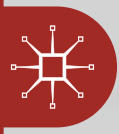

Examining Effective Practices at Minority-Serving Institutions

Beyond a Deficit Framing of Leadership

Edited by
Robert T. Palmer
DeShawn Preston
Amanda Assalone

palgrave
macmillan

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Dedications and Acknowledgments

I would like to dedicate this book to a close friend, Gary Alan Owens—who died from cancer in January 2018. I miss your friendship, wisdom, sensibilities, and our conversations. I will cherish deeply the memories of you, my dear friend!

—Robert T. Palmer (Rob)

I would like to dedicate this book to my late high school English teacher Mrs. Katherine (Kitty) Jackson. It is because of her that I even pursued an advance degree in education. She pushed me when I did not want to go any further and encouraged me every step of the way. I was blessed to have her as one of my biggest advocates. I am delighted and honored to be one of the many students that will continue her legacy.

First and foremost, I would like to acknowledge God, without Him nothing is possible. I would also like to acknowledge my wife (Nadine) and the rest of my family, thank you for your encouragement and support. I must also acknowledge those within the field of education that continue to push me to reach new heights (Robert T. Palmer, Amanda Assalone, Krystal Williams, Sydney Freeman, Tiffany Jones, Ed-Smith Lewis, Samaad Keys, Katherine Wheatle, Kayla Elliott, Emily Kelly, and Ivory Toldson). If I did not mention your name, charge it to my head and not my heart. I love and appreciate you all.

—DeShawn Preston

Thank you, Dr. Robert Palmer and Dr. DeShawn Preston, for the opportunity to collaborate on this manuscript. It's always a pleasure to work with you, and I'm grateful for all that you do to advance the field of higher education.

—Amanda Assalone

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About the Editors

Robert T. Palmer is Department Chair and an associate professor in the Department of Educational Leadership and Policy Studies at Howard University. His research examines issues of access, equity, retention, persistence, and the college experience of racial and ethnic minorities, particularly within the context of Historically Black Colleges and Universities. Palmer's work has been published in leading journals in higher education, such as *The Journal of College Student Development*, *Teachers College Record*, *Journal of Diversity in Higher Education*, *Journal of Negro Education*, *College Student Affairs Journal*, *Journal of College Student Retention*, *The Negro Educational Review*, and *Journal of Black Studies*, among others. Since completing his PhD in 2007, Palmer has authored/co-authored well over 140 academic publications. In 2009, the American College Personnel Association's (ACPA) Standing Committee for Men recognized his excellent research on Black men with its Outstanding Research Award. In 2011, Palmer was named an ACPA Emerging Scholar, and in 2012, he received the Carlos J. Vallejo Award for Emerging Scholarship from the American Educational Research Association (AERA). Furthermore, in 2012, he was awarded the Association for the Study of Higher Education (ASHE)-Mildred García Junior Exemplary Scholarship Award. In 2015, *Diverse: Issues in Higher Education* recognized Palmer as an emerging scholar. Later that year, he also received the State University of New York (SUNY) Chancellor's Award for Excellence in Scholarship and Creative Activities. This prestigious award is normally given to a full professor. More recently, in 2018, Palmer was named an ACPA Senior Scholar.

Amanda Assalone is the Postdoctoral Research and Policy Analyst at the Southern Education Foundation (SEF). Her research focuses on improving post-secondary access and outreach initiatives for underrepresented students, with a particular interest in advancing research and policy aimed to support Asian American community college students. Assalone's professional background consists of extensive experience working in community college outreach, academic advising, educational programming and high school counseling. Prior to joining SEF, she worked on grant-funded research projects aimed to improve college access, transfer issues and degree completion for students at two-year Minority-Serving Institutions, specifically Tribal Colleges, Native American-Serving Nontribal Institutions, Hispanic-Serving Institutions and Asian American and Native American Pacific Islander-Serving Institutions. Assalone's dissertation research investigated the college pathways of Asian American community college students and explored how family, culture and model minority stereotypes influenced their college aspirations, perceptions and experiences. Her recent publications report on the influence of model minority stereotypes on Asian American community college students, developmental education initiatives at Minority-Serving Institutions and outcomes-based funding and race in higher education. She serves on the program committee for the Research on the Education of Asian and Pacific Americans and special interest group of the American Educational Research Association and she is a co-chair for the Asian Pacific American Network, a subcommittee of the Coalition of Multicultural Affairs in the American College Personnel Association. Assalone holds a PhD in Higher Education from the University of North Texas and has MA and BA degrees from The University of Tulsa.

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Journal of Negro Education. Preston's research focuses on a number of issues pertaining to students of color in higher education. He has worked on several projects dealing with minority students in STEM, the impact of developmental education on Black students. In addition to research, Preston considered himself to be an advocate for Historically Black Colleges and Universities. He worked as a summer intern for the White House Initiative for HBCUs. During his tenure, he was instrumental in preparing for the national 2015 HBCU Conference and authored a number of blog posts on strategies for how HBCUs can optimize their use of funding opportunities offered by the federal government. He holds an MA in American History from Howard University and a BA in History from Oakwood University.

About the Contributors

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Ndeh 'Will' Anyu serves as the Assistant Director of Operations and Programs at the Penn Center for Minority-Serving Institutions. He is an EdD student in Higher Education program at the University of

Pennsylvania Graduate School of Education. Will is a native of Cameroon where he resided until the age of six, before moving to Minneapolis. He is a proud alumnus of North Carolina Central University (NCCU). He graduated in 2013 with a BA in Mass Communication and furthered his education with a master's in Public Administration in 2016. Will's commitment to education is evident in his work with the Children's Defense Fund Freedom Schools (CDF). During his time at CDF, he played a vital role in spearheading the Valour Academy site in Raleigh, North Carolina. Through his diligence and dedication, he was granted the opportunity to intern with the White House Initiative on Educational Excellence for African Americans in Washington, DC, during the Obama administration. Will believes everyone deserves the opportunity to receive an exceptional education despite his or her race, gender, sexual orientation, or socioeconomic status. He knows that through education all things are possible, and he aspires to one day help others pursue their dreams and aspirations as past and current mentors did for him.

William Broussard is a higher education executive, professor, and scholar with 19 years of experience at seven institutions. Before becoming the Associate Vice President of Advancement at Minnesota State, Mankato, Broussard served as an athletic administrator at Northwestern State University, Centenary College of Louisiana, and Southern University and A&M College and served stints in institutional advancement at the Southern University System and Elizabeth City State University. He has also taught for 16 years as Professor of English at Arizona, Pima Community College, Northwestern State University, Centenary College of Louisiana, and Southern University and A&M College. He graduated from the Louisiana Scholars' College, with distinction, in 2000, and then went on to earn his master's degree and doctorate in Rhetoric, Composition, and the Teaching of the English Language in 2007. A published scholar on institutional advancement, American-organized sport culture, composition theory, and Historically Black College and University (HBCU) executive leadership, he has published over six dozen articles, essays, and chapters and made nearly four dozen regional and national conference and keynote presentations. In addition to his scholarly work, his articles have appeared in *HBCU Digest*, *Diverse*, and *Education Dive*.

Bonita J. Brown serves as the Vice President for Network Engagement at Achieving the Dream, a national non-profit leader that champions evidence-based institutional improvement in community colleges across the country. In this role, Brown is responsible for supporting a network of

over 220 community colleges in 41 states as they work to implement sustainable, campus-wide student success efforts. Prior to this position, she served as Director of Higher Education Practice at The Education Trust in Washington DC. While at The Education Trust, she created and led an initiative entitled Optimizing Academic Success and Institutional Strategy (OASIS), which was a national network of regional, comprehensive, Minority-Serving Institutions that enroll large numbers of low-income students and students of color. As the Director of Higher Education Practice, she worked with the institutions in assessing data and implementing national best practices for improving student success and closing completion gaps. Previously she served as the Vice Chancellor and Chief of Staff and as Assistant Secretary to the Board of Trustees at the University of North Carolina at Greensboro.

Over the course of her career, Brown has also served as the Chief of Staff at the University of North Texas, General Counsel at the University of North Carolina School of the Arts, and Assistant Attorney at Winston-Salem State University. She has participated in the HERS Leadership program and the American Associaton of State Colleges and Universities (AASCU) Millennium Leadership Initiative, and is a graduate of the Harvard Institute of Educational Management. Brown received her BA in History from Wake Forest University and her JD from Wake Forest University School of Law.

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and Trinidad and Tobago. She chairs the Board of Directors for the American Association of Hispanics in Higher Education and serves on the GRE Board as well as the Board of Directors of Phi Kappa Phi. Her areas of expertise include English-language proficiency assessment, teacher preparation and issues of access and success in higher education. She has also served as principal/co-investigator on NSF and USDA grants and has over 30 years of teaching experience in public schools and universities in Texas and Colorado.

T. Jaime Chahin is Professor and Dean of the College of Applied Arts at Texas State University. He has been at the university since 1987, and prior to that, he served as Associate Vice President of Human Resources and Senior Policy Analyst for the Select Committee for Higher Education of Texas. His education includes a BA in Sociology and Political Science from Texas A&I University and MSW and PhD in Social Work and Education Administration from the University of Michigan at Ann Arbor. Recently, he has chaired the Colonias Committee for the Federal Reserve Bank of Dallas. His most recent research publications include "Dreamers, Growing Up Undocumented in the United States of America" (2018); "Values, Migrant Parents, Leadership and the Public Good" (2017); "The Cultivation and Socialization of Graduate Students in the Food and Agricultural Sciences" (2014); "Latino Youth Resilience" (2011); and "Engaged Scholarship in Hispanic-Serving Institutions" (August 2010), and he was a co-editor of *Handbook of U.S. Latino Psychology: Development and Community-Based Perspectives* (August 2009). He also was executive producer of two Public Broadcasting Service (PBS) documentaries *Mexican American Legislative Caucus: The Texas Struggle for Equality and Opportunity*, which premiered on PBS on October 8, 2007, and *The Forgotten Americans*, a film about colonias in the U.S.-Mexico border, which premiered at the Smithsonian and on PBS on December 14, 2000.

Cheryl Crazy Bull serves as the President and CEO of the American Indian College Fund, a national non-profit organization that supports tribal college students and tribal colleges and universities. Her 35-year career included serving as a faculty member, dean, development officer, and Vice President of Administration at Sinte Gleska University and as Chief Educational Officer of St. Francis Indian School, both on her home reservation in South Dakota. She served for ten years as the President of Northwest Indian College headquartered at the Lummi Nation in Washington. She has extensive leadership experience with the American

Indian Higher Education Consortium, the membership association of the tribal colleges, and through service on various national and regional boards. She has published articles and chapters about tribally controlled education, tribal colleges, and community development as well as leadership. She is a citizen of the Sicangu Lakota Oyate and is from the Rosebud Reservation.

Erin Doran is Assistant Professor of Higher Education in the School of Education at Iowa State University. A proud three-time graduate of a Hispanic-Serving Institution (HSI), she completed her doctoral work in 2015 at the University of Texas, San Antonio. Doran's research interests center on issues of Latinx student success, access, and equity in higher education, including organizational change, faculty perceptions of students and how they teach, and bridging the gap between developmental and college-level coursework. She is also interested on the role of Hispanic-Serving Institutions and Hispanic-enrolling institutions in fostering Latinx educational participation and attainment. More of Doran's work on HSIs has been published in *The Journal of Hispanic Higher Education* and the *Association of Mexican American Educators Journal*. Her dissertation, chaired by Anne-Marie Núñez, focused on the response of faculty to the integration of developmental reading and writing at a Hispanic-Serving community college in South Texas and won the 2016 Dissertation of the Year from the Council for the Study of Community Colleges.

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Marybeth Gasman is the Judy & Howard Berkowitz Professor in the Graduate School of Education at the University of Pennsylvania. Her areas of expertise include the history of American higher education, Minority-Serving Institutions (with an emphasis on Historically Black Colleges and Universities), racism and diversity, fundraising and philanthropy, and higher education leadership. Gasman is the founding director of the Penn

Center for Minority-Serving Institutions (MSIs), which works to amplify the contributions and strengthen and support MSIs and those scholars interested in them. She holds secondary appointments in history, Africana Studies, and the School of Social Policy and Practice. Gasman is the author or editor of 25 books, including *Educating a Diverse Nation* (2015, with Clif Conrad), *Envisioning Black Colleges* (2007), and *Academics Going Public* (2016). Her newest book, *Making Black Scientists* (with Thai-Huy Nguyen), is forthcoming with Harvard University Press. She has written over 250 peer-reviewed articles, scholarly essays, and book chapters. Gasman has penned over 450 opinion articles for the nation's newspapers and magazines and is ranked by *Education Week* as one of the ten most influential education scholars in the nation. She has raised over $22 million in grant funding to support her research and that of her students, mentees, and MSI partners. She serves on the board of trustees of the College Board as well as Paul Quinn College, a small, urban, historically Black college in Dallas, Texas. She considers her proudest accomplishment to be receiving the University of Pennsylvania's Provost Award for Distinguished PhD Teaching and Mentoring, serving as the dissertation chair for over 80 doctoral students since 2003.

Nicholas D. Hartlep is Associate Professor of Urban Education, Chair of the Early Childhood and Elementary Education Department, and the Graduate Program Coordinator in the School of Urban Education at Metropolitan State University in St. Paul, Minnesota. Hartlep's most recent book is *What Makes a Star Teacher: 7 Dispositions That Support Student Learning* (Association for Supervision and Curriculum Development). He has received several awards for his research. In 2015, he received the University Research Initiative (URI) Award from Illinois State University and a Distinguished Young Alumni Award from Winona State University. In 2016 the University of Wisconsin-Milwaukee presented him with a Graduate of the Last Decade (GOLD) Award, and in 2017 Metropolitan State University presented him with the Community-Engaged Scholarship Award. In 2018, the Association of State Colleges and Universities honored him with the John Saltmarsh Award for Emerging Leaders in Civic Engagement. His book, *The Neoliberal Agenda and the Student Debt Crisis in U.S. Higher Education*, was named a 2018 Outstanding Book by the Society of Professors of Education. His scholarly research focuses on the model minority stereotype of Asian Americans and critiques of neoliberalism.

Brandy Jones serves as Assistant Director of Communications for Center for Minority-Serving Institutions (CMSIs). She is a native of Providence, Rhode Island, and a recent graduate of the University of Rhode Island (URI), where she obtained her BA in Sociology and Communications. While at URI, she was a founding member of the DIVE RI Conference, a student-led conference on race and ethnicity on college campuses. The conference has since expanded to shape discussions on policies and practices at predominantly white institutions (PWIs) throughout New England. Upon graduating, she began working for The Cheyney Foundation, the 501(c)(3) arm of Cheyney University of Pennsylvania, the nation's first HBCU. As a first-generation college student, Jones has an interest in the ways in which institutions are supporting first-generation students as well as how PWIs can learn from HBCUs to better support under-resourced students. She also has an interest in exploring the ways study-abroad organizations are supporting racial and ethnic minorities while abroad. Jones is pursuing an MS.Ed in Higher Education at the University of Pennsylvania.

Sosanya M. Jones has over 16 years of experience as an administrator, researcher, and educator in higher education. Her research interests focus on the nexus between policy and practice for diversity, equity, and inclusion in higher education; diversity professionals and diversity work in different institutional contexts, including PWIs, HBCUs, and Predominantly Black Institutions (PBIs); and programmatic interventions and strategies for supporting minoritized and marginalized populations. Jones is a 2015–2016 Fulbright Visiting Chair and a 2016–2018 Illinois Education Research Council Faculty Fellow. She has co-authored two books and written several journal articles about policy and practice related to equity, diversity, and interventions for supporting minoritized students in higher education. Jones is an assistant professor in Higher Education Leadership and Policy Studies program at Howard University where she teaches courses on governance, administration, and qualitative research.

Tiffany Jones directs the higher education policy team at The Education Trust, where she promotes legislation to improve access, affordability, and success for low-income students and students of color. Central to this work is supporting equity- and student-centered accountability and affordability policies at the state and federal levels. Before joining Ed Trust, Jones led the higher education work at the Southern Education Foundation, where she partnered with Historically Black

Colleges and Universities and Hispanic-Serving Institutions to advance student success and engage in analysis of federal and state policies (such as performance- and outcomes-based funding) using an equity lens. Prior to her time at SEF, Jones was a dean's fellow at the Center for Urban Education at the University of Southern California, where she helped advance the equity scorecard in Minority-Serving Institutions and urban high schools. Jones has written academic and policy publications on how higher education policy and practices impact college success for low-income students and students of color. In her upcoming book, *Can Equity Be Bought? Outcomes Based Funding for Racial Equity*, she introduces a framework for prioritizing equity issues in higher education accountability systems. A Michigan native, Jones holds a PhD in Urban Education Policy from the University of Southern California; a master's degree in Higher Education Administration from the University of Maryland, College Park; and a bachelor's degree in Family Studies and English from Central Michigan University.

Bach Mai Dolly Nguyen is Assistant Professor of Education at Lewis & Clark College. Her research examines how categorization reveals, maintains, and mitigates inequality in education, with particular attention to racial and organizational classifications. In combination, these areas of research have manifested in studies on Minority-Serving Institutions (MSIs), ethnic stratification, and organizational behavior and change. Nguyen's work has been published in *Review of Research in Education* and *The Review of Higher Education*. She was the 2017–2018 University of Pennsylvania Center for Minority-Serving Institutions Fellow.

Thai-Huy Nguyen is Assistant Professor of Education at Seattle University. His portfolio of work emphasizes the relationship between social inequality and postsecondary education. He is interested in the cultural mechanisms of institutions that explain unequal student experiences and outcomes during and after college. Nguyen has explored this line of inquiry within the context of community colleges and Minority-Serving Institutions, especially as it relates to first-generation college students and minoritized populations. His latest works on AANAPISIs and California MSIs have been published in *The Review of Higher Education* and *American Educational Research Journal*, respectively. Nguyen is also the co-author of a forthcoming manuscript on Historically Black Colleges and Universities and STEM Education.

Larry J. Walker is an assistant professor, University of Central Florida, Department of Educational Leadership and Higher Education. Walker's research has two threads: (1) examining the experiences of HBCU leaders and (2) investigating the impact environmental factors have on the academic performance and social emotional functioning of students at HBCUs. Previously, Walker was selected as a Congressional Fellow with the Congressional Black Caucus Foundation. After completing his fellowship, he served as the legislative director for Congressman Major R. Owens. His responsibilities included supervising the legislative staff and developing the Congressman's legislative agenda. He worked on several bills including amendments to the Higher Education Act and reauthorization of the Elementary and Secondary Education Act.

Walker has written extensively on HBCUs. This includes peer-reviewed journal articles, research briefs, book chapters and an edited book titled *Graduate Education at Historically Black Colleges and Universities: A Student Perspective*. In addition, his commentary of HBCUs has appeared in Diverse Issues in Higher Education, Penn Center for Minority Serving Institutions and The Hechinger Report among others. Walker has presented his research on HBCUs at national and international conferences including AERA.

Currently, he is a center affiliate with the Penn Center for Minority Serving Institutions and is a member of several boards including Vice-Chair of The Cheyney Foundation. Walker received his doctorate from Morgan State University.

Urban Wiggins is an assistant professor in the Department of Mathematics and Computer Science at the University of Maryland Eastern Shore. He has been published in several peer-reviewed journals such as *IEEE Symposium on New Frontiers on Dynamic Spectrum Access Networks*, and he has presented at numerous conferences, symposiums, and forums spanning such diverse topics as Institutional Research, Data Analytics, Cyber Security in Education, and Next-Generation Wireless Communications. Wiggins is a member of the Nomination Committee of the Southern Association for Institutional Research (SAIR) and is also the immediate past-president, after serving two consecutive terms, of the Traditional Black Colleges and Universities non-profit organization, a special interest group of the Association for Institutional Research (AIR). Wiggins holds a doctoral degree in Computer Science from Louisiana State University, marking him as the first African American male to accomplish this endeavor. His research areas, where he is also published, are in cognitive radio, cognitive radio networks, wireless sensors, and wireless sensor networks.

List of Figures

CHAPTER 1

Examining Effective Practices at Minority-Serving Institutions: Beyond a Deficit Framing of Leadership and Overview of Chapters

Robert T. Palmer

The idea for this book manifested from wanting to provide a repository of best practices for leaders of Minority-Serving Institutions (MSIs). It is important that this book employ an anti-deficit approach to discussing leadership at MSIs. While not much is known about leadership across the diverse landscape of MSIs (Palmer et al., 2017; Transforming leadership at MSIs, 2015), researchers are starting to focus more on this issue across the spectrum of MSIs. This is important because as the nation continues to diversify racially and ethnically, these institutions will become even more critical to educating tomorrow's future. It is important to note that while research on leadership across MSIs, such as Hispanic-Serving Institutions (HSIs), Predominantly Black Institutions (PBIs), and Asian American and Native American Pacific Islander-Serving Institutions (AANAPISIs), is

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lacking, there has been a focus on HBCU leadership (Palmer et al., 2017). This research has focused on topics such as the pathway to the presidency (Freeman & Gasman, 2014), recycling of ineffective presidents (Esters et al., 2016), lack of shared governance (Minor, 2005), and the autocratic leadership styles of some HBCU presidents (Lomotey & Covington, 2017). While insightful, most of this research is rooted in a deficit-based approach (Esters et al., 2016; Gasman, 2007; Hines, 2014; Saffron, 2016; Schexnider, 2017).

Specifically, while scholars have praised HBCUs for the value they add to facilitating access and success for postsecondary opportunities for Black students (Palmer & Gasman, 2008; Preston & Palmer, 2018), the literature has depicted a leadership crisis at HBCUs (Lomotey & Covington, 2017; Meggett, 1996; Nelms, 2014; Watson, 2013). This leadership crisis, as scholars have coined it, has weakened the stability of some HBCUs, which has resulted in a lack of shared governance, loss of accreditation, and even closure of some HBCUs (Crawford, 2017; Freeman & Gasman, 2014; Gasman, 2012; Schexnider, 2013; Watson, 2013). The latest HBCUs to become a part of this narrative in terms of facing institutional instability are Bennett College in North Carolina and Bethune Cookman University in Florida. While I hope and pray that these two institutions will weather the storm, the aim of this current book is not to engage and reproduce a deficit narrative of MSIs in general and HBCUs specifically.

In many ways, I wish this book were a collection of narratives or case studies focused on transformative and visionary leaders of MSIs—both past and present. Despite the fact that MSIs are not monolithic (Conrad & Gasman, 2015), I firmly believe that these institutions could learn a lot from leaders such as Walter Kimbrough, President of Dillard University; Michael Sorrell, President of Paul Quinn College; Ruth Simmons, President of Prairie View A&M University; Norman Francis, former President of Xavier University; Benjamin Mays, former President of Morehouse College; and Johnnetta Cole and Beverly Daniel Tatum, both of whom were Presidents of Spelman College. While this list is not meant to be exhaustive and is focused predominantly on current and past presidents of HBCUs, I think that other institutions of higher education in general and MSIs specifically could benefit from the insight, wisdom, and leadership styles of some of these enduring leaders.

Despite my wish, clearly, this book is not a collection of narrative analysis or case studies of prominent leaders of HBCUs and other MSIs. Having said this, I do not want to convey or suggest that this book is not important.

Chapter contributors, many of whom serve in high-level leadership capacities across the spectrum of MSIs, have provided great insight into an array of leadership modalities, tactics, and initiatives that are innovative, forward thinking, and critical not just to the sustainability of MSIs, but that will also support leaders at MSIs as they work to take their institutions to new heights. I know that this book will be widely embraced because it focuses on what works, helps to unlock the possibilities of innovation, and does not take a deficit-oriented approach to leadership at MSIs. This book will inspire, encourage thinking outside the box, and provide action-oriented recommendations that will help lead to institutional growth and prosperity among MSIs.

Up until this point, this chapter has discussed MSIs, without providing some context on these institutions. Therefore, this next section seeks to do just that! Specifically, the subsequent section will provide a brief background of the MSI institutional types and discuss characteristics that make these institutions distinctive.

Brief Overview of Minority-Serving Institutions

While MSIs have distinct similarities, such as enrolling, supporting, and graduating minority students, they differ on how they were established. For example, HBCUs were established to provide educational access to Blacks due to racism that limited their enrollment into predominantly White institutions, mainly in the Southern states. While some were founded prior to the Civil War, the majority of HBCUs were established after the war. Today, there are 105 HBCUs, and they enroll and these institutions are comprised of a rich tapestry of colleges and universities, including public, private, two-year, four-year, selective, and open (Gasman, 2013).

Similarly, Tribal Colleges and Universities (TCUs) were created with the intent of providing educational experiences to the Indigenous population. Navajo Community College—now named Dinè College—was the first tribal college, which was established in 1968. TCUs enroll approximately about 28,000 students, made up of Indigenous and non-native students, and they are located on or close to reservations. TCUs offer students with culturally relevant curricula and an array of other services. They offer various degrees, such as master's, bachelor's, associates, and certificate programs in various fields (Stull, Spyridakis, Gasman, Samayoa, & Booker, 2015).

While HBCUs and TCUs were established to help facilitate Blacks and the Indigenous populations' access postsecondary education, other MSIs,

such as HSIs, PBIs, and AANAPISIs, emerged out of changing demographic trends. Specifically, HSIs have an enrollment of 25% or more of Hispanic students at the undergraduate level. There are 409 HSIs in the United States and Puerto Rico and 296 emerging HSIs, which are institutions approaching HSI status in terms of meeting the enrollment requirement threshold (Núñez, Crisp, & Elizondo, 2016). Moreover, PBIs serve a disproportionate amount of Black and low-income students at the undergraduate level. Specifically, for an institution to be considered for PBI classification, it must enroll at least 40% of Black students, with at least 50% of those students being low-income. There are approximately 156 PBIs, and similar to HSIs, most of these institutions are community colleges (Palmer & Avery, 2017).

Finally, AANAPISIs are institutions with an enrollment of at least 10% of Asian American and Pacific Islanders (AAPIs), with at least 50% of students being low-income (Pak, Maramba, & Hernandez, 2014). As of 2012, there are 153 institutions eligible to be AANAPISIs; however, only 78 institutions are officially designated as AANAPISIs (CARE, 2013). Collectively, while MSIs are underfunded (Conrad & Gasman, 2015; Palmer & Griffin, 2009), they have a proven track record of helping to produce positive outcomes for underrepresented and underserved racial and ethnic students (Conrad & Gasman, 2015; Palmer, Maramba, & Gasman, 2012). According to Montenegro and Jankowski (2015), during the 2013–2014 academic year, MSIs served 40% of underrepresented students, consisting of 3.8 million students or 26% of all students enrolled in higher education. MSIs are chiefly responsible for disproportionately helping to produce the nation's judges, doctors, lawyers, and STEM graduates of color.

These institutions provide cultural nourishment, facilitate a sense of role modeling, and provide an environment inside and outside the classroom that help to cultivate students' self-efficacy, particularly in areas related to success in STEM. To this end, Palmer et al. (2012) argued MSIs should be viewed as exemplars for helping to increase the achievement of minority students in this discipline. Given the projected racial and ethnic diversity of the United States, MSIs will serve as a catalyst for preparing tomorrow's generation of college students who will significantly shape and determine America's economic future in the global economic. This responsibility requires strong, transformative, innovative, visionary leadership, guided by actionable solutions, policies, and initiatives that have shown efficacy in producing positive leadership outcomes across the

diverse landscape of MSIs. This edited volume provides a step in this direction.

Specifically, this book, *Beyond a Deficit Framing of Leadership*, is composed of 12 chapters. While my co-editors and I desired to have at least one chapter reflective of each of the specific MSI designation, we fell short of this goal. Although most of the chapters (i.e., 3, 4, 5, 6 and 7) explore leadership within the context of HBCUs, and acknowledge the multifaceted dimensions of leadership, from crisis management to implementing practices of student success amidst a leadership transition, my co-editors and I assembled a cohesive volume that provides insight into best practices that could be applied across all postsecondary institutions in general and MSIs specifically.

In this chapter, "Examining Effective Practices at Minority-Serving Institutions: Beyond a Deficit Framing of Leadership," and the overview of chapters, Robert T. Palmer introduces the premise of this book and reflects on its intent to not reproduce or repeat the deficit narrative that is often the focused on MSI leadership in general and HBCU leadership specifically. This chapter also briefly discusses MSIs and situates their importance in the wider context of society. In Chap. 2, "Leading from the Center: Indigenous Knowledge Builds Higher Education Leaders," Cheryl Crazy Bull explores the connectedness of leaders of Tribal Colleges and Universities to their Indigenous values. She emphasizes how those values center their work in the context of success and prosperity despite significant obstacles. She discusses how leadership in Tribal Colleges and Universities goes beyond the hierarchy typical of most higher education institutions, and creates widespread, strategic direction rooted in values, spirituality, and relationality.

In Chap. 3, "Phoenix Rising: HBCU Leadership During a Period of Change," Larry J. Walker explains that while far too often pundits focus on their struggles without highlighting HBCUs' important role in higher education, higher education officials, policymakers, and researchers have failed to examine what makes some HBCUs so successful, which frequently reinforces the narrative that HBCUs are doomed to fail. Thus, in his chapter, he proposes a counter-narrative that challenges stigmas and misconceptions regarding HBCU leadership. This chapter discusses the following: (1) what steps HBCUs are taking to develop a new generation of university leaders, and (2) how Kouzes and Posner's five practices of exemplary leadership are utilized by Cheyney University President Aaron Walton. This chapter concludes with recommendations.

In Chap. 4, "Lessons Learned from Supporting HBCU Leaders in Implementing Student Success Practices," DeShawn Preston, Tiffany Jones, and Bonita Brown discuss how HBCU leaders navigate this difficult terrain to actually improve student outcomes. This chapter also explores what happens to such student success efforts when there is a change in leadership and the impact of leadership transitions on the ability of HBCU leaders to increase their graduation and retention rates. This chapter concludes with lessons learned from strategic efforts to support HBCU leaders as they implement student success strategies, and the implications for leadership transitions. In Chap. 5, "Engagement, Innovation, and Advocacy: Presidential Leadership at Historically Black Colleges and Universities and Hispanic-Serving Institutions," Marybeth Gasman, Brandy Jones, and Ndeh 'Will' Anyu examine positive portrayals and contributions made by those at HBCUs and HSIs. Specifically, in this chapter, they focus on the way these presidents engage with constituencies, resulting in innovations, making change, and fostering stability on their campuses.

In Chap. 6, "When Leadership Goes Wrong: Implications for Effective Leadership Practices for HBCUs," William Broussard, Ventric Fletcher, and Urban Wiggins discuss a multi-perspectival leadership approach developed within the theoretical context of Freirean praxis in order to best serve the needs of students and constituents at HBCUs. In Chap. 7, "Reimagining HBCU Leaders as Policy Actors," Sosanya M. Jones employs a strengths-based approach in constructing a conceptual framework for how presidents of HBCUs can employ and improve their current advocacy skillsets for use in the policy arena. This chapter draws on the literature on HBCU leadership and the higher education policy, and reimagines the existing skills of HBCU leadership for the policy arena to encourage HBCU leaders to participate in policymaking and collaborate with other policy actors at both state and federal levels. Specifically, this chapter outlines how current skills held by successful HBCU presidents—especially those of communication and collaboration—can make them successful policy actors who can not only advocate for their institutions, but also for educational inequalities still reflected in American educational policy. This chapter concludes with recommendations for future approaches to expanding strengths-based research for HBCUs to follow.

In Chap. 8, "Effective Leadership at a Hispanic-Serving Institution: Critical Attributes and Principles," JoAnn Canales and T. Jaime Chahin holistically examine critical attributes and principles of effective leadership

as they relate HSIs. This chapter focuses on a variety of dimensions of the highly complex phenomena of leading an institution of higher education in the twenty-first century and identifies persisting challenges as well as recommendations that may be helpful to other institutions in pursuit of going beyond an enrollment status (Hispanic-Enrolling/Hispanic-Serving Institution) designation to one known for its graduation status (Hispanic-Graduating Institution). This chapter concludes with exemplars of successful practices. In Chap. 9, ""This Was Different, and I Wanted to Learn": A President's Response to a Student Hunger Strike at a Hispanic-Serving University," Erin E. Doran centers her chapter on the response of a UTSA president and the ways in which he responded to students who participated in a hunger strike. This chapter highlights the importance of university leadership that reflects the needs and concerns of students on their campuses, especially when campuses have a critical mass of students from particular racial, ethnic, and cultural backgrounds.

In Chap. 10, "AANAPISI Program Directors: Opportunities and Challenges," Thai-Huy Nguyen and Bach Mai Dolly Nguyen explain the type of leadership necessary to manage AANAPISI grant-funded projects. The authors assert that engaging in this conversation is critical because staff and faculty leaders play a salient role in shaping the capacity of AANAPISIs to meet the goals and expectations to the primary funding agent, which is the U.S. Department of Education. In Chap. 11, "An Effective Model of Mentorship and Capacity Building: Lessons Learned and Lived Out at a Midwest AANAPISI," Nicholas D. Hartlep and René F. Antrop-González share the experiences of a Puerto Rican dean of a school of urban education and the experiences of a Korean department chair, both working at a Midwest AANAPISI. They share stories and experiences which are situated within the context of this AANAPISI as well as the literature on higher education leadership in Minority-Serving Institutions. The chapter shares a model of mentorship that builds the capacity of diverse leaders within a school of urban education. In Chap. 12, "Thematic Trends of Effective Leadership Practices for MSIs Through the Prism of an Anti-deficit Perspective," DeShawn Preston and Amanda Assalone reflect on the importance of continuing to examine leadership at MSIs through an anti-deficit perspective and highlight five themes across the chapters that are exemplars of effective leadership practices of MSIs.

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CHAPTER 2

Leading from the Center: Indigenous Knowledge Builds Higher Education Leaders

Cheryl Crazy Bull

Leading from the Center

The circle is both a symbolic and a literal representation of American Indian and Alaska Native philosophy. It represents the interrelatedness and connections among all living and non-living things. Various representations of the meaning of the circle can be found throughout Indigenous cultures. In each of these representations, there is recognition that the center is the place of knowledge; it is the place from which values are known and behaviors emanate. To understand leadership at Tribal Colleges and Universities (TCUs) is to recognize that leadership emerges from this circle—a circle of relationships and beliefs. This discussion of TCU leadership is rooted in the circle and how specifically in a Tribal context, effective leadership is leadership based on values, connection to vision, and accountable to both the ancestors of current leaders and to future generations.

What Indigenous people consider to be effective is leadership that grounds traditional knowledge and values to contemporary experiences and

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promotes Tribal and individual self-determination. Indigenous people are also firmly committed to the concept that leadership occurs in many pathways and circumstances. Being a good relative, especially a good parent, is highly valued and is looked upon as an aspirational leadership experience for Native people. Indigenous people also consider leadership to be multi-generational and promote opportunities for Native elders to broadly share their knowledge and Native youth to develop their leadership skills early.

Leadership and management theories abound in both the United States and abroad. These theories are often rooted in the role that the leader is viewed as "playing" in the environment. There is a temptation to define leadership in Native communities and at tribal institutions within the framework of western theories—as though those theories are the necessary backdrop for any understanding of organizational leadership in tribal settings. This is not true, and as frameworks, western theories often miss the context and cultural underpinnings of Native leadership. The discussion in this chapter is of greatest value when a deeper understanding of Native leadership and qualities of place and relationship provides the framework for interpretation.

In *Indian Education in America*, Deloria (1991) speaks to the role that Tribal traditional knowledge has in framing our understanding of the world and asserts that Indians were outside the traditional educational systems and in their own worldview. Recognition that being in an Indigenous worldview informs leadership and management practices is also affirmed by other contemporary Indigenous scholars. Leon (2012) examines the influences of elders' perspectives of leadership in Coast Salish cultures in British Columbia. Her focus on teachings about land and the reclaiming of cultural values are descriptive of how leadership can be rooted in Indigenous knowledge. Beauvais (2009) noted that "In Native communities, leadership often requires cultural and political sensitivity and correctness, as many in the community are necessarily inter-related. These factors often compound the challenges of leadership in TCUs. They may challenge the conventional wisdom and principles of leadership used by practitioners in other venues" (para, 3).

There are nearly 1000 federally and non-federally recognized Tribes and Alaskan Native villages in the United States. Each of these Tribes is distinctive, and while there are overlapping and common values and practices, it would be wrong to assume that all American Indians and Alaska Natives are the same. The author offers this caution while recognizing that for the purpose of understanding leadership in the TCU movement, some

amount of assumed commonality is necessary. The use of the circle as an iconic representation is an example as is the prominent role of elder knowledge and of relationships as a primary influence of decision-making.

For the purpose of this discussion, the author references Indigenous people by broad descriptors—American Indians, Alaska Natives, Tribes, Native people, and Indigenous people. Tribes are nations within the nation, that is, the United States. Each Tribe has its own name for itself, and today, it is more common for individuals to identify themselves by their Tribal citizenship. So, where possible, especially when referencing individual tribal institutions, the author will use the preferred Tribal name. Unless specifically stated otherwise, references to Tribes are intended to be about people and not about governments.

Tribally Controlled Higher Education

Understanding of effective leadership in TCUs also requires knowledge about what these institutions do and how they came to be. Tribally controlled education emerged in the late 1960s as a direct result of the desire of Indigenous educators throughout the United States to deliver educational models rooted in cultural knowledge, providing preparation for leadership and management of tribal resources, and responsive to high standards. The result—tribally controlled early childhood centers, K-12 systems, and higher education institutions—is transformative, changing the trajectory of education experienced by Native peoples and forever imprinting a new model for education on the American landscape. Leadership in these institutions, and leadership that these institutions promote, is distinctive in its nature—it is leadership that is responsive to cultural and social characteristics of Indian tribes—it is intergenerational, innovative, and proactive.

Tribal Colleges and Universities lead a national movement toward educational self-determination and through their leadership foster cultural revitalization, economic prosperity, and healthy living. The reach of their leadership is multi-generational, diverse, and focused on the distinctive identities and place-based experiences of their students and their families. These institutions represent the self-determination of Native people. This self-determination is rooted in Tribal national identity, Native language revitalization, and restoration of social, economic, legal, and governance systems grounded in tribal beliefs and practices. It is in the context of this place-based, values-rich, and diverse leadership that this chapter examines

the way that leadership manifests within the tribal college movement. Leadership in the TCU movement occurs throughout the institutions in both external and internal ways.

Noteworthy is that there are many national partnerships that support leadership development in colleges serving minority students. For TCUs, two organizations provide most professional development for leaders. The American Indian Higher Education Consortium (AIHEC) established in 1973 is the membership association of TCUs. AIHEC provides a range of critical membership services including advocacy, networking, and capacity building. There are currently 35 full members and 2 developing/emerging members of AIHEC. Of the 35 full members, 29 are tribally chartered institutions, 1 is federally chartered, 2 are incorporated by tribes (or a consortium of tribes), 2 are federally operated institutions, and 1 is a tribal college/state community college collaboration (www.aihec.org). The majority of the institutions are located on or near reservations or in rural settings. Sometimes Tribally chartered and tribally controlled are used interchangeably, but they are actually distinct. Charters are issued through tribal governing authority, while control in this case is based in the makeup of governing boards and service to a predominately Indigenous population.

The American Indian College Fund (College Fund) established in 1989 provides scholarships and support for Native students as well as support for Tribal colleges who are full members of AIHEC. The College Fund is a non-profit organization established by AIHEC to support students and TCUs with funds raised from the private sector (www.collegefund.org). Both organizations create leadership opportunities for students, faculty and staff, presidents, and boards of TCUs. These opportunities focus on skills and abilities required to support student success, foster effective culture and language programming, comply with various federal and grant-making organization requirements, and increase knowledge of best practices in diverse areas of organizational development.

In order to discuss effective leadership in the TCU environment, it is also necessary to understand Tribal higher education institution characteristics that distinguish them from other higher education institutions. First, as noted earlier, Tribally controlled colleges are chartered by Indian tribes or Alaska Native communities.[1] The authority of Indian tribes to establish their own educational institutions derives from their Tribal constitutions. Tribal constitutions grant legal authority to establish chartered entities to address tribal needs. Second, Tribes have the inherent right to socialize and educate their own people (Mackety, Bachler, Barley, & Cicchinelli, 2009).

Third, TCU missions are twofold—provide a culturally rooted and relevant educational experience while preparing students for employment, entrepreneurship, and leadership roles in their communities. Tribal colleges support the prosperity of their Tribal nations through revitalization of Tribal identity and cultural practices. TCUs are mostly place-based institutions so the content of their educational services are often very specific to the Tribes where they are located. Institutions that are not located on or near Indian reservations have the more complex task of meeting multiple cultural expectations. Fourth, the characteristics of students are unique. Students are generally older, most have dependents, and many work in addition to going to school, but, most importantly, students bring culturally relevant experiences and knowledge to the classroom, thus complementing the core mission of the institution. Finally, Tribal colleges have unique governance and management systems. The governing boards of Tribal colleges are representatives of the community served by the TCU and often have elders, cultural and spiritual leaders, Tribal government representatives, and students as members (Crazy Bull, 2015a).

Effective leadership practices are also subject to the socio-economic conditions in which TCUs operate. According to the American Community Survey (2011–2015), slightly more than 28% of American Indians and Alaska Natives live below the poverty level with a median household income of $37,408 compared to 15.5% of the U.S. population and a U.S. median income of $53,889. The unemployment rate is 14.7% but can be as high as 80% in rural reservation communities served by TCUs. Housing and public transportation are limited, and disparities with access to health care and educational services are common.

All of this information is important because effective leadership in Tribally controlled institutions must not only be responsive to place and promote cultural knowledge but also must cope with serious social and economic disparities. Tribal communities consider effective leadership to be values-based and focused on achievement of mission-based goals. In Tribal communities and at TCUs, integration of Indigenous knowledge is of utmost importance and there is a growing focus on the use of Indigenous design and on Tribal evaluative methods to define and determine success. In many ways, it is challenging to attribute specific effective leadership practices to personnel at TCUs because the very nature of the institutions—their cultural missions, geographic locations, and characteristics of the populations—they serve requires widespread, timely, and innovative decision-making and management styles derived from Indigenous knowledge and community expectations.

Relationship and Kinship as the Source of Good Leadership

Native leadership is rooted in relationships and kinship, and it is derived from the expectations of the people with whom the leader interacts, and it is informed by the ancestral knowledge and contemporary experiences of the leader. There is usually an element of spirituality and a stated commitment to practicing the values held most dear by the Tribe. Because Tribal colleges are established by, governed by, and directly accountable to their communities, the roles of leaders are framed by the communities' expectations of success. Community members and college students evaluate leadership by how the leader interacts with elders and youth as well as how they negotiate with official entities like tribal governments, federal agencies, and other higher education institutions. They attribute characteristics to leaders that are of value in their societies. Values such as courage, generosity, industriousness, and compassion are as important as public speaking abilities or the ability to write grants. An understanding of Tribal customary practices is as important to any TCU leader as is an understanding of the pedagogy of teaching and learning.

Because of the place-based and community-connected nature of TCUs, accountability is to the community, especially the elders and leaders (Crazy Bull, 2015b). This accountability often takes the form of planned public interactions but can be as specific as answering questions when meeting someone in the grocery store. Expressions of reciprocal support include community members engaging with educational programming such as guest lecturing and arts demonstrations or generous sponsorship by the TCU of community and school functions such as sporting events and cultural activities.

The kinship- and relationship-based environment of TCUs means that leaders must navigate relationships differently. Because TCUs exist in geographically and socially intimate settings, administrators must also navigate different teachings and practices that naturally occur among diverse families and Tribes. They must also help overcome controversial issues, which could be generational (such as family conflicts from three or more generations back), and need to be skilled at listening as well as negotiating agreement.

Kinship in Tribal communities is both broad and deep. In today's Native societies, Tribal people live closely together in order to maintain harmony and ensure responsibility for each other's survival. In western (U.S.)

society, aunts, uncles, and cousins are often "once or twice" removed from an individual. In Native societies, no such distinction exists. Cousins are cousins, and little effort is put into trying to find out the exact relationship and how close or distant it is. Your mother's sisters are your aunts, but in Tribal cultures, they are also your mothers. Grandparents abound and everyone's children are your nieces and nephews or grandchildren. Native people call each other by relative names—thus establishing respectful interactions and expectations of responsibility and care. To be effective leaders in Tribal colleges, everyone must understand extended family relationships and kinship. Because of these extended family relationships, contemporary issues around nepotism must be ameliorated in the context of tribal traditions. Historically, kinship was a resource that could be capitalized on to support productivity and accountability. Now scarcity of jobs and resources has made nepotism an issue in environments where many are closely related. These tensions are a natural result of the creation of institutions and limits on resources that happened in tribal communities, especially after reservations were established. Reconciling these competing dynamics is a necessary part of good leadership in modern Indian society.

Effective Management Through Indigenous Values

There is an expectation that leaders will exhibit exemplary qualities such as being hard workers and good listeners with the hope that socialization and experience in Tribal families and communities will be at the heart of those qualities. Tribal people adapted their understanding of how to describe their expectations of their leaders by engaging in contemporary research and analysis. This engagement is foundational to understanding leadership from a Tribal and educational perspective. While in the past socialization occurred naturally, disruptions such as removal from homelands to Indian reservations and sending of children to boarding schools created a climate where cultural values and practices are stated and mediated. Now, Native people declare their indigeneity. For instance, in 1991, during the extensive study of Indian education conducted by the Indian Nations at Risk Task Force, Tribal people identified that they were educating children and adults to be human beings, not economic beings. Education is about being a good relative and not just about being trained for a job.

This holistic approach to education is reflected in the holistic approach to leadership discussed here. Among American Indian and Alaska Native people, high value is placed on leaders who exhibit a commitment to

relationships that commonly manifests in the use of kinship terms[2] and who demonstrate a connection to a spiritual practice or understanding. Kinship reinforces intergenerational relationships. Tribal societies appreciate the transfer of knowledge that occurs from one generation to the next and view this transfer of knowledge as integral to our survival as distinctive people.

Tribal college personnel participate in the work of institutions in such diverse and comprehensive ways that is often difficult to attribute leadership to a specific job or position within the institution even when the institution might have a hierarchical organizational structure. Many institutions expect leadership to be exhibited at all levels of the organizations from faculty demonstrating leadership in curriculum development, student success, and community outreach to student services personnel who advocate for engagement and retention strategies to the president and his or her direct reports who must guide and lead within a broad range of considerations and opportunities. This decentralized leadership and engagement is critical to the institution's capacity to support a myriad of Tribal needs and goals. This is not to imply that the presidents of TCU are not held to high standards of involvement and decision-making because they are. In particular, executive leaders are required to demonstrate focused and productive leadership and guidance throughout the organization and with external relationships. Rather this recognition of decentralization as a practice affirms that leadership is distributed among people depending upon their skills and interests. Many TCUs create flatter or circular organizational charts to reflect their cultural commitment to relationship and distributed decision-making and responsibility.

One outcome of being place-based and/or Tribally controlled institutions is that the majority of staff members are Native, and frequently, it is the citizens of the Tribe that established the college. This creates a natural commitment to self-determination and tribal prosperity because the actions of the institution and the success of its students directly affect members of one's family and the overall well-being of one's own community. Capitalizing on this commitment is one way that leaders are able to achieve organizational goals. The lack of sufficient resources at Tribal colleges means everyone has diverse and multiple responsibilities and the dream of better lives for all is a motivator when leaders must ask others to take on additional duties. And people are self-motivated to do more in light of the impact of building community capacity and wealth.

St. Germaine (2015) summarized his observations of the qualities of effective educational leaders in Tribal settings as being positive, assertive, and resilient. In the face of resource scarcity, the ability to reflectively focus on progress and taking the time to achieve a positive outcome is essential. Respectful behaviors in Tribal cultures are exhibited by listening and letting others be in the forefront. Being assertive means being bolder and more direct. Striking a balance with respect and assertiveness is essential to a leader's success. Indigenous people are resilient, using cultural knowledge and protective factors such as relationships and spirituality to overcome challenges and prosper.

This focus on cultural practices and understanding in no way diminishes the importance of skills with budgeting, program development, and evaluation. Pedagogical skills that are rooted in Tribal knowledge and the teaching of Native students are required of TCU faculty and staff. The ability to participate with all aspects of a postsecondary institution, recruitment, teaching, assessment, accreditation, and systems creation and management is as vital to the success of TCUs as the ability to engage cultural informants.

Because TCUs straddle the traditional world of tribal citizens and the contemporary world of educational institutions, skilled leaders provide opportunities for exploration through discussions, presentations, gatherings, and forums. These opportunities foster an environment of inclusion and learning and facilitate decision-making that translates Indigenous ways of knowing into modern situations. For example, as discussed later, TCUs incorporate Indigenous evaluation approaches to determine the effectiveness of their academic and community engagement. This requires time spent introducing approaches, helping participants connect their knowledge, and then implementing agreed upon strategies while being adaptive to changes that might emerge in the process.

Effective leaders at TCU are actively engaged with their communities. This engagement begins before the doors of an institution even open because it is the people of the Tribe who decide if they want a higher education institution. This occurs whether the institution is tribally chartered or if it is identified as tribally controlled because of the membership of its governing body and the makeup of its student body. Each Tribal college has its own story of its creation and that story is rooted in the vision of the founders of each institution. Sinte Gleska University on the Rosebud Reservation in south-central South Dakota emerged from a desire by a group of community elders and activists to have a place where the children

in their families could have a successful college experience. They saw that few Native youth went away to college and those who did, did not complete (SGU Self-Study, 2013). Among the Lummi people in Washington State, the desire for a competent Native workforce responsive to the changing fishing and aquaculture industry prompted the establishment of Lummi Indian School of Aquaculture which led to Northwest Indian College (www.nwic.edu/about). United Tribes Technical College, centrally located in Bismarck, was founded by Sioux (Lakota and Dakota) Tribes to provide workforce education for tribal citizens. The purposes for each institution inform and motivate leaders to be responsive to visionary expectations as well as practical needs.

The distinctive cultural missions of TCUs also require leaders to be directly engaged with acquisition of tribal knowledge and with the integration and use of knowledge to build curriculum, courses, and degree programs. TCUs usually have both integration of knowledge throughout their courses and Native Studies programs or departments. Preservation and revitalization efforts mean that resources must be devoted to collecting information, curriculum development, research and scholarship, and training of cultural experts to share their knowledge in educational settings. For example, Tribal colleges, through their academic leadership, paved the way in the identification of processes to certify cultural knowledge and/or Native language teachers who might not otherwise be formally trained. This type of certification is relatively unknown in higher education because of the premium that is placed on formal education. The policies governing certification of cultural experts affirm mission and are an effective means of institutionalizing mission.

Academic and vocational programming at TCU is very driven by community needs. Program developers must have skills in identifying and forecasting employment opportunities and be able to create courses, certificates, and degrees that match institutional resources with available careers. Careers can also include entrepreneurial opportunities including self-employment, requiring TCU leaders to be knowledgeable about business development. Tribal societies highly respect the natural talents of their citizens and support fostering the skills those talents represent. Leaders who create programming that is responsive to community needs are more apt to have success with student recruitment, persistence, and graduation, key indicators of success.

In order to serve Native students, Tribal college faculty and student services personnel must advocate for and develop culturally relevant

curriculum. Nearly all curriculum available in higher education disregards Indigenous history and knowledge. The development of courses or having cultural activities is not enough—integration of knowledge into all courses is critical to student success. Ensuring faculty access to information through cultural informants and research resources and ensuring curriculum development skills are important to fulfilling organizational mission. This also serves to foster community engagement, which is so critical to institutional and individual success.

Native languages are perhaps the most visible and accessible means of describing and reinforcing cultural values and practices. Language is the source of description, relationship and kinship terms, and organizes meaning. Native languages persist despite decades of oppressive practices intended to destroy their existence. New words are created by Native language speakers and efforts exist across all educational systems and communities to retain language. Tribal college leaders engage good practices in this area by preserving languages through various media such as video and oral recordings, offering Native languages in a variety of formats (conversation, reading, writing, public speaking, and linguistics), and by training teachers who are Native language speakers and/or who are capable of integrating language into their instructional practices. TCU faculty and staff must mobilize resources to focus on language revitalization, and despite their own lack of Native language knowledge, they must still use language as often as possible.

When Native Leadership Works: Nation-Building and Self-Determination

Effective leaders create approaches to education and community engagement that are responsive to the locations, characteristics, resources, and needs of their particular students and Tribes. These institutions were not established as public institutions with broad public missions but rather as tribal institutions with specific tribal missions. For example, the mission of Salish Kootenai College on the Flathead Reservation in Montana says "The College will promote community and individual development and perpetuate the cultures of the Confederated Tribes of the Flathead Nation" (Salish Kootenai College, n.d.). The mission of nearby Montana State University is "Montana State University, the state's land-grant institution, educates students, creates knowledge and art, and serves communities by

integrating learning, discovery and engagement" (Montana State University, n.d.). As a result, tribal colleges must create programming that not only provides an education that leads to careers and jobs, they must do in the context of unique cultural knowledge and experiences.

Tribal nations are clear in their commitment to sovereignty and self-determination. The expectation that their Tribally controlled educational institutions including TCUs focus on providing the support and resources needed to facilitate that commitment is well established. Commonly called nation-building, tribal education providers focus on the key characteristics and qualities of their Tribes. For our purposes, those characteristics can be categorized as follows: Native language revitalization, maintaining Tribal values and practices, and improving quality of life through governance, social, economic, and religious systems, and land use and restoration. Successful decision-making with scarce resources requires leaders who can scan the environment, analyze and plan with limited data, and prioritize allocation of resources for the highest return. Doing this well in our environment requires an understanding of Indigenous evaluation and decision-making. Indigenous evaluation is an emerging field in assessment and program development but is based on centuries of Indigenous experience. Basically, Indigenous evaluation is when a community determines what its priorities for action are, what successful outcomes mean, and the process by which those priorities and outcomes are linked. The community evaluates based on its own desires. Making decisions requires knowledge of community and Tribal assets and plans in the context of nation-building.

The focus on an Indigenous worldview in the context of Tribally controlled education increases the opportunities to build restorative practices. Culture in the forms of socialization, governance, art, social and economic systems, and kinship is the source of individual and community health and well-being. Tribal people need look no further than their own teachings to find a path to healthy living. Leaders throughout each TCU promote research and scholarship, help their colleagues and students see the links between their cultural knowledge and science, and create pathways for careers. Mobilizing resources that focus on community priorities requires executives, faculty, and staff with clear vision and access to support for creative approaches.

As shared earlier, language is a powerful reinforcement of identity and a key quality of nationhood, and leaders within the tribal college movement find a myriad of ways to mobilize around language restoration. This includes courses, curriculum development, teaching training, preservation,

and publication. TCUs create language teaching tools including dictionaries and pronunciation guides. TCUs also on their own or in partnership with local resources create immersion programs that provide language-rich educational environments in early childhood and through K-12 schools.

The centrality of language restoration efforts at TCUs strengthens their cultural mission. Academic and student support personnel at TCUs use descriptive Native languages and values to promote Native knowledge integration and its use as a tool for student success. For example, Navajo Technical University uses the Dine Philosophy of Education as the basis for its mission and identity: Nitsahakees (think to use your intellect)—Nahata (self-reliance)—Iina (bring into life)—Sii Hasin (wisdom) (Dine language font would use diacritics for these words).[3]

Creating Native visual images is also part of the leaders' role because images add value to pride and self-esteem at the institution and in the community. For TCUs, the very design of their buildings, the type of landscaping and artwork, and the layout of their campuses represent tribal pride. To physically establish an identity as a Tribal institution is an important to the effectiveness of a leader as the content of curriculum.

Throughout the organizational structure of TCUs, various opportunities to promote tribal practices and traditions are undertaken. These practices are normalized in TCUs in ways that are rarely seen in other public institutions. Many institutions use traditional ceremonies such as prayers, talking circles, sweat lodges, or smudging to promote healing, good thinking, and decision-making.[4] Social gatherings such as feeds and opportunities for tribal singing and dancing are common. These traditions are used by leaders to reinforce identity and cultural mission.

Responsiveness of TCU leadership to the needs of their communities is a hallmark of their existence. Delivering certificate and degree programs that are relevant for local employment opportunities, that educate technicians and managers, and which upgrade the skills of workers has been the focus on TCU academic and community education since their founding. TCUs also provide business information centers and entrepreneurial or small business coursework, and partner with tribal economic development entities and tribal businesses.

Serving in places where health disparities are rampant and mental and emotional health are often determined by the ability of individuals to cope with historical and present-day trauma, TCU leaders must be knowledgeable about and provide safe spaces, health education, and wellness services. Systems must be in place to address the impact of historical trauma

by bringing forward the collective knowledge of the community especially elders on how to heal from trauma. This approach leads the way for tribal communities to integrate traditional knowledge with contemporary circumstances to improve lives.

Leadership to address many of the most challenging aspects of contemporary Native life and restore healthy individuals and families requires collaboration, focused communications, and investment. Many TCU leaders, staff, and students attribute the success of the TCUs to the power of prayer and trust in the values of humility and modesty (McDonald, 2015).

Be a Good Ancestor

There are many ways to educate leaders and to affirm the unique ways that leaders function within specific types of institutions—leadership within tribal colleges blends ancestral knowledge, modern conditions, and contemporary skills. To be a good leader within a tribal college requires commitment to upholding and practicing tribal values, accepting and fostering relationships, and looking to the impact of decisions on future generations. It is not about the here and now—it is literally about the past and the future. The Seventh Generation Fund (7genfund.org), an organization that supports grassroots leadership and programs across Indian country, has a slogan most applicable to summarize this discussion. Their slogan—Be a Good Ancestor—captures respect for the knowledge and experience of tribal ancestors and the recognition that the decisions and actions of today are felt by future generations. Effective leadership in Tribal Colleges and Universities means being a good ancestor.

Notes

1. The Tribally Controlled College or University Education Assistance Act of 1978 established a definition of a tribally controlled institution to determine eligibility for federal funding. The definition is “an institution of higher education which is formally controlled, or has been formally sanctioned, or chartered, by the governing body of an Indian tribe”.
2. Kinship terms, such as calling someone cousin, auntie, uncle, grandchild, or a grandparent, are common and not dependent on either blood relationship or the person actually being closely related. Kinship terms extend broadly and are a sign of respect.

3. The font for the Dine language would add diacritical marks to these words creating the appropriate pronunciation. Such fonts are rarely available when printing for mainstream publication.
4. Talking circles are a dialogue format using a process of passing a talking stick or feather around a circle to allow everyone to speak, sweat lodges are a small covered shelter where prayer and singing occur and steam is used for cleansing, and smudging is the use of a traditional plant such as sage or cedar to cleanse individuals and space of bad influences.

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CHAPTER 3

Phoenix Rising: HBCU Leadership During a Period of Change

Larry J. Walker

Historically Black colleges and universities (HBCUs) are at a critical juncture. Increasingly states and the federal government are mandating that post-secondary institutions meet specific student five-year graduation and post-graduation workforce goals (Coates & Edwards, 2011). The stringent requirements create a quandary for HBCU leaders who must do more with less. Despite their success, HBCUs are underfunded and educate a higher percentage of first-generation college students from underserved communities in comparison to predominately White institutions (PWIs; Palmer & Maramba, 2012). Most people do not realize their problems exist because of systemic racism. For instance, the Coalition for Equity and Excellence in Maryland Higher Education filed a civil rights lawsuit against the state (Palmer, Davis, & Gasman, 2011). The litigants include Bowie State University, Coppin State University, Morgan State University, and the University of Maryland Eastern Shore. The universities are holding the state accountable for allowing other colleges to duplicate their academic programs over several years. After being forced into arbitration, each group is currently awaiting a judge's decision.

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Frequently, students from underrepresented and marginalized communities must overcome community, familial, and school stressors that impact attrition rates (Walker, 2015; Goings, Bristol, & Walker, 2018; Walker & Goings, 2018a). Because of the students they serve, HBCUs must balance admitting individuals who need additional academic, emotional, and social scaffolding with college completion requirements. It is a delicate high-wire act that has caused some HBCUs including Saint Paul's College to succumb to the immense pressure.

While some of the challenges are not unique to HBCUs, pundits focus on their struggles without acknowledging their history-producing leaders. They assert that HBCUs do not offer a return on investment (Walker, Palmer, & Goings, 2016). Increasingly some experts have questioned their viability and sought to shutter their doors. When HBCUs experience hardships, their leaders feel the brunt of unfair scrutiny from the media, state, and federal policymakers. Additionally, the increased political rhetoric has created an environment that has allowed anti-Black sentiment to flourish (Walker & Goings, 2018a; Williams, Burt, Clay, & Bridges, 2018). Therefore, countering societal misconceptions and stereotypes of HBCUs should include an accurate portrayal of the leader's accomplishments, practices, and positive traits.

Throughout their history, several current and former HBCU leaders including Johnnetta Cole (Spelman College), Norman Francis (Xavier University), William Harvey (Hampton University), and Mordecai Johnson (Howard University), among others, helmed institutions that thrived despite challenges including racism. For example, during Cole's tenure she secured millions of dollars, while Johnson was Howard's first African-American President. Harvey led Hampton's resurgence by changing the name (Hampton Institute to Hampton University), adding rigorous courses, and contributing and raising money for the university. Francis established Xavier as a leading producer of future physicians and other health care professionals (Hannah-Jones, 2015).

Their successes highlighted HBCUs' ability to recruit and retain talented higher education officials committed to educating Black students from various socio-economic backgrounds. They excelled at supporting student's needs, fundraising, recruiting talented faculty, and maintaining strong relationships with policymakers. Although Cole's and Johnson's tenures ended years ago, President Harvey continues to shape Hampton University's identity.

The aforementioned leaders navigated various barriers while focusing on improving student outcomes. Cole, Harvey, Francis, and Johnson's leadership styles and success provided a template for current administrators fighting to protect HBCUs' legacy. Today, HBCU administrators including Roslyn Clark Artis (Benedict College), Michael Sorrell (Paul Quinn College), and Aaron Walton (Cheyney University) are challenging traditional higher education models. For instance, Clark Artis is among a small number of Black women leading HBCUs during turbulent times. Acknowledging the obstacles Black and other women of color encounter in higher education is important (Gray, Howard, & Chessman, 2018). While several institutions have made progress, the number of women leading post-secondary institutions does not mirror student enrollment trends (DiPrete & Buchmann, 2013). Increasing the number of Black women in higher education, including HBCUs, must be a priority for boards and search committees.

Leaders including President Sorrell and President Walton have taken drastic measures in comparison to other HBCU administrators including eliminating university football teams and recruiting students from ethnically diverse backgrounds. The non-traditional approach adopted by Sorrell included turning Paul Quinn into an urban work college to lower student debt. Similarly, President Walton's efforts to shepherd Cheyney from the brink of closing included revamping the school's academic focus and collaborating with local businesses. Both faced resistance from alumni because of their non-traditional approach. However, they stood steadfast because transformational leaders understand the need to challenge conventional practices.

Frequently they placed the institutions' needs above concerns from alumni and higher education officials that believed the changes would precipitate the school's closure. Furthermore, it is important to highlight that while Cheyney continues its ascent, Paul Quinn, under Sorrell's leadership, has created a template that other colleges seek to replicate. Both leaders are attempting to propel small HBCUs with meaningful histories to the forefront. Cheyney University is the oldest institution of higher learning for African-Americans in the United States, and Paul Quinn's original mission included educating former slaves and their offspring.

Although the steps Sorrell and President Walton have taken are important, other HBCU leaders including Tisdale (Claflin University) implemented initiatives that transformed the university. After receiving funding from the Penn Center for Minority-Serving Institutions, Claflin

committed to an ambitious fundraising campaign that encouraged board members, faculty, parents, and students to contribute to the university (Jackson & Amparo, 2014). As a result, the university is flourishing. This is particularly important considering the challenges other small HBCUs have encountered including Morris Brown and Bennett College.

Frequently the success of HBCUs like Paul Quinn and Claflin are lost in a sea of negative publicity. Far too often, HBCU closures, loss of accreditation, and violence on campus are reported before an increase in graduation rates and/or exceeding capital campaign goals (Goings, 2016). Thus, changing the narrative must include acknowledging how some HBCUs are exceling because of administrators that utilize a variety of leadership frameworks (e.g., transformational, transactional, servant, and transpersonal). Highlighting the accomplishments of HBCUs and other minority-serving institutions (MSIs) is vital in a society that focuses on their deficits.

For this reason, this chapter outlines the steps institutions are taking to prepare students and administrators to become HBCU presidents. Furthermore, I utilize Kouzes and Posner's (2010) five practices of exemplary leadership to contextualize President Aaron Walton's (Cheyney University) decision-making process. In addition, the chapter includes recommendations for HBCU administrators and advocates.

Literature Review

The national narrative regarding HBCU leadership focuses primarily on scandals including mismanagement of funds, fights with board members, and declining enrollment (Commodore, Freeman, Gasman, & Carter, 2016). Rarely are their choices including consolidating academic programs and eliminating some athletic teams applauded. In addition, while there is significant research aimed at leaders at PWIs, higher education scholars have failed to properly deconstruct the practices of HBCU leaders (McCaffery, 2018). The gap in the research is problematic because the decisions HBCU administrators make are frequently scrutinized. Fortunately, academics including Commodore (2015); Walker, Goings, Spencer, McDonald-Lowe, and Palmer (in press); Freeman and Gasman (2014); and others have investigated practices that contribute to HBCUs' success.

For instance, Esters et al.'s (2016) report identified university stakeholder engagement including communication and positive board rela-

tions, ensuring strong faculty governance, and maintaining organized and effective senior-level leadership teams as factors that positively affect university relationships. Each trait is an important quality that correlates with institutional stability (Goetsch & Davis, 2014). Esters et al. (2016) asserted:

> In order to keep up, HBCU presidents need to be open to communicating with a wide variety of stakeholders across the higher education, business, community, and government spectrum. Having the ability to move in and out of various communities and to craft messages that appeal to a variety of audiences has become essential to success as a president. (p. 7)

The ability to effectively communicate with various stakeholders is a critical skill that could prevent misunderstandings that often sink some presidencies. This is particularly accurate as it relates to the relationship between university leaders and the board.

A report by the Association of Governing Boards of Universities and Colleges (2014) included survey data from HBCU presidents and board members. Respondents identified governance and leadership as one of several key factors. The majority of HBCU leaders have interchangeable skills that allow them to communicate with groups, including boards, that have fiduciary responsibility. In fact, the responses identified presidential leadership as an important factor to ensure good governance. For example, President Sorrell's decision to dramatically alter Paul Quinn's culture, educational framework, and athletic program reflects the kind of leadership and outside the box thinking that you only see in corporate America. Sorrell's background working for the Clinton Administration and a law firm has an undeniable impact on his decision-making process.

President Sorrell in addition to former Spelman President Beverly Tatum made dramatic changes that caused consternation among alumni and supporters. While Sorrell only excised the football team, Tatum eliminated Spelman's entire athletic program in 2013. The college decided to focus its efforts on health and fitness; the current model was not financially sustainable. Making unconventional decisions is key for current and future HBCU leaders. According to Cantey, Bland, Mack, and Joy-Davis (2013), "leadership and management of HBCUs and funding are inextricably linked. Strong leadership is quintessential to the survival and progression of any institution" (p. 147). Further, a study conducted by Freeman and Kochan (2012) identified core competencies needed for leaders in higher

education including the importance of finance, management, and complex cognitive thinking.

The majority of HBCU leaders understand how to identify and implement business practices that are sustainable. With smaller endowments, they depend heavily on state and federal appropriations in contrast to more affluent predominately White institutions. Freeman and Lee (2018) outline the steps HBCUs should take to ensure they remain in the Black:

> A typical approach to ensure that an institution is fiscally solvent is to conduct operational and strategic benchmarking. This helps an institution reassess why and how they utilize funds and the ways they do and if any changes need to be made. (p. 61)

This sensible approach aligns with research from Barr and McClellan (2018) that acknowledge the connection between management and fiscal responsibility.

In addition to ensuring universities are financially sound, HBCU administrators have obligations that are different from other leaders. For instance, a study conducted by Esters and Strayhorn (2013) looked at the challenges leaders from land-grant HBCUs from the early twenty-first century encountered. The researchers interviewed HBCU leaders and identified three themes: specifically, (1) the people's university, (2) serving the underserved, and (3) racial uplift and empowerment. Each thread is consistent with HBCUs' role educating students from marginalized communities.

Researchers (Gasman, Fluker, Commodore, & Peterkin, 2014; Palmer & Maramba, 2012) have chronicled the impact HBCUs have on Black students, specifically from underserved communities. The role HBCU presidents play guiding students with limited familial or community support is notable compared to leaders from other institutions. For example, a participant from Palmer, Davis, and Maramba (2010) suggested that his integration into the campus culture was precipitated by meeting administrators and faculty members. The point is important because Walker and Goings (2018a) assert that institutional support systems at HBCUs correlate with student success.

In another study, Walker and Goings (2018b) identified how university norms can help or hinder undergraduate outcomes. Similarly, throughout *Graduate Education at Historically Black Colleges and Universities: A Student Perspective* (Palmer et al., 2016), some of the contributors lament

the impact HBCU ecosystems had on their progress as graduate students. This is particularly important considering HBCU leaders' role in creating school cultures that allow students to embrace their racial identity.

HBCUs Are Incubators for Future University Leaders

Highlighting the role HBCU presidents play in developing a healthy campus culture, increasing enrollment, improving student outcomes, and overall leadership cannot be ignored. While some HBCUs are thriving, others have to identify and recruit new leaders that can circumvent various challenges. Consequently, it is important to discuss what steps HBCUs and other institutions are taking to strengthen the presidential pipeline. The retirement and announced retirements of HBCU stalwarts including Francis and Tisdale point to a growing problem in higher education. Increasingly presidents with several years of service are retiring. Freeman (2012) suggested, "half of the sitting presidents in the United States are over the age of 60. Thus, they are nearing the age of retirement. This poses a problem and makes the preparation of leaders to replace them of particular importance" (p. 1). Determining how to prepare a new cadre of leaders to oversee HBCUs is essential considering the barriers that must be overcome.

Overall there are several doctoral programs, initiatives, and centers committed to strengthening the HBCU leadership pipeline. For instance, Jackson State University offers a PhD program in Urban Higher Education. The program seeks to prepare students to hold leadership positions at post-secondary institutions. Recently, Herman Felton, President of Wiley College, completed Jackson State's doctoral program while leading his university. Felton is one of several alumni of the program that have leadership positions at historically Black colleges and universities.

Additionally, Howard University offers a PhD through the Higher Education Leadership and Policy Studies (HELP) program. Since the program's inception, students interested in serving as administrators at MSIs have gained valuable experiences including presenting at conferences, publishing, and developing relationships with mentors. The program's specific focus on MSIs offers students the opportunity to serve institutions with similar missions.

Other programs including Hampton University's Executive Leadership Summit bring together aspiring and current higher education leaders to

discuss a variety of relevant issues. For more than 15 years, Hampton's President Harvey has presided over an event that was the precursor to similar programs. Equally, the Higher Education Leadership Foundation created in 2015 aims to develop HBCU leaders through a colloquium or other activities including training and support. Both programs are important because of the obstacles African-Americans encounter in higher education.

A program that offers opportunities for mid-career professionals, the MSI Aspiring Leaders program, is sponsored by the Penn Center for Minority-Serving Institutions. The initiative seeks to strengthen the pipeline to the presidency for individuals from minority and underserved populations. Participants are assigned mentors that provide valuable feedback and guidance.

Overall, each program plays a vital role increasing opportunities for groups that have historically been shut out of the presidential recruitment process. Although the initiatives have been successful, it is important to ensure they are data driven, align with university needs, and undergirded by leadership practices. Leaders that are guided by reliable practices can avert problems and strengthen bonds with stakeholders.

According to Kouzes and Posner (2010), (1) *Model the Way* leaders exhibit behaviors that they expect others to emulate, while (2) *Inspire a Shared Vision* leaders collaborate with others to create a collective vision. In addition, (3) *Challenge the Process* leaders embrace innovation, and (4) *Enabling Others to Act* leaders empower colleagues by creating a team of individuals with varying opinions. Lastly, (5) *Encourage the Heart* leaders recognize the contributions of others and share group accomplishments. Collectively I used the principles as a lens to contextualize the decision-making process of Cheyney University's President Aaron Walton.

Preserving Cheyney's Legacy

Cheyney University was founded in 1837 by Richard Humphrey, a Quaker who decided to bequeath $10,000 to establish the institution. Initially known as the Institute for Colored Youth, the school was located in Philadelphia prior to a move to Delaware County, Pennsylvania. After a name change to the Cheyney Training School for Teachers, the school became Cheyney State Teachers College during the 1950s when the school became fully accredited. Since its inception the university has produced a variety of highly successful alumni.

This includes luminaries like Ed Bradley, former 60 Minutes correspondent, among others. Unfortunately, the school has encountered academic and financial challenges that have led opponents to assume its demise was near. However, over the last few years, proponents including Heeding Cheyney's Call have sought financial recourse by filing a lawsuit after years of unequitable treatment by the Commonwealth of Pennsylvania. The lawsuit relates to a 1983 agreement with the U.S. Department of Education, Office for Civil Rights, that in theory would force the state to remedy years of mistreatment. Recently, the Governor of Pennsylvania, Tom Wolf, in addition to other policymakers worked collectively to forgive millions of dollars of debt and support innovative programs. Fortunately, President Walton has been instrumental to Cheyney's recent growth.

Throughout the school's history, it was guided by leaders including Leslie Pinckney Hill and Wade Wilson. Today President Walton has made significant changes to avert the university's closure. This includes revamping academic programs, consolidating the athletic program, developing corporate partnerships, and meeting with policymakers and alumni to change the university's path. Similar to some of his contemporaries including Sorrell, President Walton had to make unpopular decisions that riled some alumni and university supporters, yet the choices were critical to the school's existence.

Model the Way

Often people look to leaders for guidance to solve complex issues. How they respond during difficult times can define their tenure. Kouzes and Posner (2010) suggest their values must align with their words. President Walton identified the importance of "transparency" and "core values" (A. Walton, personal communication, December 17, 2018). Both are reflected in his honest conversations with alumni regarding the challenges the university must overcome.

President Walton has held several conference calls, traveled to meet with alumni, and spoken during university-sponsored events to outline how he plans to save the university. Prior to eliminating the football team, he altered stakeholders and explained his rationale. It is important that leaders exhibit behaviors that establish trust with stakeholders. Furthermore, he removed staffers that did not reflect the university's renewed vision.

Inspire a Shared Vision

A key element of inspiring others to develop a shared vision is effective communication. Cheyney alumni want the university to remain open and continue the university's mission to educate students from underrepresented and marginalized populations. For this reason, President Walton had to identify external sources that could supplement funding the school receives from the state and federal government. He created the Cheyney University Institute for the Contemporary African-American Experience and "pursued public partnerships to monetize campus assets" (A. Walton, personal communication, December 17, 2018).

Partnerships with Starbucks, Epcot Crenshaw, and Thomas Jefferson University (medical school) mirror the school's commitment to identifying new resources. Both Epcot Crenshaw and Jefferson are partners through the newly formed institute. Moreover, the relationship with Crenshaw is expected to include building a facility on campus.

The memorandum of understanding President Walton signed with Thomas Jefferson includes allowing students to attend classes and have access to resources. Overall collaborating with Jefferson will help increase the number of Black physicians and nurses. Further, it will allow the university to position itself among HBCUs including Xavier that produce health care professionals from diverse backgrounds.

Challenge the Process

President Walton adopted a non-traditional approach to ensuring Cheyney's future. The university's dire situation required him to take risks. In addition to eliminating the football team, he shifted away from a humanities-focused curriculum to science, technology, engineering, and mathematics (STEM). President Walton also "transformed the organizational structure, upgraded talent, instituted performance management systems" (A. Walton, personal communication, December 17, 2018). Although the decisions may seem inconsequential for most post-secondary institutions, Cheyney required a bottom-up transformation.

He also initiated a culture change that emphasized a "sense of urgency" and "organizational discipline" (A. Walton, personal communication, December 17, 2018). Some experts would assert that these were elements that were missing from prior administrations. Additionally, he refused to accept that the university would close. Efforts to work with the Middle States Commission on Higher Education have given the university time to address concerns and retain its accreditation.

Enabling Others to Act

Empowering others to build a shared vision is linked to post-secondary institutions' long-term success (Roueche, Baker, & Rose, 2014). This is particularly true when it comes to Cheyney's future. Similar to other HBCUs, Cheyney University alumni have witnessed a constant change in leadership. The reality left graduates uneasy and concerned the school could meet a fate like Saint Paul's College. President Walton made significant changes to Cheyney's academic and financial structure but communicated with the National Alumni Association, Council of Trustees, and the Cheyney University Foundation.

Specifically, he welcomed opportunities to meet with each organization to develop a comprehensive strategic plan. Welcoming insight from stakeholders establishes trust and builds political and social capital. While alumni and the president may not always agree, it is important that there is a mutual respect. For instance, former football players and coaches were dismayed that the team was eliminated. However, President Walton explained that the university was out of compliance with Title IX, which is a federal policy to ensure gender parity in sports among other requirements. Schools that are not in compliance face sanctions including monetary penalties. A school like Cheyney could not afford further scrutiny from the U.S. Department of Education.

Encourage the Heart

Cheyney University has overcome enormous odds to stay open. While the road to solvency is littered with pitfalls, supporters remain resolved to protect its legacy. President Walton identified "wisdom, courage, and experience" (A. Walton, personal communication, December 17, 2018) as essential characteristics for HBCU leaders. Some leaders may take credit without acknowledging the role supporters played in changing the university's future. Consistently President Walton has lauded alumni, policymakers, and HBCU advocates without recognizing his vital role.

Leaders that *Encourage the Heart* innately understand that you cannot turn around an institution without support from various groups. Considering Cheyney's legacy and challenges, collaboration is the only option to ensure it remains open. Throughout his tenure, President Walton has implemented various practices that have shaped the university. If the upward trend continues, Cheyney can solve its financial problems while continuing to educate African-American students from predominantly underserved communities.

Recommendations

Leaders of HBCUs must circumvent barriers that presidents of other post-secondary institutions do not encounter. Racism, limited funding, antiquated infrastructure (physical and technological), and more Pell Grant eligible students are consistent reminders of de jure and de facto practices. Despite the enormous challenges, leaders including Sorrell, President Walton, Kimbrough (Dillard University), and others have emerged to challenge the status quo. Some experts may consider the allure of leading a PWI as an important career choice. Nevertheless, the appointment of experienced higher education leaders including Ruth Simmons (Prairie View A&M), formerly of Brown University, dispels that myth.

Although there is considerable work to do to protect HBCUs, they remain an important piece in the higher education puzzle. Consequently, identifying practices that could improve productivity and long-term success is vital.

1. *Financial Communalism*—Recently HBCUs including Bennett College face closure because they could lose their accreditation. Very few post-secondary institutions including HBCUs could survive after becoming ineligible to receive federal funding. The problems are the result of financial problems that continue to persist. Thus, HBCUs should consider creating a fund that allows other institutions to borrow from during times of need. Historically Black colleges and universities can no longer depend on last-minute pleas to protect their legacies. In the past financers including Marcus Garvey encouraged African-Americans to combine their resources. I believe we should revisit this concept. A HBCU Fund created and managed by stakeholders would send ripples throughout the higher education system. The idea is unconventional, but it could save several institutions.
2. *Advocating for Members of the LGBTQ Community*—Over the last few years, HBCUs have made progress creating a more inclusive environment. However, there is considerable work that must be done. Sometimes HBCUs forget that while they provide nurturing environments, subgroups have encountered problems on campus. Increasingly, researchers are focusing on the experiences of LGBTQ faculty and students, yet hostilities continue. Perhaps schools should develop and implement a LGBTQ-HBCU-focused framework specifically that focuses on accountability and fairness.

3. *Strengthening University Linkages*—Sometimes HBCUs do not properly communicate expectations and requirements to departments, faculty, and students. Relaying timely information to the campus community prevents confusion and builds trust. Because some HBCUs lack resources, presidents struggle to build an infrastructure that consistently keeps everyone informed. Changing inefficient practices is imperative in a society where information is shared instantaneously.

Conclusion

The choices HBCU presidents make are crucial to their long-term success. In contrast to leaders from PWIs, the wrong decision could contribute to a school's downfall. The margin for error is small. HBCU administrators that attempt to think "outside the box" could face ridicule or create a paradigm shift that transforms higher education. Leaders including Sorrell have been recognized nationally (e.g., *Forbes* magazine) for developing a student-centered philosophy that provides a return on investment.

Fortunately, Sorrell is not an outlier. Other leaders including President Walton and Kimbrough are challenging traditional norms. Their choices highlight how unconventional practices can propel schools to success. For this reason, it is imperative we acknowledge their hard work and accomplishments. For example, President Walton steered Cheyney away from losing its accreditation and convinced the state to forgive millions of dollars in debt. Each triumph highlights how HBCU presidents must do more with less. Overall, we must recognize that presidents of HBCUs are among the nation's most talented and innovative leaders.

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CHAPTER 4

Lessons Learned from Supporting HBCU Leaders in Implementing Student Success Practices

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Colleges and universities are under increasing pressure to demonstrate their value to a public that is becoming increasingly skeptical that it is worth the investment. A recent survey by *The Wall Street Journal* echoed these results, demonstrating that most young adults agree that college is not worth the cost, and survey respondents have become more skeptical of higher education over time (Mitchell & Belkin, 2017). Much of this skepticism is driven by the fact that far too many students leave college without graduating and those who complete and graduate leave college

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with more and more debt, averaging nearly $17,000 for those who graduate and $28,000 for those who do not, a total that continues to grow every year (The College Board, 2017). The issue of college costs and completion is especially burdensome for Black students who complete college at rates nearly 20 percentage points lower than the national average than their peers and even upon earning a college degree, are five times as likely to default on their loans than their White peers (Nichols & Evans-Bell, 2017; Scott-Clayton, 2018).

A skeptical public means elected officials are under pressure to respond to this scrutiny. In return, officials look to hold campuses more responsible for student outcomes, ensuring that students get what they came for, and that it comes at a cost that is not too burdensome for society. This means policy makers are increasingly making their financial support for colleges and universities dependent upon how well colleges and universities are able to graduate students, and how successful those graduates are at finding employment and paying back their student loans. At the state level, this is called performance- or outcomes-based funding. In the 35 states that now have or are in the process of transitioning to outcomes- or performance-based funding, at least a portion of their financial support for public higher education is determined by colleges' or universities' outcomes, like graduation rates. The result in many states is that campuses like Historically Black Colleges and Universities (HBCUs) that serve larger proportions of low-income students and students of color get less performance- and outcomes-based funding than their peers, which reinforces historic funding inequities (Jones et al., 2017; Hillman & Corral, 2017).

At the federal level, there is no performance- or outcomes-based funding system because the funding goes directly to students through the Title IV financial aid programs. However, in order for a college or university to be eligible for financial aid programs, campuses must be accredited, follow federal laws, and meet any additional eligibility criteria. On average, colleges and universities receive more support through the federal financial aid system than they receive from direct state funding. This means the federal government could and will likely use the upcoming reauthorization of the Higher Education Act to more closely align financial aid eligibility to outcomes, such as graduation rates and student debt.

These policy shifts mean that HBCU leaders are under more pressure than ever to increase student success by graduating more students and ensuring they are successful after graduation. Although most would argue that HBCU leaders have always been focused on student success, leaders

are under more pressure to implement practices believed to increase student success as defined by college completion. The aim of this chapter is to describe what we know about HBCU leadership and lessons learned from two initiatives that engaged HBCU leaders in the adoption of student success practices in order to boost college completion and student outcomes.

What Do We Know About HBCU Leadership?

The figurehead both practically and symbolically of a college or university is the president. Whoever takes the position is often seen as the living logo for the institution. In more recent years, increased attention has been paid to the position of college or university presidents (Freeman, Commodore, Gasman, & Carter, 2016; Keith, Brodie, & Banner, 2005). In particular, the presidency within the Historically Black College and University (HBCU) sector has emerged (Freeman et al., 2016).

The mission of HBCUs is to provide an education for Black students, including those who need additional support academically. This mission has caused many of them to receive great criticism within higher education (Hamilton, 2002). Presidents of HBCUs are often blamed for being autocratic, and the mission of these institutions are said to compromise the quality of academics while upholding segregation (Hamilton, 2002). The mission and plight of HBCUs situate them within a distinctly different context than predominantly White institutions (PWIs), which potentially affects campus decision-making and leadership practices (Drewry, Doermann, & Anderson, 2001).

In line with the current higher education landscape, HBCUs are faced with the challenge of aging presidents (ACE, 2012). However, presidents at HBCUs on average are older than their counterparts at PWIs and also experience a quicker turnover rate (Freeman & Gasman, 2014). In addition, HBCU presidents are plagued with issues such as board relations, high turnover, lack of resources, and a shift in policies that do not support the institution's mission (Fort, 2013; Schexnider, 2013).

After interviewing current presidents, board members, and presidential search consultants, Freeman et al. (2016) determined in order for a president of an HBCU to be successful, he or she must have (a) a vision, (b) communication with a diverse group of individuals, (c) skills to fundraise, (d) entrepreneurial skills, (e) the ability to understand and negotiate with faculty, (f) the ability to work effectively with a governing board,

(g) the spirit of collaboration, (h) spirit of service, (i) respect for traditions, and (j) the ability to make data-driven decisions.

However, the president is not the only important role in governance at an HBCU or any institution of higher education. It is important that HBCUs develop an institution-wide definition of shared governance to minimize misunderstanding about the meaning of and process for decision-making (Minor, 2004). Campuses typically define shared governance in three ways: (1) collaborative-collective decisions are made; (2) stratified decisions are made according to the decision type; and (3) president has the decision-making power but consults with campus before the final decision is made (Minor, 2004). However, shared governance at HBCUs is viewed differently in comparison to PWIs. Minor (2005) determined that 69% of faculty at HBCUs believed that shared governance was important compared to 84% of faculty at PWIs. In addition, 69% of HBCU faculty believed that trust between faculty and the president was sufficient compared to 77% of faculty at PWIs.

Phillips (2002) concluded that there are four critical areas of shared governance affecting HBCUs: (1) lack of faculty representation on decision-making committees, (2) lack of faculty representation for searching and hiring academic positions, (3) lack of faculty involved in peer and administrators' evaluations, and (4) lack of faculty involved with the development and revision of faculty. The slow transition to reach shared governance with HBCUs is still evident as Davenport (2015) states "that faculty members at HBCUs, although responsible for student learning at HBCUs, are not active in the leadership of these schools. In fact, lack of shared governance is one of the biggest barriers to faculty advancement and development at primarily African American institutions" (p.43).

Lewis (2011) provided the challenges encountered in achieving shared governance at HBCUs. He determined that decisions made without the input of faculty might result in choices that have a negative impact and may create barriers to enhance HBCUs' success. Initiatives that were productive were guided by collaboration between faculty governance structures and administration (Lewis, 2011), which is aligned with what Freeman et al. (2016) determined from their study.

Lewis (2011), Minor (2005), and Freeman et al. (2016) have shown that ideally the role of faculty and other stakeholders involve clear articulation of participation in meaningful governance roles within a shared institutional decision-making process. The more recent literature also exhibits how many HBCUs are growing to appreciate faculty's professional

development and its voice in curriculum and other matters on learning and student success (Davenport, 2015). Many are coming to realize that shared governance is critical in order to achieve the educational goals of HBCUs (Davenport, 2015). This chapter will describe lessons learned from strategic efforts to support HBCU leaders through shared governance as they implement student success strategies, and the implications for leadership transitions.

Lessons from the Field

Leading HBCUs Through Remediation Reform

Since the establishment of HBCUs, these institutions have collectively championed access and opportunity for Black students (Allen & Jewell, 2002). HBCUs serve as an important educational, economic, and social function in America by sustaining a pipeline of educated Blacks (Brown & Davis, 2001). Most, if not all, HBCUs have taken on the mission of providing access to higher education for Black students who might not otherwise gain admittance to four-year colleges. Access and student development has and continues to be a major part of the mission at HBCUs (Minor, 2004). For many HBCUs, access has manifested itself through admitting students who may not be "prepared" but providing them with supplemental education such as developmental education to help them succeed in higher education (Brown & Davis, 2001). As HBCUs seek to fulfill their mission, it is imperative that HBCUs provide extra academic assistance as more than 70% of Black students are required to take some form of developmental education (Preston, 2017).

Public HBCUs are supported by state and higher education systems that have various developmental education policies to address the concerns of underprepared students (Bustillos, 2012). Some of these policies focus on traditional college students, while others address the needs of non-traditional students or adult learners. Over the past 30 years, policies have either reduced, eliminated, or shifted where and how remedial education is offered (Bustillos, 2012).

In recent years, there has been a shift in state policy, where states are questioning the efficacy of remedial education, which may threaten the role that HBCUs play in assisting many Black students who are trying to gain access to college. At least 14 states, half of which are located in the southern hemisphere of the United States, have policies that were barred,

restricted, and/or reduced state funding to provide developmental education courses at four-year institutions (Parker, 2012).

Although the education offered by HBCUs have become more sophisticated over the years, they continue in their mission to educate students that might be labeled as "underprepared" as well as "prepared" students. The mission at HBCUs enables them to provide "academic remediation, environmental support, and cultural relevance that appears to minimize the effect of differential pre-college preparation" (Brown & Davis, 2001, p. 44). HBCUs are situated to provide effective developmental education courses that enable students to persevere, after being labeled "unprepared," obtain degrees, and eventually enter into the work force (Davis, 1998).

The governance issues confronting HBCUs are not only internal issues; they are external issues, especially as it pertains to developmental education. HBCUs tend to operate as an extended family assisting students with their needs, feelings, prejudices, skills, and limitations (Bolman & Deal, 2013). However, state systems see institutions of higher education as a survival of the fittest, in which institution can gain the prestigious status, or meet the required completion rates in order to receive funding, hence why many state systems are addressing developmental education. For many HBCUs this is causing conflict due to the difference in needs, perspectives, and educational approaches taken by HBCUs (Bolman & Deal, 2013).

Before any HBCU can combat state policies to continue offering developmental education, it is important for all governing bodies of the institution (board of trustees, president, and faculty senate) to understand the importance of HBCUs offering developmental education. In order for this process to work, where HBCUs, policy makers, and students benefit, there must be a joint effort. HBCUs and policy makers need to collaboratively construct guidelines to ensure HBCUs and other minority-serving institutions (MSIs) can provide an education for the students they attract at a cost-effective price while having a positive outcome. More importantly HBCUs' body of governance must work together to ensure the academic success of their students.

Oftentimes when addressing educational issues, institutions of higher education look for successful strategies and methods implemented by other institutions. In most instances this is a great strategy; however, the leaders of these institutions must place into context the institution and the

level of preparedness of the student. The Southern Education Foundation (SEF) developed the Minority-Serving Institution (MSI) Consortium for Innovation and Change to highlight and support state-of-the art initiatives that effectively improve the practice of developmental education. The purpose of the MSI Consortium is to advance the capacity of the chosen institutions to assess and articulate student-learning outcomes and improve the delivery of campus financial services and pilot various strategies to potentially reduce the cost of attendance. As the SEF sought to align their mission to a broader commitment to identifying best practices and proven interventions that may better assist low-income students and students of color, they invited two HBCUs, Morgan State University and Claflin University, to become a part of the MSI Consortium, along with four other Hispanic-Serving Institutions.

Morgan State University (MSU) is a public four-year HBCU in Maryland with a population of about 6300 undergraduate students. Morgan State University developed and implemented an integrated curriculum for nearly 60% of the first year students who require developmental education, while the remaining 40% took traditional developmental courses. Faculty members were instrumental in the project, as they developed the integrated course syllabi and selected a textbook centered on the history curriculum. The faculty chose a textbook that took an Afro-inclusive approach to history in order to support a positive academic identity for their majority Black student population. Students who took integrated developmental courses outperformed students in regular developmental courses in two out of the three courses, history/developmental reading (82.58% vs. 75.73%) and history/developmental writing (78.3% vs. 73.8%).

Claflin University is a private four-year HBCU in South Carolina with a population of about 2000 students. Claflin University implemented the extended courses or co-requisite model for students who were identified as needing developmental education in English or math. Over a four-year period, Claflin placed 25% of the students who required developmental education in an extended English course with mandatory attendance at the writing center, and 29% were placed in an extended math course with lab assistance. The remaining students who would require developmental education were placed in entry-level college math and English, but attending the writing center or math lab was optional. In the writing center and math lab, students were able to take advantage of individualized assistance

from a group of peer tutors. However, we later discovered the interventions were disrupted by a couple of factors throughout the school year. First, students who were required to attend the writing center and math lab discovered this was not a requirement of all students, and those students who were required to attend additional tutoring stop attending. Second, the peer tutors were not required to attend class; in effect tutors were not consistent with what was being taught in the classroom. Due to the inconsistencies, students were not seeing desired results and stopped attending the mandatory labs. Since then, Claflin now requires all tutors to attend class to ensure that the tutoring sessions are consistent with the lessons being taught in class.

From a shared governance perspective, SEF determined that through student success efforts faculty and staff must first support and encourage the students. In return the faculty and staff must have the support and encouragement of the administration. While coming up with innovative and creative ways to support students in any academic success effort is great, it is meaningless if those working with the students do not believe in their ability to succeed. Faculty and staff must take an anti-deficit-based perspective, particularly among Black students. This can be done by recognizing students' strengths and seeking to build them (Howard, 2012). Through a culturally responsive pedagogy, instructions will be able to identify rich and varied cultural wealth, knowledge, and skills that their students bring with them, and seek to develop revolutionary teaching practices, multicultural context, multiple means of assessment, and a philosophical view of teaching that is keen on nurturing students academically, socially, emotionally, culturally, psychologically, and physiologically (Howard, 2012).

This type of approach was seen through Morgan State University and Claflin University during their student success initiative. Through several campus visits and in-depth conversations, SEF was able to see first-hand just how impactful relationships are between faculty/staff and their students. It was clear the faculty and staff at both Morgan State University and Claflin University believed their students could succeed, as shown by their interactions with students.

During our visits, faculty and staff reflected on how they provided additional support outside of the classroom to ensure students grasped the information taught in class. Faculty and staff made sure to be accessible to

their students; one instructor provided her cell number and created a group chat with her students via text messaging. Additionally, instructors of the course were flexible in recognizing life circumstances outside of the classroom (i.e. full-time job, children, athletics, etc.). One instructor even changed the format of the class on Fridays based on students' attendance and performance. The ability of faculty and staff to recognize the significant role students played in instruction allowed for student-faculty/staff relationships to be fostered and provided better support for their students. More importantly, it allowed for faculty and staff to learn what worked and what did not work in the classroom.

In order for faculty and staff to provide such support for students, they must in return receive that same support and resources from the administration of the institution. It is imperative that faculty and staff receive the proper professional development to ensure their students' succeed, and the support cannot stop just with professional development. Any of the conditions faced by faculty and staff must improve. Providing more competitive compensation packages, more robust instructional materials, more updated and user-friendly textbooks, adequate space and time to meet with students, and most importantly including them in the decision-making process, would help faculty tremendously in their efforts to promote student success.

HBCUs and the Optimizing Academic Success and Institutional Strategy (OASIS) Initiative

In 2016, The Education Trust identified institutional leaders from ten minority-serving institutions that were committed to increasing college completion and student success. The ten minority-serving institutions, both Hispanic-Serving Institutions (HSIs) and HBCUs, participated in a network called Optimizing Academic Success and Institutional Strategy, or OASIS. OASIS includes three HBCUs, six HSIs, and one urban research university with a large Black student enrollment—together enrolling over 220,000 students, more than half of them students of color, with Pell enrollment ranging from 40% to 79%. Other criteria utilized to select the institutions included institution size, having a high percentage of Pell Grant-eligible students, significant enrollment of students of color, and relatively new leadership.

The HBCUs included in OASIS institutions were:

Maryland: Morgan State University (HBCU)
North Carolina: North Carolina Central University (NCCU) (HBCU), North Carolina A&T State University (HBCU)

Each campus had the following characteristics:

- *High percentage of Pell Grant-eligible students*—institutions enrolled 41% to 76% Pell Grant-eligible students;
- *High percentage of students of color*—institutions selected were either HSIs or HBCUs, with the exception of the University of Memphis, which enrolls approximately 40% Black students;
- *Larger institutions*—the entire cohort of ten institutions impacts almost 250,000 students;
- *Lower graduation rates*—institutions' six-year graduation rates ranged from 34% to 57%;
- *Newer leadership*—presidents/chancellors' tenure ranged from one to seven years; provosts' tenure ranged from less than one to two years.

The goal of the network was threefold. One was to expose the institutions to leading student success practices in hopes that they would implement, adopt, or refine the practices on their campuses. The second goal was to create a network of institutions where similar institutions could engage and work with one another to create a peer learning community. Finally, a data tool was created and provided to the institutions with metrics designed to help them focus on bottleneck/problem areas for students. The goal of the data tool was to get the institutions in the habit of utilizing data to identify problem areas, and then implementing the most impactful practice to address the concern.

Participants

In order to effect organization-wide change across the campus, you must have the appropriate leadership members at the table. On a campus, practices and strategies are often implemented in a siloed manner, with each division implementing what works best for their staff and trying to address the unique challenges for their divisions. We knew that the lessons to be learned from OASIS would be lost if key members on the campus were not in attendance altogether. To that end, OASIS invited a team from each of

the ten campuses to be engaged in the program. Each team was to include the president or chancellor, the provost, the vice president of student affairs, the director of institutional research, and the director of enrollment management. As we quickly learned, many campuses also created vice provost of student success positions whom we also invited to participate.

These teams worked together throughout the initiative and indicated that they really valued the time together as a team because they rarely found time to do so when they returned to campuses. Also, problems could be resolved in real time because the decision-makers were at the table together.

Practices

The Higher Education Landscape is rich with information about which student success practices have the most impact. The Education Trust assessed many of those practices and decided to focus on the following practices:

Student Success Practices

Student Advising and Course Scheduling Practices

- Adopt mandatory/intrusive advising policies
- Develop meta-majors, default scheduling pathways, and academic (major) maps
- Implement block/structured scheduling for first year students
- Emphasize 15 credits per semester
- Reexamine dropping, withdrawal, holding, and registration policies and course scheduling
- Implement early alert system

Data Analytics

- Perform baseline analytics to assess need areas (using the Ed Trust practice guide)
- Use predictive analytics to identify at-risk students
- Analyze and report data each semester (fall and spring of each year) to assess progress

Developmental Math Intervention

- Course redesign
- Statway and Quantway (Carnegie Foundation for the Advancement of Teaching)
- Mathway (UT Austin, Charles A. Dana Center)

Through an initial institutional survey of the OASIS institutions, many of the institutions indicated that they were in different stages of implementing many of the student success practices. During each network meeting, practitioners and organizations presented resources and shared lessons learned

from the implementation of each of these practices. The leadership teams were able to glean information from these presentations and utilize the information to implement or revise the practices on their campuses.

Program Structure

OASIS involved several key components, which created a high-touch program structure:

Network Meetings. Leadership teams from each OASIS institution came together for five two-day network meetings over the course of 18 months, in which the teams learned evidence-based, practical, and often innovative solutions from one another, and from experts from across the country on a variety of student success and change management topics—all while building long-term relationships to support future student success work.

Site Visits. Over the course of 18 months, we conducted two site visits to each campus to observe progress and challenges, to learn what makes each institution unique, and to build trust as helpful outsiders. The site visits also provided an opportunity for Ed Trust to share resources and lessons learned from the other institutions in the network.

Coaching with Monthly Phone Call Check-Ins. The Ed Trust Higher Education Practice Team also kept in touch with each institutional team to coach, listen, and share resources through regular phone calls. The calls also provided the campuses with an opportunity to review their progress as they prepared for the calls and time to analyze and review their data.

The Essential Metrics

Institutional leaders who look closely at data can see where students hit barriers. Normally institutions track graduation and retention rates as the only measures to show student progress and success. Because we believe that multiple metrics should be utilized to assess progress and to shine a light on potential problematic areas, OASIS campuses follow four metrics that may be helpful to the campuses in completion and overall student success, all disaggregated by race and Pell Grant status. Those metrics assessed are retention, credit accumulation, course success rates, and developmental math.

Retention: Determines the rate at which an entering cohort of students re-enrolls each semester for their first two years.

Credit Accumulation: Tracks credit accumulation of first-time, full-time students and monitors progress toward timely degree completion through the first two years of enrollment.

Non-success Rates: Identifies the students with the highest non-success rates in the courses with the highest numbers of withdrawals and students that receive a grade below C.

Developmental Math: Determines the proportion of undergraduate students who complete developmental math coursework, and then enroll and complete a credit-bearing math course within one year.

With only an 18-month window, we knew that we would see very little movement in the data points. However, after three data submissions, we were very pleased to see an approximately 10% improvement in the percentage of students on track to graduate in four years for several of the institutions. We encouraged the institutions to continue with the data collection in hopes that they will continue to see progress in their student success rates.

What Made OASIS Different—And Effective?

Two things primarily drive the OASIS difference: institutions, with their senior leaders, build a culture of improvement in cross-divisional teams that will sustain new practices—and they base all their decisions on data. Here's how:

- *Cross-Divisional Teams.* OASIS teams include representatives of formerly siloed divisions across each campus. Senior leaders from academic and student affairs, institutional research, enrollment management, and academic advising bring their skills and perspectives to the work.
- *Culture of Data.* Teams become fluent in using data to understand and to solve problems.
- *Learning Evidence-Based Practices from Peer Experts.* OASIS teams from across the country share evidence-based practices in OASIS network meetings, and as peers they discuss how to tailor them for their home campuses.
- *Institutionalized Change.* As practices are systematically implemented, the OASIS culture of collaborative improvement, data, and evidence-based practices is built into the bones of the institution, and can withstand transitions in senior leadership positions.
- *Leadership Commitment.* Presidents and provosts lead efforts and learn how to manage change and sustain the process of improvement.

Lessons for Supporting Student Success Efforts

Lessons for Practice

We learned a good deal about how institutions can make lasting change to increase completion. We have seen how important both teams and leaders can be, and how data enables institutional leaders to see problems and solutions more clearly. Also of importance is not underestimating the dedication time and effort that is needed to develop trust with institutions that operate within the proud history and distinctive cultures of America's minority-serving institutions. Below are several lessons learned that can impact student success at HBCUs.

1. The entire leadership team must be engaged and involved in implementing student success strategies and analyzing and understanding the data. This type of engagement should decrease turf battles and should focus all funding discussions on the student success goals. The president and provost are key in leading these efforts and setting the tone across the campus. Setting the tone requires consistency, transparency, solid decision-making, and alignment of resources. Implementing student success strategies also takes a significant amount of time and is often impacted by changes in leadership, highly visible scandals, and lack of necessary funding.
2. Each role on the leadership team is unique in regard to student success efforts.
   - President: The president/chancellor must set the tone at the top—not only in word but in actions and in funding allocations. We saw this demonstrated by president who talked about OASIS and prioritizing student success efforts in their opening convocations, by encouraging provost and the other team to fully participate in OASIS. On our site visits, many presidents talked about how they were allocating scarce resources to hire additional advisors, or to purchase software needed to track students' progress. By setting the tone, the president makes it easier for provosts to make changes and implement different strategies across the campus.
     – North Carolina A&T State University: Setting the tone at the top is critical for implementation of student success efforts. NC A&T embraced this idea by creating a campus-wide student success committee—the University Advisory Committee for

Student Success. This committee, chaired by the chancellor, included senior administrators, faculty, staff, and students. This committee met periodically and discussed campus-wide student success initiatives. Many of the members of this committee attended OASIS network meetings, and the campus committee provided them the vehicle to bring back ideas to the campus. One such example involved course redesign. Florida International University faculty and staff gave a presentation at an OASIS meeting about the evolution of course redesign efforts on their campus and provided strategies and tips for other campuses considering those efforts. The NC A&T team took the lessons to heart and discussed the information with the University Advisory Committee for Student Success. The committee supported the efforts and the team began working with several faculty to increase course redesign efforts in math courses. Having a committee at this level, chaired by the chancellor, was very impactful in setting the tone at the top.

- Provosts: Provosts are the lynchpin to any student success effort. They are often tasked with leading student success efforts and often manage all of the key departments responsible for advising, supporting, and tracking student success. Provosts also have the responsibility for leading the faculty in understanding how their roles are vitally important to student success.
- Vice President of Student Affairs: VPs for student affairs work with the heartbeats of the institutions—the students. They understand how to engage and communicate with the students, and know how students believe their college experience should be. VPs are critical to student success efforts in that they have critical insights into students that should be utilized in the planning and communication of any student success strategies.
- Enrollment Management: Enrollment managers have a vested interest in student success initiatives as they are responsible for getting and retaining students for the university.
- Institutional Research (IR): While this group has access to the most data, we found that they either could not get anyone on campus to listen to the information they could provide, or simply did not have the staff, resources, and tools needed to make data actionable. Many IR departments were still focused on utilizing data for reporting and compliance purposes, as opposed to

utilizing data as an analytical tool. For any student success effort to be impactful, a campus must have strong, accurate data, and must have the skilled staff who can make the data available to the campus in a way that is easily understood.

3. Data is an imperative. Many of the institutions were at the beginning stages of making the shift in their institutional research departments from being solely focused on using data to comply with required reporting functions as opposed to utilizing data analytics to understand what is happening with the students. This area often requires additional resources by way of proper software and the staffing needed to bolster these units.
   - Data should be made available to faculty and staff.
     - Both Morgan State University and Claflin University kept data on students who required developmental education through the MSI Consortium. Through the data collection process, faculty and staff were able to determine the areas of success for students taking developmental education, and make adjustments in areas that did not meet their expectations. Once the faculty and staff were exposed to the data at Claflin University, they were able to make the needed adjustment of having the peer mentors in the classroom in order for students to reach the desired outcome. Morgan State University was to explore the option of extending their integrated curriculum to the biology department after faculty and staff were exposed to the data that showed the success of students involved in the intervention.
   - Faculty should be held accountable for the success of their students.
   - Funding decisions should be made based on data.
     - North Carolina Central University: After the first OASIS network meeting, the provost at NCCU was energized around the use of data. One of the OASIS institutions presented information on how they provided data to each dean about the success rates of all of the classes offered in their college. NCCU realized that they had not been providing this type of data to the deans and faculty and noted that they could not fault the faculty for not seeing the bigger picture in regard to student success and retention rates if they had never seen the data. The provost asked the IR department to analyze and present the success rates of every class on campus to the deans, even allowing the deans to see the data for other colleges. Several of the

deans were shocked and embarrassed at the rates for their colleges. The provost and chancellor challenged the deans to work with their faculty to increase these rates and promised to assist them as much as possible by providing resources to help improve the rates. The provost and chancellor also indicated that the metrics would be utilized as a part of the annual evaluation process for deans. This is a clear example of HBCU leadership setting the tone from the top and working to embed the use of data into the fabric of the institution.

4. Working within a focused network allowed time and space for the institutions to learn from each other. We believe the higher education space underestimates the value of peer-to-peer learning.
   - Another accomplishment is the bond that was created between peer groups. Over the course of OASIS, we conducted activities where the teams were divided based on their functional role—that is, all enrollment managers, all provosts, and so on. We also allowed time for the groups to have dinners together. This was so successful, that a couple of the groups asked for additional time to meet outside of the OASIS network meeting. Some of the groups are still in contact today and have made lifelong friends. This was significant in that practitioners rarely have the chance to get to know and work with other practitioners in their field who they can reach out to for resources and ideas.
   - At the conclusion of the analyses of their respective interventions, SEF further engaged Claflin University, Morgan State University, and the other four MSI campuses, along with other stakeholders in the field at a convening. During this convening each institution was given the platform to discuss their programs. The sessions gave stakeholders the opportunity to engage on topics concerning successes, failures, and other details about the implantations of the programs. The diversity of stakeholders in attendance opened up an opportunity for engagement between faculty, administrators, funders, and policy makers that are often lacking in the higher education space. More importantly, the initiative provided time, space, and resources for institutions that often lack resources and are often left out of the conversation.
5. One size does not fit all when attempting to meet the needs of your students. The MSI Consortium for Innovation and Change demonstrated the importance of offering multiple options for the

multiplicity of students' needs that may exist on a college campus. Although multiple academic interventions may take a concerted effort and additional resources for campuses to transition from offering one or more options, they will see a return on their investment in the form of increased retention and completion.

6. Another lesson learned is that turnover is inevitable. This is true of senior-level positions as well as director-level positions and other content knowledge experts. In many cases, programs and initiatives usually halt upon the departure of a person. These initiatives highlighted the need for systematized, institutional-level changes so that the culture of collaborative improvement, data, and evidence-based practices is built into the bones of the institution, and can withstand transitions in any position.

Lessons for Policy

Many assume that because many HBCUs provide access to students who are low income and have various levels of college preparation, they have worse outcomes, and therefore accountability policies will result in less funding and ultimately to the demise of HBCUs. This is not entirely true. First, the assumption that HBCUs have bad outcomes, even as defined as completion rates and student debt, is not entirely true. For example, there were no HBCUs on the warning or failing list under the gainful employment regulation, and in 2017, 100% of HBCUs met the cohort default rate requirement. HBCUs on average do have lower graduation rates than the national average; however, when comparing HBCUs to peer institutions that serve similar proportions of low-income students, HBCUs have higher graduation rates (Nichols & Evans-Bell, 2017).

When looking at outcomes beyond completion rates and cohort default rates, there is an even brighter picture for HBCUs and the value they bring to students, higher education, and the greater community. For example, HBCU students report higher levels of satisfaction and more frequent and higher-quality interaction with faculty and mentors (Seymour & Ray, 2015). Higher education still underserves Black students, especially in among four-year non-profit universities, thus only enrolling less than 10% of Black students; HBCUs contribute more than their share of Black degree recipients in critical areas like teacher education, STEM, and professional and graduate degree programs.

Despite these achievements, as designed, some accountability systems like performance- and outcomes-based funding result in HBCUs getting less funding than their peers. To ensure that accountability systems do not punish institutions for providing access and focus on incentivizing campus leaders to adopt effective practices requires us to rethink our policy approach. Thus, moving forward, state and federal accountability systems that are aimed at getting colleges and universities to do what is best for students should define and reward success as not only as outcomes for all students, but equitable enrollment and outcomes for low-income students *and* students of color, and increase *and* sustain investments in low resource campuses, to support the implementation of strategies that improve equity and completion.

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CHAPTER 5

Engagement, Innovation, and Advocacy: Presidential Leadership at Historically Black Colleges and Universities and Hispanic-Serving Institutions

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If one is to believe the higher education media, the presidents of Minority-Serving Institutions (MSIs) are regularly making mistakes, mismanaging funds, and resigning or being fired. Unfortunately, we rarely hear about the positive contributions of MSI presidents to their campuses. In this

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chapter, we examine positive portrayals and contributions made by those at Historically Black Colleges and Universities (HBCUs) and Hispanic-Serving Institutions (HSIs). We are particularly focused on the way these presidents engage with constituencies, bring about innovations, make changes, and foster stability to their campuses, and how they advocate for their communities.

Literature Review

This literature review examines the trends of leadership in the field of higher education, how the research on institutional leadership has evolved over time, and how effective leadership in higher education has been defined.

Until the mid-to-late 1980s, much of the research on leadership focused on the business, military, and government sectors (Birnbaum, 1989). Following a study on unusually successful administrators in higher education, Cameron and Whetten (1985) asserted that there are eight principles of effective administrative leadership that contribute to the success of an institutional leader, and overall success of a college or university. Effective leaders place an equal emphasis on process and outcomes; are willing to take risks and have a low fear of failure; have the ability to effectively manage internal and external stakeholders; possess the ability to distinguish between "taking responsive action and acting responsibly"; leave a distinctive imprint on the histories of their institutions; error in favor of over communication, especially during times of flux; respect the power of organizational cultures; and preserve and highlight sources of opportunity at an institution at any cost (Cameron & Whetten, 1985, p. 40).

Similar to the work of Cameron and Whetten, many other researchers have sought to identify characteristics that may predict the success of an administrator (Patrick & Carruthers, 1980; Gilly, Fulmer, & Reithlingshoefer, 1986; Seldin, 1988). These studies sparked a discussion on how leadership is perceived and discussed. According to Birnbaum (1989), most of the early studies on higher education leadership focused on leadership with an emphasis on "followship," were atheoretical, and were not grounded in the literature on organizational leadership.

Birnbaum (1989) interviewed 32 presidents in a five-year longitudinal study and concluded that there were two kinds of leadership identified by presidents, directive leaders, and group process leaders. Directive leaders are those that believe they have the final say on all of the processes by which the institution achieves its goals, that "leadership is a manifestation of behavior from the individual" (Birnbaum, 1989, p. 133). Most of the

presidents interviewed were categorized as directive. A small group of presidents in the study described leadership to be more of a group process, with the president as the facilitator of leadership that comes from different areas of the institution (faculty, staff, students, etc.).

In the early 1990s, literature began to emerge on transactional and transformative leadership. "Transactional" leaders rely on the needs and rewards as sources of motivation, whereas "transformational" leaders were leaders who were attentive to the needs of their constituents and use those needs to motivate others to succeed (Bass, 1999; Silins, 1994).

Astin and Astin (2000) took a transformational approach to defining effective leadership in higher education. They defined leadership as a group process that is concerned with fostering change. Given their definition of leadership, they assert that effective leadership requires "(a) that the group function according to certain principles and values, and (b) that individual members of the group exemplify certain qualities and values that contribute to the effective functioning of the group" (Astin & Astin, 2000, p. 11).

Using Cameron and Whetten's (1985) study, Kouzes and Posner (2002) found that effective leaders were proficient in five different categories of leadership "practices." Effective leaders challenge the process, inspire a shared vision, possess a collective commitment to the future of the organization, enable others to act, project an appropriate example of leadership for their followers, and recognize and celebrate followers' efforts and accomplishments (Kouzes & Posner, 2002; Smith & Hughey, 2006).

Furthermore, effective twenty-first-century institutional leaders have foundational knowledge: an understanding of the history of higher education and organizational fiscal management; cultural knowledge: an understanding of the current and past landscape of higher education, an understanding of the culture of the institution they preside over, and comprehension of their professional identity and public image; and possess complex cognitive thinking: the ability to evaluate, reflect, and synthesize divergent ideas to develop innovative solutions (Freeman & Kochan, 2013). To be effective, twenty-first-century presidents must also have a strong sense of who they are, be competent in overall institutional management functions (assessment and accountability, enrollment management, fundraising, and strategic planning), and possess immaculate interpersonal communication and writing skills (Freeman & Kochn, 2013).

Despite years of inquiry, scholars have not yet come to an agreement on a definition of effective institutional leadership (Kezar, Carducci, & Contreras-McGavin, 2006). Literature in the field of higher education has

expanded the exploration of effective leadership to encompass leadership at all levels of the institution including studies on students, academic deans, student affairs practitioners, and faculty (Rosser, Johnsrud, & Heck, 2003; Shertzer & Schuh, 2004; Kezar, 2012).

According to a 2017 report from the American Council on Education, women and racial and ethnic minorities are underrepresented in the presidency. Seventy percent of all presidents are men, and racial and ethnic minorities make up only 17 percent of the presidents/chancellors in the nation (ACE, 2017). These staggering statistics may have influenced the recent surge in leadership research pertaining to presidents of color and women presidents.

Of note, there has also been an emergence of research that examines the presidency at federally designated Minority-Serving Institutions, particularly HBCUs. Since HBCUs were established, presidents of these institutions have experienced challenges such as mismanagement, little to no financial resources, a student population in need of remediation and the typical supports needed by low-income and first-generation students, and the competition for students and faculty. Despite the challenges HBCUs face, which largely stems from the lack of financial resources, these institutions have been successful in educating underserved student populations for years. HBCU presidents often face distinct challenges, although not markedly different from other institutional leaders, and need to be equipped with particular skills to be effective (Esters et al., 2016; Freeman & Gasman, 2014).

According to Esters et al. (2016), there are six skills necessary for effective leadership at HBCUs, and these include expertise in policy-making, the ability to form collaborative partnerships, core skill development expertise, adequate engagement with university stakeholders, an understanding of student engagement, and a willingness to serve as the institution's living logo. Freeman, Gasman, Commodore, and Carter (2016) also discuss the skills necessary for the twenty-first-century HBCU president and identified seven skills for effective HBCU leadership, they include: presidents must possess a vision, effectively communicate with diverse groups and stakeholders, understand the significance of stewardship and have the ability to fundraise, possess an entrepreneurial disposition that enables them to think both innovatively and strategically, possess the ability to understand and negotiate with faculty, have board management skills, and a have willingness for collaborative leadership.

Although there has been some research into presidents at HBCUs, there has been little research on presidents at other MSIs including Hispanic-Serving Institutions, Tribal Colleges and Universities, and Asian American and Native American Pacific Islander-Serving Institutions. According to a report by Excelencia in Education (2009) on presidential perceptions at HSIs, presidents at Hispanic-Serving Institutions face distinct issues due to the concentrated population of non-traditional and Latino students on their campuses (Santiago, 2009). Despite a growing body of research on the challenges and opportunities that HSIs face, research on HSI effective leadership has been limited (Palmer et al., 2017). This chapter will explore the effective leadership practices of presidents at both HSIs and HBCUs.

Methods

To gather data for this study, we searched Google and various higher education news outlets such as *Diverse Issues in Higher Education, Inside Higher Education*, and *The Chronicle of Higher Education*. We also searched the website of the Hispanic Association of Colleges & Universities (HACU)[1] to explore leadership stories specifically related to HSIs.

When searching Google (more specifically Google News), we used the following key words and phrases to find articles related to leadership, particularly HBCU and HSI leadership: HBCU and/or HSI effective leadership, effective college and university presidents, innovative college presidents, financially effective college leaders, and change makers in higher education.

On the homepage of *Diverse Issues in Higher Education*, there are seven tabs titled African-Americans, Native Americans, Asian/Pacific Islanders, Latinos, LGBT, Military, and Women. Using the African-Americans and Latinos tabs, we searched through each article for information on HBCU and/or HSI leadership, presidential appointments, and topics related to institutional growth, innovation, and financial/institutional change at HBCUs and HSIs. Lastly using these two tabs, we examined educational leaders at institutions/organizations nationwide, working toward effective change for marginalized student populations.

We also used the search feature on the homepage of both *The Chronicle of Higher Education* and *Inside Higher Education* to find articles and news stories related to effective college leadership. We used key terms such as HBCU leaders, HSI leadership, effective college leadership, and support

toward/at HBCU and HSIs. Using these terms, we sought out articles that focused on innovative leadership techniques and approaches. In addition, we examined articles that specified what HBCU and HSI leaders were doing at their respective institutions to fundraise, engage students, and develop new programs to attract and retain students on campus.

The HACU website was especially helpful in finding articles that spoke about effective leadership at HSIs. In particular, a search of the section titled "Advocacy, Programs, and Strategic Alliances & Partners" led to news stories related to leadership and effective change at HSIs.

Our searches resulted in 50 articles pertaining to leadership at HBCUs and HSIs. We reviewed all of the articles and organized them thematically by institution type (i.e., HSI, HBCU). Our findings are based on these salient themes.

Findings and Analysis

Like much of the research on effective leadership, this study revealed that presidents of both HBCUs and HSIs have distinct roles due to the unique student composition on their campuses. Despite the differences at these two institution types, particularly in regard to the student population, leaders have displayed effective leadership in three different ways.

Student, Faculty, and Staff Engagement

Institutional leaders at both HSIs and HBCUs are deemed effective if they have found creative ways to engage students, faculty, and staff. In many ways, this institutional leadership manifests itself in the form of innovative solutions to overarching issues on campus such as quirky ways to talk about graduation and/or retention rates as well as the use of social media as an avenue to better connect with stakeholders. Much like the literature on the twenty-first-century president (Esters et al., 2016; Freeman et al., 2016), effective leaders at both HSIs and HBCUs must employ their well-honed communication skills to adequately engage with constituents.

HBCU presidents used a variety of techniques to engage the various constituents at their respective institutions. For example, to immerse himself in the student experience and best engage with students on campus, President David Thomas of Morehouse College, a historically Black men's college in Atlanta, stayed in a student dorm room for two nights. During his stay, Thomas spoke with students about the institution's graduation

rate—which has dipped to 36 percent, he stressed the role that each new student plays in increasing graduation rates, and shared how important graduating is to the overall success and longevity of the institution (Pettit, 2018).

Although lore around many college and university campuses has the president depicted as someone aloof who avoids students, there are robust examples of HSI presidents engaging students. Having grown up with a similar background to his students—in the San Joaquin Central Valley of California—as the grandson of farm workers from Mexico, President Joe Castro of California State University, Fresno, finds it easy to engage and relate to his students and exemplifies the kind of engagement that HSI presidents partake in. He feels like he understands them and thus how to engage them, because he traveled a similar path to college. According to President Castro, "We have a mantra here and that's to be bold. I would urge [students] to be bold and dream big and to work hard. I think doing those things, and staying close to their family and friends, they'll be able to succeed" (Morris, September 28, 2017). Castro engages his students through social media and is known as one of the most engaged presidents in the nation, especially within the MSI community. He was recently listed as the fourth most engaged MSI president on Twitter in a new report issued by the Penn Center for Minority-Serving Institutions (Bowen et al., 2018)

Institutional Development

At both HSIs and HBCUs, effective leaders are those who are interested in furthering the institution and proposing changes that will result in the longevity of the institution. Thus, both HSI and HBCU presidents must be visionaries interested in the future of the institution and must think outside of the box to develop plans of action that help sustain the college or university. At some institutions, these changes include eliminating sports programs to best manage the budget like in the case of President Aaron Walton of Cheyney University, an HBCU in Pennsylvania, or integrating more bilingual courses in the institutional curriculum to better accommodate the growing Latino population like President Susan Cole of Montclair State University, an HSI in New Jersey.

Kevin Rome, the newly appointed president of Fisk University in Nashville, Tennessee, recently took the reins of the 152-year-old institution amidst financial turmoil. Upon becoming president, Rome worked

diligently to uplift the campus morale and proposed innovative changes that would better position the institution for sustainability, his fervor to place the institution on the right path can be seen in his encouraging rhetoric, "I'm not talking about that narrative anymore, because it's old and it's tired. It's been discussed enough. Moving forward, I'm only focusing on what we're going to do, and what we're going to be, and we're going to find strategies and programs that improve our financial situation. The past is the past, and as we move forward, we're focusing on our bright future." Refusing to wallow in the financial struggles of the past, Rome is tapping into the strengths of the institutions' constituents while easing their minds of the issues that plagued the institution for decades (Savage, 2017).

Adela de la Torre, president of San Diego State University, recently called for a more intense focus on social justice on her campus, aiming to push the campus community to take on the nation's salient issues. She is particularly focused on student-level service that crosses the US-Mexico border. According to de la Torre, the students are "providing health services, they're providing community support, they're feeding, they're clothing individuals who need clothing, they're creating opportunities for housing." She added, "This is critical in a bi-national region. We need to build bridges, not only in a sense of understanding but in terms of creating the kind of world that will allow for diversity of culture, diversity of perspectives, diversity of experience" (Robbins, 2018). President de la Torre's words exemplify the ways leaders can move institutions in bold ways while also supporting local communities.

Collaboration, Advocacy, and Partnerships

Effective leaders at HSIs and HBCUs understand the value of developing partnerships and advocating on behalf of stakeholders. Much like the assertion made by Freeman et al. (2016), effective leaders should have a willingness for collaborative leadership. Collaborating allows presidents to fulfill institutional goals and connect with organizations and/or entities that have expertise to provide institutional leaders with best practices to address the institution's challenges. An example of this is Michael Sorrell, president of Paul Quinn College, who has collaborated with various corporations to establish the institution's goal of becoming an urban work college. This innovative approach to leadership shows the value that comes

with partnerships and advocating for student's best interests with the institutional goal in mind.

Sources of strength for HBCUs are collaboration, advocacy, and partnerships. These efforts lead to long-term stability and center HBCUs in national dialogues while also putting them in a position to lead partnerships and collaborations. A shining example of both advocacy and partnership can be found at HBCUs where presidents have embraced the work of the Human Rights Council Foundation's (HRCF) HBCU Program. HRCF is a non-profit organization that works to achieve equality for lesbian, gay, bisexual, transgender, and queer (LGBTQ) Americans. In 2001, the non-profit's foundation (HRCF) established the HBCU Program in response to two anti-LGBTQ incidents that took place at two HBCUs. Since it was established, the program has enlisted several HBCUs and even hosts events and training geared at making HBCUs more welcoming to students, faculty, and staff that identify as LGBTQ. Of note, some HBCUs have been criticized in the past for not being open to LGBTQ community nor providing safe spaces or sexuality and health support. Presidents who have partnered with HRCF's HBCU Program are doing so not only because they would like to make their institution more inclusive, but many are interested in better serving their student population, particularly those who identify as LGBTQ. James Anderson, the chancellor of Fayetteville State University, an institution that has partnered with HRCF, is an example of a leader that understands the value of partnering to best support students on campus. Fayetteville became the third HBCU to open an LGBT Center on campus, sends student leaders to the HBCU Leadership Summit hosted by HRCF, and is enacting gender-neutral restrooms on campus in support of transgender and/or non-binary students on campus. In his words, "We've done that in nearly every bathroom on campus. We are also committed to creating safe spaces for students" (Savage, 2017).

Much like their HBCU counterparts, HSI presidents, due to the nature of their student populations, must be engaged in advocacy work and form partnerships to achieve their goals. William Serrata, the president of El Paso Community College, speaks out and advocates regularly for Mexican American and other Latino students in the El Paso area. He is particularly concerned with the need for education of Latinos given their role in the economy. According to Serrata, there is immense power in the growing Latino population as well the immigrant population—two populations that HSIs regularly serve. In his words, "We have to increase the educational attainment level of this particular population." He wanted to make

clear that in the years ahead, most workers will need some level of college education, at least a certificate or credential (Morris, 2017).

Effective institutional leaders at both HBCUs and HSIs are leaders who are committed to identifying innovative ways to engage with students, staff, and faculty, possess a vision and are invested in the overall longevity and sustainability of their institutions, and are willing to advocate on behalf of their students and develop strategic partnerships that can be used to best address the challenges on their campus in an effort to reach institutional goals.

Recommendations

Often the stories and coverage of presidents of MSIs, including HBCUs and HSIs, are negative and focus on the missteps of these individuals. Although there are missteps on the part of all leaders, often the media focuses on these missteps without highlighting the ways that MSI presidents engage their communities, advocate for their institutions and constituents, and partner in order to bring innovative opportunities and ideas to their campuses.

We think it is important that more researchers focus on the actions of HBCU and HSI presidents so to bring more attention to how they engage their campuses in positive ways. We also think researchers should examine the role of advocate as one that a college president plays. Within the MSI context, advocating for the various campus constituents—given that they are mainly low-income, first-generation, and students of color—is essential, but we know little about this role.

More practically, presidents of HBCUs and HSIs can learn much from each other about engagement, advocacy, partnership, and innovation. All too often these individuals operate in silos without reaching out to each other and learning from each other. We recommend that they collaborate and work together to meet their goals and agenda in support of their constituents. We also think it is important for HBCU and HSI advocacy groups to work more closely together to foster these kinds of relationships.

Conclusion

As demographics continue to shift and the enrollment numbers soar at both HBCUs and HSIs, institutional leaders must have an understanding on what it takes to lead these institutions effectively. Understanding the

skills necessary for leading MSIs and evaluating where other institutional leaders have been victorious can be a good starting point for those interested in leading institutions. Thus, it is critical for incoming and aspiring leaders to have a grasp on the role of the president and how institutional leadership has an impact on the overall goals of the institution as it relates to student success and engagement, faculty and staff satisfaction, and campus morale and culture. MSIs have for years served a population of students that are often underrepresented and often overlooked, failing to understand what effective leadership looks like in contemporary higher education is not only failing the institution, but it is failing the students who have found refuge in these distinct institutions.

Note

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CHAPTER 6

When Leadership Goes Wrong: Implications for Effective Leadership Practices for HBCUs

William Broussard, Ventric Fletcher, and Urban Wiggins

Theories on higher education leadership and the importance of collaboration are abundant in scholarship. Additionally, reflections, memoirs, and narratives describing experiences in higher education management, from which leadership theory can be extrapolated, are plentiful. In this chapter, the authors, who served as department directors at a public flagship historically Black college and university (HBCU), will incorporate guided reflection and autoethnography to identify the praxis and application of leadership theories used to lead an HBCU's efforts in planning, assessment, institutional research, and intercollegiate athletics successfully. Additionally, working closely within and across departments, the authors developed a multi-perspectival leadership approach drawing from their

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shared and diverse cultural and intellectual backgrounds. The authors' objective is to promote leadership theory developed via Frierean praxis and a leadership approach heavily reliant upon collaboration and perspective in order to best serve the needs of HBCU students and constituents (Freire, 1970). The method of reflective analysis and writing employed by each author will feature autoethnography, a style of self-reflective analysis pioneered by cultural critic Mary Louise Pratt (Pratt, 1991). Both praxis and autoethnography as employed by the authors in their leadership practices and analysis will be defined briefly and then extrapolated in each author's section (Pratt, 1991).

Methodology

In institutional settings where hierarchies are defined not only by position and rank, but by the length of tenure, alumni status, familial ties, and knowledge of clandestine elements of institutional culture, an individual's authority and ability to effect change and progress can be severely limited. At this particular HBCU, designation as a cabinet-level executive or department head carried a paralyzing meaninglessness with regard to organizational leadership, with progress often being dependent upon relationships to the individual making the request as opposed to organizational hierarchy, industry best practices, or professional responsibility. In *Pedagogy of the Oppressed*, Freire (1970) defines praxis as reflection and action directed at the structures to be transformed, in unison with and interdependent upon one another. Freire advocates that pedagogy of students historically oppressed by governmental structures should advocate on the oppressed people's behalf, and that this can only be accomplished by adjusting tried and true educational approaches to meet student's needs, and then reflecting upon how the new approaches succeed or fail to meet those needs. In much the same way, a leadership style developed by an organizational leader, working on behalf of students in need, among individuals whose support for their initiatives is based less on student success and welfare, and more on maintaining the aforementioned status quo, must involve reflection and action. In the instances that the authors will share, the reader will be introduced to the ways that they had to adjust their approaches to organizational leadership, through reflection and action, to achieve departmental goals while navigating tumultuous cultural and political waters.

In order to convey these stories with appropriate context, the authors have selected an analytical narrative style to demonstrate praxis, which will

allow for the retrospective analyses of their former work environments, although they have moved on to other opportunities. The autoethnography, as defined by Mary Louise Pratt in "Arts of the Contact Zone," is a "literate art of the contact zone" or a space in which methods of challenging and resisting the colonial translation and recoding of the narratives and experiences of the oppressed can take place (Pratt, 1991). The contact zone allows for the representation of often marginalized and disfranchised voices, and the autoethnography is a means to capture those narratives, through a blend of first person and third person omniscient storytelling, that provides a rich, thorough counter-narrative and account of on-campus political and cultural conflict that simply is not present in quantitative analyses of HBCU student success (and failure) stories. In the instances the authors recount, they were often in situations where they needed to confront individuals or cultural practices on campus in which they were not in power or empowered, often risking professional safety and personal sanity to do so. When those negotiations occurred, they were often powerless and paid great professional costs for doing so. However, through this method of reflective writing, they will add perspective and credence to the decisions they made and, as a result, offer instructive lessons from situations that, as they occurred, seemed like they would never yield valuable lessons or opportunities for growth.

Review of Literature

Research on HBCUs often focuses on several themes, including critical issues facing HBCUs in the current higher education marketplace (Clay, 2012; Eckel & King, 2004); revisions to the university mission; development of enrollment and recruiting strategies (Brown & Burnette, 2014; Minor, 2008); strategic initiatives to increase retention; developing new programs of study, strategic planning for facility construction and upgrades; enhanced campus life and student development programming; using social and traditional media as cost-effective marketing (Gasman, 2012); increased fundraising, grant writing, and lobbying of local, state, and federal government (Gasman, 2010; Gasman & Bowman, 2011); and germane to this commentary, recruiting and developing executive teams, as well as HBCU executive leadership crises (Gasman, 2016; Meggett, 1996; Nelms, 2014). Additional studies suggest that an aging pool of current presidents, chiefs of staff, provosts, and executive vice presidents presents an opportunity to appoint diverse leadership talent in the coming decade

(American Council on Education, 2008, 2012). Opportunities for leadership remain abundant in HBCUs (Esters & Strayhorn, 2013), but the authors wish to shift the focus away from the availability of those opportunities to the challenges new leaders face upon acceptance of them.

Research on executive responsibilities in the context of the contemporary HBCU is abundant. Clay (2012) points out that HBCU executives must engage in (1) clarification, restating, or updating of mission, (2) changes in enrollment strategy to attract and enroll stronger students, (3) a method to address the needs of less-well-prepared students who might have been admitted in the past but are not admitted now, (4) new majors or programs to address local opportunities, (5) *strong focus on recruiting a competent and experienced executive team* (emphasis added), (6) strategic allocation of new faculty hires, (7) support for and investment in research infrastructure, (8) a campus plan to prioritize opportunities for new construction and major renovation, and (9) enhanced campus life and student development, including facilities and support. While some new HBCU presidents will inherit fully staffed cabinets and executive leadership staffs, they will be inevitably tasked with reviewing their performance, and in many instances, be forced to make controversial decisions to terminate their employment.

Additionally, Gasman (2010) points out that HBCUs in the twenty-first-century marketplace "must proactively protect and promote their images," […] "instill a culture of philanthropic giving with their students and alumni," […] "(encourage) board members to be the lead givers," […] "invest in more sophisticated databases that more accurately capture their alumni capacity," […] and "educate their alumni about the make-up of their funding streams," which necessitates the identification of professionals with these skill sets and experience (p. 7). Particularly when these newly integrated processes promote dramatic culture shifts, led by newly added staff members (who are often placed in charge of staffs without those skill sets and who are unfamiliar with twenty-first-century higher education best practices), newly hired executive administrators inherit the controversy and challenges of their presidential leaders often without the protection of long-term contracts or tenure.

Senior staff and mid-level manager recruitment (e.g. provost/chief operating officers, chiefs of staff/administration, chief advancement officers, communications, intercollegiate athletics, human resources, and technology/chief information officer, and other department-head-level executives) remains a challenge because of salary considerations, perceived

cultural and political challenges, and public discussion about audit, resource, and student recruitment and retention challenges across the HBCU sector (Gasman & Commodore, 2014). An additional challenge that often goes unconsidered is how executive turnover impacts the lives and careers of senior staff administrators at HBCUs *after* the CEOs depart (Broussard & Hilton, 2016). Invariably, those individuals have their lives uprooted and careers derailed, creating a scenario in which they (and perhaps their extended networks of talented and well-credentialed colleagues) may be less likely to pursue career opportunities at HBCUs.

Another underlying challenge to recruiting a talented and diverse pool of leaders for career opportunities at HBCUs is the likelihood their tenures as department heads will end when supervisors transition (Broussard & Hilton, 2016). HBCUs must not only use available data to identify prospects that have previously been prepared or groomed for that institution's success at that given moment, but also recruit against the pernicious risk that accepting such positions comes with increased professional and reputational risk. Even the most uncontroversial executive transitions, resulting from presidents or chancellors who leave without scandal or in a haze of speculation and/or as a result of board or legislative chicanery, present challenges to new leaders who inherit market-based as well as internal crises. New executives recruit support staffs to take on these challenges in often adversarial and political climates and discover almost immediately that the odds against them are stacked high (Broussard & Hilton, 2016, 2018).

In past decades, HBCU leadership and those in senior-level executive roles appeared to serve campuses for longer periods (Broussard, 2016). While serving longer periods, the leadership established rapport and became friends as well as close colleagues outside of the institution. However, the current culture and environment at a significant number of HBCUs precludes personnel from building such important relationships both within and outside the institution, creating tumult for the campus communities and employees while leaving vacuums in leadership (Broussard, 2017). Personnel are not comfortable opening up to others as they may not be present the next week or even the next day, and it can be nearly impossible to determine those individuals' loyalties, ulterior motives, and motivations. Constant turnover at the helm of these institutions has impacted the profile and talent at the institutions significantly, and not just in the Office of the President (Seltzer, 2017).

As a result of the aforementioned catalog of risks for department heads and directors on HBCU campuses, leadership theories and management experiences derived from careful study and extensive experience and preparation in the private sector or in sectors of higher education outside of HBCUs often do not prepare one adequately. Therefore, the authors recommend an approach to leadership theory grounded in experience and dutiful study, but flexible enough to improvise and adjust to cultural contexts peculiar to the campuses where they find themselves employed.

Background

From 2012 to 2015, the first author worked together at a public, historically Black university with an enrollment of approximately 6000 students that is recognized as its state's most nationally visible, flagship institution. The first author served during this period as the institution's Director of Athletics, overseeing the efforts of over 70 full-time, part-time, graduate assistant, and intern staffers working as coaches, administrators, and support staff on behalf of the institution's 325 varsity student-athletes representing 15 National Collegiate Athletic Association (NCAA) Division I sports. One of the institution's most visible departments with regard to public profile, it also demanded a leadership style that was accommodating of both institutional, organizational, and public interests. The author also served on the university's cabinet. He entered this tenure with 12 years of experience working in higher education at five institutions, in athletic administration, in institutional advancement, and on university and college teaching faculties, and possesses a doctorate of philosophy. He has since left to accept a position in institutional advancement at a public HBCU.

The second author led the athletic department's academic advising responsibilities. In this role, he served as mentor and advisor to student-athletes primarily in steering them toward satisfactory progress toward degree completion and graduation success and ensuring they maintained eligibility to continue competing as athletes, which drove retention. Having both the university and NCAA requirements to meet, the author was required to remain abreast on changes to policy and communicate those effectively to students, faculty, and coaches. Upon leaving the institution, he accepted similar positions at much larger athletic departments in NCAA Football Bowl Subdivision (FBS)-designated institutions competing in the American Athletic Conference and the Southeastern Athletic Conference.

The third author directed the university's division of planning, assessment, and institutional research, overseeing all aspects of federal and state board of education reporting on key institutional data points such as retention, graduation rates, federal funding compliance, and enrollment. During the author's tenure, the institution participated in a mandatory statewide reporting program that submitted annual data to confirm retention and graduation rates, numbers of degrees awarded, and other key data that in turn determined the institution's flexibility to raise and set tuition with autonomy. Meeting established benchmarks and submitting timely reports was a responsibility that, if improperly executed, could result in the loss of millions of dollars of funding annually. He had worked in higher education for nearly a decade upon accepting this position and possessed private sector experience, as well as a doctorate of philosophy. He has since left the institution and subsequently been employed by a small, private HBCU as an institutional research administrator, and a public HBCU as a professor.

The authors worked closely with one another because of shared (1) career aspirations, (2) advanced educational experience lending to a scholarly approach to organizational leadership theory, and (3) common and overlapped responsibilities with regard to student services, positional responsibilities, commitment to student and constituent services, and goals for the positive representation of the institution. The first author aspired to cabinet-level positions beyond intercollegiate athletic leadership, be they at an HBCU or predominantly White institution (PWI), and did not aspire to remain at the current institution for myriad reasons, including professional stability and security at an institution with far above average turnover in executive positions, its reputation for board and legislative micromanagement, and scant opportunities for professional advancement, mentorship, salary increases, and promotions, and a lack of familial and social ties to the institution and its location. The second and third authors were born and reared in the city where the institution is located, and earned degrees at the institution, along with many of their extended family members, and thus felt a sense of more than professional loyalty to the institution and more of a cultural, traditional, and historical commitment to its success. Those loyalties persisted in spite of the fact that on many occasions, their personal and professional interactions on the campus were with many individuals who failed to credit them for that commitment, and in several instances, their best efforts to carry out those commitments were in vain.

All three authors had earned advanced degrees in fields that prepared them for leadership roles, and in doing so, earned valuable experience to prepare themselves for leadership roles in higher education. The first author had earned advanced degrees in Rhetoric, Composition, and the Teaching of English, which generally suits one for tenure-track professorships and writing program administration positions, both of which the author held. His additional experiences working in institutional advancement and athletic administration prepared him adequately to serve as the institution's athletic director. The second author earned an advanced degree in Political Science, which credentialed him to seek public and private sector employment. The third author earned advanced degrees in Computer Science, which adequately prepared him for tech/private sector employment. When he transitioned into higher education, his technical experience and knowledge more than adequately suited him for managerial positions overseeing institutional research staffers. All three authors, while earning advanced degrees, served in multiple graduate assistantships and apprenticeships so that they could apply the theoretical knowledge they acquired in study to workplace settings. They also made it a point to engage regularly in professional development (even as the institution went through a declaration of bankruptcy and could not provide funding, the authors sought fellowships and paid out of pocket to attend and present scholarship at conferences).

Because of the authors' daily responsibilities in student services and constituent relations, many of their responsibilities overlapped, which created opportunities for collaboration, shared leadership, and research opportunities. Generating daily and weekly reports on student enrollment, retention, and academic performance to track eligibility and student success required collaboration across departments. The authors served on data collection committees together, worked on ad hoc committees to ensure institutional compliance with NCAA rules, and collaborated on the submission of annual reports per NCAA legislation. Additionally, they provided data for institutional handbooks and the institutional research website that promoted successes at the institution in intercollegiate athletics and retention and graduation success. Most notably, their combined efforts assisted significantly in the overturning of significant NCAA penalties and sanctions and produced the institution's highest ever single-year performance in student-athlete graduation success. Though responsible for leading separate units and often collaborating on crucial projects, the authors developed their own leadership styles through theory and practice

(or, as Freire defines this in *Pedagogy of the Oppressed*, "praxis") and influenced each other's approaches through collaboration and reflection (Freire, 1970).

Perspective #1

A flat management style is well suited for low-resource athletic departments in which the resources available to fill vacancies and low relative salaries available to recruit and retain unit heads necessitate creative solutions. As Morgan (2015) notes, the flatness of organizations provides the advantage of regular and open communication across the department and with leaders within the organization. Additionally, because the low relative salaries mean that several department heads who are less experienced (in years) than their departmental peers and charges whom they inherited, they need the assurance that difficult decisions, when challenged, would ultimately gain the support of the athletic director. Because the flat management style encourages regular check-ins and an openness and collaboration with regard to problems encountered and innovative solutions proposed, these new unit leaders could act with confidence and nimbleness that the circumstances required. The more controversial decisions for which unit leaders are responsible could gain quick clearance and backing from a flat manager than one who employed a traditional management chain of approval, with multiple steps between a unit leader and an athletic director (often, at least, an assistant/associate athletic director of administration, perhaps a deputy AD, or an assistant to the AD). While the obvious disadvantages are the more-than-occasional information overload from multiple sources with too-easy access to the department head, the benefit of unit leaders new to the institution implementing twenty-first-century strategies and solutions with the director's tacit support means that operations can continue to move forward in ways that resistant programs could easily stifle with old-fashioned stubbornness posing as bureaucratic machination.

In a progressive department, solutions without historical or cultural precedent get rejected like bad grafts, so a visionary director faces routine challenges and resistance. In such instances, particularly when the resistance ensures future (or continuing) non-compliance with state or organizational rules which can impact in law-breaking, ethics-bending, or violation-triggering activity, Scott (2002) recommends "fierce conversation" as a mode of communication that cuts through the oft-euphemistic

language of bureaucracies in order to maintain vision and a strict moral compass. Fierce conversation involves principles such as "coming out from behind ourselves," (p. 7) "interrogating reality," (p. 27) and obeying instincts as leaders which routinely drive them toward success, even though political and traditional customs which weigh down bureaucracies provide roadblocks. Incorporating fierce conversations with unit leaders allows for more efficient and honest conversation about hindrances to success and fears of flying in the face of (occasionally stagnant and restrictive) traditions. In essence, identifying root causes for stagnation and indecision (such as fear of insulting board members, executive administrators, or prominent alumni) up front and developing solutions to address those concerns happen more effectively if there is honest and truthful conversation about them without fear of reprisal or retaliation from the department head. As suggested in "Beyond Fish Plates and Tailgates" (2015), conversations of this kind can sometimes come off as abrasive or off-putting to supporters or long-time employees who view the department head as an outsider. However, when applied properly and consistently, fierce conversations can transform communications, introducing efficiency, honesty, and solution-driven discussion into a scenario that is rife with potential miscommunication, political chicanery, and cliquish/roguish behavior.

Upon arrival at the institution, I learned that the individual tasked with leadership of units within the athletic department lacked training, experience, supervision, credentials, and skill necessary to run a successful NCAA Division I athletic program. Evidence of this might easily have been espied by the department's lack of competitive success, perennial (and continuing) NCAA sanctions for lack of student-athlete academic success, and yawning revenue/expense deficits and became clear to me within weeks of arrival. As the institution faced loss of Division I status due to a failure to properly submit and have approved its most recent self-study, the most obvious leadership and skill deficits took a backseat to preparing an acceptable budget plan, updating and submitting long-overdue reports, and simply being present and available as the department's titular leader in a seat occupied by four people in the past decade, and not by a full-time department head for nearly 18 months.

As my first full academic year began, an opportunity to begin formally evaluating staff and supervising the department's labor, productivity, and needs presented itself. Employing fierce conversation protocols with unit leaders to inform my decision-making, I reallocated resources aggressively

and purposefully to prioritize student-athlete wellness and success, compliance, employee work-life balance, competitive success, revenue generation, and robust branding and marketing initiatives. As I committed myself and the department to those objectives, it became important that I free as much time and energy to leading the specific initiatives that would produce measurable results, using flat management to regularly communicate with unit leaders. As someone new to the area and institution, with zero ties to any coach, administrator, or student-athlete, I could make decisions objectively and with a moral compass that would only leave the merits of my decisions vulnerable to individuals' personal and political displeasure, especially so long as those decisions increased productivity and results in the areas originally outlined and approved by the institution's chancellor and supervising board.

Over the course of the three years I led the department, productivity and success increased in all of the areas I outlined initially (graduation success, revenue generation, and competitive success), ahead of the growth expectations initially predicted and to which I was contractually bound. Conference championships and NCAA postseason tournament appearances increased substantially, both in frequency and in diversity as the department garnered 16 conference divisional, regular season, and tournament championships in the three-year period (increased from 8 in the previous three years). Revenue generation improved by nearly 80% over a three-year period and private fundraising successes set institutional records, increasing by 150% in the same time. Student-athlete graduation success set institutional records, improving to over 60% of student-athletes graduating or transferring to institutions on track to graduate.

Most crucially, staff turnover occurred in critical leadership positions, including five head coaching positions, two department heads, and a total overhaul of nearly 30% of total full-time staff. The decisions to terminate contracts of staff members I inherited reflected a negligence to perform the most basic requirements expected of NCAA staff members charged with maintaining the tenets of student-athlete success and well-being. The decisions did not reflect the desire to adhere to a cult of personality (I wasn't intent on bringing in "my own people" per se), but rather a profound lack of confidence that these staff members could maintain basic adherence to professional expectations due to job descriptions that did not but certainly should have existed upon my arrival. I was able to discuss these decisions with staff using the ethos I earned through flatly managing the department and to communicate via fierce conversations

that allowed me to outline and reinforce departmental expectations for excellence. If the environment values productivity and student success above petty politics, and the institution is willing to grow and evolve, flat management and fierce conversation are crucial components for successful leadership in under-resourced organizations.

Ideally, institutions motivated by data-driven decision-making models welcome fierce conversations and flat management. However, because the institution did not value growth in the areas that I was contractually evaluated upon (student success, revenue generation, and competitive success) over commitments to relationships with board members and alumni who believed themselves to be personally aggrieved by the department's success (and who were, more often than not, neither financial contributors to the institution, or, individuals who demanded quid pro quo in exchange for their support), I was reassigned to another department in lieu of a new department head who would prioritize those relationships. As a result, private revenue generation has winnowed (near six-figure losses in ticket sales and licensing revenues, and net revenues from 2014 to 2016), graduation success dropped 5%, and the institution has only garnered two championships in a three-year period (compared to 16 in previous three years) while remaining on NCAA probation. While the new director is undoubtedly less often in conflict with executive administrators and board leadership at the institution due to his employment of a traditional hierarchical model and an approach that defers to institutional culture and tradition at all costs, the deleterious impact to students served by the institution is clear.

Perspective #2

An adaptive management style is highly appropriate for an office whose successes and failures are largely dependent upon the efficiency and effectiveness of others. According to Heifitz, Grashow, and Linsky (2009), this style places the onus of producing valuable work on the organizations that are charged with specific functions. This leadership style, which is often misunderstood, is viewed through several different lenses. To established, more senior professionals, adaptive leadership is considered disrespectful. To younger professionals, it is viewed as a mechanism of accountability and responsible leadership. Heifitz et al. define adaptive leadership as the activity of mobilizing adaptive work.

The Academic Advising unit within the Department of Intercollegiate Athletics underwent significant changes in summer 2013. The long-time academic advisor was removed from the position after the university was notified of the depth of an ongoing NCAA review of its academic data from several years prior. During this investigation, it was revealed that scores of student-athletes had been erroneously certified for competition as eligible for competition and NCAA-related financial aid—a major violation of NCAA bylaws. My appointment to the Director of Academic Advising position came after spending two years as an academic advisor for student-athletes in the university's central advising office, where I, along with one other academic advisor, assisted in many processes that were assigned to the athletic academic advisor under normal circumstances. These responsibilities included course registration, major selection, and course withdrawals.

Prior to summer 2013, many viewed the academic structure within the Department of Intercollegiate Athletics as one that operated as an exclusive unit. There was little to no evidence of attempted collaboration with other essential units such as the Registrar's Office, the individual colleges and departments, and other units that could have provided better resources for their use. Thus, after the change in leadership of that unit, I was met with increased resistance due to my relative youth, my limited experience in higher education (although I had years of professional experience in public policy), and general disdain for the Department of Intercollegiate Athletics as a whole. These frustrations mounted when the Academic Advising unit was tasked with successfully moving its students—student-athletes—from their freshmen to senior years while continuing to monitor and ensure that they made satisfactory academic progress in their respective degree programs. The challenge for the office was that, even at its highest level, no one in the Department of Intercollegiate Athletics had the authority to certify the completion of a degree. Such responsibility lies with offices under the purview of the provost—or in the case of this university, the vice chancellor for academic affairs. The aforementioned offices, including the Office of the Registrar, the individual academic units, as well as the Office of Academic Affairs, served as the gatekeepers for all things academic. They were responsible for admitting students to each senior college. They were, consequently, also responsible for ensuring that students met the state-approved requirements to receive their degrees from each senior college.

Deploying the adaptive leadership style requires one to undertake two distinct steps to further its effectiveness. First, one must diagnose the system. The university in question faced many systemic challenges that hindered its ability to fulfill its mission. There was, seemingly, a revolving door of leadership in which no campus or system-level chief executive served for more than 2.5 or 3 years at the helm before they were replaced. In many instances, these people received "votes of no confidence" from the faculty senate or supervisory board before they entered their third year of service in said positions. Consequently, essential senior-level administrators who served at the behest of the chancellor or president, such as the vice chancellor for enrollment management, registrars, deans, and department chairpersons, were often caught in the crossfire and were often replaced at the same rate. Student records and methods of reporting often suffered collateral damage in that they were incomplete or simply missing. In diagnosing the system, I was forced into the unfortunate position of having to "address the elephants in the room" in regard to pointing out the many deficiencies of several offices, paying special attention to their data collection and reporting practices, record keeping, and application of state and university rules.

Second, in providing adaptive leadership one must mobilize the system. The changes we needed to see within the basic function of many university-level offices were tantamount to experiencing immediate changes for the academic advising unit. For instance, we needed to engage the University's System Office as well as the campus' Office of Academic Affairs to set strict dates for registration, class start dates, and class purge dates. Additionally, we had to develop a system of data collection and analysis—a collaborative effort between the athletic academic advising unit, the Registrar's Office, and the individual colleges and departments to ensure the validity of information that we would report to the NCAA.

As stated above, the success of the academic advising unit within the Department of Intercollegiate Athletics was largely contingent on the effectiveness of several other offices. Heifitz et al. note that the challenge of adaptive leadership is to mobilize a critical mass of individuals to impact change on the larger organization. The failure of many departments to competently do their specific charge had direct impact on the abilities of their academic advising unit's ability to do the same. Thus, there was a chasm in the expressed values and missions of many departments and the work they regularly produced.

Ideally, the academic advising unit within an intercollegiate athletics department monitors student-athletes on a day-to-day basis. This includes ensuring that student-athletes attend class regularly, complete assignments on time and accurately, and take part in regularly scheduled academic interventions such as tutoring, meeting with learning specialists, and take part in student-athlete development programming such as resume-writing workshops, effective communication training, conflict resolution programs, and other life-skills training. Throughout my tenure as Director of Academic Advising, more time was spent developing processes to ensure correct data collection and analysis methodologies were in place than face-to-face interaction with student-athletes and their coaches. While we experienced exponential growth in our graduation rates and overall student-athlete success, much was left to be desired in terms of the overall expression of our values and achievement of goals.

Perspective #3

An authoritative management style is normally a suitable management style for an underdeveloped or newly founded department that is built upon a structured environment. Authoritative leadership (Bass, 2008) oftentimes has a negative connotation as noted by Sadler (2003) due to the strong position and directives imposed by the manager where there is little to no participatory input from the staff. Prior to my appointment as director, the planning, assessment, and institutional research (PAIR) office had been without a senior report for several years; however, the responsibility of the office was being maintained by the current staff. The staff had been stagnant in professional development for a number of years, and the headcount had dwindled to only three employees. The PAIR office was responsible for providing accurate data to external and internal entities such as the federal and state government whereby institutional funding is derived. Two foci of the office are to ensure the accuracy and timeliness in reporting which would normally lend itself to a coercive management style (Goleman, 2000). Coercive management employs a close control structure and that control may be considered effective for immediate turnaround projects especially since any deviation in reporting accurately or timely would have highly detrimental effects upon the institution. However, it also requires the employees to possess a highly competent level of effectiveness.

The PAIR office underwent several dramatic and systematic changes mandated by federal, state, and institutional demands from new mandatory institutionally comprehensive documentation to the implementation of a new student information system (IBM mainframe to Ellucian's Banner client-/server-based system). The office had no training with the new system and no incentive to learn this system creating a sense of abandonment from the administration and a pushback to the administration from the employees prior to my appointment as director of the office. I entered into the office with a goal of moving the office forward with new policies and procedures that complimented the new state-mandated responsibilities and new operational Student Information System (SIS) environment that I knew very well.

I adopted a hybridized management style of both authoritative and coaching depending upon the tasks required. The authoritative style was employed due to the requirements of the office that were specific, stringent, unyielding, and mandatory, also demanding participation from others to be accomplished. I maintained total ownership of the immediate and short-term external reporting projects and provided familiar datasets for long-term projects during their learning curve of the new Banner system. The coaching style was employed providing personalized training on the new SIS.

In 2010, the governor enacted a wide-sweeping act impacting all public higher education institutions, whereby every public institution entered into a six-year performance agreement in exchange for increased tuition authority and other autonomies. The PAIR office was responsible for the creation and submission of the institutional narrative which addressed previously submitted institutional targets, including first to second year and first to third year retention rates, 150% graduation rate, and completion percent changes. Although the six years of target were set by the institution, they were unattainable and required an update. The update process was arduous and required approval from the university's system board and the state's legislative committee for budgets. It had only been approved once under extreme circumstances. Academic Affairs and the PAIR office spearheaded this successful effort. Since the information submitted in the legislative act directly impacted the institution's funding from the state and federal government, the current staff's inability to complete these tasks relegated them to a secondary role as a matter of necessity.

The goal of providing the datasets was to allow for a sense of competency and accomplishment as part of a team to grow and promote their desire to become stronger team players. At this stage, the coaching management style was deployed to directly address the "learning curve." I used the Adlerian

variance of the coaching management style to encourage and inspire employees to achieve their goals (Preiss & Molina-Rey, 2007). I began coaching the staff in several areas leaning to their strengths and overall areas of proficiency by providing one-on-one and group training on the following: (1) functional operations within the SIS Banner, (2) database design structure and relationships, and (3) institutional narrative writing for governmental documentation and accrediting bodies. All of these efforts still resulted in a type of failure where the staff did not change. The staff openly expressed no desire to learn the new system and openly refused to perform any additional tasks without any additional compensation. This fostered a toxic environment riddled with apprehension and distrust of administration.

The administration clearly emphasized enrollment numbers as a factor to determine the health of the institution; however, the state and federal government have clearly defined methods of counting students, whereas an accrediting agency may not be the same. These differentiations may not be widely known or understood by upper-level administration. Additionally, nepotistic behaviors by the administration and on the system's board and a management environment where a performance review had not been assessed of the staff in over five years with no administrative support to renew the practice made managing subordinates nearly impossible. This lack of institutional control tends to create a misconception of an employee's aptitude if the judgment is simply based upon length of employment.

In an office where the long-standing employees do not adhere to evaluations or analyses, the authoritative styles I chose placed me solely in the line of fire with no support and no established history of accomplishment to reference as a point of normalization. After a new presidential hire and administration change, I was subsequently removed and the office was moved from Academic Affairs to the Office of Institutional Research. After this change, the staff was never required to learn the new system, and a new hire was made to extract data from the student information system. The new director employed a laissez-faire, hands-off management style, which lends itself to be free of conflict but is resource intensive to remain viable and validity checks are no longer viable within the department.

Conclusion

Excessive executive turnover at HBCUs over prolonged periods significantly hampers the recruitment, hiring, and retention of talented faculty and administrative subordinates who fuel HBCU advancement. This represents a persistent existential threat to an already vulnerable sector of

higher education, particularly to emerging executives attempting to build careers who are potential heirs and heiresses to HBCU presidencies and chancellorships. The existential and market-driven challenges that HBCUs face in the twenty-first century suggest the overwhelming challenges and inherent risks associated with accepting offers of executive and administrative appointments at HBCUs not just for presidents, but for their most crucial hires—senior staff-level administrators and department heads who carry out the university's day-to-day functions. Adding to this challenge, mid-level executives, who bring valuable and crucial experiences from a combination of HBCU/PWI educations, private and non-profit sector experiences, and management skills informed by experience with geographical, institutional, and workplace ethnic and cultural diversity, face artificial hurdles to success on many HBCU campuses.

Even when those hurdles are overcome, those who employ unwelcome leadership theories to garner those successes are often written off as bad fits, or as flying in the face of tradition, even when their efforts result in increased student success and positive outcomes. The authors' attempt to identify a praxis by which new leadership models can be introduced to a culture unwilling to embrace them and be met with professional success, yet interpersonal discord displays a frustrating necessity for contemporary HBCU leadership. It also reveals the harbinger that the function of cults of personality, rigid dedication to institutional culture (for bad, and often for worse), and xenophobia with regard to certain individuals and styles regardless of their production creates an environment that discourages HBCU's growth and the individuals capable of instituting that growth, equally.

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CHAPTER 7

Reimagining HBCU Leaders as Policy Actors

Sosanya M. Jones

Strong leadership at Historically Black Colleges and Universities (HBCUs) has been cited as the primary determinant for the survival and growth of HBCUs (Crawford, 2017; Palmer et al., 2017). The discourse on HBCU leadership has overall been deficit-oriented, emphasizing the problems and failures of HBCU leadership (Gasman, 2007; Hines, 2014; Saffron, 2016; Schexnider, 2017). Recently, many researchers and leaders in higher education have begun to shift study focus from a deficit discourse to a strengths-based discourse that seeks to glean new insights and lessons from the experiences of successful HBCU leaders. One of the most valuable and useful approaches to this strengths-based approach is the focus on which skills are utilized by successful HBCU presidents. In the face of long-standing systematic racism, marginalization, and deficit narratives about HBCUs, the populations they serve, and their leadership, this exploration of skills associated with successful HBCU leadership is essential to gathering information about what works in HBCU leadership so that it can be used to mentor and educate current and aspiring HBCU leaders, as well as the board members charged with hiring HBCU presidents, to ensure ongoing success in HBCU futures.

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Objectives

Bridging the literature on HBCU leadership and the higher education policy literature to emphasize a strengths-based approach, the goal of this chapter is to reimagine the role of the HBCU president from administration to advocacy. I outline how existing and prescribed skillsets for successful HBCU presidents can shape successful policy actors who not only advocate for their institutions but also inform policy, participate in policymaking, and collaborate with other policy actors to set policy agendas at both state and federal levels. This study will also highlight current challenges and gaps in the way HBCU leaders are thought of and examined within the literature, as well as within the policy arena. Having offered suggestions for ways forward in educational and policy literature as well as practice, I finish with suggestions for how future scholars can develop these ideas further to continue strengths-based analysis of policy-acting potential for HBCU leadership.

Conceptual Framework

My framing of this discussion on HBCU presidents as policy actors is informed by Denzin and Lincoln (1999) and Kincheloe (2001, 2005) who proposed political and theoretical bricolage as a technique for identifying and amplifying subjugated voices in research. Political bricolage is a method of questioning dominant hegemonies and narratives by uncovering and discovering perspectives, knowledges, and realities of those who have been silenced and subjugated. Subjugated knowledge describes ways of knowing and understanding of the world that have been devalued, discounted, and outright dismissed or ignored (Bäckstrand, 2003). Political bricoleurs challenge this hierarchy of knowledge and seek to bring about transformation by highlighting how hegemony affects ways of knowing.

My goal for acting as a political bricoleur is to identify strengths of HBCU presidents and how they can employ those strengths as effective policy actors. I will do this by employing theoretical bricolage. Theoretical bricolage is a method of conceptualization that is both critical and multitheoretical. In order to execute theoretical bricolage, an author must consider multiple theoretical paradigms about a text, artifact, or phenomenon. The goal of this technique is to both understand the varied ways in which something can be interpreted and acknowledge the complexities that influence a phenomenon (Denzin & Lincoln, 1999; Rogers, 2012).

Toward this end, I will be using two very different literatures—the literature on the skills necessary for successful HBCU presidency and literature on policy actors—to highlight the strengths of HBCU leadership as they pertain to serving as policy actors on state and federal scales.

Significance

This study reimagines of the role of the HBCU presidency in a way that both capitalizes on what HBCU presidents already do while also proposing an intentional expansion of the way the role interacts with external policy actors and bodies. Consequently, this discussion offers a framework for how the HBCU presidency can engage in state and federal policymaking and, in doing so, bridges the literatures on the HBCU presidency and policy actors. Finally, choosing a strengths-based perspective to discuss HBCU leadership will also counteract negative and racially coded messages about HBCUs and their overwhelmingly predominant black leadership in educational policy literature.

Changing the Conversation About HBCU Leadership

HBCUs were founded specifically to support the education of the excluded and disenfranchised—in other words, primarily but not exclusively African-Americans—in a period where the United States was still wrestling with the aftermath of slavery. Since their foundation, the leadership of these institutions has been put under a microscope. The nature of the criticism and debates about HBCU leadership has changed in the wake of desegregation. The influx of black student enrollment at predominantly white institutions (PWIs), as well as unstable funding and accreditation woes, has brought an unprecedented wave of scrutiny on HBCU since the 1960s. There is thus over five decades' worth of critique listing the problems, gaps, and failings of HBCU leadership (Hines, 2014; Jencks & Riesman, 1967; Sowell, 1972; Stuart, 2012, 2016; Williams, Burt, Clay, & Bridges, 2018). This deficit-based discourse is limited in its ability to offer real solutions to problems or inspire change for the betterment of these institutions.

Often, these studies do not adequately account for the contributing factors to HBCU precarity. Focusing solely on HBCU leadership as the

cause for issues related to sustainability, management, and outcomes obfuscates the very inequities that make HBCUs necessary. Before HBCU leadership can be examined for its supposed failings, it is key to remember that HBCUs have a long history of serving the most marginalized and disenfranchised populations within a racially, socially, and economically stratified national history. HBCUs serve more first-generation and underserved students, yet they are expected to do more with less and to rely increasingly on dwindling endowments (Drezner & Gupta, 2012). The legacy of systematic racism means that HBCUs tend to receive less funding from states than PWIs and are not often prioritized in policy discussions (Williams et al., 2018).

Despite these barriers and challenges, many HBCUs have strategically survived and even thrived by way of unwavering commitment and political savvy. Acknowledging the systemic social inequities that impede performance and outcomes for HBCUs enables necessary critique of the existing literature's negative evaluation of HBCU presidential performance. Fortunately, trends in educational literature are already tending away from deficit-based analysis. The discourse around student achievement is evolving to include consideration of institutional outcomes as influenced by inequity. This same context should be considered when evaluating leaders of chronically underfunded institutions that serve disenfranchised populations. More attention should be focused on what these leaders already know, what they do in their roles, and how they accomplish what they do in spite of adverse factors to fully comprehend their realities.

The shift toward strengths-based discourse in educational literature, in other words, has the potential to create lasting paradigm shifts in how educational literature measures institutional successes. Focusing on strengths of HBCU leaders also can cultivate more imagination about the roles, impacts, and possibilities institutional presidents have already realized and can realize in the future.

HBCUs and Policymaking

HBCUs have a long and complicated history with policymaking bodies. Since the Second Morrill Act was passed in 1890, the support and survival of HBCUs has been tied to both federal and state government (Boland & Gasman, 2014; Matthews, 1993). While the Morrill Act mandated states to provide land-grant institutions to both maintain de jure segregation and educate black students, there was no stipulation that the support

provided had to be comparable or equal to state-supported white institutions (Harper, Patton, & Wooden, 2009). Still, the relationship between HBCUs and both federal and state policymakers was officially forged. Another major federal policy directly supporting HBCUs was Title III of the Higher Education Act of 1965. Title III was specifically intended to assist institutions that served students who were disenfranchised as a result of the racially stratified educational system. Title III continues to support more than 350 postsecondary institutions (Dervarics, 1997; Taylor & Olswang, 1999).

If anything can be gleaned from federal policymaking for HBCUs, it is that federal oversight is often needed to push state policymaking toward fair and equitable, often with poor results. The most obvious example of these results is the Civil Rights Act of 1964, which contained Title IV, a provision designed to ensure equal opportunity in federally assisted educational programs and activities. Title IV led to the creation of the Office for Civil Rights (OCR), an office which would eventually expose the long systematic unequal treatment of HBCUs under de jure segregation. Under OCR's scrutiny, states were investigated and mandated to dismantle the vestiges of de jure segregation by establishing statewide desegregation plans (Dervarics, 1997). These plans were largely unsuccessful, but eventually a private court lawsuit known as the Adams v. Richardson (1972) case led to court-mandated federal criteria for beginning the difficult task of dismantling statewide desegregation (Green, 2010).

Several studies have discussed this legacy of systematic racism and marginalization toward HBCUs in American policymaking. Wooten (2015) describes the long history of state policymaking for HBCUs as an intentional effort to control and debilitate the most important lever to economic and social advancement for the black community. Wooten also argues that while segregation is no longer legal, many state policies are still strategically designed to have negative impact on HBCUs. Williams et al. (2018) describe the prevalence of anti-blackness in policy arenas, which has resulted in the misrepresentation of the HBCU legacy and image in among active policymakers. They also point out that this misrepresentation has led to a devaluation of HBCUs that justifies their exclusion from policy arenas, extending to "the ability of HBCUs to secure state and federal support" (p. 16). It is no wonder that much of the latest literature on HBCU leadership now calls on HBCU presidents to be more engaged in higher education policy, if only to represent themselves and their circumstances accurately in policy arenas.

Gaps and Challenges

As institutions with a historical mission of serving disenfranchised and marginalized populations, HBCUs have strong ties to both federal and state government. State and federal policies have tremendous impact on the survival and growth of HBCUs. Policymakers may not always be fully appreciative of the mission, purpose, or necessity of HBCUs, but they cannot deny the sociohistorical significance and enduring demand they fulfill for state workforce and educational equity goals (Jones et al., 2017; Stewart, Wright, Perry, & Rankin, 2008). When HBCUs do not engage with policymakers—or vice versa—policymakers remain ignorant of the accomplishments and achievements made by HBCUs (Williams et al., 2018). Worse still, policymakers continue to fall back on their misperceptions extending, in some cases, to anti-blackness and racism. Consequently, recent scholarship on HBCU leaders has pointed to the need for HBCU presidents to be politically savvy, be knowledgeable about higher education policy, the policy environment, and to actively engage with policymakers in order to sustain and grow HBCUs in the twenty-first century (Freeman Jr, & Gasman, 2014).

Over two decades ago, *Black Issues in Higher Education* highlighted a trend of becoming more active in policy arenas through lobbying (Roach, 1996). Though this was a step in the right direction, the reporting framed HBCUs as a single monolithic entity. It is also not clear who the lobbyists forming these collaborative relationships are. Moreover, the article assumes that the HBCU leadership (whether it be the board, president, or other executive leadership) will take the advice to become politically engaged without being provided with any clear direction as to who exactly should be directing this political engagement, or how.

In a recent article, Lee and Keys (2013) with the Association of Public and Land-grant Universities (APLU) assert that HBCU leaders must engage with policymakers on both the state and federal levels in order to (1) set the policymaking agenda and (2) advocate for access and capacity-building that will strengthen HBCUs. While the report advocates for collective coalitions to support this effort, it emphasizes both the necessity and power of HBCU presidents to galvanize these coalitions while raising mere questions about how HBCU leaders might accomplish this goal. Comparing what successful HBCU leaders do—as in this study—with what successful policy actors do may help to identify points of synergy, overlap, and need to forge the way toward engagement with federal and

state legislators, foundations, and corporations. However, this prescription does not necessarily inform HBCU presidents on *how* to engage in policy arenas and with policymakers—who have historically misunderstood and disregarded their interests—once participation in policy has begun. On surface, the advice to become more involved in higher education policy seems simple, but the true nature of breaking into policymaking arenas is not widely known (Allan, 2017).

For HBCU presidents, penetrating the policy wall is not an idea often discussed, taught, or examined. This is a gap in both the literature and institutional practice. One way to begin the exploration of how HBCU leaders can be more engaged in external policy spaces is to examine what skills they already have and reimagine them for use in a policy context.

Necessary Skills for HBCU Presidents

There is a great deal of literature on the skills required for effective presidential leadership (Madsen, 2008; McDaniel, 2002; Neumann & Neumann, 1999; Nicholson, 2007; Padilla, 2005; Skinner, 2010; Smerek, 2011). The American Association of State Colleges and Universities (AASCU) also recently released a report on the competencies needed by college and university presidents. These competencies were organized around four areas: management, interpersonal, personal characteristics, and leadership (Rupp, Batz, Keith, Ng, Saef, & Howland, 2016). Within each of these competencies is a list of requisite skills. For example, within the competency of management, the AASCU&U states that college presidents should have a knowledge of the academic enterprise, business enterprise management, resource development, and stewardship. While this list of suggested skills is helpful toward understanding the essential role of a college president, it does not take in account two key areas that significantly shape the role of a HBCU presidents: (1) the sociohistorical legacy of HBCUs and (2) HBCU missions and the populations HBCUs serve.

Minor (2004) reminds us that decision-making should be considered within context. When it comes to HBCUs, the sociohistorical context of systematic exclusion, racism, and underfunding by the state must be remembered while making analysis. Many of the challenges that plague HBCUs are a direct consequence of the inequities that led to HBCU creation and affect the populations they serve. For example, HBCUs spend significant dollars on remedial education to help students who were taught in schools that are still racially and socioeconomically segregated on a de

facto basis. Yet HBCUs still receive disproportionately less appropriations than PWI, and also have dramatically smaller endowments. This allows leadership very little funding to spend on basic necessities such as maintenance and facilities, let alone time and resources to commit to policy advocacy. Considering this legacy and purpose, I focused only on literature that conceptualizes necessary skills for successful HBCU college presidents and the specific challenges they face in the position.

The literature on these skills is scant but growing. The role of a HBCU president is a formal executive leadership position and includes responsibilities such as formulating and implementing a vision of what the organization should be doing, strategic planning, fundraising, and, first and foremost, cultivating and managing relationships with internal and external stakeholders. The most common focus has been on what is needed from HBCU presidents to help HBCUs survive: to overcome financial challenges and management issues, to tackle and improve academic underperformance, and to improve leadership development. More recently, scholarship has begun to provide a platform for HBCU presidents to provide narratives of their experiences (Commodore, Freeman, Gasman, & Carter, 2016; Lewis, 2017; Williams et al., 2018). This strengths-based style of research helps to identify and replicate best practices for current and aspiring HBCU presidents.

The strengths of HBCU presidents are diversely described in the literature. Ramesh, Howlett, and Saguin (2016) describes how skilled policy actors must be able to identify and collect appropriate data for making decisions (i.e., make evidence-based decisions), communicate relevant policy messages to specific audiences (good communication—the ability to speak with diverse audiences), maintain communication with the external environment, maintain an awareness of and the ability to manage politics, be intentional and strategic in one's presentation, and possess integrity and charisma. This has been expanded upon by Freeman Jr., Commodore, Gasman, and Carter (2016), who argue that HBCU presidents should possess the following: a clear vision for the leadership, the ability to fundraise, an entrepreneurial disposition, the ability to understand and negotiate with faculty, the capability to manage the board, willingness to collaborate, and excellent communication skills. Within the ability to communicate, they also suggest that HBCU presidents should be able to talk to diverse audiences, practice transparency, be savvy with social media, and cultivate governmental relations. Esters et al. (2016), meanwhile, argue for a HBCU presidential toolkit that also includes forming stronger

relationships with external bodies such as state and federal government. They argue that policymaking expertise is the first skill every HBCU president should possess. Policymaking expertise requires two necessary skillsets: (1) understanding the local, state, and federal political system in which their HBCU operates and (2) having an awareness of federal and state funding systems.

It is clear from recent examinations of HBCU college presidents that the focus on cultivating awareness, knowledge, and relationships with external bodies—particularly policymaking bodies—is very important to the survival and growth of HBCUs. However, while the literature strongly suggests HBCU presidents reach out to policymakers, it does not provide much direction on how to go about doing so. This may be in large part due to the mystery and lack of knowledge of the policy arena and various ways stakeholders like HBCU presidents can become policy actors, as well as an unclear conceptualization of how administrative skills might transfer into a policy context.

Policy Literature: Arenas and Actors

Policy arenas are widely discussed in educational research but are rarely defined or conceptualized. Pinterič (2014) defines policy arenas as space where individual public policies are developed (p. 41). Pinterič also defines policy actors as persons or groups that play major and minor roles in policy development, adoption, and implementation at the federal state and local levels. Lowi (1972) proposes that policy arenas are instead political structures in which policies are developed according to predetermined governmental expected outputs. These political structures offer varying degrees of outside access and participation and are tied to the types of decisions made—some will benefit others, while some will deprive (Lowi, 1964). This outcome of winners and losers increases contention, competition, and controversy in policymaking. It also widens or narrows the scope of who can participate and engage in the policymaking process. Pinterič also warns that there are rules of inclusion based on the protocol, social capital, and competencies of any policy arena. This may explain why, for many people outside of the policymaking worldview, the policymaking arena seems mysterious, veiled, and even exclusionary (Parsons, 1997; Pinterič, 2014).

Parsons (1997) notes that one of the largest barriers to participation in policy arenas is that power rests with the members of the policy community

to define and solve problems for communities that are often isolated. Other scholars have noted that non-policymakers are often excluded from the ability to participate in policy arenas (Buras, 2011; Simon, Gold, & Cucchiara, 2011). While this issue has been increasingly addressed within literature on K-12 education (Piazza, 2015), it is not well covered in the higher education literature, especially in the literature on HBCUs.

There are various types of policy actors. Cahn (2012) provides a national overview of various types of federal policy actors such as congress, the president and the executive bureaucracy, the courts, political consultants, and non-institutional actors. He defines non-institutional actors as those who are not affiliated to independent policymaking institutions. This means that non-institutional actors include people such as publicly elected legislators and executives, the media, parties, and organized interest groups. Within this definition of policy actors, college presidents usually fall under the umbrella of "interest groups". Interest groups are defined in policy literature as citizens who participate in the policy process through communication with policymakers, either individually or collectively. Ness (2010) describes interest group activity as consisting of the interactions undertaken by state agency officials, governing board leaders, and campus presidents in directly lobbying governors and legislators, typically through private conversations and legislative testimony.

Dente (2014), meanwhile, creates a more nuanced and comprehensive typology of policy actors:

A. *Political actors*—represent citizens and make decisions based on popular consensus. They pay particular attention to public opinion since they often believe they are beholden to the public
B. *Bureaucratic actors*—represent their organizations and make decisions based on their legal state responsibilities
C. *Special interests*—can be individuals or groups that are interested in specific areas that affect their lives, whether they will suffer the costs or reap rewards from it
D. *General interests*—actors who represent those who are excluded from the policy arena and/or cannot defend or speak for themselves
E. *Experts*—actors who participate to share knowledge that will shape or address the problem appropriately

This broad conceptualization of different categories of actors is helpful for understanding the types of ways HBCU presidents could potentially

participate in policy arenas. Knowing the type of actor that is needed and/or required for a particular policy issue and arena can help an HBCU president develop a strategy for how to form relationships with as well as how to navigate within the policy arena.

Opportunities to Act

Within HBCU literature, I noticed many overlapping skills in discussions of what strengths often yield success for the institution. In order to construct a cohesive list from these prescriptions, I employed the axial qualitative coding technique. A code is a qualitative term denoting the label a researcher uses to capture the essence of a small portion of content. Researchers code across data in order to make meaning. Allen (2017) describes axial coding as a technique of "relating data together in order to reveal codes, categories, and subcategories…in other words to construct linkages between data" (p. 80).

Using this method, I eliminated repetition, collapsing some skills under one term that captured the concept. This final list includes good communication (speaking with diverse audiences); good communication (possessing transparency); possessing an awareness of federal, state, and local politics and funding systems; being collaborative; being entrepreneurial; making evidence-based decisions; networking with policymakers and other influencers; cultivating relationships with policymakers; possessing the ability to negotiate; possessing the ability to manage; and being media savvy. Much of the policy literature suggests success at influencing policy requires networking with policymakers and other influencers and coordinating collaboration with other organizations (i.e., being collaborative). This overlap in required skills for both HBCU presidents and policy actors underscores the great potential that lies within HBCU presidents to be intentional policy actors on behalf of HBCUs and the minoritized populations they serve. But what does all of this look like in practice?

Examining the policy issues that affect HBCUs may be the first step in reimagining how HBCU presidents can serve as policy actors. HBCU presidents have used their skills in the past to champion the expansion of federal funding (Dervarics, 1997), yet there are other areas they can focus on in the policy arena. In 2014, the Association of Governing Boards of Universities and Colleges published a report on the top strategic issues facing HBCUs. Drawing from the examples cited in the AGB report, I can

imagine a HBCU president utilizing their knowledge of federal funding policy and Title III-B to serve as both a bureaucratic actor and a special interest actor. In this scenario, the HBCU president could to satisfy their duties to their position by supporting sustained funding for operations, as well as informing policymakers how Title III funds can assist the mission and work of HBCUs.

Imagine a HBCU president serving as a special interest actor and an expert to discuss the negative unintended consequences of state performance funding, and then proposing and negotiating alternative metrics of performance that highlight the strengths of the HBCU. In Table 7.1, I provide a few key policy issues affecting HBCUs to illustrate how HBCU presidents can use the skills they already possess to engage in policy arenas as policy actors.

Recommendations for Practice and Research

In doing an inventory of their existing skills to assess—and apply—their current strengths to the policy arena, HBCU presidents may also identify what is needed toward their own skill development for more effective leadership and to fully utilize their skills in the policy arena. In order to prepare to engage in policymaking, HBCU presidents should also consider their current institutional goals and needs and work with institutional boards to incorporate policy engagement plans into their strategies. HBCU boards of trustees should also explicitly identify policy engagement as a responsibility and expectation when recruiting presidential candidates to encourage increased HBCU participation in the policy arena.

Aspiring HBCU leaders should pursue more explicit discussion and education about the various arenas relevant to the institution. This could come in the form of shadowing, which would allow aspiring presidents to watch how current HBCU presidents engage in policy arenas. Graduate training programs in higher education can also incorporate readings and discussion about non-governmental actors engaging in policymaking.

Moreover, this discussion of policy actors is just a start to reimagining how HBCU presidents can act as policy actors. There are multiple different ways to define policy actors and policy arenas that may describe or create new opportunities for HBCU presidents to participate in policymaking that this study does not cover. As there is a dearth of research on policy arenas and policymakers who interact with HBCUs, conceptualizations such as this

Table 7.1 Examples of ways HBCU presidents can act as policy actors

Examples of HBCU areas of interest	*Type of actor*	*Skill(s) used*
State suggestions of closure or merging of institutions that don't meet state criteria	*Special interest*—representing the negative impact on institutional stakeholders *General interest*—advocating for the interests of minoritized students who may be future HBCU attendees	• An awareness of state and local politics • Cultivating relationships with policymakers • Networking with policymakers and other influencers • Being media savvy
Advocating for sustained and expanded Title III-B funding, expanding the HBCU Capital Financing Program, increasing the maximum Pell Grant	*Bureaucratic*—representing the funding and operating needs of their institution *Special interest*—representing the positive impact on institution and institutional stakeholders	• An awareness of federal politics and funding systems • Networking with policymakers and other influencers • Making evidence-based decisions • Good communication—speaking with diverse audiences
Informing on unintended consequences and negative impacts of state performance funding policies	*Expert*—offering expertise on the achievements and strengths of HBCUs *Special interest*—representing the negative impact of state funding policies on their institution	• An awareness of state funding systems • Making evidence-based decisions • Networking with policymakers and other influencers • Cultivating relationships with policymakers
Providing input and crafting alternative metrics of accountability that emphasize strengths of the HBCU	*Special interest*—representing positive benefits of identifying metrics in which the HBCU excels *Expert*—providing data on what the institution excels at and where it adds value	• Good communication—speaking with diverse audiences and transparency • An awareness of state politics and funding systems • Being collaborative • Being entrepreneurial • Making evidence-based decisions • Cultivating relationships with policymakers • The ability to negotiate

one should be tested, revised, and built upon by future scholars—both qualitatively and quantitatively—to contribute positive strengths-based assessments of HBCUs to the body of educational literature.

Conclusion

Jones, Datta, and Jones (2009) describe a rise in participation in policymaking by non-governmental actors. This trend should be supported as a part of a HBCU's presidential duties. Engaging with policymakers offers opportunities for HBCU presidents to offer their knowledge in informing and shaping policymaking at both the state and federal level. Kumah-Abiwu (2016) asserts that one of the most enduring challenges facing black people is the struggle to redefine the distorted image, widespread negative stereotypes, and racial and social injustices (p. 12). As the cornerstone of higher education for many African-Americans, HBCUs are in the unique position to translate alternative policy ideas/options from a perspective that has been largely excluded and misunderstood to help address these distortions.

However—as gaps in the existing literature confirm—it is not enough to issue a directive to become more involved in policy arenas. HBCU leadership must be encouraged and shown a clear path toward that end. Firstly, HBCU presidents cannot passively wait to be included. They must intentionally seek out ways to plan to engage with the policy community. Secondly, the sociohistorical legacy of HBCUs demands that those who lead them possess specific skills to sustain their institutions and overcome the challenges that come with serving minoritized populations. The same skills HBCU presidents use to lead are the same skills that would make them formidable policy actors. Communication and collaboration skills can not only help within the policy arena, but in building alliances and relationships leading up to policy advocacy. This study demonstrated one way to frame existing HBCU presidential strengths to fit into a policy environment in the hopes of encouraging HBCU leadership to pursue policy participation more aggressively, and to further the trend of strengths-based analyses of HBCU leadership in educational literature.

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CHAPTER 8

Effective Leadership at a Hispanic-Serving Institution: Critical Attributes and Principles

JoAnn Canales and T. Jaime Chahin

Does history shape leaders or do leaders shape history? In their book *The Contrarian's Guide to Leadership*, Sample and Bennis (2003) pose a conundrum that warrants careful consideration given the focus of this chapter. It makes us reflect on whether or not it is possible to talk about leaders as architects of institutional development. The premise of this chapter is our belief that leadership is a result of our socialization process and is influenced by our interactions with family, community, organizations, formal institutions, and cultural experiences. And, if that is the case, is it possible to identify and describe the attributes of leadership at a Hispanic-Serving Institution (HSI)?

Leaders of HSIs have a significant role in developing the institutional capacity to impact and transform the lives, experiences, and learning opportunities of their students because they enroll the majority of Hispanics in the

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United States yet Hispanics still lag behind other groups in obtaining a four-year degree. This is due, in part, to the fact that nearly half of those attend public two-year colleges where more Hispanics enroll than any other race/ethnicity. Other contributing factors to successful attainment of a postsecondary education are the unique challenges faced by Hispanics, including their age of immigration, the level and quality of schooling in their country of origin, the level of English language proficiency, pressing economic needs, and legal status. The effect of these challenges on their educational aspirations must be recognized, understood, and addressed by administrators, faculty, and staff at HSIs in order to address the significant educational attainment gap that has persisted for decades (ACE, 2011).

Unquestionably, there are leadership skill sets, for example, collaboration, public relations, and fiscal responsibilities that can be learned in the numerous leadership programs available. Skill sets alone, while necessary, are not sufficient for effective leadership. That would presume that leaders are at the helm of organized, linear, and predictable environments. Because environments are filled with people, the expectation of any entity with these characteristics is not only naïve but unrealistic. An institution of higher education (IHE) is no different than any other organization. In fact, the complexities are exponentially multiplied at HSIs because of the multitude of individuals from diverse backgrounds and experiences, albeit not reflective of the student population, with differing levels of education, academic disciplines, and a myriad of roles and responsibilities governed by, in many cases, federal, state, and board regulations. Thus, needed is a clear institutional road map with short- and long-term benchmarks informed by a data-guided self-analysis of policies and practices at the university level, as well as at the individual unit level, for example, colleges, enrollment management, faculty/staff development, student services, co/extra-curricular offerings, health services, development, technology, and financial aid. Such a road map also needs to consider the realities of preparing individuals to survive and thrive in the twenty-first century.

In addition, what is needed are transformational leaders at all levels with the courage to challenge the status quo. These individuals need to have not only strong administrative skill sets but also unwavering values and integrity to the leadership enterprise. We recognize that raising the notion of 'values' can readily invoke a hostile reaction over the definition, origin, and/or affiliation of values that can quickly deteriorate into uncivil discourse and derail the intent of the statement. However, we posit that the values common to the culture of the population served in a Hispanic-Serving Institution, particularly those of resilience, unity, resourcefulness,

responsibility, commitment to education, and social consciousness, must inform one's personal leadership style (Chahín, 2017). It might also beg the question, are different skill sets and values needed to lead different types of institutions? Our intent is to create a comprehensive understanding of what appears to be an elusive, complex phenomenon that will have meaning for key stakeholders at every level, from the students and families served to educators and policymakers.

Perhaps unique to a chapter on leadership, readers will find dichos (sayings of wisdom) sprinkled throughout to illustrate various guiding principles. Chahín, Villarruel, and Viramontez (1999) reported that dichos play a vital role in the socialization process of individuals raised in a Hispanic culture. They are used to shape family norms and guiding principles because they are grounded in observations of human interaction and cultural values that have transcended generations. They have been used by Hispanic families as one means of making sense and understanding environments that are not culturally congruent, for example, *Cada chango con su mecate* (Everyone has their own perspective).

We begin by explaining the uniqueness of a HSI and follow in addressing the characteristics and traits needed at the various levels of the stakeholders with specific suggestions for design principles in developing mission statements, administrative goals to be considered, and a culturally responsive approach to teaching and learning. These descriptions are followed by a discussion and recommendations section that will hopefully inform both current and future leaders.

A Legal and Conceptual Definition of a Hispanic-Serving Institution

As has been widely noted, what sets HSIs apart from the other types of institutions serving an underrepresented minority, namely Historically Black Colleges and Universities (HBCUs) and Tribal Colleges, is the origin of the label. Through the concerted lobbying efforts of the Hispanic Association of Colleges and Universities (HACU) and the Hispanic congressional delegation, HSIs were designated by federal legislation in the Higher Education Act of 1992 (HEA, 20 USCA section 1101A). In order to qualify as a Hispanic-Serving Institution, the degree-granting institution of higher education must have more than 25% of undergraduate full-time equivalent enrolled students of Hispanic descent and more than 50% identified as low-income individuals as determined by the U.S. Census Bureau.

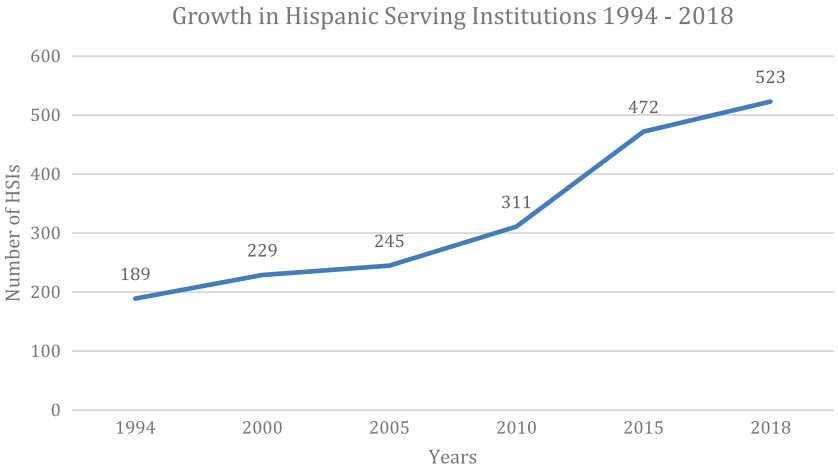

Fig. 8.1 HSI growth: 1994–2018

According to HACU, there are 523 HSIs, including both private and public institutions (see Fig. 8.1). Collectively they enroll 4,495,928 students and serve 2,066,468 (66%) of all Hispanic enrollment. The majority of HSIs are under-resourced and have multiple missions. Because they have served a non-traditional student population of primarily first-generation students who are place-bound, they do not benefit from healthy endowments that facilitate state-of-the-art facilities that can lure and sustain high-quality programs and faculty and enhance the academic and economic experiences of students.

When granted federal status as HSIs, however, they are then eligible for set-aside federal funding. These additional funding opportunities are particularly beneficial for a variety of reasons. Namely, as state resources dwindle, the additional funding, if awarded, enables them to be more competitive in attracting prestigious faculty and impacting student retention with targeted interventions. When decreasing state support is coupled with the absence of significant endowments, this external funding becomes even more critical to recruiting *and* retaining outstanding faculty and providing support for students. These funds provide resources to conduct research, disseminate findings at conferences, and engage students in their academic and professional development.

Given that HSIs are federally designated based on *enrollment* and are not mission-driven in the way that HBCUs and Tribal Colleges are, it is important to address what it means to be a Hispanic-*Serving* versus a Hispanic-*Enrolling* Institution (Malcolm-Piqueux & Bensimon, 2015; Marin & Pereschica, 2017). The growth in HSIs and the high proportion of Hispanic students enrolled call for there to be a clear definition of Hispanic *serving* in order to increase the educational opportunity and attainment among the fastest-growing demographic population in the United States.

HSI Equity Design Principles

Malcolm-Piqueux and Bensimon (2015) propose five (5) design principles for equity and access assessments of HSIs as a means of "inform[ing] ongoing dialogue on what it means to be authentically Hispanic-Serving" (p. 2). Principle One addresses the importance of institutions having a clear statement of commitment that is reflected in the institutional identity, mission, priorities, and goals at every level in the institution. Principle Two speaks to the need for student learning and success as core shared values among institutional leadership, faculty, and staff. Principle Three focuses on the messaging to internal and external constituencies as evidenced by attention to what is measured, controlled, and rewarded for assessment and improvement is critical to impact retention and graduation. More specifically, it refers to systematically examining all educational outcome data disaggregated by race and ethnicity, adopting metrics to measure equity in outcomes, engaging in performance benchmarking, and modeling the practice of equity-minded data interpretation.

Principle Four addresses the need to promote and ensure equity in outcomes by continuously engaging in ongoing reflexive analyses of policies and practices. For example, questioning the practice of orientation fees of $75 per person while making the case that undergraduate orientation is a critical factor in student success. For first-generation families with limited resources, already struggling financially and must choose between feeding a family and attending orientation, this raises the question of inequity. Principle Five reinforces the need to create an organizational climate that is culturally inclusive, responsive, and welcoming. The overarching message of the design principles is the clear need for commitment and intentionality.

An example of an institution that undertook such a self-examination of their actual engagement and implementation of diversity efforts was San José State University (Halualani, Haiker, & Lancaster, 2010). Over a four-month period, using mapping diversity as their inquiry approach, all diversity efforts were solicited, analyzed, and categorized as central or partial to the mission. Themes and questions arising from the analysis then served as the foci of campus conversations. These conversations, in turn, led to the creation of a diversity master plan complete with outcomes, goals, objectives, and actions steps. The outcomes, goals, and objectives addressed the critical needs identified in the analysis. They included diversifying academic staff, creating a supportive and inclusive environment for all campus members, and engaging the campus community around diversity and inclusive excellence in the areas of student learning, professional development for all employees, and skill sets identification across all majors and fields (Halualani et al., 2010). The authors were very explicit in stating that at the core of the success for the mapping diversity initiative was the unwavering support of the University President.

The Role of Administration

This leads to the critical question of leadership: what would characterize *effective leadership* at a Hispanic-*Serving* Institution driven by the five design principles? In his address to graduate deans at their 57th Annual Meeting, the President of Arizona State University stated, "We define success not by who we exclude but by who we include" (Crow, 2017). If HSIs are to create inclusive climates, particularly for those that are place-bound and in need of social, economic, and academic development, meaningful and intentional change must begin with proper planning and orchestration of goals, clearly defined activities, and measures of accountability. This will necessitate a shift in direction of resources, which, in turn, should result in improved and enhanced outcomes. Leaders wanting to create and facilitate change to promote diversity need team members with diverse perspectives and the courage to alter the institutional trajectory. In other words, *No hay cambio sin sueños y no hay sueños sin esperanza*. (There is no change without dreams and no dreams without hope.)

Often referred to as transformational leaders, these individuals are willing to move away from the status quo to achieve change that is meaningful and that impacts critical mass in a constructive way to benefit the students (Whittaker, Montgomery, & Martinez-Acosta, 2015).

What constitutes critical mass? How do we assess when critical mass has been reached? Perhaps the best definition of critical mass came from a now former U.S. Supreme Court Justice Sandra Day O'Connor citing the testimony of the University of Michigan's Law School Director of Admissions and a Law School Professor in the *Grutter v. Bollinger* ruling that upheld the 1978 ruling in *Regents of the University of California v. Bakke*. The Director of Admissions stated critical mass is defined as "meaningful representation" or a number that "encourages underrepresented minority students to participate in the classroom and not feel isolated". It was posed that "when a critical mass of underrepresented minority students is present, racial stereotypes lose their force because nonminority students learn there is no 'minority viewpoint', but rather a variety of viewpoints among minority students" (JUSTIA, 2003, p. 319). These two practical and operational definitions provide guidance in determining critical mass that allows for variance among institutions rather than providing a fixed percentage or raw number.

Defining key terms is an essential component in the process of institutional self-examination, the foundation of the development, and operationalization of a strategic plan for a Hispanic-Serving Institution. Clear definitions of terms, such as those offered by the Association of American Colleges and Universities website, can lead to a shared understanding of concepts to facilitate the difficult conversations that need to occur.

In addition to key definitions, organizational change is also driven by key questions. Arciniega (2012) offered five such questions to guide the vectors of organizational change. The questions focused on meeting student needs, assessing institutional 'wellness', reevaluating resource allocation, engaging appropriate leadership, and committing to core principles. In short, who are we? Where are we? What do we want to become? What is it going to take to get there? And who is on the team? These key questions closely align with the five (5) design principles posed by Malcom-Piqueux and Bensimon (2015). In both instances, at the core of the conversation is having a mission focused on the public good, that is, providing services useful for the general public, such as education and infrastructure. Perhaps starting with such a focus as a core value would enable leaders of all institutions, especially those targeting historically underserved populations, to effectively lead an institution given that education is the foundation of a democratic society.

Contributing to the need for self-examination are the considerably altered makeup of the postsecondary population and the technological

advancements in the twenty-first century. The confluence of the changing demographics leading to the increase in high school graduation of minority students coupled with the organic evolution of knowledge and skills needed to survive and thrive in the workforce has caused corporations to look to colleges and universities to provide them with appropriately trained workforces. Yet faculty have resisted this workforce-driven mission (Martinez, 1999; Seltzer, 2016). This is where data-informed decision-making can serve as the catalyst. An analysis of student performance, faculty capacity, program and course content, frequency of course offerings, time and delivery of course offerings, course sequencing, and time to degree can unveil where there are gaps and opportunities for improvement. As with the case of San José State University, findings can drive conversations regarding defining terminology so that all stakeholders are clear about the concepts being discussed. Unless all are in agreement and can articulate what it means to 'be doing well', that is, are students graduating with high grade point averages, readily finding employment, being sought after by prestigious well-paying firms, pursuing graduate or professional degrees, committing to the public good, and engaging in service to others, the efficacy of the initiative will remain in question.

Assuming a willingness to move forward and change, creative, transformational leaders at HSIs need to be surrounded by teams of competent, credentialed, and experienced individuals committed to the mission (Belasen, 2000). As a collective body, they understand the importance of the mission and buy into the notion that in order to be successful, it is about 'inviting the other' (Moyers, 1989). The old adage, there is strength in numbers, was never truer than when trying to undertake significant change in an environment well known for its glacier-speed decision-making.

Administrative leaders must also have the courage to develop a faculty recruitment plan that attracts diverse applicants with a range of applied and research backgrounds (Whittaker et al., 2015). Often referred to as target of opportunity hires, such a plan can undergird seeking a diversity of input to understand the needs and what needs to be done. The concept of inviting a diversity of perspectives to the conversation is a core value versus surrounding oneself with like-minded individuals who, albeit well-intentioned, can derail the well-intentioned mission.

To achieve and undertake the aforementioned, the president has to believe that there is nothing more key and critical to the future of the institution than undertaking the change being proposed. While the principles of leadership might not change, the application of resources will

need to change given the shift in demographics, diminished state and federal support, advances in technology, and ubiquitous use of social media. This is where leaders of HSIs have a unique advantage to strategically leverage federal, state, corporate, and foundational resources set aside to target special populations. As findings indicate, economic factors continue to be an obstacle for pursuing a postsecondary education often opting to enter the military or obtain gainful employment upon graduating from high school to help support their family.

Effective leaders set the tone by allocating funding to develop the intellectual and resource capacity of the HSI. Such resources cannot only serve to build human capital and capacity, they can help build technology infrastructure to facilitate utilization of the abundance of data available, enhance the dissemination of information to all stakeholders, and deliver instruction. In sum, strategic leveraging of additional resources provides an opportunity to reimagine how we interact with each other, share knowledge, and reduce isolation to construct an environment of belonging and affiliation for all students.

The Role of the Staff

Central to having an inclusive environment at an HSI is the staff, the individuals whose schedule and responsibilities essentially make them the frontline of an institution. They are not only the first individuals that the students and their families will interact with, but typically the most frequent as well. They are a pivotal link to faculty, as well as staff in other units, and need to have an appreciation for the critical role they fill in the complex bureaucracy of an institution of higher education.

In addition to ensuring that staff have the knowledge and skills required for their positions, there is also a need for professional development focused on intercultural competency in order for them to effectively execute their functions. Among the important topics are problem-solving, networking, building trusting relationships, understanding the cultural context of the workplace, and operating in an intercultural environment all with a focus on positively impacting the experiences of the students, their families, their peers, and the faculty.

The ultimate goal is to develop the full potential of the staff and build a climate of collaboration and inclusion, a process defined by an unknown

source as 'an unnatural act among consenting adults'. Pivotal to such a professional development initiative are the following components:

- Creating a climate of inclusion that recognizes intercultural differences;
- Data analysis to develop appropriate strategies that strengthen the areas in need of improvement to serve students better;
- Cross-training of staff to prepare for greater responsibility and appreciation for the interdependency of responsibilities to ensure efficacy;
- The setting of goals aligned with the mission of the university with follow-up indicators to assess results on an ongoing basis; and
- Providing incentives to recognize outcomes, as well as honor and celebrate achievements.

An example of just such a professional development program at Texas A&M University-Corpus Christi is the Leadership, Excellence, and Development (LEAD) program. The purpose of the program is to equip participants with the knowledge, skills, and competencies necessary to be a highly effective supervisor, manager, and/or administrator on campus. The 50-hour training program includes both face-to-face and online delivery modules utilizing real-life scenarios and a variety of pedagogical approaches addressing interpersonal influence/effectiveness, team effectiveness, and organizational effectiveness. At the successful conclusion of the program, their professional headshots are visibly placed in a public space on campus.

While largely managerial, the end result for the approximately 50 participants who have been involved to date was one of developing an understanding and appreciation of the complexity of the various units on campus and their interrelated dependency. It also provided an opportunity for them to socialize formally and informally, build relationships, and develop critical networks across campus units. At the core of the initiative is an opportunity to grow their leadership skills by learning to effectively communicate, delegate, and manage priorities; increase employee productivity, morale, and work quality; and focus their time and efforts on achieving key results by understanding and implementing systems thinking. Time spent developing trusting and supportive relationships among the staff cannot be sufficiently underscored given their role as the frontline team members students and their families first encounter and administrators and faculty rely on to execute their own responsibilities.

The Role of the Faculty

For many students in HSIs, however, it is conceivable that once enrolled, faculty will be the front liners, particularly if they are non-traditional, non-residential students whose responsibilities extend beyond those of the traditional, full-time student. According to the Fall 2016 data available from the National Center for Education Statistics (2018), only 4.6% (N=37,513) of the 815,760 total faculty (from full professor rank to 'other faculty') are Hispanic. When considering only those at the assistant, associate, or full professor rank, the percentage drops to 4% (N = 21,475 out of a total of 517,091). These percentages have remained relatively constant since fall 2013. The reality of having a faculty population to 'mirror' the student population remains an elusive goal. As such, *all* faculty have a professional and moral responsibility to deliberately and conscientiously attend to the needs of the students and the diverse cultural backgrounds and experiences represented, in addition to delivering the academic content (Gay, 2000; Hurtado & Ruiz, 2012; Kuh, 2008; Malcom-Piqueux & Bensimon, 2015).

While obtaining an educational degree might be seen as the great equalizer affording opportunities for all to survive and thrive in the twenty-first century, the concepts of cultural neutrality and cultural dominance so prevalent in today's society must be challenged. There is a need to understand the historical contributions from a variety of cultures at the global, national, regional, and local levels so that students from diverse backgrounds can see the relevance of the curriculum to their educational aspirations. The continued emphasis on curricular offerings grounded in the cultural fabric of Western European and middle-class origins contributes to the cultural incongruity between the system and its underrepresented student population (Gay, 2000). This makes it difficult for individuals of diverse cultural backgrounds to 'find their voice' and navigate the nuances of how to succeed academically.

This leads to the need for yet another question—what is meant by culture? Delgado-Gaitan and Trueba (1991) define culture as a dynamic system of social values, cognitive codes, behavioral standards, worldviews, and beliefs used to give order and meaning to our own lives as well as lives of others. Given that interpretation, it is incumbent upon the faculty to engage in culturally responsive teaching (CRT) and pedagogy (CRP) (Banks & McGee Banks, 2010; Gay, 2000; Malcom-Piqueux & Bensimon, 2015). Whether this approach is called responsive, or relevant, or centered, or any number of other descriptors, the essence of the intent should

be the focus. In her book titled *Culturally Responsive Teaching* (2000), Geneva Gay identified six (6) characteristics that are noteworthy. And while the focus of her book was on K-12 teaching and learning, it is important to note that sound teaching and learning practices transcend grade levels and ages of learners, and the concept has also been utilized in promising practices discussions in higher education (Kuh, 2008; Malcom-Piqueux & Bensimon, 2015; Zambrana & Hurtado, 2015). Gay (2000) contends that CRT is:

Validating: enabling students to identify with the content and thus more likely to be more engaged and active learners;
Comprehensive: addressing the effective as well as cognitive aspects of learning via relevant material situated in the larger societal context and its relationship to them as members of a multicultural society;
Multidimensional: teaching students how to obtain and assess evidence to inform opinions and decisions utilizing multiple ways of learning—didactically, electronically, and collaboratively;
Empowering: teaching students how to engage in civil discourse to express opinions and acquire conversational competencies that will facilitate their navigating various systems (Headlee, 2015; Blades & Gable, 2017);
Transformative: incorporating opportunities for students to engage in the public good helping to alter the lives of those around them as well as their own lives; and
Emancipatory: inculcating the capacity to process and critique information and to interact at various levels with individuals from all walks of life.

When CRT is coupled with the pedagogy of 'story', students can learn how to create data-informed, compelling persuasive arguments. Rosaldo (1989) makes a case for the use of story in that it helps to "shape, rather than simply reflect, human conduct". Stories have the potential to bring clarity to the abstract and to contextualize faces, places, and spaces to bring meaning that would otherwise be obtuse. By utilizing this culturally responsive teaching and learning approach, student capacity for navigating their educational experience is strengthened as is reinforced by the *dicho*, *El que sabe nadar, no se ahoga* (S/he who knows how to swim will not drown).

To this end, administrators at every level and faculty can play a critical leadership role and ensure that CRT practices are rewarded as part of the promotion, tenure, and merit. This would not only help to institutionalize the initiatives but also celebrate teaching and learning practices that are meaningful, purposeful, and engaging (Palmer, 1998).

The Role of Student Services

The educational enrollment, attainment, and overall earnings statistics of underserved populations of students, and particularly Hispanic students, at any level—high school, postsecondary, masters, or doctoral—is a widely known travesty (Carnevale & Fasules, 2017). Also well known are the financial and personal barriers that contribute to the access and success of this population, for example, cost of tuition, fees, and books or serving as caretakers of parents and/or children as single parents. There are enough compelling narratives, however, of successful individuals to warrant examining the common threads and their contribution to their triumphant journey. The challenge for students, especially non-traditional, first-generation students, is not only learning about the myriad of opportunities available but how to avail themselves of these opportunities. How can institutions help students better navigate the nuances of higher education?

For students and parents alike, understanding the bureaucracy of how higher education is structured can be daunting. While there are required orientation events for both students and parents at the undergraduate level, that is not the case for graduate students who also need help navigating the system. What would be of immense value is a 'one-stop' center for students where they can have access to information and resources related to social, educational, and professional opportunities, financial aid, academic advising, and professional development, much like the one implemented by Denison University (Supiano, 2018a, 2018b).

Communicating Opportunities

While there is considerable hype around best practice(s), in reality, there are no *best practices* but rather *promising practices.* There is so much variation among individuals and their preferences for accessing information that a comprehensive, eclectic approach can serve a broader and wider audience. Social media continues to be the most cost-effective medium for reaching

large numbers of students. Here again, rather than limit oneself to one venue, it is advisable to employ as many avenues as possible to communicate with students and their families. With software that allows for a single posting to transcend media sources, maintaining a web presence and electronically communicating with stakeholders has been greatly facilitated. That said, one cannot assume that all members of the Hispanic population have access to multiple forms of technology other than perhaps a smartphone.

Other alternatives then that employ face-to-face interactions are also useful. These would include such venues as regional, state, and national events, for example, University Interscholastic League (UIL) competitions, public spaces on campus or outside of campus where students gather to mingle, neighborhood centers and churches, and shopping centers. In addition to relying on staff for these events, utilizing students who have experienced success despite seemingly insurmountable hurdles to tell their story via multiple venues, for example, YouTube, can also be very effective.

Financial Aid

An area that requires explicit and transparent communication because it is one of the least understood and most complex infrastructures at an institution of higher education is that of financial aid. Assisting first-generation students and their parents/guardians demystify the process and the implications are essential in order to help them make informed decisions that will have long-term consequences. Critical to this is having knowledgeable and competent financial aid advisors at HSIs who understand that loans should be the *last* recourse in a student loan package as many Hispanic families are adverse to borrowing money and significantly less likely to incur student debt. The importance of offering financial aid literacy and understanding the cost of education workshops, in lay terms, as early as high school and continuing once enrolled, in both English and Spanish, to prospective students and their parents/guardians, cannot be ignored.

Academic Advising, Career Preparation, and Co-curricular Professional Development

Equally important is having staff with a broad knowledge of resources as well as a deep understanding of the workforce needs so they can assist students in completing the disciplinary requirements of the various degree programs with the knowledge and skills that will prepare them for access

and success into their careers. Among helpful key resources include College Abacus, a search site that provides cost information on more than 5000 institutions enabling one to compare the net cost of attending an institution prior to investing the time and resources in completing an application or making a financial commitment. Also useful is PayScale, a report based on surveys of college graduates that ranks institutions based on their graduates' majors, degrees, employment, and subsequent salary. Such resources can unriddle the process of determining educational and or career pathways and help narrow the options to explore prior to making a commitment.

There are also various employment opportunities beyond the traditional ones many are exposed to, for example, teachers, doctors, lawyers, and numerous avenues for gaining entry into the myriad of professions. Helping students understand themselves, their strengths, and their areas for improvement early in their university experience through self-awareness assessments can help them map a co-curricular set of experiences that will maximize their traditional journey through a degree program. One suggestion is to have a menu of options for developing critical workplace skills, that is, communication (verbal and written), leadership, collaboration, and project management. The options can range from experiences they may be engaged in personally as caretakers to volunteer/student organizations on or off campus to paid internships. Capitalizing on the value of their lived experiences enables them to identify and expand upon knowledge and skills that can transfer readily into workplace settings. Gaining experience in volunteer/student organizations can inculcate the importance of 'paying forward' as a means of serving the public good, and internships can not only be a source of income but also a source of exploration to determine interests, prospects, and networking support to guide their career trajectory. Such a process in place, coupled with the guidance of caring and informed counselors who can advise on academic programs as well as assist with constructing an individualized plan to complement their degree requirements, can help students be successful individuals in any environment. In other words, *El que es buen gallo, en cualquier gallinero canta* (If you are good, you will succeed in any environment).

Student Organization Support

The majority of students in a HSI, while not likely to have a great deal of time to participate in extra-curricular activities, still need options for align-

ing with a student organization that will advance and complement their educational trajectory. Student government organizations, discipline-specific organizations, or affinity support groups can all serve as vehicles for engaging students and strengthening their connection to the institution. Such a structure requires financial and staffing support to ensure that the organizations' mission and implementation of activities align with the mission of the HSI and are available to all students.

Public Spaces

Many non-traditional students are in need of a quiet place to study, tackle a major project, or engage in group work, which is equipped with the requisite technology, for example, computers, printers (including 3D printers), as well as academic-specific software (including geographic information systems, statistical packages, qualitative analysis). Having such resources for students allows for faculty to assign creative and meaningful assignments for students to engage in innovative and useful team research projects tackling real-world problems.

Sponsorship

It is clear from the completion statistics (Carnevale & Fasules, 2017) that Hispanic students, especially first-generation college attendees and those from a low socioeconomic status, need intrusive guidance and counseling to make smart choices. Many come with preconceived notions of their capabilities and capacities, that is, 'I'm not good at math', which must be dispelled. There are many excellent strategies and resources available to help address the needs of the Hispanic college student population. A few examples include the following:

- *Great Mentoring in Graduate School: A Quick Start Guide for Protégés*
- The University of New Mexico's annual conference on mentoring
- The Career + Psychosocial Mentoring Map, a very useful tool in helping identify the variety of mentors needed to succeed academically and professionally (National Center for Faculty Development and Diversity, 2011)

Harnessing all of these excellent strategies and opportunities so that all students avail themselves of the possibilities should be a priority at HSIs,

especially as the majority of the students are the first in their families to navigate the system.

The Role of the Research Enhancement Unit

A major influence in effective leadership at HSIs to support the critical initiatives of faculty and students is the research enhancement unit. Many of the models for successful strategies at HSIs have evolved as a result of federal or philanthropic funding targeted specifically at underserved populations. Federal agencies have set aside allocations to undertake projects that involve students, faculty, community colleges, state universities, and Research I institutions interested in building research capacity and developing talent. Among these are the Department of Education (DOE), Department of Energy (DOE), Department of Justice (DOJ), Economic Development Association (EDA), Health and Human Services (HHS), Health Resources and Services Administration (HRSA), Housing and Urban Development (HUD), National Institute of Health (NIH), and the United States Department of Agriculture/National Institute of Food and Agriculture (USDA/NIFA), to name a few. Funded activities can include research and professional development, tuition for students, experiential learning opportunities, and internships in federal laboratories. Some specific illustrations include the following:

- Department of Education Title V has funded student intervention retention initiatives.
- USDA/NIFA has funded proposals that target Hispanics or other underrepresented minorities to engage in research, complete internships at research labs, and publish and present professional papers at meetings.
- National Science Foundation (NSF) has targeted underserved populations for exposure and participation in scientific fields.
- HHS has targeted projects that train students to conduct research with underrepresented families and adolescents in Hispanic communities.
- HRSA has targeted training projects for social workers to work with child protective services in response to the needs of children.
- HUD has provided funding to develop partnerships between colonias (neighborhoods with poor or non-existent infrastructures for utilities) and institutions of higher education.

Philanthropic organizations such as the Lumina Foundation, Kellogg, Sloan, Gates, and Ford also identify targeted populations as part of their organizational mission, enabling them to concentrate their financial and human resources in a more focused approach. While research and creative activity can be a challenge at HSIs due to the heavy teaching load of the faculty, there are key strategies that evidence effective leadership in this arena. They range from having infrastructural support for grant proposal development to incentivizing research and creative activity undertakings and ensuring the institutionalization of the initiatives. Examples of infrastructural support include providing pre- and post-award support in each college to assist in developing budgets as well as editing and submitting proposals, offering funding for reassigned time to work on proposals and/or support a graduate assistant to assist, and identifying federal funding opportunities to share with faculty that target first-generation students. As an example of incentivization, professors at Texas State who are grant funded for 25% of their instructional time from successful grant proposals receive a bonus taken from the institutional salary savings (35%) as well as a percentage of the indirect cost to support their grant activities.

The Role of Professional Leadership Development

Since the eighteenth century, there have been questions regarding the need to go beyond subsistence with a focus on the improvement of society. In the twenty-first century, four centuries later, similar conversations are occurring regarding the role and responsibility of the academy. How do we prepare today's student population for tomorrow? How do we make public higher education accessible, relevant, and adaptable to a changing economy? How do we capitalize on technological advancements to create a more inclusive climate and community? How do we prepare place-bound students for a global economy? These are all questions that challenge the current discipline-specific delivery structure of today's IHEs, irrespective of the populations served. Concomitantly, IHEs are criticized for a lack of responsiveness to societal and workplace needs which suggests that this is a pivotal opportunity for an introspective examination of program offerings and their relevancy. Recognizing the behemoth undertaking of such a recommendation, there are some initial short-term measures that can be institutionalized with careful and mindful attention to needs and resources, both financial and human.

IHEs can follow the lead of industries in the private sector. Employers in every area of industry, whether small or large, never presume that their new hires have the complement of knowledge and skills necessary to function appropriately, let alone adequately. Embedded in every job are roles and responsibilities unique to the work environment that must be learned. Yet, at institutions of higher education, assumptions are made that new hires—staff, faculty, and administrators—arrive knowing how to effectively navigate the nuances of the higher education environment. This holds true even for those that have experience in the IHE environment despite the dramatic differences in culture across institutions by geographic location, institutional affiliation, Carnegie classification, or populations served.

Needed are strategic, mission-driven campus appropriate professional development programs for all university community stakeholders, including students, that go beyond the required training currently in place, that is, FERPA, Title IX, Fraud Waste, and so on. HSIs should have as part of their strategic plan a 'common core' of required training that is aligned with the mission, that is, cultural competency. Additional examples of training for the various stakeholders in the university community include:

- Students: workplace skills development that complements their degree, for example, project management or certification in food safety, environment, nutrition, water, and soils
- Staff: understanding the cultural differences in mental health issues of students
- Faculty: intercultural communication, integrating culturally relevant curricular offerings, and pedagogical content knowledge delivery—both didactic and online
- Administrators: strategic planning utilizing and understanding demographic data to inform current and future needs that are sensitive to cultural norms, build trust with the stakeholders, especially parents/guardians of first-generation students, and leverage role models in their community.

The Role of Partnerships

Institutions of higher education have acquired, from our perspective, pejorative labels over time, for example, the ivory tower and town-gown institutions. This suggests an elitist predisposition with an unwillingness

to collaborate with others outside the hallowed halls, or with other institutions outside of the same Carnegie classification. Instances where there have been collaborations have been driven by either state mandates, federal agency funding requirements, or philanthropic funding expectations and requisites.

Given the changing societal demographics, the finite resources, and the increasing complexity of surviving and thriving in the twenty-first century, it is imperative that strategic, thoughtful, and mindful partnerships be proactive versus a reactive institutional mission goal to better leverage resources and opportunities for the students. Partnerships can be multifaceted focused on specific outcomes such as developing and enhancing undergraduate research opportunities, fostering internship and employment opportunities, utilizing and incorporating digital innovations to impact remedial and regular education, revising curricular offerings for cultural relevancy, building consortiums to impact a critical mass of students, and partnering with international universities to create global learning opportunities for students.

Examples of such partnerships at the national, state, and local levels that can serve as models include:

- Federal agencies with internship opportunities where students can do work in the summer or an academic term to receive training and/or research experience in a specific lab, for example, USDA's Lab in Beltsville, Maryland, or the USDA Forest Agency and ARS Lab at Riverside, California.
- The American Association of Colleges and Universities (AACU) with the Newman and Kellogg foundations plus ten (10) institutions to support a multi-year effort to implement the first ten Truth, Racial Healing & Transformation (TRHT) Campus Centers designed to engage and empower campus and community stakeholders to break down racial hierarchies and create a positive narrative about race in the community.
- The Council of Graduate Schools (CGS) in partnership with the Educational Testing Service (ETS) and institutions of higher education to improve admissions program structuring.
- Community colleges to improve transfer and graduation rates.
- Corporations in the community, for example, CITGO, to better align curricular offerings and sponsor scholarship and internship opportunities.

- Non-profit agencies in the community, Dress for Success and American Association of University Women, to explore and create mutually beneficial relationships.
- Institutionally, across units, to develop knowledge and skills on how to work with the community, for example, education faculty working with faculty in the math and science departments to learn pedagogy (family math/science nights) and facilitate university/school partnerships (TAMU-CC) or child development and psychology programs working with Community Head Start to assess family assets (Texas State).
- Students and their families to maximize the untapped social capital and expertise parents have to offer despite a formal schooling credential. For example, TAMU-CC incorporated the knowledge and skills that day laborers or migrant workers have acquired that align with knowledge and skills required in coursework, for example, critical thinking, negotiating, collaborating, measuring, crop planting and harvesting, and construction as part of an NSF grant focused on reading, math, and science literacy. Texas State engaged colonia youth in a documentary using their photography to illustrate their social condition and testify before Congress.

Opportunities Based on Persisting Challenges

This chapter focused on the unique characteristics of a Hispanic-Serving Institution and offered shared characteristics and traits needed by the various stakeholders—all of whom play a leadership role in their respective capacities. The overarching challenge is how to reimagine these politically created institutions so that they move beyond institutions that meet the minimum enrollment criteria to becoming institutions that not only serve Hispanics but also graduate them, as illustrated in Fig. 8.2 (Arciniega, 2012).

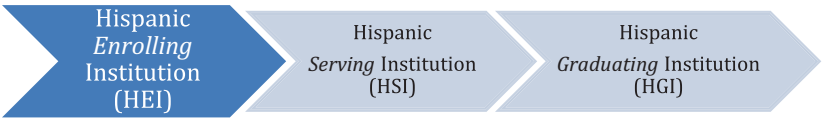

Fig. 8.2 The evolution of an institution targeting the Hispanic student population

To that end, the following are six (6) suggestions, from our perspective, for a path forward.

1. Clear and articulated definition and mission of the characteristics and traits of a HSI

   An ongoing debate centers on the need to target special interventions for those that have suffered unequal treatment as the result of historically traditional infrastructural practices in institutions, in particular, and society, in general, and whether or not it remains a diversity effort if all students benefit. In Spanish we say "O todos hijos del diablo o todos hijos de dios". (We are either all children of the devil or all children of God.) If we subscribe to the moral of this saying of wisdom, it follows that the key element is to ensure that *all* students are advantaged, and, as often is the case, this means that not *all* students will need or receive the same interventions. It has been said that Equal is not Fair and Fair is not Equal (source unknown), which calls for a clearly articulated mission statement that aligns and drives practices throughout the institution.
2. A diversity and inclusion data-informed plan that is grounded in a self-analysis, oriented toward a professional development program for all stakeholders, and leverages resources and partnership opportunities to ensure the success of students and faculty.

   HSIs with limited resources need to utilize appropriate data to make the case for targeting resources to enhance student retention and increase graduation. With an institutional profile as baseline data, finite resources can be strategically reallocated to comprehensively address the missions of the various units that impact the success of the students, namely admissions, financial aid, and student services. The objective should be to create a collaborative, tactically driven environment utilizing a plan that is systematically executed, evaluated, re-examined, and re-adjusted so as not to over-promise and under-deliver, a concept so aptly captured in another dicho (*El que mucho abarca, poco aprieta*).
3. Courageous leaders, at all levels of management, with a clear sense of understanding and passion to undertake meaningful and intentional change and to grow a faculty, staff, and administrative profile that mirrors the student population

   Transformational change requires infrastructure, personnel, an inclusive climate, and strategies to execute the institutional vision and goals. It also requires courage to address the conflicts and dif-

ferences that will arise as a result of relationships based on an inherent structure of dominance/subordination and authority/privilege. The operational premise that should be explicit and transparent is not solely one of 'inviting the other' to participate in the conversation and transformation but validating their voices even when they appear to be contradictory. While challenging and frustrating, *No hay rosa sin espinas* (There is no rose without thorns). The power of collective thinking and collaboration can engender a 'stronger us' and a more unified momentum to altering the status quo.

The change must start with the diversification of the administrative infrastructure at every level from program coordinators to vice president beyond the token few, or one. These individuals should undergo professional development such as that offered by the New Leadership Academy Program at the University of Michigan (NLA, 2018–2019) that focuses on both administrative and cultural competency leadership skills and be tasked with then diversifying the faculty and staff and ensuring the cultural competence of the existing faculty and staff. A concerted effort to grow the diversity in the pipeline by focusing on the recruitment and retention of graduate students from underserved populations should also be a priority.

4. Faculty and staff with the knowledge and skills to address the changing demographics of the population

   Demographic change will also affect the American economy, both in the composition of the workforce and the capacity to compete in a knowledge-based society. Since 1987, Johnston has written about the growth of white-collar technical jobs with specific skills that would require training and education (Johnston, 1987). "In 1992, 56% of the new jobs required some college education. By 2020, 65% of jobs are projected to require the same". Currently, both Hispanic males and females rank the lowest in earning power (Carnevale & Fasules, 2017, p. 3).

   The twenty-first century mandates an enhanced role for education, and HSIs will have to use the technological innovations and systems for training and retraining its employees to better serve the institution's student population. The education and work systems that are effective will be dependent on planning and collaboration with schools, businesses, and government.

   At the core of the academy should be the culturally responsive teaching pillars of caring faculty and staff, high scaffolded expecta-

tions, and cognizance of the self-fulfilling prophecy espoused in the seminal work of Rosenthal and Jacobson (1968) and Brophy and Good (1974). Criteria for job postings and hirings should reflect the corresponding characteristics in order to build and sustain the inclusive environment that reflects the mission of a Hispanic Graduating Institution. In other words, *Dime con quien andas y te diré quien eres.* (Tell me who you associate with, and I will tell you who you are.)

5. Focus on student services oriented toward holistically serving the individual in a transparent and explicit way that is easily navigated

   Clearly, institutions have a responsibility to prepare students with the pertinent skills needed to be adaptable and competitive in a changing technological society and job market, as well as sustain a stable cultural and political environment. In modeling the concern for our constituents and our communities at the local, state, national, and global level, as well as providing the technologically advanced tools needed to stimulate constructive responses to the institutional challenges of the twenty-first century, perhaps we can create generations of people with a philosophical predisposition to 'pay it forward'. (*No pido que me den, sino que me pongan donde hay.*)
6. Alignment across units to ensure collaboration and mission-driven activities and engagement

   Leaders have to decide that transformation is important. This requires that they trust and empower their direct report teams and increase their participation of governance at their respective levels. The expectation should be one of maximizing the capacity of the faculty and staff to deliver quality instructional programs that enhance opportunities for students, minimizing or eliminating duplication of offerings and services, and undertaking innovation and risk. A key tenet to successfully executing this recommendation is reflected in the saying, *El sabio cambia de opinion, el necio no.* (The wise person changes his opinion, the fool does not.)

This calls for an institutional reward system that is commensurate with the mission and celebrates and incentivizes participation. Competitive grant programs for projects that impact large numbers of students, faculty, and staff and strengthen the culture of respect and inclusion, complemented by an awards competition recognizing individuals and units who have contributed to the improving/enhancing the diversity climate on campus are an example of one such strategy.

Conclusion

In summary, given the change in demographics, the growing academic achievement gap of Hispanics in postsecondary education, the diminishing resources for higher education, and the lack of diversity among the administrative and faculty ranks in institutions of higher education, there is an economic and moral imperative to address the leadership needs of HSIs. In this chapter, we stressed the critical need for a data-informed strategic plan and road map, identified key components in the roles and responsibilities of the various stakeholders, and offered six suggestions for a path forward. It is our hope that the information and ideas in this chapter will increase the readers' cognizance of the traits, characteristics, knowledge, and skills needed in staffing a Hispanic-Serving Institution from its presidency to the support staff. We also hope they will serve to advance the rethinking of how to reorganize the infrastructure and resources to better serve the intended population. HSIs in the twenty-first century with finite resources will have to strive for a continuous life-affirming system with long-term and sustainable goals that invite and empower learners to be creative, innovative, and adaptive to a rapidly changing technological world. Although *el primer paso es el más difícil* (the first step is the hardest), in this leadership journey, we must invite what we fear the most, so we can effectively impact others.

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CHAPTER 9

"This Was Different, and I Wanted to Learn": A President's Response to a Student Hunger Strike at a Hispanic-Serving University

Erin Doran

In November 2010, 12 student activists from a student organization called DREAM Act NOW! began a hunger strike on the University of Texas at San Antonio (UTSA) campus (Ludwig, 2010a). This group demanded support for a clean federal DREAM (Development, Relief, and Education for Alien Minors) Act from then-Texas Senator Kay Bailey Hutchinson who had previously lent her support to a national DREAM Act in 2007 and then rescinded her support three years later ("Dream Act," 2010). After seven days on campus, the protesters and their supporters marched 14 miles to downtown San Antonio to stage a protest that in total lasted over a month and resulted in the arrest of 16 students and community supporters at Hutchinson's office (Hughes, 2010; Ludwig, 2010b; Weinstein, 2010).

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This hunger strike occurred in a year with different examples of college student activism. Students at the University of California at Berkeley (UC-Berkeley) staged a ten-day hunger strike aimed at the passage of anti-Latinx legislation in Arizona months before the UTSA hunger strike (Egelko, 2010). In July 2010, an undocumented student from Michigan was arrested in the Hart Senate Office in Washington, DC, calling for a new DREAM Act (Preston, 2010). However, UTSA is not a campus with the history of student activism like UC-Berkeley and it is far removed from the political epicenter of Washington, DC, and this hunger strike is noteworthy for several reasons. First, it sparked solidarity protests at six other institutions throughout Texas (Ludwig, 2010c) and in other states as far away as Minnesota (Aslanian, 2010). Second, the arrest of the students and their supporters prompted a mix of outrage and support from the community. Finally, unlike other student protests where university leadership displayed antagonism toward student activism (e.g., the 2015 protests at the University of Missouri; see Brewer, 2018; White, 2016), the hunger strikers at UTSA received support in different forms from the university's president.

The purpose of this chapter is to center the response of then-UTSA President Ricardo Romo and the ways in which he responded to and supported the students who participated in this hunger strike. This historical narrative offers perspectives for understanding the life history, as a student of the Civil Rights Movement influenced one Chicanx university president by his response to student protests. Given the dearth of literature on Latinx leadership at four-year institutions (discussed in more detail below) and their abilities to support their students, this story shows the importance of university leadership that reflects the needs and concerns of students on their campuses, especially when campuses have a critical mass of students from particular racial, ethnic, and cultural backgrounds.

Literature Review

Hispanic-Serving Institutions (HSIs) are a type of Minority-Serving Institution created under the reauthorization of the Higher Education Act in 1992 (Calderón Galdeano, Flores, & Moder, 2012). The efforts that led to the creation of this designation began with the Hispanic Association of Colleges and Universities (HACU), a Latinx education advocacy group based in San Antonio (Calderón Galdeano et al., 2012). Under federal guidelines, HSIs are defined as public or private non-profit, degree-granting two-year and four-year institutions with 25 percent or higher Latinx undergraduate student enrollment (Núñez, Hurtado, & Calderón

Galdeano, 2015). With the growth of the Latinx population since 2000 (Ennis, Rios-Vargas, & Albert, 2011), the number of HSIs has grown from the original 50–60 institutions (Calderón Galdeano et al., 2012) to 492 in the 2016–2017 academic year, 255 of which are either public or private four-year institutions (*Excelencia* in Education, 2018a).

The Latinx Presidency in Higher Education

Despite the growth in the Latinx student population in K-12 and higher education as well as the tremendous growth in the number of HSIs since 1992, the number of Latinx presidents in higher education remains low. In 1986, only 2.2 percent of higher education presidents identified as Latinx; this number rose only to 3.9 percent by 2016 (Gagliardi, Espinosa, Turk, & Taylor, 2017). Notably, 83 percent of HSI presidents did not identify as Latinx themselves.

The underrepresentation of Latinxs in the college presidency is a well-documented challenge (de los Santos & Vega, 2008; Gutierrez, Castañeda, & Katsinas, 2002; Haro & Lara, 2003; Rodríguez, Martinez, & Valle, 2016; Santiago, 1996). As Martinez and León (2013) wrote, "Latino leadership in higher education has escaped serious study" (p. 3). Arciniega (2012), a long-time activist, reflected that the gains that were made in Latinxs attaining graduate degrees and moving into upper administration has been a significant success for moving the needle toward greater equity for the Latinx population in higher education. Therefore, this dearth of literature must be addressed.

In 2013, an edited volume entitled *Latino College Presidents: In Their Own Words* (Martinez & León, 2013) was published and offered some insights into the challenges and opportunities faced by Latinx leaders. The volume featured six chapters by university presidents, including Romo, and offered insights into the presidents' careers leading to their presidential appointments and how they navigated their roles as executive leaders. Flores (2013) connected his leadership philosophy directly to his experience with the 1960s: "Living through the era of the civil rights movement, and my participation in the efforts to expand civil rights and social justice taught me the importance of leadership" (p. 167). Besides bearing witness to the extraordinary events of the movement, Flores continued with how activism helped him in his eventual presidency by describing how he gained organizational and communication skills, developed fluency in Spanish, and how non-profit experience taught him how to do more with minimum resources. Ricardo R. Fernández (2013), who would

eventually ascend to the presidency of CUNY Lehman College, started his career in university administration after community activism in Milwaukee in the early 1970s prompted the University of Wisconsin Chancellor to take a special interest in better serving Latinx students, and Fernández was picked to work as a special assistant to the Chancellor.

These narratives are important in understanding Latinx educational leadership in higher education because this topic has been crucially understudied. They are also important in demonstrating how past lived experiences inform current responses to events on campuses, either positive or negative. Yet these narratives remain personal and reflective in nature and do not present an opportunity to study a case of Latinx leadership in practice within a higher education context. This present chapter identifies one narrative—an episode of student activism on an HSI campus and the president's response.

Theoretical Framework

This study draws upon the concept of the Latino Educational Leadership explicated by Rodríguez et al. (2016) and Applied Critical Leadership (Santamaría & Santamaría, 2013). The authors synthesized a number of theoretical frameworks including Critical Race Theory, LatCrit (or a Latinx-focused Critical Race Theory), Applied Critical Leadership (Santamaría & Santamaría, 2013), Freire's critical pedagogies, and Yosso's (2005) community cultural wealth, among others, to develop a definition of a type of transformative leadership that serves Latinx communities across the educational pipeline. The amalgamation of these ideas provides a foundation for understanding the experience of Latinx students across educational sectors that encounter racism and oppression in the forms of disproportionate resources, testing policies that have been used against students of color, and educational policies that have failed to acknowledge the forms of cultural capital Latinx students bring to their schools. This type of leadership understands that "leaders who serve Latina/o communities must negotiate and navigate a greater dominant socio-political system to improve educational opportunity and equity for diverse learners" (Rodríguez et al., 2016, pp. 147–148). This type of anti-racist leadership avoids deficit perceptions of Latinx students, their families, and communities and works to advocate and empower Latinx students.

Santamaría and Santamaría (2013) define Applied Critical Leadership as a type of educational leadership style that is culturally responsive to

marginalized communities and acknowledges leaders' lived experiences. Further, this approach encourages moving away from deficit models or thinking, the incorporation of critical theory, and embracing the contextual needs of the setting and population. Taken together, these theories of help explain how Latinx educational leaders can be responsive to their communities, aware of broader societal forces that may dominate or oppress these communities, and to foster empowerment through education.

Researcher Positionality and Genesis of This Study

From the outset, acknowledging my own researcher positionality and my relationship to this research is crucial. From August 2002 through July 2016, I was a student or staff member or both at UTSA. I completed three degrees from the school and often tell people I meet in academia that I am a proud graduate of a Hispanic-Serving Institution. It is also worth noting that President Romo has been a close friend of my family's for decades. He was also the president of UTSA throughout my entire experience at the university, and I worked for the art curator during most of my master's degree, a job that fell under the purview of the President's Office.

I do not come to this research with blinders on. I previously wrote about the aspirations of UTSA to move from a regional comprehensive university to a "Tier One" or Research 1 institution (Doran, 2015). I have seen these efforts stagnant to the frustration of administrators, community members, and legislators. I also fully acknowledge that UTSA has much work to do in building an inclusive environment for other groups besides Latinx students. For example, I witnessed from afar the November 2018 incident in which a White faculty member called campus police on an African American student who she claimed was disrupting her classroom (Bauer-Wolf, 2018). The fallout from the incident led to the admission by now-President Taylor Eighmy that there is an endemic racism problem, particularly against African American faculty and students, on the campus (Torralva, 2018).

It is also important to acknowledge that President Romo's legacy at UTSA is not perfect. In September 2016, President Romo announced that he would retire the following summer after 18 years as president. Romo was abruptly put on administrative leave in February 2017 following a complaint of sexual harassment (Boyd-Batstone, 2017). Romo resigned 2 weeks later after a review of his conduct by the University of Texas Board System.

I remember the DREAM Act NOW! students' protest that took place on campus because they situated themselves directly in the middle of the main campus under a Luis Jimenez statue called "Border Crossing," depicting a man carrying a woman with an infant on his shoulders across the Rio Grande. I bore witness to the protest only briefly; being a staff member of the university at the time, I could watch but not participate in the protest. I also recall the subsequent events that followed: the occupation of Hutchinson's office by the protesters, their arrest that was made under questionable circumstances (Ludwig, 2010d[1]), and the eventual end to the strike after 39 days.

In Spring 2018, I was asked if I had interest in taking up research on the hunger strike by my advisor and former UTSA faculty member, Anne-Marie Núñez. She collaborated on a symposium at the 2011 meeting of the Critical Race Studies in Education Association with five of the student activists who participated in the hunger strike, including some of the students who were arrested at the sit-in in Senator Hutchinson's office. This was a project Anne-Marie always thought she would come back to, but her departure from UTSA in 2016 to The Ohio State University made the continuation of the project difficult. Having maintained close connections to UTSA and having an interest in historical projects, Anne-Marie thought that the project would be of interest to me.

I reached out to contacts from UTSA (e.g., former students and classmates, faculty from my old department). Upon finding minutes from a University Assembly meeting that took place on November 16, 2010, posted online ("Documents and Proceedings," 2010), I found the following statement of interest to the project:

> President Romo recognized students not previously listed on the agenda to speak about the Dream Act. The student spokesperson explained that the group is in on their seventh day of a hunger strike. The group supports an eleven-year path to citizenship for a minor under the age of 16. The person will either actively serve in the U.S. military for two years or attend community college for two years or graduate with a four year degree, earn a work visa, and eventually be granted a green card. After five years, these individuals are able to apply for citizenship. The UTSA movement is planning to continue their hunger strike until they receive a pledge from Senator Kay Bailey Hutchinson.

What I took from this document is that President Romo provided a formal space for the strikers to directly address university administration. I contacted President Romo to ask questions about this action and what he remembered about the hunger strike, and it was this interview that led to this present study.

Methods

This study draws from various historical methods of data collection to develop a narrative around the hunger strike and President Romo's response to it. First, a robust amount of data was collected online to construct the story about the hunger strike itself. DREAM Act NOW! conducted much of its organizing online through social media, including a Facebook group, original videos posted on YouTube and CNN iReport, and a blog. Using the NewsBank database, newspaper articles were gathered from across Texas. San Antonio's local newspaper, the *San Antonio Express-News*, and local media outlets (e.g., mainstream TV stations and alternative community newspapers such as the *San Antonio Current*) reported heavily on the hunger strike especially once the protest moved to Senator Hutchinson's office. The news articles were databased in chronological order to construct the timeline of the hunger strike, and screenshots of videos and blogs generated by DREAM Act NOW! were uploaded into NVivo, a qualitative research software package, for organization and analysis.

Two types of data were collected on President Romo. First, two interviews lasting about 45 minutes each were conducted with President Romo. The first focused on his memory of the hunger strike, his response to the strike, and included input from his wife, Harriett Romo, a professor of sociology at UTSA who studies issues related to Latinx students in education and immigration/migration of Latinx populations. The second interview centered more on President Romo's past experiences with activism, both as a student, a faculty member, and an administrator at various institutions in Texas and California from the 1960s to the present. These interviews were audio-recorded with the Romos' permission and uploaded to Rev.com for transcription. The transcriptions were used in the analysis process. To supplement these interviews, archival research was also conducted at the UTSA archives. The Office of the President, 1971–2018, and the University Archives files were specifically utilized for this project. Throughout his tenure as president, Romo regularly donated papers

related to his pre-UTSA career, his hiring at UTSA, and his presidency that ended in 2017. Among other things, these resources provided insight into President Romo's career as a history professor focused on Latinx history, his childhood in a segregated neighborhood in San Antonio, and some of his experiences during the Chicanx Movement.

Data Analysis and Presentation of the Findings

This chapter follows a more traditional historical approach than the format common to empirical educational research. Data collection and analysis was an iterative process in that I gathered data on the hunger strike and scheduled the first interview with President Romo to gather his perspective on the event as the UTSA President. Later on when reading the transcripts, I made notes of the places where President Romo noted his own engagement with student activism. In returning to the literature, I found little literature that connected presidential action or dispositions toward activism, and none that focused on Latinx presidents or HSIs in particular. At that point, I returned to President Romo for the second interview focused more on his personal background and his experience with activism prior to his presidency. The analysis process for this chapter and the subsequent construction of the findings were focused on constructing the narrative of the hunger strike and analyzing how President Romo framed what is an arguably positive and constructive response to the DREAM Act NOW! students.

Limitations

This study is not without limitations. First, none of the students who participated in this hunger strike have been interviewed to date. Many have been tracked down using social media, but most either did not respond to a request for an interview or they declined. Therefore, the perception of President Romo's response is self-reported by him and analyzed by myself. I note several official ways that he responded to the strike and speculate on how those actions helped the protest, but I was not able to connect with the students involved to either corroborate or refute my conclusions. Second, more prolonged engagement with President Romo would have been ideal to follow a more traditional narrative inquiry research design. However, the original purpose of the study was more squarely focused on the strikers themselves—this study emerged as an intriguing project to follow, especially when I was unable to gain access to interview the strike participants.

Findings

This study brings together the personal and professional experiences of President Ricardo Romo and how they came to bear in his response to a student-led hunger strike on the UTSA campus, during Romo's tenure as president.

Romo's Upbringing and College Life

When Ricardo Romo was appointed to the UTSA presidency in 1999, his personal background as a San Antonio native was highly publicized ("Romo named president," 1999; Rosser, 1998). President Romo grew up on the west side of the city and graduated from Fox Tech High School, near the city's downtown. President Romo described his neighborhood as an "all Mexican American neighborhood" and "an insular community" (R. Romo, personal communication, April 8, 2018). He attended a middle school out of the neighborhood that was mostly comprised of white students, where President Romo learned about what it meant to be a racially minoritized student for the first time. Out of an estimated 800 students, President Romo remembered that only 20 or 30 were Latinx students like him, and there he recalled, "So, I think that's when I kind of discovered more the differences [between his Mexican neighborhood and predominantly white schools]. And the kids would refer to you as Mexican or you know, you started to hear more of the other terms: 'spic' or 'dirty Mexican' kind of terms" (R. Romo, personal communication, April 8, 2018).

President Romo graduated from high school in 1962 and attended the University of Texas at Austin (UT-Austin) on a track scholarship. While UT-Austin is currently on track to become an HSI (*Excelencia* in Education, 2018b), Romo recalled how out of approximately 200 students on athletic scholarships during his college years, he was 1 of 2 Latinx athletes. During his undergraduate years in Austin, some early activism entered Romo's life: "There was some kind of organizing going on, and I kinda joined it, I kinda went to see what was going on" (R. Romo, personal communication, November 26, 2018). As Romo described, UT-Austin was not yet a hotbed of student activism during this time. He did, however, participate in food drives to support the farmworkers' movement in South Texas organized by Ernesto Cortes, Jr., a prominent community organizer from San Antonio (Oral History Office, 1994).

When Romo graduated from UT-Austin in 1967, he headed to California, later saying in an interview with his master's institution Loyola

Marymount University, "I left Texas because there wasn't a lot of hope there" ("Returning Home," n.d., para. 2). Romo expanded on this:

> That's true, I mean I didn't, when I finished school here [in Texas]. I still saw lots of discrimination and prejudice in Texas. And I didn't see any Hispanic role models other than a few teachers. But I went to an all Hispanic school, and there were no Latino teachers in the entire school. So, you know, I'm looking at my high school, which is all Mexican, and not a single Mexican teacher. And I'm looking at, you know, I go to the bank, I go to the driver's license area, wherever I go and I see white collar workers, I just almost never saw Hispanics. (R. Romo, personal communication, November 26, 2018)

Romo's departure from Texas to California can be summarized in this way: "There were just a lot of us [Latinx students] looking for good role models" (R. Romo, personal communication, November 26, 2018).

Graduate Student to University President

President Romo began teaching high school on the east side of Los Angeles and found greater diversity than he found in Texas. After completing a master's degree in history at Loyola Marymount, he began a PhD program in history at the University of California at Los Angeles (UCLA) and began teaching Mexican American history courses at California State University (CSU)-Northridge (then known as San Fernando Valley State College until 1972). At CSU-Northridge, Romo became more involved in the Chicanx Movement, attending meetings of the Movimiento Estudiantil Chicanx de Aztlán (MEChA), a national Latinx student organization (Acuña, 2012) and taught within a Chicanx Studies program alongside long-time scholar-activist Rudy Acuña. President Romo balanced his teaching responsibilities and his doctoral studies along with his participation in the Chicanx Movement, and as he described, "When you're part of that [participating in Chicanx student and community events], you are an activist. I wasn't an activist leader" (R. Romo, personal communication, April 8, 2018).

Though not a leader, President Romo bore witness to important moments in the Latinx struggle for educational equity and representation. On the day he was hired at CSU-Northridge (May 5, 1970), a fire was set to the Chicano House on campus, an event thought to be a reaction from

right-wing students to anti-Vietnam protests on campus (Acuña, 2012). Romo recalled that he arrived on the UCLA campus to begin his doctoral degree the academic year after scholar-activist Angela Davis had been fired from there for being a member of the Communist Party. Later on as an administrator at the University of Texas at Austin, Romo saw protests from students following comments from a law professor who stated, "Blacks and Mexican-Americans can't compete academically with whites" ("Diversity adds little," 1997, p. 2). In response, some 5000 students launched a significant rally on campus with Jesse Jackson in attendance (Sanchez, 1997). In recalling this instance, Romo pointed out that he did not know what students' end goal was for these protests, but as the vice provost for undergraduate education and a Latinx faculty member, Romo watched the protests from some distance:

> Students brought Jesse Jackson, and I went to hear Jesse Jackson. And I saw the sit-ins and so forth, but I felt like it had to play out. The students just are really angry, and I totally agree with why they're angry. I was angry, and they took their action, and I just said 'Well, they're taking action.' But I wasn't asked to do anything, I wasn't asked to step in, I wasn't asked to stay away, you know. Anything. I just kind of saw it play out. (R. Romo, personal communication, November 26, 2018)

Interestingly, President Romo added: "Just because you're a Chicano faculty and there's a Chicano protest doesn't mean you just rush over there and say, 'I'm in.' I don't think that's the way it works." He went on to say, "You're there to educate, you're there to teach, you're not there to be some kind of martyr or the spokesperson. The students are very capable and they can be spokespeople without us [faculty and administrators]" (R. Romo, personal communication, November 26, 2018).

The 2010 Hunger Strike

Texas passed its own DREAM Act (House Bill 1403) in 2001 (Sikes & Valenzuela, 2016). The original iteration of the DREAM Act at the federal level dates back to that same year, and by 2010, the Act had been introduced every year in Congress but failed to pass (Corrunker, 2012; Olivas, 2012). The year 2010 marked a spike in student activism related to DREAM Act (Corrunker, 2012), which UTSA students became a part of. The hunger strike began on Wednesday, November 10, on the campus

(Ludwig, 2010a), and the strike focused on gaining support for the act from Senator Kay Bailey Hutchinson. The students had hope they could get support from the Republican senator because she previously voted in favor of the DREAM Act (Hughes, 2010).

Efforts to schedule meetings with Senator Hutchinson over the next week broke down as the DREAM Act NOW! students' protests gained more attention. One week later, the students left the campus to walk 14 miles to the San Fernando Cathedral in downtown San Antonio to further engage the community and move closer to Hutchinson's office in the city. On November 29, 16 protesters, including at least 8 students, a former San Antonio City councilwoman, and a Methodist minister, were arrested and spent a night in jail. On December 8, the House of Representatives passed the DREAM Act, giving hope that the legislation would pass (Martin, 2010a). The DREAM Act was unable to overcome a Republican filibuster approximately ten days later, and in the end, Senator Hutchinson refused to lend her support for the bill (Martin, 2010b). The protesters ended their hunger strike on December 22, 2010 (Weinstein, 2010).

President Romo's Responses to the Hunger Strike

As previously noted, President Romo invited students from DREAM Act Now! to address the University Assembly on November 16, ahead of the students' march downtown. Among those present at this meeting were executive-level administrators including the then-vice president for student affairs, the vice president for community services, and at least one dean from the College of Liberal and Fine Arts ("Documents and Proceedings," 2010). It was also reported that President Romo signed the online petition started by DREAM Act Now! and committed to contacting Senator Hutchinson in favor of the DREAM Act (Hughes, 2010).

When asked about his response to this protest, President Romo from the outset expressed his disagreement with the hunger strike itself as a form of protest (R. Romo, personal communication, April 8, 2018). Romo was not alone in his disapproval; then-mayor of San Antonio Julián Castro issued a public statement asking the strikers to eat, stating, "Everyone gets the point they have made, but we are concerned about their health" (Ludwig, 2010f). In inviting students to speak at the University Assembly, President Romo demonstrated several things. First, he acknowledged that this was a different cause than other activist causes he was a part of (e.g., the struggle for ethnic

studies programs, for instance). He recalled, "This was different, and I wanted to learn. I'm talking to people who will have very unique circumstances and having been brought here without even their knowledge in many cases." Second, he saw his leadership as a way to help students:

> I really believe you [the DREAM Act NOW! students] have a good cause, come talk about it. You may have a great, great cause but not necessarily the right strategies or you may have the right strategies and a bad cause. I just wanted to be sure that the good cause got connected with good strategies and that people knew about it and people could advise them. I was certainly ready to be there for them. I've seen a lot, done a lot, I was ready to be of assistance. (R. Romo, personal communication, April 8, 2018)

Last, President Romo showed through his actions the respect for the rights of students to protest as well as his general approach to students as a leader and as a teacher:

> You have to respect people if you expect them to respect you. So, if you're a teacher and you don't respect your students and you don't respect a certain cluster of students, you're not gonna communicate to them. And that's supposed to be what you're supposed to do, is communicate and teach. Same thing as an administrator, you know. If you don't respect the students and if you don't respect their, you know, they've got First Amendment rights. They have absolutely every right to speak out. Do they have a right to protest? Yeah. Now, you know, there's certain limits after a while. You know, then they shut down offices and prevent people from going to work and, you know, now they really can't. I mean they can take a stand, but it's not gonna be a situation where you shut down everything for a long time, it just won't work. It didn't work in Vietnam, you know, protests. 'Cause you know, they shut down bridges, and they shut down buildings, but it only lasts for a while. (R. Romo, personal communication, November 26, 2018)

In thinking about the DREAM Act NOW! students and other contemporary student activist groups, President Romo expressed admiration and respect for students today and their abilities to mobilize and organize via social media, including the UTSA students. President Romo acknowledged that a place like UTSA does not have the same activist history as institutions like his alma maters—UT-Austin and UCLA. However, as a large Hispanic-Serving Institution in a Latinx-majority city like San Antonio, UTSA students were able to draw upon their numbers to find a collective voice that percolated out

throughout the state and country: "Where you have a large enough cohort, critical mass, 50 people or something working to reach out and network with everybody else, then it becomes a movement" (R. Romo, personal communication, April 8, 2018). This cohort or critical mass was supported by a city government and community that was largely sympathetic to DREAM Act NOW's cause, and as President, Romo noted that there was always going to be someone who was not happy: "There will be some people who will be unhappy that students are protesting whatever" (R. Romo, personal communication, April 8, 2018). However, the environment made it so that the students who participated in this strike were not going to be openly criticized by powerful politicians and community members:

> The legislators don't speed dial and try to micro manage you [as President of a large university], and the reason they don't is because they are worried, afraid that it'll get to the media. That they called you and then said something dumb like, those students are just a bunch of idiots. And you say, can I quote you on that? And of course, they realize all of a sudden, some of these folks maybe their constituents and their parents may be the constituents. (R. Romo, personal communication, April 8, 2018)

After a long career as a faculty member and long-time university administrator in Texas and California, Ricardo Romo continued to speak about the importance of student activism and the collective voices of college students as a crucial part of a democratic society. In growing a bigger movement for change, President Romo looked to the #BlackLivesMatter movement as inspiration for other social justice movements:

> It's sort of like there is no one campus connected to #BlackLivesMatter as the crucial, crucial place, but it's just a lot of campuses and then a lot of communities and then a lot of churches and after that then you have a significant movement and #BlackLivesMatter incredibly significant. It is amazing, and the Dreamers are up there, they're not as powerful as Black Lives Matter, but they're way up there too. And they did it not because of any one person or any one campus. They did it because they became an army, all came together. (R. Romo, personal communication, April 8, 2018)

Finally, in his concluding thoughts on the 2010 hunger strike, President Romo reflected: "This hunger strike was the beginning and I use the word foundation, the foundation for future kind of activism on part of the

Dreamers now" (R. Romo, personal communication, April 8, 2018). On one hand, the hunger strike could be seen as a failure because the DREAM Act never passed (and the future of its political successor, Deferred Action for Childhood Arrivals or DACA, remains under contention). Yet the actions of DREAM Act NOW! galvanized activism on a campus not known for political activity, and that coalition building remains in place through today. The Facebook group for DREAM Act NOW! remains active (though the group has since changed its name to Immigrant Youth Leadership), and UTSA recently opened a Dreamers Resource Center in January 2018 ("UTSA Opens," 2018). The actions of this organization built capacity for larger, more sustained efforts toward impacting change for undocumented students, and UTSA's then-President Ricardo Romo contributed his support to these efforts.

Discussion

This study focused on the response of a Latinx president to a pro-DREAM Act hunger strike led by students at a large, urban HSI in 2010 and adds to the small body of literature on Latinx presidents in higher education and focuses on something that has not yet been discussed: how presidents may respond to student activism. Reflective narratives by Latinx university leaders like Fernández (2013) and Flores (2013) demonstrate that leaders' experiences during periods like the Civil Rights Movements of the 1960s played pivotal roles in shaping worldviews and responses, especially to activism. However, there has not been an empirical study that connected these lived experiences of a president to a contemporary example of student activism on an HSI campus. Given the failures of university leadership to respond meaningfully to student activists in places like the University of Missouri rocked by protests in 2015 (Brewer, 2018), this chapter offers an example of what Latino Educational Leadership (Rodríguez et al., 2016) might look like in practice.

Instead of working to suppress or quiet the DREAM Act NOW! students, Romo demonstrated his support for the students in the strike by giving them space to address university administrators, signing their online petition, and showing outward respect for students and their rights to protest. He recognized the importance of the students' voices in furthering a contemporary civil rights issue for Latinx communities, and while he did not agree with students engaging in a hunger strike, he expressed solidarity with the students and found ways to be a teacher as well as an

administrator through connecting students with a good cause with administrators who might suggest better strategies to get their message heard. Romo treated his students with respect and with perspective that they had much to teach him about the experience of undocumented students and the political situation surrounding the DREAM Act. Even after his tenure as president at UTSA had ended, Romo could reflect back on the 2010 hunger strike and see how it became a foundation for something bigger that would eventually lead to a formal structure on campus—a Dreamers Resource Center—and a longer-term push for social justice and equity for the undocumented segment of the student population.

Conclusions

According to the most recent American Council for Education report on the American college president, the average age of presidents at Minority-Serving Institutions across the country was 62 years old (Gagliardi et al., 2017). As such, these leaders were likely to have come of age during the Civil Rights Movements and attended to college as its effects continued to ripple throughout higher education. The presence of higher education administrators is arguably itself a positive gain of the Civil Rights Movement that is still felt today. In thinking about leadership across the educational pipeline, it is crucial to consider the lived experiences of these leaders and how these experiences inform their responses to their students presently, especially students from racially minoritized backgrounds.

In his urging for greater representation of Latinx leaders across sectors in higher education, Arciniega (2012) reminded us that these efforts come from a broader historical context: "This country, our country, must remain true to the core ideals and values of the civil rights movement" (p. 155). He went on, "We can best ensure this by our actions and the stances we take as leaders on issues of equity and social justice faced by our nation today, that our actions pass the muster in the best sense of our civil rights tradition" (p. 155). In effect, Arciniega issued a call to action for current and aspiring leaders to remember the successes of the Civil Rights Movement and to remain true to those activist roots. Further research should continue to explore how educational leaders across Minority-Serving Institutions answer this call.

Note

1. Clarification: This reference states that 15 protesters were arrested on November 29, 2010. The next day, the *San Antonio Express-News* published a list of 16 protesters who were arrested (Ludwig, 2010e).

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CHAPTER 10

AANAPISI Program Directors: Opportunities and Challenges

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Since 2008, the U.S. Department of Education has designated 227 institutions, including community colleges and regional and research-1 universities, as Asian American and Native American Pacific Islander-Serving Institutions (AANAPISIs) (National Commission on Asian American and Pacific Islander Research in Education [CARE], 2013; About AANAPISIs, 2018). This designation, which represents one of the four Minority-Serving Institutions (MSIs), is often accompanied by access to significant funding to develop programming aimed at improving the educational outcomes for Asian American and Pacific Islander (AAPI) identifying students. Prior research foci have illustrated the importance of AANAPISIs to AAPI student engagement and achievement (Nguyen, Nguyen, Nguyen, Gasman, & Conrad, 2018; CARE, 2014), but attention to the leadership—staff and faculty—that directly administers the grant-funded projects remains limited.

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The role of AANAPISI programs is often treated as entities that work in a silo, when in fact, how institutions embrace this designation and implement associated initiatives involves a multitude of staff and/or faculty, policies and procedures to create the conditions meant to facilitate positive outcomes for AAPI students (Conrad & Gasman, 2015). Because student bodies are diverse with unique needs, programmatic initiatives often require those leading and managing AANAPISI grants to demonstrate savviness in developing connections and partnerships that cut across their campuses in order to effectively address the challenges that their target population faces (CARE, 2013). The purpose of this chapter then is to give attention to the quality of leadership we believe is necessary to manage AANAPISI grant-funded projects because staff and faculty leaders play a significant role in shaping the capacity of the institution to meet the goals and expectations as proposed to the primary funding agent, the U.S. Department of Education.

We first provide a brief background on the history and contemporary status of AANAPISIs, including the general expectations and requirements of the U.S. Department of Education. An overview of how AAPI student success is broadly understood is also given in order to demonstrate the ongoing importance of AANAPISIs, and MSIs more broadly. Second, we draw upon emerging research on AANAPISIs to chart the dominant challenges and opportunities that come from leading and implementing an AANAPISI grant across varied institutional contexts. This discussion includes practice-oriented recommendations. Third, we end with a call for future research in the area of leadership and AANAPISIs.

Before we begin, we take pause to clarify our point of reference, providing context for the content, as well as its delivery, that we have chosen to share in this chapter. The canon of literature on AANAPISIs is still in its infancy. Very little empirical work on these institutions and their faculty, staff and students exists; this makes it difficult to draw empirically driven recommendations. Although this volume's commitment represents the latest effort toward broadening the inclusion of AANAPISIs into the scholarship of leadership and higher education, the current state of empirical work on these institutions remain insufficient. Our approach to this chapter pairs this emerging canon of work with our former research experiences at the Penn Center for Minority-Serving Institutions and National Commission on Asian American and Pacific Islander Research in Education and our current, national project on AANAPISIs. Since our start in the academy as doctoral students, we have had the privilege of being on multiple projects that have exposed us to different AANAPISIs across the

country. In some cases, we partnered with them to support their programmatic infrastructures, which gave us both an in-depth and bird's-eye view of their achievements and challenges.

Background

Asian American and Native American Pacific Islander-Serving Institutions (AANAPISIs) emerged from a broader legacy of racial injustice in postsecondary education. As the youngest MSI designation, AANAPISIs joined their counterparts—Historically Black Colleges and Universities (HBCUs), Tribal Colleges and Universities (TCUs) and Hispanic-Serving Institutions (HSIs)—in 2007 as a consequence of significant advocacy by the Congressional Asian Pacific American Caucus, the Southeast Asian Resource Action Center, the White House Initiative on Asian Americans and Pacific Islanders and other political allies (Gasman, Nguyen, & Conrad, 2015). The AANAPISI legislation was brought into existence "as part of the College Cost Reduction and Access Act" and later "expanded in 2008 under the Higher Education Opportunity Act" (About AANAPISIs, 2018). Similar to their MSI counterparts, the authority of the latter gives eligible institutions access to federal funds that are to be used to support the achievement of AAPI students. AANAPISIs then represent federal-level effort to address the unjust experiences and outcomes of AAPI students that often go hidden by the Model Minority Myth (CARE, 2011).

The Model Minority Myth (MMM) is a dominant social construct meant to reinforce a belief in the universal achievement of individuals categorized as Asian. The MMM came into fruition in the mid-twenty-first century when those of Asian descent were lauded by popular press and academics for their work ethic, compliance to dominant social standards and academic achievement, despite the racial injustices that disproportionately plagued other communities of color. Asians exemplified the type of minority that was acceptable in the eyes of the dominant, which the latter attributed to individual intellect and perseverance. The rise and prevalence of the MMM lead to two deleterious consequences that scaffold the importance of AANAPISIs: (1) a universal belief in Asian achievement meant that differences—in ethnicities, languages, histories, cultures, class status—within the pan-ethnic Asian community (Le Espiritu, 1993) ceases to exist, thereby marking individuals within this group as indistinguishable and, thus, making it difficult to express alternative narratives; and (2) because Asian achievement is seen as a by-product of individual

effort, one's circumstance in life is a result of one's choices. This type of thinking disallows the acknowledgment of structural inequality (e.g. racism, income inequality) that constrains and explains the opportunity and mobility of minorities in, this case, education (Kao, 1995). Non-Asian minorities are then blamed for their own struggles in light of the "model" status of Asian people. AANAPISIs are designed to promote more equitable educational outcomes for AAPIs which include pushing back against the MMM and its consequences by highlighting the rich diversity within the pan-ethnic Asian community and developing programs and initiatives that mitigate the influence of structural barriers on students' pathway to degree (Teranishi, 2010, 2012).

The path to becoming an AANAPISI and accessing its associated benefits begins with applying for this designation. Unlike their HBCU and TCU counterparts, prospective institutions must meet demographic criteria in order to be considered. Eligible institutions must have an undergraduate population that is at least "10 percent students who are Asian American or Native American Pacific Islander" (CARE, 2013). Of their AAPI undergraduate population, 50% must be considered "low-income," as defined by a student's participation in "one or more of the following programs: The Federal Pell Grant, Federal Supplemental Educational Opportunity Grant (FSEOG), Federal Work Study (FWS), or the Federal Perkins Loan" (About AANAPISIs, 2018). The emphasis on income is critical to the AANAPISIs' purpose of addressing structural inequality that disproportionately influences some groups over others within the pan-ethnic Asian community. To date, there are 37 institutions that have been funded through the AANAPISI funding stream. Of those receiving funding, 54% are two-year institutions (About AANAPISIs, 2018). These institutions are located across the nation, but they primarily cluster around the following states: California, Hawaii, Illinois, New York, Massachusetts, Texas and Washington (CARE, 2011).

Once an institution is designated an AANAPISI, it is eligible to pursue legislative-driven grant funding that is to be used to promote the achievement of their AAPI students. The legislation allows for many diverse possibilities in how the funds can be used, ensuring that the institution has the opportunity to support the unique needs of its students. This may include funding for the renovation of space, equipment for instructional and research purposes, faculty development, curriculum development, the purchase of books and other instructional materials, academic tutoring, counseling programs, student support services, partnerships with local

elementary and secondary schools and community-based organizations, establishing an endowment fund, improving instruction in which AAPI students are underrepresented, conducting research and data collection for AAPI populations and subpopulations, and education and counseling to improve the financial literacy of students and their families (CARE, 2013). Although these items may seem distinct from one another, they demonstrate how efforts to promote AAPI student achievement are a collective project. AANAPISI leadership must be in tune with their AAPI student population, including how their outcomes, successes and challenges are differentiated by the rich diversity that lies within this community of students and contingent upon their relationship to various departments and divisions across an institution. In other words, they must consider the current state of their institution, identifying the extent of its collective capacity to manage and implement the AANAPISI grant.

The AANAPISI designation is a significant opportunity for institutional leaders to reshape their institution's organizational culture to reflect a new identity that accommodates the concerted effort to promote the achievement of their AAPI students. Because the educational outcomes of students are contingent upon a wide range of variables, program directors of AANAPISI grants then must envision their role as multifaceted and relevant to many areas of the institution, including both student and academic affairs. Below we lay out the issues at stake for AANAPISI program directors. We organize our discussion around the themes of opportunity and challenges because being an AANAPISI offers new possibilities that are promising in addressing, yet revealing of, the stubbornness of racial inequality in American higher education. We conceive "opportunity" as a moment that allows institutional leaders to take pause to better understand how well they are serving their AAPI students, to reflect on the quality and quantity of resources needed to address gaps in achievement, and to innovate among various departments and divisions in light of the collaborative nature that is required to help students thrive. But organizational change can be difficult to promote, especially when current policies and practices are embedded within the dominant and historical culture of the institution, making them durable and unyielding (DiMaggio & Powell, 1983). We then frame our discussion of "challenges" around practices that are key in helping the institution understand and embrace the work related to the AANAPISI grant. Taken together, we believe that these approaches and practices could promote program director's capacity to meet the needs of their students.

Opportunities

In our work with Asian American and Native American Pacific Islander-Serving Institutions (AANAPISIs), it has become apparent that there are particular institutional opportunities that either emerge organically or can be cultivated to support the efforts and overall success of AANAPISI programs and the students they serve. We broadly define these opportunities as recognizing student needs, leveraging institutional goals and cross-campus collaboration. We illuminate each in this section.

Recognizing Student Needs

Program directors of AANAPISI programs hugely benefit from having or being given a clear understanding of the institutional context upon stepping into their roles. Learning and making sense of the history of the institution's relationship with the target group, in this case AAPIs, provides strategic information about how to navigate the norms, practices and policies that are in place when leading the initiative. Due to the nature of AANAPISIs, many of which are formerly predominantly White institutions, there are systems in place that do not center the needs of students of color given their past dispositions. How, why, when and if the institution has begun to pivot or alter their support and focus to students of color become central to how a project director might navigate the institution, gain support for AAPI students and shape the manner by which these students are supported.

One critical part of this institutional knowledge is recognizing the needs of students. Institutions that conduct needs assessments, for example, provide critical insight to guide the project director in developing programs, engaging with stakeholders and implementing services that are best suited for addressing student needs. A needs assessment quantitatively and/or qualitatively evaluates students, identifies their academic barriers and offers opportunities or recommendations for how to address those barriers. This information is particularly useful for program directors who are hired on post-proposal process, as they are stepping into institutions that are not necessarily familiar to them and unaware of the challenges facing the students on that campus, specifically. As such, student needs assessments or other similar informatory appraisals allow program directors to "hit the ground running," so to speak, and avoid the time-

consuming process of determining what programs actually align with the needs of AAPI students.

The needs of AAPI students will vary widely by how institutions define student success and the extent by which it is affected by other institutional variables (Kuh, Kinzie, Schuh, & Whitt, 2011). These mediating issues may be a matter of improving student engagement and involvement, promoting belongingness on campus and in the classroom, or addressing more basic needs, such as transportation and food insecurity. Strong data—both quantitative and qualitative—must be paired with the process of distilling the needs of their AAPI students in order to identify and address the institutional areas that can benefit from the AANAPISI grant project. Depending on the institutional context, we understand that access to any kind of data can be mixed. Student data often resides in institutional research, but it can also be found within academic or student life units. When meeting with various stakeholders or departments that may inform project choices, program directors should consistently inquire about any available data that would be available for their review. This request should be couched within the broader premise that student success is shaped by multiple points across the institution. How different divisions and departments make sense of the needs of AAPI students will determine how the grant can best meet its expectations.

The process of learning more about the institution and its AAPI populations represents an opportunity for the project director to further acknowledge the rich diversity within this student community and to question any assumptions they or the institution may have about it. Through our time working with AANAPISIs, despite the tireless efforts of AAPI advocates and allies to dispel the Model Minority Myth, we have found the MMM quite pervasive and durable in institutional logics and individual psyches. Program directors then must have and use concrete information and evidence to demonstrate the importance of their work to their institution—anecdotes are not sufficient. Unlike HBCUs, HSIs and TCUs, AANAPISIs are young, and many institutions and their staff and faculty are unfamiliar with this new designation and even unconvinced that AAPI students struggle. Learning about the home institution and its relationship to AAPI students is the first and most critical step toward building an effective grant project.

Leveraging Institutional Goals

In addition to recognizing student needs, an opportunity for program directors is leveraging institutional goals that already exist on campus in order to reinforce the AANAPISI program. For example, institutions are increasingly, publically committed to diversity and equity. This is an opportune, joint interest between institution and program where resources can be aligned to support both the overall campus mission and the specific AANAPISI aims. To improve the retention of students of color, for instance, programs like the AANAPISI must be available, functioning and supported. AANAPISI directors can leverage this institutional interest to foster greater administrative backing for their efforts. Another way through which to leverage institutional goals is during times of strategic planning, when program directors can insert their voice and imbed their program's needs into the institutional direction for years to come (Nguyen et al., 2018).

What are some concrete examples of converging institutional and programmatic aims? One example is in physical space, which is a challenge on nearly every campus, particularly community colleges and comprehensive universities. Providing institutional space for the program is a symbolic gesture of committing to equity efforts, and simultaneously provides a central location for AAPI students—an important feature for building a welcoming campus environment (Patton, 2006). Another example is coordinating class schedules, as to accommodate for AANAPISI-specific classes. Some campuses have offered linked courses, such as one developmental education class alongside an Asian American Studies class or a course that provides students with social navigational tools. These courses are difficult to integrate into class schedules that are typically full and rigid. Program directors can leverage institutional goals, such as improving the transfer from developmental to college-level courses, to secure a greater likelihood in scheduling their classes at a time that most benefit students.

Aligning the intentionality of the AANAPISI grant project with broader institutional goals and commitments is a strong pathway toward gaining support from various institutional constituents. Oftentimes, there already exists a department dedicated to promoting student success, especially for students at the margins. If the AANAPISI grant project is not explicitly addressing an unmet need, it will be important for the project director to communicate how the grant is not meant to replace, but to extend and

even amplify the reach of current services. This framing may improve the reception of the AANAPISI grant across the institution, including the program director's capacity to collaborate.

Cross-Campus Collaboration

A final opportunity for program directors is to engage in cross-campus collaboration, which is a critical tool for both generating more leverage and securing a supportive network. Program directors have a wide array of responsibilities and face a great deal of pressure to execute successfully. As such, finding camaraderie among other campus leaders can be important for persevering through the challenges—this camaraderie, a coming together of sorts, should be based on centering the needs and success of students.

Collaboration is an effective means through which to share best practices and resources so efforts are not unnecessarily duplicated. AANAPISI grant projects can even bring departments together, which, in our experience, can improve how AAPI students navigate and adjust to new institutional norms (Conrad & Gasman, 2015; Nguyen et al., 2018). An example of this is when AANAPISI directors collaborate with programs supporting other racial minority and low-income student groups, such as TRIO, UMOJA or MESA programs to leverage their collective voice to garner further institutional support. They may coordinate efforts to get more space for students or collaborate on joint events, which reduces the resources of any one program. This also begins the process of weaving dimensions of the AANAPISI project into the body of the institution.

Other cross-campus collaborations that are important for AANAPISI directors include the development of relationships with campus-wide institutional offices, such as financial aid. AANAPISI programs that have been able to foster these kinds of partnerships were able to leverage more fiscal resources for students, such as access to scholarships or information related to funding. Other examples include collaborations with student services, library services and tutoring and counseling services, which have all been effective partnerships for AANAPISI programs to provide wrap-around services for students that the program itself does not have the capacity to offer (CARE, 2014).

All three opportunities discussed—recognizing student needs, leveraging institutional goals and cross-campus collaboration—are valuable and effective means for program directors to support the success of their AANAPISI programs. Some of these opportunities may emerge organically

as program directors become integrated into their campus institutions. Others, however, are opportunities that program directors may need to cultivate. The latter are those that require more time, intention and navigational skills of program directors, but are also those opportunities that have the greatest benefit to the program and potential for sustainability because they are integrated into the very fabric of institutions. In this way, these opportunities for program directors are valuable both during the tenure of the program, and also beyond the life of the AANAPISI grants.

Challenges

Equally important to engaging opportunities is recognizing challenges that are likely to arise as program directors embark on leading their programs. Challenges are vast and can take on many variations; however, we group the overarching barriers that most stifle AANAPISI progress as assessment, developing an AANAPISI identity and sustainability. We discuss each below.

Assessment

By nature of their funding, AANAPISI programs must assess and evaluate their programs and services for the purposes of federal accountability. While that is one rationale for assessment, tracking progress, earmarking challenges and capturing areas of improvement are generally productive for changing the program to continuously meet the needs of students and for gaining greater institutional legitimacy. Despite the importance of assessment to AANAPISI programs, it remains a great challenge primarily due to lack of capacity to conduct effective and meaningful assessment. Ensuring that each student interaction, engagement and event are evaluated for their impact and effectiveness is a time-consuming task and can often fall to the wayside as attention is paid to maintaining relationships and program duties. Assessment can also be challenging when there is a lack of resources, such as access to software or ability to hire on an institutional researcher with dedicated time. We offer two suggestions to overcoming this challenge.

The first way that program directors can address this challenge is to develop a partnership with their campus' institutional research office as early in the grant cycle as possible. This critical collaboration can (1) provide crucial institutional knowledge about the target population, (2) skirt

some of the capacity issues related to assessment by converging efforts and (3) afford an infrastructure to storing and analyzing some data that the program collects. At a minimum, the partnership can give some quantifiable data about the target population, and the gaps they face in their academic trajectories, which can help cultivate the direction of the program. Additionally, program directors may consider using existing assessment templates from other programs on campus, different AANAPISI programs across the nation or examples from other organizations to reduce the time it takes to develop new assessment tools.

A second way to embed assessment and evaluation into the AANAPISI grant is by identifying and partnering with researchers, graduate students or faculty members, who would be interested in conducting a study on the program. Researchers can come with their own research questions and, in return, fold assessment and evaluation within that broader agenda. Not only would this minimize the hefty financial and human costs associated with assessment and evaluation, this would provide the program director with an external, theoretically rich perspective that may bring new insights to inform and change current practice.

As we mentioned earlier in this chapter, gathering current, available data is key to understanding the institutional context and the broader needs of the AAPI population. This is the basis for developing and implementing the AANAPISI project. Understanding its effectiveness and identifying areas for future growth, however, require the project director to early on cultivate and maintain a "culture of evidence" for which assessment and evaluation are normal and routine practices within that space (Yousey-Elsener, Bentrim, & Henning, 2015). With data on their AANAPISI project, directors can better communicate their purpose, importance and successes to their campus and the broader higher education community. Moreover, it improves the capacity of the project director to advocate for additional resources or a renewal of their grant and to convince their university or college to institutionalize the AANAPISI project once the grant has expired.

Developing an AANAPISI Identity

Receiving funding to be an AANAPISI does not necessarily equate to an institutional identity as an AANAPISI, which signals a commitment to serving AAPI students. This is a challenge that program directors face, as they are tasked with developing that identity by telling their programmatic

story. With limited resources, it can be a tall order to build a website, develop marketing materials and be creative in capturing the many aspects of the AANAPISI program and its impact on students. Like assessment, developing an external AANAPISI identity requires dedicated time and attention that is typically far beyond the already vast job duties of a project director. It is important, however, to demonstrate to both current and potential AAPI students that there are services dedicated to their success, which help with enrollment and retention efforts. An AANAPISI identity can also play a key role in engaging stakeholders and outreaching to the local community. For all these reasons, program directors must take this challenge in stride.

The AANAPISI grant project is the defining manifestation of what it means for a given institution to embrace an AANAPISI identity. Program directors should take time to collaborate with their staff or stakeholders to develop a mission statement that reflects both the goals of their campus, the expectations of the federal grant program and the beliefs that guide their approach to addressing AAPI student success. As the project develops and data are gathered and assessed on its effectiveness, the director needs to consider the type of narrative they wish to share with their campus and external funders. The process of sharing the project narrative is a key aspect to securing institutional legitimacy, which can then be used to solicit greater support from students, staff, faculty and senior leaders.

Social media offers one opportune outlet for developing an AANAPISI identity (Esters et al., 2016). Although it still requires dedicated time, social media demands less time and skills than a fully interactive website. It also is a pathway to broadening the program's reach to students, community members and other stakeholders by networking with them online. Most importantly, social media can be used to share stories, feature students and generate publicity, which all help to develop the institution's chosen AANAPISI identity. Perhaps most convenient of all, program directors can encourage students to use and/or manage the social media, which is a tool for engagement and platform for elevating students' voices. We recommend hiring a student associated with the project that can help establish a vision for how the narrative can be shared and delivered. Although directed to HBCUs, we believe that the following also applies to AANAPISIs: "Social media is a tool for raising the visibility of an institution, increasing fundraising success, speaking out on key higher education issues and communicating the ethos of the HBCU to a larger community" (Esters et al., 2016, p. 5). These efforts are even more

consequential for AANAPISIs, a designation that is less common and only ten years old.

Determining an organizational identity and sharing project accomplishments are challenging in light of the day-to-day administrative duties. However, we contend that if program directors and their institution are interested in institutionalizing the project, time and resources must be dedicated to forming and sharing an AANAPISI identity for this process gives expression and life to the needs of AAPI students.

Sustainability

The greatest challenge for AANAPISI program directors is the concern of sustainability. Grant cycles typically last up to five years, which means that the programs supported directly by the grant are at risk of being discontinued at the close of the funding. Program directors are, first and foremost, invested in their programs because of their students, and they want to ensure that AAPI students have resources whether or not the AANAPISI program is formerly funded. This puts program directors under pressure to not only manage programs, but to consider their sustained existence for years to come.

To support sustainability efforts, program directors can consider three approaches. The first has already been discussed as an opportunity—cross-campus collaborations. By developing partnerships with institutional offices that are permanent, such as financial aid or other support services, AAPI students will have more sustained pathways to resources post-AANAPISI program. Moreover, these offices may normalize their support for AAPI students, further sustaining the efforts inspired by the AANAPISI program. Second, program directors can develop a relationship with the grant writing office or submit grants themselves. This can provide other forms of financial support for their work and keep a spotlight on the target population, compelling the institution to further acknowledge AAPI students and their needs. Program directors without grant writing experience might consider partnering with another administrator or with a faculty member. In fact, we encourage program directors to review and refer to the latest grant writing guide from the Center for Minority-Serving Institutions titled “Guide to Grant Writing for Minority Serving Institutions” (Ginsberg, Karolczyk, Gasman, & Jimenez, 2016). This publicly available guide lays out critical dimensions of the grant writing project, including implications for working in a team. Finally, program

directors can fold fundraising into their programmatic efforts, which will similarly generate more aid for their efforts. Some programs hold fundraising breakfasts or find organizations that will match donations to the program. Program directors should early on in the program's inception begin developing relationships with the foundation arm of their institution as usually there are dedicated staff that can fundraise on their behalf. This approach is only effective if the project director communicates clearly the AANAPISI program's purpose and ongoing needs. These efforts can help with elongating the program and reinforces the value of the program on campus. The more attention there is garnered, the more difficult it is for the program to be discontinued.

The challenges discussed here—assessment, developing an AANAPISI identity and sustainability—are certainly trying barriers for program directors. Some form of these challenges emerge in nearly every AANAPISI campus; however, it is critical to keep in mind that there are excellent models—such as the Full Circle Project at Sacramento State University (Nguyen et al., 2018). Program directors are encouraged to look to other AANAPISI leaders and other successful programs on their own campuses to address these challenges. Furthermore, they should leverage the creativity and energy of students to engage in thinking innovatively about assessment, identity and sustainability as they may bring a refreshing perspective that is particularly useful at each individual institution.

Being a project director of an AANAPISI grant requires a broad outlook of institutional life. Leadership within this realm is not relegated to any specific functional area because the goal of the grant—AAPI student success—can really only be accomplished by the program director's capacity to build relationship with others. These relationships are demonstrated in the very opportunities and challenges that we laid out earlier and have learned from our time working with AANAPISIs. Across the opportunities and challenges discussed, we would like to reiterate our recommendations for leadership and practice. When it comes to opportunities, program directors must (1) **gather information** (understand the relationship between the institution and the target group), (2) **listen to others** (communicate and consider how other departments and divisions may already be supporting students similarly), and (3) **act collectively** (identify a space for which collaboration and coordination can exist with those departments in order to amplify the efforts of the entire institution in promoting AAPI student achievement). When it comes to challenges, program directors

should (1) **aim to continuously improve the project** (build assessment and evaluation practices into the day-to-day routine and consider faculty members as research partners), (2) **develop and carry forward an AANAPISI identity** (develop a mission statement and actively construct what it means for the campus to embrace an MSI identity; this narrative and corresponding accomplishments should be widely shared with students and both internal and external constituents), and (3) **envision a long-term plan** (anticipate and begin the process of cultivating resources needed to operate the program when the grant expires).

Agenda for Future Research

The empirical research on AANAPISIs is almost non-existent. Even more so is the lack of work on the role of leadership at MSIs. This chapter demonstrates that program directors can play a critical role in the implementation of the AANAPISI grant and the extent to which an AANAPISI identity is embraced, adopted and sustained by the institution. In laying out both the opportunities and challenges for this leadership role, we hope it inspires new questions that can be taken up by both practitioners and researchers. So often the literature on MSIs is focused on student-level measures or perceptions that we forget that institutional agents play a significant role in shaping and contributing to the former. Future research should explore and explicate the relationship between AANAPISI leadership and the institutional conditions needed to successfully execute and sustain MSI grant projects. We suggest three guiding questions:

- What institutional levers can program directors use to drive institutional support for AANAPISI programs?
- What level of entrepreneurship must program directors bring to the role to successfully navigate institutional barriers?
- What are the greatest institutional constraints that hinder program sustainability post-grant? How might these constraints vary by institutional context (two- and four-year institutions)?

Concluding Thoughts

AANAPISIs celebrate the rich diversity among the AAPI populations and address the structural barriers that discourage students' pathways to degree. How well AANAPISIs can maintain this purpose is largely

dependent on those leading and shaping their growth. In this chapter, we brought attention to the very individuals—program directors—in charge of managing the AANAPISI grant's day-to-day duties. In light of the unique sociohistorical context of AANAPISIs, we lay out opportunities and challenges that are emerging, and current MSI leaders may wish to consider as they reflect on their needs and strategies for implementation and sustainability. AANAPISIs and HSIs are growing every year. They will need new leadership that will innovate and cross campus boundaries to help their institutions move forward in promoting more just and equitable outcomes for minority students.

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CHAPTER 11

An Effective Model of Mentorship and Capacity Building: Lessons Learned and Lived Out at a Midwest AANAPISI

Nicholas D. Hartlep and René F. Antrop-González

Metropolitan State University, located in Saint Paul, Minnesota, is where we both work. Metropolitan State University (henceforward Metro State) is federally designated as an Asian American Native American and Pacific Islander-Serving Institution (AANAPISI). Its vision is adamantly anti-racist. The university's vision statement reads the following: "The faculty, staff and students of Metropolitan State will reflect the area's rich diversity, build a culturally competent and *anti-racist* learning community and demonstrate an unwavering commitment to civic engagement" (Metropolitan State University, 2019, para. 6, italics added).

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Metro State is a respected Minority-Serving Institution (MSI). *INSIGHT Into Diversity* recognized it as a 2017 Excellence in Higher Education Award recipient, higher education's only national higher education diversity award. Metro State's approach, policies, and conditions have led to positive student outcomes, namely, in terms of its graduates' social mobility. In the most recent edition of CollegeNET's Social Mobility Index, Metro State's ranking, out of 1363 colleges and universities, moved up to 78th (it is now in the top 6%). "Social mobility" in this context refers to students from lower socioeconomic strata achieving higher standards of living within a certain number of years after earning a bachelor's degree.

Metro State is an "anchor institution." According to Friedman, Perry, and Menendez (2014), urban "anchor institutions" are rooted in urban communities and serve as important economic anchors to these cities. Harris and Holley (2016) write, "When universities serve as community anchors, they make specific decisions to leverage various forms of capital, including economic, human, and intellectual, to advance the well-being of their local communities" (p. 402). We both work in the School of Urban Education: René is the dean of the School of Urban Education, and Nicholas is the chair of the Department of Early Childhood and Elementary Education and he also serves as the coordinator of the School's graduate programs.

Our chapter shares our narratives around higher education leadership at MSIs. The purpose of our chapter is to offer a model of mentorship built around the idea that capacity needs to be built in order for leaders to develop within departments, schools, and colleges/universities. We begin by sharing our personal narratives: René shares first and Nicholas, second. The chapter then shares insights based on lessons learned and lived out at Metro State, a Midwestern AANAPISI.

René's Narrative: From Reluctant Leader to Leader of Urgency

I had never aspired to be a dean of a college or school of education. As a faculty member and teacher educator for close to 14 years who thinks of himself as a progressive, I did not want to do what most deans do. From my own observations of some deans I had worked with, these were individuals who counted beans, said no to most faculty requests, and hyper-policed, and did all they could to restrict the activities of good faculty members who had political backbones. Why in the hell would I want to engage in these types of reactionary activities on behalf of institutions that are known to reproduce White supremacy?

Well, my grand plan to remain a faculty member to the day I die surprisingly began to collapse one fine sunny Friday in December from my large endowed chair office at Dalton State College (DSC). DSC, at the time I was there, was an emerging Hispanic-Serving Institution (HSI). However, most folks I interacted with at this institution did not look like the Brown students we purported to serve and really did not have a complete understanding of what being an HSI really meant. My endowed chair position had been conceptualized to not only teach and conduct research and service, but to also have a place at the table with senior administrators for conversations to plan for DSC's transition to officially becoming an HSI. Well, I was never once called to the table. As I began to wonder how I should strategize my way to this table, I received an email from a search firm describing a dean position for the School of Urban Education at Metro State University in Saint Paul, Minnesota. Well, it took me all but two seconds to kindly respond to this colleague by declining the offer to apply for this position, and I continued with my professor-like day in that big office. But, the weekend and time for further contemplation enveloped me.

Thoughts in the forms of questions gnawed in my head like, "Would it not be exciting to work in the more progressive Midwest after having lived in Confederate-crazed Dalton, Georgia?" After all, "wouldn't this position enable me to more effectively exercise my passion for urban education?" "Would being a dean allow me to incite change in different ways?" This intellectual gnawing took the better part of my Saturday, so to relieve the pressure of the headaches this gnawing was producing, I did the next best thing—I chased down two Tylenols with coffee and called Alejandro Gallard, another Latinx endowed chair in Georgia and a long-time friend and mentor of mine. I described the position, my reservations with deans, and with wanting to ever becoming a dean; he was not having any of it. Alejandro also rightfully commented that I owed it to our communities to apply for this position, and I knew deep down that he was spot on. So, after two years of working in a coveted endowed chair position, I applied, interviewed, was offered the position, and accepted it.

And, so, the Ride Begins…

As mentioned previously, Metro State is a special place for a multiplicity of reasons. Metro State is a MSI and AANAPISI, the average age of a Metro State learner is 31, and 95% of Metro State students are transfers from

community and technical colleges. A majority of pre-service teachers in Metro State's School of Urban Education are of color or American Indian, and our mission and vision are aligned with the university's explicit anti-racist approach to examining knowledge and ways of looking at the world. The School's curriculum is also structured to address racial equity across all courses unlike most other colleges/schools of education that merely tokenize racial equity by making this framework a topic presented in a course as a checklisted item. Finally, and just as important, the School has the most diverse faculty and staff of any teacher preparation program in Minnesota.

True to Alejandro's prediction and aspirations for me, I have found being a dean at a progressive institution to be extremely challenging and fulfilling. With the support of the senior administration and my School colleagues, we have been able to craft a three-year strategic plan, construct and implement new licensure programs in English as a Second Language (ESL) and Special Education at the graduate levels, invite several distinguished speakers to campus to address important education issues, and hire several outstanding colleagues. Additionally, my colleagues have been able to establish meaningful and relevant partnerships with several school districts, and support the work of the *Coalition to Increase Teachers of Color and American Indian Teachers in Minnesota*.[1] Founded by education professionals across the state in 2015, the Coalition was able to help draft and submit bills to the state legislature with Republicans as these bills' authors in order to successfully secure funding to pay student teachers for their full-time work in classrooms.

Of course, much work is left to be done like implementing an undergraduate licensure program in special education and graduate programs in school counseling, social work, and leadership. Unlike most colleges/schools of education in the United States, the School *only* prepares teachers for work in urban schools and their communities; hence, it is time for the School to enhance its work through broadening its approach to preparing professionals for the arduous work of urban schools and their communities. We need to begin to also prepare urban school administrators, counselors, and social workers.

While this work is fulfilling, there is also an aspect of this work that is nothing less than a tiring grind. This tiring grind consists of tough budget conversations in an era where more and more United Statesians are questioning the value of a post-secondary education and state legislatures, including Minnesota's, and are significantly reducing allocations to state colleges and universities. The proverbial grind also means having to con-

sistently and carefully hold colleagues accountable, and attending countless meetings that may or not be relevant to the work at hand. Furthermore, the School experiences institutional racism by virtue of the work we do and who does it, and who our students are. Consequently, the School has to work harder than our area competitor teacher preparation programs, as they are granted automatic credibility as White institutions. Unfortunately, the *Branch Alliance for Educator Diversity*[2] has documented this problematic phenomenon.

Avoiding Burnout as a Dean at an AANAPISI

I have found exercising self-care to be challenging, although I engage in cardio and weight training at a gym at least three days per week. Furthermore, I have a family that consists of a spouse, three young adult children, and a granddaughter, and we have the joy of living in the same household. In spite of the busy and challenging lifestyle that these types of responsibilities harbor, they are worth it; after all, these are the necessary prices we must pay if people of color and American Indians aspire to positively transform the structures of White supremacy that do much to poorly prepare teachers to work with children and youth and reproduce institutional racism.

It is also important for me to state that seeking networks of other teacher preparation professionals who are committed to social justice is of tantamount importance. For example, I am an active member in two important organizations—Education Deans for Justice and Equity (EDJE), founded and led by Kevin Kumashiro, and the National Latina/o Education Research and Policy Project (NLERAP), led by Angela Valenzuela. EDJE and NLERAP provide their members with structured meetings where discussions take place and decisions are made related to work in schools and teacher preparation programs. In turn, these organizations provide me with a sense of continued purpose and rejuvenation. What does the literature say about burnout among deans? In their study of burnout in medical school deans, Gabbe et al. (2008) found via questionnaires among U.S. and Canadian medical school deans that these administrators most frequently identified school budget deficits, loss of funding, and departure of key faculty members as stressors. As we point out in the conclusion of our chapter, having the "right" people can make a dean's life a nightmare or a delightful experience. Retaining "star" faculty is important, something the school I lead has done less than satisfactorily.

Nicholas' Narrative: Young, Energetic, and Quick Learner by Doing

After graduating with my PhD from the University of Wisconsin-Milwaukee in 2012, I secured my first tenure-track faculty position at Illinois State University (ISU) where I worked for four years until 2016 when I applied for a tenure-track position at Metro State's School of Urban Education. Metro State appealed to me: it was an urban university and an AANAPISI. My specialties are Urban Education and Asian American issues. I am Asian American (South Korean), and I actively research Asian American issues, namely the model minority stereotype of Asian Americans. While I was completing my campus interview at Metro State, I learned of the possibility of eventually becoming a department chair. While out to lunch, the then-current department chair asked me if being a department chair was something that I would like to do eventually, as her term would be expiring soon, and she was getting "tired of it," and no one else seemed to be interested in the position.

While working at ISU, I wanted to be a department chair, but at ISU the role of department chair is an administrative position. The position required that one be interviewed. At ISU, the department chair did not teach and oversaw a budget. However, ISU did have an "assistant" department chair position, something I pursued. ISU, a Predominantly White Institution (PWI), was a place where I quickly realized did not have a desire to invest in my leadership development, which was ironic, because I was a targeted hire and received a handsome $10,000 research budget for the first three years as terms of my employment. After working at ISU for three years, the then-dean did not even know my name. I knew it was time to look for a different position. A year later, Metro State came knocking on my door.

I did not feel as though my intellectual and experiential knowledge were valued or desired at ISU. To use a sports metaphor—I felt sidelined. I wanted to get into the proverbial game, but my coaches (department chair and dean) did not value me and my assets. During my third year at ISU, I expressed interest in serving as an assistant department chair to the then-acting department chair, but I was not selected. I also expressed interest in serving as editor of the Department's journal, *Planning & Change*. Too young and too inexperienced were the mantras I felt were in the minds of those who could have made it happen. A White middle-aged woman was named for the assistant department chair. A White older

woman was named as the editor of *Planning & Change*. These leadership positions would have been a great learning experience for me as a young scholar, but it was not my fate, so I left ISU in 2016.

This "reverse ageism" for lack of a better phrase—because ageism typically refers to how older people are discriminated against, not young people—is something that I experienced at Metro State too, albeit I was protected by a dean who not only knew my name, but who also knew my research and teaching accomplishments. I will get to how I became a department chair at a young age as well as the editor-in-chief of *The Journal of Educational Foundations* later in my narrative; however, this begs the question: How does one get experience if someone does not have it? I thought about that question a lot while I worked at ISU, and it was ultimately the catalyst for my departure. I chose to leave ISU for Metro State, because as an Asian American scholar, I was not being given opportunities to grow myself and/or to serve others. Being a department chair was the next experience I felt I needed.

Welcome to Metro State and the Life of a Department Chair

In my first year at Metro State, I attempted to get to know faculty, staff, and students. I taught my three courses, I got involved in ways that I thought were reasonable, and I listened and observed the comings and goings of the School of Urban Education. During my second year at Metro State, I was chosen to be the Early Childhood and Elementary Education program coordinator. In the third year, the unit—the School of Urban Education—reorganized into two departments. It is in my third year, as I write this chapter, that I have finished my first semester as a department chair of the Department of Early Childhood and Elementary Education as well as graduate coordinator.

What the Literature Tells Us

If literature has been documenting how unglamorous the work of a department chair is (see Wildavsky, 1992)—then why would I want to pursue the position? That is a great question. As I shared earlier, at ISU, a PWI, I was not "growing" professionally. I was not being allowed to lead, something I felt I had always been doing. For example, as a doctoral

student I was the equivalent to the graduate president of the American Educational Research Association (AERA). I had also served as a doctoral student as a divisional representative. To me, leadership is service, and servant leadership is what happens when a leader puts herself/himself/themself to the service of a greater body of people.

The department that I currently lead is extremely diverse and small. We have four colleagues in the department (including myself, the only male), and we are all faculty of color (Black, Korean, Taiwanese, Brazilian). To me, serving as department chair is a vital experience as a young scholar—I just turned 35 years (November 25, 2018) at the time of writing this chapter, and I believe that more young diverse scholars need to be given opportunities to not only lead but to "learn by doing." Knowledge is power and, historically, scholars of color and young scholars, I would argue, are held back. What happens to young diverse scholars who are not given opportunities to learn and grow?

> *Be patient.*
> *Earn your stripes.*
> *Fall into line.*
> *Do not do anything that would make senior colleagues feel uncomfortable.*
> *Your time is coming.*
> …and the list goes on and on.

These traditional, racist, ageist, and parochial mantras are not beneficial for leadership development. Instead, a better model would be for these energetic, capable, and passionate people to be given an opportunity to serve. According to Carroll and Wolverton (2004), typically "mid-career faculty members become chairs, most often motivated by a sense of duty or a desire to help a department grow and improve" (p. 8).

Research by Carroll (1991) reported that men tend to have been full professor longer than women before they serve as chair. Carroll's (1991) findings do not align with my career events. Perhaps this is because Carroll's research was based on career paths of doctoral granting institutions; Metro State is not a research institution. Moreover, the majority of AANAPISIs are doctoral institutions, so Metro State University is an outlier. I am too young to be a chair, although I am of typical age to be a tenured associate professor, based on Carroll's (1991) research.

Teranishi, Alcantar, and Underwood (2017), citing the research of other scholars, write the following in their book chapter entitled "AANAPISI Leadership: Perspectives from the Field":

> AAPIs face a number of barriers to achieving leadership roles in higher education (and in other sectors of society), some of which are unique to the AAPI population; among those are negative stereotypes of AAPIs, the *model minority myth*, and being perpetually seen as a foreigner, all of which influences racial bias and discrimination in hiring practices, including the exclusion of AAPIs in diversity recruitment efforts, and *lack of mentoring into leadership positions*, just to name a few. (p. 193, italics added)

They conclude their chapter by noting the following: "More AANAPISI leaders should educate themselves and institutional members (i.e., administrators, staff, faculty, students) about the demography, the heterogeneity, and the needs of their AAPI student population" (Teranishi et al., 2017, p. 195). To me, their comment is ironic, because as I mentioned earlier in my narrative, Metro State interested me, because it was an AANAPISI. In my second year, I co-authored and submitted a federal grant to move Metro State from being a "federally designated" AANAPISI to becoming a "federally funded" AANAPISI. Sadly, our proposal was not funded, but writing and submitting the proposal was an example of "learning by doing." Not receiving funding caused me to reexamine the project and to consider applying again in the future.

However, now that I hold two leadership roles, it is less likely I will have the necessary time and resources to resubmit for another request for proposals. This could be a bad thing. But this is also where my dean comes into the picture. Faculty and staff are beholden to resources and constraints as are administrators. We all can only do so much with so little, and I refuse to work so hard to accomplish so little. My needs as a department chair and scholar include the need for faculty lines (hiring), time (release time), and travel support (financial resources to attend conferences). These needs are either met or not met as the result of a dean. Happily, and fortunately, my dean has been successful in supporting my leadership development as well as procuring the resources I mentioned above. But how might my reality be different if I had a dean who was not receptive and could not secure needs for my department? What would happen if my dean was not a mentor, like he is? What would my life as a department chair be like if he was not humble or valued my intellectual capacities? My dean is an effective and brave mentor.

The Need for Effective and Brave Mentors

Gmelch, Ward, Roberts, and Ezeh (2018) report that "*67 percent of chairs receive no formal training*, and even those who do receive 10 hours or less" (p. 11, italics added). They go on to write, "New chairs also experienced greater stress from receiving inadequate compensation for being chair, likely being paid less per working hour than faculty" (Gmelch et al., 2018, p. 11). I received little-to-no onboarding when I became a department chair. Nothing formal, and no more than ten hours in total. I originally had wanted to attend a formal American Association for Colleges of Teacher Education (AACTE) professional development training, ironically the same one my predecessor had attended when she became department chair. I was not able to attend, as I had no professional development money to attend. At Metro State, the union environment abides by a seniority framework. Assistant professors and associate professors make less than professors, and it is your rank and seniority (a function of how long you have worked at Metro State, not how hard you have worked) that dictates how much you earn for your additional "duty day" payment for serving as a department chair. I received 14 duty days as a department chair. My rate for "duty day" pay is lower than the previous department chairs, who are tenured full professors. My compensation for being a department chair at Metro State, an AANAPISI, is not much. If I were a department chair at an R1 PWI, for example, I could be making potentially two times more than I am now at the rank of associate.[3] However, I do not do the work of department chair for money. I do it because I wish to serve the students and faculty at Metro State.

Contextual Factors

The aforementioned professional development and salary statistics are important to be filtered through a historical lens, because historically in the academy, power has been distributed asymmetrically: Whites and full professors have had much more access to knowledge and decision making in academia. Carroll and Wolverton's (2004, p. 3) epigraph in my narrative section of this book chapter provides hope to institutions of higher education in that the more the academy has diverse leaders, the more decisions that will be made by those who historically have not been at the table of power and influence. Equitable pay should always be considered. I would not suggest a non-tenured assistant professor be a department

chair, but I also would think that salaries for department chairs ought to be in line with the immense responsibilities that they play. Department chairs are the connective tissue between the dean and the faculty.

Metro State has many White positional leaders as seen in the presidential cabinet. My dean is the only academic dean of color, and is currently the most senior academic dean. Working at Metro State is challenging with such a racialized context. Faculty start teaching late during the day because classes are held at night to accommodate working students who have day jobs and attend meetings during the day. Work all day and teach all night is a recipe for exhaustion, not only for the faculty but also for deans. How can department chairs and deans of color be mentored in ways that lead them to not become burned out, and also so that they are brave enough to speak up and against White supremacy? I am writing this chapter with dismantling White supremacy in my head and heart.

Toward an Effective Model of Mentorship and Capacity Building at MSIs: Lessons We Have Learned and Lived Out at Metro State University

1. *People matter!* Faculty programs live and die with faculty. Departments and units will feel the impact of the departure of faculty. This may mean a faculty member who is "dead wood" and does not contribute to programming, teaching, service, and/or a faculty member who is a rock star and who is a wonderful colleague who would go to the ends of the Earth to support the work. When a faculty member leaves, it can be a good thing, or it can be a horrible thing. Because you never know when a faculty member will leave, it is vital that a succession plan is in place. Who will replace her/him/them? It also means that hiring a replacement is very important. Tenure-track positions come with a caveat few wish to talk about, which is that you have to assume the person is a lifetime appointment. Yes, that person will have to work to secure tenure and promotion, but would you hire someone who you did not think would earn tenure and promotion? Probably not. People matter in terms of who can fill in leadership roles as well. Teachable, humble, gracious, kind people are important to identify and hire. Research by Blake (2018) finds that "MSIs attract community-oriented individuals to their faculty positions, and that colleges and universities interested in diversifying their faculties should craft such roles in ways that are appealing to the populations that they are trying to recruit and retain" (p. 1).

René is the seventh positional leader in the last 12 years. That equates to a tenure of 1.7 years per leader. That is not a good recipe, because it means leaders do not see their program ideas through to completion. The relentless administrative turnover disallows faculty from doing their jobs well and the institution from progressing in ways that serve students and community stakeholders (McGlynn, 2018). For example, for the first time, the School has crafted a three-year strategic plan. Why do positional leaders leave? Are they burned out? Do they get better opportunities? As René mentioned in his narrative, leaders who work at MSIs need to take care of their physical and spiritual wellbeing. Losing faculty can be stressful for deans, as well as the pressure that comes with decreased student enrollments and the need to carry out "budget cuts" and having budget deficits (*c.f.*, Gabbe et al., 2008). Exercise mitigates and reduces stress and allows for mental clarity. Having mental clarity is important for decision making and ensuring the unit is best served.

At the time of writing this chapter, Nicholas has been "targeted" by a PWI. While René, as a dean, does have the ability to recommend a "retention" offer to his provost, will it be enough? Only time will tell. However, a lesson we have both learned and are reminded about is that MSIs are less resource-rich than many public and private PWIs, and certainly the land grants. For instance, Metro State is an AANAPISI, the University of Minnesota, Twin Cities (UMN), a land grant research-intensive institution across town, is also an AANAPISI; however, it had to apply for a waiver to get such a status. Clearly, UMN has much more resources (e.g., grant writers, less teaching load for its faculty, institutional capacity, budgets, etc.), so it makes sense their federal grant application was funded. Nicholas' narrative discussed how as a department chair and graduate program coordinator, he simply cannot rewrite and resubmit a federal grant for the same status. This is a cruel irony because although small, Metro State's teacher preparation program prepares more teachers of color and American Indian teachers per capita than does UMN.

2. *Racial battle fatigue can be experienced even at MSIs!* Research (Smith, Allen, & Danley, 2007; Smith, 2008) and scholarship (Fasching-Varner, Albert, Mitchell, & Allen, 2015) have documented how faculty of color can experience racial battle fatigue (RBF) in higher education. According to Smith (2008), RBF is characterized by "physiological, psychological, and behavioral strain exacted on racially marginalized and stigmatized groups and the amount of energy they expend coping with and fighting against racism" (p. 617). However, RBF is not a phenomenon

reserved for PWIs. Indeed, an institution can be minority serving and still be a racially hostile place at which to work (Hartlep & Ball, forthcoming). Department chairs and deans are placed in a challenging position, by default of their positions: they are spokespeople for their institutions. At Metro State, Nicholas feels that he is minoritized as a young department chair of color and as a graduate program coordinator, because when he attends program meetings and/or meetings with other department chairs and the provost, he sees a lot people who do not look like him. He is not just speaking about race, which of course he is. He is also talking about age and generational status. He does not see a lot of young, diverse leaders; where are the millennials? Many of Nicholas' colleagues within and outside of the School of Urban Education are old enough to be his mother or father—remember, he is 35 years old. RBF includes microaggressions, microinvalidations, and everyday interactions with Whites who are "fragile" (DiAngelo, 2011, 2018).

Minority-Serving Institutions like Metro State need to be vigilant when it comes to who serves in formal roles for leadership development in the university. If the leaders at the top do not reflect the faculty, staff, and students, then there is a problem. While the faculty in the School of Urban Education at Metro State is the most diverse in the state, as pointed out above, the unit does not reflect the university's upper administration. MSIs that wish to diversify their upper administrations will need to institute mentoring and devote financial resources toward this goal.

3. *Capacity building is critical! You are only as strong as your weakest person. Shallow benches are a problem!* This assertion goes along with #1 above. People matter. Everyone must know what they are doing, which is why teaching and mentoring are so important. But this does not mean that people should not be given opportunities to learn on the job. René has been an effective dean, despite the fact he made the transition from faculty to deanship, bypassing ever being a department chair. The American Association for Colleges of Teacher Education has published data noting this trend: academic deans assuming the role without ever having been a department chair or assistant and/or associate dean. Additionally, mentoring faculty and advocating for promotion and tenure is especially important at MSIs. When René became dean in 2015, the only tenured full professor was a White male. He noted the glaring contradiction of this fact in spite of the fact that a majority of the faculty in the School are of color. Three and a half years later, three women of color were promoted to professor and one woman of color who was hired at the rank of professor was granted tenure.

4. *Mentors can and should be located outside of your institution!* Leaders have vast and diverse networks. MSIs are not monolithic, but they have more alike when compared to themselves than with PWIs. This does not necessarily mean faculty and leaders at MSIs should not partner with PWIs. Moreover, leaders who work in MSIs also need to be mindful that mentors abound outside of their own institution.

Leaders benefit from having mentors located outside of their own institution because it is likely that the individuals who they interact with on a frequent basis have the same networks and sources of information than they have themselves. Having a broader mentorship group ensures that new, and many times consequential, pieces of information are being obtained. This concept can be seen as a safeguard and firewall for avoiding "echo" chambers. Diversity of thought, opinions, and questions is always beneficial for leaders. Mentors and counselors who do not offer countervailing opinions are not helpful for gaining new insights.

Capacity Building and Learning by Doing

Keeping bullet points 1–4 above in mind, the key to building or developing diverse and enhanced leadership at MSIs requires human capacity building. MSIs were created because PWIs were either unwilling or unable to serve the diverse needs that MSIs serve. By the same token, MSIs are institutions and incubators for leadership development. Department chairs and deans are both made and born. In other words, if faculty are not given opportunities to "grow" and "learn" by doing, they will effectively be sidelined, a feeling that Nicholas discussed in his narrative. Being an active participant is what democracy is all about. Like voting, which is a citizen's right, so too should be the opportunity to develop as a leader. Historically diverse scholars have not been allowed to serve in such capacities. As the number of leaders at MSIs increases, social networks will become more inclusive, rather than remain homophilous: White and male.

We write this chapter in the wake of the swearing in of the 116th Congress. As Foran and Mattingly (2019) have written, and published by *CNN*, "No other Congress has ever looked like this." We think that is a good thing! The same must happen at MSIs like Metro State. In the last section of our chapter, we leave readers with resources for leadership development at Minority-Serving Institutions.

Resources for Leadership Development at Minority-Serving Institutions

ELEVATE (Enriching Learning, Enhancing Visibility, and Training Educators)

- ELEVATE is a unique three-day professional development opportunity for early career faculty at Minority-Serving Institutions (MSIs). Drawing from the expertise of the Penn Center for Minority-Serving Institutions (CMSI) and affiliates, ELEVATE will support the ongoing learning, training, and networking of early career MSI faculty by providing workshops, opportunities to network with peers, and a platform for collaboration. The Penn Center for Minority-Serving Institutions (CMSI), housed in the University of Pennsylvania's Graduate School of Education, serves as a repository for research, data, best practices, emerging innovations, and ideas on and within MSIs. With support from our sponsors, CMSI supports funders, researchers, policymakers, MSIs, and scholars to promote the strengths and address challenges facing these institutions. At the time of writing this chapter, CMSI will be moving to Rutgers University. https://cmsi.gse.upenn.edu/ELEVATE

LEAP Advance for Higher Education

- LEAP Advance: Leadership Development Program for Higher Education intensive four-day experience that enhances the professional development of Asian and Pacific Islanders and prepares college/university administrators, faculty, and staff to move into positions of greater visibility and influence. The program is held in partnership with Asian Pacific Americans in Higher Education (APAHE). LEAP Advance is particularly valuable for Asian Americans who work at MSIs based on research that has found that "a subtle and complex stereotyping process may explain why Asian Americans continue to experience barriers to attaining higher status leadership positions despite their positive attributes" (Sy et al., 2010, p. 917). https://www.leap.org/leap-advance/

Annual AACTE Leadership Academy

- AACTE's Leadership Academy is held each summer for new deans, department chairs, and other academic administrators looking to advance their careers. The Leadership Academy covers essential topics, from managing finite resources to effective development and public relations, while helping attendees cultivate a supportive network of peers. https://aacte.org/professional-development-and-events/leadership-academy

Education Deans for Justice and Equity (EDJE)

- A nationwide alliance of current and recent education deans, and directors/chairs of education in institutions that do not have deans, established in Spring 2016 that aims to speak and act collectively regarding current policies, reforms, and public debates in order to advance equity and justice in education. In 2017, EDJE released two public statements, endorsed by over 230 deans and 17 national organizations. EDJE is governed by a Steering Committee, and holds semi-annual meetings for all network members. http://education-deans.org/about/

BranchED (Branch Alliance for Educator Diversity)

- BranchED is the only non-profit organization in the country dedicated to strengthening, growing, and amplifying the impact of educator preparation at MSIs, with the longer-range goals of both diversifying the teaching profession and intentionally addressing critical issues of educational equity for all students. Its vision is for all students to have access to diverse, highly effective educators. Its goal is to maximize the capacity of MSIs to deliver high-quality educator preparation by identifying and supporting what is working well and strengthening program weaknesses to drive continuous quality improvement and ensure program sustainability. BranchED provides practical training and technical assistance to advance institutional outcomes. It fosters strategic alliances and provides catalytic funds to spur collaboration and innovation. It amplifies the unique contributions of Minority-Serving Institutions in preparing teachers who will educate America's citizens. It works to ensure that MSIs have a lead-

ing voice in the national conversation about the quality preparation of diverse educators who are effective in increasing the achievement of all learners. https://www.educatordiversity.org/what-we-do/

Relevant Readings

- Crabtree, R. D., & Sapp, D. A. (2018). Living the full life: Mentorship for full professors and senior faculty. *The Department Chair, 28*(3), 22–25.
- Gasman, M., Baez, B., & Turner, C. S. V. (Eds.). (2008). *Understanding Minority-Serving Institutions*. Albany, NY: State University of New York Press.
- *The Department Chair*. A unique resource for chairs, deans, academic vice presidents, and other administrators, *The Department Chair* delivers practical information in every issue. Written by practitioners from their own experience, this newsletter is invaluable to anyone responsible for a department in any institution of higher education.

Notes

1. https://www.tocaimn.com
2. https://www.educatordiversity.org/serve-minority-serving-institutions/
3. For example, see the public salary of Eric Anderman at The Ohio State University: $226,032.00 as a Professor and Department Chair. https://apps.hr.osu.edu/Salaries/Home/Salaries?Firstname=Eric&Lastname=Anderman&Funding=University&WhichSource=Salaries&Year=0&IsValid=True

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CHAPTER 12

Thematic Trends of Effective Leadership Practices for MSIs Through the Prism of an Anti-deficit Perspective

DeShawn Preston and Amanda Assalone

Being a leader at a Minority-Serving Institutions (MSIs) is an honorable, fulfilling, and arguably one of the most difficult jobs in the higher education landscape. Leaders of MSIs must be nimble, transformative, and fluid in the ever-changing landscape of higher education while staying true to the mission, vision, and culture of their respective institutions. MSI leaders are faced with the same challenges as other leaders at majority colleges and universities. Contrary to popular belief, MSI leaders are susceptible to the common issues of higher education. However, MSI leaders often face additional challenges unique to their institutions and stakeholders. Unfortunately, these leaders oftentimes are operating with less funding and resources than their counterparts do to address the various issues within their institutions.

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Due to the various issues that arise at MSIs, it is easy to view leadership at these institutions from a deficit standpoint. This book takes the opposite approach. Throughout the chapters, readers gain insight into leadership skills and accomplishments by various leaders at MSIs. Several of the contributors mentioned in this book challenge the status quo by exemplifying the following: (1) recognizing and meeting the needs of their students, (2) utilizing innovative and adaptive practices, (3) remaining intentional about engaging the various stakeholders, (4) using data to drive the decision-making on campus, and (5) acknowledging and representing the culture and mission of their institution. In closing, this chapter will highlight five themes that MSI contributors exemplified throughout the book.

Recognizing the Needs of Students

Acknowledging the needs of the students is likely the most important role of leaders at MSIs. Throughout this book, the various authors discussed how leaders must base their decisions on what best met the needs of their students, directly or indirectly. In order for leaders to meet the needs of their students, they first must know who their students are. Leaders must be in tune with the demographics of their students, as well as the issues and barriers they often come across on the road to success. Students at MSIs are not immune to issues that typical students in higher education experience. In addition, many students at MSIs experience unique challenges faced by their various ethnic and cultural backgrounds. These challenges tend to magnify the barriers that are often experienced by most students in higher education.

Engaging Stakeholders

One important way to determine the true needs of the students is for the leaders to engage with their constituents or stakeholders. Throughout the book, there are examples of how various leaders took the time to not only engage with the board of trustees, but with faculty, staff, the community, industries, and even students, along with their families. It is important to engage with these various stakeholders because each represents a branch of the institution that will contribute to the effectiveness of the leader.

Faculty and Staff

It is important for leaders to convey their vision and plans to execute their vision to all faculty and staff at the institution, for these are the stakeholders that will carry out the plans of the institution. As highlighted through several chapters in this book, faculty and staff are the ones to carry out the vision of the leader. They are also the group that provide details into the strengths and weaknesses of the vision, as well as help perfect the vision for the growth of the institution.

Public- and Private Sector Industries

Industries serve in the capacity of employers for students graduating from their institution as well as financial investors to the institution. Industries have a very unique perspective as they help inform institutions on how well they have prepared their students to enter the workforce. In addition, both public and private sectors fund various projects for institutions and student development. Their input can provide information to strengthen the curriculum, lead to more opportunities for students, and gain more funding to support efforts at their institution.

Students and Parents

Particularly students and parents are one of the most important stakeholders to engage. Students and parents are the recipients of the visions and goals of the leader of an institution of higher education. As recipients, students and parents are able to express what truly worked and what was most impactful. In the same vein, they are able to express barriers and challenges whether they be internal or external. This group of stakeholders serves as a walking and talking billboard for the institution and its leaders. When their experience is good, they are willing to give back to their institution as well as recruit directly or indirectly.

Policymakers

One particular chapter in this book spoke on the importance and impact of leaders engaging stakeholder. Policymakers are diligently seeking for ways to create policies that will make college accessible, affordable, and ensure every student enrolled has the opportunity to succeed. However, policymakers are

not as close to the ground to understand the challenges and barriers faced by students and institutions of higher education. It is important for leaders to engage with policymakers and be in front with the policies introduced by them. Hopefully by continuing to engage policies, leaders can prevent policies that will negatively impact MSIs and the students they serve.

Knowledge and Representation of Culture/Mission

MSIs are uniquely positioned to do the one thing many Predominantly White Institutions (PWIs) seem reluctant to do, which is to embrace and represent the culture/ethnicity of those who have been historically marginalized. Many MSIs are at an advantage in that their institutional mission allows the institution to place an emphasis on a particular culture. Throughout this book, authors gave examples of how leaders were not only considerate of the culture their students represented, but they are intentional to include their culture within the curriculum or any initiative within the institution. As many colleges seek to become more inclusive and to diversify their student, as well as their faculty, it is imperative for MSIs to remain intentional about keeping the culture of their student body represented, in their faculty representation, and any part of the decision-making process that impacts the institution.

Usage of Data

The saying goes, "knowledge is power," and it is through use of data that leaders at MSIs will be able to guide their students and their institution to success. The consideration of data should be an integral part of the decision-making process on every MSI campus. The proper collection of data will inform leaders on the state of their institution and areas for improvement and provide endless possibilities for their particular institution. Data not only inform leaders on the state of their institution, but also inform them of the various stakeholders engaged with the institution. The proper use of data can help guide an institution in to a path of prosperity and sustainability. Institutions have shown that data will help student make informed decisions about enrolling as well as choosing the right major. The use of data can even assist with engaging potential funders and existing funders as they look to invest in an institution. Chapter contributors emphasize that effective leaders of MSIs are those who ensure their institutions are equipped to collect and utilize data for the advancement of their institution.

Innovative Practices and Adaptive to Change

In a profession steeped in tradition and rituals, being an innovative leader might come as a challenge for some leaders. It becomes even more difficult when a leader of an MSI must take into consideration the vulnerability of their students and their institution. However, change especially outside of the ivory towers is inevitable. Therefore, leaders and their institutions must meet this change with innovation and sustainable practices. When looking to introduce innovation and new practices within various MSIs, it is important for leaders to keep in mind the various themes that were discussed throughout the book, and particularly within this chapter: (a) recognize the students' need, (b) engage various stakeholders, and (c) ensure the representation of the culture and mission of the institution and (d) the usage of data. Ultimately, whatever practices are followed and changes made at the institutional level, leaders must ensure the longevity and sustainability of their institution.

The anti-deficit-based theme of this book highlights not only the great work taking place at MSIs, but it also provides a guideline for current and future leaders of MSIs. However, it is important to note that MSIs are not monolithic. As noted throughout the book, there are eight different types of MSI that are made up of two-year and four-year institutions both public and private. Within the MSI sector, institutions experience an array of problems, some specific to the MSI type. Just as MSIs are not monolithic, neither are the various MSIs within their federal designation. Leaders experience various types of challenges and barriers that are unique to a number of various factors (i.e. demographics, public, private, religious affiliation, region, etc).

Nevertheless, the authors of this book used the anti-deficit approach to explore effective leadership practices for MSIs. While each chapter explored and provided examples of best practices from leaders at MSI, more is need. Literature and the media are full of examples of the challenges and shortcomings of MSIs and their leaders. Although the challenges and barriers that exist within this sector cannot be ignored, the examination of leaders that have been successful in overcoming those challenges and barriers must be equally uplifted. This chapter highlighted five overarching themes that emerged from the book. However, there are other characteristics and tools that are needed in order to successfully lead an MSI; without a doubt, these must be explored. Through this edited book, the hope is that other researchers will gain inspiration to expand the literature on successful leadership at MSIs.

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