attention due to the notable contrasts they reveal related to this study.

Data in Table 9 denote that the number of idea units per teacher ranged from a minimum of 124 to a maximum of 233 with an average number of approximately 175 idea units per teacher. The most important finding relates to the Efferent category which confirms consistently that the majority of the idea units for each teacher was allocated to this category. Efferent idea units ranged from a minimum of 46.77% to a maximum of 71.51% with an average of approximately 60% per teacher. The Administrative category had the second largest idea unit allocation for each teacher with the exception of two teachers whose second largest allocation was in the Aesthetic category. The idea unit allocation in the Administrative category ranged from a minimum of 9.21% to a maximum of 36.57% with an average of approximately 21% per teacher.

The inconsistency of the findings within the Aesthetic category for each of the teachers is an especially interesting contrast to the consistency of the Efferent category findings for each of the teachers noted in the previous paragraph. Idea units in the Aesthetic category ranged from a minimum of 0% to a maximum of 21.77% with an average of approximately 8% per teacher. Notably, Teachers 6 and 9 had no idea units designated within the Aesthetic category. However, these two teachers had among the largest percentage of idea units in the Administrative category and, unlike any of the other teachers, had over 90% of their idea units allocated to the Administrative and

Efferent categories combined. Another comparison of the findings between Teachers 1 and 8 illustrates the inconsistency of aesthetic and efferent idea unit allocations among individual teachers. For example, these two teachers each had among the largest percentage of idea units within the Aesthetic category; however, Teacher 1 had the smallest percentage of idea units within the Efferent category while Teacher 8 had the largest percentage of idea units within the Efferent category.

In the Efferent category, idea units were preponderant for all teachers, and they were evenly distributed throughout the teachers' literature lessons. Also, the teachers' comments and questions were usually brief and unelaborated with the intention of introducing or reinforcing factual information from a wide range of issues ranging from literary topics, such as character and plot, to the development of reading and writing skills, such as prediction and run-on sentences. The following examples provide confirmation of the succinct nature of the teachers' efferent comments and questions and the type of topics that they represented. Supplemental information is offered in parentheses when needed to offer contextual clarity.

Idea Units Within the Efferent Category Exemplifying a Variety of Topics

Example: "What's Mrs. Wilson's first name?"
(The teacher is referring to the character Myrtle Wilson in Fitzgerald's novel The Great Gatsby.)

Example: "Arthur hasn't read what it says at the bottom [of the sword Excalibur]."
(The teacher is referring to a plot development in T. H. White's "Arthur Becomes King.")

Example: "Try to predict [when you are actively reading]."

Example: "[A] comma splice--[is a] run-on sentence."

In the Aesthetic category, the individual teachers' comments and questions tended to be embellished slightly more than their efferent comments and questions. Nevertheless, when students responded to the teachers, the students' responses were usually succinct and unelaborated (see Example 1). Additionally, when teachers offered aesthetic comments or questions, they would often follow-up immediately with another aesthetic, efferent, or administrative statement without providing time for student responses (see Example 2). The following two examples offer representative samples of the content of teacher and student aesthetic verbal exchanges during literature discussions. However, in Example 1, the student responses are unique in their quantity because this teacher allowed for more student responses to a single teacher comment or question than any other teacher. Each excerpt is preceded with an explanation to clarify the context and meaning of the teacher and student statements, and supplemental information is offered in parentheses when needed.

Example 1

Explanation: The students are studying Chaucer's Canterbury Tales, and they will be writing an essay in Chaucerian style that will describe a character who will be going on a pilgrimage in A.D. 2000. The teacher is leading the class in a discussion eliciting student responses that make a personal connection with contemporary people whom the students know and who might go on this pilgrimage.

T: "Whom . . . [would we] send to [the] moon, [on the] internet, [on a] cruise liner?"

T: "They [pilgrimage characters] represent historically the year 2000."
S: "Football player--people are into sports . . . what America is about . . . famous people."
T: "Movie stars, baseball . . ."
S: "Coffee house . . . beatnik"
S: "Starbucks"
S: "Bill Gates"
S: "Someone we hate--Bill Clinton--send Hillary with him, too."
S: "Carmen Electra"
T: "Did you say Mrs. ____ [Teacher's name]?"
T: "Do you need a student?"
S: "Dietitian"
S: "Richard Simmons"
T: "Richard Simmons . . . [is] going with us [on the fictional pilgrimage]."
S: "Mohammed Ali"
S: "Jerry Springer"
S: "Preacher"
S: "Howard Stern"

Example 2

Explanation: The students are studying Alexander Pope's The Rape of the Lock, and the teacher is asking the students to make a personal connection with the theme of the literary work by identifying experiences in their own lives when they have dwelled on and worried needlessly about trivial matters like the characters in the poem. After making the final aesthetic comment, the teacher immediately offers administrative statements that refer to the textbook and caution the students to read the introductory material in their textbooks.

T: "[The teacher asks the students to ask themselves] 'Have I ever done this [worry about and dwell on insignificant things that do not really matter]?' "
S: "Yes"
T: "[You might] think--it's silly [to worry about and dwell on insignificant things that do not really matter],"
T: "but [you are thinking that] it [this worrying about and dwelling on insignificant things that do not really matter] does apply to me . . . "
T: "[Refer to] page 401, again--"
T: "if you didn't read [page 401]--[because] sometimes you skip it [the introduction] . . . "

(The teacher holds up to the class her textbook and the introduction to The Rape of the Lock on page 401 with her extensive highlighting to show the students the importance of page 401 and their reading carefully the introductions to the literary works just as the teacher has done.)

Detailed Analysis of Aesthetic and Efferent Categories

Because this study focuses on the aesthetic and efferent stances of high school English teachers, two of the eight identified categories were selected for further analysis: the Aesthetic and the Efferent categories. Consequently, the idea units allocated within these two categories were subjected to further scrutiny and placed into sub-categories that emerged from the data. Based on the classroom observation transcripts, 2 sub-categories within the Aesthetic category and 10 sub-categories within the Efferent category were identified (see Table 2). Aggregated and individual analyses of the teachers' oral communication and the allocation of idea units within these Aesthetic and Efferent sub-categories are offered in this section.

Analysis of Aesthetic Sub-categories

Each idea unit in the Aesthetic category was placed into one of two Aesthetic sub-categories: (a) Personal Connection: Contemporary Society or (b) Personal Connection: Literary Work (see Table 2). Table 10, which represents aggregated data for all 10 teachers, shows that the 127 idea units placed in the Aesthetic category were almost equally divided between the two Aesthetic sub-categories: approximately half

(48.03%) of the idea units referenced contemporary society and approximately half (51.96%) referenced a literary work.

Table 10

Frequency and Percent of Aggregated Teacher Idea Units Within Aesthetic Sub-categories

Aesthetic Sub-categories (Codes)	Number of Idea Units Within Aesthetic Sub-categories[a]	Percent[b]
Personal Connection: Contemporary Society (pc:cs)	61	48.03%
Personal Connection: Literary Work (pc:lw)	66	51.96%
Total	127	99.99%

[a] Each idea unit in the Aesthetic category was placed in one of the two Aesthetic sub-categories: Personal Connection: Contemporary Society (pc:cs) or Personal Connection: Literary Work (pc:lw). Therefore, the number of idea units in the Aesthetic category equals the number of Aesthetic sub-categories.

[b] Percentages are rounded and, therefore, do not equal 100%.

Additionally, Table 11, which represents data for individual teachers, shows that each teacher had a majority (two-thirds or more) of aesthetic idea units allocated to one of the two Aesthetic sub-categories: either to (a) Personal Connection: Contemporary Society or to (b) Personal Connection: Literary Work. Two teachers were exceptions because they had no idea units in these Aesthetic sub-categories.

Table 11

Frequency and Percent of Individual Teacher Idea Units Within Aesthetic Sub-categories

Aesthetic Sub-categories (Codes)	T1	T2	T3	T4	T5	T6	T7	T8	T9	T10
	Teacher									
	Number of Idea Units Within Aesthetic Sub-categories[a] Percent[b]									
Personal Connection: Contemporary Society (pc:cs)	18 66.66%	3 23.07%	18 72.00%	0 0.00%	4 66.66%	0 0.00%	3 30.00%	9 69.23%	0 0.00%	6 20.68%
Personal Connection: Literary Work (pc:lw)	9 33.33%	10 76.92%	7 28.00%	4 100.00%	2 33.33%	0 0.00%	7 70.00%	4 30.76%	0 0.00%	23 79.31%
Total Column No. Percent	27 99.99%	13 99.99%	25 100.00%	4 100.00%	6 99.99%	0 0.00%	10 100.00%	13 99.99%	0 0.00%	29 99.99%

[a] Each idea unit in the Aesthetic category was placed in one of the two Aesthetic sub-categories: Personal Connection: Contemporary Society (pc:cs) or Personal Connection: Literary Work (pc:lw). Therefore, the number of idea units in the Aesthetic category equals the number of Aesthetic sub-categories.

[b] Percentages are rounded and, therefore, do not always equal 100%.

The following representative examples provide insight into the type of teacher comments and questions reflected within the two Aesthetic sub-categories. Supplemental information is offered in parentheses to offer contextual clarity.

Idea Units Within the Aesthetic Sub-categories

Personal Connection: Contemporary Society Sub-category

Example: "Camelot--Have you heard about President Kennedy's administration as Camelot? . . . because time of young people . . . beautiful . . . hope in the world." (While studying T. H. White's "Arthur Becomes King," the teacher makes a comparison between the time of King Arthur's Camelot and the time of John F. Kennedy's presidency.)

Example: "[You] need to know trivia if . . . [you are] on How to Become a Millionaire." (While studying T. H. White's "Arthur Becomes King," the teacher asks an efferent question regarding the name of Merlin's owl, which is Archimedes, and then follows with this aesthetic comment suggesting that knowing trivial information from literature may prove valuable in today's society.)

Personal Connection: Literary Work Sub-category

Example: "[It is our] human nature to rush into emotion." (While studying Pope's The Rape of the Lock, the teacher suggests that the students in the class, the teacher herself, and people in general tend to be impulsive like the characters in the poem.)

Example: "As I read--visualize--make a decision--Do you want to buy a condo [condominium] there?" (While studying Fitzgerald's The Great Gatsby, the teacher asks the students to visualize the dismal description of the valley of ashes as she reads from the novel and to decide if they would like to live there.)

Analysis of Efferent Sub-categories

Idea units in the Efferent category were placed into 10 Efferent sub-categories: Author, Literary Work, Character, Plot, Setting, Symbol, Theme, Other Literary Term, Reading Skill, or Writing Skill (see Table 2). It should be noted that, unlike each of the 127 idea units in the Aesthetic category which were placed in only one Aesthetic sub-category, each of the 1,049 idea units in the Efferent category can have one or more Efferent sub-category designations. The following two examples with explanations illustrate respectively one idea unit placed in one Efferent sub-category and one idea unit placed in multiple Efferent sub-categories.

One Idea Unit with One Efferent Sub-category

Example: "Arthur's father has died."
(This efferent idea unit referencing the legend of King Arthur is placed in the Plot sub-category because it identifies an action or event that occurred in the literature.)

One Idea Unit with Multiple Efferent Sub-categories

Example: "The train stops in the valley of ashes."
(This efferent idea unit referencing Fitzgerald's The Great Gatsby is placed in both the Plot sub-category and the Setting sub-category because it identifies both an action or event and the place of its occurrence in the literature.)

Aggregated data in Table 12 reveal that approximately 74% of efferent idea units were included in four sub-categories: Plot, Character, Other Literary Term, and Setting. Among these four sub-categories, clearly the largest percentage was allocated to the Plot sub-category representing almost 40% of the efferent idea units.

Table 12

Frequency and Percent of Aggregated Teacher Idea Units Within Efferent Sub-categories

Efferent Sub-categories (Codes)	Number of Idea Units Within Efferent Sub-categories	Percent[b]
Author (au)[a]	82	6.60%
Literary Work (lit wk)[a]	49	3.94%
Character (ch)[a]	174	14.00%
Plot (pl)[a]	488	39.29%
Setting (set)[a]	120	9.66%
Symbol (sym)[a]	39	3.14%
Theme (th)[a]	60	4.83%
Other Literary Term (other lit term)[a]	132	10.62%
Reading Skill (rs)	69	5.55%
Writing Skill (ws)	29	2.33%
Total	1,242	99.96%

[a] There were 1,049 idea units placed in the Efferent category. An idea unit placed in the Efferent category can have multiple Efferent sub-category designations that may include one or more of the following eight sub-categories related to the study of literature: Author (au), Literary Work (lit wk), Character (ch), Plot (pl), Setting (set), Symbol (sym), Theme (th), or Other Literary Term (other lit term). Therefore, the number of idea units in the Efferent category (1,049) does not equal the number of Efferent sub-categories (1,242). However, the idea units placed in the Efferent category allocated to the Reading Skill (rs) and Writing Skill (ws) Efferent sub-categories are matched one to one and are included in the total number of Efferent sub-categories (1,242).

[b] Percentages are rounded and, therefore, do not equal 100%.

Table 13 shows that among individual teachers, Plot and Character were the only sub-categories with efferent idea units from each of the 10 teachers and that these two sub-categories represented approximately 70% or more of the sub-category allotments for 4 teachers.

Data in Table 13 signify that among individual teachers, the Plot sub-category ranged from a minimum of 6.66% to a maximum of 68.51% with an average allocation of approximately 38% per teacher. Efferent idea units in the Plot sub-category were generally distributed throughout the literature lessons, and the teachers' attention was given both to the physical and to the psychological action and events in the literature as noted in the following two examples. Supplemental information is offered in parentheses to offer contextual clarity.

Idea Units in the Plot Sub-category Related to Physical Action and Events

Example: "We know [that Brutus will join the conspiracy] because . . . [Brutus] said earlier . . . [that he] must kill him [Caesar] while [Caesar is] in the 'shell' [before Caesar can gain power and do mischief]."
"What could Brutus say to Cassius or vice versa?"
"Brutus tells Cassius . . . [something such as] 'Count me in. I'll do whatever it takes.' "
"We don't know [exactly what Brutus and Cassius say]--"
(The teacher is referring to the physical action and events in Shakespeare's Julius Caesar regarding Caesar's pending murder.)

Table 13

Frequency and Percent of Individual Teacher Idea Units Within Efferent Sub-categories

Efferent Sub-categories (Codes)	Teacher									
	T1	T2	T3	T4	T5	T6	T7	T8	T9	T10
	Number of Idea Units Within Efferent Sub-categories Percent[b]									
Author (au)[a]	11 14.66%	11 7.28%	11 8.59%	3 2.77%	1 .68%	3 2.40%	0 0.00%	10 7.51%	13 10.74%	19 15.96%
Literary Work (lit wk)[a]	8 10.66%	9 5.96%	12 9.37%	2 1.85%	2 1.36%	0 0.00%	1 .73%	2 1.50%	4 3.30%	9 7.56%
Character (ch)[a]	4 5.33%	8 5.29%	11 8.59%	28 25.92%	18 12.32%	32 25.60%	35 25.73%	25 18.79%	4 3.30%	9 7.56%
Plot (pl)[a]	5 6.66%	41 27.15%	39 30.46%	74 68.51%	91 62.32%	55 44.00%	70 51.47%	47 35.33%	14 11.57%	52 43.69%
Setting (set)[a]	3 4.00%	6 3.97%	26 20.31%	0 0.00%	12 8.21%	4 3.20%	24 17.64%	25 18.79%	13 10.74%	7 5.88%
Symbol (sym)[a]	0 0.00%	10 6.62%	0 0.00%	0 0.00%	0 0.00%	0 0.00%	0 0.00%	0 0.00%	27 22.31%	2 1.68%
Theme (th)[a]	1 1.33%	10 6.62%	1 .78%	1 .92%	15 10.27%	0 0.00%	0 0.00%	4 3.00%	23 19.00%	5 4.20%
Other Literary Term (other lit term)[a]	25 33.33%	52 34.43%	7 5.46%	0 0.00%	4 2.73%	8 6.40%	6 4.41%	6 4.51%	12 9.91%	12 10.08%
Reading Skill (rs)	17 22.66%	3 1.98%	16 12.50%	0 0.00%	3 2.05%	1 .80%	0 0.00%	14 10.52%	11 9.09%	4 3.36%

Table 13 (continued)

Efferent Sub-categories (Codes)	T1	T2	T3	T4	T5	T6	T7	T8	T9	T10
	Teacher									
	Number of Idea Units Within Efferent Sub-categories Percent[b]									
Writing Skill (ws)	1 1.33%	1 .66%	5 3.90%	0 0.00%	0 0.00%	22 17.60%	0 0.00%	0 0.00%	0 0.00%	0 0.00%
Total Column No.	75	151	128	108	146	125	136	133	121	119
Percent	99.96%	99.96%	99.96%	99.97%	99.94%	100.0%	99.98%	99.95%	99.96%	99.97%

[a] There were 1,049 idea units placed in the Efferent category. An idea unit placed in the Efferent category can have multiple Efferent sub-category designations that may include one or more of the following eight sub-categories related to the study of literature: Author (au), Literary Work (lit wk), Character (ch), Plot (pl), Setting (set), Symbol (sym), Theme (th), or Other Literary Term (other lit term). Therefore, the number of idea units in the Efferent category (1,049) does not equal the number of Efferent sub-categories (1,242). However, the idea units placed in the Efferent category allocated to the Reading Skill (rs) and Writing Skill (ws) Efferent sub-categories are matched one to one and are included in the total number of Efferent sub-categories (1,242).

[b] Percentages are rounded and, therefore, do not always equal 100%.

Idea Units in the Plot Sub-category Related to Psychological Action and Events

Example: "He [Paul] has to make his Mom rich"
"--[he has to] stop the house from whispering . . . "
"Is he [Paul] crazy or is his Mom crazy?"
(The teacher is referring to the psychological action and events in Lawrence's "The Rocking-Horse Winner" regarding the psychological conflict between the son and his mother.)

Character, the second largest sub-category, represented 14% of the sub-category allocations for all teachers (see Table 12). Among individual teachers, this sub-category ranged from a minimum of 3.30% to a maximum of 25.92% with an average allocation of approximately 14% per teacher (see Table 13). In addition, Character represented the second largest sub-category for half of the teachers. Teachers' oral communication related to Character attempted to make certain that students knew the names of major and minor characters in the literature; their fundamental respective roles; and the basic, salient features of their physical or personal traits. The following examples, which occurred during a discussion of Shakespeare's Julius Caesar, are representative efferent idea units placed in the Character sub-category.

Idea Units in the Character Sub-category

Example: "[Caesar is a] good military leader. . . ."
"[Caesar is] deaf--"
"[Caesar has] epilepsy. . . ."
"Anyone put Brutus [as one of the conspirators]? . . ."

Teachers' comments and questions allocated to Character were focused primarily on human, animate characters found in the literature with brief attention given at times to non-human animate and inanimate characters such the spider discussed in the Whitman poem the "The Noiseless Patient Spider" and the Doctor T. J. Eckleburg billboard discussed in Fitzgerald's The Great Gatsby. On a few occasions, teachers made allusions to characters in other literary works not only to promote an understanding of a character, but also to reinforce the universality of literary techniques or themes. For example, one teacher referred to the Friar in Chaucer's Canterbury Tales when studying Pope's The Rape of the Lock to emphasize the use of Horatian satirical figures in literary works. Another teacher referred to Shakespeare's Macbeth when studying Lawrence's "The Rocking-Horse Winner" to highlight similarities between the cold and calculating natures of Lady Macbeth and Paul's mother who both greedily desire power and money, respectively.

Other Literary Term, the third largest sub-category, represented approximately 11% of the efferent allocations for all teachers (see Table 12). Among the individual teachers, this sub-category ranged from a minimum of 0% to a maximum of 34.43% with an average allocation of approximately 11% per teacher (see Table 13). This sub-category reflected teacher oral communication intent on briefly introducing or reviewing literary terms that were relevant to the literature. Occasionally, a teacher simply mentioned a literary term as an inherent part of the literature discussion without giving attention to the definition or meaning of the term. For example, during a

discussion of imagery, one teacher tacitly assumed recognition and understanding of the terms simile and metaphor when she stated without explanation, "Is there simile, metaphor [when you look at figurative language]?" However, most teachers devoted at least a limited amount of attention to the study of literary terms. With the exception of one teacher, who had no idea units placed in this sub-category, the other nine teachers referred to a diverse collection of literary terms. Although a few terms such as diction, imagery, irony, and tone were referenced by more than one teacher, most terms were referenced by only one teacher because they were unique to the individual literature lessons such as canto, free verse, hubris, epic, epigram, parable, pun, satire, and synecdoche.

Setting, the fourth largest sub-category, had approximately 10% of the sub-category allocations for all teachers (see Table 12). Among the individual teachers, this sub-category ranged from a minimum of 0% to a maximum of 20.31% with an average allocation of approximately 9% per teacher (see Table 13). With the exception of one teacher who offered no idea units in this sub-category, the other teachers' comments and questions were generally brief allusions intended to aid students in identifying the names of specific places mentioned in the literature such as Hampton Court, London, and New York City or in understanding the specific time of a scene or event occurring in the literature such as the 12th century, the 16th century, or the period after World War I. This sub-category also included generic references to places such as characters' houses, dirt, and grass or generic references to the time of day such

as morning or night. On occasion, teachers elaborated upon settings that had special appeal either for their beauty or for their ugliness. For example, two teachers studying the same literary work gave attention to the splendor of the Arthurian tournaments and arena in T. H. White's "Arthur Becomes King"; another teacher gave attention to the bleakness of the valley of ashes in Fitzgerald's The Great Gatsby.

Data in Table 12 indicate that the remaining six sub-categories (Author, Literary Work, Symbol, Theme, Reading Skill, and Writing Skill) represented approximately 26% of the efferent idea unit allocations for all teachers. Author and Literary Work included approximately 7% and 4% of the idea unit allocations, respectively. With the exception of two teachers who had no idea units allocated to Author and Literary Work (see Table 13) respectively, the other teachers included comments or questions while simply alluding to the author and the title of the literature without explicit explanation or elaboration. However, on a few occasions, teachers briefly referred to an author's biographical background (e.g., George Bernard Shaw being a member of the Fabian society); commented on an author's literary style (e.g., T. H. White writing in the vernacular of the 20th century); or named other authors while drawing a comparison or contrast with the author and work being studied (e.g., D. H. Lawrence's "The Rocking-Horse Winner" and Joseph Conrad's The Secret Sharer both being psychological works). Within Literary Work, the titles of the literature being read were most commonly mentioned; however, ancillary works were also referenced in a cursory fashion to augment the class discussions and

included not only titles of literature such as the Iliad, Odyssey, and Paradise Lost, but also titles of movies and musicals such as The Sword in the Stone and My Fair Lady, respectively.

Interesting data related to the Symbol and Theme sub-categories are revealed when considering aggregated (see Table 12) and individual (see Table 13) teacher data. Overall, Symbol and Theme represented a small percentage of efferent idea unit allocations for all teachers with approximately 3% and 5%, respectively. In addition, Symbol had the largest number of teachers who had no allocations in a sub-category. A notable exception was Teacher 9 who had the largest allocations in these two sub-categories, approximately 41%.

Tables 12 and 13 show interesting findings related to the final two sub-categories, Reading Skill and Writing Skill. Like Symbol and Theme, these two sub-categories represented a small percentage of efferent idea unit allocations for all teachers, approximately 6% and 2%, respectively. While two teachers had no comments or questions allocated within the Reading Skill sub-category, six teachers had no allocations within the Writing Skill sub-category.

Teachers' oral communication in the Reading Skill sub-category largely related to vocabulary development. Only two teachers addressed reading skills other than vocabulary; their comments or questions were general, rather than specific, references to the literature. One teacher talked about the need to promote "active reading" and mentioned the value of skills such as summarization, evaluation, and visualization.

This teacher alluded to handouts and to information on a large board mounted on a wall, and the teacher's comments seemed to indicate that the students had prior experience and familiarity with the information being referenced. Another teacher encouraged the students to look for the main idea when reading poetry and stated, "Look for key ideas for overall meaning." However, other than making this statement, the teacher did not show the students how to develop and apply this skill; and the teacher's other instructional comments seemed to indicate that the teacher thought the students already understood how to find the main idea when reading poetry.

The majority of the teachers' comments and questions relating to vocabulary development attended to a diverse assortment of words that came from the literature such as hilt, anvil, epiphany, saffron, azure, and impregnable discussed during a study of T. H. White's "Arthur Becomes King" and promontory, mark'd, and filament discussed during a study of Whitman's "The Noiseless Patient Spider." As noted in the following representative example, the teacher's oral communication related to T. H. White's "Arthur Becomes King" was direct and succinct and intended to make certain that the students understood words germane to the literature.

Idea Units in the Reading Skill Sub-category Related to Vocabulary Development

Example: "What is an anvil?"
"Blacksmith uses [an anvil]."
"Blacksmith uses [an anvil] to beat against."

Teachers most often anticipated the need to discuss a vocabulary word from the text, but on infrequent occasions a student asked a teacher to explain an unknown word that thwarted or confused the student's comprehension. For example, during the discussion of Pope's The Rape of the Lock, a student asked the teacher, "What's a muse?" On a few occasions, when students were answering a question, a student mispronounced or misused a word; and the teacher offered an unelaborated correction as noted in the following examples of verbal exchanges between teachers and students. Parenthetical notes are included to enhance contextual clarity.

Idea Units in the Reading Skill Sub-category Related to Vocabulary Development (see asterisks)

Example:	T:	"He saw Hyde transform to Jekyll."
	S:	"Unconceivable [sic]"
	T:	"Inconceivable"* (The teacher emphasizes the prefix "in," thus correcting the student's incorrect prefix "un" when the student said "unconceivable" during a discussion of Stevenson's Dr. Jekyll and Mr. Hyde. After the correction, the teacher immediately returns to the discussion of the novel's plot.)
Example:	T:	"[Lawrence, Byron, and Shelley] died early--[because they] lived life on the edge . . . "
	S:	"Excommunicated"
	T:	"Not excommunicated"*
	S:	"Ostracized"
	T:	"Yep--you remember vocabulary. . . ."
	S:	"Ostrich"
	T:	"Os--tra--cize"* (During a discussion of Lawrence, Byron, and Shelley, the teacher notes that these authors were considered rebels and mavericks in their respective

> eras. While trying to extend the teacher's comment, a student misuses the word "excommunicated" and the teacher corrects the error. A student follows-up by using a correct word "ostracized," and the teacher compliments the student's applying the vocabulary previously studied. Then, a student incorrectly suggests that the root of the word "ostracized" is "ostrich." The teacher corrects the error by pronouncing the word "ostracize" while emphasizing the second syllable to indicate that the word was not associated with the word "ostrich." After this correction, the teacher immediately returns to the discussion of the authors.)

Among the four teachers with allocations in the Writing Skill sub-category, the largest percentage of idea units, approximately 18%, was attributed to Teacher 6 who taught 10th grade and whose comments and questions were associated with developing knowledge and skills related to the writing section of the TAAS (Texas Assessment of Academic Skills) Exit Level test given in the spring semester of the sophomore year. In fact, at the beginning of the classroom observation before the literature lesson, this teacher immediately began with a review of questions with potential writing errors needing correction typical of those found on the multiple-choice portion of the TAAS test. Using an overhead projector and transparencies, the teacher discussed with the students the correct answers regarding grammar, mechanics, and syntax. This appeared to be a routine activity as the students immediately complied with the activity without explicit directions from the teacher.

Aesthetic and Efferent Pedagogical Perspectives Reported During Interviews

This section answers the second research question: What aesthetic and efferent pedagogical perspectives regarding the study of literature do high school English teachers report during in-depth interviews? The findings reflect data gathered from each of the 10 teachers during individual, audiotaped interviews that included predetermined guiding questions primarily focused on the aesthetic and efferent dimensions of literature study. Interview transcripts offered the foundation for the findings, which are organized around six topics based on the interview guide: (a) reasons for becoming a high school English teacher, (b) purposes for teaching literature, (c) preferred instructional strategies and activities, (d) influences affecting these strategies and activities, (e) priorities when teaching literature, and (f) understanding of transactional reading theory and reader response (see Appendix H). Although data are analyzed related to all six topics, the first four topics provide subordinate data related to the second research question; however, the last two topics are specifically germane to the study of the teachers' aesthetic and efferent perspectives. Throughout the interviews, the terms aesthetic and efferent were not used. Instead, synonymous words and phrases were employed when alluding to these concepts so that the teachers were not prompted or influenced regarding their answers to the interview questions. Nevertheless, this section of the findings refers to the terms

aesthetic and efferent to facilitate a clear and efficient rendering of the data related to the research question.

Career Influences

In order to establish a comfortable, conversational tone during the interviews and to gain initial insight into the teachers' thinking about the study of literature, the participants were asked their reasons for becoming high school English teachers (see Appendix H, section I). The 10 participants offered a variety of responses and often commented on more than one influence affecting their professional careers (see Table 14).

The largest number of teachers identified two influences: (a) Interest in Reading and Literature and (b) Enjoyment of Teaching English. Six teachers mentioned their personal interest in reading and literature as a major influence. These teachers expressed a lifelong interest in reading and literature with the exception of one teacher who pointed out that she "hated English with a burning passion in high school" but that in college she "fell in love with it" and decided that she wanted to "work with older kids and teach good literature and make them love it." Five teachers noted the enjoyment they experienced when teaching literature, and these same teachers also identified Interest in Reading and Literature as an important influence.

Table 14

Teacher Reported Reasons for Becoming High School English Teachers

Reasons	T1	T2	T3	T4	T5	T6	T7	T8	T9	T10
Interest in reading and literature	X		X				X	X	X	X
Enjoyment of teaching English	X		X				X	X	X	
Influence of former English teacher					X	X				X
Desire to teach writing				X					X	
Enjoyment of being a student			X					X		
Desire to teach an academic subject								X		
Enjoyment of reading to siblings	X									
Feeling comfortable with the subject		X								
Feeling of a special calling	X									
Influence of grandmother reading to teacher	X									

Note. Teachers' reported reasons for becoming high school English teachers are listed in the order of frequency.

The remaining influences were identified by fewer teachers; however, they provide interesting insights into the participants' reasons for becoming English

teachers. Three teachers expressed admiration for former English teachers at the high school or college level who were inspiring role models. The two teachers who desired to teach writing had interesting and differing motivations. One teacher had a negative experience in a freshman college English class because of her writing deficiencies. Hence, she taught herself how to write by "reading around" and learning "some principles of writing" and then became determined to share her knowledge and skill with others. The other teacher had prior experience in the business world with expertise in technical writing and wanted to help students understand the importance of writing and the benefits to their lives. A high school dance and drill team coach became an English teacher because she wanted to teach an academic subject. She remarked that her "brain turned to a 'moosch' " when she only taught dance. As she explained, "[I want to] use both sides of my brain everyday--dance and English." One teacher mentioned that she just "felt more comfortable teaching English." Another teacher, who was influenced by reading to her younger brother and sister and being read to by her grandmother, also stated that teaching English was a special calling: "I just have felt like it [teaching English] was my calling . . . because literature reflects life."

Purposes for Teaching Literature

After discussing the influences that affected their becoming English teachers, the participants were asked about the purpose of teaching literature to high school

students (see Appendix H, section II, 1). This question was posed in order to determine the teachers' overall philosophy regarding the importance of teaching literature in the secondary school and to extend an understanding of the place that the aesthetic and efferent dimensions might have in their thinking. Table 15 reflects the teachers' stated purposes for teaching literature; and four of the purposes are discussed because they offer special insight into the teachers' aesthetic and efferent stances: (a) Gaining Insight into Life, Self, and Humanity; (b) Creating Enthusiasm for Reading; (c) Promoting Critical Thinking; and (d) Teaching Literary Concepts and Techniques.

Table 15

Teacher Reported Purposes for Teaching Literature

Purposes	T1	T2	T3	T4	T5	T6	T7	T8	T9	T10
Gaining insight into life, self, and humanity	X			X				X		X
Creating enthusiasm for reading			X				X	X		
Connecting historical and contemporary perspectives					X					
Connecting literary themes						X				
Promoting critical thinking									X	
Promoting open-mindedness						X				
Teaching literary concepts and techniques		X								

Note. Teachers' reported purposes for teaching literature are listed in the order of frequency.

Gaining Insight into Life, Self, and Humanity was identified by the largest number of teachers as an important aim; and this purpose revealed a close connection with the aesthetic dimension of teaching literature. One teacher mentioned that literature facilitates "expanding our humanity" and "enriches us" providing a "world of artistic expression and appreciation." Another teacher was more explicit and elaborate stating that the quintessential purpose of teaching literature is to become connected personally with the literature and, hence, more enlightened about life, oneself, and others:

> . . . we can examine literature--characters, conflicts, the types of conflicts the characters encounter and then if we are--if we read with wisdom--we can better understand the situations in life--real situations with people. We gain more insight into motivation, to the psychology of mind, actions, and so on. The spiritual; the psychological. . . . I believe that each one of us is really extremely special. . . . To teach life--to teach literature is to teach life.

Creating Enthusiasm for Reading was cited by the second largest number of teachers; these teachers expressed a desire to instill a love for reading, create lifelong readers, and generate interest in reading as a major aim of their teaching literature. This purpose also had an aesthetic appeal and implications. One teacher affirmed the importance of the aesthetic dimension in literary study when she stated that "sometimes we are so worried with teaching specific elements that we have a tendency to ruin it for the students" who often find reading literature "drudgery rather than pleasure" and "we lose the overall rhythm and beauty of a piece of literature and the good stories that are there." She went on to say, "our *primary* [italics added] goal is to

encourage that love of just reading and seeing words used." Another teacher echoed similar comments when stating that she wanted her students to "finish a book and go, 'That was pretty good' . . . and not to learn how to analyze symbolism and theme and all [that]" but "to actually have things click and work and to make it [literature] not so disgusting like it is to so many kids."

Two teachers identified purposes that were described with a more efferent bent: (a) Promoting Critical Thinking and (b) Teaching Literary Concepts and Techniques. The teacher who identified Promoting Critical Thinking maintained that this purpose is the essence of teaching literature, especially poetry, which the teacher valued highly. When specifically asked what place students' aesthetic, personal responses to a piece of poetry might have, this teacher indicated that students' personal responses were "relatively important so long as they didn't stop at that point." Instead, the teacher elaborated upon the primary importance of critical thinking and the cognitive, efferent aspects of literary study:

> I want them to . . . base it [their critical thinking] on the work itself. . . . The literature is the foundation. . . . they have to test it by coming back to the literature and saying, "Does that make sense relating to the other lines [of the poetry] and everything?" And, so, I see them bouncing back and forth between lines in a poem, testing themselves, and then eventually creating this essay that brings it all together. . . . it's the different parts of the poem, the different images, and it's some words--that magical part of the intellectual activity of connecting. That's what I'm trying to get them to do.

The teacher who identified the purpose Teaching Literary Concepts and Techniques maintained that students should learn "how to approach a piece of literature and to

look for something other than the obvious." She went on to say that she expected her senior students to know already "plot and basic things [literary terms]" and focused instead on literary "technique . . . how something [a piece of literature] is put together."

Preferred Instructional Strategies and Activities

In order to understand more about the aesthetic and efferent stances of the teachers, the participants were asked to discuss their preferred instructional strategies and activities during the study of literature (see Appendix H, section II, 3; III). The teachers provided background information that offered insight into their pedagogical approaches and decisions. For instance, a number of teachers stated that showing concern for their students' individual needs and exhibiting enthusiasm for the subject matter were critical, fundamental instructional elements. In addition, several teachers commented on the wide range of their students' needs and abilities which affected their instructional choices. For example, one teacher with approximately 30 students in each of her five classes stated that she experienced challenges accommodating students in the same classroom who previously had been in AP English and those who qualified for special education. Reiterating the differences among students, another teacher remarked when referring to one of her classes, "We have a high Ritalin count in this room--very high. We have about an equal number of very, very bright kids who are

underachievers . . . we have another group of kids who . . . are overcoming some [foreign] language problems."

Also, most teachers commented that they both enjoyed and appreciated the academic freedom afforded them by their district and high schools. Although they were mindful of state and district curriculum requirements and district approved reading lists, they indicated that they had the flexibility and the resources needed to teach their students. The exception was one teacher who found the district's curriculum guide and the state-adopted textbook "dreadful." A number of the teachers clearly stated that they teach literature that not only appeals to their students, but also appeals to them personally. This point of view was reflected in the following teacher's comment:

> I will teach literature that I first must love and have an enthusiasm for. If I do not love that literary work or that selection or that poem, then my students certainly won't because I think a teacher's attitude shows through in the teaching, in the approach, in the tone of voice, in the whole lesson.

Most teachers indicated that they had the independence to select the literature their students studied, that they had an abundant anthology from which to choose, and that they supplemented their basal texts as needed. As one teacher responded, "I would fight tooth and nail to have . . . Julius Caesar, to keep Animal Farm. I love Animal Farm. . . . I love To Kill a Mockingbird. I really like my curriculum as sophomores."

While discussing their preferred pedagogical approaches, two teachers overtly acknowledged that their approach to the study of literature tended to be traditional. For example, one teacher stated the following:

> I've tried a number of different things; but again just my quote unquote old-fashioned background, I like to just assign for them to read a piece of literature and then we talk about it and then we write about it. And that's pretty much the same with everything. Now, I do some other activities like when we were reading some sonnets; then I had them compose an original sonnet.

Another teacher affirmed her reliance on a more traditional approach when she remarked:

> Well, I think we tend to always teach the way we like being taught and it's hard for me to break away from that. I always *loved* [italics added] the teacher reading to us and then discussing and talking about what we've read. So that's the way I tend to do it too. I think that's the only way it was ever done back when I was in school.

Table 16 shows that the teachers preferred a variety of instructional approaches; however, all 10 teachers endorsed two strategies: Whole Class Discussion and Writing Assignment. Whole class discussion was considered to be a quintessential, inherent component of each of the 10 teachers' literature lessons. The teachers made numerous references to engaging in literature discussions with the entire class signifying that this strategy was an integral, expected, and major part of their teaching. Nevertheless, the teachers offered no specific comments about the structuring of the discussions or the specific questioning techniques that they employed while leading the discussions.

Table 16

Teacher Reported Preferred Instructional Strategies and Activities

Strategies and Activities	T1	T2	T3	T4	T5	T6	T7	T8	T9	T10
Whole class discussion	X	X	X	X	X	X	X	X	X	X
Writing assignment	X	X	X	X	X	X	X	X	X	X
Group work	X				X		X	X		X
Use of audio or visual aid		X		X	X				X	X
Oral reading		X	X		X		X			
Oral report or presentation	X						X	X		X
Use of handout or worksheet				X	X			X		X
Project		X	X					X		
Games or team competition							X	X		
Independent reading	X								X	
Theatrical performance						X		X		
Marking or glossing the text				X						
Notebook check				X						
Quiz				X						
Reading assignment		X								
Role playing					X					

Note. Teachers' reported preferred instructional strategies and activities are listed in the order of frequency.

Teachers also identified writing experiences as an important strategy, and the types of writing activities and their purposes varied among the teachers. The teachers indicated that their writing assignments were a direct outgrowth of the literature, and more than half of the teachers discussed assignments with an efferent orientation. As one teacher stated, "When it comes to writing, they [the students] have to have something to write about so this [the literature] gives us topics." These teachers asked their students to engage in a variety of efferent writing activities such as character analyses, thematic interpretations, poetry explications, and essay examinations.

Several teachers described offering writing assignments to their students that had an efferent orientation on some occasions and an aesthetic orientation on other occasions. Uniquely, one teacher expressed an intention of integrating both aesthetic and efferent considerations at the same time in her writing assignments. For example, this teacher asked her students to respond personally to a newspaper article and write an "emotional, descriptive essay" exploring the conflicts between concerned parents and rebellious children while also meeting requirements related to imagery and syntax.

While mentioning their writing assignments with an aesthetic orientation, several teachers offered elaboration regarding these assignments. For example, one teacher described "a very private paper" assigned after a study of poetry in which she asked the students to "pick the one poem that spoke to them directly and tell . . . why [the poem appealed to them]" because she said that "it is important for students to realize that literature can affect them personally." Some teachers designed their writing

assignments, which ranged from informal journal responses to formal essays, to engender personal responses to prose and poetry selections related to adolescent interests such as contemporary heroes and love relationships. Two teachers indicated that, like themselves, their students were more comfortable expressing their personal feelings through writing rather than orally in class discussion. One of these teachers stated that the students "will be honest, more honest, on a piece of paper than they would [be] out in the class discussion. So, through their writing exercises they're able to say, 'Oh, I didn't like this. I did like this.' "

The teachers expressed contrasting views regarding the strategy Group Work. Five of the teachers applauded group work as an effective strategy; however, four of the five teachers who did not identify group work as a preferred strategy offered specific opinions of its ineffectiveness. Some of the more favorable comments associated with group work were exemplified by the following teacher comment, "They [the students] can have a good time in group work . . . they love to do that--analyze and parallel with literature and with life in group work." The teachers who expressed unfavorable comments about group work elaborated upon their concerns indicating that it was too noisy and distracting, that the students did not have the maturity to work in groups, and that the students did not maximize their learning in groups (see Table 17). Nevertheless, it is interesting to note that one teacher, who criticized group work, commented during the interview that she had students work in pairs when creating visuals such as mobiles or posters to depict characters in a literary

Table 17

Teacher Comments about Group Work

Group Work Comments
"I used to love group work and I don't anymore . . . I can't get them [the students] to understand what talking in a quieter voice is. . . . if you've got even 30 in a room and you've got 5 to a group . . . the volume is just unbearable . . . I just don't believe you can learn anything like that."
". . . there's *so much* [italics added] now on group work and differentiated learning styles and that sort of thing. . . . I know that our language arts consultant *really* [italics added] has stressed with all of us to have more than one book being read in the class at once . . . and the students develop the discussion [in groups] . . . which sounds marvelous, but it doesn't sound very productive to me. . . . I still don't believe that the students have the tools yet, the maturity yet, to be able to do some of what needs to be done in the discussion situation [in groups]."
"Cooperative learning--there is a lot of time wasted . . . my classroom isn't very large and if I have 30 students in a class and I have to get them in their little groups and the noise level and what they do--it doesn't work for my personality. I'm better with working with the whole class."
"I know groups are a big deal but--and I did groups as a student teacher--and I think groups are better--[a] much better tool actually at the junior high level, the middle school level . . . I found that at this [high school] level we get off track because the intellectual level that I'm seeking for my classes does--I don't think ever happens in a group. . . . I tried it [group work] and the results were unsatisfactory."

Note. Comments came from the four teachers who stated that group work was an ineffective strategy.

work; and she employed group work at the end of the literature lesson observed for this study.

Half the teachers identified the Use of Audio or Visual Aid as a preferred strategy. These teachers discussed using a host of audio and visual aids ranging from films, videos, and the television to records, audiotapes, and the internet as strategies to enhance instruction. They indicated that these aids not only reinforced understanding of the literature, but also helped motivate student interest.

The teachers mentioned 12 other preferred strategies and activities. Each of these had special interest to fewer teachers, and most of these were intended to facilitate an efferent understanding of literary texts. A few teachers identified preferred strategies and activities such as (a) Games or Team Competition and (b) Theatrical Performance to inspire their students' enthusiasm and enjoyment for the literature via more creative experiences; however, the ultimate objective was the understanding and acquiring of efferent information. For instance, one teacher described in detail a game she created based on the novel Ender's Game in which the students reinforced the learning of efferent information by dividing into platoons and battling to see who could find the greatest number of examples of figurative language in the novel such as similes and metaphors. One example of an exception that included an aesthetic, rather than an efferent, emphasis was a "Keepsake Project" used by two teachers when they studied the novel Cold Sassy Tree. Students interviewed their oldest living relative, most often a grandparent, to promote personal understanding and connections between

generations. One of these teachers revealed that a student had interviewed and tape-recorded for the project his grandfather who died shortly thereafter. The student's mother expressed gratitude for the project because it truly provided a keepsake for the family and became part of the eulogy offered at the grandfather's funeral.

Influences Affecting Preferred Strategies and Activities

In addition to identifying their preferred instructional strategies and activities, teachers were also asked what influences affected their preferences and how they acquired their knowledge about these approaches (see Appendix H, section II, 3; III). Table 18 reveals that the largest number of teachers identified two sources of knowledge: (a) Learning from Colleagues and (b) Teacher's Creativity and Imagination. The four teachers mentioning the influence of colleagues complimented the conferences they had attended, their English departments, and the sharing among teachers. One teacher reflected this viewpoint when she stated, "When I get to sit around with a bunch of teachers for a long period of time and just talk--I mean, your brain just starts clickin' and workin' . . . collaboration with other teachers does a lot. It really . . . does." Four teachers mentioned their own creativity and imagination as sources influencing their preferred pedagogical approaches. These teachers noted that creating and developing instructional strategies and activities were time-consuming tasks that often occurred outside of the school setting. When asked where she gets her best ideas for teaching strategies and activities, one teacher said, "In bed at night when

I can't sleep." Another teacher commented that she was continually thinking about ideas for her teaching and stated, "I never, I never do the dishes. I never cook a meal. . . . My husband takes care of all that. My marriage is basically to school, to my teaching. It really is."

Table 18

Teacher Reported Influences Affecting Preferred Instructional Strategies and Activities

Influences	T1	T2	T3	T4	T5	T6	T7	T8	T9	T10[a]
Learning from colleagues			X		X	X	X			--
Teacher's creativity and imagination	X						X	X	X	--
Experiences as a teacher		X		X	X					--
Advanced Placement (AP) training	X						X			--
Experiences as a learner			X						X	--
Teacher's personality		X		X						--
Personal philosophy	X									--

Note. Teachers' reported influences are listed in the order of frequency.

[a] During the interview, Teacher 10 did not discuss influences affecting the teacher's preferred instructional strategies and activities.

The remaining influences affecting the teachers' preferred instructional strategies and activities each included three or fewer teachers. The three teachers who identified their own teaching experiences as a meaningful source of their knowledge

commented on the importance of "trial and error." One teacher said that she had learned the most "through experience and I mean many, many hard . . . lessons . . . and my falling on my face." The two teachers identifying their AP English training as a source for effective strategies and activities indicated that they transferred and adapted this knowledge to their regular classes. Two teachers indicated that their experiences as students helped to shape their teaching approaches, and two teachers stated that their personalities influenced their strategies and activities. One teacher specified that an important influence on her preferred instructional approaches was her personal philosophy:

> . . . [I want to teach] what I myself would love to know if I didn't know. What I would love for my own two children to know if they needed to know and, thereby, by the same token because my students are my children. And the most important thing is that literature touches, it reaches, it's a result of the spiritual. . . . And I tell my students we're all in a spiritual journey throughout life and that's part of learning. See, we learn. And we improve and we perfect--psychologically, emotionally, and spiritually--and that's where I'm coming from when teaching literature and that's why it has to be relevant for me to spend my time on it.

Priorities When Teaching Literature

To gain a more precise understanding of what the teachers considered to be most important when teaching literature to high school students, the teachers were asked to discuss five areas that reflected various dimensions of literature study: (a) Efferent, (b) Aesthetic, (c) Critical Thinking, (d) Literacy Skills, and (e) Artistic

Appreciation dimensions (see Appendix H, section II, 2). Teachers commented on each of these areas by telling whether these were a high, moderate, or low priority in their teaching and by elaborating upon their reasoning; on occasion a teacher would combine priorities such as high/moderate or moderate/low (see Table 19). As noted at the beginning of this section regarding the interview findings, throughout the interviews the terms aesthetic and efferent were not used. Instead, synonymous words and phrases were employed when alluding to these concepts so that the teachers were not prompted or influenced regarding their answers to the interview questions. However, this section refers to the terms aesthetic and efferent to facilitate a clear and efficient rendering of the data related to the research question.

In this section, data regarding the five dimensions of literature study discussed during the interviews are presented in detail; however, the following information offers an overview of the findings (see Table 19). Teachers generally reported the Aesthetic dimension of literature study to be a higher priority than the Efferent dimension. In fact, the Aesthetic and Literacy Skills dimensions received seven high priority rankings, the largest number among the 10 teachers. The Critical Thinking dimension received five high priority rankings; the Efferent dimension received four, and the Artistic Appreciation dimension was ranked a high priority by only two teachers.

Table 19

Teacher Reported Priorities for Teaching Literature

Dimension	T1	T2	T3	T4	T5	T6	T7	T8	T9	T10
Efferent Dimension:										
Analyzing literature; Knowing literary terms, works, authors, eras	High	High	High	Low	Moderate	High/ Moderate	High	Moderate	Low	Moderate
Aesthetic Dimension:										
Connecting with literature personally and emotionally; Learning about self and others; Identifying with characters and themes	High	Low	High/ Moderate	High	High	High	High	High	Moderate	High
Critical Thinking Dimension:										
Developing critical thinking through literature	High	High	High/ Moderate	High/ Moderate	High/ Moderate	Moderate	High/ Moderate	High	High	High
Literacy Skills Dimension:										
Developing reading, writing, speaking, and listening skills through literature	High	Low	High/ Moderate	High	Moderate	High	High	High	High	High

Table 19 (continued)

Dimension	T1	T2	T3	T4	T5	T6	T7	T8	T9	T10
Artistic Appreciation Dimension:										
Appreciating literature as art; Developing imagination, creativity, and artistic judgment	Moderate	Low	High	Moderate/ Low	Moderate	Moderate	Moderate	Moderate	Moderate	High

Efferent Dimension

The Efferent dimension included a discussion of the importance of analyzing literature (e.g., plot, theme, characters, setting); knowing and identifying literary terms (e.g., satire, metaphors, similes, imagery); and being familiar with literary works, authors, and eras. Five teachers designated this dimension a high or high/moderate priority with three teachers ranking it a moderate priority and two teachers ranking it a low priority (see Table 19).

More than half of the eight teachers who designated the Efferent dimension a high, high/moderate, or moderate priority gave two main reasons for their rankings. First, a majority of the teachers stated that being able to analyze literature and knowing and identifying literary terms were fundamental requisites of comprehending literature. In fact, two teachers referred to these efferent aspects of literary study as essential "tools" that unlock meaning in the text. Referring to literary analysis and literary terms, one teacher explained:

> Plot, theme, characters, symbolism, meta[phors]--all this figurative language and literary terms--is the first thing we do at the beginning of the year because I think they're basic tools that they [the students] have to have when reading. Not just--not really when reading but when we're discussing--when we go back and pick it [the literature] apart.

Second, at least four teachers noted that engaging in literary analysis and knowing literary works, authors, and eras were essential to ensure an educated populace and to facilitate future academic success for their students. Commenting on the positive influence of literary analysis on her students' education, one teacher stated:

> And, I always think--we're trying to develop educated people, and there are just certain things that I believe individuals should know in order to be considered educated. And, some of those are at least the ability to talk somewhat intelligently about literature; and in order to do that you, of course, are going to have some literary analysis in there.

Additionally, when discussing the value of knowing literary eras and the benefits to the students' accomplishments beyond high school, one teacher commented:

> For the student who is planning to go on to the university to get a higher education . . . literary periods--the more they can remember [about literary periods] I think the more important that is because they can pick up a work later on and they can place it into a given period.

In a lighter vein, another teacher mentioned that familiarity with the Efferent dimension may prove beneficial to students when they are adults socializing "at a cocktail party [because] they'll at least know the names of some of these people [authors and characters]." Table 20 offers additional comments from teachers who designated the Efferent dimension a high or high/moderate priority.

Two teachers, who classified the Efferent dimension a low priority, each offered different reasons for their rankings. One of these teachers stated that the priorities for her regular students were their connecting personally with the literature and their developing literacy skills, rather than studying the efferent aspects of literature which she considered the "easiest things to learn because . . . [they merely involve] memorization." The other teacher, who ranked this dimension the "lowest of the low," stated that studying literary terms, other than metaphor and simile, was

"a significant road block" to the study of literature and that the Efferent dimension did not foster critical thinking, which was a more important consideration.

Table 20

Teacher Reported Efferent Dimension Statements

Efferent Dimension Statements
"Number one, analyzing the literature--that's the top priority. Plot--what is happening. Theme--what is the main idea. If they can't understand what is going on and what the main idea is, then they're not going to gain anything from literature. That's basic. . . . they must know this. They must be able to do that."
"I think that [the Efferent dimension of literature study] is a priority because with my regular kids those are real basic things . . . I think that they *have* [italics added] to know those things . . . I spend lots of time on literary terms and techniques. In fact, we do a whole unit on it; and then we also, of course, do it every time we read anything."
"I would definitely give that [learning literary terms] high priority. We spend . . . a great deal of first semester reading various short stories and learning the different literary terms . . . irony, dramatic irony, verbal [irony], characterization, the different types of characters--flat, round, static. And, we read the short stories . . . to gain an understanding of what those terms mean."
"I have a lot of my kids ask me sometimes, 'Don't you know this is not a history class?' Because I just think knowing the era--like when we read The Crucible--if they didn't know anything about that time period, then the book is obsolete. . . . they have to know the background information--same with Gatsby. . . . we spent [a] long time . . . doing all of the background information . . . on the 1920s."

Note. Statements came from four different teachers who ranked the Efferent dimension either a high or high/moderate priority.

Aesthetic Dimension

The Aesthetic dimension included a discussion of the students' connecting with the literature personally and emotionally; learning about themselves and others through literature; and identifying personally with the characters, themes, or messages of the literature. Eight teachers designated this dimension a high or high/moderate priority with one teacher ranking it a moderate priority and one teacher ranking it a low priority. Notably, the Aesthetic dimension, along with the Literacy Skills dimension, was ranked a high priority by the largest number of teachers (see Table 19).

The nine teachers who designated the Aesthetic dimension a high, high/moderate, or moderate priority offered several reasons for their rankings. Most of these teachers indicated that the study of literature was intended to develop students' insight into their own lives by empathizing with universal literary themes and characters. One teacher reflected this point of view when she stated:

> I think especially for high school students that [the Aesthetic dimension] is a high priority because they [the students] are in that time of their lives where they're figuring out who they are and they don't have to learn everything the hard way . . . they can use literature to give them some insight, to give them some breadth. Some of them actually lead really rather narrow lives and it seems increasingly so. . . . through literature they can broaden their outlook [of the world].

A majority of the teachers indicated that literature provided a vicarious vehicle which aided the students in increasing their humanity and their maturity. Affirming this reasoning, one teacher remarked:

> I think they [the students] need to realize . . . [that] reading literature is an opportunity . . . for them to find connections with others in the world and for that piece to talk to them. I tell my students all the time--you don't have to experience your home burning down in order to have empathy for people whose homes do burn. And we live things, sometimes in literature, vicariously and that we can see--take something, an event from a story that we read 10 years ago and remember how a character reacted in that story. We might be able to know how to react ourselves in a situation.

Over half the teachers indicated that studying literature enabled students to learn from fictional characters with whom they shared common life experiences. In addition, these teachers suggested that the literature and its characters offered students opportunities for exploring moral dilemmas and decisions that provided enlightening discoveries and personal insights. One teacher offered an illustration of this type of opportunity:

> . . . at the end of The Crucible . . . John [Proctor] gets put in front of the court and he has to make a choice whether to lie to save his life or to die with his dignity. After we've read that, they do a journal [response] . . . [when] they [are] asked to write about a situation where they had to follow their ideals and their principles yet lose--maybe lose a friend over it or lose a following or popularity status or something like that. And they write about tough situations that they may have been in, in that same kind of forum . . . having to make a difficult choice of--"Do I stick to my guns or do I lie and take the easy way out?"

In fact, two teachers specifically expressed that during the study of literature they occasionally played a parental role while guiding their students about virtues and values and necessary lessons about life. One teacher reflected this perspective by stating that the Aesthetic dimension is the

> top priority of all. . . . because in our world today too many parents are not taking responsibility for teaching values. Where are they [the students] going to ever learn values? . . . Where will some of these young 17, 18-year-olds ever hear this unless they hear it from me?. . . with the literature--with the English.

At least half the teachers indicated that they also had an ulterior motive for engaging in this dimension of literature study. These teachers stated that relevant, thought-provoking literature provided a personal, emotional attraction that created a catalyst or lure which ultimately made the study of the other four dimensions more palatable to the students. The following teacher's statement affirmed this point of view:

> I really think it [the Aesthetic dimension] is important because . . . if their [the students'] emotions are not involved in it [the literature], they disconnect, and they go elsewhere. I can tell. Their body is here, but I've lost all the important part of them. And, so, I appeal to their emotions. I choose works that I think will reach out and hook them, but that's still not the primary [priority] . . . I'm using it [the literature] . . . as something that I think . . . can grab them because I like to get their attention, get them involved in something; but what I really want is one of the other things [the Critical Thinking dimension of literature study].

Table 21 offers additional comments from teachers who designated the Aesthetic dimension a high priority.

Table 21

Teacher Reported Aesthetic Dimension Statements

Aesthetic Dimension Statements
"If I have the time, I teach Hamlet . . . because it is a work with which I think they can connect. The main character is more or less their age. He has some problems that they are undergoing . . . with the stepfather he doesn't like. He has problems in his love life which they have. And, they get a better emotional response. And once I can capture them emotionally, then the rest of it tends to fall into place."
"Macbeth--great place . . . to talk about guilt and . . . what guilt does to you. . . . and some of them would share--and we talked about the sleepwalking . . . because of the guilt and they related experiences of their own as far as the sleepwalking and . . . how that [guilt] affects your--not just your sleep but . . . your life--how you have to deal with that guilt."
". . . we talk about [power and corruption] . . . in Julius Caesar . . . [and] we [also] talk about Animal Farm and how power was corrupt and how . . . absolute power corrupts absolutely. . . . and . . . we talk about current day. . . . the things that are going on with President Clinton [and his scandals]. . . . So, we try . . . to keep them up-to-date to see how it affects them and they always want to know why they have to do this. And, I say, 'Well, because these topics are what's going on in the world today. How does this affect you? I mean, there's corruption in the world today. Look at it.' So, hopefully, I can connect and make it important to them. . . ."

Note. Statements came from three different teachers who ranked the Aesthetic dimension a high priority.

Only one teacher ranked this dimension a low priority. Instead, she valued the Efferent and Critical Thinking dimensions more highly and indicated that students

lacked the maturity to relate effectively with the Aesthetic dimension. Regarding the students in her senior English class, she remarked:

> Now as far as the personal and the emotional response to it [literature], [this] is not a real priority for me mainly because my kids overall are not ready to do that. They're not--I am trying to not use the word "mature" but that is what it is really. They're not emotionally mature enough yet to . . . [engage in the Aesthetic dimension of literary study]. . . . It seems silly sometimes what they do. You know, if I ask them to write something and apply it to their own life, they don't get the point of that.

Critical Thinking Dimension

The teachers also were asked to comment on the Critical Thinking dimension in which the students had the opportunity to develop their cognitive ability. Unlike the other four dimensions, no teacher designated this dimension a low priority. Nine teachers ranked it a high or high/moderate priority, and one teacher ranked it a moderate priority (see Table 19). Throughout the discussion, most of the teachers commented on the Critical Thinking dimension as a separate entity without explicitly indicating that it had any relationship to the other four dimensions. The only exceptions were a few brief and oblique references either to literary analysis (the Efferent dimension) or to personal responses to literature (the Aesthetic dimension) and a comment from one teacher who acknowledged that the five dimensions being ranked were interrelated and inseparable.

Interestingly, several teachers defined the concept of critical thinking in various ways. One teacher stated that critical thinking entailed having the students draw

conclusions and make inferences, and one teacher concurred that students needed to "read between the lines and infer information that isn't really written down." However, another teacher defined critical thinking as "looking at a piece of literature and going through it and . . . tearing it to pieces . . . going through every single angle . . . [an] in-depth analysis of the work." This teacher ranked critical thinking a moderate priority, which was lower than the rankings of any of the other teachers. She stated that critical thinking--which she considered to be "detailed, deep analysis"--was too difficult, intense, and demanding for her students because she did not think that her "sophomores can last that long." One teacher acknowledged the importance of critical thinking and ranked it a high priority; nevertheless, she expressed difficulty in defining the concept other than acknowledging that it embraced more than the study of literature.

The teachers also offered diverse reasons for valuing the Critical Thinking dimension. For example, one teacher mentioned that the study of literature developed her students' discernment and improved their judgment while another teacher maintained that critical thinking "just happens" and is a natural, inherent, expected outcome of studying literature. One teacher emphasized that critical thinking enhanced the students' problem-solving skills and their abilities "to evaluate situations . . . in order to succeed in any endeavor" and that her students seemed surprised that problem-solving was as much a part of her English class as it was in their math and science classes.

Two teachers noted the difficulty their students experienced when engaging in critical thinking. One teacher commented that thinking critically about literature was "very painful" for her students because they expected to be given information and that they were "accustomed . . . [to] spoon feeding." However, she went on to say that the "great news is--if . . . [you] can hold out, they come up with great ideas." Another teacher complemented this line of thinking when stating that in regular classes only the "refugees" from AP English had the confidence to think critically while the other students did not "trust . . . their own thinking." This teacher was especially committed to developing critical thinking in all students and considered this dimension to be the quintessence of teaching and learning. In fact, the teacher stated the belief that the other four dimensions were subordinate to the Critical Thinking dimension, even the Literacy Skills dimension which the teacher designated a high priority also. This teacher promoted the "habit of thinking," expected students to "interact intellectually with the material," and wanted students to experience the "beautiful sound of thinking" and the "intellectual magic" it created.

Literacy Skills Dimension

While commenting on the Literacy Skills dimension, the teachers discussed developing and improving their students' reading, writing, listening, and speaking skills. Eight teachers designated this dimension a high or high/moderate priority with one teacher ranking it a moderate priority and one teacher ranking it a low priority

(see Table 19). Throughout the discussion, the teachers commented on general literacy topics rather than specific literacy skills. One teacher's statement about reading and writing illustrated this point:

> How can it not be [a priority]? . . . The more you read, the better you'll read, the better you'll write, the better you'll think. I mean--it's the most powerful tool we have as human beings as far as I can see.

The nine teachers who ranked Literacy Skills a high, high/moderate, or moderate priority primarily talked about the importance of reading and writing skills and emphasized the necessity of having more reading and writing opportunities for their students. They described similar literacy experiences and assignments for all of their students rather than discussing the individual needs of their students or specialized instructional plans for improving specific skills. One teacher offered an exception when she described administering the Nelson-Denny Reading Comprehension Test to determine reading levels which she shared privately with her students to help them make appropriate choices for their independent reading. Two teachers elaborated upon their independent reading requirements, which involved the students reading books of their choice throughout the year and then reporting on them via a variety of writing opportunities. One teacher indicated that each Friday was designated a "silent, sustained reading" day that helped to build the "intellectual stamina" in the students which the teacher found lacking. Also, a few teachers mentioned the benefits of having students read orally in class. When asked about developing vocabulary, a few teachers commented that it was promoted via class

discussion or vocabulary lists associated with the literature or by using vocabulary skill books with the entire class.

Regarding listening and speaking skills, the teachers simply indicated without elaboration that students improve their listening and speaking skills when they are involved in everyday classroom experiences such as engaging in discussions and giving oral reports. One teacher recommended that all high school students take a speech course.

Focusing more on reading and writing skills than listening and speaking skills, a few teachers commented on their students' deficiencies. One teacher stated regarding reading, "I think sometimes the reason these kids don't understand [the literature] is they really don't read very well. They roll their eyeballs across the words but they don't stop [and comprehend what they have read]." And, another teacher stated regarding writing:

> I don't have a lot of really good writers, and I don't even know exactly why. . . . When I ask them to explain . . . in writing [their thinking] about literature, they're lost. And I'm just not sure where the breakdown is . . . [but] they can't get it from here (the teacher points to her head) to the paper. Maybe just not enough practice.

At least three teachers noted the separation, rather than the integration, of various aspects of literacy. For example, two teachers stated that different types of writing experiences were assigned to different semesters. Regarding this issue, one teacher remarked, "Unfortunately, we've done . . . several pieces of writing this year, but a lot of them have been geared toward a specific way of writing. It hasn't been

creative writing. We save creative writing until the end of the school year." In addition, another teacher commented:

> . . . we do more structured [writing] first semester with [the] research paper and all of that--work our way up to being able to write a full paper. And, then, after Winter Break, then we move into the fiction writing which I think is just as important. I really do tap into that creative side of them.

One teacher stated that literature, reading, and writing were independent entities that required instruction separately. This teacher stated that during the school year these independent literacy components eventually link together instinctively in the students' thinking without the teacher overtly instructing the students regarding their relationship or integration. The teacher explained this point of view:

> I split literature and reading and writing up because their skills need so much development, and I think it's too complicated, too difficult for them, to improve if I'm doing it all under the umbrella of literature. . . . I coach [teach] directly for literature and literature, reading and reading, and writing and writing. I keep those separate in my coaching and then they start to cross over . . . through the year but also in their [the students'] minds. . . . I don't think I can force that connection. . . . at some point it [the connection among literature, reading, and writing] is internalized. . . . it naturally carries over.

Artistic Appreciation Dimension

The Artistic Appreciation dimension was the fifth and final dimension considered by the teachers; and they talked about appreciating literature as a work of art that develops imagination, creativity, and judgment in their students. Two teachers designated this dimension a high priority; seven teachers ranked it a moderate or

moderate/low priority, and one teacher ranked it a low priority (see Table 19). Compared to the other four dimensions, the teachers offered fewer comments about the Artistic Appreciation dimension than any other dimension. One teacher, who designated this a moderate priority, commented on her ranking and her reluctance to discuss this area:

> I think especially if you're a creative person, it's very important. I don't think I'm particularly creative, which is probably why I don't have that much to say about it. But I think that if you're a creative person that . . . [artistic appreciation] is definitely a higher level aspect and it makes you look at something as a whole, which is another higher level skill.

A few teachers indicated that this dimension would be an inevitable outcome of their students' prior learning. For example, one teacher stated, "I think this . . . [artistic appreciation] will fall into place after they [the students] get their basics." A few teachers also affirmed that their own enthusiasm and love for literature would engender artistic appreciation in their students. The following teacher's statement exemplified this point of view:

> . . . the only way . . . that I really deal with that [artistic appreciation] is out of sharing my love for these things and how beautiful [they are]. If I read to them and I say, "Isn't that wonderful?". . . It is through my own appreciation of it [the literature] as a beautiful . . . piece of art.

A few teachers were more specific and noted that they developed the Artistic Appreciation dimension by bringing into the classroom paintings, music, and audio-visual aids that complemented the literature. One teacher stated:

> . . . we do talk about the beauty of the work and everything like that. . . . and . . . we always have a piece of music that goes with every book that we read. . . . I try to . . . share some kind of video or whole movie that goes with what we've been reading.

And, another teacher commented on the integration of artistic experiences:

> . . . [we talk about] Picasso . . . the flappers and . . . the dress [in the 1920s] . . . I like to remind them that the world is not compartmentalized and that it's all together and you can't really understand literature if you don't understand art, if you don't see it and how it's all brought together . . . and that's why I mention television or movies . . . literature . . . [is] the vehicle to hook them into these other things . . . [literature] causes them to be more critically aware of the other things [in the world].

Understanding of Transactional Reading Theory and Reader Response

The teachers were asked to comment on transactional reading theory and reader response theory in order to gain a clearer understanding of the teachers' background and knowledge in these related areas (see Appendix H; section IV, 1, 2, 3, 4). Table 22 reveals that the teachers had either minimal or no understanding of these concepts.

First, the teachers were asked if they were familiar with Louise Rosenblatt and her transactional reading theory. Six teachers indicated that they had no recognition of her name or her reading theory. Of the four teachers who indicated familiarity with Rosenblatt and her work, three teachers stated that they had heard her name but that they had no other knowledge of her or her work. One teacher went beyond name

Table 22

Teacher Reported Understanding of Rosenblatt's Transactional Reading Theory and Reader Response

	T1	T2	T3	T4	T5	T6	T7	T8	T9	T10
Understanding of Rosenblatt's transactional reading theory	Minimal	None	Minimal	Minimal	None	Minimal	None	None	None	None
Understanding of the terms efferent and aesthetic	Minimal	None	None	None	None	Minimal	None	None	None	None
Understanding of the term reader response	Minimal	Minimal	Minimal	Minimal	Minimal	None	Minimal	Minimal	Minimal	Minimal

Note. "None" indicates no awareness of, acquaintance with, or understanding of the term or concept. "Minimal" indicates limited awareness of, or acquaintance with, the term or concept without understanding of the meaning of the term or concept.

recognition and stated, "Her book is on my shelf at home and I've scanned it quickly--some of it, but I haven't really studied it but I need to."

Second, the teachers were asked if they were familiar with the terms aesthetic and efferent within the context of reading theory. Eight teachers stated that they had no knowledge of the terms. Two teachers indicated that they had heard the terms but that they did not know what they meant.

Finally, the teachers were asked if they were familiar with the term reader response. One teacher had no recognition of the term; nine teachers indicated minimal awareness of the term. Although a few teachers mentioned journal writing being associated with reader response, none of the teachers offered a clear or definitive understanding of the term. Instead, they speculated on an explanation based on the meaning conveyed by the term itself. For example, one teacher said, "I can guess what it [reader response] means . . . I would think that you would read something, a piece of--a paragraph or just an excerpt from something--and then you would respond to it either through writing or orally." In another instance, one teacher commented:

> I would assume I know what you're talking about, but I don't remember reading an article on reader response theory or anything like that. But, I would assume that it is the action and reaction of reading; and I could be way off base so I should probably stop there but I don't [have a clear understanding of the term].

Comparison of Aesthetic and Efferent Observed Stances and Reported Priorities

This section answers the third research question: How do high school English teachers' aesthetic and efferent pedagogical stances manifested in the classroom compare with their aesthetic and efferent pedagogical perspectives reported during in-depth interviews? The answer to this question was based on comparing data previously presented in parts one and two of this chapter relevant to the first two research questions respectively: (a) data regarding the frequency and percent of idea units placed in Aesthetic and Efferent categories related to teacher oral communication during literature lessons (see Table 9) were compared with (b) data regarding the priorities associated with the Aesthetic and Efferent dimensions of literature study reported during interviews (see Table 19).

Data from classroom observation and interview transcripts clearly showed a substantial contrast between the teachers' aesthetic and efferent stances manifested in the classroom and their aesthetic and efferent perspectives reported during interviews. Notably, the most distinct disparity occurred within the aesthetic findings. Data in Table 23 show that all 10 teachers manifested in the classroom a low percentage of idea units in the Aesthetic category. In contrast, however, during interviews a substantial number of seven teachers ranked the Aesthetic dimension of literature study a high priority with one teacher ranking it as a high/moderate priority and one teacher

Table 23

Comparison of Teacher Observed Aesthetic Stances and Reported Aesthetic Perspectives

	Aesthetic Stance	Aesthetic Perspective
	Classroom Oral Communication[a] (% of Aesthetic Idea Units)	Interview Reported Priority[b]
Teacher 1	Low (21.77%)	High
Teacher 2	Low (5.57%)	Low
Teacher 3	Low (16.44%)	High/Moderate
Teacher 4	Low (2.31%)	High
Teacher 5	Low (3.10%)	High
Teacher 6	Low (0.0%)	High
Teacher 7	Low (5.81%)	High
Teacher 8	Low (8.22%)	High
Teacher 9	Low (0.0%)	Moderate
Teacher 10	Low (14.28%)	High

[a] The teachers' aesthetic stances reveal the teachers' oral communication during classroom observations and are designated as "low," "moderate," or "high" dependent upon the percentage of idea units placed in the Aesthetic category. The Aesthetic category was designated "low" if the percentage of idea units ranged between 0% and 25%, "moderate" if the percentage ranged between 26% and 49%, and "high" if the percentage ranged between 50% and 100%. (See also Table 9.)

[b] The teachers' aesthetic perspectives reflected reported priorities during interviews and the teachers' indicating a "low," "moderate," or "high" priority or a combination thereof to the Aesthetic dimension of teaching literature. (See also Table 19.)

ranking it a moderate priority. Only Teacher 2 manifested in the classroom a low percentage of idea units in the Aesthetic category and also reported that the Aesthetic dimension was a low priority in her teaching of literature. Also, it is noteworthy that Teachers 6 and 9 had no idea units allocated to the Aesthetic category during their literature lessons; nevertheless, they ranked the Aesthetic dimension a high and a moderate priority respectively during their interviews.

The contrast between the teachers' efferent stances manifested in the classroom and their reported priorities during interviews are substantial (see Table 24), albeit data do not reveal as substantial a difference as with the aesthetic findings. Nine teachers manifested in the classroom a high percentage of idea units in the Efferent category. Of these nine teachers, three teachers ranked the Efferent dimension a high priority during interviews; one teacher ranked it a high/moderate priority, and three teachers ranked it a moderate priority. Two of these nine teachers manifesting a high efferent stance in the classroom showed a clear contrast by ranking and reporting the Efferent dimension a low priority. Only one teacher exhibited a moderate efferent stance in the classroom, and this teacher ranked the Efferent dimension a high priority during the interview.

Summary

Chapter IV reveals important findings regarding the aesthetic and efferent pedagogical stances and perspectives of high school English teachers during the study

Table 24

Comparison of Teacher Observed Efferent Stances and Reported Efferent Perspectives

	Efferent Stance	Efferent Perspective
	Classroom Oral Communication[a] (% of Efferent Idea Units)	Interview Reported Priority[b]
Teacher 1	Moderate (46.77%)	High
Teacher 2	High (52.36%)	High
Teacher 3	High (66.44%)	High
Teacher 4	High (52.02%)	Low
Teacher 5	High (67.35%)	Moderate
Teacher 6	High (67.05%)	High/Moderate
Teacher 7	High (66.27%)	High
Teacher 8	High (71.51%)	Moderate
Teacher 9	High (55.42%)	Low
Teacher 10	High (54.18%)	Moderate

[a] The teachers' efferent stances reveal the teachers' oral communication during classroom observations and are designated as "low," "moderate," or "high" dependent upon the percentage of idea units placed in the Efferent category. The Efferent category was designated "low" if the percentage of idea units ranged between 0% and 25%, "moderate" if the percentage ranged between 26% and 49%, and "high" if the percentage ranged between 50% and 100%. (See also Table 9.)

[b] The teachers' efferent perspectives reflected reported priorities during interviews and the teachers' indicating a "low," "moderate," or "high" priority or a combination thereof to the Efferent dimension of teaching literature. (See also Table 19.)

of literature. The teachers overwhelmingly manifested an efferent, rather than an aesthetic, stance reflecting primarily a traditional transmission model of instruction during classroom observations. When teachers exhibited an efferent stance, they most frequently referenced the plot, character, literary terms, and setting related to the literature. When teachers exhibited an aesthetic stance, they made personal connections by referencing either contemporary society or the literary work. Teachers generally reported the Aesthetic dimension of literature study to be a higher priority than the efferent dimension, and the teachers had minimal or no awareness of Rosenblatt's transactional reading theory and reader response. A contrast was apparent between the teachers' stances manifested in the classroom and their priorities reported during interviews. A distinct contradiction existed between the teachers' limited aesthetic oral communication in the classroom and their reporting the Aesthetic dimension a high priority during interviews.

CHAPTER V

SUMMARY, DISCUSSION, IMPLICATIONS, AND RECOMMENDATIONS

> The teaching of literature has suffered from failure to recognize that "the literary work" . . . is the evocation lived through by the reader-critic during the transaction with the text. . . . the "study of literature" has tended to hurry the student reader away from the evocation, to focus on efferent concerns . . . teaching is self-defeating if the students have had only a vague, hasty experience bordering on the efferent, and must rely mainly on the teacher's or critic's second-hand accounts of their experience.
>
> Curriculum and classroom methods should be evaluated in terms of whether they foster or impede an initial aesthetic transaction . . . Centered on the personal transaction, traditional concerns--validity of interpretation, criteria of evaluation, historical perspective--can then provide frameworks for thinking about literary works of art. (Rosenblatt, 1986, p. 126)

Summary

The theoretical framework of this study is Louise Rosenblatt's transactional reading theory, articulated in 1938 in the first of five editions of her seminal work Literature as Exploration (1995b), later explicated in The Reader, the Text, the Poem (1978), and elaborated upon in a prolific number of other presentations and publications throughout these past 60 years. Her transactional reading theory focuses on an active reader during an aesthetic literary experience that is affective, private, and individual. Rosenblatt contends that reading experiences also include a contrasting

efferent dimension that is public, impersonal, and intended to acquire objective information from a text. During reading events, students can assume both aesthetic and efferent stances that fluctuate on a continuum dependent upon the readers' attitudes or their purposes for reading. Through the years, Rosenblatt (1980, 1982, 1986) has been concerned that literature instruction promotes the preponderance and predominance of an efferent stance that neglects the importance of the reader and disregards the necessity of an aesthetic transaction during literary experiences. Indeed, other scholars (e.g., Anderson & Rubano, 1991; Applebee, 1989, 1993; Cox & Many, 1992b; Langer, 1992b, 1995; Purves, 1993) in the field of reader response have shared a similar concern.

Numerous reader response theorists and researchers (e.g., R. Beach, 1993; Bleich, 1975; Hickman, 1979, 1984; Probst, 1981, 1992; Purves, 1990, 1993; Squire, 1964, 1985) have been influenced by Rosenblatt's transactional reading theory throughout these past decades. Research (e.g., Many et al., 1995; Peters, 1992; Wiseman & Many, 1992) at the elementary through the college levels has indicated that the teachers' aesthetic or efferent stances influence the respective stances of their students. And, research (e.g., Ash, 1994; Gaskins, 1996; Jetton, 1994; Many, 1991, 1992; Newell, 1996) related to the reading of both fiction and non-fiction has revealed advantages at all levels of instruction for students involved in literary transactions while assuming a personal, aesthetic stance rather than primarily, or exclusively, an objective analytical stance.

Purpose of the Study

The purpose of this study was to explore the aesthetic and efferent pedagogical stances and perspectives of high school English teachers during the study of literature. The study was guided by three questions:

1. What aesthetic and efferent pedagogical stances do high school English teachers manifest in the classroom during the study of literature?

2. What aesthetic and efferent pedagogical perspectives regarding the study of literature do high school English teachers report during in-depth interviews?

3. How do high school English teachers' aesthetic and efferent pedagogical stances manifested in the classroom compare with their aesthetic and efferent pedagogical perspectives reported during in-depth interviews?

Design and Procedures

As Rosenblatt (1985, 1988) has suggested, transactional reading theory is especially suited to qualitative research. The purpose of this study necessitated conducting a qualitative study (Bogdan & Biklen, 1998; Creswell, 1994; Patton, 1990) in the authentic context of the classroom while listening to the voices of the teachers during literature lessons and during in-depth interviews.

Based on the pilot study conducted in July 1999, the original research questions and the qualitative design of the study were amended to accommodate realistically the

available resources. The following two major changes occurred based on the pilot study. (a) The questions and design focused on the teachers rather than on both the teachers and the students, and (b) the number of primary data sources were reduced from four to two sources: classroom observation transcripts and in-depth interview transcripts. Instructional artifacts and the researcher's journal became secondary sources providing background and corroboration of the primary sources.

This research was conducted during the spring semester of the 1999-2000 school year in four high schools in a large public school district in Texas. Ten experienced high school English teachers recommended by their building principals voluntarily participated in the study. At a time specified by each teacher, a classroom observation was conducted for approximately 50 minutes in a regular English class during a literature lesson. Throughout each observation, the researcher assumed the role of " 'spectator' " involved in "passive participation" (Spradley, 1980, p. 59) while taking copious, detailed field notes before, during, and after each lesson. Although the focus of the study was on the teachers' oral communication, both teacher and student comments and questions were quoted and subsequently transcribed verbatim by the researcher. As soon as possible after each classroom observation, an audiotaped "semistructured" (Kvale, 1996, p. 27) interview was held with each teacher for approximately 50 minutes and then transcribed verbatim by the researcher. Instructional artifacts provided by the teachers were collected such as handouts, study

guides, worksheets, and quizzes. Throughout the data collection process, extensive notes, memos, and reflections were written and placed in the researcher's journal.

Classroom observation transcripts, one of the primary data sources, provided data related to the first research question regarding the aesthetic and efferent pedagogical stances manifested by the teachers in the classroom and centered on the teachers' oral communication. The unit of analysis, the idea unit, was defined; and recursive, repeated analyses of the observation transcripts and the teachers' comments and questions rendered the identification of idea units and the emergence of eight categories: Administrative, Aesthetic, Complimentary, Disciplinary, Efferent, Other, Not Clear, and Teacher Reading. Because this study focused on the aesthetic and efferent stances of the teachers, two of the eight categories were selected for further analysis: the Aesthetic and the Efferent categories. Consequently, the idea units allocated within these two categories were subjected to further scrutiny and placed into sub-categories that emerged from the data. Two sub-categories were identified within the Aesthetic category--Personal Connection: Contemporary Society and Personal Connection: Literary Work. Ten sub-categories were identified within the Efferent category--Author, Literary Work, Character, Plot, Setting, Symbol, Theme, Other Literary Term, Reading Skill, and Writing Skill.

Codes and detailed definitions, examples, and explanations were developed for the 8 categories and the 12 sub-categories which guided the identification of idea units and their allocations within respective categories and sub-categories. Then, aggregated

and individual analyses of the teachers' oral communication provided the frequency of idea units placed in categories and sub-categories; and tables depicting the data were developed. Independent inter-rater analyses of two teacher transcript excerpts rendered agreement of .91 or higher for identification of idea units and for coding and allocation of idea units within categories and sub-categories.

Interview transcripts, the other primary data source, provided data related to the second research question regarding the aesthetic and efferent pedagogical perspectives that teachers reported during interviews. Each interview followed an "interview guide" (Kvale, 1996, p. 27; Lofland & Lofland, 1995, pp. 78-87; Patton, 1990, pp. 283-284) designed by the researcher in which the 10 teachers were asked similar questions and reported their perspectives regarding six main topics: (a) reasons for becoming high school English teachers, (b) purposes for teaching literature, (c) preferred instructional strategies, (d) influences affecting these strategies, (e) priorities when teaching literature, and (f) understanding of Rosenblatt's transactional reading theory and reader response.

Data were analyzed related to all six topics. However, the fifth topic--priorities when teaching literature--received considerable attention during the interviews when the teachers were asked to discuss, elaborate upon, and rank as either a high, moderate, or low priority five dimensions of literary study: (a) Efferent, (b) Aesthetic, (c) Critical Thinking, (d) Literacy Skills, and (e) Artistic Appreciation. The interview transcripts and each of the six interview topics were recursively and repeatedly analyzed using

Patton's (1990) "cross-case or cross-interview analysis" method (p. 376) to determine emerging patterns; and matrices (Miles & Huberman, 1994, pp. 93, 239-244) were developed to depict data related to all topics discussed.

The third research question related to the comparison of the teachers' aesthetic and efferent stances manifested in the classroom with their aesthetic and efferent perspectives reported during interviews. Analysis was based on comparing data previously presented when answering the first two research questions respectively: (a) frequency of idea units in the Aesthetic and Efferent categories manifested during observations were compared with (b) priorities associated with the Aesthetic and Efferent dimensions of literature study reported during interviews.

Findings

Research Question 1

Analysis of classroom observation transcripts revealed the aesthetic and efferent pedagogical stances that the 10 high school English teachers manifested during literature lessons. Each teacher predominantly manifested an efferent stance within the context of a traditional transmission model of literary instruction with none of the teachers reflecting a constructivist transactional classroom environment. Among a variety of strategies and activities, all 10 teachers directed whole class discussions while analyzing literature; continually referred to relevant texts during these discussions; and read orally from the texts and from other printed materials such as

handouts, worksheets, study guides, and quizzes reflecting an efferent emphasis. The teachers relied on traditional literary canon for their respective grade levels such as Julius Caesar (10th grade), The Great Gatsby (11th grade), and Prologue to the Canterbury Tales (12th grade). In addition, the teachers were the dominant voices offering primarily efferent comments and questions. Most student responses were brief and efferent, and the teachers often repeated verbatim or paraphrased the students' responses.

Transcript analyses of the 10 teachers' oral communication rendered the identification of 1,753 idea units. Aggregated analysis of these idea units across eight identified categories indicated that the Efferent category received the majority, 60%, of the idea unit allocations whereas the Aesthetic category received 7% of the allocations. When considering the three categories directly related to instruction per se (Efferent, Aesthetic, and Teacher Reading categories), efferent comments represented 83% of the allocations whereas aesthetic comments represented 10% of the allocations. Individual analyses of each of the 10 teacher's idea units reflected similar results indicating a clear manifestation of an efferent, as opposed to an aesthetic, stance during literature study. While assuming an efferent stance, teachers primarily asked the students to identify plot developments, characters, literary terms, and the setting of the literary works. When teachers exhibited an aesthetic stance, they made personal connections by referencing either contemporary society or the literary work. During the limited number of occasions when teachers assumed an aesthetic stance, the teachers tended to

follow-up an aesthetic comment or question immediately with another aesthetic, efferent, or administrative statement without providing time for student reflection or response.

Research Question 2

Analysis of interview transcripts revealed the teachers' reported aesthetic and efferent perspectives as well as other pedagogical insights. Although citing a number of reasons for becoming English teachers, the participants primarily indicated their interest in reading and literature and the enjoyment they experienced while teaching English. They also identified several purposes for teaching literature ranging from those with an aesthetic orientation (e.g., gaining insight into life, self, and humanity) to those with an efferent orientation (e.g., teaching literary concepts and techniques). Amid a variety of reported preferred instructional strategies and activities, all teachers favored whole class discussion and writing assignments. Among the various strategies and activities mentioned, each received positive comments with the exception of one--group work--which engendered both positive and negative responses. Teachers commented on several influences affecting their preferred strategies and noted especially the benefits of learning from colleagues and the teachers' own creativity and imagination.

When discussing and ranking the priority of five dimensions of literary study (Efferent, Aesthetic, Critical Thinking, Literacy Skills, and Artistic Appreciation),

teachers generally reported the Aesthetic dimension of literature to be a higher priority than the Efferent dimension. In fact, the Aesthetic and Literacy Skills dimensions received seven high priority rankings, the largest number among the 10 teachers. The Critical Thinking dimension received five high priority rankings; the Efferent dimension received four, and the Artistic Appreciation dimension was ranked a high priority by only two teachers. In addition, regarding the understanding of Rosenblatt's transactional reading theory and reader response, the teachers reported having minimal or no awareness of these theories.

Research Question 3

In order to answer the third research question, data related to the first research question regarding the frequency of aesthetic and efferent classroom comments were compared with data related to the second research question regarding the priorities teachers reported about the Aesthetic and Efferent dimensions of literature study. A contrast was apparent between the teachers' stances manifested in the classroom and their perspectives reported during interviews. A distinct contradiction existed between the teachers' limited aesthetic oral communication in the classroom and their reporting the Aesthetic dimension to be a high priority during interviews.

Discussion

The discussion of the findings of this qualitative study must begin with both a sincere statement of appreciation to the high school English teachers who voluntarily participated in the study and with an enthusiastic commendation of their dedication and devotion to their teaching tasks. Throughout the research process, these teachers continuously exhibited a serious, sincere commitment to their instructional responsibilities and a deep, genuine concern for their students. In addition, the discussion of the research findings must be placed within the study's limited context, which involved 10 teachers from four high schools in a Texas public school district throughout one semester during the 1999-2000 school year.

Although this study's context was limited, it is interesting that the major finding indicating the predominance of an efferent transmission model of literature instruction has been revealed in the work of other theorists and researchers (e.g., Anderson & Rubano, 1991; Applebee, 1989, 1993; Cox & Many, 1992b; Langer, 1992b, 1995; Purves, 1993; Rosenblatt, 1980, 1982, 1986) who have also noted an emphasis on impersonal, objective literary analysis. Also, the findings regarding the teachers' reported philosophical commitment to the affective, aesthetic dimension of literary study and their contradictory practice of traditional, efferent teaching has been documented previously by notable reader response scholars (e.g., Applebee, 1974; Langer & Applebee, 1988).

The Predominance of an Efferent Pedagogical Stance Within Traditional Transmission Classrooms

Similar to the teachers in the comprehensive national studies conducted by Goodlad (1984) and Applebee (1989, 1993), the English teachers in this current study also assumed a traditional transmission model of instruction and directed literature lessons during whole class discussions while standing at the front of the classrooms with the students seated in rows answering the teachers' questions. Throughout the classroom observations in this study, the teachers led discussions that clearly and consistently emphasized the efferent, objective analysis of literature and the factual recall of information to predetermined questions to which the teachers already knew the predictable answers. The teachers not only universally manifested a reliance on whole class discussion, but also reported during interviews this strategy to be a quintessential, major ingredient in their instructional repertoire during the study of literature. Interestingly, however, the teachers never discussed how they structured their discussions; and they did not comment on the questioning strategies that they employed. This omission implied that, although whole class discussion was the centerpiece of literary study, the teachers' concern and attention were focused on their interpretation of the text but not on their pedagogical techniques and strategies for guiding or developing these interpretations.

Indeed, classroom observation transcripts consistently revealed that the teachers were the overwhelming voices heard in the classroom while making efferent comments and asking efferent questions during class discussions characterized more like traditional recitations than transactional conversations. When aesthetic comments or questions did occur, they were infrequent, brief, and teacher-oriented affording the students either no time for response or limited time for elaboration. This situation is aptly described in the third chapter of Rosenblatt's Literature as Exploration (1995b), appropriately titled "The Setting for Spontaneity." Rosenblatt creates a vivid image which contrasts the real "interchange" needed in the classroom with what actually occurs. Albeit well-intentioned, teachers are misguided by the false notion that they are encouraging student participation and, hence, engagement in a literary experience when actually they are merely passing around the "conversational ball" during class discussions. Rosenblatt (1995b) states:

> One of the most valuable things the students will acquire from this [interchange] is the ability to listen with understanding to what others have to say and to respond in relevant terms. If they have thus far been subjected to the typical school routine, the tendency is at first for them to address themselves only to the teacher; the conversational ball is constantly thrown to the teacher, who then throws it to another student, who again returns it to the teacher, and so on. In a more wholesome situation, the ball is passed from student to student, with the teacher participating as one of the group. This interchange among students must be actively promoted. (pp. 68-69)

Rosenblatt's analogy is particularly apropos and demands attention. In this current study, class discussions were the "ball throwing" variety with the comments

and questions exclusively tethered to the teacher. Emphasis appeared to be on quantity, rather than quality, of responses. And, the teachers' oral communication promoted the gathering and affirming of objective information such as plot developments, identification of characters, definition of literary terms, and description of settings rather than the " 'evocation' " of an aesthetic transaction that is the "lived-through process of building up the work under the guidance of the text" (Rosenblatt, 1978, p. 69). Clearly, Rosenblatt's (1978) concept of a continuum accommodates both aesthetic and efferent reading stances; however, she (1980, 1982, 1986) has continued to express a concern regarding the neglect of the aesthetic aspects of literary study--a legitimate concern corroborated by the findings in this study.

Langer has shared Rosenblatt's concern for developing literary conversations that are aesthetically evocative and enlightening. Complementing Rosenblatt's (1978, 1995b) concept of an aesthetic transaction, Langer (1992a, 1995, 1997) speaks of "envisionments" engendered by a teacher who knows how to listen and guide thoughtful, rational literary conversations rather than recitations dictated by a teacher who assumes the traditional, authoritative role of dispenser of knowledge that stifles critical thinking, albeit inadvertently. These types of " 'envisionment-building classroom' " (Langer, 1997, p. 6) discussions inherently necessitate subjective, critical, and creative thinking that requires time to pause, reflect, debate, question, doubt, and ponder the subtleties and complexities of literature from multiple points of view.

Unlike the aesthetic transactions and envisionments advocated by Rosenblatt (1978, 1995b) and Langer (1992a, 1995, 1997) respectively, the literary discussions observed in this present study appeared to be under the benign control of the teachers. Indeed, similar to the findings of Applebee (1993) and Purves (1993), discussions of literature in this current study were often based on the teachers' following a guide prepared from an outside source rather than relying on their own creative thinking or their individualizing for the particular needs of their students. For example, several of the classroom discussions were scripted to varying extents by teachers and students following a worksheet, study guide, or quiz questions with an efferent orientation that provided the framework for the literature study. As one teacher stated:

> I'm not a big fan of those [study guides], but when I didn't do them with . . . one novel that was not a good thing. . . . even if they [the students] are not reading, they can at least look at the questions and, you know,--I hate to say this--but copy the information from somebody else and so they kind of follow along with the plot at least. But if you don't give them a study guide and they're not copying answers from [other students], they don't know what's going on . . . if they're held accountable to like get the questions done, then they might learn characters' name[s] . . . I hate to say that but . . . that's the realism of it. . . . I usually just use whatever comes with the teacher guide. I don't make extra questions or anything.

Thus, in this study, literary exploration into unknown territory with unpredictable discoveries seemed to be sacrificed for the safety and security of predetermined interpretations promoting primarily a single, acceptable answer prescribed by a teacher who often adhered to various teachers' "manuals."

Although whole class teacher-led discussions were the major pedagogical strategy employed by all 10 teachers throughout the literature lessons, 2 teachers employed limited group work at the end of their literature lessons when students were encouraged to work together in small numbers ranging from two to five students. In one class, students met together briefly to make plans for their group work activity that would occur the next day. In the other class, group work involved students answering cooperatively efferent questions from a worksheet related to the short story that they had just read and discussed in class. Interestingly, the students were told that they could omit the questions at the end of the worksheet with an aesthetic orientation (e.g., "In a short paragraph, describe an element of the short story that reminds you of something in your own life.")

Collaborative study--not only in whole class discussions, but also in small groups--is an essential element of a transactional literary experience. Indeed, Rosenblatt's (1978, 1995b) transactional reading theory is predicated upon a community of learners that is characterized by its democratic, active spirit. She acknowledges the essentiality of the social dimension of learning and, agreeing with Vygotsky (1997), contends that language is developed within a social environment and individually internalized.

Studies by Hickman (1979, 1980, 1984), Langer (1995), and Cox and Many (1992c) have indicated the benefits associated with students developing their language while being actively involved in collaborative contexts and small group discussions

and exchanges. Hence, mirrored against this research supporting cooperative learning in small groups, it is interesting to note the distinct, differing opinions of the 10 teachers in the current study regarding this instructional strategy. During interviews, five teachers enthusiastically reported their support and implementation of group work indicating that it promoted camaraderie and a positive experience for their students. In contrast, however, five teachers did not employ group work and four of these teachers emphatically elaborated upon their opposition to group work stating that it was ineffective and an inefficient use of class time. These four teachers reported that collaborative group work was too difficult with 30 students in the room because "the volume is just unbearable," that in "cooperative learning--there is a lot of wasted time," and that "the results were unsatisfactory."

In addition, data in this study supported the findings of Applebee (1989, 1993) that when teachers assumed an aesthetic stance, it was really of secondary importance and that the teachers had an ulterior motive for appearing to employ reader response strategies. Actually, the teachers' aesthetic appeal to the students' personal literary involvement was often a temporary, initial enticement to lure the students so that they would be amenable to the ultimate goal, which the teachers deemed most important: the traditional analysis and interpretation of the literary text. One teacher revealed this point of view when stating:

> If I have the time, I teach Hamlet rather than MacBeth because it is a work with which I think they can connect. The main character is more or less their age. He has some problems that they are undergoing, you

> know, with the stepfather he doesn't like. He has problems in his love life which they have. And, they get a better emotional response. And once I can capture them emotionally, then the rest of it tends to fall into place. This is the reason why . . . I let them see the movie first so they can really connect with the characters and know what's going on. And, I feel that I capture them emotionally with that movie; and then I go into the analysis and the technical things that they need. It just makes it an easier job . . .

The Contradiction Between Pedagogical Practices and Perspectives

In this study, a distinct contrast existed between the teachers' overwhelming manifestation of an efferent stance in the classroom and their reporting a hearty endorsement of the Aesthetic dimension of literature study. During interviews, the teachers clearly indicated the Aesthetic dimension to be an important priority when studying literature, with the exception of one teacher. In fact, 7 of the 10 teachers ranked the Aesthetic dimension a high priority while only 4 teachers ranked the Efferent dimension a high priority. The teachers elaborated upon the advantages of having students connect personally with literature and commented on the students gaining deeper insight into themselves through literary experiences, as well as the students clarifying their values and extending their understanding of others and the world around them. A few teachers used a passionate tone and language to convey their advocacy of the Aesthetic dimension of literature study. For example, one teacher who ranked the Aesthetic dimension a high priority enthusiastically offered a motif

throughout her interview regarding the quintessential importance of this aspect of literature. She stated when referring to the study of To Kill a Mockingbird:

> . . . our discussions have been so awesome. They usually are with that book. . . . I feel . . . when I have days like that I walk out of here feeling proud and really feeling that they have opened up their minds and really discussed and looked inside themselves and really looked to see how they felt and shared their emotions and frustrations and, you know, happiness with me . . .

The confusing phenomenon is that this teacher, who decidedly articulated during the interview a sincere and serious commitment to the Aesthetic dimension of literary study, never offered an aesthetic comment or question during the classroom observation. In fact, she was one of the two teachers who had no idea units allocated to the Aesthetic category based on the observation transcripts. This finding, however, is not unusual. Indeed, Applebee (1974) and Langer and Applebee (1988) have commented on the disjuncture between teachers' philosophical endorsements of the affective, personal dimension of literature and their contrasting practice in the classroom which promotes an objective analytical stance emphasizing the text and relying on an interpretation from an authoritative source, such as a teacher.

Another interesting contrast occurred in this study with the teacher who had the largest number of idea units allocated to the Aesthetic category (22%) and the fewest number of idea units allocated to the Efferent category (47%). During the interview, this teacher reported both the Aesthetic and the Efferent dimensions of literature study to be high priorities, and she spoke sincerely and enthusiastically about the importance

of both aspects of instruction. In addition, unlike the other teachers, she emphasized a conscious commitment to combining both dimensions when students responded to literature in writing.

Interestingly, observation transcripts indicated that, although this teacher offered more comments or questions related to the Aesthetic category than any other teacher, her aesthetic comments were brief and unelaborated. In addition, the aesthetic responses from her students indicating personal connections with the literature were primarily laconic answers indicating limited reflexive or critical thinking. For example, when naming contemporary characters or occupations of those who might go on a fictional pilgrimage like the ones in Chaucer's Prologue to the Canterbury Tales, the students offered a litany of answers without elaboration such as the following: hamburger flipper, construction worker, an architect, a psychiatrist, and Paul McCartney. In other words, the students' aesthetic responses reflected efferent characteristics emphasizing the gathering of information rather than a literary transaction. The teacher's aesthetic comments also revealed efferent features. For example, during the classroom observation, this teacher referenced a handout titled "Strategies for Active Reading" and reminded the students that when reading they should "connect personally with [the] reading" and then went on to explain briefly how they should accomplish this. However, although the students were told that they should make personal connections with the literature, the students were not given an

opportunity to experience such a connection as the teacher proceeded to discuss other reading strategies from the handout.

As Cox and Many (1992c), Hickman (1979, 1980), and Langer (1994, 1997) have indicated, time is an essential ingredient necessary to fostering critical thinking and literary transactions, which also require a teacher who facilitates aesthetic experiences. However, as reflected in the examples in the preceding paragraph of the teacher who had the largest number of idea units allocated to the Aesthetic category, her oral communication provided limited time and guidance for students to extend, examine, or explain their reasoning and transact with the text and, thus, evoke a "poem" as Rosenblatt (1978) would suggest is the necessary and inevitable creative outcome of an authentic aesthetic transaction.

Another interesting incongruity occurred with the two teachers who both reported in interviews the Efferent dimension of literature study to be a low priority. In contrast, however, in the classroom these two teachers devoted approximately half of their comments to efferent oral communication (52% and 55% allocated to the Efferent category, respectively) while they offered few or no comments to aesthetic oral communication (2% and 0% allocated to the Aesthetic category, respectively).

One of these two teachers affirmed and accentuated the importance of the Aesthetic dimension, which she ranked a high priority during the interview, when she reported her primary purpose for teaching literature:

> I think it's teaching more of our humanism, expanding our humanity, helping us to vicariously--well, solve problems really because at least it exposes us to ideas and what other people have done. It enriches us. It's the same thing as music or painting, or it would be a very dull world if we didn't have the world of artistic expression and appreciation.

Nevertheless, throughout the classroom observation, this teacher focused on the efferent analysis of a play, a well-known work in the traditional canon, while emphasizing plot developments and characters and using a record of the play. The students followed along in their texts answering efferent questions from a worksheet that provided the blueprint for the class discussion, and the literature lesson concluded with the students taking a multiple-choice efferent quiz and then discussing the answers.

The other teacher, who also reported the Efferent dimension a low priority and contrastingly manifested an efferent stance in the classroom, commented extensively during the interview upon the teacher's commitment to poetry and critical thinking and going beyond the state-adopted textbook and district curriculum, which the teacher considered inadequate. The teacher stated:

> Curriculum guide . . . every week, every day, all planned out for me. I don't have to do anything. I don't--especially don't reflect. And, so . . . I looked at the poetry section. It was the only section that I thought maybe I could use. It was dreadful. The poetry in our textbook is dreadful. And, so, I rethought it . . . my students did not like the poetry. And it wasn't working. I even let them choose a poem . . . to work with that, take a test over it, and it still wasn't working so I thought of it [selecting a poet and poetry not in the textbook with whom they could connect] and I said, "Hey, wait a minute. This is about really enjoyment--poetry of all things." And, so, that's when I went and got

> the film [related to the poet and poetry not in the textbook]; and I taught the film and from that went back over what metaphors are . . .

Ironically, however, during the classroom observation--which occurred on the day and class period suggested by the teacher as did all of the other classroom observations--this teacher was using the state-adopted textbook and studying a poet represented in the traditional high school literary canon while focusing primarily on the efferent analysis of symbolism and theme and orally explicating the poetry in preparation for an essay test the students would take the following day.

The Challenge of Pedagogical Change

The findings of this study regarding the predominant efferent stance of the teachers during classroom observations, their enthusiastic support of the aesthetic aspects of literature study reported during interviews, and the contradiction between their classroom practices and philosophical perspectives is, indeed, problematic. And, this problematic situation is intensified when mirrored against the growing body of reader response research indicating the numerous advantages of affective, aesthetic literary experiences and transactions.

Reader response research (e.g., Many et al., 1995; Peters, 1992; Wiseman & Many, 1992) has indicated that the teachers' efferent or aesthetic stances influence the respective stances of their students. Studies (e.g., Ash, 1994; Carroll, 1994; Hickman, 1979, 1983, 1984; Vine & Faust, 1992a, 1993d; Zarrillo, 1991) have revealed that

teachers have a major influence in creating constructivist transactional classrooms. Additionally, students at all levels of instruction involved in fiction and non-fiction literary transactions assuming an aesthetic rather than primarily, or exclusively, an efferent stance have received multiple benefits such as heightened personal involvement with the text; enjoyment and appreciation of the text and the literary experience; more thoughtful, engaging oral and written responses; and increased understanding of the text, themselves, and others (e.g., Ash, 1994, Gaskins, 1996; Jetton, 1994; Many, 1991, 1992; Newell, 1996). Also, personal aesthetic literary experiences promoted in a constructivist transactional classroom--as contrasted with objective content analysis and the teachers' authoritative interpretation promoted in a traditional transmission classroom--have been characterized by more spontaneity; camaraderie; energy; and creative, critical thinking (Cox & Many, 1992c; Hickman, 1979, 1980, 1981, 1983, 1984; Langer, 1992a, 1994, 1997).

This wealth of reader response research indicating the abundant advantages of an aesthetic stance--when contrasted with the predominant efferent stance of teachers manifested in this present study and revealed in the works of renowned scholars (e.g., Cox & Many, 1992b; Purves, 1993; Rosenblatt, 1980, 1982, 1986; Zarrillo & Cox, 1992)--creates a conflicting pedagogical reality. However, this dilemma is compounded by another dimension: the teachers' lack of knowledge about transactional reading theory and the research supporting the benefits of aesthetic literary experiences. Indeed, this present study supports the finding of Applebee (1989, 1993) that teachers

are typically unaware of literary theory. In this current study, not 1 of the 10 teachers had clear comprehension of Louise Rosenblatt's transactional reading theory, the terms aesthetic or efferent as they related to reading theory, or reader response. Even those teachers who recognized a term or concept indicated that they had merely heard the term or concept but were unable to offer an explanation of what it meant.

An interesting related finding during interviews was that the teachers credited their acquiring knowledge about effective teaching strategies and activities to two primary sources: other colleagues and their own creativity and imagination. Omissions in their reported pedagogical sources of knowledge are as telling as those that they included: none of the 10 teachers referenced learning from college or university courses, from staff development, or from professional reading. Although the resources identified by the teachers are certainly bona fide and important, it is possible that their acquiring "new" strategies and activities may be based, at least in part, on "old" or recycled or incomplete information that creates a pedagogical void that limits, albeit unknowingly, their knowledge and expertise.

This situation is complicated by the challenge of changing existing pedagogy. Scholarly works (e.g., Agee, 1998; Applebee, 1993; Langer, 1994; Probst, 1981, 1988) have revealed the difficulties related to effecting changes in teachers who tend to rely on the familiar, traditional paradigms that they experienced as students. Clearly, several teachers in this present study directly stated during interviews that they taught in ways they had been taught; and their comments reflected a traditional transmission

model of the New Criticism approach to literary study. As one teacher said, "Maybe I'm just [following] more of a classic approach to things."

Langer's research (1997) has indicated that teachers need " 'new bones' " (p. 8)--new pedagogical strategies to replace the old and worn out ones. Langer has sensed the struggle within teachers who instinctively know that they need more effective strategies for teaching literature, but they are unaware and insecure about developing and implementing new pedagogy. This confusion and frustration were illustrated by one of the teachers in this current study who reported the Efferent dimension of literature study a high priority and the Aesthetic dimension a high/moderate priority. In the classroom, however, this teacher's comments were primarily allocated to the Efferent category (66%) while aesthetic comments were significantly fewer (16%). The following statements reflect the conflict between her wanting to embrace aesthetic literary transactions and, yet, her adhering to a traditional transmission model of instruction:

> . . . it [my interest in the Aesthetic dimension] comes from teachers that I have had in the past who have tried to dictate what a particular poem meant, and this is what it should mean to you. And it's just *hurt--hurt* [italics added] it [the experience] for me; and I've, I've *promised* [italics added] myself when I started teaching I would not do that.

However, later in the interview the teacher stated:

> Well, I think we tend to always teach the way we like being taught and it's hard for me to break away from that. I always *loved* [italics added] the teacher reading to us and then discussing and talking about what we've read. So that's the way I tend to do it too. I think that's the only

way it was ever done back when I was in school. But, there's *so much* [italics added] now on group work and differentiated learning styles and that sort of thing. And, I--we've been trained in it. It's hard for me to break away from the way I've always done it. I know that our language arts consultant *really* [italics added] has stressed with all of us to have more than one book being read in the class at once--have four students reading one book and three reading another and maybe five more reading another book and have it be totally student-centered and the students develop the discussion and such--which sounds marvelous, but it doesn't sound very productive to me. I would feel so very fragmented. I'd feel like I had to be the one to teach each group, and that's what she's trying to get us away from--is that feeling that we always have to be the teacher. But, I still don't believe that the students have the tools yet, the maturity yet, to be able to do some of what needs to be done in the discussion situation.

Implications and Recommendations for Classroom Practice and Future Research

Findings in this current study indicating that the teachers overwhelmingly assumed an efferent literary stance within a traditional transmission instructional model corroborated the works (e.g., Applebee, 1989, 1993; Langer, 1992a; Rosenblatt, 1980, 1982, 1986) of past decades confirming the hegemony of the New Criticism approach to literary analysis and research (e.g., Applebee, 1974; Langer & Applebee, 1988) that the teachers' pedagogical practices contradicted their philosophical perspectives. Nevertheless, research (e.g., Ash, 1994; Cox & Many, 1992b; Gaskins, 1996; Jetton, 1994; Many, 1991, 1992; Newell, 1996) has consistently revealed that assuming an aesthetic stance--rather than primarily or exclusively an efferent stance--affords numerous personal and instructional benefits to students.

Thus, a disturbing picture emerges: not much has changed pedagogically throughout these past decades regarding the study of literature even though research is abundantly clear that changes must be made. And, these changes require a movement away from the *exclusion* of the reader and a myopic focus on the text with an authoritative interpretation by the teacher to the *inclusion* of the reader and a broadening perspective of the reading experience that inherently involves a dynamic, aesthetic, personal transaction with literature. Applebee (1993) commented almost a decade ago that "curriculum changes with glacial slowness" (p. 83). Now, in this new millennium with no new news about pedagogical change and the way literature is studied in the high school classroom, it appears presently that our teachers and students may be cemented in the cold, sterile environment of a Literary Ice Age. As numerous scholarly works (e.g., Applebee, 1993; Langer, 1994, 1997; Probst, 1981, 1988; Zarrillo, 1991) have affirmed, changing the pedagogy of literature study is challenging and difficult. The real hope is vested ultimately in the most powerful influence in the classroom: *the teacher*.

Five major questions and their implications for practice and research emerged from this current study for the following two reasons. (a) This study generated additional questions related to Rosenblatt's transactional reading theory and the aesthetic and efferent stances and perspectives of teachers that need further investigation. (b) Although other research has studied the aesthetic and efferent stances of teachers and students, none of the studies found dealt specifically with the high

school English classroom focusing on the aesthetic and efferent pedagogical stances and perspectives of the teachers.

Indeed, a replication of this study may prove beneficial to both practitioners and researchers in providing further insight and clarification into the literary stances of high school English teachers. This could be especially valuable if the research included teachers within constructivist transactional classrooms since the teachers in this study emerged as practicing only traditional transmission pedagogy. For those future researchers studying transactional reading theory and examining the high school literary experience, Appendix A of this study may be especially helpful as it offers extensive, detailed codes, definitions, examples, and explanations of aesthetic and efferent pedagogical stances.

The researcher hopes that the findings of this current study contribute to the recognition of the pedagogical challenges and problems existing during the study of literature at the high school level, thus necessitating and promoting an urgent commitment to change. The researcher also anticipates that this study may provide a deeper understanding of the importance of teachers' aesthetic and efferent stances and perspectives which should contribute to improved instructional practices that benefit teachers and, ultimately, their students, administrators, university professors responsible for teacher preparation, parents, and policy-makers. Surely, a democracy must be populated with citizens who have not only acquired factual, efferent information, but

also aesthetic sensitivity, appreciation, and discernment that nourishes a greater understanding of self and the wide world of humanity.

The following five major and ancillary questions, their implications, and the recommendations offered for educational practice and future research are intended to be based on Rosenblatt's transactional reading theory and are predicated on an assumption that research related to these questions would be constructed in whole, or in part, on a qualitative design. As Rosenblatt (1985, 1988) suggested, qualitative studies are particularly appropriate and useful when studying aesthetic literary transactions. It should also be noted that the term literature in the following questions refers to both fiction and non-fiction literary works.

1. To what extent are high school English teachers aware of their aesthetic and efferent pedagogical stances and perspectives, and how does this level of awareness affect literature instruction?

Before change can be effected, teachers must be consciously aware of, and responsible for, the literary stances that they assume while studying literature so that they can select the most appropriate stance and, hence, the most effective strategies to promote the finest literary experiences for their students. This makes good pedagogical sense not only when attempting to craft lessons skillfully and artfully, but also when acknowledging the body of research (e.g., Many et al., 1995; Peters, 1992; Wiseman & Many, 1992) affirming that the teachers' aesthetic or efferent stances influence the respective stances of their students.

2. To what extent are high school English teachers aware of how their aesthetic and efferent pedagogical stances and perspectives complement or contradict each other? If the teachers' pedagogical practices differ from their philosophical perspectives, what circumstances promote these contradictions and what are the effects on literature instruction?

Since the findings of this study affirm the findings of other studies (Applebee, 1974; Langer & Applebee, 1988) that teachers' pedagogical practices often contradict their philosophical perspectives, it is important that teachers know if their pedagogy and philosophy mesh or clash. In addition to this recognition, teachers need to understand and acknowledge how their educational practices are influenced by their pedagogical theory and philosophy and the concomitant effects on classroom instruction.

3. What conditions of teaching affect the aesthetic or efferent stances that high school English teachers manifest during the study of literature? Four issues hold particular interest and value for further investigation: (a) time, (b) standardized testing, (c) knowledge of theory and research, and (d) influence of observers in the classroom.

(a) One condition that must be explored is the issue of time and the effect on high school English teachers' aesthetic and efferent pedagogical stances. The teachers in this study had immense, multiple responsibilities and obligations throughout the day related to their complex teaching tasks. As noted in Chapter IV, teachers reported the

problems they faced while meeting all the intellectual, emotional, physical, and psychological needs of approximately 150 students each day. With heterogeneous classes of approximately 30 students, teachers stated that their classes were populated by an eclectic compilation of students who ranged in reading abilities from the elementary to the graduate school levels and who were identified as "refugees" from AP to those on Ritalin and those for whom English was a second language. This heterogeneity not only brought richness to the classes, but also presented the teachers with understandable problems--especially when the teachers were able to meet with each class for only 50 minutes, 5 days a week, and during those class periods a number of required administrative tasks siphoned valuable time from literary experiences.

Indeed, researchers (Cox & Many, 1992c; Hickman, 1979, 1980; Langer, 1994, 1997) have noted the importance of time in creating constructivist transactional environments that promote critical, creative thinking and collaborative learning. A question arises: How can teachers nourish the inspiration, imagination, celebration, elegance, surprise, beauty, and wisdom of aesthetic transactions and concomitant critical and creative thinking in a democratic setting when responsibilities are waxing and time is waning? Is it possible that efferent questions requiring brief, unelaborated responses emphasizing quantity more than

quality fit more reasonably within the time constraints of the high school English classroom and that the nemesis of time seduces teachers into assuming a more pragmatic, expedient, "efficient" efferent pedagogical approach? As one teacher realistically admitted to the researcher in this study, she could only give the "vaccination version" of the short story the day the classroom observation occurred because she had been ill the day before and the next day the students were scheduled to start their research papers in the computer writing lab.

(b) A second condition of teaching that must be studied is the issue of standardized testing and its effect on high school English teachers' aesthetic and efferent pedagogical stances. As noted in Chapter II, Purves (1990, 1992) and Rosenblatt (1994) addressed the current, burgeoning reality of standardized testing that diminishes the aesthetic literary transaction.

This present study was conducted in Texas which has a high stakes TAAS (Texas Assessment of Academic Skills) test based on the TEKS (Texas Essential Knowledge and Skills), the state-wide curriculum. Every 10th-grade student must take the TAAS test and pass this test by the 12th grade in order to graduate from a Texas public school. As stated in Chapter I, the TEKS curriculum gives scant attention to the aesthetic aspect of literacy development; and the TAAS

components related to literacy (i.e., the reading and the writing portions of the test) give no attention to this aspect of learning. Thus, these testing components are clearly and consistently efferently oriented. Hence, no one should be astonished or bewildered that teachers are emphasizing efferent analysis of literature when the public accountability system is driven by a high stakes test exclusively demanding efferent knowledge and skills. One 10th-grade teacher in this study, who was observed in the classroom offering the students practice questions for the TAAS test, had no idea units allocated to the Aesthetic category and, yet, expressed a passionate plea for the Aesthetic dimension of literary study during her interview and ranked the Aesthetic dimension a high priority. She had this to say about the TAAS test:

> Oh, it [the TAAS] is the bad word . . . the worst word; and I hate to say it in my class because it just freaks them out too much. And, there's so much pressure to do well on TAAS and that's probably the worst thing. I just wish that they would get rid of it. Really, I really wish they would because the kids get so wound up and the people who are in charge of that get so wound up that they just say, "You gotta do this. You gotta do this. You gotta do this." And, I do my daily [TAAS practice]--you saw my daily [TAAS practice]. I've been doing that since day one.

(c) A third condition of teaching that must be investigated is the issue of high school English teachers lacking knowledge of current

theory and research and the resulting effects on their aesthetic and efferent pedagogical stances. The term professional educator inherently demands that theory, research, and practice be wedded together. One is impotent without the other. Studies need to be conducted to analyze the conditions that contribute to this pedagogical void and how it might be filled. Clearly, teachers cannot promote aesthetic pedagogical practices if they do not know that these strategies exist and if they do not have the skill to implement them. In addition, teachers cannot have the confidence to experiment with and employ new strategies unless they understand and trust the theory and research supporting new pedagogy. Similar to Applebee's (1989, 1993) findings that teachers lacked knowledge of literary theory, this current study revealed that the teachers had no or limited understanding of Rosenblatt's transactional reading theory, the terms aesthetic and efferent, and reader response.

Do teachers philosophically long to create aesthetic transactions with literature but lack the confidence, knowledge, and expertise to facilitate such literary experiences? Indeed, research (Ash, 1994; Carroll, 1994; Livdahl, 1993; Zarrillo, 1991) has revealed hopeful signs regarding teachers' commitments to extending their professional expertise related to aesthetic transactions in the classroom. In these studies, teachers not only expressed a willingness to extend their skills

and knowledge in the area of reader response, but also acknowledged an insecurity about implementing these strategies. These teachers indicated that they both desired and needed additional guidance and assistance in facilitating strategies and activities that promoted democratic discussions and writing experiences that are aesthetically transactional.

(d) A fourth condition of teaching that needs to be studied is the issue of whether high school English teachers manifest similar aesthetic and efferent pedagogical stances when they have observers in the classroom (e.g., researchers, administrators, colleagues, and parents) and when they do not have these observers. A fascinating irony occurred in this study: the teachers--who specified the day and class period when they would be observed--overwhelmingly manifested efferent stances and, yet, enthusiastically ranked the Aesthetic dimension in their interviews more highly than the Efferent dimension. If the teachers valued the aesthetic aspects of literature study and if they chose the day and time of their observations, why did they not manifest aesthetic stances in the classroom and, instead, consistently assume efferent stances?

This is a multifaceted issue that demands attention in several areas. Do teachers consider aesthetic communication so personal that they feel uncomfortable exploring these aspects of literature with their

students while a stranger is present in the classroom? Does the uncertainty of students' aesthetic responses make teachers uneasy when an observer is present so that they fall into the safety net of the efferent stance which is more objective and predictable and controllable? Have teacher performance evaluation systems rewarded teachers for quantity rather than quality of student responses and rewarded teachers for classroom environments that appear traditional, disciplined, and calm rather than spontaneous, exuberant, and controversial?

4. What aesthetic and efferent pedagogical stances and perspectives do high school English teachers manifest in classes with students who are grouped based on differing needs and abilities (e.g., AP, regular, remedial, special education classes)?

Several of the participants in this study who were observed during regular English classes either taught in the AP program or had students in their regular classes who had been former AP students. As noted in Chapter IV, these teachers reported on several occasions that their instructional strategies for regular students differed from their strategies for AP students. For example, one teacher's comments illustrated this viewpoint:

> If I were teaching AP, it would be a whole different focus. But I really have to stop and think [about] the kind of kid that I'm dealing with [in the regular class]. . . . I do a certain level of it [literary analysis] but not in-depth like I would if I was teaching a higher level student.

Hence, these comments suggest that teachers' aesthetic and efferent stances and perspectives should be studied in various classroom settings not only regarding students with special needs and abilities who are grouped together in a class, but also regarding students at various grade levels.

5. What aesthetic and efferent stances do high school English teachers manifest in constructivist transactional classrooms, and how do these teachers acquire their pedagogical practices and philosophical perspectives?

The findings in this current study, which affirm a large body of research throughout the years indicating the predominance of teachers analyzing literature within a traditional transmission model concentrating on the text and the teachers' authoritative interpretation (i.e., the New Criticism approach), also coincide with the findings in the pilot study as well as the researcher's experiences throughout the last three decades of her career in public education. Nevertheless, although the constructivist transactional teacher and classroom are the exception at the high school level--not the norm--they do exist. It is of paramount importance that these teachers' pedagogical practices and philosophical perspectives be studied, understood, and reported and that these teachers become mentors and models to other teachers. Langer (1992a, 1994, 1995, 1997) has conducted extensive studies based on her concepts of "envisionments," "horizon of possibility," and "point of reference" so that teachers can build "new bones." It would be equally valuable to use Rosenblatt's (1978, 1995b) transactional reading theory and her concept of aesthetic and efferent stances that

fluctuate on a continuum in order to study high school literary experiences in the classrooms of teachers noted for their constructivist transactional approaches.

The research produced thus far confirms the multifarious benefits of Rosenblatt's transactional reading theory and the advantages of assuming aesthetic stances. Louise Rosenblatt has toiled persistently and patiently championing and clarifying her theory which holds great promise for the people of a democratic nation entering this new millennium with both courage and trepidation. Rosenblatt's words written over 60 years ago remain poignantly relevant today:

> Acquaintance with the formal aspects of literature will not in itself ensure aesthetic sensitivity. One can demonstrate familiarity with a wide range of literary works, be a judge of craftsmanship, and still remain, from the point of view of a rounded understanding of art, aesthetically immature. The history of criticism is peopled with writers who possess refined taste but who remain minor critics precisely because they are minor personalities, limited in their understanding of life. Knowledge of literary forms is empty without an accompanying humanity. (Rosenblatt, 1995b, p. 51)

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APPENDICES

Appendix A

Idea Units, Categories, and Sub-categories: Codes, Definitions, Examples, and Explanations

IDEA UNITS, CATEGORIES, AND SUB-CATEGORIES: CODES, DEFINITIONS, EXAMPLES, AND EXPLANATIONS

Unit of Analysis
Idea Unit

Idea Unit (/____/)--The Idea Unit (IU) is the unit of data analysis designating a single, complete idea or thought orally expressed via a word, phrase, sentence, or sentences by the teacher during the literature lesson and is marked with virgules (diagonal marks) at the beginning and at the end of the idea unit in the field notes.

• Idea Units (IUs) are determined within a quoted comment or question offered orally by the teacher during the literature lesson. Each teacher's comment or question is introduced with a capital T and a colon (T:) and is then followed by the quotation in which the IU or IUs is/are determined. An ellipsis (. . .) indicates a missing word or words from the teacher's comment or question. Two hyphens (--) indicate a brief pause, a clarification or related thought, a shift in thought, or an interruption in the teacher's comment. Brackets ([ ]) indicate the researcher's interpolation in the quotation in order to offer context and clarity to the teacher's comment.

• Explanations are written after each quotation to offer the reasoning regarding the IU or IUs designated within the teacher's comment or question. When more than one IU occurs in the quotation, the explanation will refer to the IUs in the order in which the IUs occurred by using a numerical sequence, such as IU1, IU2, IU3, etc. Also, in the explanations following the quotation, a T indicates the word "teacher" and S and Ss indicate the words "student" and "students," respectively.

Examples of Idea Units (IUs)

T: /"If you would get out your notes/ and turn to [page] 401 [in your textbook]./ I believe [we're on page] 401 [in your textbook]."/

Explanation: This quotation has three IUs representing three different single, complete ideas or thoughts. IU1 tells the Ss to take out their notes. IU2 tells the Ss to engage in another activity by referring to their textbooks.

Although IU3 is closely related to IU2, it offers another single, complete idea or thought by indicating that the T believes she has designated the proper textbook reference. (IU3 Note: Even if IU3 had reiterated verbatim IU2 by stating "Turn to page 401 in your textbook," this repetition would have still been considered another single, complete idea or thought and would, hence, have been designated IU3.)

T: /"[If we] close it [the door]--it well be hotter."/

Explanation: This quotation has one IU in which the independent clause in the latter part of the IU is made clear by the introductory dependent clause making a single, complete idea or thought about the effect on the classroom temperature if the door is closed.

T: /"Shhhhh"/

Explanation: This quotation has one IU in which the onomatopoeic sound made by the teacher conveys a single, complete idea or thought that a S or the Ss should be quiet. (Note: If the quotation had included additional words such as "Be quiet," the entire quotation "Shhhhh--Be quiet" would still be considered one IU because the comment would convey a single, complete idea or thought that a S or the Ss should be quiet.)

T: /"It's [<u>The Rape of the Lock</u> is] just a [satirical] story--[a] piece of satiric work done in Horatian fashion."/

Explanation: This quotation has one IU in which the latter part of the IU acts as an appositive to complement and elaborate upon the first part of the IU thus making a single, complete idea or thought about <u>The Rape of the Lock</u> being Horatian satire.

T: /"Pope wrote this [<u>The Rape of the Lock</u>] for a real reason [because] someone came . . . [and asked him to write a satire]."/

Explanation: This quotation has one IU in which the dependent clause in the latter part of the IU complements and explains the introductory independent clause by telling why Pope wrote The Rape of the Lock thus making a single, complete idea or thought.

T: /"Yes, a friend . . . [asked Pope to write about a] feud . . . [when the friend said something like] 'why don't you write something about how silly . . . [it is] being . . . [in a feud]?' "/

Explanation: This quotation has one IU that presents a single, complete idea or thought with the beginning independent clause indicating that a friend encouraged Pope to write about a feud and the following related dependent clauses offering complementary elaboration about the absurdity of feuds. The introductory word "Yes" is not considered a separate IU because it introduces and is related to this IU.

T: /"[An] epic--[is] told on [a] grand scale."/

Explanation: This quotation has one IU that presents a single, complete idea or thought explaining that an epic is extensive and lofty.

T: /"The Rape of the Lock is a mock epic--[which is] making fun of [a] real epic/ . . . not to mention allusion . . . "/

Explanation: This quotation has two IUs representing two different single, complete ideas or thoughts. In IU1, the introductory independent clause states that The Rape of the Lock is a mock epic and the dependent clause in the latter part of the IU complements and elaborates upon the independent clause by explaining a mock epic. Although IU2 is brief and not well-elaborated, IU2 is considered a single, complete idea or thought because the T interjects another, separate idea or thought about allusion in the The Rape of the Lock.

T: /"We just talked about allusion/ . . . the three pieces . . . [which] Pope's allusion[s] . . . [reference are] the Odyssey, the Iliad, and Paradise Lost."/

Explanation: This quotation has two IUs representing two different single, complete ideas or thoughts. IU1 states that the T and Ss have discussed allusion generally. IU2 states that Pope made three allusions to literary works whose titles are specified.

T: /"W____[S name], what does that [quote referring to the theme] mean?"/

Explanation: This quotation has one IU that makes a single, complete idea or thought in which the T asks a student a question about theme. The direct address of a S ("W____[S name]") is not considered a separate IU because it introduces and is related to this IU.

T: /"[You might] think--it's silly [to worry about and dwell on insignificant things that do not really matter],/ but [you are thinking that] it [this worrying about and dwelling on insignificant things that do not really matter] does apply to me . . . "/

Explanation: This quotation has two IUs representing two different single, complete ideas or thoughts. IU1 states the absurdity of worrying about general trivia in life. The introductory comment "[You might] think" is not considered a separate IU because it introduces and is related to IU1. Although IU2 references worrying as in IU1, IU2 is a single, complete IU because it focuses specifically on the worrying applying personally to someone.

T: /"Obviously, I think this [reading the introduction on page 401] is important,/ and I make out the test."/

Explanation: This quotation has two IUs representing two different single, complete ideas or thoughts. IU1 indicates

the importance the T places on reading introductory material. IU2 reminds the Ss that the T creates the test.

T: /"Okay, [the characters are] on their way to a party,/ [the characters are] both ladies and gentlemen/ . . . [the characters are] on [their] way to Hampton Court."/

Explanation: This quotation has three IUs representing three different single, complete ideas or thoughts. IU1 states that the characters are going to engage in an activity, a party. The introductory word "Okay" is not considered a separate IU because it introduces and is related to IU1. (IU1 Note: In addition to the word "Okay," similar introductory words found throughout the field notes such as "Yeah," "Gosh," "Oh," "Right," "Yes," etc. are not considered separate IUs when the word introduces and is related to the IU. However, if a word such as "Okay" stands alone in a quotation, the word is considered a separate IU. See the following quotation for an example of this situation.) IU2 identifies the characters as ladies and gentlemen. IU3 states that the characters are traveling to Hampton Court.

T: /"Okay"/

Explanation: Because the word "Okay" stands alone in the quotation, the word "Okay" is considered one IU making a single, complete idea or thought.

T: /"Good [that's a good answer to the previous question]--/ What's wrong with letter A [the first answer choice among four choices on a multiple choice test item]?"/

Explanation: This quotation has two IUs representing two different single, complete ideas or thoughts. IU1 indicates that the T has offered a compliment to a S for his answer to a previous question. IU2 asks a follow-up question regarding why the letter A is an incorrect choice in a multiple choice test item.

T: /"[Refer to] page 403,/ [the characters are] going to have what?"/

Explanation: This quotation has two IUs representing two different single, complete ideas or thoughts. IU1 tells the Ss to refer to their textbook to a specific page. IU2 asks the Ss what the characters are doing in the textbook reference.

T: /"Let's look at page 403, line 43,/ 'And particolored troops, a shining train,/Draw forth to combat on the velvet plain' . . . "/

Explanation: This quotation has two IUs representing two different single, complete ideas or thoughts. IU1 tells the Ss to refer to their textbook to a specific page and line. IU2 is the T reading the quotation from the textbook. (IU2 Notes: [a] In this textbook quotation, as with other occurrences in the field notes when the T reads a quotation from the textbook, the passage being read is considered one IU. [b] The virgule [diagonal mark] in the quoted textbook passage after the phrase "a shining train,/" does not indicate an IU. This virgule is a poetic device indicating the ending of a line of poetry.)

T: /"That's your setting/ . . . [we] need characters . . . young men and women--/'velvet plain' [is the top of a card table where the game will be played]."/

Explanation: This quotation has three IUs representing three different single, complete ideas or thoughts. IU1 references the setting generally. IU2 references the characters who are males and females. IU3 specifically references the setting of the game as being the "velvet plain," the top of the card table.

T: /"Card game [is] brewing;/ [there is] lots of imagery . . . "/

Explanation: This quotation has two IUs representing two different single, complete ideas or thoughts. IU1 states

that a card game is evolving. IU2 states that there is a significant amount of imagery.

T: /"[The meaning is] all in the language . . . diction, word choice."/

Explanation: This quotation has one IU that makes a single, complete idea or thought stating that language reveals meaning with complementary elaboration at the end of the IU indicating that language includes diction or word choice.

T: /" 'With his broad saber next, . . . Falls undistinguished by the victor spade!' "/
(The T reads aloud from the text The Rape of the Lock, page 404, lines 55 to 64.)

Explanation: This quotation has one IU that makes a single, complete idea or thought which is the T reading a quotation from the textbook. (Notes: [a] The text reference in parentheses after the quotation regarding the page and line numbers is not part of the quotation and, hence, is not part of the IU. This information was added in parentheses in the field notes to identify the location of the passage that the T was reading aloud to the class. [b] In this textbook quotation, as with other occurrences in the field notes when the T reads a quotation from the textbook, the passage being read is considered one IU.)

T: /"[They drink] coffee [during the card came] . . . [which is a civilized and] gentle [activity]/ . . . [this is] important to know because [the card game represents a] vicious war --battle . . . [where there will be a] winner and loser/. . . [during this card game battle, the characters are] civilized . . . [as they] drink coffee/ . . . [the characters] battle, rest, [and then] they battle again [during the card game]."/

Explanation: This quotation has four IUs representing four different single, complete ideas or thoughts. In IU1 the introductory independent clause states that the

characters are drinking coffee while playing cards and the dependent clause offers complementary elaboration that drinking coffee is considered a cultured activity. In IU2 the introductory independent clause states the importance of recognizing that the characters are engaged in the cultured activity of drinking coffee while the dependent clauses offer complementary elaboration explaining that this apparently genteel activity of drinking coffee is contrasted with the card game that symbolically represents the cruelty of war. Although IU3 is a repetition of the idea in IU1, IU3 is considered another single, complete IU because it is not merely a complement to or an elaboration of another idea or thought; but, instead, IU3 is a single, complete idea or thought of its own, although repetitious of IU1. IU4 states the sequence of activities that the characters engage in during the card game.

T: /"If [the] first battle [is represented by] a card game,/ what was the second [battle represented by]?"/

Explanation: This quotation has two IUs representing two different single, complete ideas or thoughts. Although IU1 may initially appear to be an incomplete dependent clause, it actually does present a single, complete idea that the first symbolic battle is a card game. IU2 asks what the second symbolic battle is.

Categories

Categories -- Each Idea Unit (IU) is placed into one of the following eight categories.

Administrative (A)
Aesthetic(AS)
Complimentary (C)
Disciplinary (D)
Efferent (EF)
Not Clear (NC)

Other (O)
Teacher Reading (TR)

• Each Idea Unit (IU) designating a single, complete idea or thought expressed orally by the teacher via a word, phrase, sentence, or sentences during the literature lesson is marked with virgules (diagonal marks) at the beginning and at the end of the idea unit in the field notes. Within an Idea Unit (IU), an ellipsis (. . .) indicates a missing word or words from the teacher's comment. Two hyphens (--) indicate a brief pause, a clarification or related thought, a shift in thought, or an interruption in the teacher's comment. Brackets ([ ]) indicate the researcher's interpolation in the quotation in order to offer context and clarity to the teacher's comment. When determining categories, the entire Idea Unit (IU) is considered including not only the teacher's quoted comment or question, but also any interpolation(s) added by the researcher.

• Explanations and examples of each of the eight possible category placements for an Idea Unit (IU) are noted below. A few examples have explanatory information noted in parentheses after the Idea Unit (IU) when further context clarification is needed. In the parenthetical explanations following the Idea Unit (IU), a T indicates the word "teacher" and S and Ss indicate the words "student" and "students," respectively.

• One idea unit is matched with one category; however, an exception can occur in which one idea unit is placed in both the Efferent (EF) and Teacher Reading (TR) categories when the teacher is offering an efferent comment or question (Efferent category--information related to literary analysis and literary topics or the development of reading or writing skills) while also reading aloud (Teacher Reading category--teacher reading from a text, handout, study guide, worksheet, quiz, board mounted on a wall, television, or overhead transparency). In this instance, one idea unit is noted within two categories: Efferent (EF) and Teacher Reading (TR). This situation does not occur when the primary purpose of the teacher is to read aloud a passage that subsequently will be referenced, analyzed, or explicated from the literature textbook or another literary work; from written material used during the literature lesson; or from a board mounted on a wall, television, or overhead transparency. In this instance, only the category Teacher Reading (TR) will be noted. (For further explanation, see the Teacher Reading [TR] category.)

Example:

Idea Unit	Category
/" 'What does Poole say about his master's voice?' "/ (The T reads aloud question #2 on the handout [study guide/worksheet] "The Last Night.")	TR EF

Example Explanation: In this example, the T is reading aloud a question on a written handout that asks the Ss for efferent information related to a character's action in Dr. Jekyll and Mr. Hyde by Robert Louis Stevenson. Hence, both categories Teacher Reading (TR) and Efferent (EF) are noted.

• If an Idea Unit (IU) relates to efferent information (information related to literary analysis and literary topics or the development of reading or writing skills) while also directing the S or Ss to answer a question, conduct an activity, or review their learning related to the efferent information, the Idea Unit (IU) is placed in the Efferent (EF) category not the Administrative category (A) because the focus of the Idea Unit (IU) is considered to be the efferent information, not the directions to the S or Ss.

Example:

Idea Unit	*Category*
/"J___[S name], tell her what it [the quote referring to the theme] means."/	EF

Example Explanation: Although the T directs the S to provide information, the Idea Unit (IU) is not placed in the Administrative (A) category because the main focus of the Idea Unit (IU) is the efferent information related to analysis of theme. Hence, the Idea Unit (IU) is placed in the Efferent (EF) category.

/". . . somebody [a student] said it [what they were drinking during the card game]" /	EF

Example Explanation: Although the T acknowledges that a S has given correct information, the Idea Unit (IU) is not placed in the Administrative (A) category because the main focus of the Idea Unit (IU) is the efferent information related to the characters and the plot in Pope's The Rape of the Lock. Hence, the Idea Unit (IU) is placed in the Efferent (EF) category.

Example:

Idea Unit	*Category*
/"Review me on the seven types of imagery we learned first six weeks."/	EF

Example Explanation: Although the T asks the Ss to give information, the Idea Unit (IU) is not placed in the Administrative (A) category because the main focus of the Idea Unit (IU) is the efferent information related to the seven types of imagery that have been studied. Hence, the Idea Unit (IU) is placed in the Efferent (EF) category.

• The generic reference to a literary work may include not only literature per se, such as novels, plays, poetry, short stories, and legends; but also movies, television shows, and musicals. This generic reference to a literary work should not be considered the same as the Efferent sub-category Literary Work (lit wk). (For further explanation, see the Literary Work [lit wk] sub-category.)

Codes, Definitions, Examples, and Explanations of the Eight Categories

Administrative (A)--An Idea Unit placed in the Administrative (A) category is a teacher comment or question to a student, a group of students, or the entire class during the class period that offers information or directions regarding engaging in or completing classroom activities or assignments, following classroom routines and procedures, or monitoring instructional progress on activities or assignments.

Example:

Idea Unit	*Category*
/"I believe [we're on page] 401 [in your textbook]."/	A

/"You do too [know the answer]."/ A
(The T is telling the S who did not answer the question that she does know the answer.)

/"Obviously, I think this [reading page 401 and the introduction] is important,"/ A

/"and I make out the test."/ A
(The T makes this comment in a positive, humorous tone.)

/"Okay, [refer to page] 405."/ A

/"[Are there] any more questions before I turn it [the record] on?"/ A

/"[The] second and third period [English classes] did [offer a couple of ideas about the fictional pilgrimage]. . . "/ A

/" . . . notes in the margin [of the text] are helpful"/ A

/". . . but that's [reading the notes in the margin is] like reading footnotes for a novel."/ A
(The T is expressing to the students that, although the text of The Rape of the Lock has notes in the margin for the students to read, these notes are not sufficient and should not be used in lieu of the reading of the text.)

/"M___ [S name], why don't you do number 1?"/ A

/"Take out your vocabulary homework."/ A

/"You guys probably don't need a bonus [question], right?"/ A

/"Okay, do I have all of the quizzes?"/ A

/"Are you listening?"/ A
(This question was posed in a polite tone of voice

indicating a request and, hence, the Idea Unit [IU] is placed in the Administrative [A] category, not the Disciplinary [D] category.)

Aesthetic (AS)--An Idea Unit placed in the Aesthetic (AS) category is a teacher comment or question to a student, a group of students, or the entire class in which the attitude or focus of attention assumed by the teacher indicates to or elicits from the students a personal or emotional response, reflection, or involvement with the literature being studied or with other literary works or topics being addressed during the class period. An Idea Unit in the Aesthetic (AS) category may reference a contemporary person, object, place, event, topic, or publication that facilitates a personal or emotional connection, reflection, or response to the literature being studied or with other literary works or topics being addressed during the class period. In addition, an Idea Unit in the Aesthetic (AS) category may facilitate a personal or emotional connection, reflection, or response engendered by identification with a character, event, or theme in the literature being studied or with other literary works being addressed during the class period. Regarding the Idea Unit in the Aesthetic (AS) category, the "primary concern is with what happens *during* the actual reading event. . . . *the reader's attention is centered directly on what he is living through during his relationship with that particular text*" (Rosenblatt, 1978, pp. 24-25).

Example:

Idea Unit	*Category*
/"[The teacher asks the students to ask themselves when reading Pope's The Rape of the Lock] 'Have I ever done this [worry about and dwell on insignificant things that do not really matter]?' "/	AS
/"[You might] think--it's silly [to worry about and dwell on insignificant things that do not really matter]"/	AS
/"but [you are thinking that] it [this worrying about and dwelling on insignificant things that do not really matter] does apply to me . . . "/	AS

/"Richard Simmons . . . [is] going with us [on the fictional pilgrimage]."/	AS
/"If [the characters in the fictional pilgrimage are going to] reflect [contemporary] society--don't we need a drug dealer?"/	AS

Complimentary (C)--An Idea Unit placed in the Complimentary (C) category is a teacher comment or question to a student, a group of students, or the entire class that praises a student, a group of students, or the entire class during the class period.

Example:

Idea Unit	*Category*
/"Good [that's a good answer to the previous question]"/	C
/"You've done a beautiful job of brainstorming [modern characters who might go on the fictional pilgrimage] . . . "/	C

Disciplinary (D)--An Idea Unit placed in the Disciplinary (D) category is a teacher comment or question to a student, a group of students, or the entire class during the class period focusing on maintaining discipline in the classroom, proper student behavior, or student attention. Although an Idea Unit placed in the Disciplinary (D) category may be stated with a polite tone of voice, the teacher's tone of voice does not indicate merely a polite request but rather a firm comment or question giving direction regarding student behavior.

Example:

Idea Unit	*Category*
/"Shhhhh"/	D
/"Guys, please be quiet."/	D

Efferent (EF)--An Idea Unit placed in the Efferent (EF) category is a teacher comment or question to a student, a group of students, or the entire class in which the attitude or focus of attention assumed by the teacher indicates to or elicits from the student an objective, analytical, or informational response to the literature during the class period. An Idea Unit in the Efferent (EF) category may relate to literary analysis and literary topics such as the following: author, literary work, character, plot, setting, symbol, theme, or other literary terms. Also, an Idea Unit in the Efferent (EF) category may relate to the development of reading skills such as the following: main idea, paraphrasing, prediction, summarization, and vocabulary. In addition, an Idea Unit in the Efferent (EF) category may relate to the development of writing skills such as the following: grammar, mechanics (capitalization and punctuation), spelling, and syntax. Regarding the Idea Unit in the Efferent (EF) category, the "attention is focused primarily on what will remain as the residue *after* the reading--the information to be acquired, the logical solution to a problem, the actions to be carried out. . . . what he [the reader] will carry away from the reading" (Rosenblatt, 1978, pp. 23-24).

Example:

Idea Unit	*Category*
/"It's [The Rape of the Lock is] just a [satirical] story--[a] piece of satiric work done in Horatian fashion."/	EF
/"Pope wrote this for a real reason [because] someone came . . . [and asked him to write a satire]."/	EF
/"Yes, a friend . . . [asked Pope to write about a] feud . . . [when the friend said something like] 'why don't you write something about how silly . . . [it is] being . . . [in a feud]?' "/	EF
/"[An] epic--[is] told on [a] grand scale."/	EF
/"You just read one [an epic]--[which is] Paradise Lost"/	EF
/"We just talked about allusion . . ."/	EF
/"Now, thinking about it, did you remember familiar sounding things [allusions] . . . ?"/	EF

/". . . the three pieces . . . [which] Pope's allusion[s] . . . [reference are] the Odyssey, the Iliad, and Paradise Lost."/	EF
/"W____[S name], what does that [quote referring to the theme] mean?"/	EF
/"Okay, [the characters are] on their way to a party."/	EF
/"Card game [is] brewing."/	EF
/"[there is] lots of imagery . . . "/	EF
/"[The meaning is] all in the language . . . diction, word choice."/	EF
/"[this is] important to know because [the card game represents a] vicious war--battle . . . [where there will be a] winner and loser"/	EF
/". . . [the characters] battle, rest, [and then] they battle again [during the card game]."/	EF
/"[Considering the] subject and a verb --does that sentence make sense?"/	EF
/"A-N-A-C-H-R-O-N-I-S-M [The T spells out the word 'anachronism']"/	EF
/"[a] comma splice--[is a] run-on sentence."/	EF

Not Clear (NC)--An Idea Unit placed in the Not Clear (NC) category is a teacher comment or question to a student, a group of students, or the entire class during the class period that is not clear or intelligible to the researcher when the researcher is transcribing the field notes.

Example:

Idea Unit	*Category*
/"What does . . . ?"/	NC

Other (O)--An Idea Unit placed in the Other (O) category is a teacher comment or question to a student, a group of students, or the entire class during the class period that is not represented in one of the other seven categories: Administrative (A), Aesthetic (AS), Complimentary (C), Disciplinary (D), Efferent (EF), Not Clear (NC), or Teacher Reading (TR).

Example:

Idea Unit	*Category*
/"Okay"/	O
/"Oh, whine, whine"/	O
/"Have a wonderful weekend."/	O
/"Thank you."/	O

Teacher Reading (TR)--An Idea Unit placed in the Teacher Reading (TR) category is an oral reading by the teacher during the class period when the primary purpose of the teacher is to read aloud a word, phrase, sentence, or sentences that subsequently will be referenced, analyzed, or explicated from the literature textbook or another literary work; from written material such as handouts, study guides, worksheets, or quizzes used during the literature lesson; or from a board mounted on a wall, television, or overhead transparency. (Note: When the teacher is quoting aloud from memory or paraphrasing a word, phrase, sentence, or sentences but not reading aloud the quotation from another source, the Idea Unit is not placed in the category Teacher Reading [TR] and will be placed in another appropriate category.)

Example:

Idea Unit	*Category*
/" 'And particolored troops, a shining train,/ Draw forth to combat on the velvet plain' . . . "/	TR

(The T is reading the quotation from the textbook.
The virgule [diagonal mark] in the quoted
textbook passage after the phrase "a
shining train,/" does not indicate an IU.
This virgule is a poetic device indicating
the ending of a line of poetry.)

/" 'With his broad saber next, . . . Falls undistinguished by the victor spade!' "/ TR
(The T is reading the quotation from the textbook.)

Sub-categories

Each Idea Unit (IU) placed in the Aesthetic (AS) category or in the Efferent (EF) category is placed into sub-categories. When determining the sub-categories related to Aesthetic (AS) and Efferent (EF) categories, the entire Idea Unit (IU) is considered including not only the teacher's quoted comment or question, but also any interpolation(s) added by the researcher.

Examples:

Idea Unit	*Category*	*Sub-category*
/"Richard Simmons . . . [is] going with us [on the fictional pilgrimage]."/	AS	pc: cs
/"It [an epiphany] is an awakening."/	EF	rs

• The generic reference to a literary work may include not only literature per se, such as novels, plays, poetry, short stories, and legends; but also movies, television shows, and musicals. This generic reference to a literary work should not be considered the same as the Efferent sub-category Literary Work (lit wk). (For further explanation, see the Literary Work [lit wk] sub-category.)

Sub-categories of the Aesthetic (AS) Category

Aesthetic (AS)--An Idea Unit placed in the Aesthetic (AS) category is a teacher comment or question to a student, a group of students, or the entire class in which the attitude or focus of attention assumed by the teacher indicates to or elicits from the students a personal or emotional response, reflection, or involvement with the literature

being studied or with other literary works or topics being addressed during the class period. An Idea Unit in the Aesthetic (AS) category may reference a contemporary person, object, place, event, topic, or publication that facilitates a personal or emotional connection, reflection, or response to the literature being studied or with other literary works or topics being addressed during the class period. In addition, an Idea Unit in the Aesthetic (AS) category may facilitate a personal or emotional connection, reflection, or response engendered by identification with a character, event, or theme in the literature being studied or with other literary works being addressed during the class period. Regarding the Idea Unit in the Aesthetic (AS) category, the "primary concern is with what happens *during* the actual reading event. . . . *the reader's attention is centered directly on what he is living through during his relationship with that particular text*" (Rosenblatt, 1978, pp. 24-25).

• Each Idea Unit (IU) placed in the Aesthetic comment (AS) category is placed into one of the following two Aesthetic sub-categories.

Personal Connection: Contemporary Society (pc: cs)
Personal Connection: Literary Work (pc: lw)

• Although both of these Aesthetic sub-categories related to the Aesthetic (AS) category pertain to a student making a personal connection during the literature lesson, the difference between the two sub-categories is that the Personal Connection: Contemporary Society (pc: cs) sub-category focuses on the student making a personal connection with a reference to contemporary society (e.g., "Richard Simmons . . . [is] going with us [on the fictional pilgrimage]") whereas the Personal Connection: Literary Work (pc: lw) sub-category focuses on the student making a personal connection with the literature being studied (e.g., "[The teacher asks the students to ask themselves] 'Have I ever done this [worry about and dwell on insignificant things that do not really matter]?' ").

Codes, Definitions, Examples, and Explanations of the Two Aesthetic Sub-categories

Personal Connection: Contemporary Society (pc: cs)--An Idea Unit placed in the Personal Connection: Contemporary Society (pc: cs) sub-category is a teacher comment or question referencing a contemporary 20th or 21st century person, object, place, event, topic, or publication facilitating a student's personal or emotional connection, reflection, or response to the literature being studied or to other literary works or topics addressed during the class period.

Example:

Idea Unit	*Category*	*Sub-Category*
/"Richard Simmons . . . [is] going with us [on the fictional pilgrimage]."/	AS	pc: cs
/"If [the characters in the fictional pilgrimage are going to] reflect [contemporary] society-- don't we need a drug dealer?"/	AS	pc: cs
/"Are religious pilgrimages popular today?"/	AS	pc: cs
/"Whenever you see a Disney movie . . . [that's a] definitive moment."/	AS	pc: cs
/"Why would a car manufacturer name a car 'Avalon'?"/	AS	pc: cs
/"[Has] anyone been in [a] stadium where . . . [the stadium is] built down into [the] ground?"/	AS	pc: cs
/"We're in this big campaign [Presidential] season . . . [where there is] lots of responsibility [required of our leaders]."/	AS	pc: cs

<u>Personal Connection: Literary Work (pc: lw)</u>-- An Idea Unit placed in the Personal Connection: Literary Work (pc: lw) sub-category is a teacher comment or question facilitating a student's personal or emotional connection, reflection, or response engendered by identification with a character (whether major or minor, animate or inanimate, human or non-human), event, setting, or theme in the literature being studied or in other literary works addressed during the class period.

Example:

Idea Unit	*Category*	*Sub-Category*
/"[The teacher asks the students to ask themselves when reading Pope's The Rape of the Lock] 'Have I ever done this [worry about and dwell on insignificant things that do not really matter]?' "/	AS	pc: lw
/"[You might] think--it's silly [to worry about and dwell on insignificant things that do not really matter]"/	AS	pc: lw
/"but [you are thinking that] it [this worrying about and dwelling on insignificant things that do not really matter] does apply to me . . . "/	AS	pc: lw
/"[During the] most perfect moments of my life--[there has been] no music."/	AS	pc: lw

Sub-categories of the Efferent (EF) Category

Efferent (EF)--An Idea Unit placed in the Efferent (EF) category is a teacher comment or question to a student, a group of students, or the entire class in which the attitude or focus of attention assumed by the teacher indicates to or elicits from the student an objective, analytical, or informational response to the literature during the class period. An Idea Unit in the Efferent (EF) category may relate to literary analysis and literary topics such as the following: author, literary work, character, plot, setting, symbol, theme, or other literary terms. Also, an Idea Unit in the Efferent (EF) category may relate to the development of reading skills such as the following: main idea, paraphrasing, prediction, summarization, and vocabulary. In addition, an Idea Unit in the Efferent (EF) category may relate to the development of writing skills such as the following: grammar, mechanics (capitalization and punctuation), spelling, and syntax. Regarding the Idea Unit in the Efferent (EF) category, the "attention is focused primarily on what will remain as the residue *after* the reading--the information to be acquired, the logical solution to a problem, the actions to be carried out. . . . what he [the reader] will carry away from the reading" (Rosenblatt, 1978, pp. 23-24).

• Each Idea Unit (IU) placed in the Efferent (EF) category can be placed into one or more of the following ten sub-categories.

Author (au)	Symbol (sym)
Literary Work (lit wk)	Theme (th)
Character (ch)	Other Literary Term (other lit term)
Plot (pl)	Reading Skill (rs)
Setting (set)	Writing Skill (ws)

• If an Idea Unit placed in an Efferent (EF) sub-category contains more than one reference within that same sub-category, the sub-category will be noted only one time.

Example:

Idea Unit	*Category*	*Sub-Category*
/"Remember Byron and Shelley."/	EF	au

Example Explanation: Although the Idea Unit in the Efferent (EF) category is placed in the author (au) sub-category and makes a reference to two authors (i. e., Byron and Shelley), the Author (au) sub-category is listed only one time.

Codes, Definitions, Examples, and Explanations of the Ten Efferent Sub-categories

Author (au)--An Idea Unit placed in the Author (au) sub-category is a teacher comment or question referencing an author's name or facilitating knowledge of an author's biographical information, philosophy, personality, or style of writing regarding the literature being studied or in other literary works addressed during the class period.

Example:

Idea Unit	*Category*	*Sub-Category*
/"Name the place where Shakespeare was born."/	EF	au

/"Shaw was a socialist . . . [who believed that] everyone needed some money but not too much money."/	EF	au
/"He [T. H. White] wrote after WW II."/	EF	au
/"He [Walt Whitman] had his own . . . view of democracy [which Whitman] carried almost to extreme--[because he considered] everyone equal--even men and women."/	EF	au
/"At [the] time of [the] Civil War [Whitman was] too old to serve [in the army]--[so] he volunteered [to help wounded soldiers] . . . "/	EF	au

Literary Work (lit wk)--An Idea Unit placed in the Literary Work (lit wk) sub-category is a teacher comment or question that provides background information regarding the literature being studied or other literary works or is a teacher comment or question that references or facilitates the recognition of the title of the literature being studied or other literary works addressed during the class period.

Example:

Idea Unit	*Category*	*Sub-Category*
/"What about the story 'The Rocking-Horse Winner'?"/	EF	lit wk
/"What do you remember about The Sword in the Stone?"/	EF	lit wk
/"Oh, there was another movie Pygmalion."/	EF	lit wk
/"Camelot--musical by that name."/	EF	lit wk

Character (ch)--An Idea Unit placed in the Character (ch) sub-category is a teacher comment or question that focuses on the naming or identification of a major or minor character, whether animate or inanimate, human or non-human, in the literature being studied or in other literary works addressed during the class period. In addition, the Character (ch) sub-category is a teacher comment or question that facilitates the description of the background, physical characteristics, or the personality traits of a major or minor character, whether animate or inanimate, human or non-human, in the literature being studied or in other literary works addressed during the class period.

Example:

Idea Unit	*Category*	*Sub-Category*
/"Is Hyde a mixture of good and evil or [is Hyde] pure evil?"/	EF	ch
/"Jekyll is a large, well-made man."/	EF	ch
/"What's Mrs. Wilson's first name?"/	EF	ch
/"Start rattling off [naming the] characters."/	EF	ch
/"[Alfred Doolittle is] realistic and also carefree--[as revealed in Doolittle's comment that he will immediately spend the money he will receive from Professor Higgins on] 'Just one good spree for myself and the missus' . . . "/	EF	ch
/"[the characters are] both ladies and gentlemen"/	EF	ch
/"Archimedes [is the name of Merlin's owl . . ."/	EF	ch

Plot (pl)--An Idea Unit placed in the Plot (pl) sub-category is a teacher comment or question facilitating recognition of the physical or psychological action in a scene or event or the sequence of physical or psychological action in scenes or events in the literature being studied or in other literary works addressed during the class period.

Example:

Idea Unit	*Category*	*Sub-Category*
/"Card game [is] brewing."/	EF	pl
*/"Okay, [the characters are] on their way to a party."/	EF	pl
*/". . . [the characters] battle, rest, [and then they battle again [during the card game]."/	EF	pl
*/"[Is] Belinda, winning or losing?"/	EF	pl
*/"What's the spider doing?"/	EF	pl
*/"What do you think he [Paul] died from?"/	EF	pl

*Note: (a) Although each of the five Idea Units with asterisks noted previously in the Efferent (EF) category includes a reference to a character, the character reference is incidental and is not the focus of the Idea Unit. Instead, the focus of each of these five Idea Units is the physical or psychological action in a scene or event or the sequence of physical or psychological action in scenes or events in the literature. Hence, each of these five Idea Units is designated in the Plot (pl) sub-category, not the Character (ch) sub-category, which instead focuses on naming or identifying a character or describing the background, physical characteristics, or personality traits of the character.

(b) However, if an Idea Unit in the Efferent (EF) category focuses both on character and on plot development, then both the Character (ch) sub-category and the Plot (pl) sub-category are indicated as in the following example.

Example:

Idea Unit	*Category*	*Sub-Category*
"/Sir Kay [is] nervous and leaves [his] sword at home."/	EF	ch; pl

Example Explanation: In this statement, the teacher is both describing the character Sir Kay as being nervous which in turn contributes to the plot development of Sir Kay leaving his sword at home. (For further explanation of an Idea Unit in an Efferent [EF] category with multiple Efferent sub-category placements, see the section in the following pages titled "Explanations and Examples of Idea Units Placed in Multiple Efferent Sub-categories.")

Setting (set)--An Idea Unit placed in the Setting (set) sub-category is a teacher comment or question facilitating the identification or description of the place or the time that a scene or event or a sequence of scenes or events occurs in the literature being studied or in other literary works addressed during the class period.

Example:

Idea Unit	*Category*	*Sub-Category*
/"When is this [tale] taking place?"/	EF	set
/"[The tale is taking place during the] twelfth century"/	EF	set
/"What season is it?"/	EF	set
/"[The spider is] in [a] vast, vacant surrounding"/	EF	set

Symbol (sym)--An Idea Unit placed in the Symbol (sym) sub-category is a teacher comment or question during the class period facilitating the recognition that a concrete, tangible person, object, entity, or event in the literature being studied or in other literary works represents an abstract idea or concept of greater significance.

Example:

Idea Unit	*Category*	*Sub-Category*
/"[The word] 'You' represents [the] soul."/	EF	sym
/"[The spider's web represents a] home for a soul"/	EF	sym
/"[The word] 'Spheres' could be [representing] love, emotions, ideas."/	EF	sym

Theme (th)--An Idea Unit placed in the Theme (th) sub-category is a teacher comment or question during the class period facilitating the recognition or understanding of an idea, message, or insight about life and living or about human beings or human existence revealed in the literature being studied or in other literary works.

Example:

Idea Unit	*Category*	*Sub-Category*
/"W____[S name], what does that [quote referring to the theme] mean?"/	EF	th
/"What is the moral [or message of the story] . . . ?"/	EF	th
/"Money doesn't buy happiness [is the moral or message of the story]."/	EF	th

Other Literary Term (other lit term)--An Idea Unit placed in the Other Literary Term (other lit term) sub-category is a teacher comment or question during the class period facilitating recognition or understanding of a literary term or literary concept in the literature being studied or in other literary works that is not included in the following sub-categories: Author (au), Literary Work (lit wk), Character (ch), Plot (pl), Setting (set), Symbol (sym), and Theme (th). The Other Literary Term sub-category includes, but is not limited to, the following literary terms or literary concepts: allusion,

anachronism, canto, diction, epic, epigram, fairy tale, free verse, hero or heroine, heroic couplet, hubris, iambic pentameter, imagery, irony, legend, metaphor, mood, myth, narrative, narrator, novel, parable, paradox, parallelism, poetry, point of view, prologue, pun, satire, short story, simile, soliloquy, synecdoche, tone, and tragedy.

Note: Generic words such as "story," "tale," and "book" are not considered literary terms that would be placed in the Other Literary Term (other lit term) sub-category. In addition, generic references to a "chapter" or an "act" while studying novels or plays respectively are not considered literary terms that would be placed in the Other Literary Term (other lit term) sub-category.

Example:

Idea Unit	*Category*	*Sub-Category*
/"[An] epic -- [is] told on [a] grand scale."/	EF	other lit term
/"We just talked about allusion . . ."/	EF	other lit term
/"[The meaning is] all in the language . . . diction, word choice."/	EF	other lit term
/"Do you remember . . . [that] imagery contributes to meaning?"/	EF	other lit term
/"Review me on the seven types of imagery we learned first six weeks."/	EF	other lit term
/"What is paradox?"/	EF	other lit term
/"Do you know this one [synecdoche]?"/	EF	other lit term
/"What is the term in Greek tragedies for fatal flaw?"/	EF	other lit term
*/"Hubris [is the term in Greek tragedies for fatal flaw]"/	EF	other lit term
*/"[A] mock epic . . . [is] satirical . . ."/	EF	other lit term

*Note: Although each of the two Idea Units with asterisks previously noted in the Efferent (EF) category includes two specific literary terms (a reference to "hubris" and "Greek tragedies" in one example and a reference to the "mock epic" and "satire" [i.e., "satirical"] in the other example), the sub-category Other Literary Term (other lit term) will be noted only once, not twice, in each Idea Unit.

Reading Skill (rs)--An Idea Unit placed in the Reading Skill (rs) sub-category is a teacher comment or question facilitating the development of reading skills such as determining the main idea, paraphrasing, predicting, summarizing, using context clues, and defining or pronouncing vocabulary words or phrases other than literary terms while referring to the literature being studied or to other literary works or topics addressed during the class period.

Example:

Idea Unit	*Category*	*Sub-Category*
/"How . . . [do you] paraphrase or summarize [when you are actively reading]?"/	EF	rs
/"Try to predict [when you are actively reading]."/	EF	rs
/"Look for key [main] ideas for overall meaning [during active reading]."/	EF	rs
*/"What is the hilt?"/	EF	rs
*/"It [an epiphany] is an awakening."/	EF	rs
*/"What is [the] Holy Grail?"/	EF	rs

*Note: The three Idea Units with asterisks previously noted in the Efferent (EF) category are placed in the Reading Skill (rs) sub-category, not the Other Literary Term (other lit term) sub-category, because these three Idea Units facilitate the understanding of the meaning of the words "hilt" and "epiphany" and the term "Holy Grail," which are considered vocabulary words, not literary terms.

Writing Skill (ws)--An Idea Unit placed in the Writing Skill (ws) sub-category is a teacher comment or question facilitating the development of writing skills related to topics such as grammar, mechanics (capitalization and punctuation), parts of speech, spelling, or syntax while referring to the literature being studied or to other literary works or topics addressed during the class period.

Example:

Idea Unit	*Category*	*Sub-Category*
/"[Considering the] subject and a verb --does that sentence make sense?"/	EF	ws
/"[a] comma splice--[is a] run on sentence."/	EF	ws
/"What is the best way to rewrite the underlined sentences [to make them grammatically and mechanically correct]?"/	EF	ws
/" . . . remember [that] what we're looking for is a well-written sentence [that is grammatically and mechanically correct]."/	EF	ws
/"If [you] write to friend on TAAS [Texas Assessment of Academic Skills] avoid 'what's' and 'cuz.' "/	EF	ws
*/"A-N-A-C-H-R-O-N-I-S-M [The T spells out the word 'anachronism']"/	EF	ws

*Note: The Idea Unit previously noted in the Efferent (EF) category is placed in the Writing Skill (ws) sub-category, not the Other Literary Term (other lit term) sub-category, because this Idea Unit is intended to facilitate an understanding of the spelling of the word "anachronism," not the understanding of the word as a literary term.

Explanations and Examples of Idea Units Placed in Multiple Efferent Sub-categories

Some of the Idea Units in the Efferent (EF) category have more than one Efferent sub-category placement related to 8 of the 10 sub-categories: Author (au), Literary Work (lit wk), Character (ch), Plot (pl), Setting (set), Symbol (sym), Theme (th), and Other Literary Term (other lit term). Idea Units in the Efferent (EF) category related to the Reading Skill (rs) and Writing Skill (ws) sub-categories have only one Efferent sub-category placement.

Example:

Idea Unit	*Category*	*Sub-Category*
/"It's [The Rape of the Lock is] just a [satirical] story--[a] piece of satiric work done in Horatian fashion."/	EF	lit wk; other lit term
/"You just read one [an epic]--[which is] Paradise Lost."/	EF	other lit term; lit wk
/". . . [the characters are] on [their] way to Hampton Court."/	EF	pl; set
/"with [the] king of hearts and [the king of hearts] takes [the] baron's ace [representing the message that love conquers all]."/	EF	pl; sym; th
/"the three pieces . . . [which] Pope's allusion[s] . . . [reference are] the Odyssey, the Iliad, and Paradise Lost."/	EF	au; other lit term; lit wk
"/Sir Kay [is] nervous and leaves [his]sword at home."/	EF	ch; pl

Appendix B

Letter to Teacher: Invitation to

Participate in the Study

LETTER TO TEACHER: INVITATION TO

PARTICIPATE IN THE STUDY

HEADING
(Researcher's Address and Date)

INSIDE ADDRESS
(Teacher School Address)

Dear _____ (teacher name),

My name is Jo Ann Patton, and I am a doctoral student at Texas Woman's University in the Department of Reading and Bilingual Education and a former English teacher at _____ (name of high school in the district). I will be conducting a study for my doctoral dissertation to explore the literary approaches and teaching strategies of experienced, successful high school English teachers during the study of literature. Your principal, _____(principal's name), has recommended your name to me as a colleague who meets the qualifications of the study. I would like to invite you to participate in this study that will be conducted during the spring semester of this 1999-2000 school year.

If you participate in the study, your total time commitment is anticipated to be approximately three hours with the majority of the time involving a 55 minute classroom observation and a 60 minute interview. A 30 minute meeting will precede the classroom observation to describe the study more fully and to answer questions that you might have. You may be assured that your participation in this study is, and will remain, entirely voluntary. In addition, confidentiality throughout the study will be maintained as pseudonyms will be used so that your name and identity and the names and identities of your students, school district, city, and high school will remain anonymous. I will do my best to be as unobtrusive as possible during the classroom observation and always respect your time and honor the many responsibilities that you have to your teaching task.

Because of the descriptive nature of this qualitative research study, risk and disruption to you and to your students will be minimal. No changes in your classroom, curriculum, methods, or materials will be asked of you or your students. I will be observing your classroom on one occasion during the study of literature and taking descriptive field notes during the lesson. I would like to collect at the end of the observation any artifacts related to the literature lesson that might be available and relevant (e.g., lesson plans, handouts, student work samples). At your convenience following the classroom observation, we will engage in an audiotaped interview for approximately one hour so that I can gain from your perspective greater insight into your teaching philosophy, strategies, and the literature lesson. The interview will be audiotaped so that I can be sure to capture your comments completely and accurately for transcription. Prior to the classroom observation, I will meet with you briefly and ask you to complete a consent form and a one-page information sheet that includes basic information about your educational background, teaching experience, and current teaching assignment so that I will know you better before the observation and interview. As stated above, you will invest approximately three hours in the research project. After reviewing transcripts of the field notes and the interview, I may need supplemental information that requires revisiting the classroom on an additional occasion and conducting an additional interview. However, this request for an additional observation and interview is considered unlikely. In the event that an additional request must be made, I will be respectful of your valuable time and busy schedule; and your total maximum time commitment would not exceed five hours.

I sincerely hope that you will be a participant in this research study. I believe your involvement will be both personally and professionally gratifying because you will know that you are contributing information and insights to our profession that will benefit both teachers and students in the future. My telephone number and e-mail address are listed below should you wish to contact me to let me know if you would or would not like to participate in the study or if you have further questions that I can answer. I am eagerly looking forward to hearing from you and meeting you and will call you at _____(name of high school) the week of _____(one week after receipt of the letter) to discuss the study with you further if I have not heard from you before that time.

Yours truly,

Jo Ann Patton
Doctoral Candidate
Texas Woman's University
Phone: _____ E-Mail: _____

Appendix C

Teacher Information Sheet

TEACHER INFORMATION SHEET

Please complete the relevant information and leave the other information blank. I will pick up this information sheet at the beginning of the classroom observation.

Thank you,
Jo Ann Patton
Doctoral Candidate, Texas Woman's University

Educational Background

Undergraduate Degree(s):_____

Graduate Degree(s):_____

Certification(s):_____

****

Experience in Education--Teaching and/or Administration

	Subject(s)	Grade Level(s)	No. of Years
High School:			
Middle/Junior H.S.:			
Elementary School:			
College/University:			
Administration:			

****

Current Teaching Assignment(s)

Please complete the information regarding your current (1999-2000) teaching assignment(s).

Subject	Grade Level	No. of Classes	No. of Students

Appendix D

Pilot Study and Research Study Transcripts:

Abbreviations and Symbols

PILOT STUDY AND RESEARCH STUDY TRANSCRIPTS:

ABBREVIATIONS AND SYMBOLS

T = Teacher
Ts = Teachers
T's = Teacher's
Ts' = Teachers'

S = Student
Ss = Students
S's = Student's
Ss' = Students'

I = Interviewer (found on interview transcripts referring to the researcher)

OHP = Overhead Projector or Overhead Projection (i.e., transparency)

. . . = ellipsis indicating missing word or words in a quotation

[ ] = researcher's interpolation inserting clarifying information in a quotation

( ) = researcher's explanatory comment

-- = brief pause, a clarification or related thought, a shift in thought, or an interruption in the quotation

___ = emphasis of word or phrase

Note. The abbreviations and symbols used when transcribing the pilot study observation field notes and interviews were the same ones used when transcribing the research study's observation field notes and interviews.

Appendix E

Pilot Study: Unit of Analysis, Categories, and Sub-categories--Codes and Definitions

PILOT STUDY: UNIT OF ANALYSIS, CATEGORIES, AND SUB-CATEGORIES--CODES AND DEFINITIONS

Unit of Analysis

Idea unit (/ /)--the unit of data analysis designating an independent idea or thought expressed by the teacher via a word, phrase, sentence, or sentences orally or in writing during the literature lesson

Categories

Aesthetic (AS)--the attitude or focus of attention assumed by the teacher during the literature lesson that emphasizes a personal, artistic, emotional, or individual response to or involvement with the literature being studied; the "primary concern is with what happens *during* the actual reading event. . . . *the reader's attention is centered directly on what he is living through during his relationship with that particular text*" (Rosenblatt, 1978, pp. 24-25)

Efferent (EF)--the attitude or focus of attention assumed by the teacher during the literature lesson that emphasizes a public, objective, analytical, or informational response to the literature being studied; the "attention is focused primarily on what will remain as the residue *after* the reading--the information to be acquired, the logical solution to a problem, the actions to be carried out. . . . what he [the reader] will carry away from the reading" (Rosenblatt, 1978, pp. 23-24)

Disciplinary (D)--a teacher comment to a student, a group of students, or the entire class during the literature lesson focusing on maintaining discipline in the classroom, proper student behavior, and student attention

Instructional (I)--a teacher comment to a student, a group of students, or the entire class during the literature lesson giving instructions and directions regarding how to complete assignments, monitoring progress on assignments, or following classroom procedures

Other comments (O)--a teacher comment to a student, a group of students, or the entire class during the literature lesson that is not aesthetic, efferent, disciplinary, or instructional

Student reading (SR)--an oral reading by a student, group of students, or entire class from the literature text or from other written material used during the literature lesson

Teacher reading (TR)--an oral reading by the teacher from the literature text or from other written material used during the literature lesson

Sub-categories

Related to Aesthetic Category (AS)

Personal connection (pc)--a teacher comment facilitating a personal connection with the literature being studied

Related to Efferent Category (EF)

Allusion (all)--a teacher comment facilitating a general or specific reference to a familiar person, object, place, event, or artistic work

Character (c)--a teacher comment facilitating the identification, description, or analysis of a character internally or externally, a character's actions, or a character's motivation in the literature being studied

Grammar (g)--a teacher comment facilitating the study of grammar while referring to the text of the literature being studied

Inference (inf)--a teacher comment facilitating a specific, overt conclusion or assumption related to the literature being studied

Plot (pl)--a teacher comment facilitating recognition of the sequence or pattern of actions or events in the literature being studied

Point of view (pv)--a teacher comment facilitating recognition of the perspective of the author or a character in the literature being studied

Punctuation (p)--a teacher comment facilitating the study of punctuation while referring to the literature being studied

Setting (set)--a teacher comment facilitating recognition of the general or the specific places and times described or identified in the literature being studied

Spelling (sp)--a teacher comment facilitating understanding of the spelling of a word related to the literature being studied or the literature lesson

Symbol (s)--a teacher comment facilitating the recognition that a concrete, tangible object or entity in the literature being studied signifies an abstract idea or concept of greater significance

Title (t)--a teacher comment facilitating the recognition of the title of the literature being studied or another title mentioned during the literature lesson

Theme (th)--a teacher comment facilitating the recognition of the idea, message, or meaning of the literature being studied

Vocabulary (voc)--a teacher comment facilitating the recognition of the meaning of a word, phrase, or concept

Appendix F

Classroom Observation Field Note Excerpt

CLASSROOM OBSERVATION FIELD NOTE EXCERPT

T: Snake (T makes allusion to evil.)

T: On p. 76

S: p. 98, middle
(S offers info. regarding page # in another copy of book)

T: Reaction – What did you have?
We had 2 columns.

S: Loathing ...
deformity ...
distaste ...
hatred ...
dislike ...

(T references the last question of handout/study guide worksheet "Dr. Lanyon's Narrative" – "Describe in detail Lanyon's REACTION to the midnight messenger.")

S: Jekyll well built

T: But not talking about Jekyll, talking about Hyde

T: Why [in this] coming up now [in the novel]?

T: You're being too logical (T telling Ss to think more creatively to understand novel's plot.)

9:40 a.m.

Note. This represents one page of original field notes taken during an observation of a 12th-grade teacher during the study of Robert Louis Stevenson's novel Dr. Jekyll and Mr. Hyde.

Appendix G

Classroom Observation Transcript Excerpt

CLASSROOM OBSERVATION TRANSCRIPT EXCERPT

T = Teacher

S = Student

T: "Snake"
(T makes an allusion to evil.)

T: "[Look] on page 76"

S: "Page 98, middle"
(S is offering the alternate page number in the other edition of the text that some of the Ss are using so that all Ss can follow along with the text.)

T: "Reaction--what did you have? We have two columns."
(T is referring to the last question on the handout [study guide/worksheet] "Dr. Lanyon's Narrative," which states--"Describe **in detail** Lanyon's **REACTION** to the midnight messenger.")

S: "Loathing . . . deformity . . . distaste . . . hatred . . . dislike . . ."

S: "Jekyll well-built"

T: "But not talking about Jekyll, talking about Hyde"

T: "Why [is this] coming up now [in the novel]?"

T: "You're being too logical."
(T is telling Ss to think more creatively to understand the novel's plot.)

9: 40 a.m.

Note. This represents 1 page of a 26 page transcript of field notes taken during an observation of a 12th-grade teacher during the study of Robert Louis Stevenson's novel Dr. Jekyll and Mr. Hyde.

Appendix H

Teacher Interview Guide

TEACHER INTERVIEW GUIDE

Note: Prior to beginning the interview, the researcher would assure/remind the interviewee of the following information in a brief, informal introduction.

- Purpose of the interview
- Interviewer's appreciation of the interview opportunity
- Importance of the interviewee's responses
- Two tape recorders being used in case one of the recorders malfunctions
- Transcription of audiotape
- Transcription ensuring confidentiality and anonymity via the use of pseudonyms
- Transcription to be retained; audiotape to be destroyed/burned by 2002
- Interviewee's prerogative to omit answering any questions
- Interviewee's knowing that there are no right or wrong answers
- Interview being informal and conversational with some specific questions being asked of all participants in the study
- Possible need to contact the participant at a later time, perhaps by phone or in person, to ask briefly a few more questions
- Prerogative of the interviewee to contact the interviewer at a later date to add or change information

Important Reminders:

- Avoid jargon.
- Use simply stated questions.
- Avoid repeating words and phrases when stating a question unless needed for clarification.
- Be comfortable with pauses, silence, and wait time.
- Do not interrupt, even in an attempt to comfort, support, or agree with the teacher.
- Encourage more detail, elaboration, and extension of a comment.
- Ask for clarification if a teacher's word, phrase, or comment is unclear.
- Use two tape recorders so that there will be a back-up if one tape recorder malfunctions.

GUIDING QUESTIONS

I. Decision to Become a High School English Teacher

Would you take a minute or two and share with me why you became a high school English teacher? (What influenced you to become a high school English teacher?)

II. Philosophy of Teaching High School English

1. What do you believe is/are the purpose/s of teaching literature to high school students? How have you come to hold this/these belief/s?

2. Regarding the teaching of literature, I would like to know what you consider to be of greatest importance to high school students during the study of literature and how you have come to hold these beliefs. Hence, I would like to share with you five dimensions (i.e., considerations/reasons) when teaching literature to high school students and ask whether you feel the dimension is a high, moderate, or low priority and why you hold this belief or opinion. (All of the five dimensions noted below--A, B, C, D, and E--will be read before the teacher begins answering the question. Then, each dimension will be read with time given for the teacher to answer and discuss individually each of the five dimensions. The teacher will be reminded that the five dimensions are not presented in any order of presumed importance. At the end of the discussion, the teacher will be asked if he/she believes there is any other dimension that should be included.)

Five Dimensions (Considerations/Reasons) for Teaching Literature to High School Students

A. Analyzing the literature (e.g., plot, theme, characters, setting, etc.);
Knowing and identifying literary terms (e.g., satire, metaphors, similes, imagery, etc.);
Knowing literary works, authors, eras (literary periods).

B. Connecting with the literature personally and emotionally;
Learning about themselves and others through literature;
Identifying personally with the characters and themes or messages of the literature.

C. Developing critical thinking ability.

D. Developing/improving literacy skills such as reading, writing, listening, and speaking skills.

E. Appreciating literature as a work of art that develops imagination, creativity, and judgment of artistic value.

F. Other

3. Regarding the teaching of literature, what strategies and activities do you find to be most effective with students? How have you acquired knowledge about teaching strategies and activities that you use with your students while studying literature?

III. Criteria and Processes Used for Decision-Making During the Study of Literature and Preparation of Literature Lessons

1. When preparing a literature lesson, what are your first considerations?

2. How do you make decisions about what to include in a literature lesson? What are the essential considerations/influences during the decision-making process (personal, district, state, etc.)?

IV. Background on Transactional Reading Theory

1. Are you familiar with the work of Louise Rosenblatt and her transactional reading theory?

2. Are you familiar with the terms aesthetic and efferent as related to reading and what is your concept of these terms?

3. If the teacher is familiar with Rosenblatt's theory, continue with the following questions.

- To what extent, if any, do you agree with Rosenblatt's transactional reading theory? What are your reasons?
- Does Rosenblatt's theory influence your teaching of literature? If so, how?

4. Are you familiar with the term reader response?

   If the teacher is familiar with the term reader response, continue with the following questions.

   - How would you explain or describe the term reader response?
   - How did you acquire this impression or information?
   - To what extent, if any, do you feel reader response theory and strategies should be used in the English classroom during the study of literature? What are your reasons?
   - What reader response strategies, if any, do you feel are most beneficial during the study of literature? What are your reasons?

V. Additional Comments, Insights, or Ideas

Are there other comments, insights, or ideas that you would like to offer regarding the teaching of literature in the high school English classroom that I have not given you an opportunity to share or discuss?

Appendix I

Interview Transcript Excerpt

INTERVIEW TRANSCRIPT EXCERPT

I = Interviewer

T = Teacher

I: "Well, when--so they make connections through--what I'm--if I'm wrong, you tell me--you facilitate then in your teaching whole group and small group discussion where they can make parallels and connections with various pieces of literature as well as with their lives."

T: "As real live people"

I: "And their own personal lives"

T: "I tell my students up front at the beginning of the year--let me digress a minute--I tell my students--and I require the independent reading about every three and a half to four weeks and they have to complete the reading and then they come in and I'll ask them--I'll assign something that's in-depth that they have to think about and analyze. It may be just one aspect: what do you think was the author's purpose in writing? What did he--what is reflected as his purpose? What was the main--what are the main themes or main ideas? Or, analyze the symbolism in the work, if I think there might be symbolism. I tell my students that the most important thing that they can do for themselves is have a knowledge--and I'm not recommending any religious group--but to have a knowledge of that Bible and especially the Old Testament--books from Genesis through the end, Malachi. Then have a knowledge of mythology and especially the Greek and Roman mythology. And, Edith Hamilton's Mythology--that's one of the better ones for them to read because they can understand it. And then, after they do that, they can go to Sophocles--Oedipus, Antigone--and some of those great Greek dramas and Dante's Inferno and if they will have those as a background, then they can better understand all of the other literature. Now, I also tell them right along with that--because literature is so important--that we will not spend the time studying literature if we can't find parallels and make it relevant to our own times, to our own lives. I do not do Daniel Defoe's--I believe it's Defoe--The London Fighter--I think that's in our textbook--because it's a record of an incident and, yes, we might relate to it but there's so many works in our literature that's so much more important and we cannot study the entire book. So I choose the works that I think are of more relevance. An example of that is Kafka's Metamorphosis. I just think it's so relevant because when you read that first page and Kafka states, 'I woke up one'--Samsa, Gregor

Samsa, woke up one morning and found that he was a vermin and you explain that a vermin is something really low and in the German it probably means cockroach even though that's debatable among the critics. A cockroach--what is his self-image? And I try to build self-image, and I try to teach the students that, you know, all things are possible if they'll give it a try. And, I think The Metamorphosis is such an important work because they can see--'Oh, I really get down on myself.' You know--so I like for them to relate."

Note. This represents 1 page of a 29-page transcript of an interview with one teacher.

Appendix J

Researcher's Journal: Excerpts from Notes, Memos, and Reflections

RESEARCHER'S JOURNAL: EXCERPTS FROM

NOTES, MEMOS, AND REFLECTIONS

DATE: Wednesday, December 1, 1999
TIME: 2:00--3:00 p.m.
LOCATION: ____ High School
NOTES/MEMOS/REFLECTIONS:

. . . I traveled to ____ [high school name] from my home as I used to do so many years ago. The streets and the buildings were mostly unchanged except for a few areas which had increased retail shops and homes, but even these changes were not substantial. I drove to the high school and parked in the front of the building about 1:30 p.m. As I walked up to the front doors, I noted that the landscaping was very lovely and improved from years ago with more lushness than when I was an English teacher there. The welcome sign in the windows looked just the same as years ago. I entered the building and noted that the atmosphere and floor plan and color scheme looked the same. They had opened up a window in the front entry for an attendance office; otherwise, everything looked much the same. I went into the woman's faculty restroom and noted that it looked a bit more attractive with more colorful artifacts, paint, and furniture than the years before when it was a sterile looking area. I had to see if they had hot water at the sinks (a wish that we had for many years and got the last few years when I was at the school) and, indeed, hot water still existed. I walked down the halls and looked at the walls and noted the trophy cases and plaques, many which I had remembered and others that were new. It was pleasant peeking into the library where I had spent so many hours reading and grading. I heard beautiful piano playing coming from the Music Department area which is located near the administrative offices. I went by the teachers' mailboxes and found them in the same place. Not much had changed regarding locations and floor plans . . .

DATE: Tuesday, December 7, 1999
TIME: 2:00--2:40 p.m.
LOCATION: _____High School
NOTES/MEMOS/REFLECTIONS:

. . . I arrived at ____ [high school name] about 1:35 p.m. and found a close-in parking spot for visitors right in front of the building. When I entered the main building, I was most impressed by large, expansive red banners traversing overhead that proclaimed the academic excellence of the high school from national and state

recognitions. I also noted on the walls many pictures show-casing the years of a winning Academic Decathlon tradition. The school felt warm and welcoming. There was a calm, pleasantly serious aura in the building . . .

DATE: Tuesday, December 7, 1999
TIME: 3:15--3:50 p.m.
LOCATION: _____ High School
NOTES/MEMOS/REFLECTIONS:

. . . I parked in the _____ [high school name] parking lot where I used to park when I was a teacher at the high school for 10 years. It was a nostalgic moment. I walked into the main office area from the parking lot and signed in as a visitor and got a visitor tag. I then went up the stairs to the second floor . . . This, too, was a nostalgic moment as I had walked that path hundreds of times when I was a teacher at the high school but had not been in the area for 10 years. I saw the old lecture hall on the first floor where we had so many faculty meetings and where the students had gathered to see films together. The building, stairwell, halls, etc. looked exactly the same as they did a decade ago with the same bright, shiny tile floors and tile and stucco walls with the off white and light blue tint. The only visible change was that the wall going up the stair-well to the second floor . . . now had a wonderfully brightly colored mural that I supposed the students had painted. It was a nice, warm addition to the once remembered sterile walls . . .

DATE: Thursday, December 9, 1999
TIME: 9:00 a.m.--9:40 a.m.
LOCATION: ____ High School
NOTES/MEMOS/REFLECTIONS:

. . . I arrived at ____ [high school name] about 8:35 a.m. and parked in the visitor parking in front of the school. When I entered the building, I remembered the floor plan from years ago when I would come to meetings, etc. _____ [High School Name] is the oldest high school in the district, and it has been marvelously preserved. I saw the library to my right as I entered the building, and I especially remembered a time about 7 years ago when I had just started my job in _____ [the name school of another school district] as Language Arts Coordinator and I had come to ____ [high school name] to the library to judge essays for the Academic Decathlon regional meet that year. I had many images of the administrators in the district who were there helping that day with the event and my meeting many of the colleagues whom I would work with from neighboring districts who had jobs similar to mine and who were also

there helping with the judging of the Decathlon essays. I . . . traversed the halls to the principal's office, which was decorated with lovely furniture and a welcoming atmosphere. Poinsettias were plentiful, and I could feel a holiday spirit. . . .

DATE: Friday, December 10, 1999
TIME: 9:00 a.m.--9:30 a.m.
LOCATION: _____ High School
NOTES/MEMOS/REFLECTIONS:

. . . I drove to _____ [high school name] and arrived about 8:40 a.m. on 12-10-99 (Fri.). It was a sunny day and the air was brisk and cool. I knew how to get there from past memory; plus, I had driven over there the day before after my meeting with _____ [principal name], the principal of _____ [high school name], to make certain of the route. When I arrived, I could tell that there was a major traffic and parking problem as the students and staff were arriving for classes. I decided to go down several streets past the high school and parked on a residential street as I did not want to risk being late for my appointment with the building principal. When I went into the high school, I noted teachers and students getting ready for the day in a calm, orderly manner. . . .

Appendix K

Researcher's Journal: Teacher Phone Call

RESEARCHER'S JOURNAL:

TEACHER PHONE CALL

DATE: Wednesday, March 29, 2000
TIME: 9:15 p. m.
LOCATION: Researcher's Home Via Telephone
TOPIC(S) Visiting C___ to Read Student Papers
PARTICIPANT(S): C____ and Researcher

NOTES/MEMOS/REFLECTIONS:

About 9:15 p.m. on Wed., 3-29-00, I received a phone call from C___ inviting me to come to ____ [high school name] to read some of C___'s students' papers. Some time ago, on 1-19-00, after our interview that day, this teacher invited me to come back to ____ [high school name] to read some of the students' papers. C___ knew that I was going to be busy the next couple of months with data collection for the dissertation, so we agreed that I would contact him at the end of March to set a time to meet. On March 28th, I mailed to C___ both a note inviting the teacher to call me if C___ wanted to get together to talk about some of the students' papers and a formal letter of appreciation. I was amazed when C___ called me on 3-29-00 to tell me that C___ had received that day both the note and the letter that I had sent the preceding day.

C___ wanted another pair of eyes to look at some of C___'s students' writing to give the teacher feedback on their work and to see how the assessments aligned with another teacher's assessments. I told C___ that I would be delighted to do so, and we set a time for me to come to C___'s classroom at ___ [high school name] on Thursday, April 13th, at 4:15 p. m. During the conversation, which lasted about five minutes, C___ conveyed again in C___'s usual tone and words the teacher's deep concern for and dedication to the students. In trying to establish a convenient date for me to come for the visit, C___ told me briefly about some of the teacher's school commitments; and at one point, C___ was telling me about attending an event in which one of the teacher's students would be honored. C___ said, "I love her . . . my African daughter." This genuine affection and commitment to the students have been apparent on each occasion that I talk with or observe C___. It is so very wonderful to have teachers in our profession who care so deeply about each and all of their

students. In fact, as I think about the 10 teachers who have participated in the study, all of them have exhibited a genuine respect, concern, and affection for their students--a fact which is not only impressive, but very comforting.

C___ and I ended the conversation with my assuring the teacher that I looked forward to our meeting on April 13th. C___ offered a home phone number to me in case I needed to contact the teacher (Phone Number:_____).

Appendix L

Researcher's Journal: Teacher Eclectic

Information Sheet

RESEARCHER'S JOURNAL: TEACHER ECLECTIC

INFORMATION SHEET

NAME/SCHOOL: C____

BEST WAY TO CONTACT: E-mail
SCHOOL ADDRESS:
HOME ADDRESS:
E-MAIL:
WORK PHONE:
HOME PHONE:

REGULAR ENGLISH PERIODS/TIMES:

Per. 4 (Eng. 2)	12:20-1:15 (11:35-12:15/A lunch) [11:40-1:15]

CONFERENCE PERIODS/TIMES:

Per. 1	8:50-9:40
Per. 5	1:20-2:10

OTHER:
English Department Chairman
Academic Decathlon Coach [Period 6 (2:15-3:05) and Period 7 (3:10-4:00]

PHONE CALL(S), MEETING(S), OBSERVATION(S), INTERVIEW(S), ETC.

Tues., 12-14-99	Meeting with C___ in her capacity as Eng. Dept. Chair to discuss the research study; also prior e-mails and phone calls to set up this meeting.
Thurs., 12-16-99	Holiday greeting card sent to thank C___ for 12-14-99 meeting.
Thurs., 1-6-00	E-mail to C___ regarding participants for the study.
Sat., 1-8-00	E-mail from C____ regarding her willingness to participate in the study.
Sun., 1-9-00	E-mail to C___ regarding her participation and the participation of the other teachers.
Mon., 1-10-00	E-mail from C___ agreeing to meet on Thurs., 1-13-00, towards the end of 1st period.
Mon., 1-10-00	E-mail to C___ confirming my being there to meet with her on Thurs., 1-13-00 towards the end of 1st period.

Thurs., 1-13-00	Meeting with C___ in A___'s room with A___ and M___; meeting had started, but C___ did not feel that she missed anything since we had had a prior meeting in her role as Eng. Dept. chair discussing the study on 12-14-99; scheduled classroom observation. (Tues., 1-25-00/period 4/Eng. II) and an interview after the observation that same day (period 5).
Tues., 1-25-00	Classroom observation (Tues., 1-25-00/period 4/Eng. II) and an interview after the observation that same day (period 5) in a conference room at high school/borrowed 2 HBJ student textbooks to be returned after spring break: Eng. III Adventures in American Literature & Eng. IV Adventures in English Literature.
Fri., 1-28-00	Delivered to C___ at high school (mail box) materials related to inner-outer circle with informal note of thanks.
Thurs., 2-3-00	Delivered to C___ at high school (mail box) note of thanks and gift book Teachers Are Special.
Mon., 3-27-00	Returned to C___at high school the two student textbooks that I had borrowed.
Tues., 3-28-00	Mailed to C___ a formal letter of appreciation with copies to her principal, the district's superintendent, the associate superintendent, and the coordinating director of language arts, K-12.

See also various E-mail communications with copies in the section "C____."

Appendix M

Researcher's Journal: Teacher

Appreciation Letter

RESEARCHER'S JOURNAL: TEACHER

APPRECIATION LETTER

HEADING
March 27, 2000

INSIDE ADDRESS

Dear _____[Teacher's Name],

I want to express my sincere gratitude to you for your voluntary participation in my doctoral dissertation research study this spring semester at _____[high school name]. You devoted a generous amount of time while talking and meeting with me, while allowing me to observe your classroom, and while engaging in an interview with me regarding the teaching of literature to high school students. Although your busy schedule was already filled with many important teaching tasks and a host of other responsibilities, you made additional time to participate in my research study with no compensation other than knowing that you would be making a contribution to our profession. I believe that your willingness to serve and help others exhibits the finest professional qualities of collegial cooperation and commitment to our calling.

Please know what a pleasure and a privilege it has been to know and be associated with you. Each time that we met, I was exceedingly impressed by your positive, congenial spirit. While visiting your class, I was equally impressed by your concern for and dedication to your students. The unselfish, generous support and cooperation that you devoted in my behalf will always be remembered and greatly appreciated.

Yours truly,

Jo Ann Patton
Doctoral Candidate
Texas Woman's University

cc: _____[Principal]
_____[Superintendent]
_____[Associate Superintendent]
_____[Coordinating Director K-12 Language Arts]

Appendix N

Classroom Observation Transcript Excerpt: Coding of

Idea Units, Categories, and Sub-categories

CLASSROOM OBSERVATION TRANSCRIPT EXCERPT: CODING

OF IDEA UNITS, CATEGORIES, AND SUB-CATEGORIES

	Idea Unit	**Category**	**Sub-Category**
T:	/"If you look at the board, [there are] general things you need to know/	A	
	/--satire has two types."/	EF	other lit term
T:	/"[I've] never said this before [about distinguishing between Juvenalian and Horatian satire] . . ./	EF	other lit term
	/get this down [in your notes]--/	A	
	/get it clear [in your mind]."/	A	
T:	/"Juvenalian [satire is]--harsh, bitter--/	EF	other lit term
	/that was the type of satirist Swift was . . ./	EF	other lit term; au
	/Jonathan Swift . . . [was an] angry man--[who] hated his society and people in the institutions at the time./	EF	au
	/Juvenalian satire uses humor,/	EF	other lit term
	/and the satire is still making a point . . . "/	EF	other lit term
T:	/"Horatian [satire]--[the] best word . . . [is] light [lighthearted]--/	EF	other lit term
	/L- I-G-H-T [The T spells out the word 'light']--/	EF	ws

	Idea Unit	Category	Sub-Category
	/[Horatian satire is presented in a] lighter vein--[which is] one that is chuckling at problems rather than pounding . . . [the] chest . . . "/	EF	other lit term
T:	/"[Students must think to themselves]--'Isn't this [satire] weird' . . . ?"/	AS	pc: lw
T:	/"Think back to Chaucer . . . [and the] Prologue of The Canterbury Tales/	EF	au; lit wk
	/. . . he'd [Chaucer would] tell you in a round about way [using satire]--/	EF	au; other lit term
	/The Friar [was a character described] . . . [who] was lightly done [using Horatian satire]."/	EF	ch; other lit term
T:	/"[Alexander] Pope . . . [The Rape of the Lock] that you read last night--/	A	
	/The Rape of the Lock [that you] read last night [is an] obvious example of Horatian satire."/	EF	lit wk; other lit term
T:	/"Comments I've heard [from Ss indicate that] . . . this [The Rape of the Lock] doesn't make sense [to them]./	AS	pc: lw
	/[Students think] this [The Rape of the Lock] is silly."/	AS	pc: lw
T:	/"Ah, ha. Hello. It's [The Rape of the Lock is] satire . . . "/ (The T makes this statement in a light, humorous tone of voice to emphasize that satire is often confusing and absurd.)	EF	lit wk; other lit term

	Idea Unit	Category	Sub-Category
T:	/"But still, people want to make sense of it [understand satire] . . . "/	EF	other lit term
T:	/"We don't believe we can take a lock of hair and turn it into a star."/ (The T is referring to the events in The Rape of the Lock.)	EF	pl
T:	/"Stephen King [writes contemporary novels that we think are outlandish and bizarre]/	AS	pc: cs
	/--who's somebody else . . . [that writes contemporary novels that we think are outlandish and bizarre]?"/	AS	pc: cs
T:	/"It's [The Rape of the Lock is] just a [satirical] story--[a] piece of satiric work done in Horatian fashion."/	EF	lit wk; other lit term
T:	/"Pope wrote this for a real reason [because] someone came . . . [and asked him to write a satire]."/	EF	au; other lit term
T:	/"Who got him [Pope] to write this?"/	EF	au
S:	"Wasn't it a friend?"		
T:	/"Yes, a friend . . . [asked Pope to write about a] feud . . . [when the friend said something like] 'why don't you write something about how silly . . . [it is] being . . . [in a feud]?' "/	EF	au; pl
T:	/"[An] epic--[is] told on [a] grand scale."/	EF	other lit term
T:	/"You just read one [an epic]--[which is] Paradise Lost."/	EF	other lit term; lit wk

	Idea Unit	Category	Sub-Category
T:	/"The Rape of the Lock is a mock epic--[which is] making fun of [a] real epic . . ./	EF	lit wk; other lit term
	/not to mention allusion . . . "/	EF	other lit term

Appendix O

Classroom Observation Field Note Form:

Field Note Analysis 1A

CLASSROOM OBSERVATION FIELD NOTE FORM:

FIELD NOTE ANALYSIS 1A

NAME: Teacher #5

FIELDNOTE ANALYSIS 1A

NUMBER OF IDEA UNITS (IU's) = 183 193 [10 of the TR's have an EF.: not = to IU's (183)]

CATEGORIES (A/I, AS, C, D, EF, O, NC, TR)

A = 1, 5, 2, 2, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 2, 3 = 26

AS = 1, 1, 1, 3 = 6

C = 0 = 0

D = 1, 1, 2 = 4

EF = 1, 3, 4, 4, 5, 4, 6, 5, 4, 2, 6, 4, 5, 3, 4, 6, 4, 4, 7, 5, 4, 4, 5, 1, 4, 5, 5, 1, 2, 4 = 130

O = 2, 2, 1, 1, 1, 1, 1 = 9

NC = 1, 1 = 2

TR = 1, 1, 1, 1, 2, 1, 2, 1, 2, 1, 1, 1, 1 = 16

AS = %
EF = %
OTHER = % (A/I, C, D, O, NC/TR)

193

TR w/EF 1, 1, 1, 1, 1, 1, 1, 1, 1, 1 = 10

SUB-CATEGORIES (AS and EF)

AS/pc:cs = 1, 3 = 4

AS/pc:lw = 1, 1 = 2

AS = % = 6

EF/au = 1 = 1

EF/lit wk = 2 = 2

EF/ch = 2, 2, 1, 3, 1, 2, 2, 1, 2, 1, 1 = 18

EF/pl = 2, 2, 4, 4, 4, 3, 2, 2, 3, 5, 2, 2, 4, 4, 3, 6, 5, 3, 4, 1, 6, 5, 3, 2, 2 = 91

EF/set = 2, 2, 1, 1, 2, 4 = 12

EF/sym = 0

EF/th = 1, 1, 3, 1, 2, 1 = 15

EF/other lit term = 1, 3 = 4

EF/rs = 1, 1, 1 = 3

EF/ws = 0

146

Appendix P

Classroom Observation Field Note Form:

Field Note Analysis 1B

CLASSROOM OBSERVATION FIELD NOTE FORM:

FIELD NOTE ANALYSIS 1B

NAME: Teacher #5

FIELDNOTE ANALYSIS 1B

NUMBER OF IDEA UNITS (IU's) = 183 (193) [10 of the TR's were from EF.: not = to IU's (183)]

CATEGORIES (A/I, AS, C, D, EF, O, NC, TR)

A	=	26	.1347 (193)	(14%)	~~13.5~~	13.47
AS	=	6	.0310	(3%)	~~3.1~~	3.10
C	=	0				
D	=	4	.0207	(2%)	~~2.1~~	2.07
EF	=	130	.6735	(67%)	~~67.4~~	67.35
O	=	9	.0466	(5%)	~~4.7~~	4.66
NC	=	2	.0103	(1%)	~~1.0~~	1.03
TR	=	16	.0829	(8%)	~~8.3~~	8.29

AS = 3.1 %
EF = 67.4 %
OTHER = 29.6 % (A/I, C, D, O, NC, TR) [100.1]

(193) [.9997] [100%] [~~100.1~~] [99.97]

SUB-CATEGORIES (AS and EF) [AS(6) + EF(146) = 152]

						AS and EF Analysis		
AS/pcc s	=	4	.0263	(3%)	2.6	.6666	AS (6) (67%)	66.66 ~~66.7~~
AS/pc:lw	=	2	.0131	(1%)	1.3	.3333	(33%)	33.33 ~~33.3~~
AS = 3.9 %						[.9999]	[100%]	99.99 [~~100.0~~]
		(6)					EF (146)	
EF/au	=	1	.0065	(1%)	.7	.0068	(1%)	.68 ~~.7~~
EF/lit wk	=	2	.0131	(1%)	1.3	.0136	(1%)	1.36 ~~1.4~~
EF/ch	=	18	.1184	(12%)	11.8	.1232	(12%)	12.32 ~~12.3~~
EF/pl	=	91	.5986	(60%)	59.9	.6232	(62%)	62.32 ~~62.3~~
EF/set	=	12	.0789	(8%)	7.9	.0821	(8%)	8.21 ~~8.2~~
EF/sym	=	0						
EF/th	=	15	.0986	(10%)	9.9	.1027	(10%)	10.27 ~~10.3~~
EF/other lit term	=	4	.0263	(3%)	2.6	.0273	(3%)	2.73 ~~2.7~~
EF/rs	=	3	.0197	(2%)	2.0	.0205	(2%)	2.05 ~~2.1~~
EF/ws	=	0						
EF = 96.1 %		(146)	[.9995]	[101]	[100]	[.9994]	[99%]	99.94 [~~100.1~~]