Approaches of High School Facilitative Instrumental Music Educators in Response

to the Social and Emotional Challenges of Students

by

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DEDICATION

This dissertation is dedicated to all the people I have had the privilege to teach and learn from—past, present, and future. Hopefully, I can be as facilitative for you as the amazing teachers written about here were for their students.

BLUE! To the participants in this dissertation, Mr. Andrew, Mr. Brandon, Ms. Catherine, Mrs. Danielle, and their students: You have inspired me more than you know. Your model for teacher/student interactions will be incorporated into my teaching and living. Most sincerely, to my family, Neal, Sue, and Sean Edgar: Even though I may only have time to talk while I am driving between commitments, your support has been my rock. Through the challenges and stresses these past three years have presented, your love has been constant and I could not have done it without you. I love you! To my new family, Larry, Pam, and Kristy: Thank you for your support and welcoming me into your family. Your love and encouragement have been invaluable during this process. To my furry family, Ella, Stanzi, Elsa, and Wolfie: I promise I will have more time to pet and walk you now! Finally, to Steph: You have been there through early mornings, late nights, stress, grouchiness, joy, laughter, and tears associated with this dissertation and degree. Your presence and support have made my life so much better—not to mention your incredible editing! You are the love of my life and I can only hope that I can show you the support and love you have given me for the rest of our lives. I love you with all my heart.

TABLE OF CONTENTS

LIST OF FIGURES

FIGURE

LIST OF APPENDICES

<div align="center">ABSTRACT</div>

<div align="center">Approaches of High School Facilitative Instrumental Music Educators in Response</div>

<div align="center">to the Social and Emotional Challenges of Students</div>

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The purpose of this multiple instrumental case study was to explore approaches of four caring high school instrumental music educators assuming the role of facilitative teacher in responding to challenges affecting the social and emotional well-being of their students. The four participant instrumental music educators had a reputation as being caring and having positive professional relationships with their students, represented diverse settings, and had at least 10 years of instrumental music teaching experience. Data sets included: a) three individual interviews with each teacher; b) one teacher focus group interview; c) one student focus group interview at each school; d) individual interviews with select parents from each program; and e) three full-day classroom observations at each site. The findings for this study are organized into the broad categories of biographical and demographic information about the instrumental music educators and their teaching environments, the support they gave students, influences affecting their support including unique elements of teaching in an instrumental music education classroom, what prepared them to provide support, and outcomes from providing support. Specific findings included: a) strategies for providing support included

making time, being aware, listening, fostering the proper classroom environment, humor, developing trust, modeling healthy interactions, and demonstrating humility; b) unique elements of the instrumental music classroom suggested it was an environment conducive for facilitative teaching and fostering support. These elements included the continuity of teaching students for more than one year, developing relationships with families, marching band, the act of music making, and the elective nature of the music class; c) formative elements leading to the instrumental music educators' preparation to support included experience, demonstration of care by influential people, parenthood, faith, professional development, and participation in this study; d) the instrumental music educators experienced challenges associated with providing support including the quantity of challenges and amount of time it took and lack of school assistance; and e) perceived outcomes from providing support included increased student social skills, a sense of student belonging, improved musical performance, difficulty for students to maintain professional boundaries with the teacher, students sharing more information than teachers wanted, and teacher stress.

CHAPTER I

INTRODUCTION

It was my third year teaching high school band. I was finally starting to get comfortable with teaching, working with students, and navigating many of the difficulties beginning teachers face. Then one day Elsa, my star clarinetist, came up to me after school. Elsa shared with me that she was depressed, had considered suicide, and had been cutting her wrists to help bring the emotional pain 'out'. This violently jerked me back into the scary world of 'what do I do now?'. I knew that I wanted to, and should, help Elsa, but I wasn't sure how. From my perspective, until that day, she had been a well-adjusted, apparently happy, musically accomplished student. I was wrong, and she made this clear when she approached me for help with her social and emotional challenges, however, I had no idea how to help her. Clearly, this case needed to be referred to the school counselor, but she came to me, and I owed her something, but what? (Personal reflection of my teaching in 2005, written in 2011)

As I began my teaching career there was no way I could have been prepared to help my students with their challenges affecting their social and emotional well-being[1]. My experiences prior to my first teaching position provided little information on child and youth development, the appropriate role for teachers in supporting students with their challenges, and the proper means to do so. I possessed the disposition to want to help my students, but lacked the knowledge and skill to do so safely and professionally. At that point in my career, I had little experience working with students, and even when I did have the experiences (student teaching/fieldwork), I did not have the opportunity to develop the relationships necessary for students to trust and confide in me. My lack of preparation had little to do with faults in my teacher preparation program; it is unlikely

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[1] For the purpose of this study, social and emotional challenges will be referred to as challenges.

that any beginning teacher is prepared to support students in this capacity due to their inexperience interacting with students at this vulnerable age.

The National Association for the Accreditation of Teacher Education (NCATE) and the National Institute of Child Health and Human Development (NICHD) acknowledged difficulties in preparing preservice teachers in the area of child and youth development:

> Concepts, such as fight or flight, are basic knowledge to child development, social, and behavioral science professionals…[Teachers] had not received the preservice preparation that would enable them to understand why children do what they do, and how to manage it in a way that would aid their development and learning. (NCATE & NICHD, 2006, p. iv)

Students encounter myriad challenges impacting their daily functioning. These challenges[2] can involve home life, peers, communities, and school, and can have negative effects on social and emotional elements of their lives (attention span, interpersonal relations, and self-confidence) (Zins, Bloodworth, Weissberg, & Walberg, 2004). Of profound importance for educators are the negative effects student challenges can have on academic performance, test taking, and social behavior issues in the classroom.

As many as one in five adolescent students need professional services for their mental, emotional, social, or behavioral challenges (Center for Mental Health in Schools, 2006; Haynes, 2002). Some of these challenges manifest as clinically diagnosable disorders[3]. Due to the nature of these disorders, more than half of all lifetime cases of

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[2] These issues can include tests, substance abuse, suicide, academic standards, media and technology, violence, dropouts, bullying, physical and sexual abuse, hunger, emotional abandonment of children by parents who are too busy with their personal issues, careers, or life activities, community and family disruption caused by job or income losses, and local industrial changes (Zins & Elias, 2006).

[3] These disorders can include grief and loss, generalized anxiety, phobic disorders, post-traumatic stress, depression, suicide potential, attention-deficit hyperactivity disorder,

mental disorders begin by age 14, and three-quarters by age 24 (National Center for

Mental Health Promotion and Youth Violence Prevention and Collaborative for

Academic, Social, and Emotional Learning, 2008).

> Given schools' unique ability to access large numbers of children, they are most
> commonly identified as the best place to provide supports to promote the
> universal mental health of children. (NCMHP & CASEL, 2008, p. 1)

When students' challenges are properly addressed, positive outcomes, such as higher

grades, increased standardized test scores, greater emotional regulation, social

competence, and willingness to take on challenges, as well as lower levels of attention

deficit hyperactive disorder (ADHD) and delinquency can result (Bergin & Bergin,

2009).

This conflict between the prevalence and magnitude of students' challenges and

the inability of teachers to help them represents a major concern for educators at all

levels. Historically, education has acknowledged the importance of educating the whole

child through movements such as character education (White, 1909), however, with the

current stress on proficiency forced by legislation such as No Child Left Behind (2008)

and Race to the Top (U.S. Department of Education, 2009), attention is often focused on

test scores instead of the child.

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conduct disorder, oppositional defiant disorder, eating disorder, schizophrenia, substance
abuse disorders, personality disorders, adjustment disorders (Kottler & Kottler, 2007).
These disorders can manifest because parents want their children to like them, video
games, societal changes, dysfunctional homes, lack of parenting, children see too much
violence, abusive situations, sexual abuse, neglect, over-commitment to extra-curricular
activities, peer pressure, biological conditions, and medication (Teed, 2002).

Facilitative Teachers and Teacher/Student Relationships

Given that students are grappling with challenges and teachers are rarely prepared to help them, one preliminary step to meet students' needs is developing positive teacher/student relationships in the classroom. Research suggests positive teacher/student relationships result in better academic performance, stronger socialization in the school setting, lower levels of ADHD, and fewer instances of misbehavior (Bergin & Bergin, 2009; Fraser & Walberg, 2005; Hargreaves, 1998; Noguera, 2007; Schlichte, Stroud, & Girdley, 2006). Specifically, research has consistently suggested the advantages of positive teacher/student relationships in terms of academic student performance (Fraser & Walberg, 2005). Effective teachers "must connect with and care for children with warmth, respect, and trust" (Bergin & Bergin, 2009, p. 142).

Schlichte, Stroud, and Girdley (2006), in their observations of an eighth grade classroom, concluded: "understanding of relationship, as well as the affective and academic results determined by its role, is the X factor in the redefinition of the child currently labeled 'at-risk'" (p. 61). They suggested establishing a good relationship with every student as the most important factor in closing the achievement gap.

Teachers who utilize the teacher/student relationship to help children grow emotionally, socially, as well as academically are referred to as *facilitative teachers* (Elam & Duckenfield, 2002; Sewell, 1985; Wittmer & Myrick, 1980). It is the goal of a facilitative teacher to capitalize on positive teacher student relationships to guide and motivate students. The facilitative teacher values mental and social health along with academic (musical) advancement. Teachers who instruct students in social, emotional, and academic domains often exhibit characteristics of being attentive, genuine,

understanding, respectful, and are knowledgeable and good communicators (Wittmer &
Myrick, 1980).

The foundation of facilitative teaching comes from a leadership style valuing the
expertise of those the leader is leading—in the case of facilitative teachers, valuing the
perspective and expertise of the students. It is the opposite of directive teaching or simply
imparting knowledge. Characteristics of a teacher's philosophy who is attempting to be
facilitative include:

> a) changes the role of teacher to guide, coach, and advisor; b) encourages student
> ownership and empowerment; c) instills a natural discussion and decision-making
> process; d) uses challenges as opportunities; e) utilizes strategies and methods that
> maximize the learning process; f) transports the students successfully along
> learning levels from knowledge/comprehension to application/evaluation through
> student-chosen activities, projects, and programs; and g) demonstrates using
> academic content areas to create sharable students' products. (Elam &
> Duckenfield, 2002, p. 8)

Facilitative teachers, instrumental music educators included, can have a profound
effect on their students including passion for the subject, social stability, emotional
competence, and future career choice. Because of this influence, students could be more
apt to approach music educators for help with their challenges. A prominent component
of instrumental music educators' jobs can be supporting students with their challenges:

> It is a fact that music teachers develop close relationships with students who share
> their common interest in music. It is true that some students request their music
> teacher's advice and understanding regarding personal decisions. The more
> knowledge and skills music teachers have in [counseling and communicative]
> skills, the better prepared they will be to assist students who seek their help and
> guidance. (Wagner, 1985, p. 1)

Students approaching teachers for support is prevalent in the music ensemble classroom:
"Because of the unique nature of the ensemble experience, coupled with the opportunity
for extended instruction, music educators can closely monitor the well-being of their

students" (Carter, 2011, p. 30). To realize the potential for music educators to assume this important role, the profession needs to actively learn about our students: "If we as music teachers are to truly meet the needs of our students, we need to know why these kids are in our ensembles and what it is that they want to learn by being there" (Robinson, 1997a, p. 36). For some students, the social environment of ensemble participation is a primary motivator for participation.

Social Context of the Music Classroom

Music has long been used as a social medium. The music classroom is social both from a musical and an interpersonal perspective. Small (1997) suggests the act of music making or "musicking" is an act of social interaction:

> The act of musicking establishes among those present a set of relationships, and it is in those relationships that the meaning of the act of musicking lies. It lies not only between the humanly organized sounds which are conventionally thought of as the stuff of music, but also in the relationships which are established between persona and persons with the performance space. (pp. 3-4)

The instrumental band music classroom was the setting for this dissertation research. It is a complex academic and social environment where the music teacher has strong potential for student influence both personally and musically (Adderley, Kennedy, & Berz, 2003; Lamkin, 2003; Robinson, 1997a-b). The social environment the band classroom engenders is a web of relationships between individual students, sections (subgroups arranged by instruments), the teacher(s), and the music. The act of group music making can encourage social bonding and the development of social relationships. "If the musicians have rehearsed and performed together over some period of time, they will have developed relationships and particular social bonds with one another" (Hodges & Haack, 1996, p. 502). This bonding can provide social meaning for the participants.

The social climate of these ensembles is important to each member, and provides many with an outlet that they might not have had to meet others from within the larger school setting, or to form relationships away from the home environment that assist them in negotiating the often turbulent high school years. (Adderley, Kennedy, & Berz, 2003, p. 204).

The music classroom can be a place for social and emotional growth. Emotionally, students advance because of responsibility, commitment, perseverance, and self-discipline fostered in band classrooms. This can result in increased self-esteem, self-confidence, life skills and self-knowledge.

Teachers have often used the inherent attributes of music to offer students a variety of opportunities to practice many of the skills they need to resolve life's daily challenges successfully. The ability to commit to a project or goal, to understand how personal success is often tied to the success of others, and to realize that there are many ways to measure and experience success are all examples of skills that enhance a student's ability to achieve objectives in both the music classroom and elsewhere. In education, such skills are referred to as societal and emotional skills. (McClung, 2000, p. 37)

McClung (2000) highlights emotional intelligence and social emotional learning as extra-musical skills that should be taught in music classrooms.

Hourigan (2009) provided several suggestions as to how teachers can foster a positive social environment in music classrooms for all students, including how to create a positive environment, modeling appropriate social behavior, facilitating social interactions, creating senior/freshmen buddies, and engaging students as peer leaders to help create a positive social environment. Gooding (2009) corroborates these beliefs, citing the importance of social skill objectives in the music classroom:

Children need opportunities to learn social skills, practice those skills, and receive corrective feedback about their performance of those skills. Because music is an inherently social activity, the music classroom is an ideal place to help students develop or improve vital social skills. (p. 35)

Cooperation, communication, positive peer interactions, recognition and support of the rights of others, dependability, responsibility, focus of attention, impulse control, delayed gratification, and acceptance of consequences are some of these skills.

The academic, social, and educational environment created by the teacher in the classroom is often referred to as the social-emotional climate (Carlisle, 2008). This positive or negative climate is affected by both micro and macro influences. The teacher is one of the most influential contributors to the social-emotional climate. This climate will dictate how socially and emotionally healthy and conducive an environment is for facilitative instruction.

Abril (in press) found varied social structures in place with one high school band program. There was a complex web of roles and hierarchies in place, both dictated by the teacher and formed by students. These roles were largely based on dedication, performance level, and length of tenure in the ensemble. Titles ranged from "the hardcores" to "the slackers." Abril's work highlights a potentially exclusionary and negative element to the social environment that is the band classroom. "The hardcores" viewed the band social environment as completely positive. "The slackers" and "middles" did not. "Humans have a need to belong and contribute to some community, for some, like the hardcore kids in this study, band offers that space" (Abril, in press, p. 19).

There are a broad range of benefits students can gain from participation in large ensembles including intellectual, psychological, emotional, social, and musical advancement (Adderley, Kennedy, & Berz, 2003). This suggests there are musical and nonmusical benefits students can gain from participation in band (Robinson, 1997a-b).

The potential benefits participation in a band class can provide students suggest it is an appropriate environment for instrumental music educators to support students with their challenges and support social emotional learning.

The "Power" of Music

Some of the questions researchers of physiological response seek to answer are whether music has a measureable, thus observable, effect on the human organism and whether such effects can be evaluated in terms that help our understanding of music's 'power' to activate and alter the human condition. One term commonly associated with activation of the human condition is *affect*, a term that describes the feeling state derived from bodily response to a stimulus. (Bartlett, 1996, p. 343)

The role of music, in and of itself, is of profound importance when exploring and discussing interactions in a music classroom. Music can affect humans physically, socially, and emotionally (Hodges, 1996; Juslin & Sloboda, 2010). Thompson (2009) discusses the power of music:

Sounds and music are used to support and encourage physical, social, and emotional well-being…music is sometimes used in a way that allows clients to gain insight into their own emotions. This insight, in turn, contributes to a stronger sense of self. (p. 120)

The function of music encompasses both musical and emotional ends.

One function of music that seems to be fairly widespread among different cultural groups is that of emotional expression. Music is a common way of expressing a wide variety of feelings. The function can be experienced singly, as one person hums while working, in small groups, as young children chant and sing while playing, or in the largest gatherings, as in the celebrations that involve every member of the group. (Hodges & Haack, 1996, p. 486)

Physically, the body reacts to music. These reactions can take the form of heart and pulse rate, electrodermal response (skin responses), respiration rate, blood pressure, muscle tension, blood volume, skin temperature, pupil dilation, blood oxygen level, and hormone secretion (Bartlett, 1996). One of the aesthetic areas in which music can elicit a

human response is in how it causes humans to emote and feel. The two most common categories of emotional responses to music are anxiety and arousal. Research has explored how music can cause and alleviate anxiety and induce arousal and tension (Abeles & Chung, 1996).

Several themes have been delineated from research regarding music and emotion: a) emotional responses to music are consistent and predictable; b) music evokes emotions, not just perceived emotions; c) music evokes emotions at many different levels of the person; d) emotional reactions involve interactions between the music, the listener/performer, and the setting; e) music evokes mainly positive emotions; and f) the listener/performer provides meaning to the music and thus determines the emotion (Sloboda & Juslin, 2010). These conclusions suggest music can have a powerful effect on humans, and performing/listening to music can elicit an emotional response. This response could potentially be therapeutic for students facing challenges.

From a performer's perspective, the act of making music can provide an emotionally rich experience. "Once young people begin pursuing increased music participation themselves, they soon discover the emotional rewards of music. Music making, whether alone or with others, has the potential to be an absorbing experience" (Woody & McPherson, 2010, p. 403). Specifically, group music making can offer benefits individual music making cannot: "The act of group music making may be unique in its opportunity for introspection and catharsis, perhaps adding to the emotional connection members feel with one another" (Woody & McPherson, 2010, p. 405).

From a music education perspective, musical emotion can be expressed through composition, improvisation, musical performance, and teaching students to communicate

with emotion in music (Hallam, 2010). Benefits of this type of musical instruction include "social cohesion within class, greater self-reliance, better social adjustment, and more positive attitudes" (Hallam, 2010, p. 802). The physiological, social, and emotional benefits of music can be profound. Empirical studies on emotion and music will be reviewed in Chapter III. For me, the power of music led to a career in music and a passion to share it with others as a teacher. My experiences in music education classrooms, both musical and social, helped me through difficult times in adolescence. In the next section I will further share my motivation to explore teachers supporting students with their challenges.

Personal Orientation

I grew up in a household with two social worker/counselor parents and the importance of mental health was often a discussion point at the dinner table. The importance of mental health was instilled in me when I was very young. I also came to a realization that many different people can help others overcome challenges. Trained professionals such as social workers, counselors, and therapists, of course, are prepared to help, but teachers, friends, and colleagues can also provide aid.

The introductory vignette shared a typical frustration I had in my P-12 teaching career. I witnessed my students struggling with their social and emotional lives, had an instinct I could help them through musical and interpersonal techniques, but had little knowledge of how I could do this while maintaining professional safety. With nine years of band directing experience in varied settings from teaching fifth graders in a school boiler room to teaching high school wind ensemble in a comfortable, well-equipped band room, I developed an awareness of what instrumental music can look like in varied

settings. Each of these groups of students had a different set of needs (academic, social, and emotional) and I had to teach and interact with them differently.

As a middle and high school instrumental music educator, I attempted to educate the whole children, meeting both their musical and personal needs as a facilitative teacher. I tried to recognize that, as adolescents, they were often struggling with profound issues influencing how they arrived to and approached my class on a daily basis. The more teaching experience I had, the easier this was. However, I still struggle with the delicate balance of the academic, musical, personal, social, and emotional elements with my students at all developmental levels (5th grade through university). It is with this curiosity and frustration I embarked on this dissertation study.

With these motivations, I explored this phenomenon empirically and wanted to learn more about implications for music education. Two previous studies (Edgar, 2011; 2012) helped inform my current work: a) "Approaches of a Secondary Music Teacher in Response to the Social and Emotional Lives of Students" explored how one high school music teacher at an alternative school engaged her students on a social emotional level; and b) "High School Counselors' Perspectives on Music Teachers' Work in Interacting with Students' Social and Emotional Lives: An Exploratory Study" inquired from mental health professionals about the appropriate role for teachers to have interacting with students and their social and emotional lives. Both these studies informed my current inquiry and piqued my curiosity to explore this phenomenon further. These studies will be discussed in detail in Chapter III.

Conceptual Framework for the Study

The framework for this dissertation was contextualized and influenced by: ethics of care, as defined by Noddings (2003); teachers in the role of counselor (Kottler & Kottler, 2007; Phillippo, 2010; Teed, 2002); and social emotional learning (SEL), as defined by Zins and Elias (2006). Together they provide a rationale for instrumental music educators[4] providing a caring, supportive classroom for their students that facilitate musical, personal, social, and emotional growth. These are frameworks that have been discussed from a theoretical perspective at length and will be presented in Chapter II. Empirical research associated with these frameworks will be reviewed in Chapter III.

Purpose Statement

The purpose of this multiple instrumental case study was to explore approaches of four caring high school instrumental music educators assuming the role of facilitative teacher in responding to challenges affecting the social and emotional well-being of their students.

Research Questions

The key research question guiding this inquiry for all participants was: a) How do participants (instrumental music educators, students, and parents) describe these facilitative high school instrumental music educators' support of students? Additional research questions focused on the instrumental music educators' perspective included: b) What are the participant instrumental music educators' descriptions of the social and emotional challenges they perceive students bring to the music classroom? c) How do participant instrumental music educators describe their reasons for choosing to support

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[4] For this dissertation, "instrumental music educator" refers to high school band directors, specifically, the participant band directors.

students with their social and emotional challenges as facilitative teachers? and d) How do participant instrumental music educators describe factors facilitating and inhibiting their ability to become facilitative teachers? An additional research question for all participants was: e) How do participants articulate the unique aspects of the instrumental music educator and instrumental music education classroom in regards to instrumental music educators supporting students with their challenges?

Definitions

Behaviors- Observable actions by the participants. These can either manifest as actions by the instrumental music educators supporting students' challenges, or actions by the students eliciting a response from the instrumental music educators.

Cared-for- As defined by ethics of care, the one receiving care (Noddings, 2003).

Carer- As defined by ethics of care, the one actively caring (Noddings, 2003).

Caring- To meet the needs of another in a compassionate manner (Noddings, 2003).

Confirmation- An element of teaching ethics of care to students: "To confirm the other, I must see and receive the other: see clearly what he has actually done, and receive the feelings with which it was done." (Noddings, 2003, p. 196).

Dialogue- An element of teaching ethics of care to students in which participants are aware of each other; they take turns as carer and cared-for, and no matter how great their ideological differences may be, they reach across the ideological gap to connect with each other" (Noddings, 2002, p. 17). "True dialogue is open; that is, conclusions are not held by one or more of the parties at the outset" (Noddings, 1988, p. 223).

Disposition- An "attributed characteristic of a teacher, one that summarizes the trend of a

   teacher's actions in particular contexts" (Katz & Raths, 1986, p. 301). For this

   study, this describes the belief that a music educator should be a facilitative

   teacher and their behavior exemplifies this belief.

Ethics of Care- A philosophical and theoretical belief that there is a universal desire to be

   cared for and children need to be taught how to care (Noddings, 2005a).

Facilitative teacher- A professional who uses the teacher-to-student relationship to help

   children grow emotionally, socially, and academically (Wittmer & Myrick,

   1980). The term facilitative teacher is used specifically to reference those teachers

   supporting students with their challenges.

High school band- For the purposes of this study, high school refers to grades 9-12 in one

   building. The high school student musicians in these bands average between three

   and seven years of playing experience. While the four settings are

   demographically diverse and have curricular diversity, the age and musical

   experience of these students is relatively consistent.

Mental health- For this dissertation, achieving a state of social and emotional

   competence. The goal of overcoming social and emotional challenges.

Modeling- An element of teaching ethics of care to students, in which caring adults

   model caring ideals for children (Noddings, 2005a).

Perceptions- For this study, the reality of the phenomenon as experienced by the different

   participants. The instrumental music educators perceptions are defined as what

   they interpret as the challenges their students are experiencing, not necessarily the

   actual challenges as would be articulated by the students, themselves.

Practice- An element of teaching ethics of care to students, in which teachers provide

opportunities for students to care and to be cared-for in their classrooms. Caring is

a competence, and because of this, it requires practice (Noddings, 2003).

Relationship Management- A central component of social emotional learning that focuses

on "communication, social engagement, and building relationships; working

cooperatively; negotiating, refusal, and conflict management; and help seeking

and providing" (Zins, Bloodworth, Weissberg, & Walberg, 2004, p. 7).

Responsible decision-making- A central component of social emotional learning that

focuses on "problem identification; situation analysis; problem solving;

evaluation and reflection; and personal, moral, and ethical responsibility" (Zins,

Bloodworth, Weissberg, & Walberg, 2004, p. 7).

Self-awareness- A central component of social emotional learning that focuses on

"identifying and recognizing emotions; accurate self-perception; recognizing

strengths, needs, and values; self-efficacy; and spirituality" (Zins, Bloodworth,

Weissberg, & Walberg, 2004, p. 7): understanding "one's place in the world and

relation to other things" (Merrell & Gueldner, 2010, p. 9).

Self-management- A central component of social emotional learning that focuses on

"Impulse control and stress management; self-motivation and discipline; and goal

setting and organizational skills" (Zins, Bloodworth, Weissberg, & Walberg,

2004, p. 7)

Social-awareness- A central component of social emotional learning that focuses on

"perspective taking; empathy; appreciating diversity; and respect for others"

(Zins, Bloodworth, Weissberg, & Walberg, 2004, p. 7) and "relating effectively to other people" (Merrell & Gueldner, 2010, p. 9).

Social emotional challenges- The encompassing label for all personal needs and difficulties students encounter that have a potentially negative effect on their lives (Bergin & Bergin, 2009; Haynes, 2002). These refer to personal situations and not disabilities or diagnosed disorders. They should be understood as challenges to social and emotional well-being.

Social emotional climate- *"*The environmental product of the macro and micro interactions between members of a group and the perceptions members hold of those interactions" (Carlisle, 2008, p. 21). The social-emotional climate will, in part, dictate the conduciveness of the environment for social emotional learning and health.

Social emotional learning- The process of acquiring the skills to recognize and manage emotions, develop caring and concern for others, make responsible decisions, establish positive relationships, and handle challenging situations effectively. Social and emotional education is a unifying concept for organizing and coordinating school-based programming that focuses on positive youth development, health promotion, prevention of problem behaviors, and student engagement in learning. (CASEL, 2006)

Social emotional needs and difficulties- The encompassing label for all personal issues students encounter that have a potentially negative effect on their lives (Bergin & Bergin, 2009; Haynes, 2002). In this paper these will be referred to as student

challenges or challenges. These should be understood as challenges to social and emotional well-being.

Thoughts- The myriad of possible values, beliefs, dispositions, feelings, assumptions, notions, etc. these instrumental music educators hold about supporting students' challenges.

Methodological Overview

I chose a multiple instrumental case study (Stake, 2006) to focus on a central issue (instrumental music educators supporting their students' challenges) and chose four bounded cases (Merriam, 2009). To achieve maximum variation sampling, I selected two male and two female high school instrumental music educators who were identified as caring by colleagues and represented urban, suburban, and rural demographics[5]. Data sets included: a) three individual interviews with each teacher, guided by Seidman's (2006) phenomenological interview model; b) one focus group interview with the four instrumental music educators; c) one student focus group interview at each school; d) telephone individual interviews with select parents from each program; and e) three full-day classroom observations at each site.

Analysis was approached from multiple perspectives. I explored a) assertions: interpretation of the meaning of the case; b) categorical aggregation: develop a collection of instances from the data in the search for themes; and c) naturalistic generalizations: generalizations that people can learn from the case either for themselves or to apply to a population of cases (Creswell, 2007).

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[5] Urban, suburban, and rural are classified by population density as defined by Hall, Kaufman, and Ricketts (2006).

Conclusion

The setting of band classrooms was chosen because of the emotional and social benefits cited in the literature (Adderley, Kennedy, & Berz, 2003; Lamkin, 2003; Robinson, 1997a-b) and my passion for and positive experiences being in and directing bands. Other music education classrooms could have been adequate settings for this study, but to manage the scope I chose to study only bands. The four instrumental music educators were chosen because of their reputation (as gauged by colleagues, university professors, and community members) as caring. These teachers engaged their students in a caring manner. It was my hope that I would find them helping their students with their social and emotional challenges. My previous work in this area (Edgar, 2011) suggests caring teachers can accept this role willingly and actively support their students and their challenges.

In the next chapter (II), Conceptual Framework, I will discuss ethics of care, teachers in the role of counselor, and social emotional learning as my conceptual framework. Chapter III will review the empirical literature supporting this research study and Chapter IV will present the methodological outline for this dissertation. Chapter V-X present the findings from this study and Chapter XI concludes this dissertation with a summary and implications for future research and practitioners.

CHAPTER II

CONCEPTUAL FRAMEWORK

A conceptual framework is the underlying structure for a research study. Specifically, "the framework of your study will draw upon the concepts, terms, definitions, models, and theories of a particular literature base and disciplinary orientation" (Merriam, 2009, p. 67). Drawing from this definition, the framework for this dissertation is a combination of a) ethics of care as defined by Noddings (2005a); b) teachers in the role of counselor (facilitative teacher) (Kottler & Kottler, 2007); and c) social emotional learning (SEL) (CASEL, 2003). Each of these elements will be discussed individually in this chapter. A discussion of how these individual frameworks are related and combine to form my conceptual framework for this study concludes this chapter. Empirical studies in these areas along with past research in music education will be presented in Chapter III.

These three specific frameworks are situated within the scholarship presented in Chapter I—suggesting teachers are important to the social and emotional health of their students, music classrooms are intricate environments involving social interactions, music can elicit emotional response, and students have challenges teachers may be called upon to help them. I have chosen ethics of care, teachers in the role of counselor, and SEL as exemplars of the larger literature because of their relevance to the current study

and the conductivity of the frameworks for exploring instrumental music educators in the role of facilitative teachers.

Ethics of Care

A caring teacher, interested in educating the whole child, will teach most effectively—academically, socially, and emotionally.

> We should want more from our educational efforts than adequate academic achievement, and we will not achieve even that meager success unless our children believe that they themselves are cared for and learn to care for others" (Noddings, 1995, pp. 675-676).

To be cared for is a universal need. "The desire to be cared for is almost certainly a universal human characteristic…everyone wants to be received, to elicit a response that is congruent with an underlying need or desire" (Noddings, 2005a, p. 17). Beginning as infants we are entirely dependent on the care of others. This universal desire to be cared for and the importance for children to be taught how to care are at the foundation of ethics of care.

Ethics of care is a normative ethical theory originating in the 1970s out of the feminist movement. Normative ethics refers to the view that a people's actions are either right or wrong (Gilligan, 1978). Gilligan, the originator of ethics of care from a feminist view, was a student of Lawrence Kohlberg and her theory argued against his belief that men were morally superior to women. Kohlberg used a masculine, justice-based scale for assessment. Gilligan valued care and compassion, and argued a scale based on these criteria would better measure morality. Noddings built her ethics of care upon these foundations.

The purpose of this section is to present Noddings' ethics of care. The first section will describe ethics of care including what is ethics of care, who is involved in a caring

relationship, how it can be taught, and strategies for educational implementation and reform based on care. This section will conclude with implications of ethics of care for music education.

Ethics of Care Definition

Caring, defined as responding to the needs of others (Noddings, 2003), is based in interpersonal relations. "A caring relation is, in its most basic form, a connection or encounter between two human beings – a carer and a recipient of care, or cared-for" (Noddings, 2005a, p.15). The history of care is rooted in the feminine perspective (Noddings, 2003). The caring relationship evolves out of the initial bond between infant and mother. Historically, care has been relegated to women, while men were away hunting, working, and supporting the family. Noddings' belief that caring needs to be taught universally was influenced by these traditional roles and her belief that there needs to be a focus on nurturing caring competence for all.

I will now discuss some of ethics of care's components, including: a) the feminine perspective; b) the carer and cared-for; c) natural versus ethical caring; d) inferred versus expressed needs; e) receptivity, engrossment, and motivational displacement; and f) ethics of care versus ethics of justice.

The feminine perspective. While not acknowledged in Noddings' writings, Gilligan (1978; 1982) is credited (Shelby, 2003) with originating the concept of care through a feminine lens. Her central belief is that men and women conceptualize the world differently. "Women's perception of self is so much more tenaciously embedded in relationships with others and their moral dilemmas hold them in a mode of judgment that is insistently contextual" (Gilligan, 1978, p. 53). One of the most controversial aspects of

ethics of care is reconciling the universal expectation to care with its foundation in feminine caring (Liddell, Halpin, & Halpin, 1992).

The roots of who actively provides care can be traced to the differences between how men and women were prepared for living in society. Men were warriors and women were mothers. Although men are no longer collectively instructed in how to hunt, gather, and fight for survival, these themes are "imbedded in literature and political history, in sports, in controlling view of science, in academic contests, in the hierarchical structure of school districts, and in competition for grades" (Noddings, 2002, p. 110). Men, largely, still feel this as their responsibility. Alternately, women have "borne the larger burden of caregiving throughout history" (Noddings, 2001, p. 30). These roles, although acknowledged as stereotypical by Noddings, need not culturally limit the universality of caring. Instead, Noddings argues everyone has the responsibility to care, regardless of sex.

Both women and men have the capacity to care in a genuine, relational manner, however the traditional models of education limit the possibility and probability for both males and females to be competent carers. Just as women are expected to expand into the traditionally masculine curricular areas of math and science, men should be expected to expand into the world of caring:

> A new balance in education must draw as richly from female experience (in particular, the maternal model) as from the male (the warrior model) and that this new balance requires a radical change in our conception of curriculum and subjects" (Noddings, 2002, p. 113).

As women assume a more prominent role in the workforce, the need for universal carers, both male and female, is necessary. "Clearly children, the ill, elderly, and disabled

still need care, and a question arises as to who will provide it" (Noddings, 2001, p. 32). It

is necessary to prepare both men and women for caring.

> We have moved to a universal breadwinner model. We now prepare both girls and
> boys for a future as earners. Both girls and boys now expect to work outside the
> home, and schooling is clearly organized to meet this expectation…study of the
> care tradition can help girls and boys today learn how to be caregivers, even as
> both prepare to be breadwinners." (Noddings, 2001, pp. 33-34)

An essential element of caring is experiencing an emotional connection. This

emotion is sometimes called empathy (Slote, 2010) but Noddings prefers sympathy

(Noddings, 2002; 2010). Empathy infers an "intellectual" understanding of feelings

(Noddings, 2010), which would infer a masculine emotion associated with caring,

whereas sympathy involves a relational, feminine affect[6].

While the theoretical backing for care (rooted in feminine work) is strong,

Noddings believes caring is universal for all humans. Due to the criticism she has

received that caring is not meant just for women, she wrote: "When I used the word

feminine (and I probably will not do so again), I intended to point to centuries of female

experience and the tasks and values long associated with that experience" (Noddings,

2003, p. 225). This simple change could advance ethics of care beyond the realm it

already occupies, as much criticism argues men are equally competent carers (Slote,

2010).

The carer and cared-for. Caring is relational, thus necessitating at least two

participants in the caring relationship. The one actively caring is labeled "the carer" and

the one receiving the caring is labeled "the cared-for". The carer's first step is to

adequately interpret the cared-for's needs: "I set aside my temptation to analyze and to

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[6] Both sympathy and empathy are used in this dissertation. Just as sympathy is commonly
used by Noddings, empathy is primarily used in the social emotional learning literature.

plan. I do not project; I receive the other into myself, and I see and feel with the other"
(Noddings, 2003, p. 30). There is also responsibility on the part of the cared-for. They
must respond to the carer: "An attitude of warm acceptance and trust is important in all
caring relationships" (Noddings, 2003, p. 65). The role of cared-for is not only to be
receptive of care, but also to observe being cared for. It is through being cared-for that
children learn how to care: "Even while a child is too young to be a carer, he or she can
learn how to be a responsive cared-for" (Noddings, 2005a, p. 22).

There are two different types of caring relationships: equal and unequal. In equal
relationships, the roles of carer and cared-for are oscillating, not static. There is an equal
responsibility for each party to care for the other, prevalently found in relationships with
significant others, friends, colleagues, and neighbors (Noddings, 2005a). There are also
relationships that are naturally unequal due to one party having a responsibility the other
does not. Unequal relationships include parent/child and teacher/student. The
responsibility is necessarily one-sided as there is a primary carer and cared-for
(Noddings, 2005a). For example, an infant cared-for is entirely dependent on the parent
carer and is unable to care for the needs of the parent carer.

The limitations of a purely relational-based ethics of care have been criticized
(Slote, 2010). Ethics of care "should not exalt human connections and relationships over
creative personal achievement and fulfillment" (Slote, 2010, p. 189). Slote argues care for
self should have a larger role in the realm of care. While caring for self is important, as
presented later in themes of care, this critique appears contrary to what is at the heart of
Noddings' definition of caring—prioritizing the other.

Natural versus ethical caring. Ethics is the study of morality (Noddings, 2003). In ethics of care there is a clear distinction between what is ethical and what is natural (Bergman, 2004; Noddings, 2002; 2003). Noddings describes ethical caring as what should be done, or "I ought" (Noddings, 2003). Natural caring can be defined as, "a form of caring that does not require an ethical effort to motivate it" (Smith, 2004, p. 3). Further, natural caring is a moral attitude or disposition, "a longing for goodness that arises out of the experience or memory of being cared for" (Smith, 2004, p. 3). In contrast, ethical caring ("I ought") is "anchored in the feeling and recognition that are integral in natural caring, but the role of choice and commitment is emphasized" (Noddings, 2003, p. 149).

Natural caring, such as maternal instinct, is the preferred method of care. However, there are situations where one must call upon the moral imperative to care, as ethics of care counsels us to meet others in caring relations (Noddings, 2005). "Ethical caring's greatest contribution is to guide action long enough for natural caring to be restored and for people once again to interact with mutual and spontaneous regard" (Noddings, 2007, p. 222). The ethics inherent in ethics of care suggest care is based in competence and children need to be taught to care ethically based on the natural caring that was (hopefully) modeled for them by caring parents and teachers.

Natural caring has been critiqued as not being as simple as Noddings presents it. "Notions such as 'natural' are not that straightforward – what is 'natural' in one culture may not be in another" (Smith, 2004, p. 8). While this critique is logical, due to caring being situational and relational, a universal definition of what is "natural" is not

necessary. Cultural, situational, and relational definitions of natural care will differ. This is not a weakness, but a realization of the different ways care can be expressed.

Inferred versus expressed needs. "I am attentive – I listen to whatever needs are expressed – and, if possible, I try to respond positively" (Noddings, 2005b, p. 147). Noddings' ethics of care is needs-based and it is the carer's responsibility to correctly identify the cared-for's needs. She differentiates between expressed and inferred needs. Expressed needs "come from the one expressing it, and it may be expressed in either words or behavior" (Noddings, 2005b, p. 147). In contrast, "an inferred need comes from someone other than the one said to have it" (Noddings, 2005b, p. 147). Inferred needs can materialize as a parent knowing what is good for their child, or a teacher knowing that math is necessary for a student. Often, schools infer students' needs when they assume the curriculum offered is what the students need. Noddings suggests, "teachers and parents should be open to abandoning some inferred needs" (Noddings, 2005b, p.156), and listen to children's desires and aims prior to evaluating cared-for's needs. Some inferred needs are necessary; the life experience of parents and teachers provides insight beyond what a child/student think they need. Communication to rationalize both expressed and inferred needs are necessary for both the carer and the cared-for.

Receptivity, engrossment, and motivational displacement. Quality caring depends on receptivity, engrossment, and motivational displacement. These actions involve giving up of oneself and putting the carer in the position of the cared-for to adequately understand and meet their needs. The carer needs to be receptive to the actions and words of the cared-for: "Full receptivity is when I care, I really hear, see, or feel what the other tries to convey" (Noddings, 2005a, p. 16). Without full receptivity, a

detachment can exist and an over-reliance on inferred needs could occur. Engrossment is "an open, nonselective receptivity to the cared-for" (Noddings, 2005a, p. 15). To adequately receive the cared-for, the needs and wants of the carer have to be temporarily displaced. This is what Noddings' refers to as motivational displacement: "her motive energy flows in the direction of the other's needs and projects" (Noddings, 1988, p. 220) and not focused on her own. This complete receptivity of the cared-for is the hallmark of relational ethics of care.

Ethics of care versus ethics of justice. There is the distinction between care and justice-based ethics. Ethics of justice is characterized by "objectivity, rationality, and separation" (Liddell, Halpin, & Halpin, 1992, p. 326) in contrast to the receptivity and relational aspects of care. In other words, is it more important to meet the needs of others or follow the rules (Enomoto, 1997; Liddell, Halpin, & Halpin, 1992)? These two concepts appear to be in conflict, however, they both aim to meet the needs of others. Justice seeks to treat people fairly by "identifying and fulfilling rules, principles, rights, and duties" (Liddell, Halpin, & Halpin, 1992, p. 326), where care "responds to people in a way that ensures that the least harm will be done and that no one will be left alone" (p. 326). In ethics of care, people are more important than rules, and rules may have to be broken to ensure care.

In an educational setting, justice usually prevails due to the necessity for consistency among all students (Enomoto, 1997). Schools have been compared to prisons when they over-emphasize justice and do not attend to care: "no places other than prisons are there more clear patterns of 'actions and consequences' than in our schools" (Shelby, 2003, p. 340). While it is difficult for justice and care to co-exist, it is important for

teachers to come to a common understanding of what is meant by these. Discussion of the

importance and consequences of what is meant by fair, consistent, and caring is necessary

for a school to attempt to follow rules in a caring light.

Ethics of Care and Education

> When we look at the world as it is today, we might well wonder why learning to care is not at the heart of the school curriculum. Humankind has not yet learned how to avoid war, or even how to resist the most familiar forms of psychological manipulation that help make war possible. Perhaps worse, we have not learned to give and receive the joy and emotional support that should be part of family life. (Noddings, 2002, p.32)

> "Every teacher should be a teacher of morals and, every teacher is – willingly or

not – a teacher of morals" (Noddings, 2002, p. 70). Noddings (2002; 2003; 2005a; 2007)

believes it is educators' responsibility to foster caring relations and to teach children how

to care:

> Our society does not need to make its children first in the world in mathematics and science. It needs to care for its children, to reduce violence, to respect honest work of every kind, to reward excellence at every level, to ensure a place for every child and emerging adult in the economic and social world, to produce people who can care competently for their own families and contribute effectively to their communities…Our main educational aim should be to encourage the growth of competent, caring, loving, and lovable people." (Noddings, 2002, p. 94)

Noddings' educational philosophy stems from Dewey's beliefs in moral education

(Dewey, 1897/1972). These ideas can be found in his belief that morality is centrally

located within the social element of schooling (Noddings, 2002), which Noddings

interprets to mean relational. Instruction in schools should model raising a very large,

heterogeneous family with great diversity (Noddings, 2005a).

To adequately implement ethics of care in school, reform would be necessary.

Schools, as designed today, are not adequate to meet the contemporary needs of youth

(Noddings, 2005a). Noddings suggests starting points for school reform based on ethics

of care: a) organize curriculum around themes of care; b) be unapologetic about the goals of care; c) keep students and teachers together longer and in the same building; d) relax the impulse of control in schools; e) reduce testing; f) get rid of hierarchies, i.e. honor tracks; and g) address care daily (Noddings, 2005a). These reforms are ambitious and would likely never take effect, especially in the light of modern policy emphasizing academic proficiency. That being said, these reforms could meet students' needs for both an academic and care-based education. Caution should be advised here; not all schools and teachers believe it is a purpose of schooling to teach beyond the subject matter. Smith (2004) asserted, "What is professional in one context may not be viewed as such in another…this is more a matter of political and philosophical orientation than of anything intrinsically problematic about the notion of care" (p. 7). Acknowledgement of this critique is necessary for care to be implemented in schools intelligently.

I will now discuss Noddings' educational beliefs influenced by ethics of care as organized into the following themes: a) the difference between ethics of care and character education; b) the role of teacher as carer and student as cared-for; c) instruction of ethics of care in schools; d) continuity in education; and e) themes of care.

Ethics of care versus character education. At the heart of ethics of care and education is the ideal that children need a moral education. One of the prominent ways in which moral education has appeared in education is through character education (Noddings, 2002; White, 1909). Noddings defines character as "the possession and active manifestation of those character traits called virtues" (Noddings, 2002, p. 3). Some of these virtues include respect, responsibility, honesty, compassion, fairness, courage, self-discipline, helpfulness, cooperation, prudence, friendship, loyalty, faith, compassion, and

generosity. For Noddings, the philosophical question, "can virtue be taught?" plagued her. She was unable to advocate for the direct indoctrination of virtues due to the necessity for virtues to be defined situationally and relationally (Noddings, 2002). Rather than focus on the act of teaching virtues or character, ethics of care focuses on the relational aspects of moral education (Noddings, 2002). To facilitate instruction in building caring relations, care theorists focus on "establishing the conditions most likely to support moral life" (Noddings, 2002, p. 9). Noddings concedes that if a virtue is to be taught, it should be sympathy.

Teachers as carers and students as cared-fors. In education, the caring relationship is "necessarily unequal because students cannot assume some responsibilities" (Noddings, 2005a, p. 107). The caring relationship can have profound effects in the classroom, as "students will do things for those they like and trust" (Noddings, 2005a, p. 36). For my current study, this could manifest as students practicing harder or trying to achieve high musical standards for their caring teachers.

Teachers have an inherent responsibility to care for their students and are in a primed position to do so. There is sometimes reluctance for teachers to engage students in a caring relationship due to lack of preparation or professional safety (Smith, 2004). Noddings strongly expresses her disagreement:

> Teachers should not be allowed to avoid their responsibilities as moral educators by claiming that they are not prepared for this work. All decent adults are, or should be, prepared for this work. It is a human responsibility – one that belongs to all of us…the best grief counseling should come from teachers who know and care deeply for their students. They are the people who should comfort, counsel, and express their common grief. (2005a, p. 69)

When a teacher accepts the role as carer, their responsibility is augmented from subject-matter guide to "nurturer of the students' ethical ideal" (Noddings, 2003, p. 178). One of

31

the primary responsibilities of the teacher as carer is to teach students how to be recipients of care (Noddings, 2005a). Many teachers already facilitate a caring environment in their classrooms. Caring is not enough; students need to be taught how to care. Primary caring dispositions, defined as patterns of behaviors influenced by beliefs, teachers should possess and impart to their students include receptivity, relatedness, and responsiveness to create trust (Sockett, 2006).

Instruction of ethics of care in schools.

An emphasis on the social relationships in the classrooms, students' interest in the subject matter to be studied, and the connections between classroom life and that of the larger world provide the foundation for our attempts to produce moral people" (Noddings, 2002, p. 85).

Caring, as a component of moral education, is a competence and must be taught as skill (Noddings, 2003; 2005a). Caring is also developmental – different levels of caring are appropriate at different stages (Noddings, 2002). To foster these developmentally appropriate competencies, Noddings outlines strategies for teaching caring: modeling, dialogue, practice, and confirmation (Noddings, 1988; 2002; 2003; 2005a). This four-component model is versatile and could be applied to diverse settings in education.

Modeling. Cared-fors learn how to care by being cared for. Thus, it is necessary for caring adults in unequal relationships to model caring ideals for children. This begins in infancy with parents and continues throughout childhood and adolescence within family and schooling contexts. One missed opportunity in schooling is lunchtime. Meals and sharing food have traditionally been an important element of showing care and developing community: "perhaps mealtime should be such an event in the school day also" (Noddings, 2005a, p. 65). Teachers, instead of retreating to the lounge, should

32

engage in dialogue with their students, model caring, and develop caring relationships over shared food during lunch in the cafeteria.

Dialogue. Open dialogue between teachers and students is rarely found in classrooms. "True dialogue is open; that is, conclusions are not held by one or more of the parties at the outset" (Noddings, 1988, p. 223). To teach students how to care, dialogue helps participants oscillate between carer and cared-for:

> Through dialogue, participants are aware of each other; they take turns as carer and cared-for, and no matter how great their ideological differences may be, they reach across the ideological gap to connect with each other. (Noddings, 2002, p. 17)

One form of dialogue that rarely occurs in schools is *immortal conversation*. This refers to the deep questions that teachers are often afraid to initiate in classrooms due to liability issues. Examples could include politics, religion, or sexual orientation. Noddings encourages teachers to "dig deep", and to explore issues that students encounter but are traditionally unable or afraid to discuss. Through successful dialogue teachers and students can reveal care and promote trust – important elements in caring relationships.

Dialogue is a critical component for teachers to understand the expressed needs of their students; without this communication, students' needs remain inferred. The effects of dialogue can also be felt post-care. Evaluating care is a critical component to determine if it was effective in meeting the needs of the cared-for. Dialogue is an important technique to determine if care was successful.

Practice. Caring is a competence and requires practice. Teachers need to provide opportunities for students to care and to be cared-for in their classrooms. Service projects and cooperative learning are examples of practice in caring (Noddings, 2003). Cooperative learning is beneficial due to the diversity of skills members possess:

As we engage alternately in tasks at which we excel and in those at which we must struggle somewhat clumsily, we move to a greater appreciation for both skilled work and the individuals who perform it. (Noddings, 2003, p. 189)

Confirmation. To adequately care, confirmation is one of the most important elements (Noddings, 1988; 2002; 2003; 2005a). Noddings defines confirmation as

An act of affirming and encouraging the best in others…attribution of the best possible motive consonant with reality…Carers have to understand their cared-fors well enough to know what it is they are trying to accomplish…when we identify a motive and use it in confirmation, the cared-for should recognize it as his or her own: 'That is what I was trying to do!'" (Noddings, 2005a, p. 21-25).

"To confirm the other, I must see and receive the other: see clearly what he has actually done, and receive the feelings with which it was done." (Noddings, 2003, p. 196). Confirmation is difficult, especially when one party feels they were wronged; this takes practice.

The use of modeling, dialogue, practice, and confirmation are important in establishing competent care, however, a trusting and caring teacher/student relationship is necessary for these to have maximum effect. The current structure of schooling is not conducive for this relationship according to Noddings; there must be continuity of purpose, people, place, and curriculum to achieve an optimum environment for care (Flinders & Noddings, 2001; Noddings, 1988; 1991; 2002; 2005).

Continuity in education. The current design of education in the United States commonly allows for students to be with a teacher for only one year and study a curriculum based on a traditional liberal arts education (mathematics, language, science, and history). Noddings suggests this is not the best design for schools and suggests continuity of purpose, people, place, and curriculum as appropriate educational reforms to facilitate care and care education.

Purpose. A unified mission of a school built around care is essential to increasing its role in schools. "Students should be aware that their schools are conceived as centers of care; places where they are cared for and will be encouraged to care deeply themselves" (Noddings, 2005a, p. 65). For a unified purpose to occur, all carers, namely administration, teachers, and support staff, must solidify consensus of the school's mission.

People. One year of sharing an educational environment is not adequate to properly develop the relationships necessary for caring and optimum benefit for both teacher and student; Noddings suggests three to six years as ideal (1988; 2002, 2005a). Continuity of people can be expanded to include student cohorts so students remain in the same peer group over multiple years as well. "There is no good reason why teachers should not stay with one group of students for three years rather than one in the elementary years, and this arrangement can be adapted to high school" (Noddings, 1988, p. 225). Noddings stressed this placement must be of mutual consent between teacher, student, and parent. Benefits suggested include: a) "students gain a sense of belonging, of being cared for; b) the close relationship that develops facilitates guidance; c) the close relationship facilitates the teaching of subject matter; d) remediation after breaks is easier; and e) there are no monetary costs" (Flinders & Noddings, 1991, pp. 2-3).

Implications for music education will be discussed later, but the practice of instrumental music educators instructing students across multiple grade levels is prevalent. This model of music education is consistent with what Noddings suggests.

Place. In addition to continuity of people, students should remain in the same academic setting for more than two or three years, as they often are in middle school.

"Children need time to settle in, to become responsible for their physical surroundings, to take part in maintaining a caring community" (Noddings, 1991, p. 6). As suggested earlier, service is a viable option for learning how to care. In buildings housing more grades, older students can have opportunities to care for younger ones. This is an example of giving students an opportunity to practice caring.

Curriculum. The current curricular design does not meet the needs of all students; there is rarely an academic program available for students who are not interested in attending college (Noddings, 2005a). The liberal arts curriculum limits instruction in life skills and caring. A traditional education should be available, but a more diverse offering should as well. Noddings, a former mathematics teacher, values students above subject matter:

> I do not judge people's worth by their mathematical talent, nor do I believe that mathematics through calculus is somehow necessary for good citizenship. Lots of very nice people, even very good citizens, find mathematics difficult and unpleasant" (2005a, p. 29).

Noddings suggests school curriculum should be redesigned and organized around themes of care: a) care for self; b) care for intimate others; c) care for strangers; d) care for nonhuman animals, plants, and earth; e) care for the human made world; and f) care for ideas. Within these themes, topics could include "health management, sex, child rearing, household technology, driver education and safety, nutrition, drug and substance abuse, and environmental issues" (Noddings, 2005a, p. 71). These themes are varied and could be designed to incorporate academic material valued within current liberal arts curricula. This is a drastic shift in curricular design, and while this design would be conducive to implementing care and care education into schools, a more realistic approach would be to incorporate care into current academic courses. Character educators

(White, 1909) and proponents of social emotional learning (SEL) (Zins, Payton, Weissberg, & O'Brien, 2007) have advocated for this approach.

Themes of care. Noddings stresses that equal education does not mean an identical education (2003). One way to meet diverse needs is through teaching curriculum based on themes of care, which would require a "complete reorganization of the school curriculum" (Noddings, 1995, p. 1). Noddings argues teaching based on themes of care could "expand a student's cultural literacy, help them connect to standard subjects, connect to 'great existential questions', and connect person-to-person" (Noddings, 1995, p. 1).

Care for self. To adequately care for others, self-care and preservation is necessary. Students need instruction in how to care for themselves, and this could be an expansion of physical education to include whole health. In ethics of care, occupation refers to "any project or task that fully occupies us" (Noddings, 2005a, p. 85). Through this lens, care for self implies one of life's goals is to be occupied in activities we are passionate for. Another element of care for self is recreation, or refreshing. Knowledge of what refreshes oneself is necessary, and schools should help students discover this (Noddings, 2005a). This theme of care is discussed first because without instruction on how to properly care for oneself, it is not possible to care for others. This is an area presently intended to be included in school curriculum as physical and health education, but rarely meets these standards or addresses these topics.

Care for intimate others. Noddings refers to this as "the inner circle"; including family, lovers, friends, colleagues, teachers/students, and neighbors. This is the form of care predominately discussed so far.

Care for strangers. This form of care evokes an ethical level. Variables such as difficulties in caring from a distance (starving children in Africa) and assuming what others you do not know need, confound this type of caring (Noddings, 2005a). When caring occurs for others not physically present (donating to charities), Noddings questions whether this represents caring. "First, we cannot be present to those we would care for, and thus we cannot be sure that caring is completed. Second, we may cause suffering to those we hold responsible for the pain we try to alleviate" (Noddings, 2005a, p. 113). Completion is difficult, as there is rarely a way to receive a response from the cared-for.

Care for animals, plants, and earth. All the discussion thus far addresses care within human relationships. Ethics of care also addresses care of animals and the environment, however, reciprocity and receiving care must be redefined. It is debatable as to whether animals reciprocate care and can serve as carers. Regardless of whether caring for animals represents a complete carer/cared-for cycle, ethics of care highlights benefits of caring for animals and the environment. Caring for animals, especially pets, can offer practice in caring, and foster skills of caring competence. Educating students to care for animals can have direct implications for learning how to be competent parents (Noddings, 2005a, p. 128).

Care for plants and the environment within ethics of care focuses on appreciation and being a good steward of resources. "We have to share the limited resources of earth, and, standing ready to help each other, we must also try not to put too great a strain on the contribution of others" (Noddings, 2005a, p. 138). This intersection of care and the environment avoids the indoctrination of environmentalist virtues and focuses on relationships that are effected by the limited natural resources of the earth.

Care for the human-made world. Caring for inanimate objects should not be confused with being materialistic; instead, ethics of care approaches caring for the human-made world as appreciating and taking care of possessions. Careful study of how things are made, how to repair equipment, and the use of tools aid in conservation. If students do not develop basic competencies in making and repairing things "we lose on two counts: we become too clumsy to make things for ourselves, and we fail to appreciate the wonderful world of crafts and technology" (Noddings, 2005a, p. 147).

Care for ideas. Careful consideration to why we care about ideas and what power they have is important. Even as a math teacher, Noddings questions what amount of math knowledge is necessary: "What jobs really require algebra, geometry, and trigonometry?" (2005a, p. 151). She stresses that before students receive a prescribed mathematics curriculum, students' aims and desires should be considered. In art, Noddings stresses students are drawn to create. There is a danger art could fall victim to serving other goals in schooling (such as making homecoming decorations) and if this occurs it will lose its unique place in education. The basis for caring for ideas is that it provides an opportunity for students to be engrossed and passionate about a subject.

The discussion of ethics, let alone ethics of care, in music education is relatively limited. The next section will introduce ethics and discuss the place of ethics of care in music education.

Ethics of Care in Music Education

The relative importance of democracy, teacher/student relationships, and teaching over subject matter has been addressed in music education (Allsup, 2003; DeLorenzo, 2003; Regelski & Gates, 2009), however, the inclusion of ethics of care has received little

attention (Noddings, 2002; Nourse, 2003; Richmond, 1996). The writings of Mursell

(1934), Woodford (2005), Bowman (2007), and Elliot (2007) form the foundation for this

discussion of ethics in music education and set the stage for a discussion of ethics of care

and music education.

  Ethics and music education. From its initial presence in public schools, ethics

and morality have been linked to music education. Along with physical and intellectual

benefits, Mason (1838) cited moral benefits of including music education in public

schools.

> There is a mysterious connection, ordained undoubtedly for wise purposes,
> between certain sounds and the moral sentiment of man…Happiness,
> contentment, cheerfulness, tranquility—these are the natural effects of Music.
> These qualities are connected intimately with the moral government of the
> individual. Why should they not, under proper management, be rendered equally
> efficient in the moral government of the school? (p. 2)

  Mursell (1934) stressed the importance of becoming better people through music.

Music educators should relate classroom activities to life outside of school and focus on

"music of the heart and soul, not the fingers and larynx" (p. 1). Woodford (2005)

furthered this discussion stressing the social function on music, basing his writings in

Dewey's social foundation of education (similar to Noddings). For Woodford, music

education should advance the democratic values of freedom, creativity, and contribution

to society. Bowman (2007) agreed with this stance, challenging music educators to "show

that undertakings like music and music education are realms in which this social justice

tool can be and must be deployed" (p. 12). Finally, Elliot (2007) believed music

education is in a primed position to embrace ethics and advance ethical living in students:

"Music educators have powerful means—music making and musical communities—of

raising students' social consciousness by choosing music past and present that addresses issues of social justice and injustice" (p. 88).

Ethics of care and music education. From this philosophical foundation, music educators are confronted with a task more daunting than only teaching music; it includes moral modeling and inclusion of compassion and care in the classroom (Richmond, 1996). The arts are a medium through which morality can be taught (Noddings, 2002), primarily by addressing both the positive and negative emotions artistic creation and products can elicit: "Music in performance fosters the acquisition and exercise of certain morally relevant and desirable traits and dispositions. The more one engages in music performance, the more one acquires these moral virtues" (Richmond, 1996, p. 11). Emphasis of care while performing could help explicitly teach students about moral virtues. While this is more consistent with character education, in that it focuses on teaching virtues, commonalities exist with care.

While the explicit discussion of ethics of care and music education is limited, strong connections and plentiful opportunities exist for their compatibility. Many of the tenets Noddings endorses, such as cooperative learning and continuity of people, place, and curriculum, already exist in music education in the forms of chamber ensembles, instrumental music educators teaching the same students over multiple years, and multiple grade levels being included in the same ensemble or class.

The themes of care around which Noddings suggests reforming the curriculum are also compatible with music education. Care for self, focusing on physical, spiritual, occupational, recreational, emotional, and intellectual health, fits naturally with music as a source as something to occupy, renew, and help student growth. Care for intimate

others and strangers can be fostered in interpersonal relations and cooperative learning

that is found in a music classrooms and ensemble rehearsals. Care for the human-made

world could be taught through instrument care and repair in instrumental music

classrooms. Care for ideas could be fostered through developing rationales for why

students feel passionate about their popular music and to be able to discuss this

intelligently. The possibilities for ethics of care and music education are rich and deserve

to be explored further.

The only literature that explicitly discusses teaching ethics of care in music

education suggests inclusion of care in a private lesson studio (Nourse, 2003). Her

perspective suggests the one-on-one nature of private lessons makes them conducive to

foster a caring relationship between teacher and student (Nourse, 2003). Because musical

performance can foster shame, fear, and a prevalence of teacher pride, care is important

in music education (Nourse, 2003). This could manifest due to public announcement of

performance results (seating auditions), teacher concern focused on personal public

reception rather than student benefit, or dictatorial directors leading rehearsals. Caring

about musical perfection must not interfere with caring about students. The infusion of

care could alleviate these issues and "breathe life into the learning experience" (Nourse,

2003, p. 64). In response to the critique that caring consumes valuable rehearsal time,

Nourse believes:

> The one-on-one weekly lesson offers tremendous potential to engage in the
> integration of different areas of study. Rather than seen as removing time from the
> developing playing skills, caring time can be spent for deepening understanding-
> for enlarging one's connection with one's knowledge – and ultimately expanding
> one's interpretational capacity. (2003, p. 66)

Conclusion for Ethics of Care

Ethics of care involves, at its heart, a relationship. Because of the important relationships that develop between teachers and students, schools are an environment conducive to developing caring relations and a necessary arena to teach care. Through modeling, dialogue, practice, and confirmation, students can become carers and accomplish the true goal of schooling: to be "competent, caring, loving, and loveable people" (Noddings, 2002, p. 94). The opportunities to care and teach caring in music classrooms are plentiful, as many instrumental music educators already foster caring classrooms. Noddings believes "we should want more from our educational efforts than adequate academic achievement" (1995, p. 675).

The belief that having caring music educators is important as it informed my criteria for participant selection, influenced the creation of my observation protocol (see Appendix A), and will serve as a lens to view the data from this study. The teachers I chose are identified as caring. I sought to identify which elements teachers supporting their students with their challenges can be attributed to them being caring.

Teachers in the Role of Counselor

"Whether or not you like it, whether you prepare for the role or not, you will be sought out as a confidante by children who have nowhere else to turn" (Kottler & Kottler, 2007, p. 2). The school environment could be a place where teachers support students with their challenges. With litigious dangers and unprofessionalism existing in the teaching profession, a discussion of how teachers should professionally engage in supporting students with their challenges is imperative. In this section, this engagement is referred to as "counseling." The discussion of teacher in the role of counselor has been

limited to only how teachers can serve as counselors. Literatures relating to specific

counseling theories are not included, but I acknowledge their influences on this

discussion. This resulted in the relative brevity of this section compared to those

dedicated to ethics of care and social emotional learning.

Traditionally, school support staff members such as counselors, psychologists,

and social workers have been charged with providing aid to students with challenges.

Due to budget cuts and re-allocation of resources, these positions are dwindling, resulting

in a higher professional-to-student ratio (Center for Mental Health in Schools, 2006). In

secondary schools there averages 457 students to one counselor (U.S. Department of

Education, 2011). Further, in the state of Michigan where this study occurred, the

counselor to student ratio is 638:1, the sixth worst in the United States. With these

numbers, it is difficult for support staff to meet the individual needs of students. Teachers

are in a primed position to help students with their challenges. In Asia, there are no

counselors because it is believed teachers are best positioned to provide these services

(Kottler & Kottler, 2007).

> In this era of high demand for student performance, as well as documented but
> largely unmet need for social-emotional support services in schools, pressure on
> teachers to provide social and emotional support appears to be mounting"
> (Phillippo, 2010, p. 2259).

Teachers, music included, are rarely prepared to accept the role of counselor. This

element of teaching can cause stress and ultimately drive music teachers out of the

profession (Krueger, 2000)[7]. Input from mental health professionals can decrease this

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[7] These roles can include "responding to children's emotional needs; resolving personal
conflict; serving as surrogate parents and mentors for children who lack positive role
models; acting as confidants to students who are struggling with personal issues;
identifying children suffering from abuse, neglect, drug abuse, and a variety of emotional

stress and increase teachers' ability to help students with their challenges: "Consultation from mental health providers to teachers has been documented to decrease teacher stress and to promote teachers' sense of efficacy in addressing students' issues" (NCMHP & CASEL, 2008, p. 4). The phenomenon of students seeking help from instrumental music educators is common (Carter, 2011; Sewell, 1985; Wagner, 1985). When teachers interact with their students on a social emotional level, this can be referred to as being a facilitative teacher or a professional who uses the teacher-to-student relationship to help children grow emotionally, socially, and academically (Sewell, 1985; Wittmer & Myrick, 1980).

Counseling Techniques

Teachers are not mental health professionals and should not engage in clinical, therapeutic, or diagnostic interactions, however, a basic understanding of counseling strategies is necessary for teachers to successfully and safely support students with their challenges (Kottler & Kottler, 2007). A realization that teachers a) are addressing concerns, not problems; b) should not offer advice; and c) should not try to do too much, are initial elements to maintain the proper mindset and ensure professional safety (Kottler & Kottler, 2007). Specific counseling techniques teachers may not be prepared for but could be beneficial include: small group leadership, interpersonal communication, helping attitudes, career development, psycho-education, behavior-environment

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problems, and make appropriate referrals when necessary; assessing children's developmental transitions and guide their continued physical, emotional, social, and spiritual growth, in addition to their cognitive development; leading discussions dealing with an assortment of emotional and personal issues; participating in individualized education programs (IEPs); conducting parent conferences on the phone and in person; and functioning as problem solvers for those children in the throes of crisis" (Kottler & Kottler, 2007, p. vii-viii).

interaction, expression of emotion, conflict resolution, multicultural understanding, team building, sensitive and astute supervision, and ethical decision-making (Teed, 2002).

Suggestions for teachers to engage in counseling interactions include helping students become conscious of their thoughts, positively reinforce the students, have the students role play, and encourage new ways of behaving while not offering advice on specific behaviors (Kottler & Kottler, 2007). A critical element of counseling is that the client/student generates the solution. One process for counseling involves a cycle of assessing the students' challenges, exploring the issue more deeply through conversation, developing an understanding and empathy for the situation, having the student establish goals, and evaluating the success of the student-created intervention based on the goals (Kottler & Kottler, 2007).

Skills. Teachers can learn and implement six skills that could aid them in supporting their students (Kottler & Kottler, 2007). They are: a) listening to the student; b) questioning the student; c) modeling for the student; d) reframing the difficulty for the student; e) helping set goals for the student; and f) empathizing with what the student is going through. These skills offer a foundation for teachers to support their students healthily and professionally.

Collaboration

While teachers are called upon to assume the role of counselor, mental health professionals are often still available. "The best teachers functioning in counseling roles are, in fact, those who can diagnose accurately that a problem exists and know where and to whom to turn for expert guidance" (Kottler & Kottler, 2007, p. 113). Collaboration is

critical to facilitating successful interactions with students, teachers, and counselors

(Allen, Nichols, Tocci, Hochman, & Gross, 2006; Shoffner & Morris, 2010).

Conclusion for Teachers in the Role of Counselor

The role of teachers in the role of counselor literature represents a set of ideals

and guidelines for music teachers to follow as they support students with their challenges.

Specifically, the skills of listening, questioning, modeling, reframing, goal-setting, and

empathizing (Kottler & Kottler, 2007) are important for teachers to possess in order to

safely and effectively support their students. These elements have been embedded into

the observation protocol (see Appendix A) and will be a focus of teacher behavior in this

study.

The emphasis on collaboration between teachers and mental health professionals

is an important element to explore in the four settings of my current study. The

instrumental music educator interviews and student focus groups, especially, could

highlight the level of counselor support available at each school, and in turn influence the

need for the music teacher to interact with their students as a facilitative teacher.

As facilitative teachers support students with their social and emotional

challenges, they are supporting social and emotional health. One framework teachers can

use to build their students' social and emotional competence is social emotional learning

(SEL).

Social Emotional Learning

> Those that prepare students not only to pass tests at school but also pass the tests
> of life—are finding that social emotional competence and academic achievement
> are interwoven and that integrated, coordinated instruction in both areas
> maximizes students' potential to succeed in school and throughout their lives.
> (Zins & Elias, 2006, p. 233)

Social challenges can have strong effects on attention span, interpersonal relations, and self-confidence (Zins, Bloodworth, Weissberg, & Walberg, 2004). Of profound importance for educators are the negative effects challenges can have on academic performance, test taking, and social behavior issues in the classroom. Educational strategies may be implemented by teachers, parents, mental health professionals, school counselors, psychologists, and support staff to help students successfully navigate their challenges and decrease negative impact (CASEL, 2003). One such strategy to equip students with the tools necessary to succeed, despite their challenges, is social emotional learning (SEL).

Social Emotional Learning Definition and Components

The term "social emotional learning" was first used in 1994 at a meeting hosted by the Fetzer Institute, where the goal was to promote preventative mental health efforts in schools (Merrell & Gueldner, 2010). The field of SEL developed out of work in emotional (Goleman, 1995) and multiple (Gardner, 1983) intelligences, but expanded on these to include a broader definition of mental health intelligence including social competence. SEL can be defined as:

> The process of acquiring the skills to recognize and manage emotions, develop caring and concern for others, make responsible decisions, establish positive relationships, and handle challenging situations effectively…Social and emotional education is a unifying concept for organizing and coordinating school-based programming that focuses on positive youth development, health promotion, prevention of problem behaviors, and student engagement in learning. (CASEL, 2006)

The term SEL has multiple contexts. It is a researched, theoretical, and scientific framework intended to provide children and adolescents with the skills necessary to succeed emotionally, socially, and academically. SEL interventions have also been

packaged and sold to schools for implementation. It is the first context that I incorporate into my framework. SEL is not, in and of itself, a commercial industry, although it has been commercially sold. It is deeper, and offers more scientific depth than a product can represent.

The American Educational Research Association (AERA) developed a Special Interest Group (SIG) dedicated to SEL in 2007. They cite three key research topics that guide the SIG: a) "relationships among social-emotional competencies and academic, health, and citizenship outcomes; b) the impact of SEL interventions on the adjustment, behavior, and academic performance of children and adolescents; and c) factors that influence the implementation and sustainability of SEL programming" (Stillman, 2011, p. 1). It is with this empirical curiosity that I embrace SEL as a potential benefit to music education.

Interventions for school implementation, including those focused on drug use prevention, bullying, teen pregnancy, HIV/AIDS prevention, careers, character, civics, conflict resolution, delinquency, dropout, family life, health, morals, multiculturalism, service learning, truancy, and violence, are frequently fragmented in implementation (Greenberg, Weissberg, O'Brien, Zins, Fredericks, Resnik, & Elias, 2003; Merrell & Gueldner, 2010). SEL is a framework addressing all of these individual issues through an overarching process. SEL is a universal intervention intended to target all students in an education environment; many other interventions target only "problem" students (Merrell & Gueldner, 2010). SEL implementation is often divided into a three-tiered prevention model.
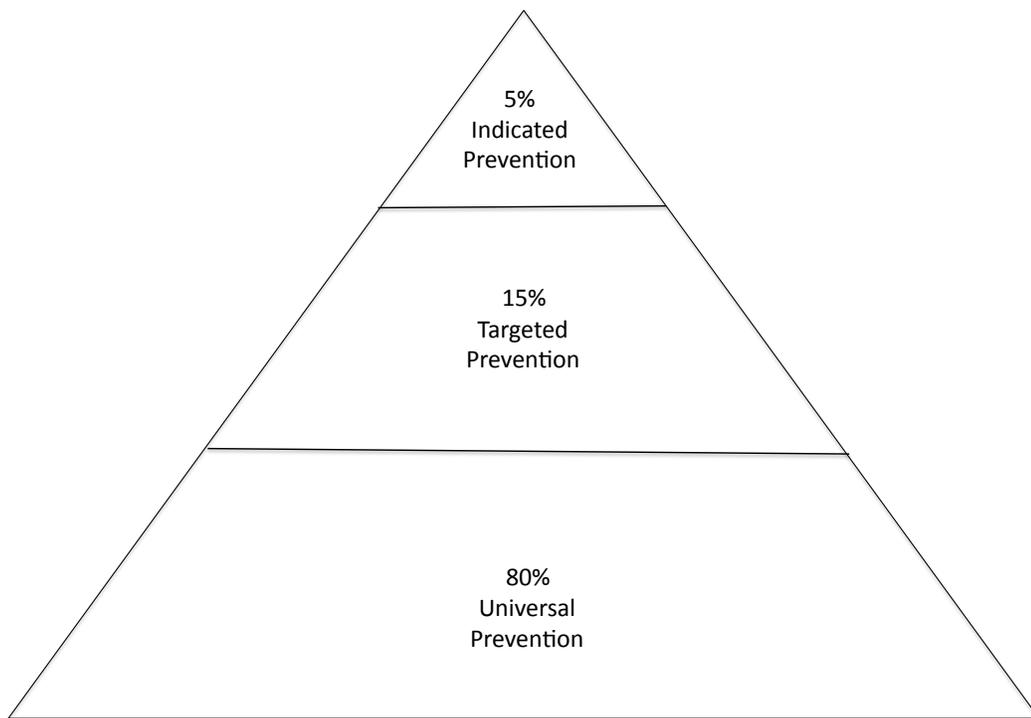
Figure 1: Three-tiered model of SEL implementation (adapted from Merrell & Gueldner, 2010, p. 16)

This model divides the student population into three groups, each with different needs and different intervention plans. The largest group, 80% of the student population, are students who are highly functioning and show little signs of learning or social-behavioral difficulties. Their SEL curriculum comprises whole-school and class initiatives on effective social and emotional practices. The second tier, 15% of the student population, includes students who exhibit some indication of risk and are *targeted* for more intensive intervention. These students receive more specific and intensive interventions. The top tier—the typically *indicated* population targeted for mental health intervention—includes those five percent who have intense needs and require individualized intervention (Zins & Elias, 2006).

SEL can be implemented with all three groups based on pre-packaged programs (CASEL, 2003; Merrell & Gueldner, 2010) or through more informal instruction guided by teachers, counselors, administrators, and support staff. Researchers suggest longitudinal SEL intervention including the following components will yield the greatest results: a) based on theory and research; b) teaches children to apply SEL skills; c) builds connections to school and community through establishing a caring, engaging environment; d) provides developmentally and culturally appropriate instruction; e) helps schools coordinate SEL efforts; f) enhances academic performance by addressing the affective and social dimensions of schooling; g) engages families and communities as partners; h) establishes organizational supports and policies that foster success; i) provides high-quality professional development; and j) incorporates continuing evaluation and improvement. (CASEL, 2003; Walberg, Zins, & Weissberg, 2004). Proponents of SEL suggest instruction based upon pre-packaged programs, as many of them include the above criteria for quality implementation. Further detail on these programs can be found in CASEL (2003) or Merrell and Gueldner (2010). Researchers and theorists recognize while formal pre-packaged implementation is the only means empirically researched to produce results; informal implementation adhering to the above criteria could also be a viable alternative (Merrell & Gueldner, 2010; Walberg, Zins, & Weissberg, 2004). More specific criteria for successful SEL programs include:

> a) the program is school-based and has sequenced lessons included for a general student population; b) there are at least eight lessons in one of the program years; and c) there are either lessons for at least two consecutive grades or grade spans, or a structure that promotes lesson reinforcement beyond the first program year. (CASEL, 2003, p. 10)

Detailed guidelines (expounding on the criteria summarized above) for successful SEL

implementation can be found in Elias, Elias, Zins, Weissberg, Frey, Greenberg, Haynes,

Kessler, Schwab-Stone, and Shriver (1997). Regardless of implementation strategy, "the

goal is to infuse SEL into ongoing activities and program delivery systems in schools and

communities to make the intervention sustainable" (Zins & Elias, 2006, p. 248).

The Collaborative for Academic, Social, and Emotional Learning (CASEL).

CASEL was founded in 1994 with the goal of defining SEL and providing

resources for schools to implement SEL instruction. The mission of this organization is:

a) "to increase the awareness of educators, trainers of school-based professionals, the

scientific community, policymakers, and the public about the need for and the effects of

systematic efforts to promote the social and emotional learning of children and

adolescents"; and b) "to facilitate the implementation, ongoing evaluation, and

refinement of comprehensive social and emotional education programs, beginning in

preschool and continuing through high school" (Elias, et al., 1997, p. viii). CASEL is

housed on the campus of the University of Illinois at Chicago.

Key components of SEL. Through the guidance of CASEL, five key components

make up SEL. Based upon the overall goals of knowing yourself and others, making

responsible decisions, caring for others, and knowing how to act (Elias, 2006), the key

components of SEL are self-awareness, social awareness, responsible decision-making,

self-management, and relationship management (Elias, 2006; Greenberg, et al., 2003;

Merrell & Gueldner, 2010; Zins & Elias, 2006; Zins, Payton, Weissberg, & O'Brien,

2007).). In this section, I explain and provide music education examples for each

component.

Self-awareness. This component focuses primarily on the emotional domain of SEL and includes "identifying and recognizing emotions; accurate self-perception; recognizing strengths, needs, and values; self-efficacy; and spirituality" (Zins, Bloodworth, Weissberg, & Walberg, 2004, p. 7): understanding "one's place in the world and relation to other things" (Merrell & Gueldner, 2010, p. 9). This component is based on Goleman's (1995) theory of emotional intelligence, and Gardner's (1983) intrapersonal intelligence (within one's self). An example in music education would be: A student is practicing independently and is struggling to correctly perform a passage. The student feels frustrated and believes she will never get it. Self-awareness is achieved if the student is aware of this feeling, articulates it, and realizes this feeling is leading to negative, unrealistic thoughts.

Social awareness. This component is a key element of the social domain of SEL. It includes "perspective taking; empathy; appreciating diversity; and respect for others" (Zins, Bloodworth, Weissberg, & Walberg, 2004, p. 7) and "relating effectively to other people" (Merrell & Gueldner, 2010, p. 9). This component is grounded in Gardner's (1983) interpersonal intelligence (with others). An example in music education would be when a section leader in a musical ensemble realizes a struggling freshman performs better and is a more productive member of the ensemble when she receives positive constructive criticism, instead of negative. This results in SEL for the section leader.

Responsible decision-making. This component includes "problem identification; situation analysis; problem solving; evaluation and reflection; and personal, moral, and ethical responsibility" (Zins, Bloodworth, Weissberg, & Walberg, 2004, p. 7). Identifying and developing an appropriate response in difficult situations are the central elements of

this component. This component melds the elements of self and others (the emotional with the social); a combination of inter/intrapersonal intelligence is required (Gardner, 1983). An example in music education might occur when a student is planning to audition to be a music major in college. Realizing the audition is still several months away, the student plans a rigorous practice schedule to prepare her for the audition.

Self-management. "Impulse control and stress management; self-motivation and discipline; and goal setting and organizational skills" (Zins, Bloodworth, Weissberg, & Walberg, 2004, p. 7) are the key skills included in the self-management component of SEL. The most important element of this component is for children to foster internal self-regulation skills and realize it in social interaction (Merrell & Gueldner, 2010). This component requires both a strong emotional intelligence (Goleman, 1995) and intrapersonal intelligence (Gardner, 1983). In music education, perhaps a student is incredibly nervous before performing a major solo. If she is able to realize the fear and potential negative ramifications on the performance, she learns to take deep breaths, calm her heart rate, and attempts to relax and perform well.

Relationship management. This component addresses "communication, social engagement, and building relationships; working cooperatively; negotiating, refusal, and conflict management; and help seeking and providing" (Zins, Bloodworth, Weissberg, & Walberg, 2004, p. 7). This is another component requiring translation from skill to action, in this case, from social awareness to interpersonal interaction. While firmly based in social interaction, or interpersonal intelligence (Gardner, 1983), a sense of self and emotional intelligence (Goleman, 1995) is required to achieve success in this component. In music education an example would be a senior student resenting not being chosen as

drum major. Instead of holding a grudge, she approaches the director, explains her disappointment, and asks what other leadership position she could fill.

This discussion of what is SEL and how it can be implemented is still not universally accepted by school districts. Advocacy and policy for SEL instruction and implementation is still needed. In the next section, I will discuss policy advocating for SEL implementation in every school.

Policy

State and federal legislation has been proposed, with some passed into law, mandating the inclusion of SEL instruction in school curriculum (Illinois Children's Mental Health Act of 2003; Merrell & Gueldner, 2010; New York Office of Mental Health, 2006).

State-level. With the aid of CASEL at Illinois State University, Illinois became the "first U.S. state to formally address child and adolescent mental health needs in an organized and systematic fashion compatible with SEL" (Merrell & Gueldner, 2010). In 2003 they enacted the Children's Mental Health Act and created the Illinois Children's Mental Health Partnership. As part of this, the state of Illinois implemented mental health standards into their school learning standards (Illinois Children's Mental Health Act of 2003). Their goals, in line with those of SEL, are for students to: a) develop self-awareness and self-management skills to achieve school and life success; b) use social-awareness and interpersonal skills to establish and maintain positive relationships; and c) demonstrate decision-making skills and responsible behaviors in personal, school, and community contexts (Illinois Children's Mental Health Act of 2003). All 807 school

districts in Illinois have implemented SEL standards in their written curriculum

(Robinson, 2012).

The state of New York became the second state to enact legislation in 2006 with

the Children's Mental Health Act of 2006 (New York Office of Mental Health, 2006).

This legislation, while not creating explicit standards, does "promote the use of SEL

programs and social-emotional development into elementary and secondary school

education programs" (Merrell & Gueldner, 2010).

Federal. To date there has been no enacted legislation promoting or mandating

SEL instruction on a national level. There is current (Summer, 2011) proposed

legislation, The Academic Social and Emotional Learning Act (H.R. 4223) sponsored by

bi-partisan members of the United States House of Representatives (Kildee, D-MI;

Biggert, R-IL, Ryan, D-OH), that would,

> Authorize the US Department of Education to establish programs and allocate
> funds to establish a national technical assistance center for SEL, provide grants to
> support evidence-based SEL programming, and conduct a national evaluation of
> school-based SEL programming. (Illinois Families for Hands and Voices, 2010)

To date, it has not been passed into law. Internationally, the United Kingdom, Israel,

Singapore, Columbia, Canada, and Australia have some form of SEL policy.

Critiques of SEL

Although the overwhelming majority of the research and scholarship on SEL

suggests positive outcomes, some have critiqued and challenged SEL (Hoffman, 2009;

Noddings, 2010). There are challenges making SEL implementation difficult. Some of

these challenges include: turnover of project staff and school faculty; the appeal of short-

term, limited gain intervention; the lack of fidelity in implementation; difficulties in

creating partnerships with parents; educators needing proper preparation; and the realities

of implementing the program are underestimated (management, resources, and organization). Further, schools are rarely ready for radical change requiring buy-in from all stakeholders. These challenges make widespread implementation of SEL in schools difficult.

Noddings and Hoffman are not critical of the concept, theory, and proper implementation of SEL, however, they do critique how it is often realized in schools. Critiques that the skill-based methods of SEL can turn into emotional and behavioral control measures facilitating self-centered individuals are the most prevalent (Hoffman, 2009; Noddings, 2010). Hoffman (2009) stated:

> SEL in practice thus becomes another way to focus attention on measurement and remediation of individual deficits rather than a way to redirect educators' focus toward the relational contexts of classrooms and schools. (p. 533)

However, I suggest careful implementation focusing on relationships and self in order to prevent falling into what Hoffman (2009) calls "a discourse about control, rules, contracts, choices, activities, and organizational structures" (p. 545). Hoffman further criticizes the research methods looking at SEL including, "a lack of experimental design and a preponderance of anecdotal, self-commissioned, and self-funded evaluations, suggesting that many of the dramatic claims for SEL are unsubstantiated" (p. 536). While some of the research is self-commissioned and funded, I found much of the research on SEL to be methodologically sound and offering strong empirical evidence for the benefits SEL implementation can offer students.

Another critique is not all cultures interpret emotions the same way, so heterogeneous SEL classroom instruction could be difficult and even offensive for some. SEL intervention must be "culturally relevant, empowering children within their unique

cultural environments" (Hoffman, 2009, p. 541). Noddings (2006) also critiqued SEL: a) SEL is teacher-driven and does not allow for "teachers to listen to students" (p. 239); and b) pre-/post-tests of social emotional competence add to the "test mania" students experience. Noddings, however, supports the ideals of SEL.

Despite these critiques, implementation of SEL in schools is prevalent. The connection between social competence, emotional benefits and music has been supported; however the connection between music education and this particular framework has yet to be made.

Social Emotional Learning Conclusion

> It simply makes sense that if we are to expect children to be knowledgeable, responsible, and caring, and to be so despite significant obstacles, we must teach social and emotional skills, attitudes, and values with the same structure and attention that we devote to traditional subjects. (Elias, et al., 1997, p. 9)

While the material presented represents the theoretical base of SEL, there is still much to know. The connection between SEL and music education has not yet been explicitly made. The works of Pellitteri and colleagues (1999; 2006) have introduced musical and emotional intelligence; however further connections need to be made. The use of qualitative inquiry to investigate what SEL can look like in music classrooms is necessary to understand outcomes from both music teacher and student perspectives. The framework of SEL will provide a lens through which to observe student social emotional competence in the four settings.

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Conceptual Framework

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Specific elements of the literature resonated with me and provided a framework for my study. A conceptual framework is the "underlying structure, the scaffolding or frame of your study" (Merriam, 2009, p. 66). To develop my scaffolding I combined

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58

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elements from ethics of care, teachers in the role of counselor, and SEL (See Figure 2). When determining how to frame my study I was motivated to find specific elements that could inform my observations and guide my analysis of how instrumental music educators are supporting students with their social and emotional challenges. I decided to combine Noddings' strategies for teaching care (2005a), Kottler and Kottler's (2007) skills for teacher counselors, and the five core components of SEL (Elias, 2006).

To account for the teacher's role in this phenomenon I adapted the model, practice, dialogue, and confirmation strategies Noddings suggests for teaching care in schools. These four techniques are necessary for students to learn care (Noddings, 1988; 2002; 2003; 2005a). Because of their essential role in developing a caring environment, conducive for social emotional competence, these four elements provide a strong scaffold to observe teachers and their interactions with the students. Prior research (McKenzie and Blenkinsop, 2006) evaluated the effectiveness of using this framework in an education setting. For this study, I adapted it to the instrumental band classroom.

Specific skills Kottler and Kottler (2007) suggest for teachers supporting their students are listening, questioning, modeling, reframing, goal-setting, and empathizing. These actions were included in the observation protocol to focus my attention on teacher behavior and were explored in participant interviews (see Appendix A).

The SEL components of self-awareness, social-awareness, responsible decision-making, self-management, and relationship management represent the ideal in students achieving social emotional competence or mental health. Creating and defining goals for students to achieve is critical to measure teacher and student perceptions of mental health during my data collection. This framework also allowed for me to clearly delineate

between social and emotional elements in classroom observations. Using the five core components of SEL provides the outline of a protocol to observe students and their mental health.
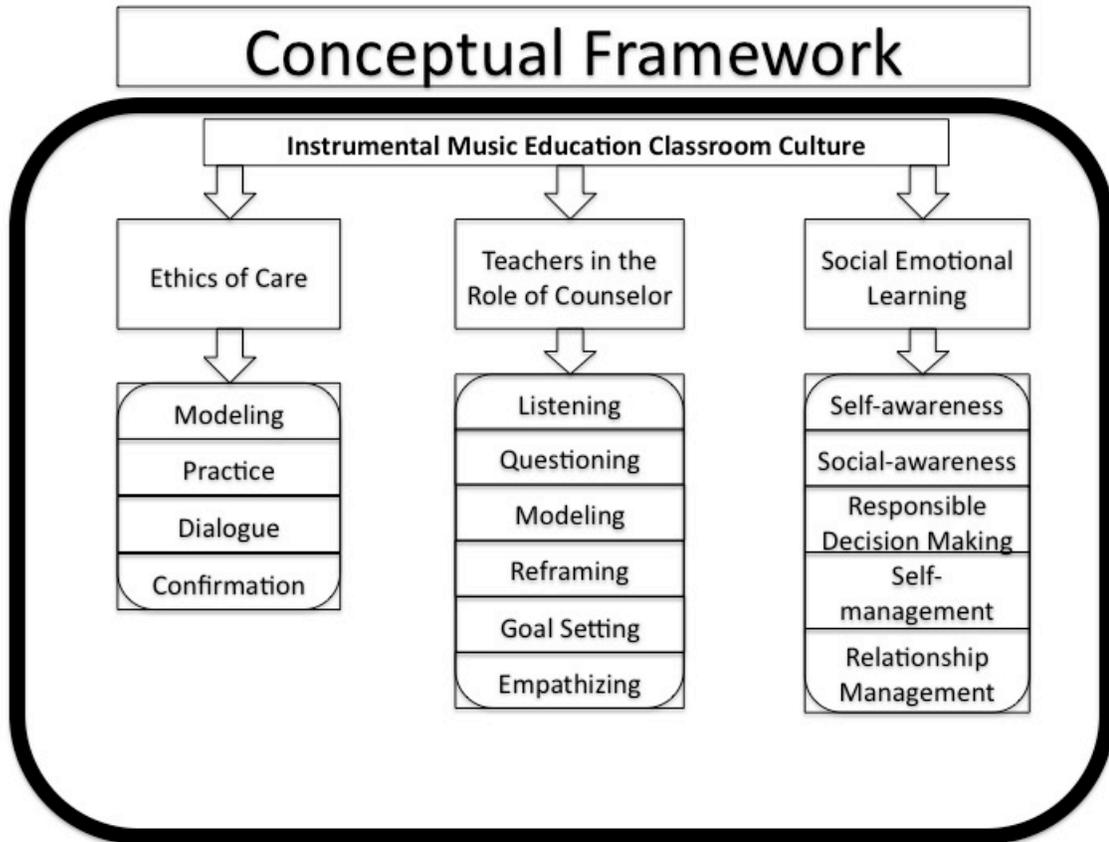
Figure 2: Conceptual framework

Together, these elements of ethics of care, teachers in the role of counselor, and SEL offer a conceptual framework to observe teachers and their students, their interactions, and the mental health and challenges of their students (see Appendix A). This underlying structure melds mental health with the caring environment needed to facilitate it in an instrumental music education classroom.

This discussion of the frameworks of ethics of care, teachers in the role of counselor, and SEL provided a foundation to present the prior empirical research

conducted in these areas. Chapter III will review education research contextualizing the

role of the teacher and students in a caring, socially, and emotionally rich music

classroom. Then, prior research in ethics of care, teachers in the role of counselor, and

SEL will be discussed.

CHAPTER III

EMPIRICAL LITERATURE

Chapter III includes discussion of research on the music classroom including: a) the social-emotional climate in a music classroom; b) the role of music educators in students' lives; and c) music and emotions. Ethics of care in educational settings, teachers in the role of counselor, and SEL research will then be discussed. This chapter concludes with a presentation of my previous relevant research and a rationale for the current study.

The Music Classroom

The music classroom is a rich environment with musical and extra-musical benefits. Interpersonal social and emotional elements are prevalent. Research suggests music teachers have great influence (Rickels, Councill, Fredrickson, Hairston, Porter, & Schmidt, 2010) and their classrooms can have powerful meanings for music students.

Social-Emotional Climate in a Music Classroom

Many influential factors can influence students' experiences in school. These can include home life, peers, teachers, and community interactions. Carlisle (2008) conducted a qualitative case study of schools in Canada where she was a participant observer for six weeks in three Southern Ontario secondary music schools offering alternative curriculum to traditional ensembles. The purpose of her study was to explore the effect of alternative

curricular offerings on social-emotional[8] climate. Questions guiding her research
included:

> a) What are the formative and experiential dimensions of the social-emotional
> climate in three secondary school music programs that offer alternatives to large
> ensemble performance? b) Anticipating that alternative approaches may result in a
> positive social-emotional learning climate, the following sub-question is
> important to potential implications for practice? And c) What kinds of micro
> interactions contribute to a positive social-emotional climate? (p. 4)

Carlisle defined social-emotional climate as the "environmental product of the macro and
micro interactions between members of a group and the perceptions members hold of
those interactions" (p. 21). She used this definition of social-emotional climate as her
theoretical framework. The focus was on what elements influence social-emotional
climate. She differentiates between macro (society, social structures, social policy, social
values) and micro influences (personal experience derived from relationships). She
suggests positive social-emotional climate is conducive for social, emotional, and
academic gains. "Social-emotional climate allows for individual perspective to develop
within the context of macro and micro interactions between members of a group and the
perceptions members hold of those interactions" (p. ii).

In addition to the qualitative case study, she also used quantitative elements in this
study, including a survey element with students and teachers (N=281). For the qualitative
component, her data sets included semi-structured dyadic interviews with school
principals and music teachers, formal and informal student focus group interviews, and
phenomenological description. Her selection of data sets influenced my design for this
current study.

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[8] In the literature, the term "social-emotional climate" utilizes a hyphen where other
references to social emotional learning do not.

Findings were presented as students' perspectives of the social-emotional climate, what elements helped form the social-emotional climate, and applying the social-emotional climate to each school environment. Her findings suggest music teachers are highly influential in establishing and developing the social-emotional culture of the music classroom. She also found the more student-centered a classroom is (based in alternative curricula), the higher level the influence is. These findings suggest the complex nature of music classrooms do influence the social and emotional lives of their students. She concluded in the "spirit of grounded theory" (p. 203), suggesting alternatives to large ensembles may engender a better social-emotional climate. Her implications for music education are of profound influence for my study:

> Teachers are responsible for the relationships students have to learning, their teacher, and to their peers. Students' relationship to what is learned is deeper when it is creative and meaningful to students. Students' relationship to their teacher is improved when the teacher employs a variety of teaching strategies and fosters positive relationships that empower students. Finally, teachers create the environment whereby students are responsible for each other's learning and interdependence is fostered. (p. 108).

While I am not specifically assessing social-emotional climate in this current study, the approaches of the instrumental music educators' supporting their students' challenges are influenced by the social-emotional climate they create.

The Role of Music Educators in Students' Lives

Music education classes, the classrooms, and teachers can have a powerful impact on students' lives (Adderley, Kennedy, & Berz, 2003; Hamann, Mills, Bell, Daugherty, & Koozer, 1990; Hoffman, 2008; Robinson, 1997; Rickels, et al., 2010). This impact ranges from a music room feeling like a second home (Adderley, Kennedy, & Berz, 2003) to influencing student career and college major choice (Rickels, et al., 2010).

An early study exploring the music classroom environment looked at specific elements in vocal and instrumental music classrooms and their effect on musical performance with 1,843 high school music teachers and students selected randomly in Colorado (Hamann, Mills, Bell, Daughery, & Koozer, 1990). Quantitatively comparing results from the Classroom Environment Scale Form R (an existing survey instrument) with contest ratings revealed elements such as classroom involvement, level of affiliation or friendship in the class, teacher support, task orientation, competition, organization, rule clarity, and teacher control are influential in a music classroom.

The purpose of their study was to determine if there were any significant differences between the classroom environment scale results and musical achievement, sex, or type of performing group (instrumental/choir). Specific findings suggest, when teacher support, organization, rule clarity, involvement, and affiliation are high, so is student achievement. In contrast, when teacher control and competition are high, achievement suffers. Findings are summarized as "students want caring and helpful teachers—those who are willing to help them reach their individual goals" (p. 223). These findings suggest music teachers who engage students in a caring manner and foster a socially and emotionally healthy classroom could achieve greater musical achievements.

Robinson (1997a; b) conducted a case study of a band classroom with 85 students at one rural high school. Seeking to explore the students' perspectives of their high school band experience, his rich narrative description of this one school's band environment provided insight into the students' perspectives of participation in a band. Specifically, he looked to compare impressions of students in a top auditioned ensemble

versus those in the second ensemble. He framed this study within the changing strategies for teaching band, influenced by the National Standards in Music Education. Student interviews, a student questionnaire, participant observation, field notes, and rehearsal plans comprised his data sets.

His findings suggest students appreciate boundaries facilitating a focused rehearsal environment. This could be framed as emphasizing and working toward self-management. Further, students valued the community created in the ensembles. He suggests these findings might help the transition from middle to high school for student musicians and provide older students with a more conducive learning environment. This study lacked the depth of exploration I expected for a band classroom environment. Further analysis of the teacher/student interactions would have provided a more complete picture of this setting.

Some high school music students refer to their high school music classroom as a "home away from home" (Adderley, Kennedy, & Berz, 2003). Sixty students from band, choir, and orchestra were interviewed to provide insight into why they join and stay in ensembles, the meaning of the ensembles to its members, and the social climate of the classroom. Findings suggest students joined for musical, social, academic, and family reasons, and continued participation yielded musical, academic, psychological, and social benefits for the participants. Specifically, they felt they grew in self-esteem, self-confidence, and self-knowledge. Students also valued the emotional outlet participation in the ensembles provided. Socially, students believed participation in ensembles could help improve social skills. Students believed one of the most important elements of being in the ensemble was social in that "students noted the importance of relationships for

their well-being and growth" (p. 190). The social importance for students attribute to participating in ensembles is of critical importance for my current study.

Hoffman (2008) conducted similar research exploring the band classroom (middle school) from a social perspective. She conducted a qualitative study informed by ethnography and narrative inquiry with six sixth grade instrumentalists in one middle school band over the course of five and a half months. She found narrative inquiry and ethnography facilitated exploration of the social context of the band classroom, both from a data collection and methodological perspective, for her collective case study. Her purpose was to "explore the band classroom as a social context and examine its influence on middle school students' identity constructions" (p. i). Her research questions included:

> a) What types of social interactions occur within the band classroom? b) How do peer networks form and function within (and outside of) the band classroom? c) How do middle school band students make decisions regarding music course enrollment and participation? And d) In what ways do social learning and musical learning intersect? (pp. 13-14)

Her data set included classroom observations, open-ended interviews, and weekly student journals.

Findings show students take pride in and value participation in their ensemble. Social interactions within the instrumental music ensemble can influence retention in the ensemble, both positively and negatively in that positive social interactions led to students staying in the ensemble, while negative interactions caused them to leave. Acceptance and rejection effected how strongly the students identified with their group. In terms of student/teacher interactions, students largely communicated with teachers only in response to a teacher directive. Also, students communicate non-verbally in a band classroom during rehearsals. Finally, Hoffman suggests in the "middle school band

classroom, social and musical learning are interconnected, codependent processes" (p. 299). This intersection of social and musical will be further explored in my current study.

Music teachers can also influence the college major and career choice of high school students (Rickels, et al., 2010). Potential undergraduate auditioning music majors were surveyed (*N*=228) regarding influences on their career choice. School music teachers were among the most influential people in this choice, only second to their private music teachers. This influence suggests the value these students place in their music teachers is high.

The Music Classroom: Conclusion

The influence of the music classroom and their teachers is profound for P-12 music students. The research described here suggests students value the social, musical, and emotional elements of participation in music ensembles. Whether it is a "home away from home" or an influence on future career choices, music teachers are intricately involved in the social and emotional lives of their students. This suggests teachers could also aid in supporting students with their challenges. Hamann, et al. (1990) suggests students value a caring music teacher. Research in the area of ethics of care, while limited, also highlights the potentially important impact care can have in a music classroom.

This review of the limited research on social-emotional climate and the role of music educators in students' lives exposed a need for further exploration of the extra-musical benefits of an instrumental music classroom. The influence of the music teacher is potentially profound and contributes largely to the macro and micro interactions influencing the social-emotional climate of a music classroom. These elements frame the

current study in that if teachers are influential in the social and emotional climate of a music classroom and students are largely influenced by this climate, a music educator could be effective in influencing and helping music students with their challenges musically and interpersonally.

Emotions and Music

Music is a stimulus that can elicit a response, and throughout the history of experimentation, reference to affective states, whether emotional, mood, or aesthetic in nature, has provided researchers 'grist' for attempting to discover links between physiological and psychological behaviors. (Bartlett, 1996, p. 343)

Music can have strong emotional influences and can be potentially therapeutic for humans, emotionally and socially. This research has been conducted primarily using self-report, psychophysiological, and neuroimaging measures (Juslin & Sloboda, 2010). The physiological responses the body has to music are largely due to how the brain and music interact. Hodges (2000) summarized the neurological and musical connections as:

a) the human brain has the ability to respond to and participate in music; b) the musical brain operates at birth and persists through life; c) early and ongoing musical training affects the organization of the musical brain; d) the musical brain consists of extensive neural systems involving widely distributed, but locally specialized regions of the brain; and e) the musical brain is highly resilient. (p. 18)

It is in the individual and social responses to music that this literature is relevant to my current study. These connections between music and the brain suggest the influential power music and music education can have on elements associated with the emotional parts of the brain.

Stratton and Zalanowski (2003) recruited 47 college students (25 music majors) and had them keep a diary for two weeks. Undergraduate music and non-music majors entered journal entries for several music-listening episodes daily, indicating what the music was, how long they listened, other activities occurring with the music, and mood

assessments before and after the music. Participants listened to music for an average of two hours a day and reported rock as the preferred genre. Results suggest if the students liked the music they were engaged with, their moods improved consistently. This suggests the intrinsic power of music to improve personal dispositions. "Music appears to serve a utilitarian role in daily life" (p. 7).

Juslin and Laukka (2003) conducted a meta-analysis of 104 studies measuring vocal expression and emotion and 41 musical performance studies measuring emotion. They concluded music is a viable communicator for emotion. Primary emotions included happy, sad, fear and anger, among many others. "Communication of emotions may reach an accuracy well above the accuracy that would be expected by chance alone in both vocal expression and music performance—at least for broad emotion categories corresponding to basic emotions (i.e., anger, sadness, happiness, fear, love) (Juslin & Laukka, 2003, p. 797). These findings suggest musical performance could be an effective exercise for emotional release and identification, and emotional vocabulary expansion.

Thompson, Schellenberg, and Husain (2004) suggested there is a relationship between music training and the ability to accurately identify emotions. In three experiments, musically trained and untrained adults ($n=20$ undergraduate students and $n=56$ adults from a university community), and musically trained and un-trained six-year olds ($n=43$) were asked to identify emotions represented in music.

> After hearing semantically neutral utterances spoken with emotional (i.e., happy, sad, fearful, or angry) prosody, or tone sequences that mimicked the utterances' prosody, participants identified the emotion conveyed. (p. 46)

Musical participants were more accurate at identifying both the intended emotion in the music and in the vocal inflection than were non-musical participants. This infers musical

participants were better equipped to correctly identify the emotional undertones of speech. Participation in music making could make students more self-aware and sensitive to emotions, which in turn could result in a stronger degree of social emotional competence.

Physiological Reactions to Music

The body reacts to music due to six mechanisms: a) "brain stem reflexes; b) social conditioning; c) social spread of emotion; d) visual imagery; e) episodic memory; and f) musical expectancy" (Juslin & Vastfjall, 2008, p. 559). These mechanisms suggest there is a social and personal connection to music influencing how the body reacts to it. "Music evokes emotions through mechanisms that are not unique to music" (Juslin & Vastfjall, 2008, p. 559).

Two ways the body reacts to music is biochemically through the release of dopamine and through skin conductance responses (chills). The body reacts to music, known, unknown, liked or not. Blood and Zatorre (2001) conducted a positron emission tomography scan (PET) on five male and five female university students with at least eight years of music training to measure dopamine release while listening to music. Each participant selected a piece of music they associate with pleasant emotions. PET scans were given while listening to their selected music. Chills and a release of dopamine were greater when listening to their selected music, as opposed to random music. They equated the release of dopamine while listening to music the participants like to that of "the joy of sex, the thrill in certain illegal drugs, and the warm feeling within a woman breast-feeding her child" (p. 11823). Music the participants liked elicited a more powerful release of dopamine.

The ability of music to induce such pleasure and its putative stimulation on endogenous reward systems suggest that, although music may not be imperative for survival of the human species, it may indeed be of significant benefit to our mental and physical well-being. (p. 11823)

The experience of getting chills while listening to music is common. Khalfa, Isabelle, Jean-Pierre, and Manon (2002) measured these arousal responses for 34 participants. They played 28, seven-second clips and measured their reaction and what type of emotion they felt. Findings suggest fear and happiness are more accurately conveyed in music than sadness and peacefulness. Regardless, music was able to arouse participants skin conductance responses and thus elicit a physiological response. These studies suggest music is a powerful modality to elicit emotional reactions. From a music education standpoint, as well as a facilitative teacher standpoint, this is powerful data that music could be used to facilitate a socially and emotionally rich classroom.

Effect of music on stress. Music therapists Koebel (2001) and Noh (2009) evaluated the effects of music on anxiety and stress levels of their participants using experimental procedures. Koebel specifically looked at the effects of group drumming on neuroendocrine levels, mood, stress, and socialization of her participants. Using 34 volunteers she compared a drumming group with an active listening group. Utilizing self-report measures and saliva tests, no significant differences were found between the two groups on any psychological measures. However, both groups experienced a significant decrease in stress. This suggests listening to and participating in group music making could offer therapeutic results.

Noh (2009) examined the difference in stress relief between musicians ($n=24$) and non-musicians ($n=27$) when listening to instrumental music, vocal music, and silence. Utilizing a self-report measure before and after each treatment, participants

reported vocal and instrumental music both decreased anxiety levels. There was not a significant decrease for silence listeners. There was also not a significant difference between musicians and non-musicians. Instrumental music listeners reported the greatest decrease in anxiety.

Both Noh and Koebel similarly concluded listening to and performing music reduces anxiety and stress. Further, listening to instrumental music resulted in a greater decrease in stress (Noh, 2009). However, Repeated Measures ANOVAS revealed no lasting effects (Koebel, 2001).

This research on emotions and music suggests music is a powerful stimulus for emotional release. The therapeutic experience of interacting with music in a social environment could help teachers support students with their challenges. Throughout this study I will be aware of how music is or is not involved in teachers supporting students with their challenges.

Ethics of Care in Education Research

Ethics of care has had a limited presence in research as a topic of study (Alsop, Gonzalez-Arnal, & Kilkey, 2008; Enomoto, 1997; Liddell, Halpin, & Halpin, 1992), a conceptual framework (Flint, Kurumada, Fisher, & Zisook, 2011; McKenzie & Blenkinsop, 2006), and as a model for ethical research (Gibbs & Costley, 2006). Considering care while conducting research is as critical to findings as ensuring validity and reliability: "To strip our researching of care is to strip our researched of their humanity and our findings of authenticity" (Gibbs & Costley, 2006, p. 243).

Researchers have compared care and justice. Liddell, Halpin, and Halpin (1992) researched developing an objective instrument measuring care and justice. To measure

college students' sense of care and justice, 11 moral dilemmas were written, critiqued by expert faculty, and piloted with 28 students (23 women, 5 men). Students labeled each dilemma as either justice or care-based. The final product, *The Measure of Moral Orientation*, was a "psychometrically sound" (p. 329) tool for measuring care and justice. The statistical analysis suggested care and justice could be measured separately.

Enomoto (1997), using a case study methodology in an urban high school, explored how care and justice are negotiated regarding disciplinary action as a participant observer. By categorizing observations as involving a) justice, not care; b) care, not justice; c) not care, not justice; or d) care and justice together, she concluded that care and justice can not be reconciled; they can, however, be negotiated to include elements of each.

In another vein of ethics of care research, Alsop, Gonzalez-Arnal, and Kilkey (2008) summarized two studies evaluating the effect of caregiving on mature, nontraditional college students. Students from one university were selected using a random stratified sampling strategy resulting in a target sample of 300 students (41% response rate). A postal questionnaire found half of the students had caring responsibilities. A qualitative follow-up study allowed researchers to conduct face-to-face semi-structured interviews with 24 students from the quantitative study. Findings suggest most carers were female, caring usually constituted parenting or caring for an aging adult, and being a caregiver concurrently while pursuing a college degree was challenging. Time and financial responsibilities were the primary challenges.

Ethics of care has also been used as a conceptual framework in education research, specifically investigating professional development (Flint, Kurumada, Fisher, &

Zisook, 2011) and adventure education/outdoor learning (McKenzie & Blekinsop, 2006). There is little difference between studies that used ethics of care as a topic of study and those that used it as a conceptual framework. In practice, when ethics of care is used as a conceptual framework, it is still the topic of research, however, it informs inquiry of an additional topic.

McKenzie and Blenkinsop (2006) explored re-imagining adventure education for troubled youth centered on compassion and care. Traditionally, a justice-based approach would have been taken with these children; care was the alternative. They reconceived the mission for adventure education using the care concept of modeling, dialogue, practice, and confirmation. "Thoughtful acceptance of an ethic of care as the foundational means of engaging the world ethically has the potential to allow adventure educators to re-evaluate all aspects of our programs" (McKenzie and Blenkinsop, 2006, p. 102). Preliminary discussion suggests both educators and students were receptive to this shift in approach.

Flint and colleagues explored the role of care in inservice teacher professional development at a professional development school. This qualitative self-study explored the relationship between a university and a professional development school including schoolteachers, professors, and graduate students. Through this method of professional development the facilitator "honors what the learner wants and desires by listening and responding to the learner" (Flint, et al., 2011, p. 98), a hallmark of receiving as outlined by ethics of care. Three elements were found to be beneficial from these relationships: a) confirmations: an act affirming and encouraging the best in others, built on mutual respect; b) invitations: suggestions by the university participants to the schoolteachers,

primarily using the pronoun "we" as in "what if we tried…"; and c) celebrations: joyous occasions when goals were accomplished.

The limited use of ethics of care in educational research has provided insight into its unique and valuable role in education. Any further inquiry using ethics of care in education would be beneficial. The use of ethics of care could be expanded to contexts including a more diverse population, relationships at all levels of the school hierarchy, and all subject matters. The limited research on ethics of care suggests caring is positive, even if not always easy or easily defined. Grappling with the presence of justice and care will have to be considered as I conduct this current study. Although research suggests care's benefits, it has yet to be seen if it is beneficial in large ensemble settings, socially, emotionally, academically, and musically.

Teachers in the Role of Counselor Research

The role of the school counselor in schools and how teachers can embrace a similar role needs to be considered empirically to frame my current study. First, an adequate measure of the state of mental health in schools should be accounted for. In a national survey of 1,400 P-12 professionals, the Center for Mental Health in Schools at UCLA (2006) explored the state of mental health in schools. Findings indicated 66% of high schools have a process for referring students with mental health conditions to appropriate providers of care, but only 34% reported having a clearly defined and coordinated process for identifying these students. This resulted in half or fewer students receiving the services they need. One third of the districts reported funding decreases for mental health services since the 2000-2001 school year, while over two thirds of the districts reported the need for mental health services increased. In addition to decreasing

funds and increased need, caseload is increasing. Utilizing an online survey of 227 Texas

school counselors, McCarthy, Van Horn Kerne, Calfa, Lambert, and Guzman (2010)

found paperwork and caseload were the two most stressful parts of counselors' jobs. For

these participants, the average caseload was over 441 students. This suggests there is a

necessity for teachers to aid in the role of counselor. This is a responsibility the

participant instrumental music educators in the current study have accepted.

Collaboration Research

Gibbons, Diambra, and Buchanan (2010) surveyed 228 counselors on the role of

collaboration in addressing students' mental health. The respondents stated the terms

"needed, preferred, and valuable" most prominently expressed their attitudes toward

collaboration (p. 2). Further, they ranked teachers as the most important group to

collaborate with in a school. One strategy for collaboration was distributed counseling

(Allen, et al., 2006). As part of this collaboration, mental health professionals can offer

professional development to teachers, focusing on a) developing trusting relationships

with students; b) facilitating discussions with students; c) developing conflict-resolution

and mediation skills; d) counseling students about personal and health issues; e)

monitoring student progress; f) leading group discussions; and g) communicating with

parents (Allen, et al., 2006). "Multidisciplinary teams composed of counselors,

administrators, psychologists, teachers, social workers, and parents are widely supported,

especially when the model has the mental health professional acting as the case manager"

(Haynes, 2002, p. 118).

This discussion of the importance of collaboration provides a rationale for

documenting the student and teacher support mechanisms for mental health in place at

77

each of the four settings in my study. This could greatly affect the approaches of the instrumental music educators in supporting their students with their challenges.

Teacher Perceptions of Counseling Role

Assessing teachers' perceptions of engaging students with their challenges is an important element of this phenomenon (Phillippo, 2010; Teed, 2002). Teed (2002) conducted a qualitative, interview-based study with 18 elementary teachers from five demographically diverse schools. (K-6). Each of the schools identified common areas of concern regarding their students' challenges, including divorce, blended families, lack of parenting, drug and alcohol abuse, violence, sexual abuse, neglect, disabilities and medication. Teachers largely accepted their role as counselor and saw the direct benefits of this type of interaction. The younger the teachers, the more difficulty they had in addressing students' challenges.

> None of the 18 teachers had received preservice or inservice training specifically addressing elementary students' social and emotional needs and the ways in which teachers can help identify and respond to those needs (p. 135)**…**all believed such training is important and necessary. (p. 139)

Phillippo (2010) spent six weeks of intensive field observation at three high schools and interviewed 44 teachers to assess their role as an advisor (used synonymously with counselor). Personal resources (experience, formal education, and support network) and schema (personal philosophy, role boundaries, and vision) were used to evaluate competence level of advising students. These elements, over preservice or inservice teacher education, led to competence. More experienced teachers possessed a larger number of resources, were more comfortable conversing with their students, and were able to set clear boundaries in terms of time, energy, and sense of responsibility for the ultimate success or failure of their students. Less experienced teachers appeared

unsure of how to respond to students' challenges and expressed dislike for doing so. A common reaction was disengagement from the student seeking help. "Younger teachers new to the profession often lacked both personal resources and schemas that might have helped them do the work of advising" (p. 2278).

Music educators as counselors. In the only music education study addressing counseling explicitly, Sewell (1985) surveyed 150 instrumental music educators in Florida on their role as counselor. A response rate of 70% resulted in 105 completed postal surveys. Findings included 99% of respondents stated they functioned as a counselor for students and 98% felt that it was their responsibility to do so. Only 15.2% had training in counseling. Further, 93.3% of the teachers stated students solicit their opinions and advice on personal matters, regardless of whether the teachers believed it was their role or they had received training in counseling. The types of situations students presented to their band directors (in order of prevalence) included home and family problems, social problems, career/vocational guidance, educational problems, boyfriend/girlfriend problems, student-teacher conflicts, sexual problems, discipline, drug and alcohol abuse, financial issues, performance anxiety, performance standards, music camps, selection of private teacher, self esteem, and employment problems.

The teacher in the role of counselor literature presented here suggests teachers will have students who want help with their challenges, counselors may not be available, and teachers may not have the skills to adequately help. SEL is a proactive intervention intended to help students be better prepared to handle challenges prior to their occurrence. One responsibility of school guidance counselors is the creation of the school guidance curriculum. This calls for school counselors to develop and coordinate delivery

79

of a proactive, developmental curriculum designed to assist students with the acquisition of academic development, career development, and personal/social development competencies. SEL would fit into this last category. School counselors could be an important component in the design and implementation of an SEL curriculum. The research on SEL suggests actively supporting students with their challenges could have both academic and mental health benefits. The next section will discuss selected research on how to assess SEL and effects of SEL implementation.

Social Emotional Learning Research

SEL Assessment

Assessment instruments are often used in SEL instruction to either measure baseline competencies prior to instruction or to measure effects after the intervention. Traditionally, in the field of mental health, assessment instruments have been pathology-oriented (focused on problems, disorders, or dysfunctions) and not focused on competencies and strengths (Merrell & Gueldner, 2010) as CASEL advocates for. Six assessment methods frequently used in SEL research are: a) direct behavior observation; b) behavior rating scales (completed by teachers and parents); c) self-report instruments; d) sociometric techniques (students evaluate the social or emotional status of their peers); e) projective-expressive techniques; and f) interviewing techniques (Coryn, Spybrook, & Evergree, 2009; Haggerty, Elgin, & Woolley, 2011; Merrell & Gueldner, 2010). Due to reliability, validity, cost, and reasonability of these methods, behavior rating scales and self-report assessments are recommended. For my current study, I looked to explore the contexts of SEL in school settings so I chose interviewing and observation as the primary data sources.

Effects of SEL

Neurological connections. There is a growing body of literature correlating successful SEL or social emotional competence with academic achievement (Zins, Bloodworth, Weissberg, & Walberg, 2004). The strongest scientific advancement for this phenomenon involves neuroscience linking the emotional parts of the brain to the cognitive: "Direct links are proposed among emotionally, use-dependent synaptic stabilization related to the prefrontal cortex, the development of executive function abilities, and academic and social competence in school settings" (Blair, 2002, p. 111). This association can involve both positive and negative results in that social emotional competence can result in positive cognitive gains, while incompetence can result in inhibiting academic performance. Further:

> The emotional centers of the brain are intricately interwoven with the neocortical areas involved in cognitive learning. When a child trying to learn is caught up in a distressing emotion, the centers for learning are temporarily hampered. The child's attention becomes preoccupied with whatever may be the source of the trouble. (Goleman, in Zins, et al., 2004, p. vii)

Academic and social emotional competence effects. Researchers have evaluated the effects of SEL in terms of increasing social emotional competence and academic success. In a meta-analysis of research on 80 SEL programs, 83% of the programs produced academic gains. Further, of the 83%, 12% of the programs not focused on academic performance resulted in positive academic achievement (CASEL, 2003). Increased academic performance was a common finding found in research on SEL instruction (CASEL, 2003; Conduct Problems Prevention Research Group, 2010; Jones, Brown, & Aber, 2010; Jones, Brown, Hoglund, & Aber, 2010; Payton, Weissberg, Durlak, Dymnicki, Taylore, Schellinger, & Pachan,2008).

SEL instruction can also positively affect social emotional competence. A meta-analysis of 165 studies of school-based prevention activities suggests SEL instruction can reduce alcohol and drug use, dropout and nonattendance, and conduct problems (Wilson, Gottfredson, & Najaka, 2001). Specific effect sizes indicated non-cognitive–behavioral counseling, social work, and other interventions result in negative effects (ES=-.41), while self-control or social competency interventions (such as SEL) show positive effects (ES=.39) (Wilson, Gottfredson, & Najaka, 2001).

In an evaluation of the effectiveness of one specific SEL program, *Strong Kids/Strong Teens,* found students' knowledge of healthy social emotional behaviors increased, while negative affect and emotional distress decreased (Merrell, Juskelis, Tran, & Buchanan, 2008). The study combined results from three pilot studies (*N*=120 middle school students; *N*=65 middle school students; *N*=14 high school students) involving diverse settings, demographics, and grade levels. Students received one, one-hour SEL lesson a week for 12 weeks. Assessments were given using self-report measures in a pre-post-test design. Students produced statistically significant and clinically meaningful changes in SEL knowledge and decreased emotional distress.

In another meta-analysis of 317 studies (Students, *N*=324,303) involving students in grades K-8 in diverse settings, SEL is suggested to be among the "most successful youth-development programs offered to school age youth" (Payton, et al., 2008). Each study included a control group. Academically, SEL programming improved students' achievement test scores by 11 to 17 percentile points (ES=.28). Socially and emotionally, SEL programming resulted in positive effects on social emotional skills, attitudes towards

self, school, and others, social behaviors, conduct problems, and emotional distress. Further, these effects remained into students' high school years.

Teachers and parents also observed behavioral differences in students who received SEL instruction. McKown, Gumbiner, Russo, and Lipton (2009) found in a comparison of typically developing children (*n=158* children ages four to fourteen) and clinic-referred children (*n=126* children ages five to seventeen), based on self report, teacher report, observation, and tests of baseline social emotional competence, both sets of students increased in: a) an awareness of non-verbal cues; b) the ability to interpret social meaning; and c) the ability to reason about social problems. Further, they found a positive correlation between SEL skill and parent/teacher reports of student self-regulation and competent social interactions (coefficients of .76 and .96 respectively).

A longitudinal study of elementary-aged children (*N=2,937*) by the Conduct Problems Prevention Research Group (2010) evaluated the effects of SEL instruction in relation to level of prior problem behavior, gender, and student risk factor determined by the poverty level of the school. Positive effects observed were reduced aggression and increased prosocial behavior as assessed by teacher and peer reports, as well as increased academic engagement as assessed by teacher reports. Results suggested effects were larger for students who showed a higher level of baseline aggression. Overall, boys exhibited higher levels of aggression than girls. A limitation of this study, as with many longitudinal studies, was attrition could have potentially affected the findings. Attrition in the three sites ranged from 25% to 61%. Attrition analyses were conducted and accounted for in each site to try to minimize this limitation.

Another three-year, longitudinal study evaluated the effects of the 4Rs Program (Reading, Writing, Respect, and Resolution) on 1,184 inner-city students and 146 teachers. Experimental tests for causal impact of SEL intervention found there was a slower rate of aggressive behavior, an increase in social competence, and a decline in depressive and ADHD symptoms (Jones, Brown, & Aber, 2010; Jones, Brown, Hoglund, & Aber, 2010). Data was collected using teacher questionnaires, rating students' language and literacy skills, and social competence, and student questionnaires rating their aggressive social-cognitions, and pro-social cognitions. Further, students identified by teachers as having "greater behavioral risk at baseline showed greater improvements as a result of exposure to 4Rs in their math and reading achievement and in teacher reports of their academic skills" (Jones, Brown, & Aber, 2010, p. 5).

Researchers of SEL intervention suggest SEL instruction can result in positive effects on social emotional competence and academic performance. Large-scale, longitudinal studies indicated SEL is an effective intervention for students at all grade levels, K-12, and is effective for students from diverse settings and demographics. There were primarily quantitative, experimental data on the effects of SEL instruction with the most comprehensive research accounting for the students', teachers', and parents' voices.

Teacher Perceptions

Teacher perceptions of SEL and perceived support for SEL implementation are critical for teachers to successfully implement SEL (Buchanan, Gueldner, Tran, & Merrell, 2009; Payton, Tanyu, Weissberg, & O'Brien, 2010; Schultz, Ambike, Stapleton, Domitrovich, & Schaeffer, 2010). Accounting for the teacher's voice about how to promote SEL, reduce barriers, and increase effectiveness was also important (Buchanan,

Gueldner, Tran, & Merrell, 2009). A survey study of kindergarten through eighth grade teachers from two states (Oregon and Illinois) (*N*=263, 34.5% response rate) suggested teachers value SEL: "many teachers believe that SEL is important, schools should take an active role, receiving training/support from a variety of professionals would be helpful, and current academic demands decrease the opportunity for SEL" (Buchanan, Gueldner, Tran, & Merrell, 2009, p. 187). Specifically 98.9% of the respondents reported they thought SEL was important in school and life. The limitations cited by teachers included giving up more than one class period or preparation period a week to implement SEL instruction would not be possible. The teacher perception of SEL research suggests they are invested in providing a socially and emotionally rich environment for their students.

The positive academic and social emotional effects represented in the research warrants additional exploration in the field of music education to see if it can be as beneficial in that setting. I utilized observations and interviews as suggested as viable data collection tools for SEL research. While I was be unable to associate positive academic or mental health gains in my current study, I was able to assess if elements of SEL are present in the research settings.

My Prior Research

I conducted two studies exploring the phenomenon of music teachers supporting students with their social and emotional challenges (Edgar, 2011; 2012). The first was a case study of a teacher actively supporting students with their challenges and the second explored the perspectives of mental health professionals, including school counselors, as to the appropriate role for educators to take in supporting their students. I will return to these studies in Chapter IV to discuss how they specifically informed the current study.

Approaches of a Secondary Music Teacher in Response to the Social and Emotional Lives of Students (Edgar, 2011)

Using an instrumental case study (Stake, 2005), I explored a secondary general music classroom at a suburban, alternative school. The purpose of this study was to examine approaches of a secondary music teacher in responding to the social and emotional lives of eight students in a secondary general music classroom at an alternative high school. Questions guiding this inquiry included: a) What are the social and emotional needs students bring to this music classroom, as perceived by the teacher? b) What are the music teacher's motivations to respond to students' social and emotional needs and difficulties? And c) How does the music teacher provide guidance to students regarding their social and emotional needs and what prepared her to do so?

I purposefully selected this teacher and classroom because Miss Jane (the teacher, pseudonym, also Miss J) actively supported her students with their challenges through musical and interpersonal techniques. She possessed the caring demeanor Noddings seeks in an educator and acknowledged a primary role of a teacher is that of counselor: "[Students] assume that their past is their present and will continue...my deal is to intervene" (Miss Jane). Data were collected from: three semi-structured interviews with Ms. J, each lasting about one hour; one focus group interview with her students; and observation field notes from three visits to the music open studio class.

What I discovered was a teacher and group of eight students who built a supportive community aimed at musical excellence and mental health for all. These students had traumatic challenges leading to their placement in this alternative school. Findings suggest Miss Jane was able to help her students.

Miss Jane, a 52-year-old White music teacher perceived her students, who were primarily Black, as having challenges fitting into the categories of home life, dealing with racism, school misbehavior, lack of motivation to succeed, and grappling with self-image. "Some of these kids have been through fathers being shot right in front of them"; "they've been through so much—homelessness, domestic violence, and drug abuse with themselves and their parents"; "many of my girls have suffered sexual abuse when they were younger"; "one girl came in and said 'my mom pulled out a knife last night and chased me'" (Miss Jane).

When I asked Miss Jane why she wanted to help her students with their challenges, she responded "If not me, then who?" Her role as a teacher, a music educator, mentor, and counselor could not be separated in her mind.

> It's more me as a person than me as a teacher, if I can separate the two…I'm hired as a music teacher, but that's about one percent of my job…I don't believe that any one of those issues are inappropriate for teachers to deal with. I feel like it's sort of when I teach a song, I have to teach the history. So when I teach a person, I have to teach the whole person. (Miss Jane)

She consciously accepted and embraced the culture of her students (primarily self-described as "Hip Hop" by her students). She helped her students combat their challenges; expressing through the arts, especially music. A key finding was music could be used to help these students with their challenges. "The arts offer a work ethic, a rigor and joy, and expression" (Miss Jane). She also made a purposeful attempt to listen to her students—what they need, what they want, and how she could help. The simple act of listening was meaningful for both teacher and student. Miss Jane acknowledged professional limitations to what she could do and what needed to be taken to mental health professionals. As a teacher who has not had formal counselor education, Ms. J

needed to know what she could and should do for her students and sometimes more importantly what she should not. She also realized there are other supports available to her students. "I'm not the only one who can save lives. I know that if I do that then I'm in the way of that social worker coming in and doing his great work, or that other teacher who can come in and do their [sic] great work" (Miss Jane).

Miss Jane recognized the needs of her students. "All kids want to know is do you love them and are you going to be fair" (Miss Jane). She was successful in lessening the impact of her students' challenges as gauged by her students' comments. In the words of her students "She'll make me feel better about myself; Ms. J's been the best for me; She shows us that she cares by always bein' there; She goes the extra mile for us; She cares, that's all I can say."

High School Counselors' Perspectives on Music Teachers' Work in Interacting with Students' Social and Emotional Lives: An Exploratory Study (Edgar, 2012)

As was suggested in Edgar (2011), teachers can help their students with their challenges in a capacity similar to that of a mental health professional, and when challenges are of a profound nature, teachers need to refer the student to the counselor. To further clarify how counselors help students, how teachers can best serve this role, and what challenges are appropriate for teachers to help students with, I conducted a qualitative interview-based exploratory study of mental health professionals, including school counselors. The purpose of this study was to explore high school counselors' perspectives on teachers working with the social and emotional needs and difficulties of their students. Research questions guiding this inquiry included: a) How do counselors describe the potential for teachers to react to and support the challenges of their students;

88

b) What suggestions can counselors provide for teachers who are interacting with their students' challenges; and c) How do counselors believe music teachers are unique in this work?

I employed Seidman's (2006) phenomenological three-interview model with two mental health administrators and three school counselors from diverse demographics accounting for urban, rural, and suburban environments. An e-mail interview was sent to each participant seeking basic demographic information prior to the interviews. Questions asked were: a) what is your professional history that has led to your current position. Please include the number of years you have been in mental health; b) describe your current position including your job description and a description of the school; and c) what is your teaching history in K-12 schools? All five participants completed the e-mail interview.

Participants articulated the importance of the teacher in helping students with their challenges while stressing the limitations of teachers assuming this role. "The teachers are the front line with kids. If kids are going to bond with anybody, they're going to bond with [the teacher]" (High school counselor participant). This bonding can occur only if the teacher builds relationships. The music education classroom and music offered unique opportunities for teachers to help students with their challenges from the counselors' perspective. Listening, discussing, and planning with the students were the three most prevalent suggestions the participants had for teachers. Within this counseling role, the participants stressed "Be aware that a teacher is not a counselor and isn't responsible for treating the student, know what you can do and what you can't do" (mental health administrator). Participants suggested collaboration with mental health

89

professionals and inservice professional development as ways teachers can prepare to engage their students in a counseling role. These two studies informed the design and framework of the current study.

Conclusion

Research on music students' lives (Adderley, Kennedy, & Berz, 2003) and accounting for the music teacher's role in their students' lives (Rickels, et al., 2010) has been limited. An initial inquiry needed to be conducted exploring how teachers interact with their students on a social and emotional level. If my end goal was to suggest appropriate techniques for instrumental music educators to do this, then an evaluation of what is happening in schools needed to occur and be documented. The four instrumental music educators in my current study exhibited the caring disposition necessary to teach the whole child. If instrumental music educators are able to help their students with their challenges, these four should provide examples of how this can be done.

The prior research in the areas of the social-emotional climate in a music classroom, the role of music educators in students' lives, emotion and music, ethics of care, teachers in the role of counselor, SEL, and my relevant prior research has informed my conceptual framework and methodological design for this dissertation. In the next chapter, I will discuss how my prior research informed the current study, the methodological design, the participants, and the organization of findings from this study.

CHAPTER IV

METHODOLOGY

Chapter IV describes the methodology for this project, including: a) purpose statement; b) research questions; c) how my prior research informed this study; d) design; e) participant selection; f) research settings/participant description; g) data collection and analysis procedures; h) procedure/timeline; i) trustworthiness; and j) organization of findings. This chapter concludes with a presentations of the codes used to organize the data.

Purpose Statement

The purpose of this multiple instrumental case study was to explore approaches of four caring high school instrumental music educators assuming the role of facilitative teacher in responding to challenges affecting the social and emotional well-being of their students.

Research Questions

The key research question guiding this inquiry for all participants was: a) How do participants (instrumental music educators, students, and parents) describe these facilitative high school instrumental music educators' support of students? Additional research questions focused on the instrumental music educators' perspective included: b) What are the participant instrumental music educators' descriptions of the social and emotional challenges they perceive students bring to the music classroom? c) How do

participant instrumental music educators describe their reasons for choosing to support

students with their social and emotional challenges as facilitative teachers? and d) How

do participant instrumental music educators describe factors facilitating and inhibiting

their ability to become facilitative teachers? An additional research question for all

participants was: e) How do participants articulate the unique aspects of the instrumental

music educator and instrumental music education classroom in regards to instrumental

music educators supporting students with their challenges?

How My Prior Research Informed This Study

The two previous studies I discussed in Chapter III not only informed my

knowledge base for the topic, but the methodology for this study as well. The insight I

gained from "High School Counselors' Perspectives on Music Teachers' Work in

Interacting with Students' Social and Emotional Lives: An Exploratory Study" (Edgar,

2012) helped me realize the importance of accounting for varied perspectives when

exploring the phenomenon of facilitative teacheing in different settings. Specifically, this

led me to include parent perspectives. The expertise mental health professionals offered

not only influenced my choice of participants, but also helped identify specific techniques

teachers can use in the classroom. The activities of listening, discussing, and planning are

embedded in my observation protocol and were suggested by participants as means to

support students (Appendix A). The participants articulated a clear "line" where students

need to be referred to mental health professionals. I was keenly aware of how the

instrumental music educator participants navigate this "line." As teachers discussed the

challenges they feel comfortable guiding students through and those they do not, I drew

upon the voices of the counselors to see if they were consistent with what a mental health

professional would advise. Suggestions for future research from this study included

exploring teachers' and students' perspectives as related to instrumental music educators

supporting students with their challenges and observing caring instrumental music

educators to see if their practices are consistent with mental health professionals'

suggestions. These suggestions influenced my current dissertation study.

The insights I gained from "Approaches of a Secondary Music Teacher in

Response to the Social and Emotional Lives of Students" (Edgar, 2011) directly impacted

the methodology for my current study. Edgar (2011) was a preliminary study for my

current project. The setting for Edgar (2011) was a general music classroom with eight

students at an alternative high school. The students who attended this school had

behavioral difficulties preventing them from attending the district's mainstream high

schools. These difficulties were largely attributed to profound challenges in their lives.

That was my inspiration to study this particular population. I was aware they had past life

difficulties; I knew their teacher actively helped them, and this was a location where the

phenomenon I wanted to observe was actively occurring. The data I collected suggested

one music educator could help her students with their challenges; however, if this

phenomenon was going to take place, this was the ideal setting. For my current study, I

wanted to see if this phenomenon could be equally prevalent with students in mainstream

high schools in regular-sized band classrooms. The alternative school setting I observed

was unconventional and specialized. I felt a need to see how my findings related to a

broader context.

For the Edgar (2011) study, I also limited my data set to the teacher and her

students. I realized a broader scope needed to be accounted for to address the

phenomenon of the entire band program. These perspectives included parents. I encountered great difficulty in getting Institutional Review Board (IRB) approval for Edgar (2011), which did not allow for individual student interviews. Based upon the process of getting IRB approval for my previous study, I thoughtfully created the methodology for my current study to ensure I conducted ethical research (See Appendix F for IRB approval letter for this dissertation research). This included conducting student focus group interviews addressing only the teacher's role in helping students and not the students' challenges, increasing my participant group size to better ensure anonymity, and not attributing quotations to any individual student by name and using pseudonyms.

The use of an instrumental case study for Edgar (2011) was conducive for my purpose and research questions. Due to this success I largely kept my data collection and analysis procedures the same, with the addition of the parents' voices. As I conducted the preliminary study, I also became acutely aware that the teacher is the most influential member of this relationship. Due to the unequal caring relationship the teacher/student relationship entails (Noddings, 2003), the teacher remained the primary focus of my attention. My suggestions for future research included replicating this study in a broader, more mainstream setting.

My findings from these previous studies suggested music educators are unique compared to other subject-area teachers, they can be effective in helping students with their challenges, and music teachers are a potentially powerful influence in their students' lives. The uniqueness of music educators continued to be a topic for investigation in my current study as I explored the students' and parents' perspectives on how these four instrumental music educators compared to other non-music teachers in supporting

94

students' challenges. It was with this exciting possibility I explored four band programs in detail to see what the phenomenon of instrumental music educators supporting students with their challenges as a facilitative teacher looked like in a broader context.

Design

To adequately gain a holistic perspective of the participants in the individual settings, a qualitative methodology was chosen.

> The case study offers a means of investigating complex social units consisting of multiple variables of potential importance in understanding the phenomenon. Anchored in real-life situations, the case study results in a rich, holistic account of a phenomenon. (Merriam, 2009, p. 50-51)

Specifically, I chose case study to intensely explore the phenomenon in each of the four settings. "A qualitative case study is an intensive, holistic description and analysis of a bounded phenomenon such as a program, an institution, a person, a process, or a social unit" (Merriam, 2009, p. x). To define each case, I adopted Merriam's definition of a bounded system: "a single entity, a unit around which there are boundaries. I can 'fence in' what I am going to study" (2009, p. 40). Further, Miles and Huberman (1994) define case as "a phenomenon of some sort occurring in a bounded context" (p. 25). Conway, Pellegrino, and West (2012) define case from a music education perspective: "A case study is an in-depth study of one or more instances of a phenomenon in its real-life context and that it reflects the perspectives of the participants involved in the phenomenon" (p. 5).

To fully understand the phenomenon of instrumental music educators as facilitative teachers, a complete, holistic portrait needed to be presented. For this reason, I defined my bounded systems as each band program during Winter 2012. The

95

instrumental music educator, all band classes and students they teach, and band parents comprised the participants within each program.

Specifically, an instrumental case study was used to explore the facilitative teacher phenomenon in band classrooms. Stake suggests an instrumental case study can provide "insight into an issue or redraw a generalization. The case is of secondary interest, it plays a supportive role, and it facilitates our understanding of something else" (2005, p. 437). For this study, the case informed instrumental music educators as facilitative teachers from multiple perspectives.

More than one bounded system was chosen to explore this phenomenon in the current study. This is referred to as multiple case study (Stake, 2006). The purpose of choosing a multiple case study is to "investigate a phenomenon, population, or general condition" (Stake, 2005, p. 445). The importance of choosing multiple cases included wanting to explore the intricacies of the individual cases, but also looking for commonalities across cases.

> In multicase study research, the single case is of interest because it belongs to a particular collection of cases. The individual cases share a common characteristic or condition. The cases in the collection are somehow categorically bound together. They may be members of a group or examples of a phenomenon. (Stake, 2006, pp. 4-5)

Not only is multiple case study an attempt to look for commonalities, but it can also enhance the overall strength of the study. "The inclusion of multiple cases is, in fact, a common strategy for enhancing the external validity or generalizability of your findings" (Merriam, 2009, p. 50).

In sum, I chose an instrumental multiple case study to explore the phenomenon of the instrumental music educator as a facilitative teacher. It was my hope that this

approach would provide detailed data of the presence of this phenomenon in band classrooms and possibly expose commonalities across demographically diverse settings.

Participant Selection and Description

The four participant band programs were selected based upon the instrumental music educator's reputation as having caring relationships with his/her students and exhibiting characteristics of a facilitative teacher (Wittmer & Myrick, 1980), representing diverse settings, and having at least 10 years of professional band directing experience. Specifically, I chose two male and two female instrumental music educators representing urban, suburban, and rural settings (Hall, Kaufman, & Ricketts, 2006). Extensive dialogue occurred between University of Michigan music education faculty members, instrumental music educators in the area, and myself to identify caring facilitative teachers. Given the interpersonal nature of the facilitative teacher, "caring" was difficult to quantify. Public perception of caring teachers was the primary criterion in participant instrumental music educator selection. Colleagues of the participants, university members on the committee for this dissertation, and public perception of the instrumental music educators were used to identify caring teachers who fit the demographic criteria.

I utilized a purposeful, criterion-based sampling strategy seeking maximum variation. "Purposeful sampling allows researchers to intentionally select information-rich, illuminative cases for in-depth study" (Conway, Pellegrino & West, 2012, p. 6). The criterion of at least 10 years of professional band directing experience, caring, and fitting into the appropriate demographic guided participant selection. Criterion sampling can be defined as studying "cases that meet some predetermined criterion of importance" (Patton, 2002, p. 238). Each setting represents a demographically and culturally diverse

population, however, each of the teachers is White. Racial diversity of teachers was not used as a criterion for selecting teachers. It was not intentional to only select White teachers; however, the four instrumental music educators selected for this study happened to be White. Maximum variation sampling, based on the other criteria, is beneficial as it facilitates,

> Capturing and describing the central themes that cut across a great deal of variation…Any common patterns that emerge from great variation are of particular interest and value in capturing the core experiences and central, shared dimensions of a setting or phenomenon. (Patton, 2002, p. 235)

Guided by the criterion of maximum variation sampling, four band programs and their directors were selected for this study. See Figure 3 for instrumental music educator participant and school demographics.

School (pseudonym)	Instrumental Music Educator (pseudonym)	Years of Teaching Experience	# of Students in School	# of Students in Program	Demographic	Population of the City	Population Density (people per sq. mile)
Atwater	Mr. Andrew (male)	15	1,806	304	94% White 3% Asian 1% Black 2% Other 5% receive free or reduced lunch	8,932	1,930 Suburban
Branford	Mr. Brandon (male)	29	1,700	160	58% White 35% Black 7% Other 53% receive free or reduced lunch	33,315	3,004 Urban
Cobblestone	Ms. Catherine (female)	14	620	63	90% White 6% Hispanic 2% Black 2% Other 62% receive free or reduced lunch	3,783	1,485 Rural
Drake	Mrs. Danielle (female)	13	1,925	126	85% White 11% Black 4% Other 20% receive free or reduced lunch	96,942	2,500 Suburban/ Small Urban

Figure 3: Participants [Population density calculated by the 2010 US Census (U.S. Census Bureau, 2010). The classification of urban, suburban, and rural guided was by Hall, Kaufman, and Ricketts, (2006), based on those numbers]

Each of the programs are introduced here along with a justification for classifying them as urban, suburban, or rural. A detailed discussion of each setting is included in Chapter V.[9]

Atwater High School (HS). The band program at Atwater HS includes four concert bands (one freshmen band, two symphonic bands, and a wind ensemble), a jazz band, marching band, and pep band. The program employs one instrumental music educator, Mr. Andrew, who has 15 years of experience.

Atwater is being classified as suburban due to its primarily White population and uniform high socio-economic level of the people. Its population density classifies it as suburban as well (Hall, Kaufman, and Ricketts, 2006). The median household income for Atwater is $67,103. This is indicative of the population of Atwater HS.

Branford HS. The band program at Branford HS includes four concert bands (one freshmen band, concert band, wind ensemble, and symphony band), jazz band, marching band, and pep band. There is one instrumental music educator, Mr. Brandon, who has 29 years of experience.

Branford HS is situated in a small urban city of 33,315 people. Watson (2007) defines urban as an area classified by a "majority of its population is non-White, it is located in a city, that it has a variety of income levels, and/or has low levels of socioeconomic status" (p. 30). Branford is being classified as urban due to its large

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[9] See Appendix I for a complete list of pseudonyms. All names and places are identified by pseudonyms. To facilitate the organization of cases all pseudonyms associated with Atwater HS begin with A, all pseudonyms associated with Branford HS begin with B, all pseudonyms associated with Cobblestone HS begin with C, and all pseudonyms associated with Drake HS begin with D. Several pseudonyms do not follow this organization because they were not participants in the study but were spoken about by a participant.

percentage of non-White students, the presence of varied income levels, and the population has low levels of socio-economic status. This combined with the population density justifies Branford being urban. The median household income for Branford is $32,167.

Cobblestone HS. The band program at Cobblestone HS includes one concert band, jazz band, and marching band. There is one instrumental music educator employed at Cobblestone HS, Ms. Catherine, who has 14 years of experience.

Cobblestone is being classified as rural due to its population density. Farming is a main source of employment for many inhabitants. The median household income is $39,727.

Drake HS. The band program at Drake HS includes two concert bands (symphony band and wind ensemble), marching band, jazz combos, and percussion ensemble. There are two instrumental music educators; the other teaches exclusively orchestra. Mrs. Danielle has 13 years of experience.

Drake is being classified as suburban, but exhibits many urban characteristics including large non-White population, the presence of a variety of income levels, and a substantial population of low socio-economic levels. This school is located in a poorer part of the district and is attracting families and students leaving Detroit as it is experiencing profound hardship. Drake is the largest community in this study at almost 97,000 people. The median household income for Drake is $71,928, but that accounts for the more wealthy areas of the district and is not indicative of Drake HS.

Data Collection

Data sets included: instrumental music educator interviews (three each), an instrumental music educator focus group (one), student focus groups (one for each setting), parent interviews (one from each setting—phone interview from Atwater HS; e-mail correspondence from Branford HS; in person interview from Cobblestone HS; no parent interview available from Drake HS), and observations (three at each setting). This diversity of data represents the depth needed for case study and also increases validity due to data triangulation (Denzin, 1978). Data collection and analysis in qualitative case study allows a great deal of freedom for the researcher to conduct these procedures in the best manner to understand the phenomenon in each bounded system. Researchers conducting case studies can draw on any data collection or analysis strategy (Merriam, 2009). Merriam (2009) states, "Any and all methods of gathering data, from testing to interviewing, can be used in a case study" (p. 42). See Appendices B, C, D, and E for consent/assent letters.

Instrumental music educator interviews. Because the crux of this study was how teachers choose to support their students, this data set was of primary importance. I drew upon my experience conducting this type of interview from my previous research (Edgar, 2011). The instrumental music educator interviews were the primary source of data and were guided by Seidman's three phenomenological interview model (2006). Phenomenological interviewing combines life history with in-depth interviewing (Seidman, 2006).

> The first interview establishes the context of the participants' experience. The second interview allows participants to reconstruct the details of their experience within the context in which it occurs. And the third encourages the participants to reflect on the meanings their experiences holds for them…In the first interview,

101

the interviewer's task is to put the participant's experience in context by asking him or her to tell as much as possible about him or herself in light of the topic up to the present time…The purpose of the second interview is to concentrate on the concrete details of the participants' present lived experience in the topic area of study…In the third interview, we ask participants to reflect on the meaning of their experience. (pp. 17-18)

The protocol below was modified over the course of data collection, reflecting information provided by the participants that I wanted to explore further with all participant instrumental music educators. See Appendix K.

Instrumental Music Educator Interview Protocol	INTERVIEW 1
	a) What is your background as an instrumental music educator?
	b) Describe your school and its demographic.
	c) What policy is in place at your school affecting you supporting students with their challenges?
	d) What is your role in supporting students with their challenges?
	e) What are your perceptions of your students' social and emotional challenges?
	f) How do you discover what challenges your students are dealing with?
	g) How much of the discovery is initiated by you and how much is student initiated?
	INTERVIEW 2
	a) What are your reasons for choosing to support students with their challenges?
	b) How do you support them with their challenges?
	c) If you are a parent, how does that affect supporting students with their challenges?
	d) Do student cultural differences affect how you interact with students and their challenges?
	e) What are examples when you have experienced success and failure

	supporting students with their challenges? What would you have done differently for the failures? INTERVIEW 3 a) What factors facilitated your ability to help students with their challenges? b) How do you feel you, as a music educator, are unique in supporting students with their challenges? c) What is important about you helping students with their social emotional challenges? d) Do you feel professional development in this area would be beneficial? e) How can we, as music educators, help our students become socially and emotionally competent?

Figure 4: Instrumental music educator interview protocol

The individual instrumental music educator interviews all occurred at the schools where they teach in their offices. The interviews lasted from 20 to 57 minutes (Mr. Andrew- 22 min, 46 min, 24 min; Mr. Brandon- 57 min, 45 min, 20 min; Ms. Catherine- 35 min, 25 min, 40 min; and Mrs. Danielle- 32 min, 27 min, 42 min). See Figure 8 for the timeline of the study and Appendix G for the sequence of interviews and observations.

Instrumental music educator focus group. Instrumental music educators often work in isolation (Krueger, 2000). To encourage a dialogue among participant instrumental music educators, a focus group interview was conducted after individual interviews and observations occurred at each setting. The intent of this interview was to encourage interactions between participants regarding how they support student challenges. Focus group questions were created based on data received from individual interviews and observations.

Instrumental Music Educator Focus Group Protocol	a) How do you think your context affects how you provide student support?
	b) How do you think gender affects supporting students for both teacher and student?
	c) How does seeing your students over multiple years affect your job and how you support students?
	d) Can you speak to how students develop—freshmen to senior? Musically, socially, emotionally, etc.
	e) What do you think your students think about their relationship with you?
	f) How did seeing those 8 words affect you?
	g) Has participating in this study affected you?

Figure 5: Instrumental music educator focus group interview protocol

The focus group interview occurred at a restaurant in a quiet environment. This interview lasted 62 minutes. See Figure 8 for the timeline of the study and Appendix G for the sequence of interviews and observations.

Student focus groups. The students' perception of their instrumental music educator as a facilitative teacher was critical to understanding the influence the teacher had on their lives. While IRB would not allow me to inquire about specific, possibly incriminating challenges from students, I asked them about their instrumental music educator's role in their lives. The students for the focus group were selected by the instrumental music educator to include one male and one female from each grade (freshmen, sophomore, junior, senior). This yielded a total of eight students per focus group. The purpose of allowing the instrumental music educator to pick the students was that I hoped to explore the student/instrumental instrumental music educator relationships

with students who feel they had a positive relationship with the teacher. I also requested

that the instrumental music educator attempt to provide a representative sample of

students similar to that found at the school to account for different cultural perspectives.

Due to the committed nature of the students selected they could be classified as what

Abril (in press) would call "hardcores." Collecting data from this population could

suggest how to develop positive relationships in a band classroom. I acknowledge the

limitation of not having a more varied group of students, possibly comprised of students

who do not have a positive relationship with the teacher. Findings relevant to student

perceptions should be viewed through this lens. See Appendix H for the demographics of

the students participating in the focus groups.

Student Focus Group Interview Protocol	a) What is your opinion of your instrumental music educator? b) How does your instrumental music educator show he/she cares about you? c) How does your instrumental music educator support you with your day-to-day life? d) What makes your instrumental music educator different from your other teachers? e) How does your instrumental music educator compare to your other teachers in helping you with your day-to-day life? f) What supports are available in your school to help you with your personal challenges? g) What would you do/who would you speak to if you had a personal issue or problem? h) What is one word you would use to describe your band director?

Figure 6: Student focus group interview protocol

These interviews all occurred in the students' band or choir room after school. The instrumental music educators gathered the students and then left the room while the interview was occurring. The focus groups lasted between 27 and 42 minutes (Atwater HS- 27 min; Branford HS- 32 min; Cobblestone HS- 28 min; Drake HS- 43 min). See Figure 8 for the timeline of the study and Appendix G for the sequence of interviews and observations.

Parent Interviews. To fully account for the entire program, parents' perspectives were necessary. Edgar (2012) suggested from school counselors' perspectives that music educators are unique due in part to their strong interaction with parents. A band parent was selected whose child participated in the focus group interview. To determine willing parents from the student focus group pool, a section of the student consent form (Appendix D) was dedicated to requesting parent volunteers for this part of the data collection. Parents from all four settings were contacted via e-mail or phone based on their preferred mode of communication indicated on the consent form. A parent from Atwater, Branford, and Cobblestone responded to my communication; a parent from Drake did not. I attempted to contact the Drake parent on three separate occasions separated by a week's time, and also requested that Mrs. Danielle make contact. None of these attempts resulted in returned communication. Due to these circumstances, a parent interview could not be conducted at Drake High School. For the Atwater HS parent, this single, individual, semi-structured interview took place over the phone due to logistical considerations. For the Branford HS parent, an e-mail interview occurred due to logistical reasons. Mrs. Barney (the band parent from Branford HS) only spoke to the role of Mr. Brandon with her family as she had him for a high school instrumental music educator as

well. For the Cobblestone HS parent, a professor of chemistry, a face-to-face interview

was available and was conducted in that manner at her university office. This interview

was recorded, transcribed, and lasted 29 minutes. See Figure 8 for the timeline of the

study and Appendix G for the sequence of interviews and observations.

Parent Interview Protocol	a) What is your perception of the high school band program? b) How would you describe the instrumental music educator's relationship with his/her students? c) What is the appropriate role for the instrumental music educator to take in supporting students with their challenges? d) How does the instrumental music educator support students with their challenges? e) What is an example of the instrumental music educator supporting students with their challenges?

Figure 7: Parent interview protocol

Observations. Interviews provided perspectives on the instrumental music

educator as facilitative teacher phenomenon, however, observations were necessary to put

these into context. Seeing the instrumental music educators engage their students in

rehearsal and informal interactions helped me further understand the instrumental music

educators' behaviors and how they approach their position as a caring, facilitative

teacher. I assumed the role of observer and participant observer in the band classrooms

taking field notes and playing trumpet in their ensembles. The observation protocol

mixed the conceptual framework derived from SEL, ethics of care, and Kottler and

Kottler's (2007) counseling skills for teachers with the *Inventory of Practices for*

Promoting Children's Social and Emotional Competence (CSEFEL, 2006) (See

Appendix A). Specifically the protocol was created to focus on the model, practice, dialogue, confirmation elements of ethics of care, as well as the self-awareness, social-awareness, responsible decision-making, self-management, and relationship management components of SEL, and the categories of building positive relationships, creating supportive environments, social emotional teaching strategies, and individualized intensive interventions as outlined in the *Inventory of Practices for Promoting Children's Social and Emotional Competence.* See Appendix A for the observation protocol.

This observation protocol tool was piloted and simplified. The original tool was unwieldy and not conducive to documenting teacher/student interactions. I found it difficult to use the original protocol in the field due to the vast number of elements included. Specifically, more attention was given to care and teacher behavior in the final protocol and non-observable elements were removed. For the observations used for data collection, a hard copy of the protocol was utilized to notate when elements of the conceptual framework were observed and to organize field notes. The protocol was used in more detail for the observations where I purely observed and less when I played my trumpet as a member of the ensemble. For the observations where I played I took notes on the protocol form in between classes. The field notes and data taken on the protocols were transcribed and coded.

Three, whole day observations were conducted with each instrumental music educator. This ensured that I was able to observe all classes each instrumental music educator instructs at different points in the semester. I arrived 30 minutes before school and remained for 30 minutes after school for every observation to ensure I was capturing every element of the instrumental music educator interacting with their students. I lived

the lives of the instrumental music educators so if they ate lunch in their office, so did I, if they ate in the teachers' lounge, so did I. My observations before and after school were just as informative as during the school day. The informal interactions outside the formal school day between the instrumental music educators and their students seemed to be critical to how they created relationships.

I interacted with the students as I played in the ensemble and conducted my observations. These brief interactions helped me to better gauge the environment and the social-emotional climate of the classrooms (Carlisle, 2008). In addition to the observations, Mr. Andrew and Mrs. Danielle both asked me to clinic their concert bands as they prepared for concerts and festival. This interaction as an instructor gave me further insight into the climates at Atwater HS and Drake HS. The clinicing experiences were not included as an official observation but further, informally, informed the description of the cases. See Figure 8 for the timeline of the study and Appendix G for the sequence of interviews and observations.

Timeline

Initial contact was made with participants via e-mail explaining my project and what participation would entail for them. Initial meetings were set up to discuss logistics in October/November 2011. In /December/January/February 2011/2012 observations and interviews occurred. The observations were arranged at a convenient time for the instrumental music educators, avoiding dates with scheduled interference. The first individual instrumental music educator interview took place prior to the observations or after the first observation. The second and third interview took place following the observations so that I was able to reference specific examples of classroom interactions I

observed. Following observations, the student focus groups and parent interviews took

place, again, so I was able to reference specific elements of the observations.

The interviews and observations were purposefully scheduled to occur in the

same time period at all four settings. This helped streamline the interview and

observation procedure. Being able to compare instrumental music educators and their

classrooms on a regular basis aided in my ability to compare and contrast settings. See

Appendix G for the sequence of interviews and observations.

August, 2011	December, 2011	December/January/February, 2011/2012	March/April/ May, 2012	June, 2012
Make initial contact with potential participants, get verbal consent to participate	Defend proposal, submit project for IRB approval	Conduct observations and interviews at four schools (in order): 1) Observations 2) Teacher interviews 3) Student focus groups 4) Parent interviews 5) Teacher focus group	Transcribe, analyze, and interpret data	Defend completed project

Figure 8: Timeline for the study

Trustworthiness

To achieve trustworthiness for this study, I relied on the following strategies: a)

data collection triangulation; b) member checks; c) maximum variation sampling; and d)

researcher expertise. The multiple perspectives and modalities of data provided varied

internal validity: "triangulation remains a principal strategy to ensure for validity and

reliability" (Merriam, 2009, p. 216). All transcripts were sent to participants to ensure I

was accurately interpreting their perceptions in text. The member checks resulted in no

changes to the data. As discussed earlier, maximum variation sampling is in itself a

means to ensure validity (Merriam, 2009). Finally, my experiences with conducting prior

research and my experiences as an instrumental music educator allowed me to interpret

the observation and interview data critically. Merriam (2009) stated a researcher's

position or reflexivity as a strategy for promoting validity and reliability.

Analysis

Creswell (2007) suggests analysis strategies for case study: a) assertions:

interpretation of the meaning of the case; b) categorical aggregation: development of a

collection of instances from the data; c) patterns: developing relationships between two or

more categories; and d) naturalistic generalizations: generalizations that people can learn

from the case either for themselves or to apply to a population of cases. These strategies

were used to analyze the data for each individual case.

To develop assertions in this study I maintained a document of potential codes

comprised of key ideas arising out of data collection. Based on these preliminary codes

pieces of data were attached until codes were created and data was saturated (See

Appendix J). This was conducted initially with individual cases and then compared

across cases. The meaning of the individual cases was then ascertained by comparing

findings with the conceptual framework, research questions, and other cases.

For categorical aggregation, the document represented in Appendix J served as an

organizer for all data pieces. All interviews (individual and focus groups) and

observations were transcribed the day of the interview to ensure an accurate account of

the events. Focus groups were transcribed crediting each quote to the speaking student or

instrumental music educator. During the course of data collection, preliminary codes

were noted to provide a basic outline for the findings. After I transcribed the interviews, I

read through looking for examples of the preliminary codes. I conducted multiple read-

through passes of each interview looking for examples of the codes and creating new

codes if one emerged. The original transcript was highlighted with the code written in the margin. The location of each piece of data was then recorded on the coding document (Appendix J).

To discover patterns, I reviewed Appendix J looking for relationships. I compared my codes to the guiding research questions to ensure I was coding data to answer my questions. Codes and categories were created using an outline format represented in Appendix J. The patterns were initially influenced by the research questions but expanded to allow for emergent coding.

The data was then organized into findings categories. I cautiously approached naturalistic generalizations to ensure I was not overstepping the boundaries of my findings. Based on the experiences of the four participant instrumental music educators, I arrived at suggestions for future research and participants.

With multiple case studies there are two stages to analysis: within case analysis where each case is first treated as a comprehensive case and then cross-case analysis where the researcher compares and contrasts cases (Merriam, 2009). Stake (2006) identifies the quintain as the purpose of multicase studies.

> A quintain is an object or phenomenon or condition to be studied—a target, but not a bull's eye…Multicase research starts with the quintain. To understand it better we study some of its single cases…but it is the quintain we seek to understand. (Stake, 2006, p. 6)

My analysis will be guided by developing the quintain. The creation of the research questions, purpose statement, and codes were all guided by the phenomenon of instrumental music educator as facilitative teacher. The data was analyzed as individual cases, but to maintain the rigor of an instrumental case study, the emphasis remained on

the phenomenon of teachers supporting students. These themes were analyzed across cases. The findings are presented both as individual cases and collective themes.

Organization of Findings

In the next six chapters (V-X) I present the findings from this study. Chapter V will introduce the four facilitative instrumental music educators (the carers), their schools, and will discuss their reasons for choosing to be facilitative teachers. In Chapter V, "The Facilitative Instrumental Music Educators," findings are organized by participant. The remaining findings will be organized by themes. In Chapter VI, "The Multifaceted Roles of Music Educators," I present how the participants articulated the importance of supporting students, the challenges students face as perceived by their teachers, the importance of teaching them to be good human beings, and examples of teachers not providing support, as voiced by the participant instrumental music educators. Chapter VII, "The Support," details how the instrumental music educators support their students. This will include challenges the participants felt comfortable supporting and challenges they did not. Chapter VIII, "Influences on Support," discusses elements influencing how the instrumental music educator provides support. Included in this chapter will be an extended presentation of how the participants viewed the music education classroom as unique. In Chapter IX, "Preparation to Support," I present experiences both facilitating and inhibiting the instrumental music educators from providing support. Finally, in Chapter X, "The Outcomes from Providing Support," the voice of the students, the cared-fors, is profiled to highlight the observable outcomes of instrumental music educators providing support to their students. The figure below is a summary of the codes and findings presented in the next six chapters.

SUMMARY OF CODES

THE MULTIFACETED ROLE OF TEACHING MUSIC
•Accepting the role of facilitative teacher
•It takes time
•The students' challenges
•Teach them to be good humans
•The importance of care
•How not to do it

OUTCOMES FROM PROVIDING SUPPORT
•"It makes the other stuff work better"
•Social skills
•Belonging
•"They get too comfortable with me"
•"I got more information than I wanted"
•Teacher stress
•Time commitment

NOTHING COULD PREPARE ME
•Time commitment
•Quantity of support
•School policy
•"It's not easy"
•Student teachers

THE SUPPORT
•Every situation is different
•"I'm not a therapist"
•HOW
　•Make time
　•Be aware
　•The location
　•Listen
　•Classroom environment
　•Humor
　•The human factor
　•Modeling
　•The individual
　•Trust
　•Community
　•Be flexible
　•Humility

THE CARERS
Atwater HS- Mr. Andrew

Branford HS- Mr. Brandon

Cobblestone HS- Ms. Catherine

Drake HS- Mrs. Danielle

PREPARATION TO SUPPORT
•Experience
•Demonstrated by influential people
•Parenthood
•Faith
•Professional development
•Participation in this study

INFLUENCES ON SUPPORT
•Students' sex
•Teachers' sex
•Students' race
•Freshmen to senior development
•Changing culture

THE MUSIC DIFFERENCE
•Continuity
•Families
•Marching band/camp
•Lifelong relationships
•Music making
•Music vs. non-music teachers
•Nature of choice
•Music is emotional

Figure 9: Summary of Codes

Intersections between the conceptual framework and the data will be included in each chapter's discussion; however, the frameworks of ethics of care, SEL, and teacher as counselor will be presented connected to this study's data most prominently in Chapter XI: Summary and Implications.